

Statement by the Department of Homeland Security's Director for National Capital Region Coordination, Mr. Thomas Lockwood Before the Senate Subcommittee on Oversight of Government Management, the Federal Workforce and the District of Columbia

342 Dirksen Senate Office Building
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(Remarks as Prepared)

Intro

Thank you for the opportunity to update the Subcommittee on the progress the National Capital Region (NCR) has made in the area of strategic planning to enhance the safety and security of our region since our meeting last July. The NCR has made great strides over the past eight months towards producing the nation's first integrated and comprehensive regional homeland security strategic plan.

Background

During the period from January- November 2005; leveraging work already done in the Region, including the FY 2003 Strategy focused on the Urban Area Security Initiative (UASI) grant program as well as planning activities throughout the 2004 calendar year, the NCR homeland security partners¹ worked tirelessly to further develop a regional strategic plan that establishes preparedness priorities and objectives for the entire Region.

Also during January- November 2005 the Preparedness Directorate and the position of Under Secretary for Preparedness were created as part of Secretary Chertoff's Second Stage Review. The Office for National Capital Region Coordination (ONCRC) was integrated into the Preparedness Directorate. The efforts of the National Capital Region-Homeland Security (NCR-HLS) strategic

¹ The NCR homeland security partners is a group that the Federal Government neither created, nor sets the agenda. Rather, for purposes of the NCR homeland security partners, DHS is one of many homeland security partners at the table. Other "homeland security partners" refers to the region's local, state, regional, and other federal agencies, citizen community groups, private sector, non-profit organizations, and non-governmental organizations. The product of the NCR homeland security partners is not advice directed at DHS or the Federal government as a whole, and the group does not make recommendations that DHS or any other Federal agency fund certain types of grants.

planning group fell in line with the overall Preparedness goal to coordinate a full range of capabilities to prevent, protect against, and respond to terrorism and other catastrophic events. The Preparedness Directorate encourages HLS partners and the American public at large to view preparedness as a *culture* rather than isolated activities. This approach to preparedness is supported and reflected in the NCR-HLS strategic planning process.

The 9/11 terrorist attacks initiated an era of new threats to homeland security for the nation and for the National Capital Region. The need to meet such threats with integrated efforts across the Region poses a unique challenge involving 12 jurisdictions, a State, a Commonwealth, the District of Columbia, all three branches of the Federal Government, over 2,000 non-profit organizations, myriad private sector interests, and over four million Americans. *The 2005 National Capital Region Homeland Security Strategic Plan* addresses this challenge by:

- Defining priorities and objectives for the entire Region without regard to any specific funding mechanisms
- Providing strategic guidance to the application and allocation of all homeland security and preparedness grants throughout the Region
- Providing input to the future internal planning, programming, and budgeting processes of NCR jurisdictions

Foundation

The NCR homeland security partners understand that securing the homeland is a process that must be continually reevaluated and redirected to cope with unexpected events. With that in mind, we approached the process to develop the NCR-HLS Strategic Plan with a commitment to continue and build upon past accomplishments.

As a starting point, the NCR partners decided to leverage the solid work done within the Region post 9/11, as well as existing planning efforts. At the state and local level, multiple strategic plans existed to support the needs of the District of Columbia, the State of Maryland and Commonwealth of Virginia, and the local jurisdictions. These plans provided a jurisdictional perspective, but did not take into account overall regional needs.

Our goal in coordinating development of the NCR-HLS Strategic Plan was to integrate the state, local, and federal plans with the Region's mission, vision, goals and objectives. At the regional level, five distinct regional planning efforts served as a foundation for the NCR-HLS Strategic Plan goals and objectives:

- *Regional Emergency Coordination Plan (2002)* – an effort immediately after 9/11 to coordinate continuity of government plans across the NCR developed through the Metropolitan Washington Council of Governments (COG)
- *Eight Commitments to Action (2002)* – a joint statement developed in cooperation with the Advisor to the President for Homeland Security and the three regional government executives – the Governor of Maryland, the Governor of the Commonwealth of Virginia, and the Mayor of the District of Columbia – to improve coordination in preventing, preparing for, and responding to a terrorist incident.
- *UASI Strategy (2003)*
- *Chief Administrative Officers (CAO) – Senior Policy Group (SPG) Priorities (2004)*
- *Regional Emergency Support Functions (R-ESF) Plans (2005)*

Additionally, for the region to be integrated and coordinated with federal efforts, several federal planning documents also contributed content to developing the foundation for our strategic plan. These included:

- *2002 National Strategy for Homeland Security*
- *Department of Homeland Security Strategic Plan*
- *Homeland Security Presidential Directives (HSPDs) 5, 7, and 8*
- *National Incident Management System (NIMS)*
- *National Response Plan (NRP)*
- *Guidance templates for the National Preparedness Goals*
- *DHS State and Urban Area Grant Guidance*

Process

The process thus far for developing the 2005 NCR-HLS Strategic Plan has involved two general phases, one (*Consensus Building: Aug '04 – Jun '05*) leading up to agreement on the basic framework, and a second (*Initiative Development: Jun '05 – Nov '05*) designed to identify and develop specific initiatives to support the achievement of the overall goals and objectives.

Consensus Building: Aug '04 – Jun '05

During the Consensus Building phase, the NCR leadership sought agreement on the mission, vision, guiding principles, and draft goals for the strategic plan. Using insight gained from the reference documents already mentioned and interviews with homeland security partners throughout the Region, the NCR leadership drafted a mission statement to: *Build and sustain an integrated effort to*

prepare for, prevent, protect against, respond to, and recover from “all-hazard” threats or events.

After extensive discussion, the leadership agreed that although it was important to highlight the importance of terrorism, it was essential that the plan used an “all hazards” approach, to include preparedness for domestic terrorist attacks, major disasters, and other emergencies.

We recognized upfront that to gain synergy among the various stakeholders and jurisdictions involved in HLS planning, it was key to have agreed upon *Guiding Principles* to guide the overall framework. These principles include:

1. *Strengthen regional coordination among all partners to gain synergy without weakening jurisdictional autonomy.*
2. *Implement homeland security policies and programs without undermining our constitutionally-based society, particularly the civil rights and civil liberties of the NCR’s diverse population, including persons with disabilities.*
3. *Prepare for all hazards, including man-made and naturally occurring disasters.*
4. *Advance the safety and security of the National Capital Region in ways that are enduring, relevant, and self-sustaining.*
5. *Foster a culture of collaboration, respect, innovation, and mutual aid among all homeland security partners across the National Capital Region.*
6. *Adopt best-practice, performance-based approaches to staffing, equipping, training, and exercising first responders and others engaged in homeland security.*
7. *Strive for an optimal balance of preparedness capabilities across the NCR that recognizes differing circumstances and leverages mutual aid agreements.*

These *Guiding Principles* helped shape the *Vision*, which is: *Working together . . . towards a safe and secure National Capital Region.* Using these principles to guide planning within the context of the overall agreed *Mission* and *Vision*, the NCR leadership was able to gain agreement on the high-level goals and objectives that would guide the detailed initiatives developed later in the process.

Initiative Development: Jun ‘05 – Nov ‘05

Once the overall framework was established and agreed upon during an NCR-wide Strategic Planning Plenary in mid-June 2005 (*see Annex A*), we were able to focus on developing initiatives to support our strategic goals. A series of four facilitated working groups (based on the four Goals) involving representatives of

key HLS stakeholders throughout the Region were held over the summer to finalize the goals and objectives, and to begin developing the detailed initiatives. The products of this effort were reviewed and discussed at a second NCR-wide Plenary in September 2005, during which time the NCR leadership agreed to finalize *the Mission, Vision, Guiding Principles, and Strategic Goals* for public release on the Metropolitan Washington COG website. (*see Annex B*).

During the September Plenary, the NCR leadership decided to continue the Goal Working Groups as a means to further the development of the initiatives, with a goal of presenting to the November Plenary a recommended prioritized listing of initiatives in sufficient detail to enable decisions regarding priorities. During the period Sept - Nov '05, the groups developed for each of the initiatives a description, identified the desired result/outcome, estimated the timeframe/cost/and status (if currently underway), identified key tasks and programs associated with the initiatives, and determined, where possible, performance measures that could be used to assess the overall effectiveness of the initiative.

In addition, in advance of the November Plenary, an integrated Review Group consisting of representatives of each of the groups met to review the full menu of initiatives; to determine how well the initiatives addressed regional weaknesses/gaps as well as how well they incorporated both the seven National Preparedness Goals and the 37 Target Capability Areas (TCAs); and to develop a prioritized list for consideration by the Plenary. The "priority" initiatives will be considered first-in-line for implementation and funding (whether from UASI or any other funding source). As funding streams become available that may exceed the near term needs of those designate "priority" - those in the remaining group will be brought forward for funding consideration.

As a result of the facilitated Goal Working Groups, during the November Plenary the NCR leadership reviewed a set of 45 proposed initiatives, agreeing that 16 warranted "priority" designation (*see Annex C*). This designation meant that these were going to be the priority initiatives for implementation as the jurisdictions approached the FY06 HLS Grants cycle and upcoming annual budget processes.

Conclusion and Next Steps

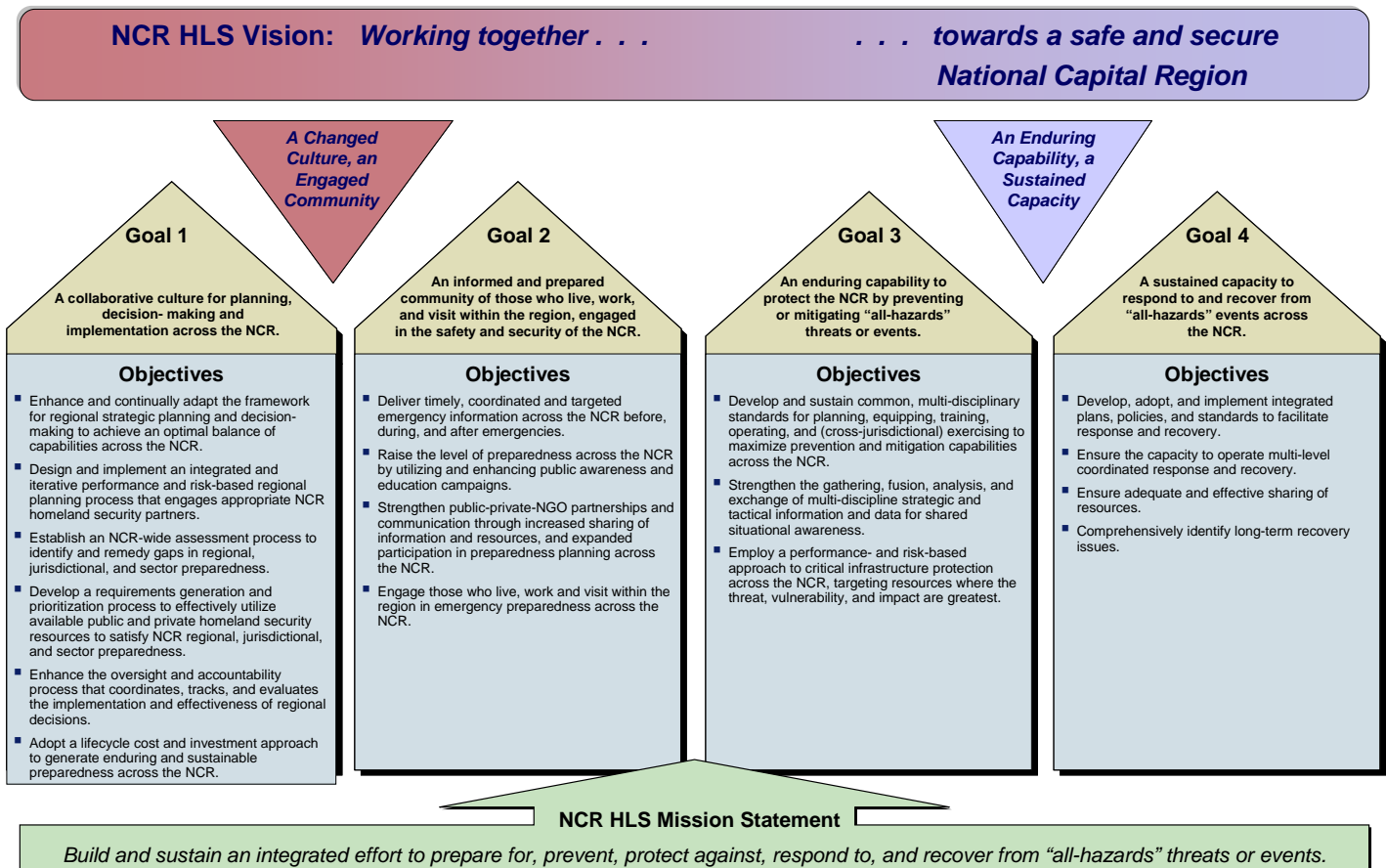
The *2005 Update to the NCR-HLS Strategic Plan* will contribute to the NCR's success by providing numerous important and related benefits, such as: (1) more efficient allocation of resources throughout the Region; (2) transparency in funding priorities; and (3) increased communication, interaction, and

coordination among stakeholders. With a single coordinated and integrated strategic plan, the NCR will be able to effectively and consistently direct the spending of emergency management resources throughout the Region and better assess their impact on regional preparedness.

The NCR leadership and homeland security partners have made significant progress since last July. We have developed the framework of the *2005 Update to the NCR-HLS Strategic Plan*, which includes the *Mission, Vision, Guiding Principles, Strategic Goals, Objectives, and Initiatives*. By studying gap analyses and self-assessments, we have agreed to designate 16 of the 45 initiatives as “priority”, granting them primary status as we have approached the 2006 HLS Grants cycle. In the coming months we plan to invest in maturing the 45 initiatives, focusing on the development of performance measures and timelines to ensure the effective implementation of these initiatives.

Throughout this rigorous strategic planning process, the NCR leadership and HLS partners are aware of the novelty of the project and welcome the responsibility that comes with designing, building, and now implementing the first regional strategic plan of its kind in the Nation. We are proud of the progress we have made thus far and are prepared to continue developing the initiative details, performance measures, and projected milestones that will make this strategic plan a truly guiding document for securing the National Capital Region.

Annex A: NCR-HLS Strategic Plan Framework



Annex B: 2005 Update to the NCR-HLS Strategic Plan



2005 Update to the National Capital Region Homeland Security Strategic Plan

"A Strategic Partnership to Manage Risk"



2005 NCR-HLS Strategic Plan

Guiding Principles, Vision, Mission, Strategic
Goals & Objectives

Introduction

The National Capital Region (NCR) encompasses a unique group of jurisdictions with a diverse set of needs and interests. The NCR is home to infrastructure that is both critical and symbolic to our nation. This presents the homeland security leadership of these jurisdictions with a unique risk that can only be effectively managed through an integrated and collaborative effort.

This is the strategic plan for the National Capital Region Homeland Security Partners and is intended as a guiding framework for a safe and secure NCR. The NCR Homeland Security Partnership is comprised of the region's local, state, regional, and federal governments, citizen community groups, private sector, non-profit organizations, and non-governmental organizations.

Annex B: 2005 Update to the NCR-HLS Strategic Plan



"We must calibrate an approach to security that incorporates prevention and protection into our lives in a way that respects our liberty and our privacy, and fosters our prosperity."

~Secretary Michael Chertoff,
March 16, 2005 Remarks, George Washington
University Homeland Security Policy Institute

Vision

The Vision for the NCR Homeland Security Partners is...

Working together towards a safe and secure National Capital Region.

Mission

The Mission Statement for the NCR Homeland Security 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.

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"NCR Homeland Security Partners" refers to the region's local, state, regional, and federal governments, citizen community groups, private sector, non-profit organizations, and non-governmental organizations.

A "best-practice" approach draws from actual experience and lessons learned. A "performance-based" approach is outcome focused and can be evaluated using scenarios.

"All-hazards" preparedness refers to preparedness for domestic terrorist attacks, major disasters, and other emergencies. (Source: Homeland Security Presidential Directive/HSPD-8, December 2003)

Guiding Principles

1. *Strengthen regional coordination among all partners to gain synergy while sustaining jurisdictional authority and enhancing capabilities.*
2. *Implement homeland security policies and programs while maintaining our constitutionally-based society, particularly the civil rights and civil liberties of the NCR's diverse population, including persons with disabilities.*
3. *Prepare for "all-hazards", including man-made and naturally occurring emergencies and disasters.*
4. *Advance the safety and security of the NCR in ways that are enduring, relevant, and sustainable.*
5. *Foster a culture of collaboration, respect, communication, innovation, and mutual aid among all homeland security partners across the NCR.*
6. *Adopt best-practice, performance-based approaches to staffing, planning, equipping, training, and exercising for all homeland security partners.*
7. *Strive for an optimal balance of preparedness capabilities across the NCR that recognizes differing risks and circumstances, and leverages mutual aid agreements.*

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Annex B: 2005 Update to the NCR-HLS Strategic Plan



Strategic Goals

1. **Planning & Decision-Making:** A collaborative culture for planning, decision-making, and implementation across the NCR.
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.
3. **Prevention & Mitigation:** An enduring capability to protect the NCR by preventing or mitigating “all-hazards” threats or events.
4. **Response & Recovery:** A sustained capacity to respond to and recover from “all-hazards” events across the NCR.

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Strategic Goal 1

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

Objectives

- Enhance and continually adapt the framework for regional strategic planning and decision-making to achieve an optimal balance of capabilities across the NCR.
- Design and implement an integrated and iterative performance and risk-based regional planning process that engages appropriate NCR homeland security partners.
- Establish an NCR-wide assessment process to identify and remedy gaps in regional, jurisdictional, and sector preparedness.
- Develop a requirements generation and prioritization process to effectively utilize available public and private homeland security resources to satisfy NCR regional, jurisdictional, and sector preparedness.
- Enhance the oversight and accountability process that coordinates, tracks, and evaluates the implementation and effectiveness of regional decisions.
- Adopt a lifecycle cost and investment approach to generate enduring and sustainable preparedness across the NCR.

Strategic 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 .

Objectives

- Deliver timely, coordinated and targeted emergency information across the NCR before, during, and after emergencies.
- Raise the level of preparedness across the NCR by utilizing and enhancing public awareness and education campaigns.
- Strengthen public-private-NGO partnerships and communication through increased sharing of information and resources, and expanded participation in preparedness planning across the NCR.
- Engage those who live, work and visit within the region in emergency preparedness across the NCR.

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Annex B: 2005 Update to the NCR-HLS Strategic Plan

Strategic Goal 3

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.

Strategic Goal 4

A sustained capacity to respond to and recover from "all-hazards" threats or 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.

Annex C: NCR-HLS Strategic Initiatives

Priority Initiatives

1.1.1 Regional Strategic Planning & Decision-Making	2.1.2 Integrated System to Alert/Notify/Inform	3.2.1 Info Sharing & Collaboration Framework
1.4.2 Improve Program Development Process	2.1.3 Enhance "Special Needs" Communications	3.3.1 Assess Risk and Prioritize CIP
1.5.2 Project Management & Performance	2.2.2 Engage the Media	4.1.1 Corrective Action Program
1.3.1 Design Scenario-Based Risk/Threat Analysis	2.4.1 Civic Involvement	4.2.1 Develop Notification Protocols
1.3.2 Prepare Comparative Gap Analysis	3.1.1 Develop Prevention/Mitigation Framework	4.4.1 Model and Exercise 15 DHS Scenarios
	3.1.3 Develop Health Surveillance/Detection Plan	

Other Initiatives

1.2.1 Establish Feedback Mechanisms	2.2.3 Framework for Multi-Year Campaigns	4.1.2 Align & Integrate ESF Plans
1.4.1 Identify Preparedness Needs/Requirements	2.3.1 Partner with Civic-Private-NGO Stakeholders	4.1.3 Long-Term Decontamination Standards
1.5.1 Increase Visibility Among NCR Partners	2.4.2 Operationalize Volunteer Resources	4.3.1 Develop Resource Management Process
1.6.1 Ensure Resources for Multi-Year Capabilities	2.4.3 Target Outreach to Visitors	4.2.2 Develop Regional NIMS Adoption Plan
1.6.2 Facilitate Plans for Long-Term Investments	3.1.2 Develop Training and Exercise Framework	4.2.3 Equipment Interoperability Standards
1.6.3 Develop Capability for Economic Recovery	3.1.4 Community-Wide Prevention Campaign	4.4.2 Align Resources with Identified Needs
2.1.1 Establish Regional Message Protocols	3.2.2 Enhance Regional Interoperability	4.4.3 Close Long-Term Recovery Gaps
2.2.1 Leverage Media and Methods of Outreach	3.2.3 Ensure Appropriate Personnel Cleared	

 Goal 1: Planning & Decision Making	 Goal 3: Prevention & Mitigation
 Goal 2: Community Engagement	 Goal 4: Response & Recovery