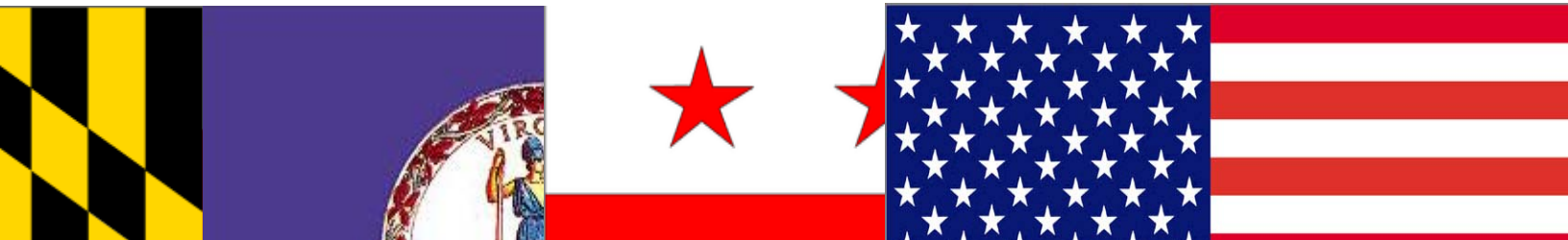# National Capital Region Homeland Security Strategic Plan 2007-2009

*…A strategic partnership to manage risk by Strengthening our preparedness capabilities…*

## —OVERVIEW—

**AUGUST, 2006**

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# FOREWORD

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

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

We remain committed to realizing our common Vision—Working Together Towards A Safe and Secure National Capital Region.

Gerald E. Connolly
*Chairman*
*National Capital Region*
*Emergency Preparedness Council*

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

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

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

Thomas Lockwood
*Director*
*Office for National Capital Region Coordination*

# PURPOSE OF THIS PLAN

This *National Capital Region Homeland Security Strategic Plan* developed by the NCR Homeland Security Partners[i1] makes collaboration a strategic imperative. It draws all the jurisdictions and their constituents into a long-term, unified effort to improve "all hazards" preparedness across the NCR. This *Strategic Plan* lays out our Region-wide strategy for strengthening our capabilities across all phases of preparedness to manage homeland security risks. It sets our course and provides a framework for engaging in downstream planning and decision-making on matters of strategic importance.

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

This Overview of the *Strategic Plan* highlights the core content as well as key aspects of the strategic planning process in the NCR. A more detailed discussion of both Initiative content and NCR strategic planning processes can be found in volume I (Core Plan) and volume II (Appendices).

# TAKING STOCK OF OUR SITUATION

Large scale events—whether natural or man-made—respect no boundaries. The terrorist attacks of September 11, 2001, and countless other events of catastrophic potential across the globe, all testify to the need for multi-jurisdictional collaboration across all phases of preparedness. The jurisdictions that comprise the NCR have a long established tradition of collaboration and mutual aid to deal with such large scale, Region-wide threats and events.

Both internal and external conditions shape the specifics of this *Plan*. Some of these can work to our advantage, while others can present a daunting challenge. What follows is a brief discussion of the more salient conditions that in part shape the specifics of this *Strategic Plan*. For

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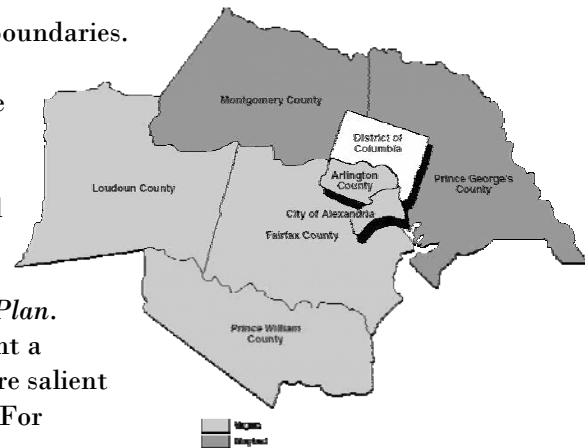
[1] NCR Homeland Security Partners (NCR Partners) consists of the NCR's local, State, regional and Federal entities, citizen community groups, private sector, non-profit organizations, and non-governmental organizations. The terms "NCR Partners", "we", and the "Partners" are synonymous with NCR Homeland Security Partners in this document.

additional details, refer to section 3.0 in volume I, the Core Plan.

The NCR faces unique homeland security and preparedness challenges because the Nation's capital and the center of our Federal government resides within its boundaries. In addition to being the home of over 4.5 million residents and the workplace of over 340,000 federal workers, an average of 20 million tourists visit the NCR each year. The NCR is the epicenter of all three branches of Federal government, 231 Federal departments and agencies, and over 2,100 political, social, and humanitarian non-profit organizations. It is the home to monuments and icons of American life, history, and politics – including some of the most important symbols of national political power and democratic heritage.

The NCR is the fourth largest U.S. metropolitan area in terms of population and gross regional product, and the home to more than 40 colleges and universities and a large number of companies. An attack within the NCR would have a profound political, economic, and psychological effect on the entire Nation. A direct terrorist attack or natural or man-made disaster within the NCR could produce catastrophic losses in terms of human casualties and political and economic damage, as well as profound damage to public morale and confidence.

Another related consideration is the NCR's statutory limitations. The NCR is essentially a collection of sovereign jurisdictions circumscribed by county and municipal boundaries. It has no inherent authority to act on its own and is not an operational entity. Any resources and "authority" it may have, depends entirely on what the member jurisdictions (including states) agree together to contribute. When situations arise where member jurisdictions find it more advantageous to deal with collectively, they may empower (temporarily and with limits) the NCR to act on their behalf. Mutual aid agreements, memorandums of understanding, and various forums for deliberating issues and achieving consensus are the primary enablers that empower the NCR.

Developing an effective long-term strategic plan for homeland security across the NCR relies heavily on the tenets of inclusiveness and transparency. Throughout the strategic planning process, we strive to arrive at a consensus for all major decisions. The private sector, represented through sponsoring organizations such as the Board of Trade, Chamber of Commerce, Washington DC Convention and Tourism Corporation, and other consortia, provide subject matter expertise in building Regional capabilities across the spectrum of preparedness activities. As we move forward with implementation of this *Strategic Plan*, the private sector will continue to serve as a vital and equal partner in executing this Plan.

Like everyone else, we operate with a finite set of resources, in an uncertain environment with imperfect information. We use a combined risk- and capabilities-based approach to strategic planning in order to focus our attention on addressing those aspects of the NCR where the threat, vulnerability, and impact are greatest. This approach relies on data produced by vulnerability assessments completed for the NCR and its member jurisdictions, the *Nationwide Plan Review* assessment of the status of catastrophic planning, and the 2006 Emergency Management Accreditation Program (EMAP) Assessment.

How we define our threats also plays a major role when investing resources in capabilities to address these. The "all-hazards" approach to preparedness means we need to weigh the likelihood and consequences of a broad array of threats. These include, but are not limited to: Extremes in weather, industrial hazards, viral pathogens, and of course terrorism that can take many forms.
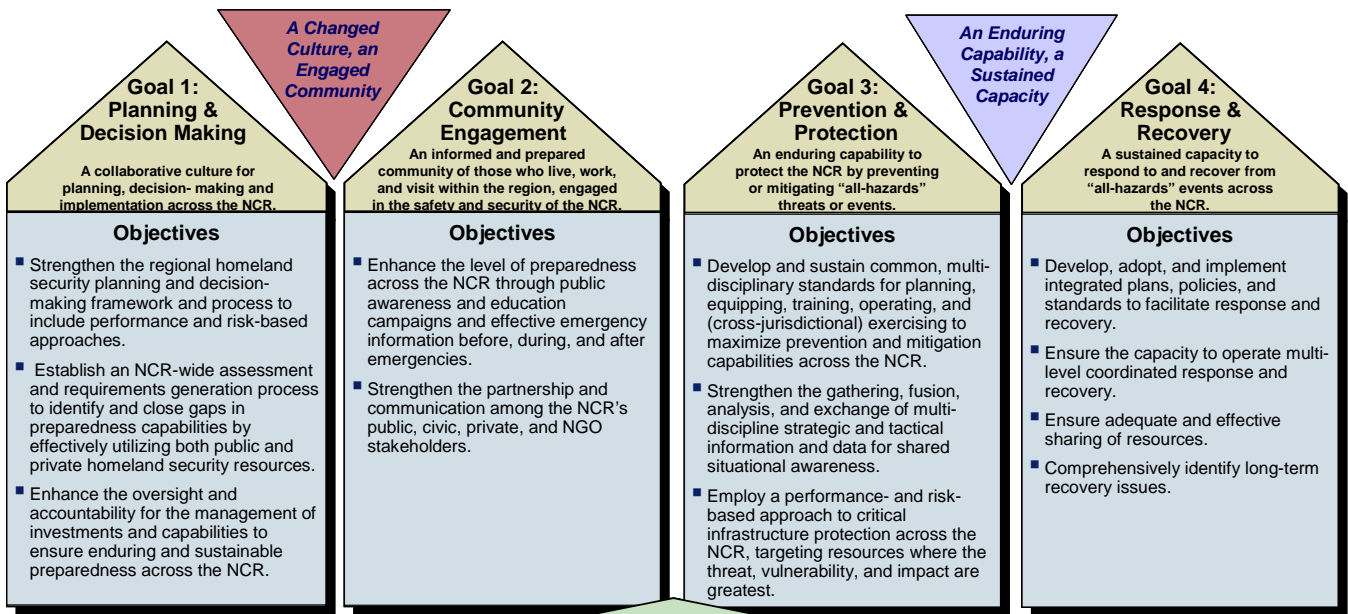
# SHAPING OUR STRATEGIC RESPONSE

*This Strategic Plan* addresses homeland security challenges by defining Goals and Objectives for the entire Region for the next three to five years, and by implementing a series of priority and secondary Initiatives over the next three years. In addition, it articulates a set of overarching themes and *Guiding Principles* that shape the substance of the *Strategic Plan* and guide its implementation.

During the process of developing the *Strategic Plan*, four major themes emerged that eventually took the form of four strategic Goals. These themes identified the need for:

1. A **changed culture** that emphasizes more collaboration among all the NCR Partners;

2. An **engaged community** that is well informed and takes responsibility for their own safety and security;

3. An **enduring capability** in place that serves the NCR's preparedness needs over the long-term; and

4. A **sustained capacity** to respond and recover from any major event on whatever scale.

The participating NCR partners also established a set of Guiding Principles to set the standard of behavior for delivering on the promises contained in the *Strategic Plan*. These Principles not only help shape the *ends* (Goals and Objectives) but also provide a basis for prioritizing the *ways* (specific Initiatives) and determining the *means* (resources) included in the *Strategic Plan*. Ultimately, these Principles guide the NCR Partners' approach to realizing our Vision for a safe and secure NCR. A full list of the Guiding Principles can be found in volume I, section 2.

**NCR Homeland Security Vision:   *Working together . . . . . .   towards a safe and secure National Capital Region***

*A Changed Culture, an Engaged Community*

**Goal 1: Planning & Decision Making**

A collaborative culture for planning, decision- making and implementation across the NCR.

**Objectives**

- Strengthen the regional homeland security planning and decision-making framework and process to include performance and risk-based approaches.
- Establish an NCR-wide assessment and requirements generation process to identify and close gaps in preparedness capabilities by effectively utilizing both public and private homeland security resources.
- Enhance the oversight and accountability for the management of investments and capabilities to ensure enduring and sustainable preparedness across the NCR.

**Goal 2: Community Engagement**

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

**Objectives**

- Enhance the level of preparedness across the NCR through public awareness and education campaigns and effective emergency information before, during, and after emergencies.
- Strengthen the partnership and communication among the NCR's public, civic, private, and NGO stakeholders.

*An Enduring Capability, a Sustained Capacity*

**Goal 3: Prevention & Protection**

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

**Objectives**

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

**Goal 4: Response & Recovery**

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

**Objectives**

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

**NCR Homeland Security Mission Statement**

*Build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from "all-hazards" threats or events.*

As shown in the figure on the opposite page, the structure of our *Strategic Plan* includes the typical elements found in other plans.  This figure also shows the substance of these strategic elements and how these relate to one another.  It contains the following core elements:

- Vision—the ideal end-state we anticipate our Strategic Plan will enable us achieve
- Mission—the fundamental purpose the NCR Partners are committed to carrying out as a collective enterprise
- Goals—Broadly stated long-term outcomes that, if reached, collectively enable us to realize our Vision
- Objectives—key, measurable milestones along the path toward reaching each Goal

## One Mission

As representatives of our jurisdictions and other organizations, and as stewards of the Region's safety and security, it is our responsibility to **"Build and sustain an integrated effort to prepare for, prevent, protect against, respond to, and recover from 'all-hazards' threats or events."**  This is the Mission of our *Strategic Plan* that empowers us to accomplish our Objectives, reach our Goals and eventually realize our Vision.

## One Vision

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

## Four Goals

*Planning & Decision-making Goal*: Directs our focus internally to establish the mechanisms that will enable us to effectively attain the other Goals.  For example, this Goal addresses the need to improve our Regional planning process.

*Community Engagement Goal*: Takes an external focus and speaks to the "customer."  It recognizes that we cannot attain our Vision without engaging the large and diverse array of constituents that populate the NCR.  In part, they share responsibility for the success of this grand enterprise to realize a safe and secure NCR.

*Prevention & Protection* and *Response & Recovery*: These two Goals directly address the outcomes we need to attain across the full spectrum of preparedness—prevention, protection, response and recovery.  These latter two Goals address collectively the nuts and bolts of preparedness.  These two Goals also consume the largest share of resources and are the most visible manifestations of the state of our preparedness.  The Prevention & Protection Goal focuses on the "front end" of the risk equation by addressing threats and reducing vulnerabilities, as well as addressing mitigation.  The Response & Recovery Goal focuses on what happens if an attack or event occurs and to build capabilities to speed restoration of normal services, levels of security, and economic activity.

## Twelve Objectives

We have established specific Objectives that serve as milestones towards the accomplishment of each Goal.  This approach also breaks each Goal down into more concrete (and measurable) components.

The Objectives under the first Goal, *Planning & Decision-making*, set three milestones:

1. Strengthening the framework and process for planning and decision-making;
2. Putting in place a process to assess and close gaps in our preparedness capabilities;
3. Enhancing oversight and accountability for the management of the resources, including the results produced.

The NCR Partners agree that a collaborative planning and decision-making culture is critical to the success of the *Strategic Plan*.  The three objectives above, once accomplished, should enable us to reach this goal of involving all stakeholders in planning and decision-making processes, especially by enhancing the involvement of the business and civic sectors.

The Objectives under the second Goal, **Community Engagement**, are critical to ensuring that constituents across the NCR have the information at their disposal to participate in their own safety and security.  Two objectives need to be accomplished to reach this goal:

1. Enhancing preparedness through public awareness and education campaigns  so constituents across the NCR know what to do before, during and after an emergency.
2. Strengthening partnerships and communication among key stakeholder groups, including public, civic, private, and other non-government organizations.

The Objectives under the third Goal, **Prevention & Protection**, are necessary to enhance the Region's capacity to prevent attacks and mitigate all-hazards events.  This depends in part how well we share critical information, and allocate our limited resources across the Region.  For this third Goal, three Objectives have been established:

1. Developing and sustaining common multidisciplinary standards for all aspects of preparedness.
2. Strengthening information gathering, analysis and distribution across the full spectrum of preparedness to improve situational awareness among the NCR Partners.
3. Employing performance- and risk-based approaches to deploy resources based on threat, vulnerability and impact.

The fourth Goal addresses our capacity to respond and recover, should a threat become an actual event.  This Goal is supported by four Objectives:

1. Integrating our plans, policies and standards to facilitate effective response and recovery.
2. Ensuring we can execute a multi-level (combined federal, state, local) and multi-sector (private, civic, NGO and not-for profit) response
3. Sharing resources effectively and as needed
4. Identifying long-term recovery issues

# ALIGNING OUR STRATEGIC PLAN WITH OTHERS

This *Strategic Plan* is but one part of a family of plans at the strategic programmatic, budget, and operational levels existing in the NCR (see figure below). This *Strategic Plan* should be considered a capstone over a family of Region-wide and jurisdictional plans that in turn serve other vital functions. Some of these plans are operational, intended only to provide direction when responding to a major incident. Other plans examine and set investment priorities to fund initiatives identified in the *Strategic Plan*.

This *Strategic Plan* fills a critical need at the Regional level to not only align jurisdictional strategy planning efforts with national efforts, but also to provide a mechanism for NCR Partner input and guidance into jurisdictional, programmatic, and budgetary planning processes.



Our *Strategic Plan* also aligns Regional with Federal and State/local efforts through identification of common Goals, Objectives, and specific Initiatives to be implemented by the jurisdictions over the next three to five years. Although the *Strategic Plan* does not directly impact the jurisdictional and emergency function operational plans or address operational level issues, the *Strategic Plan* does influence specific capabilities resourced by the jurisdictions that support operational plans.

The content of the *Strategic Plan* draws on the *Eight Commitments to Action,* a Joint Statement committing to a collaborative approach in addressing critical areas of homeland security within the NCR signed in August 2002 by the Mayor of DC and the Governors of Virginia and Maryland. While the District of Columbia and State plans are not subordinate to the *Strategic Plan*, elements within these plans do support the overall Goals and Objectives imbedded in the *Strategic Plan*. For example, both the Maryland and Virginia plans discuss Regional collaboration in their strategies and single out the NCR as one of those key regions requiring extensive collaboration to effectively manage catastrophic events. The District of Columbia plan also cites collaboration as a central theme in developing an effective, unified approach to preparedness. Further, the Goals, Objectives, and Initiatives in the *Strategic Plan* are also integrated with the national priorities expressed by DHS and other Federal agencies. Specifically, the *Strategic Plan* aligns closely with the *National Strategy for Homeland Security and* Homeland Security Presidential Directive 8 "National Preparedness" –related programs including the *Interim National Preparedness Goal* and the *Target Capabilities List*.
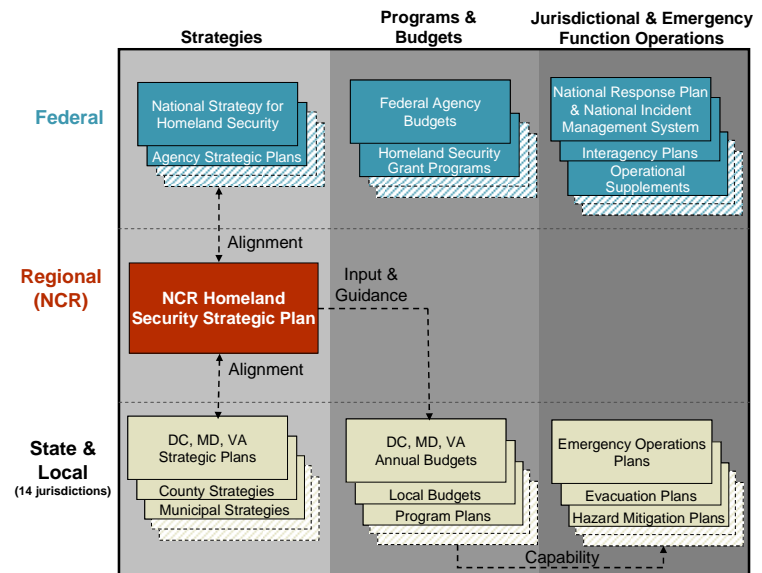
# IMPLEMENTING OUR STRATEGIC PLAN

Implementing the core components of the *Strategic Plan* entails many factors, and involves the entire NCR stakeholder community – including the Government, Private, and Civic Sectors. We need tangible initiatives, programs and projects that are aligned and staged to accomplish the Objectives.  Funding sources must be found and allocation decisions made. Oversight and accountability structures and processes must be in place,  supported by measures intended to gauge our performance.

## Developing Initiatives

Moving down from Vision, Goals, Objectives and then to Initiatives, the details increase as the scope narrows for each component level.  Like the other core components of the *Strategic Plan*, the Initiatives rely on the same tenets of transparency, collaboration and inclusiveness to gain acceptance and commitment among the NCR Partners.  Each of the 30 Initiatives in this Plan are cross-cutting enablers of the 12 Objectives.  In terms of substance, the Initiatives are a composite of related programs and projects, any or all of which may be funded and implemented at the same time.  This generally requires multi-disciplinary teams to implement, often with contractor support.

All 30 initiatives, numbered by their association with a particular Goal and Objective, appear on the opposite page. A snapshot of each initiative appears in Volume II, appendix A, to include: general description, key tasks and milestones, outcomes anticipated, performance measures, lead organization, and rough order of magnitude (ROM) estimate of costs.

## Funding Initiatives

To fund the programs and projects that comprise these Initiatives, the NCR Partners intend to rely on a portfolio of funding sources, including federal grants channeled through State and Municipal authorities.  Due to recent actions by the Administration, however, to curtail Urban Area Security Initiative funding for FY 2006 for the NCR, when and to what extent we can implement these Initiatives remains uncertain.

Precise cost figures are difficult to arrive at until the supporting programs and projects are sufficiently matured.  The cost estimates contained in Volume II, Appendix A, should be considered only preliminary at this point, although these can be useful in gauging the  relative size of each investment among the Initiatives.  Although to arrive at what it may cost to realize our Vision of a Safe and Secure NCR is even more difficult to estimate, these costs will become more apparent as the programmatic details associated with the Initiatives mature.

## Gauging Performance

Performance measures play a vital role in gauging progress and making mid-course corrections.  The *Strategic Plan* includes measures to gauge performance, covering the full spectrum of activity, output, and outcome measures for the core elements of the *Strategic Plan*.  Generally, the *Strategic Plan* relies on outcome measures for assessing progress in reach goals.  Outcome and output measures provide a means to evaluate the status of objectives, and for tracking completion of initiatives.  See Volumes I and II for details on the concepts and specific measures proposed for this *Strategic Plan*.  Section 4.4 in Volume I describes how performance management concepts (including measures) are being applied.  Appendix A in Volume II lists the specific performance measures for each of the 30 Initiatives.

| Goal, Objective Reference | 30 Initiatives for Implementation in 2007 and Beyond (Initiatives shaded are those in the first tier for implementation) |
|---|---|
| 1.1.1 | Develop and periodically update the Strategic Plan and related processes. |
| 1.1.2 | Document and implement the components and sequence of the NCR homeland security regional planning process, incorporating results of lessons learned. |
| 1.2.1 | Design and conduct a risk-based threat analysis to identify and address gaps in regional preparedness. |
| 1.2.2 | Establish a requirements generation and prioritization process that addresses needs of all practitioners. |
| 1.3.1 | Establish regional oversight and accountability function with appropriate tools and resources for performance transparency. |
| 1.3.2 | Develop investment lifecycle planning approach to ensure infrastructure and resources are available to support multi-year operational capabilities. |
| 2.1.1 | Establish regional protocols and systems for developing and distributing emergency information to all NCR populations. |
| 2.1.2 | Develop and sustain multi-year education campaigns to provide all the public (residents, workers, and visitors) with preparedness information. |
| 2.2.1 | Identify and develop opportunities and resources for stakeholder partnerships to broaden participation in public disaster preparedness. |
| 2.2.2 | Increase civic involvement and volunteerism in all phases of disaster preparedness. |
| 3.1.1 | Develop a prevention and mitigation framework for the region. |
| 3.1.2 | Develop a synchronized and integrated training and exercise framework, with appropriate common standards. |
| 3.1.3 | Develop an integrated plan related to health surveillance, detection, and mitigation functions among NCR Partners. |
| 3.1.4 | Develop a community-wide campaign, focused primarily on prevention and deterrence. |
| 3.2.1 | Develop common regional information-sharing and collaboration frameworks, to include determining roles, responsibilities and protocols. |
| 3.2.2 | Ensure that each jurisdiction has appropriate people cleared to receive, analyze, and act on sensitive and classified information. |
| 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. |
| 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. |
| 4.1.1 | Establish a corrective action program to modify plans by addressing gaps identified in analyses, exercises, and events. |
| 4.1.2 | Align and integrate response plans across jurisdictions (including Federal partners), with emphasis on continuity of government, operations, and evacuation. |
| 4.1.3 | Define capabilities and expectations for decontamination and re-entry. |
| 4.2.1 | Develop coordinated and standardized protocols for mandatory notification of regional partners during an emerging incident to maintain situational awareness. |
| 4.2.2 | Develop and implement a plan for regionally coordinated adoption and employment of National Incident Management System (NIMS). |
| 4.2.3 | Develop and implement enhanced regional architecture, infrastructure, and concept of operations for communications and protection of sensitive and classified information. |
| 4.3.1 | Develop a regional resource management system for deployment and utilization of resources. |
| 4.3.2 | Establish and implement regional, interdisciplinary protocols (e.g., mutual aid agreements). |
| 4.3.3 | Establish and implement regional, interdisciplinary standards for equipment interoperability. |
| 4.4.1 | Model and exercise the appropriate 15 DHS scenarios to assess region-wide impact. |
| 4.4.2 | Align public, private, and NGO resources with identified needs for response and recovery. |
| 4.4.3 | Review existing programs, mutual aid agreements, MOUs, and legislation to identify and close gaps in facilitating long- term recovery. |

## Governing and Managing Implementation

As noted elsewhere in this Plan, the NCR has no inherent statutory authority to act on its own, and is not an operational entity.  To succeed, an effective long-term strategic plan for homeland security across the NCR must rely heavily on the tenets of  inclusiveness, transparency and consensus and a collaborative planning culture and process. The table below shows various NCR partners and stakeholder groups and their primary role(s) in developing and/or implementing *the Strategic Plan*.

| Governance and Management Roles of the Homeland Security Partners | | |
|---|---|---|
| **Engagement Level** | **Principal Role(s)** | **Participating NCR Partners** |
| **Strategic** | Setting and changing the strategic course<br>Exercising oversight<br>Securing and allocating resources | Emergency Preparedness Council (EPC),<br>Senior Policy Group (SPG)<br>Chief Administrative Officers (CAO) |
| **Programmatic** | Deploying resources<br>Measuring and reporting progress<br>Designing and managing programs & projects | SPG,<br>CAO, and<br>NCR Grants & Program Management Office |
| **Operational** | Staffing and executing projects<br>Measuring and reporting progress | NCR Grants & Program Management Office<br>Emergency Support Functions (ESFs) & Regional Program Working Groups (RPWG's) |

The Emergency Preparedness Council includes a cross-section of government, private, and civic organizations.  This ensures that stakeholder views are appropriately considered, especially at the strategic level of engagement.  There are other important institutions that exercise their oversight and advisory responsibilities,  including the Congress and the GAO.

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