



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

**SEPTEMBER 2010**

**WASHINGTON, DC**



# NATIONAL CAPITAL REGION STRATEGIC PLAN

We are pleased to present the National Capital Region's (NCR) Homeland Security Strategic Plan, which represents the NCR's strategy for improving regional preparedness to address critical risks in the Region. The Strategic Plan was built on a strong foundation of regional collaboration and stakeholder participation. This Plan outlines priority capabilities that the Region will focus on over the next three to five years so that its citizens are prepared for and protected against manmade and natural hazards. The Region will develop and strengthen these capabilities with all of its partners in a coordinated, efficient, and effective manner.

The Strategic Plan serves as a guide in preparing the Region for all-hazards events, whether they are natural, manmade, or terrorism-related; and aligns with local, state, and federal homeland security planning activities. As stewards of the public trust and its resources, we are committed to exercising rigorous oversight to implement this Strategic Plan through a comprehensive process of regional planning and performance measurement.

A broad cross-section of federal, state, and local government officials, along with many non-profit and for-profit organizations, made significant contributions to develop the components of this Strategic Plan. These NCR stakeholders engaged in a transparent, inclusive, and collaborative process to reach a consensus on the Strategic Plan's key components through a series of meetings and other planning activities held throughout 2009-2010. We are committed to reviewing and updating the Plan on an annual basis.

We are fully dedicated to achieving our common vision—*Working Together Towards a Safe and Secure National Capital Region*.



Frank Principi, Chairman  
National Capital Region Emergency Preparedness Council

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# JURISDICTIONS OF THE NATIONAL CAPITAL REGION



The NCR encompasses the District of Columbia and parts of Maryland and Virginia, including the cities of Alexandria, Fairfax, Falls Church, Manassas, and Manassas Park, and the counties of Arlington, Fairfax, Loudoun, and Prince William in Virginia, and Montgomery and Prince George’s in Maryland, which include the municipalities of Bowie, College Park, Gaithersburg, Greenbelt, Rockville, and Takoma Park.

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## EXECUTIVE SUMMARY

Building on decades of regional collaboration, the 2006 *National Capital Region Homeland Security Strategic Plan* affirmed the National Capital Region's (NCR) commitment to a common vision of "working together towards a safe and secure National Capital Region" to achieve its mission of building and sustaining "an integrated effort to prepare for, prevent, protect against, respond to, and recover from 'all-hazards' threats or events." In the last four years, many of the objectives and initiatives of that Plan have been realized and much has been learned. As called for by the Emergency Preparedness Council in the 2006 document, the NCR has revisited the Plan and now issues this updated Strategic Plan. The updated Plan reflects the NCR's progress over the last four years. The Strategic Plan is not an operational response plan. Rather, the Strategic Plan will guide the NCR in achieving its priority capabilities over the next three to five years.

The NCR made significant progress under the 2006 Strategic Plan. In implementing the 2006 Strategic Plan, the NCR built on its longstanding commitment to collaboration by strengthening its regional approach to homeland security planning. Similarly, the NCR continued to engage its citizens by developing, implementing, and sustaining public preparedness education campaigns and emergency messaging. Likewise, the NCR made strides in region-wide response and recovery capabilities. Finally, partnerships and communications among the NCR's public, civic, private, and non-governmental organization (NGO) stakeholders were successfully developed, as was an integrated training and exercise framework.

The goals of the 2006 Plan continue as the bedrock of the updated Plan. Regional collaboration in planning and decision-making, as well as community engagement, remain central to the NCR mission. The capabilities in the national mission areas of prevention, protection, response, and recovery are still pillars of the NCR's efforts. Like the 2006 Plan, the updated Plan recognizes the NCR's unique homeland security and preparedness challenges. Similarly, the updated Plan guides the NCR's collaborative efforts and will be continuously improved. Based on these premises, the goals have been updated to build and achieve the Region's priority capabilities during the next three to five years. The Plan's goals identify the following key capabilities for the Region: interoperable communications, information sharing and situational awareness, critical infrastructure protection, and development and maintenance of regional core capabilities. The objectives and initiatives further specify the nature of these capabilities and how the Region seeks to achieve them.

The implementation of the Strategic Plan will be guided by Investment Plans that will define the activities required to achieve the goals and objectives. An Annual Work Plan will set out grant funded projects needed to complete these Investment Plans. A Performance Measurement Plan will help the Region monitor and evaluate progress. The NCR will review its goals in three years, but will annually review its objectives and initiatives to ensure they reflect progress and changed circumstances. The 2006 Plan contained a wealth of information and data on the NCR, including its planning efforts and its governance. That information has been updated and can be found in the Plan's appendices.

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## INTRODUCTION

The NCR works “together towards a safe and secure” Region to achieve its mission of building and sustaining “an integrated effort to prepare for, prevent, protect against, respond to, and recover from ‘all-hazards’ threats or events.” The NCR Homeland Security Strategic Plan helps identify the capabilities needed to strengthen the Region’s homeland security efforts and defines the framework for achieving those capabilities.

The NCR commits not only to building new and expanded capabilities, but re-dedicates itself to ensuring that previous investments are maintained and refreshed as required. Emergency managers, health care officials, first responders, operators of critical infrastructure facilities, information technology specialists, and leaders in the public, private, and non-profit sectors developed the Plan’s goals, objectives, and initiatives. The goals and objectives focus on measurable results and note the importance of both developing new capabilities and sustaining existing capabilities. The NCR will establish metrics, monitor progress toward achieving the goals, and adjust the Plan as the risk profile and operational circumstances change.

From goals to initiatives, NCR stakeholders have constructed the Strategic Plan to complement state and local operational plans. Operational plans remain the responsibility of state and local emergency management agencies. State and local emergency operations plans describe how each jurisdiction will coordinate its response to an event regionally. The capabilities that the Region aims to achieve in the Strategic Plan will help support localities in all phases of homeland security.

State and local commitments to baseline public safety capabilities are essential to the successful preparation, response, and recovery from emergencies, natural disasters, and terrorist events. States and localities both fund and manage the day-to-day operations of areas such as fire and police, public health, local emergency management, and transportation. States establish state-wide programs and standards. In addition, non-profits and businesses guide and support many of the capabilities in areas such as critical infrastructure protection and provision of human services needed for effective response and recovery. These baseline capabilities are the foundation for regional collaboration to successfully help implement this Plan and to enhance homeland security in the NCR.

The current strategic plans of the District of Columbia, the State of Maryland, the Commonwealth of Virginia, and the U.S. Department of Homeland Security do more than provide context for the NCR’s Strategic Plan. The initiatives under each strategic plan underpin the achievement of the NCR’s goals. States and localities of the NCR, along with neighboring states and Urban Area Security Initiative (UASI) regions, collaborate to share resources in times of need. Within the NCR and between its member jurisdictions, mutual aid agreements facilitate the deployment of equipment and personnel to the location requiring assistance. The Emergency Management Assistance Compact allows for the deployment of these resources when there is a declared federal disaster.

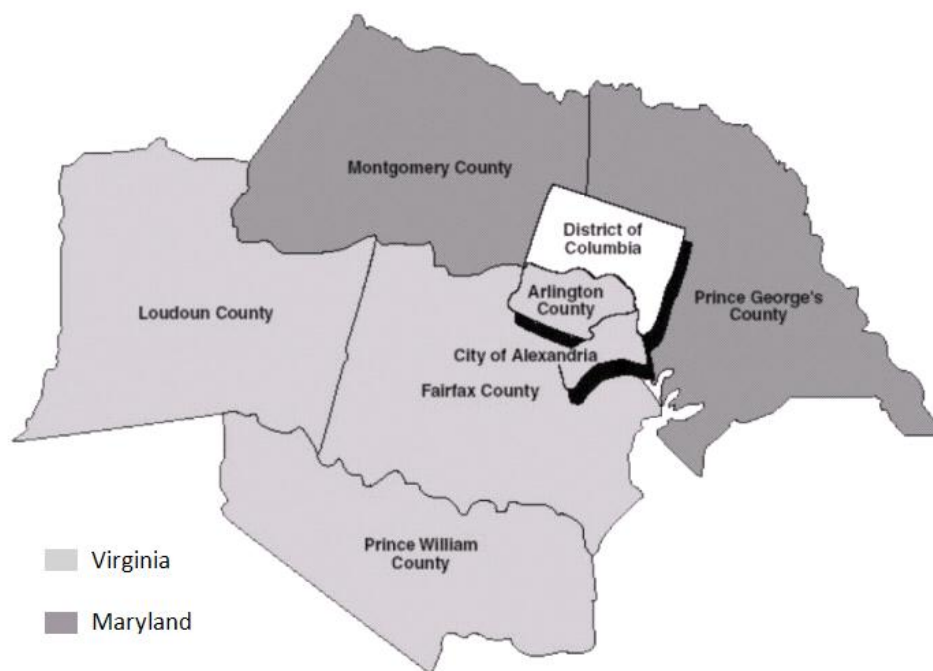
This document first describes the profile of the NCR, and then lays out the Plan—from the vision and mission statement, to the goals, objectives, and initiatives. Finally, the Plan discusses funding sources and how the NCR will implement and evaluate the Plan.

## PROFILE OF THE NCR

The NCR's combined status as the nation's capital and as a major U.S. and international city escalate both the threat and consequence components of its risk profile. More than five million Americans call the NCR home.<sup>1</sup> The NCR is headquarters to all three branches of federal government, 271 federal departments and agencies, and more than 340,000 American federal workers. The NCR is also home to more than 2,000 political, social, and humanitarian non-profit organizations. Additionally, the Region receives more than 20 million tourists each year and some of the most important symbols of national sovereignty and democratic heritage stand within the NCR's boundaries. These attributes both heighten the threat and raise the consequences to the Region in the instance of manmade incidents. An incident caused by any hazard could result in catastrophic human, political, and economic harm to the Region and the Nation as a whole.

In population, economic, and educational terms, the NCR is a prominent metropolitan center. It is the fourth-largest U.S. metropolitan area in terms of population and gross regional product. More than 40 colleges and universities are located within its boundaries. The NCR encompasses a complex and diverse array of communities. Its populations reside in dense urban environments, suburbs, and rural communities. Many workers come from outside the NCR, commuting from West Virginia, Pennsylvania, and the Tidewater area of Virginia.

A key feature of the NCR landscape is its proximity to other densely populated regions, including Baltimore, Richmond, and Philadelphia. The NCR is inextricably linked to its neighbors by infrastructure, information, government, and transit systems. In this respect, the security of the NCR depends on collaboration with its neighbors.



<sup>1</sup> Information about the NCR and its profile for this section can be found at the Federal Emergency Management Agency (FEMA), *National Capital Region – Office of National Capital Region Coordination*, [http://www.fema.gov/about/offices/ncr/content\\_multi\\_image\\_0019.shtm](http://www.fema.gov/about/offices/ncr/content_multi_image_0019.shtm) (last visited Aug. 25, 2010), and at U.S. Department of State, *Diplomacy in Action*, <http://www.state.gov/s/cpr/rls/index.htm> (last visited Aug. 25, 2010).

The NCR is also a hub of international governmental and business activity. Four thousand diplomats work at more than 170 embassies, and more than 8,000 individuals work at international organizations such as the World Bank, the International Monetary Fund, and the Organization of American States. The number of foreign national residents and visitors located in the Region at any one time exceeds that of any other metropolitan area in the United States.

The NCR's populace relies on a vast array of critical infrastructure and key resources (CI/KR) including transportation, energy, and water. The Region's transportation system illustrates the complexity of protecting the critical infrastructure from attack and disruption. The NCR hosts two major airports, with a third major airport just outside its border. The NCR transportation system also contains the Nation's second-largest rail transit and fifth-largest bus systems. In addition, an intricate network of major highways and bridges serve the Region's commuters and businesses.

In 2006, the NCR's Hazard Information and Risk Assessment (HIRA) identified key threats and vulnerabilities and then considered the impact that various incidents could have on the Region. In 2008, the Office of the National Capital Region Coordination conducted the NCR Strategic Hazard Identification and Evaluation for Leadership Decisions (SHIELD). Drawing on information from government and business experts, SHIELD analyzes and evaluates particular hazards in relation to the NCR's critical infrastructure. The analysis ranks potential hazards and provides options for risk reduction. While contemplating a wide range of potential events, SHIELD focuses on scenarios that are most likely to occur in the Region.

These assessments underscore the need to be prepared for natural events such as ice, snowstorms, and flooding; special events such as international summits, inaugurations, and parades; and manmade threats such as terrorist attacks. As seen most dramatically on September 11, 2001, terrorists attacked the NCR because of its symbolic significance both nationally and globally. Thus, the NCR must be prepared to face a variety of threats and challenges. These types of incidents exemplify the critical need for all-hazards mitigation.

## A PLAN FOR BUILDING RESILIENCE

The NCR reaffirms its strategic vision and mission and adopts the revised goals as the priority capabilities to be achieved over the course of this Plan. The NCR will continue to coordinate information and resources so that its citizens are prepared for and protected against all manmade or natural hazards.

**Vision** Working together towards a safe and secure National Capital Region.

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

### Goals, Objectives, and Initiatives

To achieve the vision of a “safe and secure NCR,” the Region established goals, objectives, and initiatives. The goals state the Region’s commitment to developing key capabilities and ensuring that these capabilities are sustained and are upgraded as needed. In each goal, the NCR identifies objectives, which further prioritize the Region’s work and establish measurable and specific results to be attained during the next three to five years. The initiatives are the key programs or strategies the NCR will pursue to realize the goals and objectives.

The goals will be reviewed in three years, while the objectives and initiatives will be reviewed annually and updated as needed.

**The term “NCR Partners” includes local, state, regional, and federal entities, citizen community groups, private sector, non-profit organizations, and non-governmental organizations.**

## Goal One: Ensure Interoperable Communications Capabilities

Ensure response partners have the ability to transmit and receive voice, data, and video communications.

To date, the NCR and the states and localities it encompasses have dramatically invested in improving voice, data, and video communications. The Region must continue working to ensure that gaps are filled and technology is maintained and updated so that interoperable communications capabilities are improved for all response partners, including emergency managers, health, law enforcement, fire, and EMS personnel.

***Objective 1.1: Ensure response partners can communicate by voice in all environments and on a day-to-day basis.***

Initiative 1.1.1: Increase access to voice systems capable of transmitting and receiving voice information to and from NCR response partners.

***Objective 1.2: Ensure response partners can communicate and share necessary, appropriate data in all environments and on a day-to-day basis.***

Initiative 1.2.1: Develop and maintain secure data communications governed by common standards and operating procedures.

Initiative 1.2.2: Share Computer Aided Dispatch (CAD) data between jurisdictions and other related data systems to streamline the process of capturing 911 information and responding to incidents.

Initiative 1.2.3: Share Geographic Information System (GIS) data between jurisdictions and other related data systems.

***Objective 1.3: Ensure response partners can communicate and share necessary, appropriate video information in all environments and on a day-to-day basis.***

Initiative 1.3.1: Increase access to video systems capable of transmitting and receiving video information to and from NCR response partners.

## Goal Two: Enhance Information Sharing and Situational Awareness

Ensure NCR partners share the information needed to make informed and timely decisions; take appropriate actions; and communicate accurate, timely information with the public.

As demonstrated by the 2009 presidential inauguration and the outbreak of the H1N1 virus, the NCR partners have enhanced the sharing of key tactical information, built better situational awareness, and improved the communication of key information to the public. NCR partners should have access to good, timely, tactical information from law enforcement and intelligence agencies and other relevant disciplines at the federal, state, and local level. Situational awareness allows all of these partners to work at the same time, with the same information integrated from multiple sources. With a more timely and complete picture of the situation at hand, local and state officials can better safeguard the public. Similarly, citizens depend on timely, accurate information to protect their well-being. Goal Two recognizes the importance of information sharing, situational awareness, and sharing information with the public. This goal reflects the NCR's continued commitment to further strengthen all three areas.

***Objective 2.1 Ensure the public has all information necessary to make appropriate decisions and take protective actions.***

Initiative 2.1.1: Improve the dissemination of accurate, timely information to the public using multiple venues, including social media outlets, to ensure that the content of emergency messages and alerts is easily accessible and available to the public.

***Objective 2.2: Define, obtain, and share appropriate situational information with NCR partners so that they have the necessary information to make informed decisions.***

Initiative 2.2.1: Define essential elements of data and information for situational awareness for each discipline and all partners in the NCR. Then develop, maintain, and utilize business practices and common technical standards for situational awareness<sup>2</sup> in order to make informed decisions.

<sup>2</sup> Although the specific elements needed for situational awareness vary according to the field and area of expertise, the term "situational awareness" here refers to the ability to identify, monitor, and process important information, understand the inter-relatedness of that information and its implications, and apply that understanding to make critical decisions in the present and near future. For example, if the Region is threatened by a hurricane, awareness of the status of roads, shelters, traffic, available medical resources, power outages, and the like is important in making decisions about what type of assistance is needed and where it is needed. To coordinate an effective response, NCR partners need to share their information and have access to the information of others.

***Objective 2.3: Improve the NCR's ability to collect, analyze, share, and integrate intelligence and law enforcement information so that NCR partners receive appropriate information.***

Initiative 2.3.1: Ensure all NCR fusion centers<sup>3</sup> share information through secure and open systems, produce relevant and standardized analytical products, and share information in a timely manner with appropriate NCR partners.

Initiative 2.3.2: Ensure NCR partners have the systems, processes, security clearances, tools, and procedures to access, gather, and share appropriate intelligence, law enforcement, and classified data.

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<sup>3</sup> The NCR fusion centers include the Maryland Coordination and Analysis Center, the Washington Regional Threat and Analysis Center, the NCR Intelligence Center, and the Virginia Fusion Center. A fusion center is a physical location where data can be collected from a variety of sources, including but not limited to police departments, fire departments, health departments, and the private sector. Experts analyze the incoming information and create intelligence products, which can be used to maximize resources, streamline operations, and improve the ability to address all-hazards incidents and threats. Fusion centers help to prevent terrorism and criminal activities as well as support preparedness for manmade and natural hazards to trigger quick and effective response to all-hazards events.

## Goal Three: Enhance Critical Infrastructure Protection

Enhance the protection and resilience of critical infrastructure and key resources (CI/KR) in the NCR to reduce their vulnerability to disruption from all-hazards events.

Goal Three represents a strengthened commitment to collaborating regionally and across sectors to increase the resiliency of the critical infrastructure and key resources in the NCR. This goal includes a set of initiatives that represent a comprehensive effort to be implemented by the private and public sectors. The majority of the critical infrastructure in the Region is owned and operated by the private sector. Because critical infrastructure and key resources provide water, power, and transportation that are essential on a daily basis as well as during a crisis, the public and private sectors must work closely to ensure their security before, during, and after manmade and natural disasters.

### ***Objective 3.1: Understand and prioritize risks to CI/KR.***

Initiative 3.1.1: Catalog all CI/KR in the NCR and conduct consequence-of-loss analysis.

Initiative 3.1.2: Conduct a comprehensive risk analysis of the NCR CI/KR, including a review of the critical systems upon which they depend and the interdependencies of those systems.

Initiative 3.1.3: Develop and implement a plan for sharing CI/KR information among public and private entities throughout the NCR.

### ***Objective 3.2: Reduce vulnerabilities and enhance resiliency of CI/KR.***

Initiative 3.2.1: Develop and implement sector vulnerability reduction plans.

Initiative 3.2.2: Conduct a technology feasibility assessment and develop a plan for technology investments for CI/KR.

Initiative 3.2.3: Develop and implement a cybersecurity plan for NCR critical systems.



***Objective 3.3: Ensure continuity of critical services<sup>4</sup> required during emergencies and disaster recovery.***

Initiative 3.3.1: Identify key facilities throughout the NCR that require backup critical services.

Initiative 3.3.2: Assess facilities' (identified in 3.3.1) plans for loss of critical services.

***Objective 3.4: Promote broad participation in CI/KR community outreach and protection programs.***

Initiative 3.4.1: Develop a community awareness training and education program.

Initiative 3.4.2: Develop a strategy for using CI/KR data to inform law enforcement.

Initiative 3.4.3: Establish a regional business information sharing committee.

***Objective 3.5: Monitor Critical Infrastructure to provide situational awareness and to promote rapid response.***

Initiative 3.5.1: Develop and implement a plan for a comprehensive CI/KR monitoring program.

Initiative 3.5.2: Develop and implement a plan that integrates CI/KR monitoring information into response operations.

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<sup>4</sup> Critical services are defined as life sustainment services during an emergency and include energy (electric power and gas), water supply, transportation, food, and communications. These are all supplied routinely by the CI/KR sectors. During a disaster, providing critical life sustaining services ensures that government and private health, safety, and emergency services continue, and that plans are in place to compensate for losses among interdependent systems.

## Goal Four: Ensure Development and Maintenance of Regional Core Capabilities

Develop and maintain the basic building blocks of preparedness and response by ensuring the NCR develops a baseline of capabilities including: Mass Casualty, Health Care System Surge, and Mass Prophylaxis; Mass Care and Evacuation; Citizen Participation, Alert, and Public Information; Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Detection and Response; and Planning, Training, and Exercises.

Goal Four identifies a number of capabilities provided by the states and localities. The NCR has also invested in the enhancement of these core capabilities, resulting in a strong foundation of preparing for, responding to, and recovering from all-hazards incidents. This goal states the NCR's commitment to ensuring that these capabilities are sustained year to year and are upgraded as needed.

***Objective 4.1: Increase the Region's capacity for medical surge preparedness and response to an all-hazards event to reduce deaths and injuries.***

Initiative 4.1.1: Ensure that private health care, federal, state, and local public health, and EMS programs and providers in the NCR can increase surge capacity to respond to mass casualty incidents and events requiring mass prophylaxis.

Initiative 4.1.2: Establish a regional monitoring and response system that allows for health and medical response partners to track patients, hospital bed availability, alerts, and EMS/hospital activity in a shared, secure environment.

Initiative 4.1.3: Ensure the ability to track patients from the start of pre-hospital care to discharge from the health care system during both daily operations and mass casualty incidents.

***Objective 4.2: Improve the Region's capacity to evacuate and provide mass care for the public, including special needs individuals, when impacted by an all-hazards event.***

Initiative 4.2.1: Develop, coordinate, and integrate local and state evacuation plans so that evacuation polices and routes complement each other to ensure the NCR's ability to coordinate evacuation across the Region.

Initiative 4.2.2: Ensure the NCR's ability to provide sheltering and feeding for the first 72 hours following an incident for individuals in the general population, persons with special needs, persons with special medical needs, and pets.

***Objective 4.3: Strengthen individual, community, and workplace preparedness for emergency events through public engagement and citizen participation designed to reach the general population and special needs citizens in response to and recovery from all-hazards events.***

Initiative 4.3.1: Sustain the NCR's ability to alert and warn residents, businesses, and visitors using multiple methods including social media.

Initiative 4.3.2: Bolster recruitment, management, and retention of volunteers through Community Emergency Response Team (CERT), other citizen corps programs, Volunteer Organizations Active in Disaster (VOAD) member agencies, the Medical Reserve Corps (MRC), and registration in Emergency System for Advance Registration of Volunteer Health Professionals (ESAR-VHP) programs.

Initiative 4.3.3: Ensure post-incident human services and recovery assistance throughout the NCR including case management, emergency housing, behavioral health, spiritual care, and family reunification.

***Objective 4.4: Ensure the NCR has region-wide capacity to detect, respond, and recover in a timely manner from CBRNE events and other attacks requiring tactical response and technical rescue.***

Initiative 4.4.1: Enhance the NCR's ability to detect chemical, biological, radiological, and other types of contamination.

Initiative 4.4.2: Ensure region-wide access to Type 1 hazardous material (HazMat), bomb response/Explosive Ordnance Device (EOD) units, and tactical teams and ensure each unit/team is able to respond in a reasonable amount of time.

Initiative 4.4.3: Ensure all responders in the NCR have access to Personal Protective Equipment (PPE), equipment, and apparatus that match the identified capability needs.

Initiative 4.4.4: Establish a regional monitoring and response system that provides health and medical response partners with central access to biosurveillance.

***Objective 4.5: Improve capacity to develop and coordinate plans among all NCR partners and ensure the availability of region-wide training and exercise programs to strengthen preparedness, response, and recovery efforts from all-hazards events.***

Initiative 4.5.1: Develop and exercise key regional emergency response and recovery plans.

Initiative 4.5.2: Ensure regional procedures, memoranda of understanding, and mutual aid agreements are in place to allow for rapid coordination of resources including health assets across jurisdictional boundaries.

Initiative 4.5.3: Develop and update a matrix of training and exercises that meet Homeland Security Exercise and Evaluation Program (HSEEP) standards needed to maintain core regional capabilities. This matrix should address new and emerging threats and concerns raised in gap analyses and after action reports from events and exercises.

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## IMPLEMENTING THE STRATEGIC PLAN: PROJECTS, FUNDING, AND EVALUATION

Every year, the NCR funds programs to develop the capabilities identified in the Strategic Plan's goals, objectives, and initiatives. Some of these programs are funded by the Department of Homeland Security (DHS) and other federal grants; many are supported by state and local government budgets. The Strategic Plan sets the overall priorities for the Region, while other documents will provide guidance on measuring and implementing its goals, objectives, and initiatives.

The Strategic Plan defines the capabilities that the Region deems most important and frames the Region's investments over the life of the Plan. Investment Plans will further define the requirements and costs for achieving specific capabilities. An Annual Work Plan will include the projects needed for developing or sustaining capabilities in that grant cycle. The State Administrative Agent (SAA) will use a Performance Management Plan to monitor, evaluate, and report on progress in achieving desired capabilities as well as progress in implementing projects.

This Strategic Plan uses a series of goals, objectives, and initiatives to further its mission; it is *not* an operational emergency plan. Operational plans explain how the Region should respond to any particular emergency. Because emergency response is a state and local responsibility, each state and local jurisdiction in the NCR has developed its own set of emergency operation plans. The Strategic Plan does not replace these emergency operation plans, but instead guides investments in achieving the capabilities needed to execute emergency plans to respond and recover from all-hazards incidents.

Funding for the activities that build the capabilities identified in the Plan and other NCR implementation documents derives from a variety of sources. Federal grant programs from DHS such as the Urban Area Security Initiative (UASI), the State Homeland Security Grant Program, and the Transit Security Grant Program provide substantial funding support each year for project implementation.

State and local investments in a range of programs form the backbone of homeland security and emergency management capabilities. The NCR also draws upon myriad federal grant programs outside of those provided by DHS, such as public health-related grants from the Department of Health and Human Services, and programs under the auspices of the Department of Justice. This list includes only a sample of the grant programs that the NCR relies upon for funding.

The Strategic Plan is an additional tool that helps unify state and local efforts in a fiscally-constrained era. State and local governments can use this Plan's framework to plan, resource, and track priority homeland security-related programs and budgets. The Strategic Plan outlines capabilities needed in the Region to reduce risk, however, it is not a spending plan. Rather, the Strategic Plan will help guide funding decisions over the next three to five years.

## Tools for Implementing UASI-Funded Efforts

The UASI grant program provides a key source of funding for achieving the priority capabilities in the NCR's Strategic Plan. Building on a number of years of project development and execution, the NCR will use the comprehensive approach outlined below to implement the Strategic Plan.

### Implementing the NCR Strategic Plan

Setting Priorities	Implementing Programs	Assessing Progress
<p><b>Strategic Plan</b></p> <p><i>Prioritizes capabilities through Goals, Objectives, and Initiatives</i></p> <p><i>Spans three to five years</i></p> <p><i>Updated regularly</i></p>	<p><b>Investment Plans</b></p> <p><i>Define specific, finite, concrete capabilities</i></p> <p><i>Include requirements, costs for each capability</i></p> <p><i>Span three to five years</i></p> <p><b>Annual Work Plan</b></p> <p><i>Lists projects to achieve Investment Plans</i></p>	<p><b>Performance Management Plan</b></p> <p><i>Contains indicators for project completion, outcome measures for achieving and sustaining priority capabilities</i></p> <p><b>Project Progress Reports</b></p> <p><i>Describe milestone progress</i></p> <p><i>Assess programmatic and financial risks</i></p>

The Strategic Plan sets regional priorities for a three to five year period. It guides the Region's investments over the life of the Plan. A set of Investment Plans will detail the implementation strategies for achieving those priorities identified in the Strategic Plan. Investment Plans define the requirements and costs for achieving the capabilities identified in the Strategic Plan. They cover a multi-year time period and will typically encompass multiple projects. Additionally, Investment Plans detail the need for and way to achieve the capability, describe in quantifiable terms how to assess progress in implementation and results, and provide the expected timeline and costs for completion. Investment Plans will include information on past investments and all future maintenance and sustainment costs. These plans will also identify the specific Strategic Plan objectives and initiatives they support.

In July of each year, the NCR will develop a proposed Annual Work Plan in accordance with the Strategic and Investment Plans.<sup>5</sup> The Annual Work Plan will include a list of prioritized projects that are needed to accomplish portions of the Strategic and Investment Plans. Over the course of the fall, subject matter experts will develop these project proposals. The CAO-HSEC and SPG will then approve the list of projects to be included in the investment justification for the annual UASI grant application.

<sup>5</sup> Starting in 2011, the draft list should be forwarded to the NCR leadership in July. Timelines for the development and approval of projects from this list will be published each year at the beginning of the planning cycle. With the update to the Strategic Plan scheduled to be published in the third quarter of 2010, the list in 2010 will be developed in the final quarter of the year.

The SAA will develop and annually update a Performance Management Plan that includes metrics and indicators for monitoring and evaluating progress in achieving the Strategic Plan and implementing projects. Financial indicators will be monitored by the SAA and reported to the CAO-HSEC and SPG on a quarterly basis. The NCR is dedicated to continuous improvement and to implementing the commitments made in this Plan, Investment Plans, the Annual Work Plan, and the Performance Management Plan.

### Timeline for Updating the NCR Strategic Plan

	2010	2011 & 2012	2013	2014	2015
<b>Strategic Plan Update</b>	Revise Strategic Plan	Review Objectives and Initiatives	Review Goals, Objectives, and Initiatives	Review Objectives and Initiatives	Revise Strategic Plan
	June	July	November	January	April
<b>Implementation</b>	Investment Plan Updates	Annual Work Plan	UASI Grant Announcement	Final Project Selection	UASI Application

The NCR commits to regularly reviewing and refreshing the Strategic Plan so that it reflects what we have learned about threats facing us and the best ways to prepare for them. The NCR will update the Plan annually. Each year the Region will review objectives and initiatives and revise them as needed, accounting for accomplishments of the Region, lessons learned, new information on best practices, and changes in the risks facing the Region. In 2013, the Region will revisit the Goals as well. After five years, in 2015, the Region will assess the Strategic Plan and the work accomplished pursuant to it, and develop a new five year plan.

At the outset of the Strategic Plan, the Region will develop Investment Plans to set out the implementation strategies for the Plan. In subsequent years, the Region will adhere to a predictable cycle of monitoring and evaluation as well as project development and selection. The implementation timeline highlights the major milestones of this cycle. The timing of DHS grant milestones varies slightly from year to year. Each year, the SAA will publish a timeline at the start of each planning cycle that will track the suggested implementation timeline above. This timeline, along with the process for investment planning and project development and selection, will be publically available.

In a typical year, the Region will update the investments and the SAA will deliver its Annual Progress Report in June, and develop its proposed Annual Work Plan in July. Provided that appropriations have been enacted, DHS will release its UASI grant announcement in November, and in January the Region will make its final project selections based upon the Investment Plans, Annual Work Plan, and project concepts. The Region will submit its UASI application by April and by June will again update its Investment Plans and receive the SAA's Annual Progress Report.

## CONCLUSION

The Strategic Plan defines the NCR's priorities and provides a framework to establish the capabilities necessary to meet the Region's homeland security challenges over the next three to five years. This document will require periodic updates and revisions in order to remain relevant. NCR leadership is committed to effective oversight of the Plan and to revising it as needed.

Copies of this Plan and the appendices to this Plan are available at the [www.ncrhomelandsecurity.org](http://www.ncrhomelandsecurity.org) web site. For more information about this Plan please contact COG staff at:

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