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

NATIONAL CAPITAL REGION HOMELAND SECURITY STRATEGIC PLAN

A strategic partnership to manage risk and strengthen capabilities

Volume II: Appendices

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

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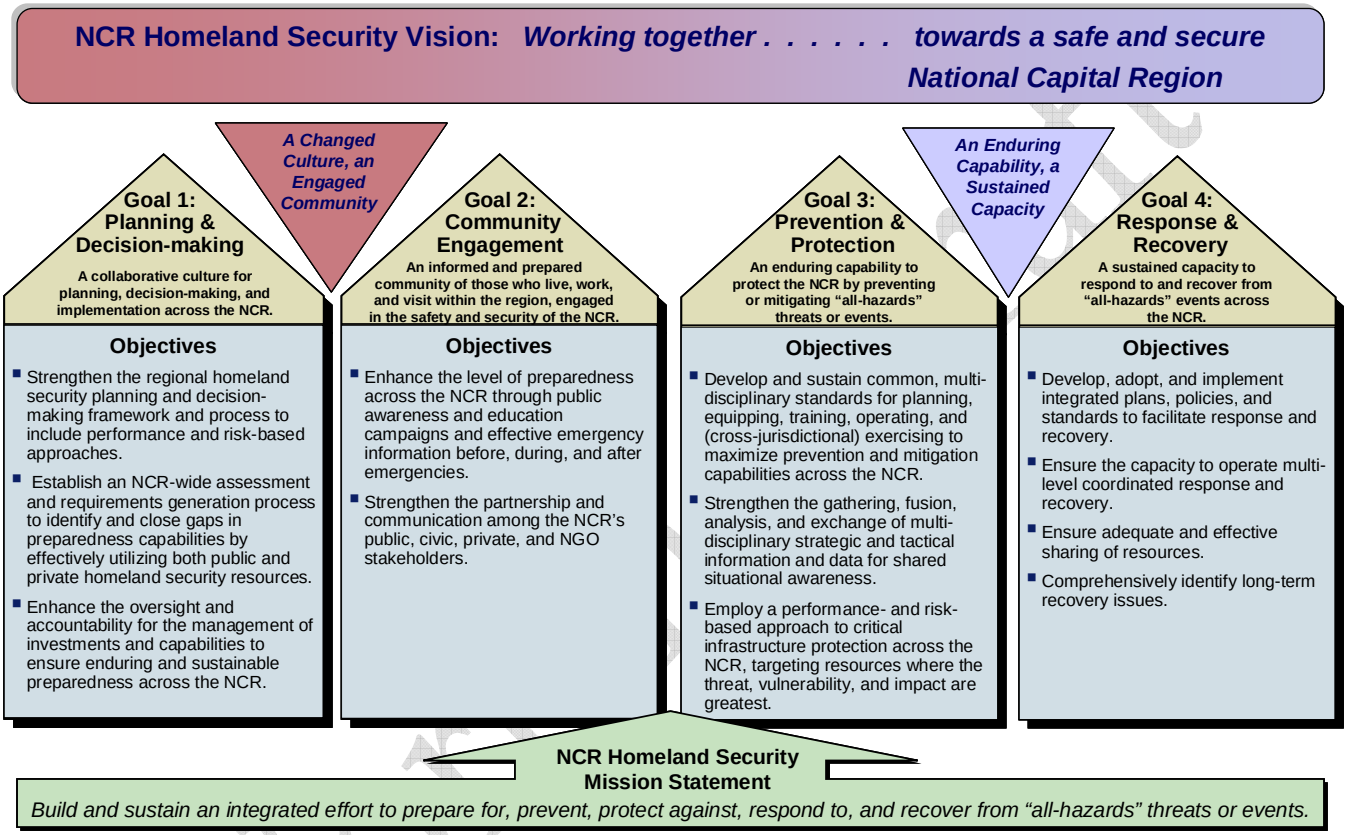
Appendix A: Strategic Goals, Objectives, Initiatives

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

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

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



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

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Table A-1—Goal and Objective Performance Measures

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

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

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

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

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

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

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

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Table A-2—*Strategic Plan* Initiatives

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

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A.2. Initiatives and Corresponding Investment, Resources, and Performance Measures

This section captures the detail and content of the NCR strategic Initiatives. Table A-3 outlines the organization of Initiative content in Section A-2.

Table A-3—Organization of Initiative Content

Preparedness Stage: **Planning & Policy, Community Outreach, Prevention & Protection, Response & Recovery**			
Related Goal Number			
Related Objective Number			
Initiative Number and Content			***PRIORITY*** ***This green box will be present only for those 14 Initiatives designated as priority***
Initiative Description			
Further description and interpretation of the Initiative wording and implications			
Rationale			***Desired Result***
Purpose of the Initiative and strategic preparedness needs met, with specific references to the Target Capabilities List (TCL), Emergency Management Accreditation Program (EMAP), and identified Regional gaps.			*Planned outcome of the Initiative*
Key Tasks and Programs		***Milestones***	
▸ *Important activities and programs related to the success of the Initiative*		*Verifiable accomplishments on the path to Initiative completion and success. Years shown are calendar years.*	
Rough Order of Magnitude (ROM) Estimate of Cost		*Estimate of the scale range of cost to inform the launch of Initiative operational planning*	
ROM Cost Estimate Assumptions			
Assumptions that were used to derive ROM estimates. Assumptions were made based upon the data available to date. It is expected that assumptions will be updated as data and resource information becomes available.			
Types of Resources and Investments			
Data related to resource investment and projects			
Time-frame:	*Strategic planning stage and term*	***Initiative Lead:***	*The Initiative Leads are responsible for the definition, development, and enhancement of the Initiatives. Leads will provide oversight for the performance of the Initiative against Goals and Objectives. The team will be accountable to the NCR leadership for the successful and timely accomplishment of their Initiative. Project management support will be provided for UASI grant projects through the NCR Homeland Security Grants and Program Management Office. Lead support groups will also be identified to provide subject matter expertise and coordination with their functional area as required.*
Performance Assessment			
Measure		***Baseline***	***Target***
Initiative performance indicators		*Current performance (or estimate of when data will be available)*	*Performance targets (or estimate of when target will be set)*

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Note on *Strategic Plan* Funding

Funding source identification, investment justification, and allocation decisions will be made as a part of the implementation planning process. Funding source analysis and allocation is not part of the NCR strategic planning effort and not included in the *Strategic Plan*.

All 2006 DHS UASI grant projects and proposals are supportive of the Initiatives as detailed in the tables below. Current funding for the UASI proposed projects has been reviewed and funding allocations and investments made based upon Regional and state appropriations.

Foreword on ROM Cost Estimates provided in the Initiative Appendix

We derived the cost estimates in the *Strategic Plan* from review and analysis of *available* cost and resource samples, prior capability estimates, and historical budget data. Each Initiative ROM cost range is dependent upon the level and detail of source data provided. In most cases, non-priority Initiatives have not matured sufficiently to fully detail resource and investment requirements.

Accordingly, the focus of cost estimation has been on the critical, near-, and middle-term Initiatives. The objective of the cost estimates was to set a range against required resources and investment types.

In general, estimation of priority Initiative ROM cost came from a process of roughly linking UASI capability development budget estimates with related priority Initiatives and projecting maintenance and implementation requirements across the three-year period of performance (FY2007 to FY2009). The effort was closely associated with the creation of a draft Initiative sequence and timeline for execution (see Section 4.2 and Appendix C) that proposes a logical order, start, end, and duration of strategic activities across the period of performance. If an Initiative lacked sufficient information for a detailed ROM cost estimate, available detail related to resourcing, task estimation, and assumptions has been included in Tables A-4 through A-7 for reference.

Estimates included in the *Strategic Plan* are intended to give a sense of scale and level of effort required to implement the *Strategic Plan* only. Detailed mapping and alignment of target capabilities against Initiative activities and investments will be required for more definitive program and project planning estimates. Costs will be refined as the Initiative matures and the Initiative Leads develop operational, program, and project plans. Detail around requirements for resources, equipment, and investments will add vital context to cost estimates that will in turn address some of the assumptions we made in Appendix A. As Initiative planning progresses, requirements development will aid in the understanding of cost factors that influence NCR capability development and identify opportunities for cost avoidance and savings to the preparedness capability enhancement effort.

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PLANNING & DECISION-MAKING	
Goal 1: A collaborative culture for planning, decision-making, and implementation across the NCR	
Objective 1.1: Strengthen the regional approach to homeland security planning and decision-making	
Initiative 1.1.1: Develop and periodically update the *Strategic Plan* and related processes	**PRIORITY**
Initiative Description	
Document the process, policies, and practices to be followed in producing the Regional strategic plan, with particular focus on the roles played in the planning process by the SPG Committee, CAO Committee, R-ESF Committee Chairs, EPC (including a broad cross section of private and civic sector participants), and the NCRC. Regularly update, based on lessons learned and new information, both the *Strategic Plan* and the development process.	
Rationale	***Desired Result***
Addresses the *TCL* **Planning** capability and EMAP standards related to **Program Administration, Program Evaluation, Laws and Authorities, and Planning**. Addresses Regional gaps regarding **Inclusion of the Private Sector in Regional Planning**.	Timely adoption of strategic plans well-accepted by participants
Key Tasks and Programs	***Milestones***
▸Draft strategic plan development process ▸Obtain process acceptance from NCR participants ▸Complete first strategic plan ▸Document lessons from previous cycle ▸Interview stakeholders for requirements from new stakeholders ▸Draft proposed process changes ▸Validate changes ▸Adopt new process	(1) Initial draft of proposed strategic planning process (October 2005); (2) NCR participants approve process (December 2005); (3) First strategic plan complete (August 2006); (4) Lessons learned from previous cycle captured (October 2006); (5) New cycle requirements drafted (February 2007); (6) Revised process adopted by NCR participants (March 2007)
Rough Order of Magnitude (ROM) Estimate of Cost	$800K to $1.5M
ROM Cost Estimate Assumptions	
Cost will be incurred over 18-month period, FY06. Cost estimates only include the development of the *Strategic Plan* and framework for the August 1 final document and 8 months for *Strategic Plan* enhancements as operational plans are developed in the NCR. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. Program plans may require an increased level of resourcing. Cost savings will be realized as programs mature and best practices are incorporated into program operations. Costs for sustainment of current infrastructure are not included. Costs for integration of regional and local NCR programs are not included in the cost estimates. ROM cost has not been risk adjusted.	
Types of Resources and Investments	
Strategic framework planning: Related project: NCR Strategy Process Development and Support; 8 full-time equivalent (FTE) contractors, overhead; 4 FTE government team, time, and materials. Development of strategic planning process and decision-making support framework. Implementation of framework: 9 contractors, overhead; Government team: time and materials. Firm Fixed Price Contract.	
Time-frame: Early stages (FY 06, 07)	***Initiative Lead:*** EPC
Performance Assessment	
Measure	***Baseline*** / ***Target***
Time to develop and adopt *Strategic Plan*	2 years / Target to be adopted by September 2006

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PLANNING & DECISION-MAKING

Goal 1: A collaborative culture for planning, decision-making, and implementation across the NCR

Strengthen the regional approach to homeland security planning and decision-making

Initiative 1.1.2: Document and implement the components and sequence of the NCR homeland security regional planning process, incorporating results of lessons learned

Initiative Description

Document how implementation plans for specific Initiatives and action items are developed, based on the *Strategic Plan.* Include steps to incorporate the results of performance and risk-based assessments such as EMAP and the *Nationwide Plan Review.* Specify roles for all of the NCR Partners.

Rationale	*Desired Result*
Addresses the EMAP standard related to **Program Coordination**. Addresses Regional gaps regarding **Resource Management and Prioritization**.	Timely adoption of implementation plans with strong across-the-board support, leading to improved performance and risk reduction

Key Tasks and Programs	*Milestones*
▸Conduct assessment of 14 key NCR capabilities ▸Develop Concept Papers for candidate UASI projects ▸Identify and prioritize projects against capabilities ▸Complete and submit UASI grant application ▸Receive and allocate UASI award ▸Develop project plans and program management plan ▸Document current project execution planning process, relevant assessments, and desired planning participants ▸Interview stakeholders for improved planning requirements and NCR Partner roles ▸Draft proposed revised process including participation roles ▸Validate draft with stakeholders ▸Obtain approval of new process	(1) Capability assessment complete (January 2006); (2) Concept Papers submitted (January 2006); (3) Projects prioritized (February 2006); (4) UASI application submitted; (5) UASI grant awarded (May 2006); (6) Project plans developed (June 2006); (7) UASI funds allocated (July 2006); (8) Program management plan developed (August 2006); (9) Current project execution planning process documented (November 2006); (10) Stakeholder interviews complete (January 2007); (11) New process drafted (March 2007); (12) New process validated with stakeholders (May 2007); (13) Process ratified (June 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	$500,000 - $1M

ROM Cost Estimate Assumptions

Cost will be incurred over 21-month period, FY06 through FY07. The Initiative will occur early in the program and overlap with 1.1.1. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Number and cost of FTEs required not defined. Scenario-based Threat Analysis and Assessment project. Contractor service contract to compile risk and threat assessment and analysis from programs across DC, MD, and VA that include capability and task planning for securing the NCR.

Time-frame:	Early stage (FY 06 to 07)	*Initiative Lead:*	NCR Homeland Security Grants and Program Management Office

Performance Assessment

Measure	*Baseline*	*Target*
Percent of required implementation plans completed within 9 months of *Strategic Plan* release	Data to be available by June 2007	
Improvement in performance- and risk-based assessment results	Data to be available by March 2007	

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PLANNING & DECISION-MAKING

Goal 1: A collaborative culture for planning, decision-making and implementation across the NCR

Objective 1.2: Establish an NCR-wide process to identify and close gaps using public and private resources

Initiative 1.2.1: Design and conduct a risk-based threat analysis to identify and address gaps in regional preparedness

PRIORITY

Initiative Description

Develop a methodology for identifying and assessing security risks in the NCR, using a scenario-based risk and threat assessment consistent with HSPDs 7 and 8. Conduct the analysis using the methodology to identify risks due to gaps in preparedness. Develop, prioritize, and select the appropriate risk countermeasures to remedy identified gaps.

Rationale	*Desired Result*
Addresses the *TCL* **Risk Management** capability and EMAP standard related to **Hazard Identification and Risk Assessment**. Addresses Regional gaps regarding **Public-Private Coordination** and **Resource Management and Prioritization**.	Clear and accurate risk identification and mitigation ranking; maximum risk reduction for available resources
Key Tasks and Programs	***Milestones***
▸Develop description of assessment need ▸Document potential methodologies ▸Evaluate methodologies ▸Select approach and adapt as necessary ▸Identify scenarios ▸Assess level of risk ▸Develop risk mitigations ▸Refine and validate countermeasures ▸Cost countermeasures ▸Rank mitigations by cost-effectiveness ▸Select countermeasures for action	(1) Risk analysis requirements defined (September 2006); (2) Potential methodologies documented and evaluated (September 2006); (4) Approach selected and adapted (October 2006); (5) Risk analysis design approved (October 2006); (6) Scenarios developed (November 2006); (7) Threat, vulnerability and impact quantified (December 2006); (8) Potential countermeasures identified (January 2007); (9) Validated countermeasures completed and costed (February 2007); (10) Countermeasures ranked and selected for action (March 2007)
Rough Order of Magnitude (ROM) Estimate of Cost	$2M to $4M

ROM Cost Estimate Assumptions

Cost will be incurred over a 7-month effort, FY06 to FY07. Estimated costs relate to design and development of risk and gap analysis process only. ROM cost has not been risk adjusted. Risk assessment is a non-recurring cost impacting the FY06 budget only. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. Gap analysis will be a non-recurring cost impacting the FY07 budget only, duration 3 months. ROM cost has not been risk adjusted.

Types of Resources and Investments

Number and cost of FTEs required not defined. Scenario-based Threat Analysis and Assessment project. Contractor service contract to compile risk and threat assessment and analysis from programs across DC, MD, and VA that include capability and task planning for securing the NCR. Related projects and programs: Emergency Management Accreditation Program (EMAP, 04.1.12.b, also listed in 1.2.2), NCR Mass Casualty and Surge Development Initiative-Phase 1 (04.1.2.PL), Mass Casualty and Surge Capacity Development Initiative (8BUAS5), Securing Freight Rail Transportation (1BUAS5), Main Exercise and Training Operations Panel (ETOP) RPWG completed analysis in 2005. Gap Analysis for Patient Tracking 2006, Interoperable Communications gap analysis scheduled for 2006.

Time-frame:	Early (FY 06, 07)	*Initiative Lead:*	NCR Homeland Security Grants and Program Management Office

Performance Assessment

Measure	*Baseline*	*Target*
CAO rating of usefulness of threat analysis in decision-making	Data to be available by December 2006	

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PLANNING & DECISION-MAKING

Goal 1: A collaborative culture for planning, decision-making, and implementation across the NCR

Objective 1.2: Establish an NCR-wide process to identify and close gaps using public and private resources

Initiative 1.2.2: Establish a requirements generation and prioritization process that addresses needs of all practitioners

PRIORITY

Initiative Description

Translate the selected countermeasures from the risk assessment into requirements at the Regional, jurisdictional, and State levels. Involve the R-ESFs in this process to emphasize understanding the vantage point of the end-user and to minimize the use of acronyms, code, and jargon.

Rationale	*Desired Result*
Addresses the EMAP standard related to **Hazard Mitigation**. Addresses Regional gaps regarding **Resource Management and Prioritization** and **Regional Analysis of Threats**.	Requirements accurately identified to enable countermeasure execution
Key Tasks and Programs	***Milestones***
▸Define ESF roles and responsibilities ▸Appoint ESF membership ▸Identify all requirements implied by selected countermeasures ▸Align requirements to entities and correct for requirements already satisfied ▸Prioritize remainder according to countermeasure ranking	(1) Revised ESF roles, responsibilities, and membership documented (March 2007); (2) All requirements implied by selected countermeasures identified (April 2007); (3) Net requirements aligned to entities (May 2007); (4) Requirements prioritized (June 2007)
Rough Order of Magnitude (ROM) Estimate of Cost	$300K to $500K

ROM Cost Estimate Assumptions

Costs will be incurred over 4 months, FY07. Cost estimate only includes cost of services for the development of prioritization process. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Identify Needs. Related Projects: EMAP Project (04.1.12.b, X2UAS5, also listed under 1.2.1); number of FTEs required not defined. Enhance the role of ESF Committees. Initiative limited to defining R-ESF role, significant ESF interaction will be required. Contractor-provided facilitation and alignment contract for the improvement of the program development process.

Time-frame:	Middle stage (FY 07)	*Initiative Lead:*	NCR Homeland Security Grants and Program Management Office

Performance Assessment

Measure	*Baseline*	*Target*
R-ESF members' knowledge and support of Regional requirements for their function, as determined by survey	Data to be available by May 2007	Data to be available by May 2007

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PLANNING & DECISION-MAKING

Goal 1: A collaborative culture for planning, decision-making, and implementation across the NCR

Objective 1.3: Enhance oversight of and accountability for the management of investments and capabilities

Initiative 1.3.1: Establish regional oversight and accountability function with appropriate tools and resources for performance transparency

PRIORITY

Initiative Description

Establish a specific oversight and accountability role for the EPC, SPG, and CAOs to ensure that performance targets are being met and programs are being implemented efficiently. Foster increased transparency, openness, and coordination by setting up technology tools and other resources allowing all Regional stakeholders to be aware of activities and Initiatives occurring throughout the NCR. The Initiative intent is to ensure that project management, system performance, and bottom line public service objectives are being met.

Rationale	*Desired Result*
Addresses the EMAP standard related to **Advisory Committee**.	NCR Partners are accountable for commitments and aware of status of NCR activities

Key Tasks and Programs	*Milestones*
▸Fully staff NCR SAA ▸Develop MWCOG Homeland Security website ▸Provide project management training to NCR personnel ▸Develop program management plan ▸Establish performance audit capacity ▸Establish accountability feedback mechanism ▸Establish QA/QC function ▸Implement measures of effectiveness (MOE) ▸Include MOE results in Annual Report to Congress ▸Conduct exercises and events with after action reporting ▸Develop web-based information-sharing portal ▸Establish standards and requirements for electronic information-sharing ▸Make existing materials electronically accessible	(1) MWCOG website developed (October 2005); (2) Project management training provided (December 2005); (3) Program management plan developed (August 2006); (4) Performance definitions and measures established (October 2006); (5) NCR entities report regularly against measures (January 2007); (6) NCR collects performance data from exercises, training, and other events (February 2007); (7) NCR conducts Region-wide performance reviews (March 2007); (8) Entities provide plans for addressing performance gaps (June 2007); (9) Types of information-sharing support needs identified (April 2007); (10) Functional specification for new information-sharing capabilities established (May 2007); (11) NCR performance data is made publicly available (September 2007); (12) Information-sharing system use and security policies and standards developed (July 2007); (13) Information-sharing capabilities designed (September 2007); (14) Capabilities implemented (January 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	$6M to $7M

ROM Cost Estimate Assumptions

Cost will be incurred over 26 months, FY06 through the beginning of FY08. Cost estimates are related to staffing oversight and accountability functions for SPG and CAO only. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

CAO, SPG, and NCR Homeland Security Grants and Program Management Office Oversight Function. Secretarial Support to CAO and EPC (0.3.1.1.PL, 04.1.9.PL, XIUAS5), Planning for Health Committee (03.2.0.COG), COG; 10 NCR Offices (including NCR Homeland Security Grants & Program Management Office), 5 Program Managers: 3 State Program Managers, Office of Deputy Mayor for Public Security and Justice (ODMPSJ), 8 FTEs and administrative costs. Approximately 4.5M per year with additional cost of staff identification and coordination between offices. MWCOG website, application timeline process.

Time-frame:	Early and middle stages (FY 06, 07, 08)	*Initiative Lead:*	NCR Homeland Security Grants and Program Management Office

Performance Assessment

Measure	*Baseline*	*Target*
Utilization rates for collaboration and information-sharing systems	Data to be available by June 2007	
Partners' awareness of NCR activity status (by survey)	Data to be available by April 2007	

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PLANNING & DECISION-MAKING

Goal 1: A collaborative culture for planning, decision-making and implementation across the NCR

Objective 1.3: Enhance oversight of and accountability for the management of investments and capabilities

Initiative 1.3.2: Develop investment lifecycle planning approach to ensure infrastructure and resources are available to support multi-year operational capabilities

Initiative Description

Establish and adopt methodologies for lifecycle cost estimating when making investment decisions, in order to ensure that investments are funded to include full multi-year operational costs. Develop mechanisms to coordinate application of these methodologies across Regional jurisdictions to investments in public and private infrastructure and reserve capability.

Rationale	*Desired Result*
Addresses the EMAP standard related to **Financial and Administration**. Addresses Regional gaps regarding **Resource Management and Prioritization**.	Resources are available to make full use of investments

Key Tasks and Programs	*Milestones*
▸Define investment priorities of the Region and its jurisdictions ▸Integrate with current or proposed spending and/or funding programs ▸Establish lifecycle guidance standards to be applied when reviewing cost estimates for investment decisions ▸Establish processes for availability/integration of lifecycle information in Regional and jurisdictional decision-making processes ▸ Use Capital Planning and Investment Controls (CPIC) to ensure cost management	(1) Long-term risk mitigation investment policy objectives established (October 2007); (2) Strategic planning guidance developed based on these objectives for Regional public- and private-sector entities (November 2007); (3) Objectives reflected in grant applications (December 2007); (4) Life-cycle investment planning guidance standards established (January 2007); (5) Life-cycle guidance applied to grants process (March 2007); (6) Investment policy objectives reflected in various Regional and jurisdictional plans (March 2007); (7) Life-cycle guidance applied to internal decision-making processes within NCR (October 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	$1M to $3M

ROM Cost Estimate Assumptions

Cost will be incurred over 19-month duration, FY06. 6 FTEs, cost for approach development only, including incorporation of other lifecycle related plans (existing planning documents). *Strategic Plan* development activities are estimated as a contract. Cost will be incurred over 19-month period during FY07. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource multi-year capabilities and toolsets. Related programs and projects: Text Alert Maintenance Contract (04.1.14), Partial Funding for Roam Secure Maintenance Contract (04.1.18), Operational Cost Reimbursements (04.1.19, Set aside OCRUAS5), NCR Radio Cache Logistics (4C1UAS5), NoVA Emergency Management Messaging Network (Emnet, VA1UAS5), Maintenance Contract for Text Alert System (Roam Secure, RQ222987). Personnel: Operational Systems SME, Program Managers. Detailed Resource information not yet available. Long term investment in infrastructure. Related projects: Standardized CIP Assessment Tools (03.1.4.PL), Regional Water Supply emergency Operational Plans and Best Management Practices Guide for Water Security (3DUAS5).

Time-frame:	Early and Middle stage (FY 06, 07, 08)	*Initiative Lead:*	NCR Homeland Security Grants & Program Management Office

Performance Assessment

Measure	*Baseline*	*Target*
Funding shortfalls for investment-related operational resource	Data to be available by January 2007	
Percent of investments incorporating coordinated homeland security and other objectives	0	Data to be available by January 2007

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Table A-5—Goal 2 (Community Engagement)

COMMUNITY ENGAGEMENT	
Goal 2: An informed and prepared community of those who live, work, and visit within the region, engaged in the safety and security of the NCR	
Objective 2.1: Increase public preparedness through education campaigns and emergency messaging before, during, and after emergencies	
Initiative 2.1.1: Establish regional protocols and systems for developing and distributing emergency information to all NCR populations	**PRIORITY**
Initiative Description	
Develop and approve message templates consistent with the 15 DHS scenarios and the NCR's target and special needs populations (including visitors, people with disabilities, and non-English speakers). Establish and conduct training and exercises on processes and protocols for dissemination of information. Implement a "system of systems" to provide warning, alert and notification, and continuing information to the population before, during, and after an emergency.	
Rationale	***Desired Result***
Addresses the TCL **Emergency Public Information and Warning** capability and EMAP standards related to **Communications and Warning** and **Crisis Communications**, **Public Education and Information**. Addresses Regional gaps regarding **Standardized Alert Notification Procedures**, **Region-Wide Strategic Communications**, **Public Information Dissemination**, and **Special needs considerations for response and recovery**.	Timely, accurate, specific, coordinated, and consistent messages delivered to all populations across the Region
Key Tasks and Programs	***Milestones***
▸Develop a First Hour Checklist ▸Conduct Outdoor Warning System Pilot ▸Implement mass notification system (Reverse 911) ▸Develop fully functional NCR 211 database ▸Install dynamic messaging on evacuation routes ▸Deploy RSAN alert network ▸Define additional system requirements ▸Evaluate potential system solutions ▸Develop message templates ▸Identify target and special needs populations and communications channels ▸Establish message development and dissemination guidelines ▸Conduct messaging training, exercises and assessments ▸Acquire and integrate system solutions ▸Train system users ▸Test systems ▸Assess performance ▸Multi-lingual messaging; Specific communications media; 508 compliance, Braille in printed materials, sign language in video; Specific requirements for special needs (e.g. assistance in elevators)	(1) First Hour Checklist completed (June 2006); (2) Outdoor Warning pilot complete (September 2006); (3) Reverse 911 fully operational (January 2007); (4) 211 database fully functional (February 2007); (5) Additional system needs defined and prioritized (September 2006); (6) Potential means for providing capabilities researched and selected (December 2006); (7) Base messages developed for 15 DHS scenarios (January 2007); (8) Target and special needs populations identified and communication channels selected (February 2007); (9) Targeted message templates developed (March 2007); (10) Message development guidelines approved (April 2007); (11) Contact persons identified for all localities (May 2007); (12) Message dissemination guidelines approved (May 2007); (13) Training of appropriate staff completed in all localities (September 2007); (14) First round of exercises complete (November 2007); (15) Assessment of exercise results completed and distributed (December 2007) (16) New systems or enhancements in place (December 2007); (17) Training of relevant staff on new systems completed (March 2008); (18) System performance assessment methodology adopted (May 2008); (19) Exercise of notification systems conducted (August 2008); (20) Assessment of exercise results completed and distributed (November 2008)
Rough Order of Magnitude (ROM) Estimate of Cost	$20M to $25M
ROM Cost Estimate Assumptions	
Cost will be incurred over 32 months, FY06 through early FY09. System of systems design and implementation will continue throughout FY06, FY07, FY08, and into FY09. System maintenance will be a fixed cost for the 2.5 year period. No new hardware or software is required for "enhancement." *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM,	

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scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments
Number and cost of FTEs required not defined, except 4 FTEs with target communications background and familiarity with special needs campaigns. Investment in enhanced public safety warning systems and citizen protection. Communications Standard Operating Procedure, Communications Equipment and Infrastructure Assessment and implementation. Related Projects: Sirens Pilot, Roam Secure (RSAM), Reverse 911: Protocols for Mass Notification, JIC, Answers 2-1-1, TOPOFF 4, First Hour Checklist, Communications Plan (protocols, emergency messaging and Messaging Boards (Traffic Signals-Emergency Power Back-up). Testing and integration across DC, MD, and VA.

Time-frame:	Early through late stages (FY 06 - 09)	*Initiative Lead:*	R-ESF #5 Emergency Management

Performance Assessment		
Measure	*Baseline*	*Target*
Regional emergency messaging tests per year	Data to be available by November 2006	
Test message timeliness – time required in exercises to produce and disseminate messages	Data to be available by May 2007	
Test message response – percentage of intended recipients of test messages who respond as directed		

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COMMUNITY ENGAGEMENT

Goal 2: An informed and prepared community of those who live, work, and visit within the region, engaged in the safety and security of the NCR

Objective 2.1: Increase public preparedness through education campaigns and emergency messaging before, during, and after emergencies

Initiative 2.1.2: Develop and sustain multi-year education campaigns to provide all the public (residents, workers, and visitors) with preparedness information

PRIORITY

Initiative Description

Coordinate and align jurisdictional efforts to ensure consistent public preparedness education campaign messages across the NCR. Put in place a Regionally coordinated plan to ensure sufficient funding for multi-year education campaigns. Work with the media to inform the public of recommended preparedness actions.

Rationale	*Desired Result*
Addresses the EMAP standards related to **Crisis Communications, Public Education and Information**. Addresses Regional gaps regarding **Region-Wide Strategic Communications** and **Public Information Dissemination**.	NCR residents are informed and motivated concerning their roles in Regional preparedness. Continuity of funding for ongoing campaigns is assured.

Key Tasks and Programs	*Milestones*
▸Identify communication objectives and target audiences ▸Assess the awareness and attitudes of the target audience(s) ▸Develop the communications plan ▸Identify long-term funding needs ▸Establish long-term funding plan ▸Refine and approve the plan ▸Deliver education campaign ▸Assess effects of campaign	(1) Basic messages identified (March 2006); (2) Delivery strategy developed (audiences and channels) (September 2006); (3) Media engagement strategy adopted (November 2006); (4) Campaign plans finalized, including assessment plans (January 2007); (5) Resources needed identified on a full lifecycle cost basis (February 2007); (6) Long-term funding plan documented (April 2007); (7) Campaigns initial phase completed (January 2008); (8) Campaign assessment results distributed (February 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	$4M to $6M

ROM Cost Estimate Assumptions

Cost will be incurred over 25 months, FY06 through FY08. Cost estimates related to public preparedness communication campaigns. Cost will be incurred January FY06 through January FY08. Overlaps with 2.2.1 and 2.2.3. Current media campaigns are an accurate predictor of future cost. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Number and cost of FTEs required not defined. Related programs and projects: Media in the First Response Symposium (03.1.7.PL), Citizen Education Campaign (03.1.8.PL), Outreach to Private Sector for Citizen Education Campaign Contract (03.1.1.aPL). Be Ready to Make a Plan, Regional Marketing and Alert & Notification- system investment. Approximately $1.7M per year. Citizen Education Campaign (03.1.8.PL), Outreach to Private Sector for Citizen Education Campaign Contract (03.1.1.aPL. Detailed resource information not yet available. Red Cross “Masters of Disaster” K-12 Program, 5D Volunteer Grants Program (Education portion coordination).

Time-frame:	Early and middle stages (FY 06, 07, 08)	*Initiative Lead:*	R-ESF #15 External Affairs

Performance Assessment

Measure	*Baseline*	*Target*
Preparedness understanding–population’s awareness of preparedness actions to take (average score of respondents on preparedness quiz)	50%	65%
Preparedness intentions–population’s intentions to implement recommended preparedness actions (percent of respondents planning to take at least one desired action)	50%	65%
Proportion of population signed up for alert systems	0%	20%
Percent net present value of future campaign costs provisionally matched with sources	Data to be available by April 2007	

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COMMUNITY ENGAGEMENT

Goal 2: An informed and prepared community of those who live, work, and visit within the region, engaged in the safety and security of the NCR

Objective 2.2: Strengthen the partnerships and communications among the NCR's public, civic, private, and NGO stakeholders

Initiative 2.2.1: Identify and develop opportunities and resources for stakeholder partnerships to broaden participation in public disaster preparedness

Initiative Description

Provide opportunities for individuals, community groups, members of the private sector, and non-governmental organizations to become involved in disaster preparedness (including planning, training and exercises, and message dissemination). Create channels for sharing information with this broad base of participants. Arrange mechanisms (such as mutual aid agreements) to increase resource sharing, where appropriate, between government agencies and the Region's civic, private, and NGO stakeholders.

Rationale	*Desired Result*
Addresses the TCL **Community Preparedness and Participation** capability. Addresses Regional gaps regarding **Inclusion of the Private Sector in Regional Planning, Public-Private Coordination, and Public Information Dissemination**.	Greater involvement of civic, private, and NGO members in Regional preparedness activities

Key Tasks and Programs	*Milestones*
▸Restructure R-ESF processes to include private sector and NGO coordination ▸Design civic, private, and NGO roles into training and exercises ▸Recruit participation ▸Design information-sharing needs ▸Identify desired contact points for information flow ▸Formalize civic, private, and NGO preparedness roles in NCR governance and operations ▸Establish communication channels ▸Maintain the channels ▸Conceptually identify shareable resources ▸Identify and contact potential civic, private, and NGO resource-exchange partners ▸Specify proposed resource-sharing matrix (resources, owners, borrowers) ▸Formalize sharing arrangements	(1) Plan for broadened participation adopted (November 2006); (2) Preparedness activities redefined to allow for additional participation roles (February 2007); (3) Desired information flows documented (March 2007); (4) Tentative resource-sharing objectives documented (March 2007); (5) Participation of desired entities solicited (April 2007); (6) Potential resource-sharing partners briefed and interviewed (June 2007); (7) Information channels established (March 2008); (8) Ratify new governance and operational documentation formalizing civic, private and NGO roles in the NCR. (9) Resource-sharing matrix complete (May 2008); (10) Recruitment for expanded civic, private and NGO participation complete (April 2008); (11) Formal sharing arrangements in place (June 2008); (12) Review and incorporate strategic best practices (November 2009); (13) Revise strategic planning for Initiative implementation and prioritization of ongoing efforts (December 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Plan development: $500K to $1.5M.

ROM Cost Estimate Assumptions

Cost will be incurred over 27-month period, FY07 through FY09. Labor intensive effort. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Stakeholder identification by R-ESFs. Resource information not yet available.

Time-frame:	Early to late stages (FY 07, 08, 09)	*Initiative Lead:*	R-ESF #15 External Affairs

Performance Assessment

Measure	*Baseline*	*Target*
Number of stakeholder participation opportunities made available (by jurisdiction, activity, and type of entity)	Data to be available by November 2006	
Proportion of desired information exchanges occurring (as defined in Milestone 3)	Data to be available by March 2007	
Value of resources that are the subject of formal sharing arrangements		

COMMUNITY ENGAGEMENT

Goal 2: An informed and prepared community of those who live, work, and visit within the region, engaged in the safety and security of the NCR

Objective 2.2: Strengthen the partnerships and communications among the NCR's public, civic, private, and NGO stakeholders

Initiative 2.2.2: Increase civic involvement and volunteerism in all phases of disaster preparedness

PRIORITY

Initiative Description

Engage all NCR residents and visitors – including children and those with special needs – in NCR preparedness activities, including personal and family preparedness, volunteering, and local- and Regional-level activities. This includes operationalizing volunteer roles, specifying plans for this process, protocols, and procedures.

Rationale	*Desired Result*
Addresses the *TCL* **Community Preparedness and Participation** and **Volunteer Management and Donations** capabilities and EMAP standards related to **Resource Management**. Addresses Regional gaps regarding **Inclusion of Private Sector in Regional Planning** and **Special Needs Consideration for Response and Recovery**.	The public is actively involved in preparedness activities, through private preparation and volunteer roles.

Key Tasks and Programs	*Milestones*
▸Segment the population in terms of participation ▸Identify involvement roles by segmentation ▸Recruit involvement with targeted outreach ▸Plan for management of spontaneous volunteers during emergency ▸Recruit volunteers ▸Provide training for volunteers through Citizen Corps, Red Cross, etc. ▸Develop system for managing volunteers	(1) Volunteer emergency roles across the Region profiled and catalogued (September 2006); (2) Emergency volunteer management plan adopted (February 2007); (3) Public engagement plan complete (April 2007); (4) Volunteer management system requirements specified (June 2007); (5) Volunteer training material and delivery developed (August 2007); (6) Targeted recruitment underway (August 2007); (7) Initial recruitment campaign complete (August 2008); (8) Volunteer management system deployed to localities, Citizen Corps, Red Cross, etc. (September 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	$3M to $6M

ROM Cost Estimate Assumptions

Costs will be incurred over 14 months in FY07. Cost estimates related to civic involvement participation projects only. No recurring charges. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Number and cost of FTEs required not defined, except for 10 FTEs with background in civic involvement campaigns. Volunteer Management Across the NCR, Related programs and projects: Citizen Corp Council and 5D Volunteer Grants Program.

Time-frame:	Early stage FY07	*Initiative Lead:*	R-ESF #16 Donations and Volunteer Management

Performance Assessment

Measure	*Baseline*	*Target*
Percent of population that has taken steps to develop personal preparedness plan (by survey)	[Value from Campaign Survey]	Data to be available by April 2007
Percent of population familiar with their workplace, school, and community emergency plans (by survey)	Data to be available by April 2007	95% by 2010
Number of registered volunteers in specific organizations in the NCR	Data to be available by September 2006	
Average hours of training per volunteer	Data to be available by April 2007	

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Table A-6—Goal 3 (Prevention & Protection)

PREVENTION & PROTECTION	
Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events	
Objective 3.1: Develop and maintain common regional standards for planning, equipping, training, operating, and exercising	
Initiative 3.1.1: Develop a prevention and mitigation framework for the region	**PRIORITY**
Initiative Description	
Develop a document that explains the NCR's approach to prevention and mitigation of all-hazards events, which is closely linked to existing national preparedness frameworks and can be used for determining funding priorities within jurisdictions.	
Rationale	***Desired Result***
Addresses the *TCL* **Planning** capability and EMAP standards related to **Planning**. Addresses Regional gaps regarding **Regional Mitigation Plan** and **Resource Management and Prioritization**.	Consistency and comprehensiveness in prevention and mitigation planning across the Region
Key Tasks and Programs	***Milestones***
▸Identify prevention and mitigation roles and responsibilities among the NCR Partners ▸Identify communication channels among the NCR Partners ▸Inventory existing prevention and mitigation plans ▸Develop communications and planning structures ▸Develop a resourcing strategy ▸Produce framework document	(1) Existing communication channels documented (November 2006); (2) NCR jurisdictions buy in to Regional prevention/mitigation framework (January 2007); (3) List of NCR Partners with a role in prevention/mitigation completed (March 2007); (4) List of existing prevention/mitigation plans completed (April 2007); (5) Prevention/mitigation planning document published (June 2007); (6) Prevention and mitigation plan successfully implemented in exercises and real world incidents (August 2007); (7) Prevention and mitigation plan actually used to determine funding priorities (September 2007)
Rough Order of Magnitude (ROM) Estimate of Cost	$380K to $420K
ROM Cost Estimate Assumptions	
Cost will occur over 12-month period, FY07. ROM cost has not been risk adjusted. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.	
Types of Resources and Investments	
Number and cost of FTEs required not defined. R-ESF #14: long-term community recovery and mitigation added to all NCR Emergency Operations and coordination plans.	
Timeframe: Middle stage (FY 07)	***Initiative Lead:*** R-ESF #5 Emergency Management

Performance Assessment		
Measure	***Baseline***	***Target***
Average relevance rating of prevention and mitigation framework (as assessed by jurisdictional POCs and NCR prevention/mitigation partners)	0	Data to be available by Spring 2006
Percent of prevention and mitigation funds requested arising from prevention and mitigation plan	0	Data to be available by Fall 2006
Prevention and mitigation scores in exercises (and real events)	Data to be available by December 2006	

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PREVENTION & PROTECTION			
Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events			
Objective 3.1: Develop and maintain common regional standards for planning, equipping, training, operating, and exercising			
Initiative 3.1.2: Develop a synchronized and integrated training and exercise framework, with appropriate common standards			
Initiative Description			
Develop a framework for Regional training and exercises that ensures that: (1) exercises are coordinated and de-conflicted across the Region; and (2) responders are training to common, Region-wide standards.			
Rationale		***Desired Result***	
Addresses the EMAP standards related to **Training**.		Responders from different jurisdictions respond to events in a smoothly synchronized and coordinated fashion	
Key Tasks and Programs		***Milestones***	
▸Expand use of the Regional exercises calendar ▸Implement guidance for determining when exercises should be cross-jurisdictional ▸Develop a repository for training and exercise iterative learning and improvements ▸Establish a Regional training and exercises coordination group ▸Produce common functional standards ▸Market coordination mechanisms and standards to Regional players ▸Identify Regional stakeholders for NIMS, HSEEP, etc.		(1) Complete cross-jurisdictional exercise guidance (June 2007); (2) Establish coordination group (July 2007); (3) Produce common standards for each emergency function (September 2007); (4) Release training and exercise lessons learned repository (November 2007)	
Rough Order of Magnitude (ROM) Estimate of Cost		$1.5M to $3M	
ROM Cost Estimate Assumptions			
Cost will be incurred over 7-month period, FY07 through FY08. Curriculum and Scheduling only, 12 FTEs. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.			
Types of Resources and Investments			
Resource information not yet available.			
Time-frame:	Early to Middle stage (FY 07, 08)	***Initiative Lead:***	RPWG ETOP
Performance Assessment			
Measure		***Baseline***	***Target***
Number of coordinated cross-jurisdictional exercises		Data to be available by June 2007	
Percent of exercises in Region which are coordinated and cross-jurisdictional			
Training and exercise coordination scores/results			

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PREVENTION & PROTECTION

Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events

Objective 3.1: Develop and maintain common regional standards for planning, equipping, training, operating, and exercising

Initiative 3.1.3: Develop and implement an integrated plan related to health surveillance, detection, and mitigation functions between NCR Partners

PRIORITY

Initiative Description

Develop a comprehensive plan that outlines the role of public health and health care institutions for disease surveillance, detection, and prevention. The plan will outline roles, responsibilities, and policy/law changes, as well as an implementation plan to achieve the Initiative.

Rationale	*Desired Result*
Addresses the *TCL* **Epidemiological Surveillance and Investigation, Isolation and Quarantine, Public Health Laboratory Testing, Medical Surge,** and **Mass Prophylaxis** capabilities. Addresses Regional gaps regarding **Mass Care**.	Health emergencies are prevented or detected early, response is quick and care is provided to all those affected

Key Tasks and Programs	*Milestones*
▸ Enhance mass prophylaxis and treatment capability ▸ Increase surge bed capacity/capability ▸ Ensure appropriate personal protective equipment and inoculations provided for first responders and healthcare providers ▸ Develop a system for patient tracking (including family reunification) ▸ Enhance disease surveillance through Essence 2 and BioShield programs ▸ Identify and address issues surrounding isolation, quarantine for people ▸ Ensure behavioral health surge capacity	(1) Identify the roles of the key NCR Partners (May 2007): (2) Coordinate preparedness funding for public health and health care institutions (June 2007); (3) Integrate public health and health care institutions monitoring and surveillance systems (September 2007); (4) Public health responders and health care institution providers have appropriate personal protective equipment (October 2007); (5) Complete the evaluation of the patient tracking pilot for the NCR (November 2007); (6) Develop a NCR strategic plan for public health and health care institutions (December 2007); (7) Implement the patient tracking system in the NCR (after completion of project and strategic, estimated time of delivery December 2010)

Rough Order of Magnitude (ROM) Estimate of Cost	$3M to $4M

ROM Cost Estimate Assumptions

Cost will be incurred over 8 months in FY07 and FY08. Maintenance and sustainment costs will occur in FY07 and FY08 for the ESSENCE System and network. CATI: Cost projections dependent on adapting protocols to dissimilar telecommunications networks. Maintenance and sustainment costs will occur in FY07 and FY08 for the ESSENCE System and network. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Investment in (1) State-based network of surveillance sites for health risks and syndrome identification and tracking and (2) Computer Assisted Telephone Interview Capacity (CATI). (3) National Capital Region Syndromic Surveillance Network (existing project) - continue development of stand-alone ESSENCE system across DC, MD, and VA. Maintenance and add system functionality. Collaborating partners: JHU/APL, NCR Health Departments. (4) Regional Implementation of Computer Assisted Telephone Interview Capacity (CATI) across DC, MD, and VA: key personnel: 1 Principal, 366 hours @$125/hr., 1 Senior Editor, 1,090 hours @$55/hr., SMEs, 190 hours @ $75/hr.

Timeframe:	Early to Middle stage (FY 07, 08)	*Initiative Lead:*	RPWG Health

Performance Assessment

Measure	*Baseline*	*Target*
Prevention–Prophylaxis capacity: combination of percent of specified desired levels such as available; doses, vulnerable population inoculated, etc.	Data to be available by December 2007	
Early detection–Monitoring and surveillance test results		
Response time–health emergency exercise response timeliness scores		
Response/care adequacy–Mass care capacity: combination of percent of specified desired levels such as number of beds, available doses, etc.		
Patient tracking accuracy scores (by periodic audit)		

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PREVENTION & PROTECTION

Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events

Objective 3.1: Develop and maintain common regional standards for planning, equipping, training, operating, and exercising

Initiative 3.1.4: Develop a community-wide campaign, focused primarily on prevention and deterrence

Initiative Description

Create a two-pronged Regional program, building upon existing activities, that: (1) prepares the business/industry community to recognize and report suspicious activity that may be related to terrorism; and (2) educates citizens and deters potential attacks through an information campaign.

Rationale	*Desired Result*
Addresses the *TCL* **Law Enforcement Investigation and Operations** capability. Addresses Regional gaps regarding **Regional Mitigation Plan** and **Public-Private Coordination**.	Public understands what constitutes suspicious behavior, knows how to report it, and is motivated to do so; Region is organized to capitalize on information so provided

Key Tasks and Programs	*Milestones*
▸ Explore the expansion of Operation TIPP (a Regional hotline number for business to report suspicious activity) ▸ Develop a database to track reports received through Operation TIPP ▸ Conduct a communications campaign to deter potential adversaries from attacking the NCR ▸ Conduct a citizen education campaign concerning identifying suspicious activity and how to report it	(1) "Critical mass" of NCR jurisdictions agree to implement Operation TIPP (June 2007); (2) Database goes live (July 2007); (3) Business community is informed of Operation TIPP (September 2007); (4) Communications and education campaign plans complete (October 2007); (5) Communications and education campaigns launch (November 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	Minimum $5M

ROM Cost Estimate Assumptions

Cost will be incurred over 7-month period, FY07 through FY08. Multi channel, targeted campaign, 24 FTEs, media, print, broadcast, radio, internet, website, multiple contracts. Collaborative information-sharing networks will discover cost savings as integrated systems are used. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Number and cost of FTEs required not defined. 4 Projects: 24 Hour staffing of HS Operations center (3rd shift), Water Utility Response Networks, Medical Service Packet Traveling System and Intelligence Analysis II.

Timeframe:	Early to Middle stage (FY 07, 08)	*Initiative Lead:*	R-ESF #13 Public Safety and Security

Performance Assessment

Measure	*Baseline*	*Target*
Number of local businesses participating in Operation TIPP	Data to be available by September 2007	
Number of reports received through Operation TIPP	Data to be available by June 2007	
Percent of test reports to Operation TIPP available in database	Data to be available by July 2007	
Percent of local population that understands suspicious activity reporting procedures (via survey)	Data to be available by October 2007	
Percent of businesses and citizens reporting suspicious activity in surreptitious tests		

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PREVENTION & PROTECTION

Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events

Objective 3.2: Strengthen the exchange and analysis of information across disciplines for improved situational awareness

Initiative 3.2.1: Develop common regional information-sharing and collaboration frameworks, to include determining roles, responsibilities and protocols

PRIORITY

Initiative Description

Develop a system that allows for two-way communication flow between local, State, Regional, and Federal operations centers in the NCR, to ensure that useful information is passed to the appropriate people in a timely fashion.

Rationale	*Desired Result*
Addresses the *TCL* **Information Gathering and Recognition of Indicators and Warning** capability. Addresses Regional gaps regarding **Regional Analysis of Threats**.	Effective timely flow of information between the various emergency centers; increased sharing of actionable intelligence

Key Tasks and Programs	*Milestones*
▸ Identify the ops centers to be linked ▸ Define requirements and link collaboration systems ▸ Ensure contact information for each op center is accurate and consistently updated ▸ Develop and implement NCR notification protocols between all operation centers ▸ Establish formal information-sharing protocols ▸ Refine the intelligence dissemination process ▸ Develop standards, core competencies and certifications for watch/operations center personnel, and integrate into existing training	(1) 40% of key operations center personnel trained to a common standard (September 2006); (2) List of ops centers updated (November 2006); (3) Requirements for interoperable communications systems defined (December 2006); (4) 90% of key operations center personnel trained to a common standard (April 2007); (5) All identified ops centers have updated contact information included in a "pushed" web based system (August 2007); (6) All jurisdictions have roles, responsibilities, and updated contact information included in regional flow chart / working document (September 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	$11M to $15M

ROM Cost Estimate Assumptions

Cost will be incurred over a 14-month period, FY06, FY07, and FY08. Collaborative information-sharing networks will discover cost savings as integrated systems are used. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Number and cost of FTEs required not defined. 4 Projects: 24-Hour staffing of HS Operations center (3rd shift), Water Utility Response Networks, Medical Service Packet Traveling System and Intelligence Analysis II.

Timeframe:	Early stage (FY 07)	*Initiative Lead:*	R-ESF #13 Public Safety and Security and Fusion Center

Performance Assessment

Measure	*Baseline*	*Target*
Results of tests and exercises designed to determine staff ability to accurately and timely deliver and obtain necessary information in pre-determined scenarios	Data to be available by September 2007	
Utilization/traffic rates for collaboration and information-sharing systems	0	Data to be available by September 2007

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PREVENTION & PROTECTION

Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events

Objective 3.2: Strengthen the exchange and analysis of information across disciplines for improved situational awareness

Initiative 3.2.2: Ensure that each jurisdiction has appropriate people cleared to receive, analyze, and act on sensitive and classified information

Initiative Description

Ensure that each local jurisdiction has staff appropriately cleared to access classified data in order to eliminate restrictions on receiving necessary information due to lack of security clearances.

Rationale	*Desired Result*
Addresses the *TCL* **Intelligence Analysis and Production** capability. Additionally, this Initiative is vital to achieving the desired results of other information-sharing Initiatives under Objective 3.2. Addresses Regional gaps regarding **Regional Analysis of Threats**.	Effective timely flow of information between the various emergency centers; increased sharing of actionable intelligence

Key Tasks and Programs	*Milestones*
▸ Inventory state and local staff clearances ▸ Increase background check capacity ▸ Arrange to use current employment background checks for clearance authorizations ▸ Coordinate between DHS and DoD to clear blocks of personnel annually ▸ Implement training for personnel on physical, industrial, communications, and information security	(1) Complete inventory of existing clearances (September 2006); (2) Identify overall and remaining need for new clearances (October 2006); (3) Complete application for 50% of new clearances (October 2007); (4) Determine current clearance processing rate (February 2007); (5) Complete application for all remaining new clearances (March 2007); (6) Implement measures to double clearance processing rate (April 2007); (7) 20% of new clearances received (April 2007); (8) 50% of new clearances received (June 2007); (9) 80% of new clearances received (August 2007); (10) All new clearances received (September 2007)
Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG.

ROM Cost Estimate Assumptions

Cost will be incurred over a 15-month period, FY06 and FY07. To receive clearance and maintain/renew/upgrade existing clearances. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only.

Note: Once personnel requiring immediate clearances are identified, DoD clearance costs can be used as a starting point for ROM estimates. Performing a background check for DoD *Secret* level clearance costs approximately $2K to expedite and approximately $2.5K for the background investigation per person ($4.5K to 5K per person for new DoD Secret clearance). DoD Top Secret clearance costs approximately $3.5K for the background investigation, in addition to the cost to expedite per person ($5.5K to $6K for new Top Secret Clearance). The DoD cost example reflects a standard, high-volume clearance process. Maintenance and upgrade of clearances vary by status, type, and level of background check needed to clear personnel to the appropriate level of security classification. The internal cost of clearance will vary by NCR jurisdiction based upon the types and level of federal agency clearance required.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early stage (FY 06, 07)	*Initiative Lead:*	R-ESF #13 Public Safety and Security

Performance Assessment

Measure	*Baseline*	*Target*
Percent of required staff clearances received	Data to be available by October 2006	100% by September 2007
Number of information security issues during tests (information protection violations, problems or delays)	Data to be available by March 2007	Data to be available by March 2007

Draft

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PREVENTION & PROTECTION			
Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events			
Objective 3.3: Employ a performance- and risk-based approach to critical infrastructure protection across the NCR			
Initiative 3.3.1: Conduct a prioritization of recommended high priority CIP protective and resiliency actions based on security assessment findings already completed and shared with the NCR			**PRIORITY**
Initiative Description			
Create a high priority list of recommended critical infrastructure protective actions that will reduce the vulnerability, threat, and impact to key NCR CI sectors based on analysis/assessments already conducted at the Federal, State, Regional, local level, including the private sector.			
Rationale			***Desired Result***
Part of a series of two CI Initiatives (3.3.1 and 3.3.2) that addresses the TCL **Critical Infrastructure Protection** capability. Addresses Regional gaps regarding **Inclusion of Private Sector in Regional Planning** and **Public-Private Coordination**			Reduced risk to critical infrastructure
Key Tasks and Programs		***Milestones***	
▸Establish and broaden CI RPWG to oversee initiative ▸Inventory existing Regional CIP assessments ▸Compile recommended CIP actions		(1) CIP group governance (including structure) approved (May 2006): (2) Inventory of existing CIP assessments completed (January 2007); (3) Initial list compiled for UASI 2006 (next refinement of list will occur for UASI 2007) (February 2007)	
Rough Order of Magnitude (ROM) Estimate of Cost:			$5M to $15M
ROM Cost Estimate Assumptions			
Costs will be incurred over 9-month period, FY06 and FY07. Includes costs for implementing a limited list of high priority protective measures, on yearly basis. Effort will involve time and integration/coordination of efforts for multiple FTEs to research and compile assessment findings. Related projects fulfill other CIP related capability planning activities outside of the catalog of CIP assessments. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.			
Types of Resources and Investments			
Assessment compilation and analysis. Number and cost of FTEs required not defined. Highlights of related Concept Papers and programs developed by NCR RPWGs for FY06 UASI included: NCR Critical Infrastructure Resiliency Program (ROM 20M); MATA Alternate Operations Control Center; Critical Transportation Infrastructure Protection Assessments; Critical Infrastructure Monitoring and Protection; Expansion; Establishment and Operation of the Water Security Monitoring Network in the NCR; PipelineNet Water Distribution System Model Development for Water Utilities in the NCR; Clean, Reliable Back-up Portable Generation for Critical Infrastructures within the NCR; Rapid Response Mobile Transformer; Increasing Emergency Generation Reliability and Capability in the NCR.			
Timeframe:	Early stage (FY 06, 07)	***Initiative Lead:***	RPWG CIP
Performance Assessment			
Measure		***Baseline***	***Target***
Number of catalogued CIP actions taken		0	Data to be available by November 2007
CI risk reduction from actions taken		0	
Number of listed CI assets with additional protection completed		0	

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PREVENTION & PROTECTION

Goal 3: An enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events

Objective 3.3: Employ a performance- and risk-based approach to critical infrastructure protection across the NCR

Initiative 3.3.2: Create an inventory of critical infrastructure (CI/KR) assets, develop a common methodology for assessing CI/KR risk across the NCR, and recommend initial protective and resiliency actions

Initiative Description

Establish measures and actions that will improve the NCR's approach to critical infrastructure protection in a comprehensive and consistent process throughout the Region.

Rationale	*Desired Result*
Part of a series of two Initiatives (3.3.1, 3.3.2) that addresses the TCL **Critical Infrastructure Protection** capability. Addresses Regional gaps regarding **Inclusion of Private Sector in Regional Planning** and **Public-Private Coordination**.	Reduced risk to critical infrastructure

Key Tasks and Programs	*Milestones*
▸Establish and broaden CI RPWG to oversee initiative ▸Inventory of CI assets in the NCR ▸Define scope of task and requirements for common methodology ▸Survey applicable existing approaches ▸Document selected approach ▸Ratify new approach across NCR	(1) CIP group governance (including structure) approved (April 2006); (2) Inventory of CI assets (April 2007); (3) Scope and requirements document completed (April 2007); (4) New approach deliverable complete (January 2008); (5) CIP governance group ratifies new approach (April 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	$1M to $2M

ROM Cost Estimate Assumptions

Costs will be incurred over 24-month period in FY07 and FY08. Initiative is limited to asset list development and integration of risk and performance-based approaches, not implementation. Cost for integration of risk assessment processes will be dependent upon the complexity and automation of the risk process and management toolset. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Number and cost of FTEs required not defined. Resource information not yet available.

Time-frame:	Early and Middle stage (FY 07-08)	*Initiative Lead:*	RPWG CIP

Performance Assessment

Measure	*Baseline*	*Target*
Estimated CI risk reduction from recommended actions	0	Data to be available by July 2007
Number of new CIP actions recommended	0	Data to be available by July 2007
Number of infrastructures protected by recommended actions	0	Data to be available by July 2007

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Table A-7—Goal 4 (Response & Recovery)

RESPONSE & RECOVERY	
Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR	
Objective 4.1: Develop and implement integrated response and recovery plans, policies, and standards	
Initiative 4.1.1: Establish a corrective action program to modify plans by addressing gaps identified in analyses, exercises, and events	**PRIORITY**
Initiative Description	
Modify existing response and recovery plans, or develop new ones where necessary, to address gaps identified during exercises, real-world events, and the gap analysis conducted as part of Goal One.	
Rationale	***Desired Result***
This Initiative follows up on the risk-based threat analysis conducted under Initiative 1.2.1. Addresses the EMAP standards related to **Operations and Procedures** and **Exercises, Evaluations and Corrective Actions**. Addresses Regional gaps regarding **Regional Analysis of Threats** and **Resource Management and Prioritization**.	Broad participation across Region in proposing experience-based modifications to the full scope of Regional plans
Key Tasks and Programs	***Milestones***
▸Define corrective action program ▸Test program via application to EMAP and CPX after action report ▸Identify other existing documentation and experience for application ▸Plan and implement "live pilot" of new program to identified near-term training and exercises ▸Promote utilization of new program throughout the Region	(1) Charter a working group to develop program (January 2007); (2) Corrective action program plan accepted by NCR governance (March 2007); (3) Past experiences for retroactive application of new program identified (March 2007); (4) Plan modifications based on application of new program to identified experiences are proposed for acceptance (April 2007); (5) Plan modifications based on two-month "live pilot" of new program are proposed for acceptance (May 2007)
Rough Order of Magnitude (ROM) Estimate of Cost	$750K to $1M
ROM Cost Estimate Assumptions	
Cost is incurred over a 5-month period, FY07 during the After Action Report (AAR) gap analysis process and development. AAR process accurate indicator of capability gaps. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.	
Types of Resources and Investments	
Number and cost of FTEs required not defined. Corrective Action Program from related training, exercise and incident management feedback. Dependent on AARs.	
Timeframe: Early stage (FY 07)	***Initiative Lead:*** RPWG ETOP

Performance Assessment		
Measure	***Baseline***	***Target***
Number of submitters	Data to be available by March 2007	
Number of jurisdictions submitting		
Number of experiences/events generating proposed modifications		
Number of plans affected by submitted proposed modifications		

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RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.1: Develop and implement integrated response and recovery plans, policies, and standards

Initiative 4.1.2: Align and integrate response plans across jurisdictions (including Federal partners), with emphasis on continuity of government, operations, and evacuation

Initiative Description

Ensure coordination and consistency of response plans among Regional jurisdictions and between the Region and the Federal government. Particular emphasis should fall on alignment of plans for response operations, evacuation, and continuity of government and operations.

Rationale	*Desired Result*
Addresses the *TCL* **Citizen Protection: Evacuation and/or In-place Protection** capability and EMAP standards related to **Planning, Direction Control and Coordination,** and **Operations and Procedures**.	All jurisdictions and NCR Partners have necessary response plans which will facilitate smooth and coordinated response in an emergency

Key Tasks and Programs	*Milestones*
▸ Integrate response plans by R-ESF across jurisdictions (horizontal) ▸ Integrate response plans across R-ESFs within subsidiary and superior jurisdictions (vertical) ▸ Map capabilities against the 15 DHS scenarios. ▸ Persuade the private and non-profit sectors to align with NCR response plans ▸ Develop a directory of people and capabilities (management and responder) ▸ Review and coordinate continuity of operations plans (COOP), continuity of government (COG) plans, and evacuation plans ▸ Develop new plans for the Partners where needed ▸ Ensure sufficient plans are in place for taking care of special needs populations ▸ Ensure sufficient plans are in place to provide for animal protection and care ▸ Ensure appropriate plans are in place for feeding and shelter/housing in response and recovery from disasters	(1) Complete horizontal integration of plans (November 2006); (2) Complete vertical integration of plans (December 2006); (3) Capabilities mapped against the 15 DHS scenarios (December 2006); (4) Private and non-profit sectors incorporated and aligned with NCR plans (January 2007); (5) Resource directory developed (January 2007); (6) All jurisdictions and major agencies have continuity plans (February 2007); (7) All jurisdictions and major agencies complete first test of continuity plans (March 2007); (8) Conduct a Regional continuity exercise with multiple federal agencies (March 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. First 5-6 months sizing study $1.5M to $2M.

ROM Cost Estimate Assumptions

Cost will be incurred over a 6-month period in FY07. Full alignment and integration would cost at a minimum $10M. To do this State, local, and Federal entities need to commit staff resources to complete Initiative. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource information not yet available.

Timeframe:	Early stage (FY 07)	*Initiative Lead:*	R-ESF #5 Emergency Management

Performance Assessment

Measure	*Baseline*	*Target*
Continuity plan test results	Data to be available by November 2006	
Emergency response exercise test results		
Number of private and non-profit organizations aligned with NCR response plans		
Continuity tests and exercises conducted per year within the NCR		

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RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.1: Develop and implement integrated response and recovery plans, policies, and standards

Initiative 4.1.3: Define capabilities and expectations for decontamination and re-entry

Initiative Description

Develop a Region-wide defined set of standards and protocols for decontamination response and recovery of physical facilities, the environment, and human beings, to be included in all relevant Regional response plans.

Rationale	*Desired Result*
Addresses the *TCL* **WMD/Hazardous Materials Response and Decontamination** and **Structural Damage and Mitigation** capabilities and EMAP standards related to **Operations and Procedures**. Addresses Regional gaps regarding **Understanding of Long-Term Recovery Issues**.	Regional responders know how to deal effectively and efficiently with the full range of decontamination response and the recovery of physical facilities.

Key Tasks and Programs	*Milestones*
▸ Catalog existing decontamination capabilities across the NCR ▸ Identify and address issues surrounding area decontamination for the recovery of facilities, soil, water, etc. ▸ Identify and address issues surrounding transition of people from decontamination to medical care and Mass Care ▸ Develop measures for incorporating decontamination plans, policies, and standards into Regional operations ▸ Develop plans for the recovery of contaminated facilities	(1) Establish working group to identify issues surrounding decontamination, segregation and quarantine (July 2006); (2) Standards for decontamination and re-entry defined (August 2006); (3) Plans and protocols to support these standards defined (September 2006); (4) Regional decontamination concept plan approved (October 2006)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Response and Recovery Plan Development: $3M to $5M.

ROM Cost Estimate Assumptions

Cost will be incurred over 4-month duration, FY06 through FY07. Separate plans for response and recovery agenda, standards, and protocols ($1.5 to $2.5M each). *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early stage (FY 06, 07)	*Initiative Lead:*	R-ESF #5 Emergency Management

Performance Assessment

Measure	*Baseline*	*Target*
Number of changes to Regional plans and procedures adopted due to this Initiative	0	Data to be available by August 2006
Test and exercise results on decontamination timeliness and effectiveness	Data to be available by October 2006	
Average score of targeted individuals' written tests on decontamination procedures		

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RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.2: Strengthen all components of an integrated region wide response and recovery capability

Initiative 4.2.1: Develop coordinated and standardized protocols for mandatory notification of regional partners during an emerging incident to maintain situational awareness

PRIORITY

Initiative Description

Develop and support standards for near real-time sharing of critical data, information, and intelligence necessary to respond to and recover from threats and events affecting the Region.

Rationale	*Desired Result*
Addresses the *TCL* **Communications** and **Emergency Operations Center Management** capabilities and EMAP standards related to **Communications and Warning**. Addresses Regional gaps regarding **Standardized Alert Notification Procedures**.	Near real time information-sharing of critical elements of information necessary to respond to and recover from threats and events affecting the Region

Key Tasks and Programs	*Milestones*
▸Develop an agreed definition of a reportable incident ▸Develop standardized mechanisms and protocols for mandatory and timely reporting of incidents, information and intelligence ▸Place all Emergency Operations Centers which interact with the Region on an integrated, Region-wide virtual network (see 3.2.1 for details and costs) ▸Create Liaison Officers which will be cycled among all entities	(1) Protocols developed for effective information-sharing on Regional calls during an event (August 2006); (2) Definition agreed for reportable incident/information (October 2006); (3) MOU executed to mandate sharing of appropriate incident and/or threat information (November 2006); (4) Virtual network identified for information-sharing to supplement or replace conference calls (January 2007); (5) ELOs identified for all NCR Partners and rotation and visit plan implemented (January 2007); (6) Requirement implemented for use of virtual information-sharing network by all Regionally-interacting EOCs (March 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	$1M to $2M

ROM Cost Estimate Assumptions

Cost incurred over an 8-month period, FY06 through FY07 for design and validation protocols. Overlaps with 2.1.1 element Establish Emergency System of Systems. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Investment: system design of protocols over 18 months, FY06 and FY07 budget. Number and cost of FTEs required not defined. NCR Traveler Notification Program. Collaborating partners: Maryland Department of Transportation (MDOT), MWCOG, Virginia Department of Transportation (VDOT), District of Columbia Department of Transportation (DDOT), Contractor. Related NCR Concept papers: NCR Multimodal Traveler Information System: Collaborating partners: MDOT, MWCOG, VDOT, DDOT, Contractor; Regional Real Time Transit Customer Information System, Reverse 911/ Mass Notification: collaborating partners: Montgomery County Transit and Regional Transit Operators, contractor/consultants for 6 months, FY06. Relationship between capabilities listed in concept papers and Initiative projects not defined.

Timeframe:	Early stage (FY 06, 07)	*Initiative Lead:*	DHS / NCRC

Performance Assessment

Measure	*Baseline*	*Target*
Results of tests and exercises designed to determine staff ability to accurately and timely deliver and obtain mandatory notifications in pre-determined scenarios: compliance accuracy and timeliness scores by monitoring, participants' satisfaction with level of information by survey, etc.	Data to be available by November 2006	
Total minutes of inter-jurisdictional EOC conference calls during events	Data to be available by March 2007	

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RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.2: Strengthen all components of an integrated region wide response and recovery capability

Initiative 4.2.2: Develop and implement a plan for regionally coordinated adoption and employment of National Incident Management System (NIMS)

Initiative Description

Develop and implement a framework to incorporate NIMS into jurisdictional and Regional Emergency Operations Plans. This framework should include all NCR Partners and not be limited to direct public safety personnel.

Rationale	*Desired Result*
Addresses the *TCL* **Onsite Incident Management** capability and EMAP standards related to **Division, Control, and Coordination**.	All NCR Partners are able to respond in a coordinated and effective manner to any hazard

Key Tasks and Programs	*Milestones*
▸Develop and implement a NIMS implementation time table ▸Develop and implement processes based on NIMS principles to be used by all NCR jurisdictions when providing or receiving assistance within the NCR ▸Develop and implement a NIMS operating plan for use in the NCR as a component of mutual aid agreements ▸Develop plans for providing housing, food and care for first responders and their families during the event of an emergency ▸Ensure adequate mass care resources for feeding and shelter/housing in response and recovery from disasters ▸ Ensure that all key NCR Homeland Security Partners are accounted for within the NCR's NIMS framework	(1) NIMS implementation time table completed (December 2006); (2) Processes established to be used by all NCR jurisdictions when providing or receiving assistance within the NCR(April 2007); (3) NCR NIMS operating plan in place as a component of mutual aid agreements (September 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Plan development ROM: $1.5M to $3M.

ROM Cost Estimate Assumptions

Cost incurred over 12-month period, FY07. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early stage (FY 07)	*Initiative Lead:*	R-ESF #4 Firefighting

Performance Assessment

Measure	*Baseline*	*Target*
Regional compliance with NIMS principles and standards (external audit or assessment of plans)	Data to be available by December 2006	
Results of tests and exercises designed to assess Regional incident management practices and capabilities		

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RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.2: Strengthen all components of an integrated region wide response and recovery capability

Initiative 4.2.3: Develop and implement enhanced regional architecture, infrastructure, and concept of operations for communications and protection of sensitive and classified information

Initiative Description

Develop and implement infrastructure, technology, processes, and governance to strengthen Regional data and information interoperability. Establish technical connectivity, protocols, and standards to ensure protection of sensitive and classified information. In addition to response and recovery, this initiative supports Goal Three (Prevention & Protection) and Objective 3.2.

Rationale	*Desired Result*
Addresses the *TCL* **Communications** and **Information Sharing and Dissemination** capabilities and EMAP standards related to **Communications and Warning**. Addresses Regional gaps regarding **Regional Analysis of Threats**.	Effective timely flow of relevant information before, during, and after emergency events.

Key Tasks and Programs	*Milestones*
▸Develop and adopt a Regional governance model to ensure that critical information is made available through this Initiative ▸Determine the critical data sets and applications required ▸Resource the NCR watch center desk at the HSOC to disseminate actual information ▸Determine changes needed to NCR Emergency Operation Centers (EOCs) to make them interoperable ▸Match 800 MHz radio systems within the NCR ▸Obtain a conference bridging capability between EOCs ▸Implement WebEOC data information exchange at local, regional, and NCR levels ▸Design and implement a Data Exchange Hub (DEH) and information portal through which critical data and applications are shared ▸Establish VTC links between EOCs ▸Design and implement NCR government fiber networks for connection and interoperability with State and Federal systems ▸Design and implement a Regional Broadband Mobile Data Network (RBMDN) ▸Purchase satellite telephones for each of the jurisdictions in the NCR ▸Ensure systems are built to Federal information and communications standards, with the proper level of security	(1) Information distribution governance model adopted (September 2006); (2) Data sets and applications to be integrated determined (November 2006); (3) HSOC NCR watch center desk operational (February 2007); (4) EOC interoperability modifications specified (May 2007); (5) NCR 800 MHz radio systems matched (July 2007); (6) EOC conference bridging capability established (July 2007); (7) WebEOC data exchange implemented (August 2007); (8) DEH design complete (September 2007); (9) VTC installed in all NCR EOCs (October 2007); (10) Fiber network design complete (November 2007); (11) RBMDN design complete (December 2007); (12) Satellite telephones acquired (February 2008); (13) DEH operational (September 2008); (14) Fiber networks operational (November 2008); (15) RBMDN operational (December 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	Remainder of Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Architecture and Concept of Operations Development: $3M to $5M.

ROM Cost Estimate Assumptions

Costs will be incurred over 28 months in FY06 and FY07. Work is currently underway. Number of FTEs required not defined. Overlaps and dependent upon 2.1.1 Establish Regional protocols and systems. 1.2.2 Establish requirements generation and a prioritization process and will impact level of effort and timeline. Core work group have been trained and have experience in interoperable communications. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.

Types of Resources and Investments

Number of FTEs required not defined. Standards setting, Con Ops, and interoperable communications architecture for interoperable communications.

Timeframe:	Early stage (FY 06, 07)	*Initiative Lead:*	RPWG Interoperability

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Performance Assessment		
Measure	***Baseline***	***Target***
Results of tests and exercises designed to determine staff ability to accurately and timely deliver and obtain necessary information in pre-determined scenarios: Information availability and timeliness scores by monitoring participants' satisfaction with information availability by survey, etc.	Data to be available by May 2007	
Percent of designated networks by aggregate capacity which conform to the common standard for interoperability	Data to be available by May 2007	
Percent of designated networks by aggregate capacity which conform to the common standard for information security	Data to be available by May 2007	

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RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.3: Improve and expand effective resource sharing systems and standards

Initiative 4.3.1: Develop a regional resource management system for deployment and utilization of resources

Initiative Description

Develop and implement a system for real-time, Region-wide management and deployment of resources during an emergency event.

Rationale	*Desired Result*
Addresses the *TCL* **Critical Resources Logistics and Distribution, Triage and Pre-Hospital Treatment,** and **Medical Supplies Management and Distribution** capabilities and EMAP standards related to **Resource Management** and **Logistics and Facilities.** Addresses Regional gaps regarding **Mass Care, Special Needs Considerations,** and **Resource Management and Prioritization**.	Identified multi-disciplinary and multi-jurisdictional resource needs during an event are filled rapidly

Key Tasks and Programs	*Milestones*
▸Catalog public and private resources in Region including MOUs, physical equipment, and other caches (without double-counting) ▸Identify and leverage existing inventory systems (Hospital beds, stockpiles, etc.) ▸Ensure sufficient plans and resources for taking care of special needs populations ▸Provide for animal protection and care ▸Establish protocols within the context of Mutual Aid agreements for requesting and receiving resources via the resource system ▸Establish a dynamic inventory system that indicates resource status ▸Link Regional resource inventory system to WebEOC	(1) Resource catalog complete (July 2006): (2) Existing resource inventory systems profiled October (2006): (3) Protocols adopted for sharing resources via the new system (December 2006); (4) New system requirements documented (February 2007); (5) Static demo of new system delivered for evaluation (March 2007); (6) Live, WebEOC-linked system delivered (April 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Minimum $10M.

ROM Cost Estimate Assumptions

Cost incurred over 10 months between FY06 and FY07. Build from current software and resident databases developed. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early stage (FY 06, 07)	*Initiative Lead:*	R-ESF #5 Emergency Management

Performance Assessment

Measure	*Baseline*	*Target*
Completeness of inventory (via audit)	Data to be available by March 2007	
Accuracy of listed resource status (via audit)		
Time required to find, request, receive, and dispatch resources via system (training, test/exercise, and event data)		

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RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.3: Improve and expand effective resource sharing systems and standards

Initiative 4.3.2: Establish and implement regional, interdisciplinary protocols (e.g., mutual aid agreements)

Initiative Description

Engage COG to develop Mutual Aid agreements and other protocols to allow the expansion of a Regional resource management program, which includes the stakeholders from the private sector and from outside the NCR, where appropriate.

Rationale	*Desired Result*
Addresses the *TCL* **Public Safety and Security, Environmental Health, Explosive Devices Response Operations, Firefighting Operations/Support**, and **Urban Search and Rescue** capabilities by implementing Regional protocols for sharing for resources in the event of an emergency. Also addresses EMAP standards related to **Mutual Aid**.	Provide emergency response reserve capacity to NCR members without additional investment

Key Tasks and Programs	*Milestones*
▸Identify types of resources subject to sharing ▸Define circumstances under which sharing will be implemented ▸Document terms of sharing ▸Draft procedures for requesting resource loans and for delivering resources ▸Execute sharing agreement	(1) Types of resources targeted for sharing identified (October 2006); (2) Proposed circumstances triggering resource sharing drafted (December 2006); (3) First draft of proposed agreement released (February 2007); (4) Final agreement adopted (September 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Minimum $5M.

ROM Cost Estimate Assumptions

Cost will be incurred over 12-month period during FY07. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early stage (FY 07)	*Initiative Lead:*	R-ESF #5 Emergency Management

Performance Assessment

Measure	*Baseline*	*Target*
Percent of targeted resource types owned by NCR entities which is subject to sharing agreement	Data to be available by November 2006	

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Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.3: Improve and expand effective resource sharing systems and standards

Initiative 4.3.3: Establish and implement regional, interdisciplinary standards for equipment interoperability

Initiative Description

Develop a common set of Regional standards for equipment interoperability to facilitate flexible deployment of resources in the event of an emergency.

Rationale	*Desired Result*
Addresses the *TCL* **Public Safety and Security, Explosive Devices Response Operations, Firefighting Operations/Support**, and **Urban Search and Rescue** capabilities by implementing Regional standards equipment interoperability. Also addresses EMAP standards related to **Communications and Warning**.	Technical and functional barriers to resource-sharing are eliminated

Key Tasks and Programs	*Milestones*
▸Identify types of resources subject to sharing (see 4.3.2) ▸Identify technical/functional features that can limit interoperability and non-interoperable specification types for each feature ▸Inventory existing resources against resource types, and interoperability feature specifications type (see 4.3.1) ▸Collect technical data and user input on varying interoperability feature specification types ▸Draft interoperability standards ▸Review draft with equipment users and revise accordingly ▸Obtain NCR governance acceptance of final standards	(1) Catalog shared resource types (November 2006); (2) Identify interoperability issues and options (January 2007); (3) Characterize existing resource base according to interoperability issues and options (February 2007); (4) Gather data on selection factors for various options (April 2007); (5) Draft proposed interoperability standards (May 2007); (6) Revised draft completed (July 2007); (7) Standards adopted (September 2007)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Assessment $1.5 to $3M.

ROM Cost Estimate Assumptions

Cost will be incurred over 13-month period during FY07. Task: identify types of resources, equipment required for interoperation, and current inventory. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early stage (FY 07)	*Initiative Lead:*	R-ESF #5 Emergency Management

Performance Assessment

Measure	*Baseline*	*Target*
Equipment interoperability rates (via audit) – percent of relevant equipment reviewed that complies with the interoperability standards	Data to be available by February 2007	
Interoperability issues identified via tests and exercises (number per event)		

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RESPONSE & RECOVERY			
Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR			
Objective 4.4: Identify and close gaps in long-term recovery capabilities			
Initiative 4.4.1: Model and exercise the appropriate 15 DHS scenarios to assess region-wide impact			**PRIORITY**
Initiative Description			
Conduct Regional models and exercises of the 15 DHS scenarios (and other high-threat scenarios, where appropriate) to examine impact on the NCR, as well as ways to mitigate the impact or accelerate Regional recovery.			
Rationale			***Desired Result***
Addresses the EMAP standards related to **Exercises, Evaluations and Corrective Actions**. Addresses Regional gaps regarding **Regional Analysis of Threats** and **Understanding of Long-Term Recovery Issues**.			Identify most significant recovery challenges for which to prepare
Key Tasks and Programs		***Milestones***	
▸Model economic impact –Socio-economic, Business, and Employees ▸Model long term impact on Health and Mental Health - Responders, directly impacted individuals, and the general public ▸Model long term impact of clean-up and re-entry to potentially contaminated areas ▸Model potential impact mitigations and recovery acceleration measures for each scenario		(1) Models available for all major scenarios to improve planning, response and recovery potential for these scenarios (Fall 2006); (2) Results of models reflected in exercises and live operations (By Fall 2007); (3) Long term preparedness policies, plans, resources, operations, activities in the NCR refined to reflect model outputs (Fall 2008); (4) Results of refinements to plans and preparedness activities reflected in improvements to exercise and operations after actions reports (Fall 2008)	
Rough Order of Magnitude (ROM) Estimate of Cost			$7M to $9M
ROM Cost Estimate Assumptions			
Cost will be incurred over 26-month period, FY06 through FY08, primarily for ETOP and WMD training and exercises. *Strategic Plan* period of performance is 3 years, FY07-FY09. Historical cost data from FY03 to FY06 is an accurate predictor of future cost and growth rates. Cost is intended as a ROM, scale estimate only. ROM cost has not been risk adjusted.			
Types of Resources and Investments			
Number and cost of FTEs required not defined. Development of training exercise curriculum against 15 DHS scenarios and actual training/exercises FY06-FY08. Number of FTEs required not defined. Related projects: Exercise and Training Operations Program (ETOP), Training and exercise for Fire and EMS Responders. Related NCR RPWG Concept Paper: WMD Operations (Offensive Training).			
Time-frame:	Early and Middle stages (FY 07, 08)	***Initiative Lead:***	R-ESF #14 Long Term Community Recovery and Mitigation
Performance Assessment			
Measure		***Baseline***	***Target***
Percent reduction in modeled impacts due to identified mitigations and recovery measures		0	Data to be available by Fall 2007

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Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR			
Objective 4.4: Identify and close gaps in long-term recovery capabilities			
Initiative 4.4.2: Align public, private, and NGO resources with identified needs for response and recovery			
Initiative Description			
Create a document identifying the key roles that NGOs play in response and recovery operations, according to local, State, Regional, and Federal plans.			
Rationale		***Desired Result***	
Addresses the *TCL* **Mass Care** capability. Addresses Regional gaps regarding **Inclusion of the Private Sector in Regional Planning**, **Public-Private Coordination**, and **Resource Management and Prioritization**.		Additional resources applied to response and recovery	
Key Tasks and Programs		***Milestones***	
▸ Identity roles as defined in local, Regional, State/District Emergency Operations Plans (EOPs) ▸ Identify roles as defined by NGO community ▸ Compare contrast and reconcile the EOPs vs. the NGO plans to comprehensively identify NGO roles in response and recovery ▸ Include NGOs in major Regional exercises and planning efforts ▸ Formalize non-governmental stakeholder response and recovery roles in NCR governance and operations		(1) Public, private and NGO resources for response and recovery identified (November 2006); (2) Identified resources matched with known response and recovery needs (January 2007); (3) Mechanisms and formal documentation for integration of non-governmental stakeholders identified resources into response and recovery effort are completed (June 2007)	
Rough Order of Magnitude (ROM) Estimate of Cost		Initiative has not matured beyond conceptual level. Full ROM cost will be available once type of resources, investments, and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG. Assessment ROM $1.5 to $3M.	
ROM Cost Estimate Assumptions			
Cost will be incurred over 9 months in FY07. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only. *Strategic Plan* development activities are estimated as a contract. ROM cost estimate has not been risk adjusted.			
Types of Resources and Investments			
Resource information not yet available.			
Time-frame:	Early stage (FY 07)	***Initiative Lead:***	R-ESF #16 Donations and Volunteer Management
Performance Assessment			
Measure		***Baseline***	***Target***
Value of additional resources (public, private, and NGO) available for response and recovery		0	Data to be available by November 2006

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RESPONSE & RECOVERY

Goal 4: A sustained capacity to respond to and recover from "all-hazards" events across the NCR

Objective 4.4: Identify and close gaps in long-term recovery capabilities

Initiative 4.4.3: Review existing programs, mutual aid agreements, MOUs, and legislation to identify and close gaps in facilitating long-term recovery

Initiative Description

Identify key long term recovery issues; review existing plans, policies, procedures, AARs to identify gaps in addressing these issues; and take appropriate corrective actions to close the gaps.

Rationale	*Desired Result*
Addresses the *TCL* **Restoration of Lifelines** and **Economic and Community Recovery** capabilities, and EMAP standards related to **Operations and Procedures**. Addresses Regional gaps regarding **Understanding of Long-Term Recovery Issues** and **Special Needs Considerations**.	Region possesses capability to stimulate disaster recovery more speedily

Key Tasks and Programs	*Milestones*
▸ Identify federal programs that will be initiated if a major event/incident occurs ▸ Identify key long term recovery issues (housing, employment, mental health, community recovery and infrastructure, special needs populations, etc.) ▸ Review mutual aid agreements to see what extent they address long-term recovery issues ▸ Review MOUs to see what extent they address long-term recovery issues ▸ Review legislation to see what extent they address long-term recovery issues ▸ Review existing programs to see what extent they address long-term recovery issues ▸ Take corrective action to address gaps identified in long-term recovery capabilities ▸ Incorporate feedback mechanism for lessons learned based on real world events	(1) Complete review of existing arrangements (July 2007); (2) Identify gaps in recovery capacity (October 2007); (3) Identify corrective actions necessary to fill gaps (March 2008); (4) Develop plan for putting corrective actions into effect (September 2008)

Rough Order of Magnitude (ROM) Estimate of Cost	Initiative has not matured beyond conceptual level. ROM cost will be available once type of resources, investments and activities required to fulfill the Objective and Initiative are agreed upon by the appropriate NCR RPWG.

ROM Cost Estimate Assumptions

Cost will be incurred over 18 months during FY07 and FY08. Outyear costs to close gaps indeterminate. *Strategic Plan* period of performance is 3 years, FY07-FY09. Cost is intended as a ROM, scale estimate only.

Types of Resources and Investments

Resource information not yet available.

Time-frame:	Early and Middle stages (FY 07, 08)	*Initiative Lead:*	R-ESF #14 Long Term Community Recovery and Mitigation

Performance Assessment

Measure	*Baseline*	*Target*
Decreased time to pre-defined recovery stage due to gaps closed through this Initiative, as determined by scenario modeling (per Initiative 4.4.1)	0	Data to be available by Fall 2007

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Appendix B: Performance Measures Criteria

B.1. What Constitutes a Good Measure?

- Emphasizes progress towards accomplishing organizational goals/mission
- Links goals/mission to the plan at the strategic, operational, and individual (managerial/employee) levels
- Easy to understand, applicable across organization, and supported by obtainable data
- Meets "SMART" Test – **S**pecific, **M**easurable, **A**ctionable, **R**esults-Oriented, and **T**imely
- Creates appropriate incentives for managers (not easily gamed)
- Speaks to cross-organizational activities (i.e., helps to smash silos) and is able to be rolled up
- Lends itself to target setting and interim variability (should not answer a yes/no question)
- Exhibits high use to cost ratio (relied on for decision-making with minimal associated costs)

B.2. What Constitutes a Good Set of Measures?

- Critical few rather than the messy many(the actual number might be determined by coverage of all activity/outcome relationships, management ability to digest, regulatory requirements or all of the above)
- Balanced across various dimensions:
  - Leading (e.g., employee fill rate) and lagging (e.g., employee satisfaction) indicators
  - Outcome and output measures
  - Activity categories (e.g., customer, accountability, internal process, learning, and growth)

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Appendix C: Pre-Launch Activities, Initiatives, and Sequence

C.1. Pre-Launch Activities and Timing Sequence

We must conduct the following preliminary activities before we can launch an Initiative: (1) functional specifications; (2) technical specifications and detailed cost estimate; and (3) project plan development. We must complete these pre-launch activities and launch the Initiatives by certain deadlines in order to meet the aggressive NCR capability development goal set and target end dates. Table C-1 below details the *pre-launch* activities and their standard timeframes.

Table C-1—Initiative Pre-Launch Activities

Pre-Launch Activity Step	Activities Included	Standard Timeframe
1. Functional Specifications (*Needs Assessment*)	Initiative leads and lead support groups will develop and validate descriptions of the general needs to be filled by the project	1 month
2. Technical Specifications and Detailed Cost Estimate (*Requirements Analysis*)	Initiative leads and lead support groups will develop and validate specific project parameters and reconcile capability-based funding with Initiatives	1 month
3. Project Plan Development	Initiative leads and lead support groups will develop project plans for each Initiative.	2 months

Table C-2 takes the pre-launch activities and applies them to the Initiatives. Table C-2 describes the essential pre-launch activity steps for each Initiative, a start date on which each pre-launch activity must occur in order for the related Initiatives to start on time, and the *Strategic Plan* timing sequence to be maintained.

General assumption: Initiatives were grouped by Objective where they are similar and their planning efforts will be intertwined. However, in some cases Initiatives under the same Objective are distinct and independent enough to be planned and timed separately.

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206 **Table C-2—Strategic Plan Timing Sequence**[1]

Initiative or Group	Begin Activity Shown *No Later Than*			Initiative Launch Date (From sequence above)
	1. Functional Specification/ Needs Assessment	2. Technical Specs./Reqs. and *Detailed Cost Estimates*	3. Program & Project Plans	
1.1.1	*Underway*			
1.1.2	Jun FY05	Jul FY05	Aug FY05	Oct FY06
1.2.1	May FY06	Jun FY06	Jul FY06	Sep FY06
1.2.2	Nov FY06	Dec FY06	Jan FY07	Mar FY07
1.3.1 – 1.3.2	Jun FY07	Jul FY07	Aug FY07	Oct FY08
2.1.1	*Underway*			
2.1.2	Oct FY05	Nov FY05	Dec FY05	Feb FY06
2.2.1	Jun FY06	Jul FY06	Aug FY06	Oct FY07
2.2.2	April FY06	May FY06	Jun FY06	Aug FY06
3.1.1	Jun FY06	Jul FY06	Aug FY06	Oct FY07
3.1.2, ***3.1.3,*** 3.1.4	Jan FY07	Feb FY07	Mar FY07	May FY07
3.2.1	Jun FY06	Jul FY06	Aug FY06	Oct FY07
3.2.2	Sep FY05	Oct FY05	Nov FY05	Jan FY06
3.3.1	Jan FY06	Feb FY06	Mar FY06	May FY06
3.3.2	Dec FY06	Jan FY06	Feb FY06	Apr FY06
4.1.1	Sep FY06	Oct FY06	Nov FY06	Jan FY07
4.1.2	Jun FY07	Jul FY07	Aug FY07	Oct FY07
4.1.3	March FY06	April FY06	May FY06	Jul FY06
4.2.1	Apr FY06	May FY06	Jun FY06	Aug FY06
4.2.2	Jun FY07	Jul FY07	Aug FY07	Oct FY07
4.2.3	May FY06	Jun FY06	Jul FY06	Sep FY06
4.3.1	Mar FY06	Apr FY06	May FY06	Jul FY06
4.3.2	Jun FY07	Jul FY07	Aug FY07	Oct FY07
4.3.3	May FY06	Jun FY06	Jul FY06	Sep FY06
4.4.1	Apr FY06	May FY06	Jun FY06	Aug FY06
4.4.2	Jun FY06	Jul FY06	Aug FY06	Oct FY07
4.4.3	Dec FY06	Jan FY07	Feb FY07	Apr FY07

207 ****Priority Initiatives***

208 ## C.2. Initiatives, Sequence, and Timeline Assumptions

209 In the course of developing Section 4.2 and Appendix C-1, we made assumptions to establish a clear and
210 logical sequence of Initiatives. This section details the factors that we considered and deliberated to
211 inform the placement of activities in the *Strategic Plan's* FY07 through FY09 period of performance.

212 The appendix presents assumptions in three categories: *Start Factors*, *Duration Factors*, and *Comments-*
213 *Assumptions*. We used these categories to describe dependencies and overlaps and generally outline the
214 interpretation of the Initiative text used to places activities in sequence. The categories answer the
215 fundamental lifecycle placement questions of "When?" How long?" and "What else was considered?"

[1] Note: 17 Initiatives have been included with launch dates in FY06 to capture current and ongoing strategic actions. Accordingly, pre-launch steps for FY06 initiatives are shown to describe activities that lead to the successful commencement of strategically aligned FY06 efforts.

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C.2.1. Start Factors—"When must an Initiative begin?"

Start Factors outline the rationale for beginning an activity in a specific time relative to other Initiatives. The start factor also presents the logical argument for the date placement and launch timeframe of a specific activity in the *Strategic Plan* execution sequence. For example, 1.1.1 Strategic Planning Initiative must begin before enhancement or dependent planning efforts like operational or program standards can be developed.

C.2.2. Duration Factors—"How long will it probably take?"

The length of time an activity will take to perform is based on the complexity of the tasks involved and the amount of resources that can be brought to bear in the execution of the Initiative. The duration factor describes the minimum number of months that an activity will take, assuming resources are available and engaged efficiently. It also includes the fiscal year(s) in which an Initiative will occur. The year in which an activity will be performed reflects the assumed phase and stage of capability development: long term planning, implementation planning, or execution. Although we recognize that many of these Initiatives are ongoing or continuous, we assign ends based upon activity cycle ends.

C.2.3. Comments-Assumptions—"What else needs to be considered?"

The final assumption category describes the additional considerations used to place an Initiative in timescale. The category includes notes on factors, overlaps, and dependencies not fully captured by the start or duration categories.

We made the assumptions in the *Strategic Plan* to establish a logical sequence of Initiatives across the three-year planning period based on *data available* at the time. We will use the resulting timeline and sequence to help begin the process of detailed program and project planning. As requirements are further defined in the planning process, most of the assumptions and factors listed in this table will most likely be revised to maintain a cohesive and integrated strategic performance framework. We will use the framework to inform resource planning, prioritization, and allocations throughout the period of performance.

Table C-3 lists the Initiative start factors, duration factors, and comments and assumptions for each Initiative.

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243 **Table C-3—Initiative Start Factors, Duration Factors, and Comments and Assumptions**

Note: Bold, Grey Fill = *1 of 20 Priority Initiatives

Initiative Number	Name	Start Factors	Duration Factors	Comments, Assumptions
1.1.1	**NCR Strategic Planning**	Start of long-term planning and framework development – prime basis of all other planning.	18 months, FY06 and FY07	Plan will include an actionable framework and Regional planning process for decision-making and Initiative project planning. Plan will be delivered July FY06.
1.1.2	**Document NCR homeland security planning process**	1.1.1 Establish design and begin populating strategic framework before enhancement.	21 months, FY06 and FY07	
1.2.1	**Design and conduct a risk-based threat analysis**	1.1.1 Strategic Planning enhancement must be completed before project execution can occur.	7 months, FY06 and FY07	Project Execution planning will occur in FY07. Initiative represents development of a methodology and criteria for identifying and assessing security risk consistent with HSPD-7 and 8 requirements.
1.2.2	**Establish requirements and prioritization**	Results of performance and risk assessments must be released before incorporation can occur.	4 months, FY07	
1.3.1	**Establish regional oversight and accountability**	NCR Stakeholder consensus.	26 months, FY06 through FY08	
1.3.2	**Develop investment planning lifecycle approach**	Design Analysis occurs at the end of Strategic Planning.	19 months, FY06 through FY08	
2.1.1	**Establish regional protocols and systems**	Regional protocols need to be developed before 2.1.2 education curriculum and during system build-out enhancements (system implementation, latter half of 2.1.1).	38 months, FY06-FY09	
2.1.2	**Develop and sustain multi-year education campaigns**	Long-term planning to design and establish Initiative 2.1.1 systems is required before requirements development and implementation.	36 months, FY06-FY08	Related dependency with 2.1.1. These educational campaigns need to be tied to the established Regional protocols and systems.
2.2.1	**NCR Preparedness Campaigns**	Coordinated from strategic planning and integration with implementation plans (1.1.2).	27 months, FY06-FY09	Timeframe determined by Nov. 17, 2005 plenary session participants
2.2.2	**Identify and develop stakeholder partnerships**	Leveraging and developing partnerships are critical components in NCR resource planning and capability development. The effort will be concurrent with 1.1.1 "Strategic Plan Development."	14 months, FY06-FY08	Timeframe determined by Nov. 17, 2005 plenary session participants

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Initiative Number	Name	Start Factors	Duration Factors	Comments, Assumptions
3.1.1	**Prevention/Mitigation Framework Planning Integration**	*Strategic Plan* completed before prevention/mitigation integration with other operational plans. 2.2.1 NCR Preparedness campaigns completed first before prevention planning.	12 months, FY07, integration from 3.1.1. leads into the rest of Objective 3.1 implementation planning Initiatives	Overlaps Objective 4.1, 1.1.2 Implementation Planning.
3.1.2	**Training and Exercise Framework Planning**	Need to be at least half way through 3.1.1 planning before pursuing training and exercise planning.	7 months, FY07 and FY08	Separate ESF resources for each implementation planning Initiative.
3.1.3	**Health Surveillance and Detection Planning**	Need to be at least half way through 3.1.1 planning before pursuing implementation planning.	7 months, FY07 and FY08	Separate ESF resources for each implementation planning Initiative.
3.1.4	**Community-wide Prevention Campaign Planning**	Need to be at least half way through 3.1.1 planning before pursuing implementation planning.	7 months, FY07 and FY08	Separate ESF resources for each implementation planning Initiative.
3.2.1	**Info. Sharing and Collaboration Framework Resource Planning**	Long term planning for roles, responsibilities and protocols begins at the end of *Strategic Plan* and 1.1.2 Initiative Execution Planning.	13 months, FY07	November 17 plenary session documentation states Initiative will be completed by September 2007, beginning 2008.
3.2.2	**Clearing Appropriate Personnel**	Requires 3.1.1 Prevention framework SOP with identification of positions requiring clearance before process and current clearances can proceed.	15 months, FY06 and FY07	Develop process for clearance of appropriate roles/positions and process current required clearances. Allow 12 months for requested personnel to be processed. Need cleared personnel to develop clearance process and standards. Cost of background investigation and general clearing process longer and more cost prohibitive than assumed in November 17 plenary session documentation, where cost identified as "low".
3.3.1	**Prioritization CIP Protective and Resiliency Actions**	1.2.1 Risk Analysis must occur before or simultaneously with identification of NCR CIP and generation of protection recommendations.	9 months, FY06 and FY07	
3.3.2	**CIP Inventory and Assessment Methodology**	Requires completion of 1.2.1 Risk Assessment and 3.3.1 Catalog of CIP assets before enhancement and integration of risk assessment can occur.	24 months, FY06, FY07, and FY08	Initiative is limited to integration of risk and performance-based approaches, not implementation. Will not require investment to complete Initiative.
4.1.1	**Establish Corrective Action Program**	Planning process occurs during 1.1.2 (sub element of Initiative implementation planning).	5 months, FY07	Program design and implementation for AARs. Parallel effort with 1.1.2 Initiative Implementation planning.

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Initiative Number	Name	Start Factors	Duration Factors	Comments, Assumptions
4.1.2	**Align and Integrate Response Plans**	Occurs after 2.2.1 Partner Engagement Planning and during 1.1.2 Initiative Implementation Planning.	6 months, FY07	Potential Overlap with 1.1.2 Initiative Implementation Planning (dependent on over-arching operational plan design) and 2.2.1 Partner Engagement Planning.
4.1.3	**Define Decontamination and Re-Entry Capabilities**	Initiative occurs at the end of 1.1.1 Strategic Planning and during the first phase of 1.1.2 Initiative Implementation Planning.	4 months, FY06 and FY07	Part of TCL: WMD/Hazardous Materials Response and Decontamination Capability, "containing and fully decontaminating the incident site, victims, responders and equipment." Need to align with Strategic Planning Framework and 1.1.2 Initiative Implementation Planning to develop and integrate capability.
4.2.1	**Develop Notification Protocols**	Occurs during design and implementation of 2.1.1 System of Systems.	8 months, FY06 and FY07	Overlaps with 2.1.1 Establish Emergency Info System of Systems.
4.2.2	**Develop and Implement NIMS Adoption Plan**	Activity occurs simultaneous to 4.1.2 Align and Integrate Response Plan and 3.2.1 Info. Sharing and Collaboration Framework Resource Planning.	12 months, FY07	Overlaps with 1.1.2 Initiative Implementation Planning, 4.1.2 Align and Integrate Response Plans, 4.3.2 Design and Implement Interdisciplinary Protocols and 3.2.1 Info. Sharing and Collaboration Framework Resource Planning.
4.2.3	**Develop and Implement Interoperability**	Initiative occurs during long-term planning phase FY06 and early FY07.	28 months, FY06 and FY07	Overlaps with 2.1.1 Establish Regional Protocols and Systems and new requirements defined in 1.2.2 will provide input to Initiative. Initiative text describing "develop architecture for Regional interoperable communications" does not match November 17 plenary documentation description/desired result which includes implementation activities.
4.3.1	**Design Resource Management System**	Lifecycle planning requires the definition of human resource management before and/or during to 1.1.2 Initiative Implementation Planning.	10 months, FY06 and FY07	Overlaps with 1.1.2 Initiative Implementation Planning.
4.3.2	**Design and Implement Interdisciplinary Protocols (e.g. Mutual Aid Agreements)**	Mutual Aid Agreements developed after *Strategic Plan* defined in 1.1.1 and during 1.1.2 Initiative Implementation Planning.	12 months, FY07	Primary Initiative activity to design and implement mutual aid agreements. Interdisciplinary refers to activities bridging R-ESF categories.

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Initiative Number	Name	Start Factors	Duration Factors	Comments, Assumptions
4.3.3	**Design Interdisciplinary Equipment Interoperability Standards**	Simultaneous complement for 4.2.3. Covers all potential equipment overlaps (including communications) and interoperability issues.	13 months, FY06 and FY07	Overlaps with 4.2.3 Develop Interoperability Structure, 2.1.1 Establish Regional Protocols and Systems; new requirements defined in 2.1.1 will provide input to Initiative. Initiative complements 4.2.3 by covering all equipment architecture interoperability.
4.4.1	**Model and Exercise 15 DHS Scenarios**	End of lifecycle, assumes capability installed and developed before exercised.	26 months, FY06 and FY08	Primarily refers to ETOP and WMD training and exercises, including the development of curriculum. Measured exercise proves capability/preparedness. Initiatives do not over implementation detail required to provide capability to Initiative transparency (*Strategic Plan* Framework).
4.4.2	**Align Public, Private, NGO Resources with Response, Recovery Needs**	Simultaneous with 2.2.1 implement mutual aid agreements with Civic, Private, and NGOs.	9 months, FY07	Overlaps with Initiative 2.2.1 elements to implement mutual aid agreements with Civic, Private, NGOs; primarily covers Initiative Implementation Planning
4.4.3	**Address Long-term Recovery Gaps**	Occurs after remedies selected from 1.1.2, implementation continues through the remainder of the period of performance.	18 months, FY07 and FY08	Overlaps with 4.1.1 Establish Corrective Action Program and 1.2.1 Select Remedies from Risk Assessment.

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Appendix D: Background: Evolution of the *Strategic Plan*

Since the terrorist events of September 11, 2001, we have made significant progress improving our respective preparedness capabilities. But large scale events—whether natural or man-made—respect no boundaries. We recognize this and have a long tradition of established mutual aid agreements to deal with Region-wide events. While these arrangements have generally worked well in responding to significant events, we have less experience in planning and investing for preparedness as a coordinated body. Recognizing the need for a comprehensive strategic plan for homeland security in the NCR, we have been working to develop a strategic plan since 2001.

A broad array of NCR stakeholder planning sessions and documents laid the groundwork for our NCR-homeland security strategic planning efforts after 9/11. In 2002, the Senior Policy Group was established to provide continuing policy and executive level focus to the Region's homeland security concerns and to ensure full integration of Regional activities with statewide efforts in Virginia, Maryland, and the District of Columbia. The *Homeland Security Act of 2002* created the Office for National Capital Region Coordination within DHS, which was tasked with coordinating the domestic preparedness activities of federal, state, local, and regional agencies and the private sector in the NCR. In the *Eight Commitments to Action*, the Mayor of the District of Columbia and the Governors of Virginia and Maryland committed to a collaborative approach in addressing eight areas of homeland security within the NCR.

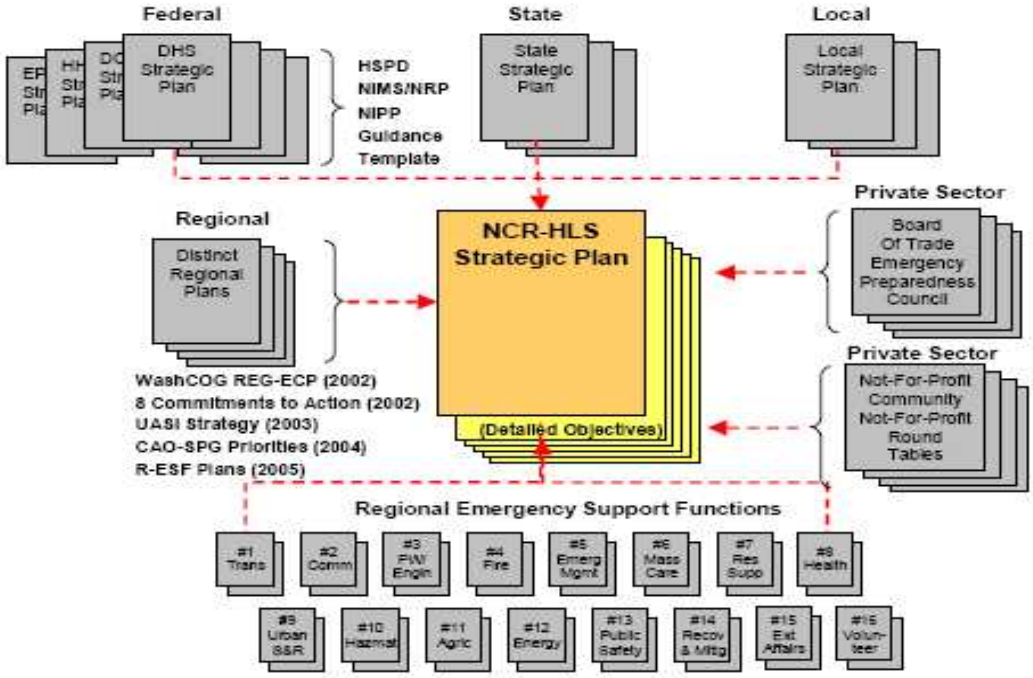
Using this groundwork, we have worked together in a collaborative, transparent process to develop a comprehensive, specific, and achievable plan to which we hold ourselves accountable. The process included interactive work sessions and off-line participatory content development. The development of the *Strategic Plan* involved three major phases: consensus building (Aug 2004 – Jun 2005), Initiative development (Jun 2005 – Nov 2005) and program management and implementation (Jan 2006 – Jul 2006).

D.1. Consensus Building (Aug 2004 – Jun 2005)

From August 2004 through June 2005, we built consensus on the basic framework for the *Strategic Plan* and the process by which the *Strategic Plan* would be developed.

We agreed to use a collaborative and integrated framework for developing the Strategic Plan as described in Figure D-1 below. We used this framework to develop the Strategic Plan and we will continue to use it to update and amend the Strategic Plan as necessary.

Figure D-1—Integrated/Collaborative Planning Framework Approach



Using this collaborative process during the Consensus Building phase, we designed the basic framework of the *Strategic Plan*. We created our Vision, Mission, Guiding Principles, and Objectives by synthesizing guidance from regional and federal reference documents, R-ESFs, and interviews with NCR stakeholders.

Five distinct Regional planning reference documents guided the design of the *Strategic Plan*.

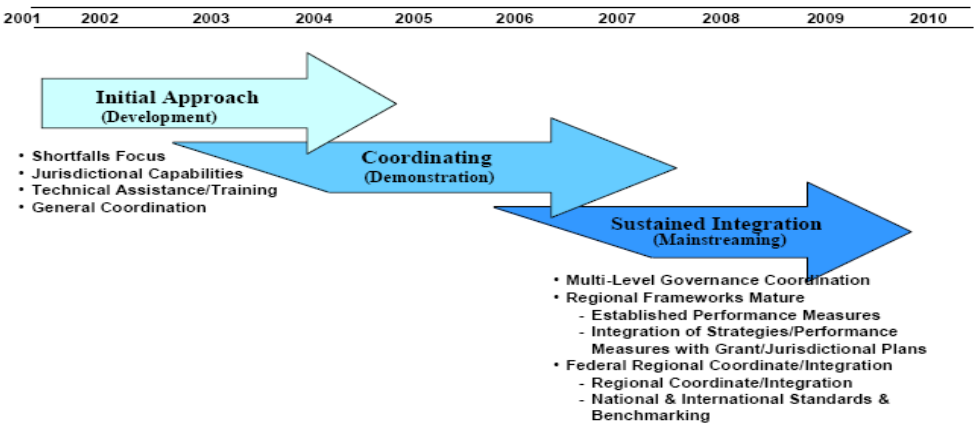
1. WashCOG REG-ECP (2002)
2. Eight Commitments to Action (2002)
3. UASI Strategy (2003)
4. (CAO)-Senior Policy Group (SPG) Priorities (2004)
5. Regional Emergency Support Functions (R-ESF) Plans (2005)

Additionally, we used the following federal documents to assist us in the design process:

1. *2002 National Strategy for Homeland Security*
2. *Department of Homeland Security Strategic Plan*
3. HSPDs 5, 7, and 8
4. NIMS
5. NRP
6. Guidance templates for the National Preparedness Goals
7. DHS State and Urban Area Grant Guidance

We also recognized that the *Strategic Plan* would need to evolve to keep pace with the NCR's changing priorities. We agreed to use collaborative, integrative planning within the NCR to make updates to the Strategic Plan. Figure D-2 depicts how we view the long-term process of enhancing overall collaborative planning within the NCR.

Figure D-2—Integrative/Collaborative Planning within the NCR



D.2. Initiative Development (Jun 2005 – Nov 2005)

After reaching consensus on the high-level Goals and Objectives, we focused on Initiative development to support the strategic Goals (see Figure D3). A series of four facilitated Goal Groups, involving representatives of the 14 NCR jurisdictions and local, state, Regional and Federal stakeholders, met between June and November 2005 to finalize the strategic Goals and Objectives and begin developing detailed Initiatives. A review group made up of representatives from each of the Goal Groups met to review and coordinate Initiative development; determine how well the Initiatives addressed Regional weaknesses and gaps; determine whether the Initiatives incorporated both the seven National Preparedness Goals and the 37 Target Capabilities; and to develop a list of priority Initiatives for consideration by the NCR Partners.

Figure D3 – Initiative Development

A June 2005 plenary session helped achieve NCR-wide agreement on an executable strategic plan for homeland security. The plenary session initiated discussions to organize, align, and integrate a broad array of policies, programs, and actions within the NCR. The plenary participants decided to schedule their next session for September 2005, providing the established Goal working groups with three months to develop Initiatives.

At the September 2005 plenary, NCR Partners agreed to finalize the Mission, Vision, Guiding Principles, and Strategic Goals for public release on the Metropolitan Washington Council of Governance website. Participants of this session also agreed to continue the Goal Groups as a means to further develop individual Initiatives. We required each Initiative to include a description, desired results or outcomes, timeframes and costs, and a status update for those already underway. Additionally, each Initiative was to include a list of key tasks, action items, and performance measures to assess the overall effectiveness of the Initiative.

To reach final consensus on NCR Initiatives, a third plenary session was held on November 17, 2005. This session finalized the strategic Initiatives developed by the working groups, defined the process by which certain Initiatives were designated "priority," and enabled us to reach an understanding and agreement on the process going forward.

The Initiative Development phase produced the necessary growth and empowerment of the RPWGs. The RPWGs are outcome-driven, accountable working groups that develop and oversee programs and the associated projects within the NCR. The SPG also created a Program Management function within the NCR Homeland Security Grants and Program Management Office to provide effective program-level management of the projects associated with the homeland security grant funding.

D.3. Program Management and Implementation (Jan 2006 – Jul 2006)

From January through March 2006, the NCR Partners began to apply the NCR FY 06 grant application process, based on the *FY 2006 Homeland Security Grant Program – Program Guidance and Grant Application Kit* (December 2005). The SPG/CAOs established a process that would be used for selecting specific projects in future grant awards and for developing and assigning action items to finalize projects. Management of these projects would be guided by RPWGs and a program management function within the NCR Homeland Security Grants and Program Management Office.

In January 2006, the SAA hosted a Homeland Security Target Capabilities Workshop, a collaborative meeting R-ESF Committees from its member jurisdictions, to assess the NCR's current homeland security program capabilities and future program needs. This meeting was designed to complete the Program and Capabilities Review required under the 2006 Homeland Security Grant Program.

Under the DHS Program and Capability Review, states are required to focus on seven National Priorities and eight specific Priority Capabilities that flow from them. Under the DHS grant provisions, assessment of the eight Priority Capabilities is mandatory for all jurisdictions. Through the review process, the NCR developed two key submissions for the FY 2006 grant application:

1. *Program and Capabilities Enhancement Plan*, which is a multi-year program management plan for the entire NCR homeland security program that looks beyond grant programs and funding; and
2. *Investment Justification*, which identified specific Initiatives from the Enhancement Plan for which the NCR proposed to use FY 2006 UASI funding.

The NCR Homeland Security Grants and Management Office is held accountable for meeting the performance measurements set forth in Enhancement and Investment Plans developed as a part of the NCR UASI application.

In February, 2006, another session was conducted to review and rank the 100+ Concept Papers/Initiative Plans submitted. Individuals representing the 16 R-ESFs and the 15 RPWGs evaluated the concept papers. The outcome of this practitioner-level evaluation was compiled for use by the SPG/CAOs in a workshop held on February 15th, 2006 at which the target funding amounts were determined for each submitted investment justification. The target cap on the overall FY 2006 package was determined by reviewing the strengths and weaknesses associated with the capabilities review and understanding what could be practically accomplished within a two-year grant timeframe. The senior leadership of the NCR also considered the use of FY 2005 funding, the level of maintenance of current projects, and other factors to inform final decisions.

On March 29, 2006, the Governments of the District of Columbia, Commonwealth of Virginia, State of Maryland, and the Office for National Capital Region Coordination testified in front of the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia at the Readiness in the National Capital Region Hearing. Here, they:

- Provided a synopsis of the planning framework and process;
- Aided the Committee to better understand the enhanced collaborative actions we have taken since July 2005;
- Presented the NCR's collective vision for regional preparedness utilizing the FY 06 Homeland Security Grant Program Guidance; and
- Articulated progress by pointing to measurable steps taken that will improve the readiness of public and private sector and our residents across the Region.

Related to the strategic framework is the creation of multi-jurisdictional performance measures to effectively monitor and assess execution of the *Strategic Plan*. In addition to integrating guidance from DHS national efforts such as *HSPD-7* and *HSPD-8*, the NCR is also undertaking a more detailed assessment through EMAP and currently undergoing a review of emergency operation plans through the National Plan review process initiated by the President and Congress following Hurricanes Katrina and Rita.

In June of 2006, the NCR was working on the second draft of the *Strategic Plan*. NCR Stakeholders were interviewed in a two week time frame where provided their comments for the *Strategic Plan's* development. The second version of the *Strategic Plan* addressed all of these comments. The NCR Partners held a Comment Resolution Session on June 29, 2006. In this session, we reached consensus to the final version of the *Strategic Plan* that will be submitted to the EPC on July 12, 2006 for final approval.

Appendix E: Methodology Details and Management of Implementation

E.1. Risk-Based Approach

Our Mission is to "**build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from all-hazards threats or events**." This Mission creates a substantial risk management role for the NCR Partners. The challenge is to adopt a realistic, comprehensive, and forward-looking framework for managing risks to the NCR that recognizes that only a finite amount of resources can be allocated towards achieving our Mission. As a result, we must manage risks to the NCR using a cost-benefit analysis to ensure that resources are allocated where they will have the most beneficial impact. A **risk-based framework** possesses two central tenets: risk must be managed from a system perspective and funds must be targeted where there is the greatest exposure to risk.[2]

E.1.1. The NCR's Risk Challenge

The homeland security challenge faced by the NCR in the 21st century is due in large part to the expansive network that we have created to meet the demands of our economy and citizens. During the past two decades, the business and government entities comprising the NCR, as in most other metropolitan areas, have expanded and altered their business models to take advantage of the so-called "network-effect." Although these changes have significantly enhanced the efficiency and effectiveness of these entities, they have complicated the operating model. A more complicated business model and a world of uncertain threats create a NCR that becomes more complex and interdependent each year.

When considering risk management options to address homeland security concerns, we must remember that elements of the NCR do not exist in isolation. Each element represents a complex system—and each element is also embedded in an increasingly complex system. Homeland security in such an environment depends on creating sound risk management capabilities and possessing the ability to interact flexibly with elements of the national system.

Because the NCR is a complex system, developing linear risk strategies to improve a single element of the NCR would be ineffective. We cannot improve one part of the system without considering the impact on the other parts of the system, as reactions to changes in one area may negatively affect other areas. Consequently, introducing risk-based homeland security into a complex system requires a deliberate and dynamic approach.

As we have seen in New York, Madrid, Jakarta, London and New Orleans, disruptions to a metropolitan area can imperil the stability and prosperity of any nation regardless of wealth or military power. The situation facing us is even more stressing. Although Congress continues to make important investments in homeland security efforts, we do not have unlimited resources at our disposal to address all of the NCR's needs. Nor would unlimited resources ensure "perfect security"—the uncertainty of network behavior precludes the possibility of perfect security. Therefore, we must prudently prioritize according to the systems risks we face.

The first step in prioritizing risk is acknowledging that simple point solutions within the complex NCR system are not efficient or necessarily effective. Our approach to risk must be network based. Such an

[2] We recognize the importance of a common approach to risk analysis and assessments in the Region, and have agreed to make its development and implementation a priority Initiative for execution in Fiscal Years 06 and 07. Among the hundreds of vulnerability assessments and risk management methods in use, each sector has one or more favored tools. At present, the only known method for risk analysis and resource allocation at the Regional level is Critical Infrastructure Protection Decision Support System, under development by a consortium of National Laboratories under DHS sponsorship.

approach calls for a systematic decision process by which we compare and contrast the cost and time impacts of potential solutions to the threat, system vulnerabilities, and network consequences of an event. The results of this analysis enable NCR Partners to prudently prioritize strategies, investments, actions, and resources to manage risk.

E.1.2. A Risk-based Approach—Taking a System Perspective[3]

When we use a system perspective to manage risk, we identify critical risks on the basis of their impact on the system. Assessing risk from a system perspective is different from assessing risk from an asset or threat-centric viewpoint. Because systems are highly complex networks with multiple connection points and interdependencies, a risk to the system implies a complex chain of events that also must be analyzed and considered when ranking the criticality of a risk. A system perspective examines the effects a risk may have on all aspects of the system, including second- and third-order effects. For instance, an attack on one of the airports in the NCR will have an immediate effect: the airport will be shut down. Second- and third-order effects may include the effects on the Regional economy and negative public perception of the safety in the NCR.

A system perspective also considers emerging risks, which are risks that have not yet materialized but that could in the near future. Emerging risks must be examined because they have the ability to have profound second- and third-order effects in the system. The cascading effects of emerging risks on the system may significantly impede the NCR leadership from achieving its Mission.

The risk-based approach enables entities to transcend typically narrow constraints on risk management and establish a risk management system that (1) keeps senior leadership and management well-informed and focused on issues critical to driving and protecting the core Mission; (2) integrates effectively with ongoing strategic and planning efforts (e.g., links risk to the strategic goals of an organization); and (3) enables business and governmental processes to continue and thrive. The system perspective is also fully aligned with the approaches used by the NCR's 14 jurisdictions and is aligned with national-level homeland security objectives and risk management methodologies under development by DHS.

E.1.3. Risk Assessment and Prioritization

The risk assessment process begins with identifying three components necessary for examining risk: (1) Threat—the probability of a risk materializing, (2) Vulnerability—a weakness in the system that can be exploited to gain access and cause harm to the system, and (3) Consequence—the impact or effect of the risk materializing, e.g., lives lost, disruption to the system, financial cost, damage to the public psyche. These three components are variables in an equation. If one variable changes, the entire risk changes. For example, a crop-duster airplane sprinkling a biological agent over northern Alaska is different than a crop-duster sprinkling that same agent over a farm in Germantown, Maryland. The difference in time, geography, mode, or asset can greatly change the magnitude or criticality of a threat, vulnerability, or consequence.

To arrive at specific threats, vulnerabilities, and consequences that must be assessed in order to determine risk, this framework uses a scenario-based methodology to assist decision makers in identifying and understanding potential risks to the system. Our dynamic threat environment creates a potential for a wide range of changing risks—the fundamental question for the NCR is how to meet these challenges. The system-based approach gives us the ability to examine some key questions:

[3]The risk-based approach outlined in this section provides the overall framework on how the NCR Partners address risk as part of this *Strategic Plan*. We will continually develop and refine this approach.

- Who "owns" the risk?
- How do we identify the highest risks?
- How do we manage these risks and who should do it?
- How do we balance resource allocation against risks?
- How can we ensure real risk reduction?

A process to examine systems-based risk in the context of these questions must be methodical, iterative, and traceable.

E.1.4. Dynamic Nature of Risk-Based Approach

The NCR Partners have developed their *Strategic Plan* to address a list of critical risks (see Section 3.2). As we determine which capabilities can be bolstered, created, and mapped to specific critical risks for purposes of allocating set resources and measuring performance, we must appreciate that the critical risk list will change. Because of the changing nature of threats, continuous technological improvements, and policy changes, the elements that comprise risks are constantly changing. Because of this continual flux, we must keep the framework to manage those critical risks as adaptive and flexible as possible. If critical risks are altered or new emerging critical risks arise, capabilities must already be in place to address those changes. Therefore, the strategic approach must accommodate the varying levels of risk within the 14 jurisdictions, the all-hazards scope of the *Strategic Plan*, and the fluctuating nature of the critical risks.

E.1.5. CIP RPWG's Emerging Strategy

The CIP RPWG's emerging strategy (see Section 3.2) will in part help to focus on the need to address the dynamic nature of a risk-based approach. The CIP RPWG strategy has two major goals supportive of the overall risk-based approach of the *Strategic Plan*: (1) *Decision Support*—to build capacity for making prudent investments in infrastructure risk reduction projects by private and public officials; and (2) *Implementation Support*—to take such immediate steps as are mandated or clearly compelling to directly contribute to making the NCR's critical infrastructures more secure and resilient.

Six key objectives summarize the need for **Decision Support (**including awareness, organization, and decision support):

- Assess the state of security of the critical infrastructures not yet assessed (as many as seven more sectors);
- Create action plans and increase awareness of CIP and interdependencies by conducting a series of meetings and a series of public-private table top exercises at the sector and Regional level;
- Initiate and facilitate *councils* for Regional information-sharing, coordination and decision-making as leadership partnerships for all stakeholders;
- Provide analytic decision support using metrics, models, and other methodologies to facilitate planning and selection of risk reduction projects;
- Facilitate implementation of the selected risk reduction projects, starting with vulnerability assessments of the infrastructures of highest priority to the Region; and
- Evaluate improvement and design enhancements in critical infrastructure security and resilience in the NCR, and empirically measure baseline levels of key regional outcome metrics to serve as baselines for later comparisons.

The following objectives summarize **Implementation Support** and how activities will be carried out:

1. Integrate state and local CIP activities and plans with other Regional initiatives, to include: Harmonization of critical asset lists in existence in the region; *District of Columbia CIP Plan; Maryland CIP Plan*; *Virginia CIP Plan*; *Regional Emergency Coordination Plan* (facilitated by COG); the *Strategic Plan*;
2. Develop NCR standards for Critical Infrastructure Protection Compliance Program, to include: NCR and sector standards that accredidate critical infrastructure/key assets as compliant; coordinate with insurance community for assistance and buy in; coordinate with MD, VA, and DC strategies; and
3. Coordinate and/or conduct regional table-top CIP and interdependency focused exercises, targeted to specific stakeholders, such as private sector executives of non-critical businesses, citizens, homeland security leaders and professionals from the response community.

E.2. Capabilities-Based Approach

Capabilities-based planning and analysis[4] are key components to the *Strategic Plan's* overall methodology. Using the target list of 37 capabilities established by DHS, the NCR can build the needed Regional capacity to prepare for the broad range of potential all-hazards threats. These target capabilities serve as the groundwork to prevent, protect against, respond to and recover from potential incidents. By using a capabilities-based approach, NCR Partners are able to set priorities for the most effective use of resources and establish a process that determines how current systems will evolve to meet mission capability requirements.

The 37 Target Capabilities also help to identify existing resources and performance levels in the NCR. Each capability provides a means to achieve a measurable outcome resulting from performance of one or more critical tasks, under specified conditions and performance standards. During the planning process, the NCR determined target levels of these capabilities to deal with determined risks and gaps in the Region. It also allows the NCR to identify areas of weakness based on mandated measures.

Through identified capabilities, NCR Partners and first responders are able to strengthen inter-jurisdictional relationships as well as engage in Regional preparedness planning and operations support. No single jurisdiction is expected to have all capabilities at a sufficient level to address all major events. Instead, jurisdictions call for support from other jurisdictions through mutual aid agreements. This approach demands that stakeholders understand operational requirements and Regional capability levels in order to adequately prepare for an emergency. Capabilities-based planning and analysis offers a transparent process and provides measurable goals and action items as well as enables the NCR to link procurement decisions to strategic Goals. This planning process encourages a joint approach by collaborating tools and resources in order to attain target aims and it engages planners at all levels to coordinate and understand the Region's level of preparedness.

Using target capabilities in the NCR strategic planning process gives local and State agencies a tool that can be used in preparedness planning to assess preparedness, develop strategies to enhance preparedness, and establish priorities for the effective use of limited resources. It also enhances training programs, identifies technology development priorities, and evaluates performance during exercises and real events. By working through a capabilities-based approach, the NCR is able to create an agile and flexible response plan that can meet a wide range of threats and emergencies.

[4] Capabilities-based planning and analysis is founded on the 15 National Homeland Security Scenarios and applied to the NCR as well as the *Target Capabilities List.*

While the *Strategic Plan* is designed to address all 37 target capabilities, its immediate implementation will focus primarily on 14 priority capabilities:

1. Planning
2. Interoperable Communications
3. Community Preparedness and Participation
4. Information-Sharing and Dissemination
5. Law Enforcement Investigation and Operations
6. CBRNE Detection
7. Critical Infrastructure Protection
8. Critical Resource Logistics and Distribution
9. Explosive Device Response Operations
10. WMD/ HazMat Response and Decontamination
11. Citizen Protection
12. Medical Surge
13. Mass Prophylaxis
14. Mass Care

Eight have been designated by DHS and six have been identified by the NCR Partners during the strategic planning and implementation process.[5] Implementation of this *Strategic Plan's* priority Initiatives will strengthen these 14 capabilities, help to close the NCR's most pressing homeland security gaps, and bring the NCR into alignment with mandated DHS national priorities. As part of the capability-based planning process, we will periodically review this list of priorities and make adjustments as necessary.

National Homeland Security Target Capabilities

- *Planning
- *Interoperable Communications
- *Community Preparedness and Participation
- Risk Management

Prevent Mission Capabilities

- Information Gathering / Indicator & Warning Recognition
- Intelligence Analysis and Production
- *Information Sharing and Dissemination
- *Law Enforcement Investigation and Operations
- *CBRNE Detection

Protect Mission Capabilities

- *Critical Infrastructure Protection
- Food and Agriculture Safety and Defense
- Epidemiological Surveillance and Investigation
- Public Health Laboratory Testing

Recover Mission Capabilities

- Structural Damage and Mitigation Assessment
- Restoration of Lifelines
- Economic and Community Recovery

Response Mission Capabilities

- Onsite Incident Management
- Emergency Operations Center Management
- *Critical Resource Logistics and Distribution
- Volunteer Management and Donations
- Responder Safety and Health
- Public Safety and Security
- Animal Health Emergency Support
- Environmental Health
- *Explosive Device Response Operations
- Firefighting Operations/Support
- *WMD/ HazMat Response and Decontamination
- *Citizen Protection
- Isolation and Quarantine
- Urban Search and Rescue
- Emergency Public Information and Warning
- Triage and Pre-Hospital Treatment
- *Medical Surge
- Medical Supplies Management and Distribution
- *Mass Prophylaxis
- *Mass Care
- Fatality Management

*NCR Priority Capabilities

E.3. Consensus-Building Process

The multi-jurisdictional nature of the NCR presents one of the most unique and challenging aspects to its preparedness planning. The Region's 14 jurisdictions are of vastly different size in both population and geographic coverage. To ensure that the preparedness needs and interests of one jurisdiction do not dominate the *Strategic Plan*, NCR stakeholders adopted a consensus-building approach when they developed the *Strategic Plan*.

Successful consensus-building relies on an iterative development process built around five basic tenets: (1) Include the full spectrum of NCR Partners, (2) Involve stakeholders throughout the strategic planning process, (3) Provide a variety of forums for stakeholder involvement, (4) respect of jurisdictional authority, and (5) ensuring the preparedness needs of all jurisdictions are balanced. Both the NCR's strategic planning process and governance structure are continually refined to ensure application of each tenet.

[5] The 14 priority Initiatives were identified during the 2006 Urban Area Security Initiative grant process and used, along with the Initiatives included in the *Strategic Plan*, as the basis for the Region's UASI submission in February 2006.

The various NCR governance bodies, described in detail in Chapter 4, are designed to reflect the diversity of NCR stakeholders within the 14 jurisdictions and ensure the representation of their needs and interests. The groups and committees that comprise the NCR governance structure are involved at many points in the development process, to include the formulation of high-level strategies and the definition of specific Initiatives. Furthermore, stakeholders are provided multiple forums for involvement, including committees, working groups, and practitioner groups. Decisions within each of these groups are reached through consensus. Applying a consensus-building approach to NCR strategic planning ensures a comprehensive and balanced view of preparedness and promotes partnership-building and ownership among stakeholders, all of which are critical success factors for Regional preparedness.

E.4. The Performance Based Perspective

Performance management is a key component of the *Strategic Plan's* overall methodology. The purpose of a strategic plan is to drive an organization toward actions that result in the accomplishment of its strategy. Without action, any strategic plan will be a failure. However, the actions must be the correct ones. Measurement of performance against the *Strategic Plan* ensures that NCR stakeholders base their actions on the *Strategic Plan*, that these actions produce the expected results, and that those results lead to success.

Measure Timeliness

Lagging measures provide performance information that may be more directly related to ultimate success, but is less useful for operational management because it's availability is infrequent and/or delayed.

Leading measures provide information that is frequently and quickly available, and which quantifies performance which is thought to contribute to the results ultimately desired.

As part of the strategic planning process, we developed standards for assessing NCR strategic performance. During the development phase, as strategic needs were proposed and discussed, the NCR Partners carefully shaped and selected Goals, Objectives, and Initiatives along with clearly defined and understood results. Subsequently, we identified parameters that communicate both the status of progress in completing the planned actions (project milestones) and the results or benefits of having done so (performance measures). Although milestones are intended for use during implementation at the Initiative level, measures are used after actions are completed and are applied at the levels of Initiatives, Objectives, and Goals.

We determined milestones by identifying the major expected tangible outputs at intervals of implementation. The NCR Partners also assigned timeframes associated with the completion of each milestone based on our understanding of the Initiative and the level of effort required. Detailed budgets for each Initiative, as they are developed, will also be linked to these milestones. Data tracked against these cost, schedule, and level of effort standards will provide a comprehensive project management view for implementing these Initiatives.

Measure Types

Outcome measures quantify the effect on the organization or environment of an activity. Outcomes may be more immediate (directly resulting from the activity), or more ultimate (resulting from the activity and a few to many other factors).

Output measures describe the product of an activity: quality, quantity, accuracy, etc.

Proxy measures are those which are selected to be closely tied to a direct result which cannot be easily or usefully measured. Example: measuring precursors to failure (radiation exposures exceeding regulatory limits) where failure (reactor incidents) is not an option.

Efficiency measures describe the economy of a particular activity or performance in terms of outputs per input resources.

Cost effectiveness measures describe the economy of an activity or group of activities in terms of input resources required to achieve a given outcome.

The performance measures developed for the *Strategic Plan* elements include output, efficiency, and outcome measures. Generally, outcome measures are favored over output measures, especially at the higher levels of Objectives and Goals. Outcomes provide a

clearer assessment of the effectiveness of actions, rather then merely levels of activity. Together, they answer the "so what?" question, which is always relevant.

Despite the preference for outcome measures, output measures were deemed the best choice for several Initiatives. Outcomes associated with the Initiatives will be affected by many factors beyond a single specific Initiative: therefore an outcome measure at the Objective level was deemed more appropriate. Outputs specific to these Initiatives are measured to provide insight to the level of contribution toward the outcome.

Often, output measures can provide more timely insight for management purposes than outcome measures. Because output measures provide information that is more frequently and quickly available (i.e., "leading" measures), management does not need to wait for final outcome measures to be generated and assessed (i.e., "lagging" measures) to make decisions.

In the same way, "proxy" measures are sometimes used in place of outcomes for plan elements whose desired outcome is safety or security. In these circumstances, success occurs when no negative event is experienced. Counting or measuring these events provides performance information too late to be of value, so more "leading" indicators of prevention success must be used instead.[6]

Finally, efficiency measures have generally been formulated in instances in which they can be associated with outcomes (cost-effectiveness), rather than simply outputs. Cost-effectiveness, like outcome measures, provides more relevant information than output efficiency. However, the latter is sometimes useful as a leading indicator of the former.

Measures in this *Strategic Plan* were developed according to accepted practices in the performance measurement and management field. Criteria for "good" performance measures (see Appendix B) were applied to ensure the quality and usefulness of the proposed set.

Other Measurement Terms

Milestone: one of a series of objectively verifiable achievements or outputs contributory to and occurring at intervals on the way to the completion of a project

Measure: an attribute capable of being quantified

Measurement: the actual value of a measure applied to a particular object at a particular time

Target: The desired value for a measure; the level of performance to be achieved

We developed the targets for the various measures based on their best understanding of current, achievable, and desirable levels of performance. In some cases, targets cannot be set because the baseline levels of current performance are unavailable to inform an assessment of achievable performance. Where baselines or targets have not yet been determined, we have shown the approximate timing when they will be available instead of the baseline or target value. Ongoing performance assessment will provide missing baselines, improve the understanding of achievable performance ranges, and allow future targets to be defined or refined. Targets will be used to judge the adequacy of the performance achieved.

The resulting scheme of performance measurement satisfies needs for results information at multiple levels, as indicated by the shaded rows in Table E-1. The *Strategic Plan's* strategic level measurement scheme is not designed for measuring either mission-level or operations-level performance. Because NCR operations are carried out and managed at the individual jurisdictional level, measuring this

[6] For OMB's guidance on dealing with this measurement challenge, see *"Performance Measurement Challenges and Strategies,"* OMB June 18, 2003, p.11.

performance at the strategic level would be inappropriate. Mission-level measurement, although not specifically addressed by this *Strategic Plan*, would be informed by and at least partly composed of the most critical Goal level strategic measures. For detailed information on the performance measures for Goals, Objectives, and Initiatives, see Appendix A.

Table E-1—Levels of NCR Homeland Security Performance Measurement

Level	Question Answered	Focus	Timeliness	Type
Mission	How effective is the NCR homeland security function at securing the NCR?	Strategic	Lag	Ultimate outcome (or proxy), effectiveness, cost- effectiveness
Goals ***Objectives***	What is the status of achieving major outcomes that lead to mission success?	Strategic	Lag	Outcome (or proxy), effectiveness
Initiative	What are the immediate results of the completed Initiatives?	Strategic/ operational	Lead/lag	Immediate outcome (or proxy), output, efficiency
Operations	How well is the NCR homeland security function operating?	Operational	Lead	Output, efficiency,

E.5. Management of Implementation

In addition to the risks associated with all-hazards threats to the NCR, the NCR Partners face implementation risk. Implementation risk represents areas or events that have the potential to negatively impact the execution of the *Strategic Plan*'s Initiatives and the development of a capability. To minimize implementation risk, we will use a proven implementation risk management process. The goal of the implementation risk process is to monitor and manage risks to cost and performance of the Initiatives so that we develop the NCR capabilities for the greatest impact, at the lowest price available, and with minimal risk. This process employs three steps: risk identification, risk analysis, and risk mitigation. Figure E-1 illustrates the flow of the NCR implementation risk process and the resulting actions for each phase. As the implementation risk management process matures, we will realize cost avoidance and savings. These savings will demonstrate continued stewardship of NCR resources and help to ensure that cost continues to be balanced with effective implementation risk management.

Implementation Risk Identification

We will use a proven and verified method for identifying potential risk to the cost, schedule, and ability of an Initiative to deliver and perform against Goals and Objectives. Many risks will represent ongoing constraints of the public sector, including funding cuts, political sponsorship, and shared governance.

Implementation Risk Analysis

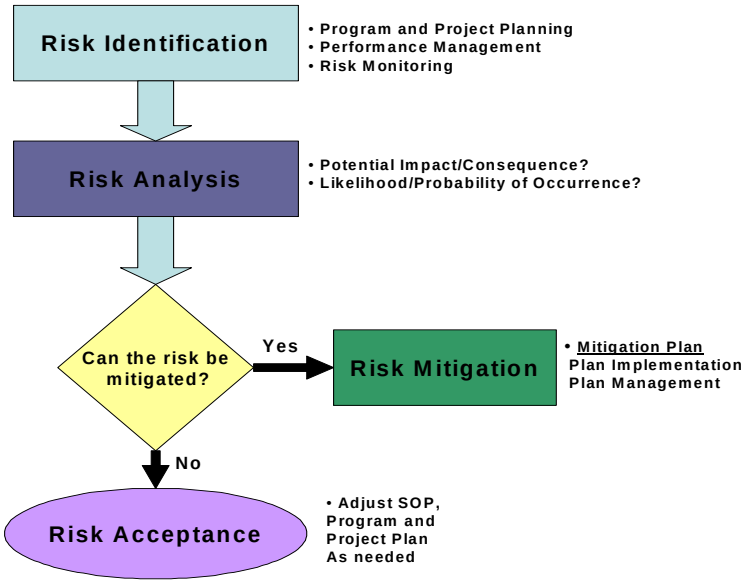
We will analyze every potential risk to estimate the likelihood or probability that an event will occur in a specific timeframe; identify the potential impact on schedule, cost or scope; and determine the overall effect on related programs and Initiatives. The result of risk analysis will be a prioritization of potential risks to Initiative implementation.

Implementation Risk Mitigation

Once we identify a potential risk and determine its potential impact and priority, we must develop a plan for mitigation and ongoing monitoring. This plan will contain a description of the potential risk, the risk analysis results, a strategy to minimize the risk's impact on the *Strategic Plan's* implementation, and a timeline for implementation of the risk mitigation strategy (Mitigation Plan). The Mitigation Plan will also describe the essential program oversight to be maintained to ensure that Initiatives produce

aggregate value to NCR capability development. If a risk cannot be mitigated, it will be accepted as an ongoing implementation constraint that must be recognized as a fixed characteristic of the project execution environment. We will design the Mitigation Plan to ensure best practices and quality of delivery are maintained throughout NCR Initiative implementation lifecycles.

Figure E-1—NCR Implementation Risk Management Process



Appendix F: EMAP Standards and Findings Mapped to Initiatives

Table F-1 shows the alignment between the 30 strategic Initiatives outlined in the *Strategic Plan* and the Emergency Management Accreditation Program (EMAP). EMAP is a "voluntary national accreditation process for state, territorial, tribal and local emergency management programs" that uses recognized nationals standards as a means for evaluating and improving emergency management programs.

Table F-1 shows the alignment between the *Strategic Plan's* 30 Initiatives and EMAP's 58 standards for emergency management programs. Each "x" in the tables represents an alignment between a strategic Initiative and a particular EMAP standard. The 58 EMAP standards have been compressed in Table F-1 into 18 categories, based on the EMAP Standard issued in April 2006, for ease of use.

22 out of the 30 Initiatives in the *Strategic Plan* address 54 of the 58 EMAP standards. Those standards that address general operational considerations, such as assigning functional roles for emergency response operations, are beyond the scope of the *Strategic Plan*. With two exceptions, the eight Initiatives that are not aligned with EMAP fall under Goal 3 (Prevent & Protect) and deal with intelligence, surveillance, and critical infrastructure protection. EMAP, an emergency management program, does not address these Initiatives.

The EMAP standards related to "Program Management" are generally covered under Goal 1 (Planning & Decision-making). Those related to "Communications" are covered under Goal 2 (Community Engagement). The majority of the remaining EMAP standards are addressed in Goal 4 (Response & Recovery).

In early 2006, EMAP conducted a pilot assessment[7] of the NCR and found "low" or "moderate" compliance with 54 of the EMAP standards. Table F-2 shows the Region's level of compliance ("L" for low, "M" for moderate) for each of the 54 standards and the Objective that is addressing the gap or shortfall. All 54 standards are addressed by at least one Objective.

[7] See Volume 1, Section 5.1.3 for a more detailed discussion of the EMAP Assessment and its relationship to the *Strategic Plan*.

Table F-1—Alignment of the *Strategic Plan* with EMAP Standards

Mapping EMAP Standards to NCR Strategic Initiatives	Goal One						Goal Two			
	1.1.1	1.1.2	1.2.1	1.2.2	1.3.1	1.3.2	2.1.1	2.1.2	2.2.1	2.2.2
Chapter 4: Program Management										
4.1 - Program Administration	x									
4.2 - Program Coordinator		x								
4.3 - Advisory Committee					x					
4.4 - Program Evaluation	x									
Chapter 5: Program Elements										
5.2 - Laws and Authorities	x									
5.3 - Hazard Identification, Risk Assessment...			x							
5.4 - Hazard Mitigation				x						
5.5 - Resource Management										x
5.6 - Mutual Aid										
5.7 - Planning	x									
5.8 - Direction, Control and Coordinatoin										
5.9 - Communications and Warning							x			
5.10 - Operations and Procedures										
5.11 - Logistics and Facilities										
5.12 - Training										
5.13 - Exercises, Evaluations and Corrective Actions										
5.14 - Crisis Communications, Public Information...							x	x		
5.15 - Finance and Administration						x				

Mapping EMAP Standards to NCR Strategic Initiatives	Goal Three							
	3.1.1	3.1.2	3.1.3	3.1.4	3.2.1	3.2.2	3.3.1	3.3.2
Chapter 4: Program Management								
4.1 - Program Administration								
4.2 - Program Coordinator								
4.3 - Advisory Committee								
4.4 - Program Evaluation								
Chapter 5: Program Elements								
5.2 - Laws and Authorities								
5.3 - Hazard Identification, Risk Assessment...								
5.4 - Hazard Mitigation								
5.5 - Resource Management								
5.6 - Mutual Aid								
5.7 - Planning	x							
5.8 - Direction, Control and Coordinatoin								
5.9 - Communications and Warning								
5.10 - Operations and Procedures								
5.11 - Logistics and Facilities								
5.12 - Training		x						
5.13 - Exercises, Evaluations and Corrective Actions								
5.14 - Crisis Communications, Public Information...								
5.15 - Finance and Administration								

Mapping EMAP Standards to NCR Strategic Initiatives	Goal Four											
	4.1.1	4.1.2	4.1.3	4.2.1	4.2.2	4.2.3	4.3.1	4.3.2	4.3.3	4.4.1	4.4.2	4.4.3
Chapter 4: Program Management												
4.1 - Program Administration												
4.2 - Program Coordinator												
4.3 - Advisory Committee												
4.4 - Program Evaluation												
Chapter 5: Program Elements												
5.2 - Laws and Authorities												
5.3 - Hazard Identification, Risk Assessment...												
5.4 - Hazard Mitigation												
5.5 - Resource Management							x					
5.6 - Mutual Aid								x				
5.7 - Planning		x										x
5.8 - Direction, Control and Coordination		x			x							
5.9 - Communications and Warning				x		x			x			
5.10 - Operations and Procedures	x	x	x									x
5.11 - Logistics and Facilities							x					
5.12 - Training												
5.13 - Exercises, Evaluations and Corrective Actions	x									x		
5.14 - Crisis Communications, Public Information...												
5.15 - Finance and Administration												

Table F-2—Alignment of the *Strategic Plan* with EMAP Assessment Findings

Standard Number	EMAP Key Findings Gaps and Shortfalls	Rating	Goal 1			Goal 2		Goal 3			Goal 4			
			1.1	1.2	1.3	2.1	2.2	3.1	3.2	3.3	4.1	4.2	4.3	4.4
4.1	Program Administration	L	X	X										
4.2	Program Coordinator	M	X	X										
4.3	An advisory committee shall be established by the entity in accordance with its policy.	M	X											
4.3.2	The advisory committee shall provide input to or assist in the coordination of the preparation, implementation, evaluation, and revision of the program.	M	X											
4.3.3	The committee shall include the program coordinator and others who have the appropriate expertise and knowledge of the entity and the capability to identify resources from all key functional areas within the entity and shall solicit applicable external re	M	X											
4.4	Program Evaluation	L									X			X
5.2.1	The disaster/emergency management program shall comply with applicable legislation, regulations, and industry codes of practice.	M	X		X									
5.2.2	The entity shall implement a strategy for addressing needs for legislative and regulatory revisions that evolve over time.	M	X		X									
5.3.1	The entity shall identify hazards, the likelihood of their occurrence, and the vulnerability of people, property, the environment, and the entity itself to those hazards.	L	X	X										
5.3.3	The entity shall conduct an impact analysis to determine the potential for detrimental impacts of the hazards on conditions	L	X	X										
5.4	Hazard Mitigation	L		X	X					X				
5.5.51	The entity shall establish resource management objectives consistent with the overall program goals and objectives as identified in Section 4.1 for the hazards as identified in Section 5.3.	L										X	X	

Standard Number	EMAP Key Findings Gaps and Shortfalls	Rating	Goal 1			Goal 2		Goal 3			Goal 4			
			1.1	1.2	1.3	2.1	2.2	3.1	3.2	3.3	4.1	4.2	4.3	4.4
5.5.2	The resource management objectives established shall consider, but not be limited to, the following: (1) Personnel, equipment, training, facilities, funding, expert knowledge, materials, and the time frames within which they will be needed (2) Quantity, r	L										X	X	
5.7.2.1	The program shall include, but shall not be limited to, a strategic and coordination plan, emergency operations/response plan, a mitigation plan, a recovery plan, and a continuity plan.	L									X			
5.7.2.2	Emergency Operations/ Response plan. Local and regional level capabilities only partially comply with standard.	M									X			
5.7.2.2	The emergency operations/response plan shall assign responsibilities to organizations and individuals for carrying out specific actions at projected times and places in an emergency or disaster.	M									X	X		
5.7.2.3	The mitigation plan shall establish interim and long-term actions to eliminate hazards that impact the entity or to reduce the impact of those hazards that cannot be eliminated.	L						X						
5.7.2.4	The recovery plan shall be developed using strategies based on the short-term and longterm priorities, processes, vital resources, and acceptable time frames for restoration of services, facilities, programs, and infrastructure.	L											X	X
5.7.2.5	A continuity plan shall identify the critical and time-sensitive applications, vital records, processes, and functions that shall be maintained, as well as the personnel and procedures necessary to do so, while the damaged entity is being recovered.	L									X	X		
5.7.3.1	The functional roles and responsibilities of internal and external agencies, organizations, departments, and individuals shall be identified.	L									X			X
5.8.1	The entity shall develop the capability to direct, control, and coordinate response and recovery operations.	M									X			
5.8.3	The incident management system shall be communicated to and coordinated with appropriate authorizations and resources identified in Section 5.5.	L									X			
5.8.4	The entity shall establish applicable procedures and policies for coordinating response, continuity, and recovery activities with appropriate authorities and resources while ensuring compliance with applicable statutes or regulations.	L										X		

Standard Number	EMAP Key Findings Gaps and Shortfalls	Rating	Goal 1			Goal 2		Goal 3			Goal 4			
			1.1	1.2	1.3	2.1	2.2	3.1	3.2	3.3	4.1	4.2	4.3	4.4
5.9.1	Communications systems and procedures shall be established and regularly tested to support the program.	M							X			X		
5.9.3	Emergency communications and warning protocols, processes, and procedures shall be developed, periodically tested, and used to alert people potentially impacted by an actual or impending emergency.	L							X			X		
5.10.1	The entity shall develop, coordinate, and implement operational procedures to support the program.	M									X	X		
5.10.2	The safety, health, and welfare of people, and the protection of property and the environment under the jurisdiction of the entity shall be addressed in the procedures.	L	X								X			
5.10.3	Procedures, including life safety, incident stabilization, and property conservation, shall be established and implemented for response to, and recovery from, the consequences of those hazards identified in Section 5.3.	L											X	X
5.10.4	A situation analysis that includes a damage assessment and the identification of resources needed to support response and recovery operations shall be conducted.	L									X			
5.10.5	Procedures shall be established to allow for initiating recovery and mitigation activities during the emergency response.	L											X	
5.10.6	Procedures shall be established for succession of management/government as required in 5.7.2.5.	L									X			
5.11.1	The entity shall establish logistical capability and procedures to locate, acquire, store, distribute, maintain, test, and account for services, personnel, resources, materials, and facilities procured or donated to support the program.	L												X
5.11.2	A primary and alternate facility capable of supporting continuity, response, and recovery operations shall be established, equipped, periodically tested, and maintained.	L									X			
5.12.1	The entity shall assess training needs and shall develop and implement a training/educational curriculum to support the program. The training and education curriculum shall comply with all applicable regulatory requirements.	L						X						

Standard Number	EMAP Key Findings Gaps and Shortfalls	Rating	Goal 1			Goal 2		Goal 3			Goal 4			
			1.1	1.2	1.3	2.1	2.2	3.1	3.2	3.3	4.1	4.2	4.3	4.4
5.12.2	The objective of the training shall be to create awareness and enhance the skills required to develop, implement, maintain, and execute the program.	L						X						
5.12.3	Frequency and scope of training shall be identified.	L						X						
5.12.4	Personnel shall be trained in the entity's incident management system.	L						X						
5.12.5	Training records shall be maintained.	L						X						
5.13.1	The entity shall evaluate program plans, procedures, and capabilities through periodic reviews, testing, post-incident reports, lessons learned, performance evaluations, and exercises.	L									X			
5.13.2	Exercises shall be designed to test individual essential elements, interrelated elements, or the entire plan(s).	L						X						
5.13.3	Procedures shall be established to ensure that corrective action is taken on any deficiency identified in the evaluation process and to revise the relevant program plan.	L									X			
5.14.1	The entity shall develop procedures to disseminate and respond to requests for predisaster, disaster, and post-disaster information, including procedures to provide information to internal and external audiences, including the media, and deal with their i	L					X		X					
5.14.2	The entity shall establish and maintain a disaster/emergency public information capability	M				X			X					
5.14.3	Where the public is potentially impacted by a hazard, a public awareness program shall be implemented.	M				X	X							
5.15.1	The entity shall develop financial and administrative procedures to support the program before, during, and after an emergency or disaster.	M							X					
5.15.2	Procedures shall be established to ensure that fiscal decisions can be expedited and shall be in accordance with established authority levels and accounting principles.	M											X	

Appendix G: List of Acronyms

CAO – Chief Administrative Officer

CBRNE – Chemical, Biological, Radiological, Nuclear and Explosive

COG – Council of Governments (see also MWCOG)

CIP – Critical Infrastructure Protection

CI/KR – Critical Infrastructure / Key Resources

DHS – Department of Homeland Security

EAS – Emergency Alert System

EMAP – Emergency Management Accreditation Procedures

EPC – Emergency Preparedness Council

EPG – Exercise Program Group

ESF – Emergency Support Function (see also R-ESF)

ETOP – Exercise and Training Operations Program

HSEC – Homeland Security Executive Committee

HSGP – Homeland Security Grant Program

ICS – Incident Command System

IMT – Incident Management Team

JFC – Joint Federal Committee

MWCOG – Metropolitan Washington Council of Governments

NCR – National Capital Region

NCRC – Office for National Capital Region Coordination

NIMS – National Incident Management System

NIPP – National Infrastructure Protection Plan

NSSE – National Security Special Event

NVOAD – National Voluntary Organization Active in Disaster

PMO – Program Management Office

RECP – Regional Emergency Coordination Plan

R-ESF – Regional Emergency Support Function

RPWG – Regional Program Working Group

ROM – Rough Order of Magnitude

SAA – State Administrative Agency

SME – Subject Matter Expert

SPG – Senior Policy Group

TCL – Target Capabilities List

UASI – Urban Area Security Initiative

VOAD – Voluntary Organization Active in Disaster (see also NVOAD)

WMD – Weapons of Mass Destruction

Appendix H: Glossary

Action Item: Tactical step necessary to implement an Initiative.

All-Hazards: "Refers to preparedness for domestic terrorist attacks, major disasters, and other emergencies." (Source: HSPD-8, December 2003)

Chief Administrative Officers Committee (CAO Committee): A technical committee within MWCOG composed of the chief administrative officers from member local governments. (Source: MWCOG.org)

Emergency Management Accreditation Program (EMAP): The voluntary assessment and accreditation process for state/territorial, tribal, and local government programs responsible for coordinating prevention, mitigation, preparedness, response, and recovery activities for natural and human-caused disasters.

Emergency Preparedness Council (EPC): "An advisory body which reports to the MWCOG Board of Directors. The EPC makes policy recommendations to the MWCOG Board through the Public Safety Policy Committee and makes procedural or other recommendations to the MWCOG Board or to various regional agencies with emergency preparedness responsibilities or operational response authority." (Source: MWCOG.org)

Emergency Support Function (ESF): A grouping of government and certain private-sector capabilities into an organizational structure to provide support, resources, and services. (Source: *National Response Plan*, December 2004)

Fiscal Year: This plan references a fiscal year that is a 12 calendar month period ending with September, and is numbered the same as the calendar year in which it ends. For example, FY 2006 is October 2005 through September 2006.

Goal: Mini desired end state. Achieving all Goals enables realization of the Vision.

Guiding Principle: "Rule of the road" in making strategic decisions.

Homeland Security: "A concerted regional effort to prevent terrorist attacks within the NCR, reduce the region's vulnerability to all-hazards events, and minimize the damage and recover from events that do occur."

Initiative: A measurable, time-specific statement that is subsidiary to the Objective.

Joint Federal Council (JFC): "A decision-making entity that provides a forum for policy discussions and resolution of security related issues of mutual concern to federal, state, and local jurisdictions within NCR." (Source: DHS.gov)

Metropolitan Washington Council of Governments (MWCOG): "MWCOG is a regional organization of Washington area local governments. MWCOG is composed of 20 local governments surrounding our nation's capital, plus area members of the Maryland and Virginia legislatures, the U.S. Senate, and the U.S. House of Representatives." (Source: MWCOG.org)

Mission: The empowering statement that enables one to reach the Vision. The Mission of the NCR Partners is to: "Build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from 'all-hazards' threats or events."

National Capital Region (NCR or Region): "The geographic area located within the boundaries of (A) the District of Columbia, (B) Montgomery and Prince Georges Counties in the State of Maryland, (C) Arlington, Fairfax, Loudoun, and Prince William Counties and the City of Alexandria in the Commonwealth of Virginia, and (D) all cities and other units of government within the geographic areas of such District, Counties, and City." (Source: Title 10, United States Code, Section 2674 (f)(2)). For the purposes of mutual aid, *Section 7302(a)(7) of the Intelligence Reform and Terrorism Prevention Act (Pub. L. 108-458), December 17, 2004*, defines NCR as: "The term 'National Capital Region' or 'Region" means the area defined under section *2674(f)(2)* of *Title 10, United States Code*, and those counties with a border abutting that area and any municipalities therein." Therefore, the 14 jurisdictions within the NCR and covered by this *Strategic Plan* are: Arlington, Fairfax, Loudoun, and Prince William counties and the independent cities of Alexandria, Fairfax City, Falls Church, Manassas, and Manassas Park in Virginia; Montgomery and Prince George's counties in Maryland; and the District of Columbia, Commonwealth of Virginia, and State of Maryland.

National Capital Region Homeland Security Partners (Partners or NCR Partners): Refers to the Region's local, state, regional, and federal governments, citizen community groups, private sector, nonprofit organizations, and non-governmental organizations.

National Capital Region Homeland Security Strategic Plan (NCR Strategic Plan or the Strategic Plan): Refers to this document.

Objective: Attainable means of achieving a Goal.

Office for National Capital Region Coordination (NCRC): "NCRC oversees and coordinates Federal programs for relationships with State, local, and regional authorities in the National Capital Region. The Office's responsibilities include: coordinating Department activities relating to the NCR; coordinating to ensure adequate planning, information-sharing, training, and execution of domestic preparedness activities in the NCR; and assessing and advocating for resources needed in the NCR." (Source: DHS.gov)

Outcome Measure: "Outcomes describe the intended result or consequence that will occur from carrying out a program or activity. Outcomes are of direct importance to beneficiaries and the public generally." (Source: *Performance Measurement Challenges and Strategies*, OMB, June 18, 2003)

Output Measure: "Outputs are the goods and services produced by a program or organization and provided to the public or others. They include a description of the characteristics and attributes (e.g., timeliness) established as standards." (Source: *Performance Measurement Challenges and Strategies*, OMB, June 18, 2003)

Performance Measure: A parameter, indicator or metric that is used to gauge program performance. Performance measures can be either outcome or output measures. (Source: *Performance Measurement Challenges and Strategies*, OMB, June 18, 2003)

Performance Target: The quantifiable or otherwise measurable characteristic that tells how well a program must accomplish a performance measure. (Source: *Performance Measurement Challenges and Strategies*, OMB, June 18, 2003)

Preparedness: "The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process involving efforts at all levels of government and between government and private-sector and nongovernmental organizations to identify threats, determine vulnerabilities, and identify required resources." (Source: *NRP*, December 2004)

Prevention: Actions to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions taken to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending perpetrators and bringing them to justice. (Source: *NIMS*, March 2004)

Protection: Actions to mitigate the overall risk to CI/KR assets, systems, networks, or their interconnecting links resulting form exposure, injury, destruction, incapacitation, or exploitation. In the context of the NCR Homeland Security Strategy, protection includes actions to deter the threat, mitigate vulnerabilities, or minimize consequences associated with a terrorist attack or other incident. Protection can include a wide range of activities, such as hardening facilities, building resiliency and redundancy, incorporating hazard resistance into initial facility design, initiating active or passive countermeasures, installing security systems, promoting workforce surety, and implementing cyber security measures, among various others. (Source, *NIPP*, June 2006)

Recovery: The development, coordination, and execution of service- and site-restoration plans, the reconstitution of government operations and services; individual, private-sector, nongovernmental, and public assistance programs to provide housing and promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; post incident reporting; and development of Initiatives to mitigate the effects of future incidents. (Source: *NIMS*, March 2004)

Response: Activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of emergency operations plans and of mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes. As indicated by the situation, response activities include applying intelligence and other information to lessen the effects or consequences of an incident; increased security operations; continuing investigations into the nature and source of the threat; ongoing public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity; and apprehending actual perpetrators and bringing them to justice. (Source: *NIMS*, March 2004)

Regional Emergency Support Function (R-ESF): "A very basic function shared by all jurisdictions. Individual R-ESFs identify organizations with resources and capabilities that align with a particular type of assistance or requirement frequently needed in a large-scale emergency or disaster. R-ESFs provide a convenient way of grouping similar organizations and activities from participating jurisdictions." (Source: MWCOG.org)

Regional Program Working Group (RPWG): Outcome-driven, accountable working group that develop and oversee programs and the associated projects within the NCR.

Risk: Risk is the product of threat, vulnerability, consequence, and likelihood of occurrence. (Source: *Interim National Preparedness Goal*, March 2005)

Senior Policy Group (SPG): "The Governors of Maryland and Virginia, the Mayor of the District of Columbia, and the Advisor to the President for Homeland Security established an NCR Senior Policy Group to provide continuing policy and executive level focus to the region's homeland security concerns. The SPG was also designed to ensure full integration of NCR activities with statewide efforts in Virginia and Maryland. Its membership was and is comprised of senior officials of the four entities, each with direct reporting to the principals. The SPG was given the collective mandate to determine priority actions for increasing regional preparedness and response capabilities and reducing vulnerability to terrorist attacks." (Source: MWCOG.org)

State Administrative Agency (SAA): An office designated by the state governor to apply for and administer funds under the Homeland Security Grant Program (HSGP). The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and other designated recipients. The designated SAA for the NCR UASI Grant Program is the District of Columbia, Office of the Deputy Mayor for Public Safety and Justice. (Sources: U.S. Department of Homeland Security, MWCOG.org)

Strategic Goals: The four Goals of the *Strategic Plan*: (1) Planning and Decision-making; (2) Community Engagement; (3) Prevention and Mitigation; and (4) Response and Recovery. Please see Chapter 1 and Appendix A for detailed information on the Strategic Goals.

Target Capabilities List (TCL): The *Target Capabilities List* provides guidance on specific capabilities and levels of capability that Federal, State, local, and tribal entities will be expected to develop and maintain. The TCL is designed to assist Federal, State, local, and tribal entities in understanding and defining their respective roles in a major event, the capabilities required to perform a specified set of tasks, and where to obtain additional resources if needed. Version 1.1 of the TCL identifies 36 target capabilities. (Source: *Target Capabilities List*, U.S. Department of Homeland Security)

Urban Area Security Initiative (UASI): A Department of Homeland Security grant program that "provides financial assistance to address the unique multi-disciplinary planning, operations, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and to assist them in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism." (Source: U.S. Department of Homeland Security)

Vision: The desired end state. The Vision and collective commitment of the NCR Partners is: "Working together towards a safe and secure National Capital Region."

Appendix I: Source Documents

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