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THE WAR ON TERRORISM: HOW PREPARED IS THE NATION'S CAPITAL?

HEARING

BEFORE THE

OVERSIGHT OF GOVERNMENT MANAGEMENT, THE FEDERAL WORKFORCE AND THE DISTRICT OF COLUMBIA SUBCOMMITTEE

OF THE

COMMITTEE ON HOMELAND SECURITY AND GOVERNMENTAL AFFAIRS UNITED STATES SENATE

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THE WAR ON TERRORISM: HOW PREPARED IS THE NATION'S CAPITAL?

THURSDAY, JULY 14, 2005

U.S. SENATE,
OVERSIGHT OF GOVERNMENT MANAGEMENT, THE FEDERAL WORKFORCE AND THE DISTRICT OF COLUMBIA SUBCOMMITTEE,
OF THE COMMITTEE ON HOMELAND SECURITY AND GOVERNMENTAL AFFAIRS,
Washington, DC.

The Subcommittee met, pursuant to notice, at 9:30 a.m., in room SD–562, Dirksen Senate Office Building, Hon. George V. Voinovich, Chairman of the Subcommittee, presiding.

Present: Senators Voinovich, Akaka, and Dayton.

OPENING STATEMENT OF SENATOR VOINOVICH

Senator VOINOVICH. The Subcommittee will please come to order.

Good morning, I want to thank you for joining us today. This Subcommittee which has authorizing jurisdiction over the District of Columbia meets today to examine an issue of crucial importance to the Nation, the Washington region, and to each person present in this room: How prepared is the Nation's Capital to respond to a terrorist attack?

This hearing was requested by my friend and colleague, Senator Akaka, and we have been planning to hold this hearing for some time. I want to make it clear that it was not triggered as a result of what happened in London recently.

The Office of the National Capital Region Coordination within the Department of Homeland Security was established in the Homeland Security Act of 2002. The Office was created to oversee and coordinate Federal programs and domestic preparedness initiatives for State, local, and regional authorities. Since September 11, 2001, over $500 million have been directed toward the region to ensure that preparedness efforts across the region are fully coordinated, appropriately integrated, consistent, non-duplicative, effective, and efficient.

Today we are holding this hearing to ensure that the Office of the National Capital Region Coordination, and the other responsible agencies of the Capital Region are adequately performing their roles. Various events and news reports have repeatedly highlighted the problems with the Office's distribution of funds and the lack of coordination in the region's response capacity.

Because of votes that are going to be starting at 10 o'clock, I am going to ask that the rest of my statement be included in the record.

[The prepared statement of Senator Voinovich follows:]

OPENING PREPARED STATEMENT OF SENATOR VOINOVICH

Good morning. Thank you for joining us. Today, this Subcommittee, which has authorizing jurisdiction over the District of Columbia, meets to examine an issue of crucial importance to the Nation, the Washington region, and to each person present in this room: How prepared is the Nation's Capital to respond to a terrorist attack? This hearing was requested by my friend and colleague, Senator Akaka, and we have been planning to hold it for some time.

The National Capital Region is home to the District of Columbia, the three branches of the Federal Government, two States, 12 local jurisdictions, and over four million Americans. The White House, the Capitol, the Pentagon, and countless Federal buildings and monuments throughout the region are as much the symbol of liberty, our history and values as a Nation as they are the centers of its governance.

On September 11, 2001, the Region came under a terrorist attack from passenger airliners transformed into deadly weapons. One slammed into the Pentagon. The other, United Flight 93, headed toward the Capital Region, but never reached its mark. The heroism of the passengers aboard thwarted the attack, sacrificing their lives in the process. Though we will never know whether the terrorists aimed for the White House or the Capitol Dome, the intended consequence is clear.

A little more than a month later, the region experienced an anthrax attack that took five lives nationwide, required the testing of thousands of mailroom employees throughout the region, and shuttered buildings around the city for months. I remember vividly the uncertainty as I was forced to leave my office in the Hart buildings for 4 months while it was decontaminated.

Since then we have lived with the knowledge that the National Capital Region is a top target for terrorists. The recent barbaric attacks in London serve as a stark reminder that we have deadly enemies, intent on striking at the heart of our society.

Now, as you look around the Capitol complex, you see numerous road closing, cement jersey barriers, the construction on the new Capitol Visitor Center, and thousands of green bollards around every building, to protect us from terrorist. Sadly, vigilance must be the order of the day.

The Office of the National Capital Region Coordination, within the Department of Homeland Security, was established in the Homeland Security Act of 2002. The Office was created to oversee and coordinate Federal programs and domestic preparedness initiatives for State, local and regional authorities. Since September 11, over $500 million have been directed toward the region to ensure that preparedness efforts across the region are fully coordinated, appropriately integrated, consistent, non-duplicative, efficient and effective.

Today, we are holding this hearing to ensure that the Office of the National Capital Region Coordination, and the other responsible agencies of the Capital Region, are adequately performing their roles. Various events and news reports have repeatedly highlighted the problems with the Office's distribution of funds and the lack of coordination in the region's response capacity. When a Cessna airplane flew into restricted airspace, forcing an evacuation of the White House and the Capitol, it was later learned that neither Mayor Williams, nor the District of Columbia emergency services, were informed in a timely fashion.

Earlier this spring, media stories highlighted the mismanagement of Federal homeland security money, such as: $100,000 to enroll District of Columbia sanitation workers in public speaking courses, and $100,000 to develop a song to teach children about emergency preparedness.

Last week, *The Washington Times* reported that the District of Columbia failed to keep track of millions of dollars in Federal bioterrorism funds that it has received since 1999, leading to improper expenditures and spending delays.

In a tight budget, with demands for homeland security funding that far exceeds the capacity of this Nation to furnish it, it is discouraging and frustrating to learn that coordination is lacking and that higher homeland security priories, such as equipment for first responders, is neglected in lieu of the above expenditures. Stronger management and accountability mechanisms must be implemented to avoid these mistakes in the future.

In June 2004, GAO released a report which recommended that the Office of the National Capital Region Coordination work with local jurisdictions to develop a coordinated strategic plan to establish goals and priorities, monitor the plan's implantation, identify and address gaps in emergency preparedness, and evaluate the effec-

tiveness of expenditures by conducting assessments based on established standards and guidelines.

One of the greatest concerns noted in the report was the inability of the Office to account for the funds that were distributed. I am also concerned that despite GAO recommendations, a strategic plan has not been released. It is contrary to good management practices to proceed large expenditures without a strategic plan. We must do better.

In closing, I would like to take a minute to acknowledge the hard work and dedication of those that work to secure this region every day: The emergency responders, fire fighters, local and Federal law enforcement, and military personnel. Thank you. It is my hope that today we will begin to identify and eliminate any hindrance to the capacity of these people to get the job done. To this end, I offer whatever assistance I can.

I now yield to the Ranking Member of the Subcommittee, my good friend Senator Akaka, for an opening statement.

Senator VOINOVICH. I would now like to call on Senator Akaka, my colleague and the individual who encouraged me to hold this hearing. Senator Akaka.

OPENING STATEMENT OF SENATOR AKAKA

Senator AKAKA. Thank you very much, Mr. Chairman. I join you in welcoming our witnesses this morning, and I am going to be brief.

I am grateful to—and I really mean this—my friend, the Chairman, for working with me and the Subcommittee in scheduling today's hearing, which will analyze how well prepared the National Capital Region is for a major emergency.

I believe that the NCR with its 12 jurisdictions in Maryland, Virginia, and the District of Columbia, can serve as a coordination model and a test bed for other parts of the country in implementing homeland security policies.

Our focus today is twofold. First we will look at how well the region's State and local governments are coordinating amongst themselves and with the Federal Government. Second, we will examine whether Federal homeland security dollars are being spent wisely.

I have a longer statement that I would ask consent to be made part of the record, Mr. Chairman.

Senator VOINOVICH. Without objection.

[The prepared statement of Senator Akaka follows:]

PREPARED STATEMENT OF SENATOR AKAKA

Thank you Chairman Voinovich. I join you in welcoming our panel of witnesses. I am grateful to my friend, the Chairman, for working with me in scheduling today's hearing, which will analyze how well prepared the National Capital Region (NCR) is for a major emergency.

I believe that the NCR—with its twelve jurisdictions in Maryland, Virginia, and the District of Columbia—can serve as a coordination model and a test bed for other parts in the country in implementing homeland security policies.

Our focus today is twofold. First, we will look at how well the region's State and local governments are coordinating amongst themselves and with the Federal Government and, second, we will examine whether Federal homeland security dollars are being spent wisely.

Two months ago we were reminded of the importance of homeland security coordination in the Nation's Capital when a small prop plane caused the evacuation of Federal buildings and the Congress after accidentally crossing into DC's restricted air space.

Although Federal officials responded quickly to the perceived threat, they failed to involve or even notify District officials.

Last week, the vulnerability of metropolitan cities was demonstrated by the coordinated bombings of the bus and subway systems in London. The London attack was horrific and senseless. I believe this tragedy can teach us how to better prevent,

deter, and recover from a similar attack in the United States. If such an event were to occur in the District, an effective response would require the combined efforts of Federal, State, and local officials because DC is home to the Nation's Capital and adjoins two States. The coordination challenge that NCR officials face is more complicated than other areas of the country where there is less of a Federal Government presence.

In addition, the NCR is required by DHS to share and administer Urban Area Security Initiative grants as a region. No single government has autonomous control over that funding. Reaching the necessary consensus between multiple jurisdictions on how best to spend the funding significantly compounds the work required to administer the grants.

This is not the case anywhere else in the country.

Sharing funding effectively while coordinating regional priorities is an exercise that other cities have not had to undertake yet.

While the requirement of regional coordination has created challenges for NCR members, the NCR has a head start in creating an effective regional model, which is what the Department of Homeland Security (DHS) is now encouraging throughout the country through its grant awards. The DHS Interim National Preparedness Goal, released this March, instructs State and local governments to collaborate regionally through mutual aid agreements to increase capability and share costs. Let's not forget that the NCR began working on homeland security coordination and collaboration on September 11, 2001.

Despite the significant progress made in the past four years, I have some concerns about the level of coordination in the National Capital Region.

First, it does not appear that the District of Columbia Office of Homeland Security has a system in place to track homeland security funding being spent in DC and the surrounding counties.

In response to a recommendation made in a May 2004 Government Accountability Office (GAO) report, the Homeland Security Office recently established a database to centralize all Urban Area Security Initiative (UASI) funded projects being undertaken by the NCR. However as GAO will testify today, this database does not hold any information on other homeland security grant funding being spent in the region.

How can the NCR ensure that its UASI funding is being well spent if there are no consolidated records on other ongoing homeland security programs in the region?

Second, the NCR has yet to develop a strategic plan for homeland security in the region.

Homeland security grants are not being spent to meet a set of cohesive, overall objectives. Instead, each project is considered on its individual merit. While this system may ensure that grant funds are spent on legitimate purposes, it does not enable the region to use grant funding efficiently to reduce vulnerability gaps and build capability.

The NCR members are working on a strategic plan for the region but have not said when it will be finalized and implemented.

I recognize that the NCR is working with limited staff and a number of pressing priorities. However, without a strategic plan, the NCR cannot effectively leverage the millions of Federal dollars awarded to the region every year for homeland security.

Third, as the recent small plane incident shows, there are serious gaps in the coordination and communication between DC officials and the Federal Government. Mayor Williams, who is responsible for the District of Columbia and all those who live and work here, said he was not notified until after the event was almost over.

This failure of communication may be attributed to any number of different missing links: The DC police officer stationed at the Homeland Security Operations Center was not informed of the violation by his HSOC colleagues because he lacks a Top Secret security clearance; the telephone line that connects the DC police command center with the Federal Aviation Administration was disconnected, and the Homeland Security Information Network never issued an alert to State and local officials.

We cannot afford to have a layered system where every single layer fails.

I know the men and women working to protect our Nation's Capital have a never-ending challenge before them and I recognize and commend them for their hard work and dedication. It is my hope that our hearing will assist these public servants by bringing needed attention to the critical work they perform.

Thank you Mr. Chairman. I look forward to working with you on this and other DC oversight issues in the future.

Senator AKAKA. As the Chairman noted, we will be having a series of votes at 10, and I want to give our witnesses all the time

we can, and tell you that we appreciate your presence here and your responses, and I look forward to the testimony.

Thank you, Mr. Chairman.

Senator VOINOVICH. We are fortunate that we have some excellent witnesses this morning. William Jenkins is the Director of Homeland Security and Justice Issues at the Government Accountability Office.

George Foresman is the Assistant to the Governor for Commonwealth Preparedness for the State of Virginia. Thank you for being here.

Dennis Schrader is the Director of Maryland Governor's Office of Homeland Security.

Thomas Lockwood is the Director of the Office of the National Capital Region Coordination in the Department of Homeland Security.

Finally, we have Edward D. Reiskin, the Deputy Mayor for Public Safety and Justice for the District of Columbia.

Gentlemen, it is the custom of this Subcommittee to swear in all the witnesses. If you will stand, please, and be sworn in.

Do you swear the testimony you are about to give this Subcommittee is the truth, the whole truth, and nothing but the truth, so help you, God?

Mr. JENKINS. I do.

Mr. FORESMAN. I do.

Mr. SCHRADER. I do.

Mr. LOCKWOOD. I do.

Mr. REISKIN. I do.

Senator VOINOVICH. Thank you.

We will start out with you, Mr. Jenkins. I would request that you limit your testimony to 5 minutes, and I assure you that the rest of your testimony will be made part of the record. I do want to apologize in advance, but because of the limited time we have today you will probably receive questions from the Members of this Subcommittee in writing. We would appreciate your getting back to us as soon as you can with your written responses.

Mr. Jenkins.

TESTIMONY OF WILLIAM O. JENKINS, JR.,[1] DIRECTOR, HOMELAND SECURITY AND JUSTICE ISSUES, U.S. GOVERNMENT ACCOUNTABILITY OFFICE

Mr. JENKINS. Thank you. Chairman Voinovich and Ranking Member Akaka, I appreciate the opportunity to participate in today's hearing on efforts to use Federal grants to enhance emergency preparedness in the National Capital Region.

A coordinated, targeted and complementary use of Federal homeland security grants and all other available resources for enhancing emergency preparedness in the region is important. Effectively managing and using these funds is one mean of achieving an important goal: The ability of first responders to prevent where possible, prepare for, respond to, and recover from terrorist attacks and other major emergency incidents with well-planned, well-co-

[1] The prepared statement of Mr. Jenkins appears in the Appendix on page 21.

ordinated and effective efforts that involve a variety of first responders from multiple jurisdictions.

The Office of National Capital Region Coordination was created by the Homeland Security Act of 2002 to coordinate Federal, State and local efforts to secure the homeland in the NCR and to assess and advocate for State, local and regional resources needed in the NCR.

Effectively managing first responder funds requires the ability to measure progress and provide accountability for the use of available funds. This requires a strategic approach to homeland security that includes identifying threats and managing risk, aligning resources to address them, and assessing progress in preparing for and mitigating those threats and risks.

In May 2004 we reported that the NCR faced three interrelated challenges in managing Federal funds in a way that maximizes their effectiveness and minimizes inefficiency and unnecessary duplication of expenditures. Those were: (1) the lack of preparedness standards; (2) the lack of a coordinated region-wide strategic plan to guide expenditures; and (3) a readily available, reliable source of data on funds available to first responders in the NCR and their use.

Without the standards, a region-wide plan and data on available funds and their use, it is difficult to determine whether NCR first responders have the ability to respond to threats and emergencies with well-planned, well-coordinated and effective efforts.

In our May 2004 report we made three recommendations to the Secretary of Homeland Security that addressed these three interrelated challenges. The NCR has made progress in implementing these recommendations, but none has yet been fully implemented.

Specifically, first, we recommended that the NCR develop a strategic plan that includes performance goals and priorities that could be used to guide the use of funds to enhance emergency preparedness in the NCR. According to the Office of National Capital Region Coordination, a final draft for review has been completed and circulated to key stakeholders, and will feature measurable goals, objectives, and performance measures.

Second, we recommended that the NCR monitor the strategic plans implementation to ensure that funds are used in a way that promotes effective expenditures that are not unnecessarily duplicative. This cannot be done, of course, until the final plan is final.

The key to implementing this recommendation is data on funds available in the NCR for emergency preparedness and their use. Currently, the NCR, through the D.C. Office of Homeland Security, maintains data on Urban Area Security Initiative funds and funds that are allocated directly to the District of Columbia. However, at this time it does not have uniform, reliable and readily available data on funds available to NCR jurisdictions from non-UASI grants such as the State homeland security grants. NCR officials recognize the need to develop a more systematic means of capturing information on all homeland security grant funds available and their use within the NCR.

The third recommendation was to identify and address gaps in emergency preparedness in the NCR and evaluate the effectiveness of expenditures in closing those gaps. To date, no systematic gap

analysis has been completed for the NCR as a whole. However, by March 2006 the NCR plans to complete a gap analysis using the National Emergency Preparedness Standards of the Emergency Management Accreditation Program.

At some point this effort must be integrated with the performance standards that DHS has developed as part of its national preparedness goal. Since our May 2004 report, DHS has developed a list of 36 capabilities in terms of planning, training, equipment and exercises that first responders would need to develop and maintain to effectively prepare for and respond to major emergency events that would require the resources and participation of first responders from Federal, State, and local jurisdictions.

We applaud the efforts that the NCR has made to implement our recommendations. We believe that fully implementing them will be a major step toward developing the structure, processes and data needed to assess and develop emergency preparedness capabilities in the NCR.

That concludes my statement, Mr. Chairman. Be pleased to respond to any questions you or Senator Akaka have.

Senator VOINOVICH. Mr. Foresman.

TESTIMONY OF GEORGE W. FORESMAN,[1] ASSISTANT TO THE GOVERNOR OF VIRGINIA FOR COMMONWEALTH PREPAREDNESS, COMMONWEALTH OF VIRGINIA

Mr. FORESMAN. Thank you. Mr. Chairman, Senator, thank you all for holding this hearing today, and we very much appreciate the opportunity to talk about the progress that has in fact been made in the National Capital Region.

We have submitted joint written testimony on behalf of the Commonwealth of Virginia, the State of Maryland and the District of Columbia in our continuing spirit of cooperation.

We have four goals for the Subcommittee today. First, we want to place our collective work in the NCR into the broader perspective impacted by recent history, current progress and future plans.

Second, we want to help this Subcommittee, other Members of Congress, and most importantly, our citizens understand the real and tangible actions that we have taken to achieve higher levels of regional coordination to prevent attacks, and if necessary, to respond in the National Capital Region.

Third is a desire to articulate progress by pointing to measurable steps that we have taken in a collaborative fashion with our partners at the local level, in the private sector and with our Federal partners that will improve the region's readiness, both in the context of the public and private sector.

And finally, we want to reassure this Subcommittee and the Congress as a whole—you all are residents of the National Capital Region much of the time, your staff are residents all of the time—that we remain focused for the longer term efforts as we recognize that the threats that we face as a Nation, as region, as communities, will not diminish in the near term.

[1] The prepared joint statement of Mr. Reiskin, Mr. Foresman, and Mr. Schrader appears in the Appendix on page 33.

Clearly we have made much progress, but there is one principle that has underscored everything that we have done since the tragic hours of September 11. The phenomenal coordination challenge that we face in the National Capital Region is driven by our strict adherence to the principles set forth in the formation of this great Nation of ours. There is no single person, office, level, or branch of government vested with the ability to direct the full range of preparedness activities across all others in the region. So we adhere to the principle that while challenging, collaboration, and coordination must be followed lest we undermine the very values of governance that America is seeking to preserve.

What I would offer to you—and I think Mr. Jenkins has done a nice job of underscoring some of the issues—is it is easy to say that we must do a better job of coordinating regionally, it is phenomenally difficult to make that happen on a day-to-day basis, but it is a challenge that we remain committed to in the National Capital Region.

The NCR presents a unique coordination challenge for those who protect its residents and institutions, especially from the threat of terrorism. Recognizing the evolving character of the threat and the need for new types of collaboration, we are working in partnership, local, State, Federal, and private sector, to reduce the vulnerability of the NCR from terrorist attacks, and to do a better job at managing the full range or risks that we face on a day-to-day basis.

There is much activity occurring in many domains. Efforts to improve health and medical readiness are being supported by the U.S. Department of Health and Human Services. Actions to improve the military's readiness to support civil authorities at home here in the National Capital Region is being led by the Department of Defense. The Department of Homeland Security is one of many focal points of Federal activities that we have to work with across the National Capital Region, and they are of course focused on many areas ranging from intelligence sharing to border security, and clearly, Secretary Chertoff has set a new standard yesterday when he announced the reorganization and refocusing of the Department as part of the second stage review.

All of these activities impact us at the local and the State level, and it is important that we continue to coordinate across the Federal family, across all branches of the Federal family, to ensure that we have a coordinated and seamless strategy for dealing with emergencies and disasters.

You will hear from our discussions today, from my colleague, Dennis Schrader in Maryland, Ed Reiskin in the District of Columbia and Tom Lockwood from the Office of National Capital Region Coordination, about how regional coordination has been developed over the course of the past 4 years, and how it represents a complex structure, but a complex structure that nevertheless is needed in our structure of government in this country.

Regionalism is important to the future of managing risk in this country, and many of the lessons that we have learned in the National Capital Region are certainly applicable to other regions of the country.

But we remain committed to creating an enterprise of preparedness in the National Capital Region that assesses the risks and al-

lows us to control our destiny. At the end of the day, we remain committed to ensuring that we control our priorities, our destiny and our focus in terms of our ability to prepare for emergencies and disasters, including terrorism, and we will not allow our enemies to charge those priorities for us.

At the end of the day, preparedness in the National Capital Region is a fundamental responsibility that all of the governors, the Mayor of the District of Columbia, are committed to, and we recognize that all emergencies and disasters, irrespective of where they occur, are local and State issues and will be dealt with by local and State officials.

We very much appreciate the opportunity to testify today. My colleague, Dennis Schrader, from the State of Maryland, will now talk about the governance structure.

TESTIMONY OF DENNIS R. SCHRADER,[1] DIRECTOR OF THE GOVERNOR'S OFFICE OF HOMELAND SECURITY IN THE STATE OF MARYLAND

Mr. SCHRADER. Thank you, Mr. Chairman, Senator Akaka. From the very beginning, going back almost 36 months now—that anniversary will be on April 5, 2002—the two governors, the mayor and the President's office came together around eight commitments to action, and this has been an evolving governance process. But the key to the governance process from the very beginning was deliberate focus on management of the program, and accountability for every action that we take. Having that kind of an accountability in a complex environment like this really required that the principals had their people working very closely together. It is a privilege for me to be working with my colleagues from Virginia, DC, and the Office of National Capital Region.

Early on we determined that as resources would come into the National Capital Region, it had to be centrally managed, and we determined that the most appropriate way to handle that was to have the District of Columbia be the State administrative agency for those resources, and we are very pleased with the job that they have done on our behalf.

We meet monthly face-to-face. Our principals, the governor and the mayor meet approximately quarterly on a variety of issues. Homeland security is one of them. So each of us feels a mutual responsibility to each other for the evolution of this process.

The first 18 months was spent working hard on how to put the governance structure together. One of the eight commitments was around decisionmaking and coordination, and there was a lot of time spent on that, and actually, that was done before the Department of Homeland Security was established.

With the establishment of the Office of the National Capital Region with the stand-up of the new department in early 2003, that office evolved, but it has really taken off to a new level under Tom Lockwood's leadership since May 2004, and his energy and commitment to bringing us all together and driving this to a new level has been laudable, and we appreciate that, at least in Maryland, and

[1] The prepared joint statement of Mr. Reiskin, Mr. Foresman, and Mr. Schrader appears in the Appendix on page 33.

the other States. I think I can speak for my colleague in Virginia and DC.

We continue to focus on a day-to-day basis on project management. That process evolves. But also in the governance process we learned early on—and we had a major milestone in February 2004—that we needed to bring the local jurisdictions into the governance process, and we formally brought the chief administrative officers from the local jurisdictions into that process. And you have a document, which I will not go through, but that lays out the structure of how all that works, and in collaboration with the Emergency Preparedness Council, which gives us visibility for the local elected officials, the private sector and other regional government agencies, as well as the nonprofit sector.

So this governance structure was agreed upon in February 2004, and we have been exercising that since then, and I will be honest with you, we have had a lot of bumps and grinds, as any major process like this, but I believe the commitment, the week-in and week-out, we actually have a conference call every Friday at noon that we have together, and it is very rare that all of the folks from the principal team are not on that call.

So the last thing I will leave you with is that we also have a bottoms-up process within the CAO group. They have visibility on all what are called the emergency support functions. The local emergency responders from all the various communities, the 15 emergency support functions, and that is managed by the chief administrative officers with the help of the Washington Council of Governments, and that is a very complex process.

Let me just leave you by saying we have had a number of very important milestones. We have bought 1,000 800-megahertz radios that are shared within the region and can be deployed at a moment's notice. That was a very major improvement. We have interoperability teams that are working. We have bought 9,000 sets of turnout gear for all the fire and emergency medical responders in the region, and we have reached out to the physical disabilities community. We have a citizen education program under way, and we are focused also on critical infrastructure protection and training and exercises.

I will stop there, but I will say that our governance process is evolving, it is working, and it is very focused on accountability and management. Thank you, sir.

Senator VOINOVICH. Mr. Lockwood, how long have you been with DHS?

Mr. LOCKWOOD. Since about May 2004, so I am coming up past my 1-year anniversary.

TESTIMONY OF THOMAS J. LOCKWOOD,[1] DIRECTOR, OFFICE OF NATIONAL CAPITAL REGION COORDINATION, U.S. DEPARTMENT OF HOMELAND SECURITY

Mr. LOCKWOOD. Thank you for allowing us to come. Again, this work that we do is truly a collaborative effort between Federal, State, local government, and the private sector, including our not-

[1] The prepared statement of Mr. Lockwood appears in the Appendix on page 64.

for-profit community and our regional partners. So again, I want to recognize all of the partners that we have in the region.

These partners have been significant in putting together and planning regionally to lead the Nation in that concept. We continue to work closely, and in the near term, we very much intend to come out with a regional strategic plan, one that is based on all of those partners, their comments, their concerns, about this region, going back almost to 2003, at which time we were in the State of Maryland as part of the Maryland Homeland Security team very much coordinated even back then with Mike Burns. We appreciate the work that Mike and the White House has done to lay out this ground work.

We use the UASI grant really as a tool to begin integrating the region. We had three critical points at that time: To prevent terrorist attacks in the NCR, to reduce the NCR's vulnerability to terrorism, and to minimize the damage and recover from attacks that do occur.

This framework of cooperation, this framework of true regional capability, of committing the resources to regional initiatives, really was the ground work for where we are at today, so that was a great move on Congress' part to allow those resources to be committed to regions.

But as indicated by GAO, there was much more work to be done. This was a first step. The next step was really to bring in the concept of standards, performance measures, to really articulate a common regional strategic plan that integrates Federal, State, and local spending to prioritize as a community, and we have aggressively followed up on those recommendations.

Again, the need for this plan again is to establish coordinated regional goals and priorities for the enhancement of homeland security and first response capabilities within the NCR to guide, integrate and ensure efficient spending of security dollars, of grant dollars, of budgeted dollars in resources, and again, to provide a means for actual improvements that are being made.

We also have some key principles that we developed that is going to guide us, and probably the most important one, strengthening regional coordination among all partners to gain synergy while sustaining jurisdictional authority and enhancing capabilities. That truly means we are working as a team.

A couple other key points: To prepare for all hazards including manmade and naturally occurring emergencies and disasters, so that this is part of our day-to-day practices and expandable in the event of an emergency. We have another key piece in this region, to foster a culture of collaboration, respect, communication, innovation, and mutual aid among all the homeland security partners. When we talk about these partners again we have six forms of constitutional government that we deal with every day, the Commonwealth of Virginia, the State of Maryland, the District of Columbia, with the Legislative Branch, the Judicial Branch, the Executive Branch, how do we coordinate together as a team.

We are developing and we will be publishing shortly the National Capital Region Homeland Security Plan. This is not a invented plan. This builds upon all the previous work over the past several months, the work that the police chiefs, fire chiefs, emergency man-

agement communities in the region, pulling all of that work together to meet the intent of where GAO was commenting that we really want to have better coordination and visibility amongst the funding streams. A key step is building those performance measures, and this regional assessment that we have done, both across the region and with jurisdictions, will be a key piece in that.

Thank you very much.

Senator VOINOVICH. Thank you, Mr. Lockwood. Mr. Reiskin.

TESTIMONY OF EDWARD D. REISKIN,[1] DEPUTY MAYOR FOR PUBLIC SAFETY AND JUSTICE FOR THE DISTRICT OF COLUMBIA

Mr. REISKIN. Good morning. Thank you. My name is Ed Reiskin. I am the Deputy Mayor for Public Safety and Justice for the District of Columbia. I appreciate the opportunity as well to round out this discussion with my partners from Maryland, Virginia, and the Department of Homeland Security.

I am going to talk about funding, which has been an area of focus for us and I know an area of interest for you. One of the major sources for regional homeland security efforts, sources of funding since 2003 has been the Urban Area Security Initiative, fondly known as UASI. In the National Capital Region it has been one of our major areas around which we have coordinated and worked together as a region.

As Dennis mentioned, the District of Columbia serves as the administrator or State administrative agent for the region's homeland security funds through UASI, and to that end we have established an Office of Homeland Security within the Executive Office of the Mayor to perform that function. The purpose of the Office is through agreement with all the participants, to provide a comprehensive grant oversight program for the entire region, and we collectively have made it a priority of that office to make certain that all UASI grant funds are expended effectively, efficiently, timely, and consistent with grant guidelines and desired outcomes.

This Office serves as the reliable and primary source of information on the Homeland Security grant programs, including criteria used to determine spending priorities and actual expenditures. Since the establishment of this Office, there have been a number of benefits that creation of this Office has provided to the region.

As outlined in the table, Table 1[2] in the testimony we submitted for the record, the Office is currently managing UASI grants totaling over $170 million. Over 90 percent of these funds allocated to the region since 2003 have been either expended or obligated, as detailed in Table 2[3] in the testimony.

Despite that relatively high number, we do acknowledge that the level of spending is relatively low when measured solely on a grant expenditure basis. However, it is important to note that there are no significant dollars that have not been programmed. They are not technically expended. Virtually every dollar is tied to a project that is currently in progress of completed.

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[1] The prepared joint statement of Mr. Reiskin, Mr. Foresman, and Mr. Schrader appears in the Appendix on page 33.

[2] Table 1 appears in the Appendix on page 46.

[3] Table 2 appears in the Appendix on page 47.

However, funds are only deemed expended when the goods or services have been received, the invoices have been received and processed, accounting entries are completed within financial systems and quarterly reports sent to the Federal Government.

We, therefore, believe that basing an evaluation of any region's homeland security spending purely on its rate of official expenditure is not the best measure of its effectiveness. Analysis of funds allocation and progress on each project better provides an evaluation of how and whether the funds are being spent. An analysis of the outcomes ultimately will determine if they have been spent wisely.

The reason why our spending rate is low, however, compared to other UASI regions, is that following the receipt, programming and expenditure of congressionally appropriated funds in 2002, the region was very deliberate in its execution of the then-new homeland security grant program. As you have heard, we have a lot of stakeholders and a complex system in which we work, and determining how to best use these valuable grant resources takes time, and particularly when we first came together as part of this regional process, we needed to ensure that we had all of the stakeholders involved and systems in place to ensure a viable process.

Nevertheless, and with the help of recommendations from the GAO, we constantly strive to improve our administrative processes and have done so, and in the coming year we will focus the Office on strengthening the region's overall management reporting mechanisms with regard to these grants.

We are currently taking several steps to develop these enhanced mechanisms such as building program management capacity to assist with managing and monitoring the region's homeland security grant activities and the development of a regional web portal to create a collaborative environment for stakeholders throughout the region.

So we, therefore, believe we are on a good track from an administrative perspective to provide the support needed for this complex process to ensure that we manage the use of these funds to achieve the outcomes that will make the region safer and more secure.

So with that, you have heard about how we are organized, how we have strategized and managed ourselves to work towards the achievement of our homeland security vision for our unique and beloved region, and while we are unique in many respects, we hope that there are lessons learned for other areas of the country so that they, too, can transcend political jurisdictional boundaries to make their regions, and therefore the country, safer and more secure.

That concludes our statement and we welcome the opportunity to discuss this further.

Senator VOINOVICH. Thank you very much. In my opening statement there were references to some areas that I have concern with. In particular, I am referring to the first Cessna that flew into the restricted air space, forcing the evacuation of the Capitol. We later learned that it took 30 minutes for that information to be shared with the District of Columbia, the mayor, and the chief of police. I suspect that you have remedied that situation?

Mr. REISKIN. We have.

Senator VOINOVICH. I want to say to all of you that I am impressed with your testimony today. As a former governor, and especially in the Cincinnati area where we have three States that come together, I know how difficult it is to get everybody together. The fact that you have all appeared here and presented joint testimony, is an indication that you recognize in terms of governance and working together, how important it is that you continue that. I am very pleased to hear that you talk quite often. I am also pleased to see that each of you in your own respective jurisdictions, particularly the States, have your own various local government groups that you stay in touch with.

I would be interested in knowing what kind of a mechanism you have put in place to allocate resources. I know in my State of Ohio, there is a significant amount of grant money coming into the State. Allocating these funds in an effective and efficient manor is difficult. How do you go about allocating those funds in this region?

Mr. FORESMAN. Mr. Chairman, the easy way would be to simply allocate it on a population based formula, but we chose very early in the process not to do that. Essentially, the process works like this: We take a broad category, a broad pot of dollars, if you will, in terms of the UASI grant availability. Throughout this process we have continued to identify the needs at the local level, statewide, region-wide, and essentially using the ESF structure, the various support functional activities, proposals permeate up through those ESF functional areas, they come forward to the chief administrative officers, who then rack them and stack them and prioritize them. They subsequently come forward to the senior policy group——

Senator VOINOVICH. Who are the chief administration officers?

Mr. FORESMAN. County managers, city managers, that type of thing, comes forward to the senior policy group. And we have had a little bit of a variation on it——

Senator VOINOVICH. Who is the senior policy group?

Mr. FORESMAN. That would be the six representatives of the two governors and the mayor. It is typically the Homeland Security Adviser and the State Emergency Management Director, as well as two representatives from the Office of National Capital Region.

Senator VOINOVICH. Who staffs that for you?

Mr. FORESMAN. We staff it using part of the administrative funds. We staff it through the district's Office of Homeland Security through contract support to provide——

Senator VOINOVICH. You are using the EMPG funds then to do that.

Mr. FORESMAN. No, sir, using UASI funds.

Senator VOINOVICH. OK.

Mr. FORESMAN. But what it essentially provides for is a distributed process that allows those same key decisionmakers that make budget decisions at the local level, chief administrative officials, to make budget decisions with regard to Federal allocations. Simply put though, getting 12 local jurisdictions, say the fire community, for instance, it requires getting 12 fire chiefs to agree on spending priorities within the fire discipline across local jurisdictions and appropriate State agency folks. It is not easy. It is new. But it is working thus far.

Senator VOINOVICH. When I was Mayor of Cleveland it was difficult to get anybody together. Since September 11, things have changed. Because of the initiative that we have taken on the Federal level in terms of providing funds, it is amazing the coordination and cooperation that we are seeing in the States. Good people are getting together and backing off their turf, trying to get the job done.

One of the things that I think people fail to realize is that here in the District we are obviously more vulnerable than other places in the country. As Senators, we have men and women that work for us. Many of us are here during the week and go home on the weekends. The people who work in our offices live in this region and are at more risk than many Americans. The Capitol complex has been evacuated seven times. During the Anthrax attack, we were out of our office for 4 months. I think that it should be comforting to some of the moms and dads and grandmas and grandpas of these people, that you all are working together. You have a heavy responsibility, and I am grateful that you are moving in the right direction.

Mr. Lockwood, do you have enough people over in your shop to get the job done for you? How many do you have, Mr. Lockwood?

Mr. LOCKWOOD. Currently in the office I have a Deputy, Ken Wall, who is one of the best deputies in DHS. We have EA support and we have some detailees in the office.

Senator VOINOVICH. Do all of you feel that the ONCRC is doing a good job with coordination in the region? Mr. Lockwood, is your office implementing a structure to track and coordinate the funds coming into the region? Does this structure answer the concerns and questions that GAO has asked?

Mr. LOCKWOOD. Yes, the structure that we have put into place right now. We put in the organizational structure of the leaders so that they are looking at both the local spending and their jurisdictional spending. Now as we are building out the actual management mechanisms, and the people to actually do the work, the infrastructure, the databases will be compiled to reflect that integrational process.

Senator VOINOVICH. And you are also working on the gaps that you might perceive that are out there?

Mr. LOCKWOOD. There is two pieces of this. At the national level through DHS activities, through Presidential Directive 7 and 9 that are asking for the establishment of baselines, DHS is very actively establishing those. There is a preliminary document statement have gone out. They are working with their State and local partners now. And the goal for ESF—check that—for Homeland Security Presidential Directive No. 7, critical infrastructure piece, they are looking to finalize that, I believe fall of this year.

And for Homeland Security Presidential Directive No. 8, emergency preparedness standards and guidelines, again, this fall. There is a lot of interaction across the Nation with the State Homeland Security Emergency Management first response communities.

Mr. FORESMAN. Mr. Chairman, if I might, I would feel remiss if I did not offer a State perspective, having been in the region since prior to September 11, having looked at a lot of the national issues. Congress' intent in creating the Office of National Capital Region

Coordination—which I, as a State official, did not particularly agree with on the front end, but I have now seen the merit in that—is not appropriately resourced to accomplish the mission that you all have asked them to accomplish. I say that irrespective of whether Tom Lockwood or Mike Burn is occupying the seat in there, but it is a phenomenal challenge. I would offer to you that we have evacuated the Capitol, but providing that level of facilitation and coordination between the District, the two States and the U.S. Congress, the Judiciary and the Executive Branch is a phenomenal undertaking, and there are insufficient resources just to coordinate the Federal piece of it amongst themselves, much less with the State and local partners.

Senator VOINOVICH. Thank you for your candor. Senator Akaka.

Senator AKAKA. Thank you very much, Mr. Chairman. I agree with you, Mr. Chairman, that what we have heard is pleasing to our ears, and you have indicated that you have been working hard. I am glad to hear the words being used, "accountability," "commitment," "coordination," putting together government structure, a framework, and even maybe another step would be to set standards. And so you are working together since, I believe, 2004.

I would be interested in hearing from any member of the senior policy group who could explain to this Subcommittee how you share information on ongoing homeland security projects, and in your respective jurisdictions, and whether this is a formal or informal process. Mr. Schrader.

Mr. SCHRADER. One of the things that we are most concerned about in Maryland particularly has been the notion that we have one State and we talk frequently with our local jurisdictions to make sure that we have an integrated program within the State that then coordinates back with the National Capital Region.

Just to give you an example, we have a fusion center in Maryland, which we call the Coordination and Analysis Center. We are very careful to make sure that all the jurisdictions in Maryland are tied into that, but then we are working with the Washington Field Office, Virginia, and DC, to begin to look at how do we integrate those efforts. That is just one example.

We have got a critical infrastructure protection program in Maryland that we work very closely with the FBI and the Department of Justice, as well as DHS. We have got a joint committee that looks at how do we coordinate the three jurisdictions with the Federal Government on that critical infrastructure.

So it is on a program by program basis, at least in Maryland, and I know my colleagues are working with us. Similarly, we are creating focus on that so we make sure that we leverage the resources. So if we are investing in critical infrastructure protection in Maryland as a State, we want to make sure that we leverage those resources back to the NCR so that there is collaboration.

So those are just a couple of examples.

Mr. LOCKWOOD. Within the National Capital Region following September 11, the Executive Branch, through the Chief of Staff, had reached out and created a group called the Joint Federal Committee. We meet once a month. It includes members of the Federal family, Executive, Legislative, and Judicial. Very similar how we get together as a team once a month, the Joint Federal Committee

gets together once a month to sort out clearinghouse issues of how do we coordinate issues, specific issues of coordination of interest and to ensure that our Federal family is being linked back over to State and local efforts as well. When I say our Federal family, I do mean all three branches of the Federal Government.

A key piece that I believe everyone here at this table really feels very sincerely is we all feel strongly about this region, its institutions, about our residents, and about our guests. We also see that there is a responsibility on us to talk to other regions of the Nation, and one of the pieces that I can see is very active coordination with our State partners back over with other regions of the Nation, and trying to make what we are doing here available to other people. Most of those are informal discussions. Some are through formal activities such as the National Governors Association, but for example, in your home State of Hawaii, as seeing what we are doing here, General Lee wanted to know more about Smart Card Initiatives to help management of first responders working through Honolulu County. There has been a lot of coordination now to see what we are doing and how we might leverage this with other areas. Again, this is very preliminary pieces, mostly informal, some formal meeting structures.

Senator AKAKA. Well, to any of you, Mr. Jenkins from GAO has testified that NCR should systematically track non-UASI grant funds. Do you agree with this recommendation, and if you do, why or why not? Mr. Foresman.

Mr. FORESMAN. Senator, the one thing I would offer is I track every dollar in Virginia on a day-to-day basis, as do my colleagues in Maryland and Virginia, so the decisions that are made are informed by what we are doing with a multitude of grant funds ranging from the bioterrorism money through CDC, funds that are coming down through a variety of other Federal sources, as well as the more than $500 million annually that the State contributes to a variety of preparedness type activities, whether it is law enforcement, fire, or emergency medical services.

I think that part of the issue becomes to what degree is that necessary and to what degree does that clarify or cloud an issue? And Mr. Jenkins and his staff have been phenomenal in working with us and giving us great ideas as we have worked forward. But a perfect solution, it is easy to articulate a perfect solution, but I am not sure that bringing my daily accounting sheets and giving them to my partners in Maryland and DC is going to improve our decision-making, because as we go through these collaborative discussions, Dennis will say, "Are we going to do this issue?" And I will say, "Well, here is how we are addressing it in Virginia."

And frankly, I think we have to be careful that, as all of the witnesses have testified today, that we protect the uniqueness and the individuality of local governments and State Governments while providing the appropriate level of transparency, and there are political dimensions and practical dimensions.

Senator AKAKA. Thank you, Mr. Chairman. My time has expired. But may I ask Mr. Jenkins whether he has any comments to make on that?

Mr. JENKINS. Actually I do, because I am a little bit puzzled by the response. We have been told that they are going to do that and

that they agree with it, and as a matter of fact, in Mr. Reiskin's testimony May 16 before the D.C. City Council he said specifically that: "in the coming year focus will extend beyond the UASI grant program to include strengthening of the region's overall management and reporting mechanisms. We are going to be developing a regional web portal to create a collaborative environment for NCR stakeholders. The portal will serve as an information management tool for accessing and sharing regional relevant data to include comprehensive information on the availability and spending of Federal grants in the NCR, regional priorities for determining future spending of those funds."

So I am a little bit puzzled by the response, given this, and the fact that we have been told that they are going to do it.

Mr. REISKIN. If I could try to clarify. Our focus within the region and within our Homeland Security Office that serves as the administrator, has largely been, particularly when DHS stood up, has been centered around the UASI grant fund because that was the big gorilla on the table. That is where our focus has been, but as I had indicated in my testimony both here and to the D.C. City Council, we recognize that the UASI program is just one funding source and one part of the activity that our overall strategy needs to address, some of which are non-funding issues, they are policy and coordination issues.

So through the development of the regional strategy that is currently taking place, that will provide a framework within which we make decisions based on UASI, decisions within which the States will individually make decisions based on their State Homeland Security grant programs, Health and Human Services grant programs, as well as policy, operations, coordination decisions.

We most certainly want our office to be able to provide for, on a regional level, relevant data, and certainly all data that we are responsible for within our office on behalf of the region, we intend to share and make available.

We have not worked through the details of which State grant fund programs from Maryland, or Virginia we would include as part of that regional information. We would most certainly include that which we are responsible for. We have begun meeting through the convening of the Department of Homeland Security's Office of Domestic Preparedness with the State administrative agents of the whole region, including even beyond Maryland and Virginia, to start coordinating and sharing information, and we will work towards providing as much useful information as we can without overloading folks with more data than they can use.

I would finally echo George's statement that throughout the process at all levels, from the region's fire chiefs getting together to the region's chief administrative officers getting together, to us at the State level getting together, we bring with us and are informed by our knowledge of all of the many activities both from Federal funds, local funds and other policy issues that are happening in our respective jurisdictions.

Senator AKAKA. Thank you, Mr. Chairman.

Senator VOINOVICH. Thank you. Senator Dayton.

Senator DAYTON. We are going to have time, Mr. Chairman? You have enough seniority and majority to—I will be comfortable walking out with you.

Senator VOINOVICH. We are going to wrap it up.

Senator DAYTON. I have one more question mainly.

Senator VOINOVICH. Sure.

Senator DAYTON. Given the complexity of the government arrangements—and I certainly understand those, appreciate those difficulties—but in an emergency situation, it seems that complexity becomes difficult because of human nature and the like. In both of the evacuations, one the Chairman mentioned, the other a year before when the Governor of Kentucky came in on a private plane without an operating transponder, and from what I recall reading, the FAA had that information, he communicated that to others including the Capitol Police, and once again we were evacuated.

In both instances the response of the Capitol Police was heroic, and we were evacuating as quickly as feasible. But if either of those planes had been a hijacked plane by a terrorist organization, it would have crashed into the Capitol before hundreds, if not thousands of people could have gotten out. Do we need to have one overriding agency, whoever that is, in charge of this and able to make all necessary decisions—you are shaking your head—so that we can get an immediate response when one is called for?

Mr. FORESMAN. Senator, in my estimation, no. Simply put, we cannot do it one way in the National Capitol Region and a different way in the remainder of the Nation because we are in fact one Nation, and we have to have one process, one structure, if you will, concept in terms of how we deal with emergencies and disasters.

One thing I would point to is many of the systems that were put in place—and I was here on September 11—many of the systems put in place in the immediate days and weeks and months in the aftermath of September 11 were done so in a very reactive fashion. They were done so without necessarily a great deal of ability for thoughtful analysis, collaboration among local, State, and Federal officials. They were well intentioned, and they were the best that we could do at the time.

I think the level of maturity that we have seen in the National Capital Region—and we get better with every event—tells me that we are in fact getting where we need to be. Are we there yet? Absolutely not. Are we ever going to be 100 percent risk free? No, we are not.

But from an operational perspective, I think the level of cooperation and coordination is vastly improved over what it was during the anthrax attacks in 2001, and I frankly think that under the structure of governance, you cannot have one agency that is going to be in charge. It is more important to make sure that people who are in charge of specific pieces are doing their job, and that we have got the collaborative and coordination mechanisms in place to make sure that it is all in one game plan.

Senator DAYTON. Anybody else, given our shortage of time? I see a couple of nodding heads. Does anybody have a significant disagreement with that?

Mr. LOCKWOOD. Not a disagreement, but actually an expansion.

Senator DAYTON. Do we have time, Mr. Chairman, for an expansion? I defer to you.

Senator VOINOVICH. Yes. Mr. Lockwood, please respond and then we will adjourn.

Mr. LOCKWOOD. Through the National Capital Region Coordination Center, where you have multiple agencies now engaged 24 hours a day, 7 days a week, looking at the air picture, this is now much better coordinated after May 11. Each incident that happens, each activity that happens in the region, we try to learn from those activities and fold those back in. So the lesson learned from May 11 have already been incorporated. And again, a key piece of this is as the Federal Government takes activities out into their State or local government, there has to be active coordination and communication with their partners.

Senator VOINOVICH. A symbiotic relationship is essential for all of you to be successful and achieve your goals. The more you work together and the more you coordinate, the better off this region will be. As I said earlier, I want to congratulate you on the effort that you are making.

Mr. Jenkins, I really appreciate GAO's oversight over this issue, and I am sure that your work has been very helpful to everyone here. I am hoping that when we get together in the next 6 months, that we will be talking about how the strategic plan is completed, and some of the issues that Mr. Jenkins has raised no longer exist.

Again, thank you very much for your work on behalf of this region of the country for us and for the people that work with us.

The hearing is adjourned.

[Whereupon, at 10:22 a.m., the Subcommittee was adjourned.]

APPENDIX

United States Government Accountability Office

GAO

Testimony

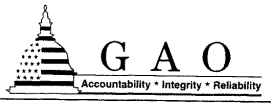
Before the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia of the Committee on Homeland Security and Governmental Affairs, U.S. Senate

For Release on Delivery
Expected at 9:30 a.m. EDT
Thursday, July 14, 2005

HOMELAND SECURITY

Managing First Responder Grants to Enhance Emergency Preparedness in the National Capital Region

Statement of William O. Jenkins, Jr.
Director, Homeland Security and Justice Issues



GAO-05-889T

July 14, 2005

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Accountability· Integrity· Reliability

Highlights

Highlights of GAO-05-889T, a testimony before the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia of the Committee on Homeland Security and Governmental Affairs, U.S. Senate

Why GAO Did This Study

After the tragic events of September 11, 2001, the National Capital Region (NCR)—the District of Columbia and nearby jurisdictions in Maryland and Virginia—was recognized as a significant potential target for terrorism. In fiscal years 2002 and 2003, about $340 million in emergency preparedness funds were allocated to NCR jurisdictions. In May 2004, GAO issued a report (GAO-04-433) that examined (1) the use of federal funds emergency preparedness funds allocated to NCR jurisdictions, (2) the challenges within the NCR to organizing and implementing efficient and effective preparedness programs, (3) any emergency preparedness gaps that remain in the NCR, and (4) the Department of Homeland Security's (DHS) role in the NCR. The report made recommendations to the Secretary of DHS to enhance the management of first responder grants in the NCR. We also reported in September 2004 (GAO-04-1009) that the NCR's Governance Structure for the Urban Area Security Initiative could facilitate collaborative, coordinated, and planned management and use of federal funds for enhancing emergency preparedness, if implemented as planned DHS agreed to implement these recommendations.

www.gao.gov/cgi-bin/getrpt?GAO-05-889T.

To view the full product, including the scope and methodology, click on the link above. For more information, contact William O. Jenkins, Jr., 202-512-8757 or jenkinswo@gao.com.

HOMELAND SECURITY

Managing First Responder Grants to Enhance Emergency Preparedness in the National Capital Region

What GAO Found

A coordinated, targeted, and complementary use of federal homeland security grants is important in the NCR and elsewhere. These grants are one means of achieving an important goal: enhancing the ability of first responders to prevent, prepare for, respond to, and recover from terrorist and other incidents with well-planned, well-coordinated, and effective efforts that involve a variety of first responders from multiple jurisdictions. To oversee and coordinate federal emergency preparedness programs among federal, state, local, and regional authorities in the NCR, the Homeland Security Act established the Office for National Capital Region Coordination (ONCRC) within DHS. The ongoing security risk requires a comprehensive, coordinated, and carefully planned approach to the expenditure of federal first responder grants. This requires a NCR-wide strategic plan, performance goals, an assessment of preparedness gaps to guide priority setting, and continuing assessments of the progress made in closing identified gaps

This testimony summarizes our prior work and provides information on the implementation of the three recommendations in our May 2004 report. First, we recommended that DHS work with the NCR jurisdictions to develop a coordinated strategic plan. DHS and NCR jurisdictions have completed a final draft for review that has been circulated to key stakeholders. Second, we recommended that DHS monitor's the plans implementation, which must await a final plan. To implement and monitor the future plan, data will be needed regarding the funding available and used for implementing the plan and enhancing first responder capabilities in the NCR—data that is not currently routinely available. The NCR, through the District of Columbia's Office of Homeland Security, has a system for tracking the use of Urban Area Security Initiative funds in the NCR as well as other homeland security grant funds available to Washington, D.C. However, the NCR does not currently track non-Urban Area Security Initiative funds available to and used by other NCR jurisdictions in an automated, uniform way. Rather, it obtains information about those funds through a variety of means, including teleconferences involving senior emergency preparedness officials. Third, we recommended that DHS identify and address preparedness gaps and evaluate the effectiveness of expenditures by conducting assessments based on established guidelines and standards. No systematic gap analysis has been completed for the region; however, by March 2006, the NCR plans to complete an effort to use the Emergency Management Accreditation Program (EMAP) as a means of conducting a gap analysis and assess NCR jurisdictions against EMAP's national preparedness standards. The result would be a report on the NCR's compliance with EMAP standards for emergency preparedness and an analysis of areas needing improvement to address in the short- and long-term. The ONCRC has not determined how this effort would be integrated with DHS' capabilities-based planning and assessments for first responders, pending the issuance of DHS' final version of the National Preparedness Goal in October 2005.

Mr. Chairman and Members of the Committee:

I appreciate the opportunity to participate in today's hearing on efforts to use federal first responder grants to effectively enhance emergency preparedness in the National Capital Region (NCR). We reported on this issue twice in 2004 and testified before the House Committee on Government Reform on this topic in June 2004.[1] My statement today highlights the major findings and recommendations of our prior work and provides some updated information on the status of efforts by NCR jurisdictions and the Department of Homeland Security's Office for National Capital Region Coordination (ONCRC) to implement our recommendations.

Summary

A coordinated, targeted, and complementary use of federal homeland security grants is important in the NCR. These grants are one means of achieving an important goal: enhancing the ability of first responders to prevent where possible, prepare for, respond to, and recover from terrorist and other incidents with well-planned, well-coordinated, and effective efforts that involve a variety of first responders from multiple jurisdictions.

The Office of National Capital Region Coordinator (ONCRC) was created by the Homeland Security Act.[2] It is responsible for coordinating federal, state, and local efforts to secure the homeland in the NCR and for assessing and advocating for the state, local, and regional resources in the NCR needed to implement efforts to secure the homeland.

In May 2004, we reported that ONCRC and the NCR faced three interrelated challenges in managing federal funds in a way that maximizes the increase in first responder capacities and preparedness while minimizing inefficiency and unnecessary duplication of expenditures. These challenges included the lack of (1) preparedness standards; (2) a coordinated regionwide plan for establishing first responder performance

[1] *Homeland Security: Management of First Responder Grants in the National Capital Region Reflects the Need for Coordinated Planning and Performance Goals*, GAO-04-433, (Washington, D.C.: May 28, 2004); *Homeland Security: Effective Regional Coordination Can Enhance Emergency Preparedness*, GAO-04-1009 (Sept. 15, 2004); and *Homeland Security: Coordinated Planning and Standards Needed to Better Manage First Responder Grants in the National Capital Region*, GAO-04-904T, June 24, 2004).

[2] P.L. 107-296 §882

goals, needs, and priorities, and assessing the benefits of expenditures in enhancing first responder capabilities; and (3) a readily available, reliable source of data on the funds available to first responders in the NCR and their use. Without the standards, a regionwide plan, and data on spending, it will be extremely difficult to determine whether NCR first responders have the ability to respond to threats and emergencies with well-planned, well-coordinated, and effective efforts that involve a variety of first responder disciplines from NCR jurisdictions.

Our May 2004 report made three recommendations to the Secretary of the Department of Homeland Security (DHS), which the Department agreed to implement. Some progress has been made in implementing these recommendations, but none has yet been fully implemented:

- Recommendation 1: Work with the NCR jurisdictions to develop a coordinated strategic plan to establish goals and priorities to enhance first responder capacities that can be used to guide the use of federal emergency preparedness funds.
  - Actions taken: According to a DHS ONCRC official, a final draft for review has been completed and circulated to key stakeholders. According to the Director, ONCRC, the plan will feature measurable goals, objectives, and performance measures.

- Recommendation 2: Monitor the plan's implementation to ensure that funds are used in a way that promotes effective expenditures that are not unnecessarily duplicative.
  - Actions taken: This recommendation cannot be implemented until the final strategic plan is in place. Importantly, to establish regional priorities and track progress in implementing the plan, data will be needed regarding the funding for and use of all first-responder grants available to NCR jurisdictions. The NCR, through the District of Columbia's Office of Homeland Security, has a system for tracking the use of UASI funds for the NCR and other homeland security grant funds allocated to Washington, D.C., such as the State Homeland Security Grants. However, at this time, it does not have an automated, uniform system to track non-UASI grant funds available and used by other NCR jurisdictions. Instead, the Office obtains information through a variety of means, including teleconferences involving senior emergency preparedness officials. The ONCRC recognizes the need to develop a more systematic means of capturing all homeland security grant funds available to and used through the NCR and its member jurisdictions.

- Recommendation 3: Identify and address gaps in emergency preparedness and evaluate the effectiveness of expenditures in meeting those needs by adapting standards and preparedness guidelines based on likely scenarios for the NCR and conducting assessments based on them.
  - Actions taken: No systematic gap analysis has been completed for the region as a whole. However, by March 2006, the NCR plans to complete an effort to use the Emergency Management Accreditation Program (EMAP) as a means of conducting a gap analysis and assessing NCR jurisdictions against EMAP's national preparedness standards. The result would be a report on the NCR's compliance with EMAP standards for emergency preparedness and an analysis of areas needing improvement that can be addressed in the short- and long-term. How this effort would be integrated with DHS' capabilities-based planning and assessments for first responders has not yet been determined, pending the issuance of DHS' final version of the National Preparedness Goal in October 2005.

The NCR now has a UASI governance structure that could provide the regionwide coordination that is necessary for obtaining information and the consensus or acquiescence of many stakeholders for drafting, completing, and implementing a regional preparedness plan. We believe that completing the implementation of the recommendations in our May 2004 report would be a major step toward developing the structure, processes, and data needed to assess current first responder skills and capabilities in the NCR and monitor the success of efforts to close identified gaps and achieve designated performance goals for the NCR.

Background

Since the September 11, 2001, attacks, the federal government, state and local governments, and a range of independent research organizations have agreed on the need for a coordinated intergovernmental approach for allocating the nation's resources to address the threat of terrorism and improve our security. The National Strategy for Homeland Security, released in 2002 following the proposal for DHS, emphasized a shared national responsibility for security involving close cooperation among all levels of government and acknowledged the complexity of developing a coordinated approach within our federal system of government and among a broad range of organizations and institutions involved in homeland security. The national strategy highlighted the challenge of developing complementary systems that avoid unintended duplication and increase collaboration and coordination so that public and private resources are better aligned for homeland security.

The national strategy established a framework for this approach by identifying critical mission areas with intergovernmental initiatives in each area. For example, the strategy identified such initiatives as modifying federal grant requirements and consolidating funding sources to state and local governments. The strategy further recognized the importance of assessing the capability of state and local governments, developing plans, and establishing standards and performance measures to achieve national preparedness goals. In addition, many aspects of DHS' success depend on its maintaining and enhancing working relationships within the intergovernmental system as it relies on state and local governments to accomplish its mission. In our view, intergovernmental and interjurisdictional coordination in managing federal first-responder grants is as important in the NCR as it is anywhere in the nation.

The Role of DHS' Office of National Capital Region Coordination in Enhancing Regional Preparednedness

As noted in our May 2004 report and June 2004 testimony, the creation of DHS was an initial step toward reorganizing the federal government to respond to some of the intergovernmental challenges identified in the National Strategy for Homeland Security. ONCRC was created by the Homeland Security Act. According to NCR emergency management officials we contacted during the time of our previous reviews, ONCRC could play a potentially important role in assisting them to implement a coordinated, well planned effort in using federal resources to improve the region's preparedness. As we stated in the past, meeting the office's statutory mandate would fulfill those key responsibilities.

The Homeland Security Act established ONCRC within DHS to oversee and coordinate federal programs for, and relationships with federal, state, local, and regional authorities in the NCR.[3] The ONCRC's responsibilities are primarily ones of coordination, assessment, and advocacy. With regard to coordination, the ONCRC was mandated to:

- coordinate the activities of DHS relating to the NCR, including cooperation with the DHS' Office for State and Local Government Coordination;
- coordinate with federal agencies in the NCR on terrorism preparedness to ensure adequate planning, information sharing, training, and execution of the federal role in domestic preparedness activities;
- coordinate with federal, state, local, and regional agencies and the private sector in NCR on terrorism preparedness to ensure adequate planning,

[3]P.L. 107-296 §882

information sharing, training, and execution of domestic preparedness activities among these agencies and entities;

- serve as a liaison between the federal government and state, local, and regional authorities, and private sector entities in the NCR to facilitate access to federal grants and other programs.[4]

ONCRC also has responsibilities related to resource and needs assessments and advocating for needed resources in the NCR, including:

- assessing and advocating for resources needed by state, local, and regional authorities in the NCR to implement efforts to secure the homeland; and
- submitting an annual report to Congress that (1) identifies resources required to fully implement homeland security efforts in the NCR, (2) assesses progress in implementing homeland security efforts in the NCR, and (3) includes recommendations to Congress regarding additional resources needed to fully implement homeland security efforts in the NCR. (According to the ONCRC, the first annual report is now with the Office of Management and Budget for review).

We recognize that ONCRC's missions and tasks are not easy. The overall job of promoting domestic preparedness in a large area with a huge federal presence is daunting. The NCR is a complex multijurisdictional area comprising the District of Columbia and surrounding county and city jurisdictions in Maryland and Virginia. Coordination within this region presents the challenge of working with numerous jurisdictions that vary in size, political organization, and experience in managing large emergencies.

As we noted in our May 2004 report on the management of funds in the NCR, effectively managing first responder grant funds requires the ability to measure progress and provide accountability for the use of the funds. To do this, it is necessary to:

1. Develop and implement strategies for the use of the funds that identify key goals and priorities;

2. Establish performance baselines;

[4]The Office for National Capital Region Coordination was also mandated to provide state, local, and regional authorities in NCR with regular information, research, and technical support to assist the efforts of state, local, and regional authorities in NCR in securing the homeland; and develop a process for receiving meaningful input from state, local, and regional authorities and the private sector in NCR to assist in the development of the federal government's homeland security plans and activities.

3. Develop and implement performance goals and data quality standards;
4. Collect reliable data;
5. Analyze those data;
6. Assess the results of that analysis;
7. Take action based on those results; and
8. Monitor the effectiveness of actions taken to achieve the designated performance goals.

This strategic approach to homeland security includes identifying threats and managing risks, aligning resources to address them, and assessing progress in preparing for those threats and risks.

At the same time, it is important to recognize that the equipment, skills, and training required to prepare for and respond to identified terrorist threats and risks may be applicable to non-terrorist risks as well. For example, the equipment, skills, and training required to respond effectively to a discharge of lethal chlorine gas from a rail car is much the same whether the cause of the discharge is an accidental derailment or a terrorist act.

Our May 2004 Report Showed the Need to Improve Management of First-Responder Grants in the NCR

As we reported in May 2004, in fiscal years 2002 and 2003, the Departments of Homeland Security, Justice, and Health and Human Services awarded about $340 million through 16 first-responder grants to NCR jurisdictions to enhance regional emergency preparedness. Of these funds, $60.5 million were from the UASI grant, designated for regionwide needs. The remaining funds, about $279.5 million, were available to local jurisdictions for a wide variety of needs, such as equipment and training, and local jurisdictions determined how these funds were to be spent. Local jurisdictions used or planned to use money from those grants to buy equipment and to implement training and exercises for the area's first responders, as well as improve planning for responding to a terrorist event. We have not reviewed how funds were spent since the issuance of our May 2004 report; however, spending could not be based on a coordinated plan for enhancing regional first responder capacities and preparedness because such a plan does not yet exist, although one is being prepared.

In May 2004, we reported that ONCRC and the NCR faced 3 interrelated challenges in managing federal funds in a way that maximizes the increase in first responder capacities and preparedness while minimizing inefficiency and unnecessary duplication of expenditures. These were the lack of (1) preparedness standards; (2) a coordinated regionwide plan for establishing first responder performance goals, needs, and priorities, and assessing the benefits of expenditures; and (3) readily available, reliable source of data on the federal grant funds available to first responders in the NCR and their use. Without the standards, a regionwide plan, and data on available funds and spending, it will be extremely difficult to determine whether NCR first responders have the ability to respond to threats and emergencies with well-planned, well-coordinated, and effective efforts that involve a variety of first responder disciplines from NCR jurisdictions. Moreover, without such data, it is not clear how the ONCRC can fulfill its statutory mandate to assess and advocate for resources needed by state, local, and regional authorities in the NCR to implement efforts to secure the homeland.

During our review we could identify no reliable data on preparedness gaps in the NCR, which of those gaps were most important, and the status of efforts to close those gaps. The baseline data needed to assess those gaps had not been fully developed or made available on a NCR-wide basis. We also noted that at the time our May 2004 report was released, DHS and ONCRC appear to have had a limited role in assessing and analyzing first responder needs in NCR and developing a coordinated effort to address those needs through the use of federal grant funds. ONCRC has focused principally on developing a plan for using the UASI funds—funds that were intended principally for addressing region wide needs. In its comments on a draft of our May 2004 report, DHS said that a governance structure approved in February 2004 would accomplish essential regionwide coordination. We agree that this structure has the potential to accomplish essential regionwide coordination, but it is not clear how it can do so effectively without comprehensive data on funds available for enhancing first responder skills and capabilities in the NCR, their use, and their effect on meeting identified performance goals.

Recommendations in Our May 2004 Report Not Yet Fully Implemented

To help ensure that emergency preparedness grants and associated funds are managed in a way that maximizes their effectiveness, our May 2004 report included three recommendations to the Secretary of the Department of Homeland Security. As discussed in more detail below, some progress has been made in implementing these recommendations, but none has yet been fully implemented.

- Recommendation 1: Work with the NCR jurisdictions to develop a coordinated strategic plan to establish goals and priorities for enhancing first responder capacities that can be used to guide the use of federal emergency preparedness funds.
  - Actions taken: According to an ONCRC official, a final draft for review has been circulated to key stakeholders. According to the Director, ONCRC, the plan will feature measurable goals, objectives, and performance measures.

- Recommendation 2: Monitor the strategic plan's implementation to ensure that funds are used in a way that promotes effective expenditures that are not unnecessarily duplicative.
  - Actions taken: Monitoring implementation of the strategic plan cannot be accomplished absent a plan. Importantly, to monitor the plan's implementation, data will be needed on funds available and spending from all first responder grants available to jurisdictions in the NCR, such as the State Homeland Security Grant Program. The NCR, through the D.C. Office of Homeland Security, has a system for tracking the use of UASI funds in the NCR and other homeland security grant funds available to D.C., such as the State Homeland Security Grants. However, at this time, it does not have an automated, uniform, system to track non-UASI grant funds available and used by other NCR jurisdictions. Information on the projects funded in NCR jurisdictions by funds other than UASI is obtained through the monthly meetings and weekly conference calls of the Senior Policy Group and full-day quarterly meetings of jurisdictions in the Mid-Atlantic area, sponsored by the Office of Domestic Preparedness (ODP). These meetings provide contacts for obtaining information, as needed, on grant allocations and expenditures in jurisdictions both within and outside the NCR in the mid-Atlantic region. The ONCRC recognizes the need to develop a more systematic means of capturing all homeland security grant funds available and used through the NCR.

- Recommendation 3: Identify and address gaps in emergency preparedness and evaluate the effectiveness of expenditures in meeting those needs by adopting standards and preparedness guidelines based on likely scenarios for NCR and conducting assessments based on them.

- Actions taken: To date, no systematic gap analysis has been completed for the region as a whole. The NCR plans to use the Emergency Management Accreditation Program (EMAP) as a means of conducting a gap analysis and assessing NCR jurisdictions against EMAP's standards for emergency preparedness—an effort expected to be completed by March 2006. How this effort would be integrated with DHS' capabilities-based planning and assessments for first responders has not yet been determined, pending the issuance of DHS' final version of the National Preparedness Goal in October 2005.

  At the national level, DHS' efforts to develop policies, guidance, and standards that can be used to assess and develop first responder skills and capabilities have included three policy initiatives: (1) a national response plan (what needs to be done to manage a major emergency event); (2) a command and management process—the National Incident Management System—to be used during any emergency event nation-wide (how to do what needs to be done); and (3) a national preparedness goal (how well it should be done). Since our May 2004 report, DHS, as part of developing the national preparedness goal, developed 15 scenarios (12 terrorist events, a flu pandemic, a hurricane, and an earthquake) of "national significance" that would require coordinated federal, state, and local response efforts; the critical tasks associated with these scenarios; and the capabilities—in terms of planning, training, equipment, and exercises—that first responders would need to develop and maintain to effectively prepare for and respond to major emergency events. The 300 critical tasks and 36 capabilities were intended as benchmarks first responders could use to assess their relative level of preparedness and capacity to prevent, mitigate, respond to, and recover from major emergency events, including terrorist attacks. Because no single jurisdiction or agency would be expected to perform every task, possession of a target capability could involve enhancing and maintaining local resources, ensuring access to regional and federal resources, or some combination of the two.

  The January 25, 2005 proposal for the EMAP assessment program does suggest one way in which the NCR may include the DHS scenarios, critical tasks, and capabilities in the EMAP assessment project. The proposal states: "Should the NCR or local jurisdictions within the region desire to conduct (a) hazard identification, risk assessment, and impact analysis activities, and/or (b) capabilities assessment against catastrophic scenarios using federally provided technical assistance during the period of this project, EMAP representatives will coordinate

with local and regional personnel to ensure that assessment activities and products are complementary."

Concluding Comments

The need for comprehensive, coordinated emergency planning and preparedness is important in the National Capital Region. As we noted in the recent past, the ongoing security risk to the NCR requires a comprehensive, coordinated, and carefully planned approach to the expenditure of federal first responder grants. This requires a regionwide strategic plan, performance goals, an assessment of preparedness gaps to guide priority setting, and continuing assessments of the progress made in closing identified gaps. The NCR has completed a draft strategic plan and has established a process for assessing existing preparedness gaps. But it still needs to develop a means of routinely obtaining reliable data on all funds available for enhancing emergency preparedness in the NCR and their uses. It is important to know how all first responder funds are being spent in the NCR for setting priorities and assessing the results of funds spent. The NCR has selected the EMAP emergency preparedness standards as its performance standards for the region, but it will be necessary to integrate the EMAP standards with the set of 36 performance capabilities for first responders that DHS has developed as part of its National Performance Goal.

The NCR, in common with jurisdictions across the nation, faces the challenge of implementing DHS requirements for its three key policy initiatives—the National Incident Management System, National Response Plan, and the National Preparedness Goal. Successfully accomplishing all of these things will require a sound strategic plan; effective coordination; perseverance; and reliable data on available funds, their use, and the results achieved. As we noted in our September 2004 report, the NCR's UASI Governance Structure represents a positive step towards instituting a collaborative, multijurisdictional, regionwide, planning structure. Fully implementing the recommendations in our May 2004 report would, in our view, be a major step toward developing the structure, processes, and data needed to assess current first responder skills and capabilities in the NCR and monitor the success of efforts to close identified gaps and achieve designated performance goals for the NCR.

That concludes my statement, Mr. Chairman. I would be pleased to respond to any questions you or other members of the Committee may have.

Contacts and Acknowledgments

For questions regarding this testimony please contact William O. Jenkins, Jr. on (202) 512-8777. Ernie Hazera also made key contributions to this testimony.

Governments of the District of Columbia,
Commonwealth of Virginia,
State of Maryland, and the
Office of National Capital Region Coordination

National Capital Region's Homeland Security Senior Policy Group

Joint Testimony of
Edward D. Reiskin, Deputy Mayor for Public Safety and Justice for the District of Columbia
George W. Foresman, Assistant to the Governor of Virginia for Commonwealth Preparedness
Dennis R. Schrader, Director of the Governor's Office of Homeland Security in the State of Maryland

Readiness in the National Capital Region

Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia
Senator George V. Voinovich, Chair
Senator Daniel K. Akaka, Ranking Member

July 14, 2005

Room 562
Dirken Senate Office Building
Washington, DC 20510
9:30 A.M.

Testimony of the National Capital Region
Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia
Public Hearing on the Homeland Security in the National Capital Region
July 14, 2005

Mr. Chairman, Mr. Ranking Member and members of the Committee thank you for the opportunity to appear today to discuss the important topic of preparedness in the National Capital Region (NCR) [1]. It is an important discussion and a topic of added significance in light of the tragic attacks in London one week ago.

We have submitted our joint written testimony for the record. It is in the continuing spirit of cooperation between Virginia, Maryland and the District of Columbia that we opted for joint written testimony. We share goals, ideals and most importantly an intense commitment to the safety and security of the NCR that transcend the political boundaries that define the geography of the NCR.

We have four goals today. First we want to place our collective work in the NCR into a broader perspective impacted by recent history, current progress and future plans. Secondly, we want to help this Committee better understand the real and tangible actions we have taken to achieve higher levels of regional coordination to prevent attacks and if necessary, to respond. Third, is a desire to articulate progress by pointing to measurable steps taken and currently underway to improve the readiness of public and private sector and our residents across the region. Finally, is to reassure this Committee that we remain focused for the longer term efforts as we recognize that the threats will not diminish in the near term.

Overview

There has been significant activity across America since the tragic attacks of September 11, 2001. This effort has resulted in better-prepared communities, states and the nation as a whole – in both the public and private sectors. Most notably the awareness of the threat of terrorism permeates policy discussions at all levels of government, in the private sector, and with our residents. This awareness is maturing and is in itself a strong antidote for countering the number one technique of our enemies – fear.

There is one principle and one caveat that we must raise with the Committee. The phenomenal coordination challenge we face in the NCR is driven by our strict adherence to the principles set forth in the formation of our nation. There is no single person, office, level or branch of government vested with the ability to direct the full range of preparedness activities across all others in the region. So we adhere to the principle that, while challenging, collaboration and coordination must be followed lest we undermine the very values of governance America is seeking to preserve.

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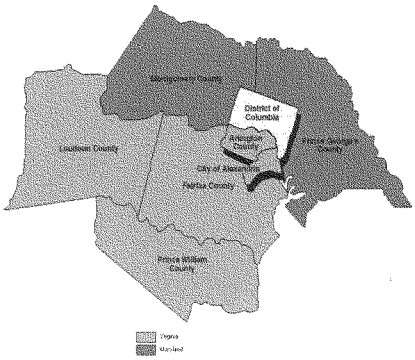
[1] Title 10, United States Code, Section 2674 (f)(2) provides the following definition:

The term "National Capital Region" means the geographic area located within the boundaries of (A) the District of Columbia, (B) Montgomery and Prince Georges Counties in the State of Maryland, (C) Arlington, Fairfax, Loudoun, and Prince William Counties and the City of Alexandria in the Commonwealth of Virginia, and (D) all cities and other units of government within the geographic areas of such District, Counties, and City.

Testimony of the National Capital Region
Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia
Public Hearing on the Homeland Security in the National Capital Region
July 14, 2005



The NCR presents a unique coordination challenge for those who protect its residents and institutions, especially from the threat of terrorism. Recognizing the evolving character of the threat and the need for new types of collaboration in planning among local, State, Federal, and private sector communities, the leadership of the District of Columbia, the State of Maryland, the Commonwealth of Virginia, and the Department of Homeland Security's Office for National Capital Region Coordination are working in partnership to reduce the vulnerability of the NCR from terrorist attacks. Because of the need to adhere to and support America's decentralized structure of government, the NCR must operate as a collaborative enterprise to achieve increased levels of readiness that correspond to the priorities of all of its stakeholders.

There is much activity occurring in many domains. Efforts to improve Health and Medical Readiness are being supported by the Department of Health and Human Services. Actions to improve the military's readiness to support civil authorities at home, is being led by the Department of Defense. The Department of Homeland Security is of course focused in many areas ranging from intelligence sharing to border security. All of these activities impact our work in the NCR. States and communities are jointly responsible for creating synchronization among these sometimes disparate federal efforts.

Our testimony today will discuss the regional governance structure and processes that we have developed to provide for coordinated homeland security efforts within the NCR both prevention and response and recovery; the development of our improved comprehensive strategy for the NCR to establish performance goals, needs, and priorities and to assess the benefits of expenditures to enhance our capabilities; and particularly the Urban Area Security Initiative (UASI) homeland security grant funds which have been administered, monitored, and used since 9/11 to enhance the safety and security of the NCR.

You will hear from our discussion how our regional coordination developed and how it represents a complex structure. While we fully embrace the philosophy associated with

regionalism, we recommend caution in trying to apply our version of it to other regions in the country. A regional system needs to be developed organically from within; a cookie-cutter approach will likely fail. That said there may be elements of our system and lessons from our experience that could help other regions and we are happy to share.

Governance Structure

Since September 11, 2001, the NCR, comprised of 12 local jurisdictions, two States, the District of Columbia, all three branches of the Federal Government, non-profit organizations, private sector interests, and over four million Americans[2] has been recognized as a potential target of terrorism. In order to meet the evolving threats, the White House and Congress partnered to provide resources and focus for enhancing cooperation in the NCR. The White House Office of Homeland Security (now the Homeland Security Council) and congressional representatives from the NCR recognized the need of state and local entities to enhance coordination efforts across the region and provided tangible resources to achieve this.

Prior to 9/11, efforts existed to prepare individual jurisdictions in the NCR to counter the terrorist threat. These efforts, while laudable, did not enjoy overarching regional focus, instead they relied on the traditional nationwide approach of a more jurisdictionally independent approach. To provide that needed coordination, on August 5, 2002, in cooperation with the Advisor to the President for Homeland Security, the three regional government executives—the Governor of the State of Maryland, the Governor of the Commonwealth of Virginia, and the Mayor of the District of Columbia—signed a joint statement to pursue *Eight Commitments to Action* to improve coordination in preventing, preparing for and responding to a terrorist incident (referred to in Attachment A).

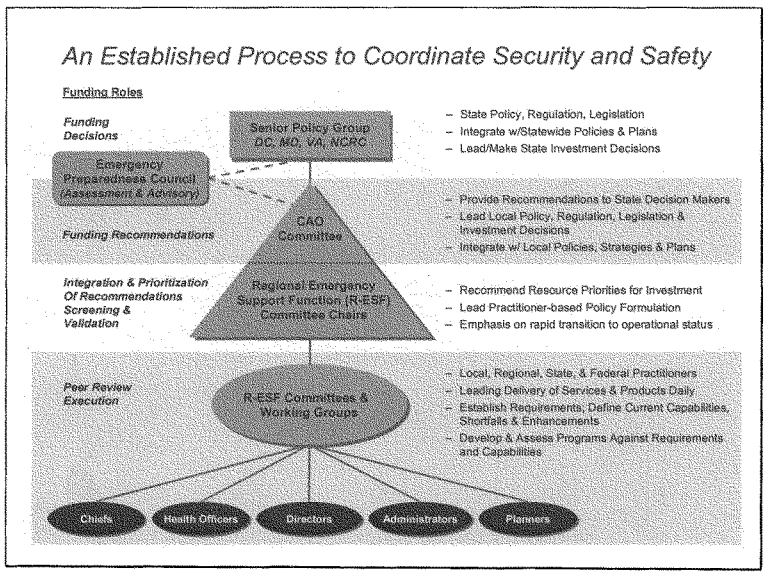
By endorsing the *Eight Commitments*, the Governors of Maryland and Virginia, the Mayor of the District of Columbia, and the Advisor to the President for Homeland Security established an NCR Senior Policy Group (SPG) to provide continuing policy and executive level focus to the region's homeland security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

The creation of the SPG was a function of necessity to further decision making and coordination between local and state governments, the federal government, and the private sector. Through the evolution of regional activities, we have made enhancements to strengthen coordination with and among stakeholders at the local/jurisdictional levels. To this end, the SPG and Regional Chief Administrative Officers (CAO) Committee, which represents local government leadership,

[2] The following local governments are participating components of the NCR although they are not explicitly named in Title 10, United States Code, Section 2674 (f)(2): the cities of Fairfax and Falls Church in the Commonwealth of Virginia; and the cities of Bowie, College Park, Gaithersburg, Greenbelt, Rockville and Takoma Park in the State of Maryland.

formalized an NCR governance structure in February, 2004 (see Figure 1). This governance structure provides a coordinated and institutionalized process for evaluating regional goals and priorities, and ensuring the involvement of federal, State, District, local, and first responder level stakeholders. Benefits include improved decision-making, clear points-of-responsibility for action, and the opportunity of streamlined execution. Most notable it ensures that direction and oversight originate from the highest levels of local and state government.

Figure 1: National Capital Region Governance Structure



The SPG works extensively with local governments through the CAO committee. This evolving partnership allows for mutual responsibility and a persistent commitment to enhance emergency preparedness and response capabilities in the NCR. The CAOs are, in turn, informed and supported by Regional Emergency Support Function (R-ESF) [3] Committees that represent each of the regional emergency support functions, such as health, law enforcement, and communications. Finally, the Regional Emergency Preparedness Council brings the perspectives of elected officials, the private and nonprofit sectors, and other regional government agencies to the table to complete the complex but comprehensive governance structure of homeland security in the NCR.

[3] Further details regarding the Regional Emergency Support Functions and the R-ESF Committees of the NCR can be found in the *Regional Emergency Coordination Plan*, Metropolitan Washington Council of Governments, Task Force on Homeland Security and Emergency Preparedness for the National Capital Region, September 11, 2002.

The R-ESF Committees represent the fifteen support functional areas that may be needed during a regional emergency, and provide specific input on the regional capability of their respective R-ESFs. Each support function describes all of the agencies and entities that are involved, and designates a communication and coordination protocol tailored to the participating agencies and their roles and responsibilities during emergencies. The combination of the SPG, the CAO Committee, the R-ESF Committees, and the Regional Emergency Preparedness Council results in an NCR coordination structure capable of assessing both the needs for improving homeland security and developing the strategies and actions to respond to those needs.

The SPG is the final adjudicator for decisions, relying on extensive input and advice from the CAO Committee and the Regional Emergency Preparedness Council and others. Our Regional success, currently, is defined by progress in implementing regionally agreed-upon objectives and enhancing regional preparedness through the acquisition of equipment, planning, training and exercises. An indicator of the level of cooperation in the decision process is evidenced by the fact that the SPG and CAO's have rarely been in other than complete agreement on direction of efforts in the NCR. In those rare instances of disagreement, intense effort is placed in reaching a decision that balances the concerns of all involved.

There are a multitude of areas where we have achieved tangible progress. These achievements range from equipment enhancements for first responders to improved information sharing and coordination among communities, state and federal entities and the private sector.

The NCR equipment purchases have and continue to capitalize on the regional nature of the UASI grant by acquiring, allocating, standardizing and managing equipment and systems "regionally" to enhance preparedness, response and recovery efforts of responders in the NCR.

Over $35 million has been allotted for equipment needs, including:

- Purchase of 1,000 800 MHz radios, which can be deployed in an emergency when all other means of communications are inoperable. These radios can be deployed in two hours, can be reprogrammed while they are in use, and have a 24 hour battery life. They can be used in an emergency and will allow all NCR area Emergency Medical Services, Fire, and Law enforcement officials the ability to communicate throughout the NCR.
- Procurement and installation of hardware and software elements necessary to establish interoperable voice and data communications for emergency response officials within the NCR. This project will make emergency data available in real time to all jurisdictions in the NCR. It will lead to the implementation of diverse, robust physical networks over which shared data and messages reach their destinations via the implementation of interoperability hub for data sets and messaging functions exchanged by regional partners.
- Purchase of Level A/B gear for tactical NCR Law Enforcement groups (SWAT/ERT), which will allow law enforcement groups to function in the midst

of a Chemical, Biological Radioactive, Nuclear, and Explosive (CBRNE) attack. This gear is for mid level CBRNE attacks and will allow law enforcement to maintain a stable number of personnel on site during or after an emergency.

- Purchase of Level C gear for NCR law enforcement officers in the NCR based on gap analysis. NCR police departments identified the need for fitted mask for all sworn officers that can be used in the midst of a biological and chemical attack.
- Purchase of Personnel Protective Equipment (PPE) for the health community within the NCR.
- Purchase of approximately 9,000 second sets of turnout gear for all NCR jurisdiction Fire and Emergency Medical Services responders. The second set of turnout gear will allow first responders who have been exposed to biological and chemical agents to be decontaminated and change into the second turnout suit, consequently, saving the responders time and allowing responders to maintain a stable number of personnel on site during or after an emergency.
- Purchase of 444 hospital surge beds to be added to the hospitals within the NCR. This has significantly increased the bed space available in the NCR to handle a significant increase of patients during a terrorist attack. The NCR is adding approximately 444 more beds in FY 05.

The region ensures preparedness planning efforts are fully coordinated and appropriately integrated so that preparedness and prevention planning efforts are consistent, non-duplicative, efficient and effective. Over $25 million has been allotted to planning efforts and include the following activities:

- Development of a Citizen Education Campaign that will teach all citizens how to prepare for a major disaster, communicate emergency preparedness information, and outreach to the private sector regarding emergency information. The goal of the campaign is to have 50% of the residents within the NCR to be prepared for a disaster.
- Design disaster preparedness educational materials entitled "Masters of Disaster", which will become part of NCR area schools' curricula for grades K through 12. Currently, 4,341 full kits have been distributed to 459 schools, and kits for home-schooled children are available in public libraries in Alexandria City, Fairfax County, Loudon County, Prince William County, City of Falls Church, and Montgomery County.
- Enhancement of NCR emergency preparedness planning and training for first responders to meet the needs of people with physical disabilities and other special needs. First responders will be trained to assist mentally and physically challenged individuals in emergencies as well as senior citizens who have special needs.
- Development of protocols for nonprofit organizations that address service coordination, financial donation management, volunteer management, and in-kind

donations of goods and services within the nonprofit sector throughout the NCR. This project has created an NCR disaster case management cooperative defining how services will be coordinated on behalf of disaster victims. The cooperative has improved NCR non-profits' ability to mobilize and manage volunteer assistance by executing a Mutual Aid Memorandum of Understanding, which establishes the procedures to be used to by non-profit service providers during disaster response and recovery, "transparency" principles for handling cash donations, and a communications plan for public education about in-kind donations.

- Development of a standardized critical infrastructure assessment as well as the execution of an assessment of NCR emergency management capabilities. The goal of this project is to foster a more secure, resilient region by strengthening the infrastructure of emergency services, water, energy, health services, telecommunications, banking/finance, and transportation. This project will assist business owners/operators in strengthening critical infrastructures to achieve the highest level of cost effective security. Moreover, these assessments will assist regional decision makers identify and determine vulnerabilities and develop cost effective mitigation options.
- Development of a syndromic surveillance and notification system for public health emergencies. This project will help detect unusual disease patterns at their early stages by conducting an around the clock regional surveillance across jurisdictional boundaries.
- Development of a patient surge capacity system across the emergency medical services, public health, and hospital sectors in the NCR. This project includes development of an electronic bar-code/scanner patient tracking system and will allow area hospitals and emergency medical officials to identify victims, track casualties, maintain a patient triage, and assist with rapidly referring patients to alternate centers.
- Development of designated secure and safe locations, where residents can receive comprehensive assistance in their efforts to locate family members. The goal of this project is to consolidate the victim data, missing person data, and inquires from various sources, which could include shelters, hospitals, medical examiners' offices, and other locations.
- Support to the National Organization on Disabilities in the development and coordination of the first national conference to focus on disaster preparedness, response, and recovery specific to the unique emergency needs of people with disabilities. Over 300 participants attended the conference and Secretary Tom Ridge, former Secretary of Homeland Security, spoke at the conference.

Nearly $2 million has been designated for training and exercise needs with focus on a cross-jurisdictional program for first responders and has provided coordinated, consistent, standardized training to meet regional homeland security training requirements. The NCR also exercises our response capability to ensure continued improvement through a rigorous corrective action

program, measure current capability and provide realistic scenarios to area responders, government officials, business and nonprofit sectors and the public.

Through discussion and experience, the leadership of the NCR continues to discover additional issues requiring regional focus. The following paragraphs provide a preliminary outline of those project areas that have thus far been identified as requiring additional attention and resources. For these reasons, the NCR has created the following regional working groups that provide oversight:

Critical Infrastructure Protection (CIP) - Critical Infrastructure Protection is a high priority in the NCR. Specific industries, assets and systems are designated "critical infrastructures" because their functioning is essential to the lives, health, economic well-being, national security and morale of American citizens. Multiple national directives highlight CIP and call for public/private collaboration and a risk management approach in addressing CIP issues. The NCR has included CIP as a key objective in its Urban Area Homeland Security Strategy. The NCR's *Eight Commitments to Action* identified CIP as a key issue area and the NCR Urban Area Homeland Security Strategy set as strategic objectives to "reduce the NCR's vulnerability to terrorism" and "minimize the damage and recover from attacks that do occur" – both objectives of CIP.

The CIP mission for the NCR is complex. Activities and programs to address CIP must cross jurisdictional boundaries in order to adequately address both independent issues as well as interdependencies among sectors, and must engage public, private, and non-profit stakeholders. There are many national initiatives and policy directives that need to be addressed and incorporated as well as state and local priorities that must be integrated. The NCR CIP working group has been developed to coordinate CIP across the region. This working group is necessary to provide a resource for the region with regard to CIP issues as well as to provide direction for the NCR.

We have organized the NCR CIP working group with equal representation from Maryland, Virginia, District of Columbia, and the ONCRC The Committee has taken responsibility for coordinating the development and execution of the regional CIP strategy that builds on the utilization of non-UASI funding awarded prior to the development of the current UASI program.

Interoperability & Communications – We created the NCR Interoperability working group to provide oversight in the development of a secure/private technology infrastructure required to facilitate interoperability for voice, data, and video across the NCR as well as interconnecting emergency operation centers, public safety communication centers (911 operations), other public safety/emergency management offices and first responder field/mobile operations. The project includes several components including interconnecting fiber "I-Nets" and other jurisdiction networks; providing a NCR wide interconnected broad-band wireless infrastructure facility; and developing a web based, neutral host data-exchange standards and tools.

Exercises and Training - Planning and resources are needed to regularly conduct full-scale exercises that engage the entire region including federal capabilities. Work is needed to

transform standards and approaches across the region to reflect national strategy requirements. The NCR must also create a consistent methodology to document lessons learned from actual emergency events and exercises in order to incorporate these lessons into training standards and protocols. For these reasons, the SPG and the CAOs jointly appointed an NCR Emergency Training and Exercise Oversight Panel whose responsibilities are to:

- Develop a remedial action program capturing and addressing issues identified during exercises, special events, and emergencies, than coordinating corrective actions to mitigate those issues;
- Develop a clearing-house for training that provides training courses listed and/or recommended by priority for all disciplines;
- Support a gap analysis that produces a priority-based NCR training plan across all ten Office for Domestic Preparedness disciplines;
- Develop plans that integrate state and local training and exercise programs, focus on drills and skill development, and identify major exercise series for annual continuity; and
- Coordinate development of regional exercises and keep a master calendar.

We are significantly enhancing regional management and planning by a regional strategic planning process currently underway. A revised regional strategic plan will integrate pre-existing federal, State, local, regional, and practitioner-level planning documents into one unique revised strategic plan for the NCR, while also infusing newly identified goals and priorities for regional preparedness. Such a plan would serve as a guiding framework, and will include measures of performance against which we can evaluate ourselves as a region.

Strategy

Historically, the NCR has led the nation in the development of regional homeland security planning and coordination. This leadership is driven by necessity—the NCR requires a coordinated regional strategic plan to guide a unified, long-term effort to ensure the NCR is safe and secure from all hazards.

NCR homeland security partners are currently working closely together to develop a regional strategic plan that establishes preparedness priorities and objectives for the entire region. The regional strategic plan will integrate pre-existing federal, State, local, regional, and practitioner-level planning documents into one unique strategic plan for the NCR, while also infusing newly identified goals and priorities for regional preparedness. A key building block for regional coordination was the UASI grant.

The 2003 UASI grant required a regional needs-assessment and an Urban Area Homeland Security Strategy. The *FY 2003 Urban Area Homeland Security Strategy* (Attachment A) for the NCR was developed based on the results of the needs assessment completed by member jurisdictions in July 2003—the first region in the nation to do so. The *2003 Strategy* included three objectives:

- Prevent terrorist attacks within the NCR;
- Reduce the NCR's vulnerability to terrorism; and
- Minimize the damage and recover from attacks that do occur.

The *2003 Strategy* incorporated three separate influences: (1) the *National Strategy for Homeland Security* that identifies a perspective and direction for regional initiatives; (2) guidance from NCR executives represented in the *Eight Commitments to Action*; and (3) the *Statewide Template Initiative* with its checklist of planning guidance from State and local public safety emergency managers.[4]

The *2003 Strategy* focused on developing true regional capability—capability with benefits across the NCR, not simply for a particular jurisdiction. The *2003 Strategy* embraced the concept of a national incident management system that defines a common terminology for all parties, provides a unified command structure, standards and qualifications, and is scalable to meet incidents of all sizes. This integration was a program milestone toward regional leveraging of pre-existing State, District, and local initiatives to create, for the first time, a cohesive regional identity.

While the *2003 Strategy* was a major milestone for the NCR, as noted in GAO Report GAO-04-433, *Management of First Responder Grants in the National Capital Region,* the *2003 Strategy* was but a first step. Since summer 2004, regional homeland security and public safety officials and private sector leaders actively sought to create the nation's first integrated and comprehensive regional homeland security strategic plan. Dissimilar from past planning efforts, it utilizes a more collaborative, consensus-based approach to decision-making while also leveraging and strengthening the various public and private communities throughout the region that make up the NCR homeland security partnership.

In contrast to the *2003 Strategy*, these strategic efforts, now documented in draft form entitled *2005 National Capital Region Homeland Security Strategic Plan,* will be a comprehensive document that defines priorities and objectives for the entire region without regard to any specific jurisdiction, discipline, or funding mechanisms to:

- Establish coordinated regional goals and priorities for the enhancement of homeland security and first responder capabilities in the NCR
- Guide, integrate, and ensure the efficient spending of homeland security grant and budget dollars throughout the NCR
- Provide a means to measure the actual improvements made to NCR preparedness

This strategy is based on seven guiding principles which provide a framework for decision making. These include:

[4] *Statewide Template Initiative*, President's Homeland Security Advisory Council, March 2003.

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.

These efforts seek to integrate pre-existing federal, State, local, regional, and practitioner-level planning documents into one unique revised strategic plan for the NCR, while also infusing newly identified goals and priorities for regional preparedness. The *2005 National Capital Region Homeland Security Strategic Plan* will serve as a guiding framework. NCR priorities will be aligned against the five strategic goals: awareness, prevention, protection, response, and recovery.

Related to the strategic framework, is the creation of integrated, multi-jurisdictional performance measures to effectively monitor and assess execution of the regional strategic plan. In addition to integrating guidance from DHS national efforts such as *HSPD-7 Critical Infrastructure Identification, Prioritization* and *HSPD-8 National Preparedness,* the region is also undertaking a more detailed assessment, entitled Emergency Management Accreditation Program (EMAP).

The EMAP process combines a self assessment, documentation, and peer assessment to provide an independent evaluation of a jurisdiction's disaster management capabilities and a roadmap for continuous improvement. Standards found in EMAP are consistent with the NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2004, which was recommended by the 9/11 Commission as the national preparedness standards. EMAP will measure the status of current capabilities in the NCR against the established EMAP standards, assist in identifying and prioritize future improvements activities, and enhance strategic framework measures for resource allocation.

Results from the EMAP assessment combined with the development of national preparedness standards will provide specific guidance in determining the region's homeland security needs and in allocating resources associated with FY 2006 homeland security grants and beyond.

UASI Grant Funding

In order to provide for effective and cohesive oversight of Emergency Preparedness and Homeland Security activities, the Federal Department of Homeland Security (DHS) requires that DHS grants be funneled through a single State Administrative Agent (SAA). When the program was initiated, the Governor's of Virginia and Maryland, and the Mayor of the District of Columbia jointly agreed that the District serve as the Administrative Agent for UASI grants awarded to the NCR. The reason was simple. To do otherwise would have risked simply allocating funds to portions of the region based on population or some other factor and not adhering to Congress's stated intent that these funds support regional preparedness.

For the reasons stated above, the Office of Homeland Security within the District (here in referred to as the NCR SAA) has been created to serve the regions needs. The purpose of the NCR SAA is to provide, by agreement with all participants, a comprehensive grant oversight at the regional level. The following represent the NCR SAA's specific priorities:

- Improve the region's administration of UASI grant funds for disaster response and recovery capabilities by developing and maintaining an understanding of integrated operational capability developed in coordination with our Federal and State partners, volunteer organizations, universities, and the private sector.
- Assist all levels of regional government, first responders, volunteer groups, universities, and the public in meeting the responsibilities of public emergencies and challenges, through program management and coordination activities.
- Use baseline program evaluation strategies (e.g., Emergency Management Accreditation Program standards) to identify emergency preparedness areas in need of improvement and to provide a methodology for strategic planning and resource allocation.
- Provide critical decision support and information to policymakers, the public, the media, and involved local and state agencies by maintaining strict spending and activity records and by building partnerships with and among regional entities, Federal agencies, other responder organizations, and the private sector.

We have made it the priority of the NCR SAA to make certain that all UASI grant funds are expended within the timeframes of the grants and currently issued extensions. This office is the reliable source of information on the amount of first responder federal grant funds available to each NCR jurisdiction, budget plans, and criteria used to determine spending priorities and actual expenditures. Such a readily available, reliable source of information was identified not to exist in the May, 2004 GAO report entitled, "Management of First Responder Grants in the National Capital Region Reflects the Need for Coordinated Planning and Performance Goals."

The region has obtained numerous benefits with the creation of the NCR SAA. For example, the region has:

- Been able to target opportunities that provide the ability to improve skills, build resources, and establish meaningful and effective partnerships with neighboring jurisdictions and Federal and private/public organizations;
- Demonstrated accountability related to grant funding and other legal, regulatory, and related obligations; as well as heighten the region's ability to track expenditures, resources, and data, which will aid in reporting against grant (and other types of) requirements;
- Aided leadership and front-line managers in strategic, policy, and operational decision-making, through enhanced access to better, more reliable grant funding data;
- Been able to respond to inquiries from and be proactive in presenting information to policymakers, the media, grant providers, partner organizations, residents, and other involved and interested parties; and
- Most importantly, enhanced the overall readiness and capability to protect residents, institutions, and property against risks posed by terrorism, natural disasters and emergencies, and technological incidents that could disrupt, impede, or threaten the safety and well-being of the NCR.

As outlined in Table 1, the NCR SAA is currently managing 4 Department of Homeland Security grants totaling $174.4 million dollars for the NCR for enhancing emergency preparedness and response associated with terrorism. In addition, the Regional Mass Transit Grant totaling $13.6 million should be awarded within weeks and will be the responsibility of the NCR SAA.

Table 1[5]

Grant	Effective Award Date	Period of Performance	Grant Award
03 Urban Areas Security Initiative I	12/30/2003	6/1/03 - 5/31/05	$ 18,081,000
03 Urban Areas Security Initiative II	12/30/2003	7/1/03 - 6/30/05	$ 42,409,851
04 Urban Areas Security Initiative	3/29/2004	12/1/03 – 11/30/05	$ 31,921,361
05 Homeland Security Grant Program*	3/1/2005	10/1/04 – 3/31/07	$ 82,000,000
**05 HSGP Subprograms:*			
NCR (UASI)	*$77,500,000.00*		
NCR (Non-profit Allocation)	*$4,500,000.00*		
Total Current Grant Programs administered by NCR SAA:			**$ 174,412,210**

The UASI grant program provides direct financial assistance to address specific regional needs. In fiscal years 2003 and 2004, the NCR received and appropriated a total of $92.4 million in UASI grants to support efforts for enhanced regional preparedness and security. The FY 2005 UASI funding increment, totaling $82.0 million, will first be used to ensure uninterrupted

[5] The 03 Urban Areas Security Initiative Parts I and II have been extended through November 30, 2005 and December 31, 2005, respectively.

progress for ongoing projects begun in 2003 and 2004, particularly in the areas of equipment and training. Further requirements, needs, and project proposals for FY 2005 have been finalized and sub grants issued. Of the total $174.4 million UASI grant funds that have been allocated to the NCR since FY 03, approximately 94% of the funds have been either expended or obligated (refer to Table 2 below).

Table 2

Grant	Grant Award	Amount Expended	Amount Obligated*	Remaining Balance
03 Urban Areas Security Initiative I	$ 18,100,000	$ 11,503,301	$ 5,597,268	$ 999,431
03 Urban Areas Security Initiative II	$ 42,400,000	$ 18,904,149	$ 23,285,414	$ 210,437
04 Urban Areas Security Initiative	$ 31,921,361	$ 350,002	$ 26,889,241	$4,482,118
	$ 92,400,000	**$ 30,757,452**	**$ 55,771,923**	**$5,691,986**

Grant	Grant Award	Amount Expended	Amount Obligated*	Remaining Balance
05 Homeland Security Grant Program	*$ 82,000,000*			
NCR	$ 77,500,000	$ -	$ 77,500,000	$ -
NCR Non Profit	$ 4,500,000	$ -	$ -	$ 4.5
	$ 82,000,000	**$ -**	**$ 77,500,000**	**$ 4,500,000**

Currently, the NCR expenditure rates are approximately 17.6%, per the Federal Office of Management and Budget. Contrary to limited analyses, there are no significant dollars that have not been programmed. Following the receipt, management, and expenditure of the Congressional appropriation, the region was deliberate in its execution of the homeland security grant program. It is for that reason that the region compares unfavorably when measured solely by grant expenditures as reported by the Office of Management and Budget. Funds are only deemed expended when the goods or services have been received, invoices have been received and paid, accounting entries and completed within the financial system, and quarterly reports are sent to the federal government. Basing an evaluation of any region's homeland security spending purely on its rate of official expenditure is therefore not the best measure of its effectiveness. Analysis of funds allocation and progress on each project better provides an evaluation of how and whether the funds are being spent. Analysis of outcomes will better determine if they have been spent wisely.

Other enhancements associated with the administration of the homeland security grant funds through the NCR SAA include:

- A Request For Application (RFA) process has been strengthened in which NCR local government entities or nonprofit organizations located within and serving the needs of the NCR can submit applications for funding consideration within an identified time frame. The process allows for all entities' needs to be reviewed and prioritized for the District and the region and has decreased the time between grant award to a majority of sub grants being awarded within the required 30 day period.
- Over 80% of grant funds for FY 05 have been allocated to state and local needs within 60 days of the grant award as required by the DHS grant guidelines.
- 03 and 04 grant awards have been reviewed regarding the status of their spending and associated deliverables. Awards that cannot meet the grant timeframes are currently being reprogrammed to allow for all dollars to be expended within the grants' periods of performance.
- A review of procurement processes ensures that lengthy procurement delays are not encountered. This review was the result of an eight-month delay associated with the procurement of the Regional Citizen Education contract.

In the coming year, focus will include strengthening of the region's *overall* management and reporting mechanisms. We are currently taking several steps to develop these enhanced mechanisms, such as the building of program management capacity to assist with managing and monitoring the region's homeland security grant activities, and the development of a regional web portal to create a collaborative environment for NCR stakeholders.

The program managers will ensure effective and efficient implementation of projects and provide a mechanism for oversight and management from the program perspective. The project managers will work closely with local/jurisdictional personnel to perform the following duties:

- Facilitating decision-making and outcomes through interfacing with NCR Homeland Security Partners on an ongoing basis;
- Coordinating with state and local leaders to ensure that projects and tasks[6] meet collective state and/or regional strategic goals and objectives; and ensuring smooth integration of diverse program projects and tasks;
- Coordinating with federal leaders through the Department of Homeland Security ONCRC to ensure that projects meet collective state and/or regional strategic goals and objectives;

[6] NCR projects and tasks are defined as those that the SPG itself is responsible for (e.g., UASI) and other areas for which planning and subsequent funding is required. This will include having knowledge of supporting and separate initiatives at the state and federal levels, but responsibility is for the planning and supporting of initiatives and actions required by the NCR as a whole.

- Keeping all NCR partners informed of ongoing actions, progress, and issues and decisions of the SPG;
- Communicating changes in federal Homeland Security Grant Program guidance;
- Obtaining quick feedback on ideas, plans and actions;
- Monitoring the master database on an ongoing basis by:
  - Inputting and tracking progress;
  - Identifying projects in danger of not meeting milestones;
  - Engaging jurisdictional project managers and regional committees; and
  - Recommending alternate spending decisions.
- Providing meeting support to include, but not be limited to the development of monthly meeting materials, scheduling assistance, and coordination with other stakeholders

The portal will serve as an information management tool for accessing and sharing regionally-relevant data, to include comprehensive information on the availability and spending of federal grant funds in the NCR, and regional priorities for determining future spending of those funds.

The NCR as a Model for the Nation

Multi-state and multi-jurisdiction efforts, such as emergency operations plans and communications systems, combined with the accomplishments of individual committees, have placed the NCR at the forefront of emergency preparedness. The NCR's achievements, including unprecedented coordination across states, jurisdictions, and committees at all levels, allowed us to lead the Nation in our level of emergency preparedness. We build on a foundation of shared leadership and responsibility to secure our region by limiting the impact of disasters before they occur; we are prepared to respond quickly and effectively when disasters occur with well trained and equipped teams; and continue to address gaps in hazard preparedness within the NCR.

The NCR has not relied upon solely on homeland security grant funding to realize this unprecedented level of preparedness. We have also used state and local dollars and other grant funds. Many jurisdictional agencies – such as law enforcement, fire, emergency management, transportation, and health – have units dedicated to homeland security and many others support our efforts through their day-to-day work.

To date, our accomplishments are significant:

- We have developed a collaborative culture for planning, decision-making, and implementation across the NCR.
- We continue to inform and prepare the community of those who live, work, and visit within the region and engage them in the safety and security of the NCR.

- We are developing an enduring capability to protect the NCR by preventing or mitigating "all-hazards" threats or events.
- We are strengthening a sustained capacity to respond to and recover from "all-hazards" events across the NCR.

That said, the costs of simply maintaining this level of preparedness are significant, and the NCR requires continued funding for its efforts. With the proper financial support, management, and coordination, the NCR will be able to remain a national leader in emergency preparedness; allowing it to successfully protect the citizens, workers, and visitors in the National Capital Region from risks of all kinds.

We thank you for this opportunity to appear before you today on this important issue and are available for any questions that you may have.

Attachment A

FY 2003 URBAN AREA HOMELAND SECURITY STRATEGY

NATIONAL CAPITAL REGION

October 22, 2003

FY 2003 URBAN AREA HOMELAND SECURITY STRATEGY NATIONAL CAPITAL REGION (NCR)

Introduction

On September 11, 2001 and again on October 4, 2001 the National Capital Region[1] (NCR) experienced, firsthand, terrorist attacks. Since that time much has been done to improve our security and better prepare the NCR for the continuing threats facing its communities and citizens. Significant efforts to prepare individual jurisdictions in the NCR to counter the terrorist threat existed prior to the tragic events in 2001. These efforts, while laudable, did not enjoy comprehensive and coordinated regional focus and resource support. Today there is better resourcing for local needs, improved regional coordination and an unparalleled commitment from all levels of officials. However, much work remains.

In recognition of the significant work that remains, particularly in large urban areas, the Congress and the Administration have dedicated substantial resources through the Urban Area Security Initiative (UASI) Grant Program to selected urban areas across the country including the NCR. The UASI Program's purpose is to provide direct financial assistance to urban areas to address their special needs. The Program's intent is to create a sustainable national model program whereby urban areas can share the lessons learned and best practices with other urban areas around the nation. This program also includes a jurisdictional assessment and a strategy development component.

Urban Area Homeland Security Strategy for the NCR

This document is the first Urban Area Security Strategy for the National Capital Region. The purpose of the *Strategy* is to identify a strategic direction for enhancing regional capability and capacity to prevent and reduce vulnerability of the NCR from terrorist attacks. This is an exceedingly complex mission that requires coordination, cooperation and focused effort from the entire region – citizens, local, state and federal government, as well as the private and non-profit sectors.

This *Strategy* was developed based on the results of the NCR assessment completed by communities in July 2003 – the first region in the nation to do so. The assessment included a comprehensive risk, capabilities, and needs assessments. The results of the assessment provide insight into the requirements of the region. The assessment included all of the region's twelve local governments incorporating data for ten primary disciplines with emergency response duties.

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[1] Title 10, United States Code, Section 2674 (f)(2) provides the following definition:

> *The term "National Capital Region" means the geographic area located within the boundaries of (A) the District of Columbia, (B) Montgomery and Prince Georges Counties in the State of Maryland, (C) Arlington, Fairfax, Loudoun, and Prince William Counties and the City of Alexandria in the Commonwealth of Virginia, and (D) all cities and other units of government within the geographic areas of such District, Counties, and City.*

In addition to the assessment three additional sources were instrumental in developing the Strategy. These sources include the *National Strategy for Homeland* Security, the *Eight Commitments to Action for the* NCR and the *State* Template published by the Homeland Security Council. Matrices validating the content of the strategy with these sources are provided in the sections that follow.

The *Strategy* focuses on four areas: planning, training, exercise and equipment. For each area specific goals, objectives, implementation steps and metrics are described. It is important to note that focus of the *Strategy* and the resources available through the UASI program is developing regional capability – capability that benefits across the NCR, not simply a particular jurisdiction.

Guided by this *Strategy*, the NCR will apply the resources available from the Department of Homeland Security (DHS) through the Office for Domestic Preparedness (ODP) to address unique planning, training, exercise and equipment needs to assist in building an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism.

Strategic Objectives

This *Strategy* establishes three strategic objectives based on those established in the *National Strategy for Homeland Security:*

- Prevent terrorist attacks within the National Capital Region
- Reduce the National Capital Region's vulnerability to terrorism; and,
- Minimize the damage and recover from attacks that do occur.

Further supporting the regional foundation, this *Strategy* embraces the concept of a national incident management system that defines a common terminology for all parties, provides a unified command structure, standards and qualifications and is scalable to meet incidents of all size.

In August 2002 at the NCR Homeland Security Summit Maryland, Virginia, and the District of Columbia agreed upon *Eight Commitments to Action* as a framework to achieve the strategic objectives. The *Commitments to Action* focus on the following eight areas:

1. Terrorism Prevention
   - U.S. Attorneys for the judicial districts within the NCR will work with the FBI to enhance coordination and information sharing through their respective JTTFs and ATTFs.
2. Citizen Involvement in Preparedness
   - Utilize mechanisms for regional cooperation in endorsing and implementing Citizen Corps programs within the NCR.
3. Decision-Making and Coordination
   - Work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations in the NCR.

4. Emergency Protective Measures
   - Work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public in the event of a major emergency event in the NCR.
5. Infrastructure Protection
   - Work in partnership with the private sector to jointly identify and set protection priorities and guidelines for infrastructure assets and services in the NCR.
6. Media Relations and Communication
   - Work in partnership to develop a Joint Information System for the NCR during response to a major emergency or disaster event.
7. Mutual Aid
   - Utilize EMAC and pursue resolution of existing responsibility, reimbursement, and liability issues related to implementing mutual aid agreements in the NCR.
8. Training and Exercises
   - Work in partnership to coordinate plans for terrorism and security-related training and exercises across the NCR that are inclusive of all levels of government as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate.

Additionally, this *Strategy* draws upon the guiding principles and other information in the *Statewide Template Initiative* developed by the President's Homeland Security Advisory Council in March 2003.

PLANNING

Goal

Ensure preparedness planning efforts across the NCR, including the public, business and nonprofit sectors, are fully coordinated and appropriately integrated so that preparedness activities are consistent, non-duplicative, efficient and effective.

Objective

Establish a coordinated preparedness planning mechanism for the NCR, including the public, business and nonprofit sectors, which clearly defines roles, relationships, processes and actions with deadlines.

Implementation Steps

1. Build upon efforts involving the *Eight Commitments to Action,* other existing working groups, agreements and objectives.

2. Engage the Urban Area Working Group[2] (UAWG) to provide a forum and convene, record and support the coordination of regional preparedness planning efforts across the spectrum of NCR homeland security activities. Specifically, draw together regional associations and

[2] The NCR Emergency Preparedness Council (EPC) serves as the UAWG for the NCR.

groups to synchronize existing efforts that address evacuation planning, bio-detection and epidemiological surveillance planning, and citizen preparedness planning within the NCR.

3. Develop and coordinate detailed operations plans that address a strategy for interoperable (operational) communications (data and voice) among all relevant response personnel in the NCR with appropriate protocols and rules of operations, regional emergency connectivity and other planning initiatives. Address impediments to coordinated decision making resulting from communications gaps among numerous legacy systems that exist within the NCR.

4. Engage the public non-profit community to identify and coordinate their roles in support of regional response and recovery efforts.

5. Lead and coordinate Critical Infrastructure Protection activities in the NCR.

6. Develop a self-assessment tool to assist the business and nonprofit sectors and entities in determining their vulnerability and readiness.

7. Implement a preparedness curriculum in NCR schools and coordinate and address the concerns of educators and caregivers of children who need additional methods to help children cope in uncertain times.

8. Implement a regional citizen education/awareness campaign.

9. Engage special needs populations to discuss and address preparedness, response and recovery issues faced by citizens with special needs.

Metrics

Chart the completion of Planning Implementation Steps to ensure that planning efforts are finalized and integrated into respective strategies. Key focus areas are:

- Interoperable Communications
- Quarantine/Isolation
- Hospital Surge Capacity
- Protective Actions (Evacuation and Shelter-in-Place)
- Mutual Aid

Planning Validation Matrix				
Implementation Step	NCR Assessment	Eight Commitments	National Strategy	State Template
1. Commitments to Action	Results from the July 2003 comprehensive risk, capabilities, and needs assessments give a clear picture of the requirements for the NCR. Identified needs in planning, training, equipment, and exercise are addressed by present and future efforts to satisfy the		NCR Commitments to Action are fully consistent with the strategic objectives and priorities of the National Strategy.	Guiding Principles in the State Template include: ▪ Maximize collective efforts to prevent terrorist attacks, reduce risks, and respond effectively to attacks that do occur.

Planning Validation Matrix				
Implementation Step	NCR Assessment	Eight Commitments	National Strategy	State Template
	Eight Commitments to Action.			
2. Regional Planning Coordination	Results from the July 2003 comprehensive risk, capabilities, and needs assessments revealed the need to engage in additional planning efforts to address response capabilities such as terrorism incident response and isolation/quarantine.	**Decision-making and Coordination** dictates that NCR jurisdictions work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations. This includes developing and implementing methods for coordination between operational entities as well as senior decision-makers in local, State and Federal governments as well as the private sector. **Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public. Such measures are to include standardized emergency protection guides, protocols, and procedures.	National Strategy supports regional planning through the concepts of: Mutual Aid National Incident Management System	Guiding Principles in the State Template include: ▪ Maximize collective efforts to prevent terrorist attacks, reduce risks, and respond effectively to attacks that do occur. ▪ Assure the efforts are State based but locally focused and driven ▪ Empower state and local official homeland security efforts, leveraging existing emergency preparedness and response programs and capabilities
3. Operational Plans (Interoperable Communications, Connectivity, Etc.)	Results from the July 2003 comprehensive risk, capabilities, and needs assessments show that all NCR jurisdictions both receive and provide mutual aid, highlighting the need for enhanced planning coordination.	**Decision-making and Coordination** dictates that NCR jurisdictions work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations. This includes developing and implementing methods for coordination between operational entities as well as senior decision-makers in local, State and Federal governments as well as the private sector. **Mutual Aid** directs NCR jurisdictions to pursue resolution of existing responsibility, reimbursement and liability issues related to implementing mutual aid agreements in the NCR.	National Strategy supports regional operational planning through the concepts of: • Mutual Aid • National Incident Management System • Establishment of national communication protocols	Guiding Principles in the State Template include: ▪ Promote interoperable and reliable communications
4. Public Non-profit Engagement	The assessments were silent on this topic. However, with over 2,100 non-profit organizations in the NCR, each with a strong desire to make a positive impact on the response and recovery capabilities of the community, clearly better organization of regional engagements is to be desired.	**Decision-making and Coordination** dictates that NCR jurisdictions work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations. This includes developing and implementing methods for coordination between operational entities as well as senior decision-makers in		Guiding Principles in the State Template include: ▪ Promote citizen participation in state, local, private sector and regional homeland security efforts through volunteer service activities, preparedness, education and awareness.

Planning Validation Matrix				
Implementation Step	NCR Assessment	Eight Commitments	National Strategy	State Template
		local, State and Federal governments as well as the private sector. **Infrastructure Protection** dictates that NCR jurisdictions work in partnership with the private sector to jointly identify and set protection priorities and guidelines for infrastructure assets and services.		
5. Critical Infrastructure Protection	According to the assessment data, NCR jurisdictions have requested assistance with identification, execution of vulnerability assessments, and training regarding the conduct of site-specific vulnerability assessments.	**Infrastructure Protection** dictates that NCR jurisdictions work in partnership with the private sector to jointly identify and set protection priorities and guidelines for infrastructure assets and services.	Protecting our Critical Infrastructure is a critical mission area identified in the National Strategy.	Guiding Principles in the State Template include: ▪ Enable the government and private sector at all levels the ability to carry out its Homeland Security responsibilities
6. Self-assessment Tool	According to the assessment data, NCR jurisdictions have requested assistance with identification, execution of vulnerability assessments, and training regarding the conduct of site-specific vulnerability assessments.	**Infrastructure Protection** dictates that NCR jurisdictions work in partnership with the private sector to jointly identify and set protection priorities and guidelines for infrastructure assets and services.	The National Strategy identifies the following major initiatives in protecting our critical infrastructure: ▪ Build and maintain a complete and accurate assessment of critical infrastructure and key assets ▪ Enable effective partnership with state and local government and the private sector	Guiding Principles in the State Template include: ▪ Enable the government and private sector at all levels the ability to carry out its Homeland Security responsibilities
7. Preparedness Curriculum	The assessments were silent on this topic. However, there is a clear need to involve in citizens in prevention and preparedness efforts, which will allow first responders to perform essential duties.	**Citizen Involvement in Preparedness** directs NCR jurisdictions work in concert with volunteer and citizen organizations to empower individuals to take care of themselves, educate them about what emergency protective measures and raise awareness regarding ways to help. **Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.		Guiding Principles in the State Template include: ▪ Promote citizen participation in state, local, private sector and regional homeland security efforts through volunteer service activities, preparedness, education and awareness.
8. Citizen Preparedness Campaign	The assessments were silent on this topic. However, there is a clear need to involve in citizens in prevention and preparedness efforts, which will allow first responders to perform essential duties.	**Citizen Involvement in Preparedness** directs NCR jurisdictions work in concert with volunteer and citizen organizations to empower individuals to take care of themselves, educate them about what emergency protective measures and raise awareness regarding ways to help. **Emergency Protective Measures** dictates that NCR jurisdictions work in	Information sharing is one of the four foundations of Homeland Security identified in the National Strategy.	Guiding Principles in the State Template include: ▪ Promote citizen participation in state, local, private sector and regional homeland security efforts through volunteer service activities, preparedness, education and awareness.

Planning Validation Matrix				
Implementation Step	NCR Assessment	Eight Commitments	National Strategy	State Template
		partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.		
9. Addressing Special Needs	The assessments were silent on this topic. However, there is a clear need to involve special needs communities in preparedness efforts, which will allow first responders to perform essential duties.	**Citizen Involvement in Preparedness** directs NCR jurisdictions work in concert with volunteer and citizen organizations to empower individuals to take care of themselves, educate them about what emergency protective measures and raise awareness regarding ways to help. **Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.		Guiding Principles in the State Template include: Promote citizen participation in state, local, private sector and regional homeland security efforts through volunteer service activities, preparedness, education and awareness.

TRAINING

Goal

Provide coordinated, consistent, standardized training to meet regional homeland security training requirements for responders, government officials, schools and the public.

Objective

Coordinate and track the training requirements and delivery of terrorism and security related training that are inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners.

Implementation Steps

1. Develop a training strategy and coordinate the actions of all training academies and institutions in the NCR, track course delivery and monitor responder training requirements.
    a. Work with regional training academies and institutions to conduct basic training in various specialties.
    b. Develop pathways for progress for select first responder specialties that encourage certification and other recognition programs.
    c. Maintain consistency with State agency training strategy, guidance and direction.
2. Develop and institutionalize a dialogue between regional public information officers (PIOs) and the region's media professionals on how best to respond to and communicate with the

region's citizens during emergencies, including the steps needed to maintain public communications facilities and capabilities in the face of new and challenging threats.

Metrics

Chart the completion of Training Implementation Steps to ensure that training/education strategies are finalized and implemented. Key focus areas are:

- NCR Public Safety Community
- NCR Citizens
- Select Professional Groups

Training Validation Matrix				
Implementation Step	Assessment	Eight Commitments	National HS Strategy	State Template
1. Training Strategy	NCR jurisdictions identified the need to focus on determining training needs, identifying training resources and evaluating locally developed training courses. The assessment data indicates that emergency responders require training at all response levels. The majority of training is needed at the awareness and performance-defensive levels.	**Training and Exercises** directs NCR jurisdictions to work in partnership to coordinate plans for terrorism and security related training and exercises across the NCR that are inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate. This includes training and exercise program development, implementation and maintenance including regional agreement to standards and implementation of corrective actions.	The National Strategy calls for the development of national training system.	Guiding Principles in the State Template include: ▪ Promote integrated and collective training, exercises and evaluation.
2. PIO & Media Training	The assessments were silent on this topic. However, clear, consistent and authoritative communication is essential during any event.	**Media Relations and Communication** dictates that NCR jurisdictions work in partnership to develop a communications process for the NCR during response to a major emergency or disaster to achieve the goal of a coordinated voice for the public and media. In addition, the Commitment identifies the need to educate the media to enable effective risk communication and emergency protective measure instruction. **Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.		Guiding Principles in the State Template include: 3. Promote citizen participation in state, local, private sector and regional homeland security efforts through volunteer service activities, preparedness, education and awareness.

EXERCISE

Goals

Regularly exercise NCR response capability to ensure continued improvement through a rigorous corrective action program, measure current capability and provide realistic training to area responders, government officials, business and nonprofit sectors and the public.

Objective

Establish a comprehensive program to include a calendar for terrorism and security-related exercises across the NCR that is inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and nonprofit partners as appropriate.

Implementation Steps

1. Develop and conduct, with maximum local input and participation, annual full-scale exercises to test readiness, response, coordination and mutual assistance capabilities.

2. Develop a methodology to document and implement lessons learned from actual emergency events and exercises, and reflecting national training and exercise standards and strategy requirements to the extent possible. Develop methodologies to communicate and implement corrective actions.

3. Support various regional exercises by jurisdiction or discipline as appropriate and as highlighted by the Assessment.

Metrics

Chart the completion of Exercise Implementation Steps to ensure that exercise development and implementation strategies are finalized and implemented. Key focus areas are:

- NCR Exercise Calendar
- Engagement of all Jurisdictions and Sectors
- Completion of 61 Exercises

Exercise Validation Matrix				
Implementation Step	Assessment	Eight Commitments	National HS Strategy	State Template
1. Exercise Conduct	Assessment data indicate that NCR jurisdictions require assistance to plan, execute and evaluate tabletop, functional and full-scale exercises. All required exercises include at least one CBRNE hazard type.	**Training and Exercises** directs NCR jurisdictions to work in partnership to coordinate plans for terrorism and security related training and exercises across the NCR that are inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate. This includes training and exercise	The National Strategy support the development of a national exercise program designed to educate and evaluate civilian response personnel at al levels of government.	

Exercise Validation Matrix				
Implementation Step	Assessment	Eight Commitments	National HS Strategy	State Template
		program development, implementation and maintenance including regional agreement to standards and implementation of corrective actions.		
2. Corrective Action Planning		**Training and Exercises** directs NCR jurisdictions to work in partnership to coordinate plans for terrorism and security related training and exercises across the NCR that are inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate. This includes training and exercise program development, implementation and maintenance including regional agreement to standards and implementation of corrective actions.	The National Strategy calls for a rigorous learning and corrective action plan component in the national exercise program.	
3. Exercise Support	Assessment data indicate that NCR jurisdictions require assistance to plan, execute and evaluate tabletop, functional and full-scale exercises. All required exercises include at least on CBRNE hazard type.	**Training and Exercises** directs NCR jurisdictions to work in partnership to coordinate plans for terrorism and security related training and exercises across the NCR that are inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate. This includes training and exercise program development, implementation and maintenance including regional agreement to standards and implementation of corrective actions.	The National Strategy support the development of a national exercise program designed to educate and evaluate civilian response personnel at al levels of government.	

EQUIPMENT

Goal

Capitalizing on the regional nature of the grant, acquire, allocate, standardize and manage equipment and systems to enhance preparedness, response and recovery efforts of responders in the NCR. Ensure that the public safety community is properly equipped to perform during incidents resulting from terrorism or use of weapons of mass destruction (WMD).

Objective

Develop a regional equipment program that augments NCR jurisdiction equipment programs so that area responders have necessary equipment to protect the region and themselves.

Implementation Steps

1. Provide a regional equipment quartermaster capability that allows jurisdictions within the NCR to augment their current equipment to ensure that personal protective equipment is available to all NCR public safety personnel enabling them to face new challenges.

2. Purchase necessary hardware to establish an immediate baseline voice and data communication capability that covers the entire NCR public safety community. Planning and protocols for uses of systems are addressed in the Planning Implementation Steps.

3. Provide equipment to ensure maximum notification and communication with the public in times of emergency. Planning and protocols for uses of systems are addressed in the Planning Implementation Steps.

4. Provide equipment to support hospital surge capacity in the NCR. Ensure that this effort is integrated and supportive of initiatives coming out of the United States Department of Health and Human Services.

5. Provide aircraft tracking devices to permit emergency vehicles to operate during times of emergency when air space restrictions apply.

Metrics

Chart the completion of Equipment Implementation Steps to ensure that resource acquisition, allocation and management strategies are finalized and implemented. Key focus areas are:

- Efficiency and Effectiveness of a Quartermaster Equipment Management System
- Intra-regional Communications: voice and data
- Effective Notification: tests and surveys to tract effectiveness of communication by percentage of population
- Elimination of TFR Violations by Emergency Aircraft

Equipment Validation Matrix				
Implementation Step	Assessment	Eight Commitments	National HS Strategy	State Template
1. Regional Equipment Quartermaster	Assessment findings show that NCR emergency responders in all disciplines require equipment. Data collected stresses the importance of adequate equipment levels and appropriate equipment maintenance.	**Decision-making and Coordination** dictates that NCR jurisdictions work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations. This includes developing and implementing methods for coordination between operational entities as well as senior decision-makers in local, State and Federal governments as well as the private sector.	The National Strategy calls for substantial support for our first responder to ensure they are equipped to respond to all terrorist threats and attacks.	Guiding Principles in the State Template include: 4. Maximize collective efforts to prevent terrorist attacks, reduce risks, and respond effectively to attacks that do occur
2. Interoperable Communications Equipment	Assessment findings show that NCR emergency responders in all disciplines require equipment.	**Terrorism Prevention** directs the coordination information sharing among regional law enforcement and	The National Strategy calls for seamless communication among all responders.	Guiding Principles in the State Template include: 5. Promote interoperable and reliable

Equipment Validation Matrix				
Implementation Step	Assessment	Eight Commitments	National HS Strategy	State Template
		other public safety agencies. **Decision-making and Coordination** dictates that NCR jurisdictions work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations. This includes developing and implementing methods for coordination between operational entities as well as senior decision-makers in local, State and Federal governments as well as the private sector.		communications
3. Community Alert Equipment	Assessment findings show that NCR emergency responders in all disciplines require equipment.	**Citizen Involvement in Preparedness** directs NCR jurisdictions work in concert with volunteer and citizen organizations to empower individuals to take care of themselves, educate them about what emergency protective measures and raise awareness regarding ways to help. **Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.	The National Strategy identifies the following information sharing and systems priorities: ▪ Integrate information sharing across state and local governments, private industry and citizens ▪ Improve public safety communication	Guiding Principles in the State Template include: ▪ Enable the government and private sector at all levels the ability to carry out its Homeland Security responsibilities
4. Hospital Surge Capacity	Assessment findings show that NCR emergency responders in all disciplines require equipment. The health care discipline requires the most equipment of all disciplines.	**Emergency Protective Measures** dictates that NCR jurisdictions work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public.	The National Strategy calls for: ▪ Preparing our health care providers for catastrophic terrorism ▪ Augmenting America's pharmaceutical and vaccine stockpiles	Guiding Principles in the State Template include: ▪ Maximize collective efforts to prevent terrorist attacks, reduce risks, and respond effectively to attacks that do occur ▪ Enable the government and private sector at all levels the ability to carry out its Homeland Security responsibilities
5. Aircraft Tracking Devices	The assessments are silent on this topic.	**Terrorism Prevention** directs the coordination information sharing among regional law enforcement and other public safety agencies.		Guiding Principles in the State Template include: ▪ Maximize collective efforts to prevent terrorist attacks, reduce risks, and respond effectively to attacks that do occur

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Testimony of
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US Department of Homeland Security

Readiness in the National Capital Region

Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia
Senator George V. Voinovich, Chair
Senator Daniel K. Akaka, Ranking Member

July 14, 2005

Room 562
Dirken Senate Office Building
Washington, DC 20510
9:30 A.M.

Strategy
Historically, the NCR has led the nation in the development of regional homeland security planning and coordination. This leadership is driven by necessity—the NCR requires a coordinated regional strategic plan to guide a unified, long-term effort to ensure the NCR is safe and secure from all hazards.

NCR homeland security partners are currently working closely together to develop a regional strategic plan that establishes preparedness priorities and objectives for the entire region. The regional strategic plan will integrate pre-existing federal, State, local, regional, and practitioner-level planning documents into one unique strategic plan for the NCR, while also infusing newly identified goals and priorities for regional preparedness. A key building block for regional coordination was the UASI grant.

The 2003 UASI grant required a regional needs-assessment and an Urban Area Homeland Security Strategy. The *FY 2003 Urban Area Homeland Security Strategy* (Attachment A) for the NCR was developed based on the results of the needs assessment completed by member jurisdictions in July 2003—the first region in the nation to do so. The *2003 Strategy* included three objectives:

- Prevent terrorist attacks within the NCR;
- Reduce the NCR's vulnerability to terrorism; and
- Minimize the damage and recover from attacks that do occur.

The *2003 Strategy* incorporated three separate influences: (1) the *National Strategy for Homeland Security* that identifies a perspective and direction for regional initiatives; (2) guidance from NCR executives represented in the *Eight Commitments to Action*; and (3) the *Statewide Template Initiative* with its checklist of planning guidance from State and local public safety emergency managers.[1]

The *2003 Strategy* focused on developing true regional capability—capability with benefits across the NCR, not simply for a particular jurisdiction. The *2003 Strategy* embraced the concept of a national incident management system that defines a common terminology for all parties, provides a unified command structure, standards and qualifications, and is scalable to meet incidents of all sizes. This integration was a program milestone toward Regional leveraging of pre-existing State, District, and local initiatives to create, for the first time, a cohesive regional identity.

While the *2003 Strategy* was a major milestone for the NCR, as noted in GAO Report GAO-04-433, *Management of First Responder Grants in the National Capital Region,* the *2003 Strategy* was but a first step. Since summer 2004, regional homeland security and public safety officials and private sector leaders actively sought to create the nation's first integrated and comprehensive regional homeland security strategic plan. Dissimilar from past planning efforts, it utilizes a more collaborative, consensus-based approach to decision-making while also leveraging and strengthening the various public and private communities throughout the region that make up the NCR homeland security partnership.

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[1] *Statewide Template Initiative*, President's Homeland Security Advisory Council, March 2003.

In contrast to the *2003 Strategy*, these strategic efforts, now documented in draft form entitled *2005 National Capital Region Homeland Security Strategic Plan,* will be a comprehensive document that defines priorities and objectives for the entire region without regard to any specific jurisdiction, discipline, or funding mechanisms to:

- Establish coordinated regional goals and priorities for the enhancement of homeland security and first responder capabilities in the NCR
- Guide, integrate, and ensure the efficient spending of homeland security grant and budget dollars throughout the NCR
- Provide a means to measure the actual improvements made to NCR preparedness

This strategy is based on seven guiding principles which provide a framework for decision making. These include:

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.

These efforts seek to integrate pre-existing federal, State, local, regional, and practitioner-level planning documents into one unique revised strategic plan for the NCR, while also infusing newly identified goals and priorities for regional preparedness. The *2005 National Capital Region Homeland Security Strategic Plan* will serve as a guiding framework. NCR priorities will be aligned against the five strategic goals: awareness, prevention, protection, response, and recovery.

Related to the strategic framework, is the creation of integrated, multi-jurisdictional performance measures to effectively monitor and assess execution of the regional strategic plan. In addition to integrating guidance from DHS national efforts such as *HSPD-7 Critical Infrastructure Identification, Prioritization* and *HSPD-8 National Preparedness,* the region is also undertaking a more detailed assessment, entitled Emergency Management Accreditation Program (EMAP).

The EMAP process combines a self assessment, documentation, and peer assessment to provide an independent evaluation of a jurisdiction's disaster management capabilities and a roadmap for continuous improvement. Standards found in EMAP are consistent with the NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2004, which was recommended by the 9/11 Commission as the national preparedness standards. EMAP will measure the status of current capabilities in the NCR against the established EMAP standards, assist in identifying and prioritize future improvements activities, and enhance strategic framework measures for resource allocation.

Results from the EMAP assessment combined with the development of national preparedness standards will provide specific guidance in determining the region's homeland security needs and in allocating resources associated with FY 2006 homeland security grants and beyond.

Questions and Responses from Mr. Jenkins

Question: You testified that you have not determined how the Emergency Management Accreditation Program (EMAP) assessment will integrate with the National Preparedness Goal since the final version of the Goal will not be issued until October. However, DHS issued an interim draft of the National Preparedness Goal in March. Can you share any initial thoughts on the compatibility of the EMAP approach and the National Preparedness Goal based on the interim draft and do you believe the NCR will have to duplicate its work?

While there is some degree of correspondence between the EMAP standards and the 36 target capabilities which form the basis of the National Preparedness Goal, some EMAP standards are more generally and programmatically defined and, therefore could potentially be applied to numerous target capabilities. Others apply to all 36 target capabilities. As a result, NCR efforts to develop plans to meet EMAP standards for areas such as program management, training, and exercises will likely have to be re-considered in terms of the NIMS and NRP as well as evolving strategies for a national training and exercise program. NCR's efforts to address EMAP standards in other areas, such as "communications and warning" or "resource management" may require significantly fewer changes for reformatting/revision into the terminology and specifications of DHS' new target capabilities. In further contrast, EMAP standards for "Training" and "Exercises, evaluations and corrective actions" are explicitly addressed in the National Preparedness Goal (p.8) as "Elements of Capability"--i.e., parts of each of the 36 target capabilities. According to the NPG "a capability may be delivered during an emergency with any combination of elements that achieves the required outcome, namely any combination of properly planned, organized, equipped, trained, and exercised personnel."

Some of the more specific target capabilities, such as "Animal Health Emergency Support", "Food and Agricultural Safety and Defense," or such prevention capabilities as "Chemical, Biological, Nuclear, and Explosive Detection," or "Terrorism Investigation and Intervention" have no apparent counterparts on the list of 14 EMAP standards.

Thus, although the EMAP standards are related in some ways to DHS' 36 target capabilities, meeting the EMAP standards is not likely to be sufficient to also meet the 36 target capabilities. At a minimum, the NCR will have to do some additional analysis and preparation in areas not covered by EMAP, but specified in one or more of the 36 target capabilities.

Similarities and differences in EMAP Standards and DHS's Target Capabilities:

EMAP Standards with Related Target Capability Counterparts

EMAP standards	**Target Capabilities**
"Planning"	"Planning"
"Crisis communications, Public Education and Information" "Communications and Warning"	"Emergency Public Information and Warning" "Interoperable Communications."
"Operations and Procedures" "Logistics and Facilities"	"Emergency Operations Center Management"
"Direction, Control, and Coordination"	"On-site incident management"
" Hazard Identification and Risk Assessment"	"Risk Analysis"
"Resource Management"	"Critical Resource Logistics and Distribution"
"Hazard Mitigation"	"Critical Infrastructure Protection"

Other EMAP standards could potentially be applied to multiple target capabilities. For example, the EMAP standard for "Program Management" (i.e., how a program is structured and organized so that it is capable of coordinating emergency activities across multiple agencies and organizations) is more generally defined and could potentially relate to variety of target capabilities.

National Emergency Management Association's EMAP Standards

1. **Program Management** covers how a program is structured and organized so that it is capable of coordinating emergency preparedness, mitigation, response, and recovery activities across multiple agencies and organizations.
2. **Laws and Authorities** addresses the legal underpinnings necessary to authorize and conduct an emergency management program
3. **Hazard Identification and Risk Assessment** requires comprehensive assessment and identification of risks, including potential natural and human-caused events, and potential impact of those hazards. These identification and analysis activities including current efforts to better identify risks to critical infrastructures, then feed the planning process.
4. **Hazard Mitigation** requires that the program create and implement a strategy to lessen the impacts of disasters. The strategy must take into account results of hazards identification and risk assessments, analysis of impacts of each hazard, and experiences in the jurisdiction, and must prioritize mitigation projects based on loss reduction.
5. **Resource Management** involves methodologies for prompt and effective identification, acquisition, distribution tracking, and use of personnel and equipment needed for emergency functions.

6. **Planning** addresses development and general content of the program's emergency operations plan, strategic plan, mitigation plan, recovery plan, and continuity of operations plan.
7. **Direction, Control and Coordination** presents requirements for the ability to analyze a situation, make decisions for response, direct and coordinate response forces and resources, and coordinate with other jurisdictions. Requires use of a recognized incident management system.
8. **Communications and Warning** requires ability to communicate in a disaster and effectively warn the public. This is the primary area of the standards where communications interoperability and redundancy are addressed.
9. **Operations and Procedures** requires standard operating procedures, checklists, and other instructions to execute the emergency operations plan and other plans and ties procedures back to the hazards previously identified by the jurisdiction.
10. **Logistics and Facilities** requires facilities and a logistics framework capable of supporting response and recovery operations. This includes the requirement for an emergency operations facility.
11. **Training** requires that the program maintain a documented training program for emergency management/response personnel and public officials, including that emergency personnel receive training on the incident management system of the jurisdiction.
12. **Exercises, evaluations and Corrective Action** calls for regularly scheduled exercises, evaluations and corrective actions, including a process for addressing corrective actions.
13. **Crisis Communications, Public Education and Information** requires procedures for disseminating information to the public pre-, during, and post disaster.
14. **Finance and Administration** includes requirement for a financial management framework that complies with applicable government requirements and that allows for expeditious request for and receipt and distribution of funds.

DHS Target Capabilities:

Capabilities Applicable to All Types of Hazards:

1. Interoperable communications.
2. Planning.

Prevention Capabilities:

3. Chemical, biological, nuclear, and explosive detection.
4. Terrorism investigation and intervention.
5. Information collection and threat recognition.
6. Information sharing and collaboration.
7. Intelligence Fusion and analysis.

Protection Capabilities:

8. Critical infrastructure protection against terrorist attacks.
9. Citizen preparedness and participation.
10. Food and agricultural safety and defense.
11. Public health epidemiological investigation and laboratory testing.
12. Risk analysis.

Response Capabilities:

13. Animal health emergency support.

14. Citizen protection: evacuation and/or in place protection.
15. Critical resource logistics and distribution.
16. Emergency operations center management.
17. Emergency public information and warning.
18. Environmental health and vector control.
19. Explosive device response operations.
20. Fatality management.
21. Firefighting operations/support.
22. Isolation and quarantine.
23. Mass care (sheltering, feeding, and related services).
24. Massprophylaxis.
25. Medical supplies management and distribution.
26. Medical surge.
27. On-site incident management.
28. Public safety and security response.
29. Search and rescue.
30. Triage and pre-hospital treatment.
31. Volunteer management and donations.
32. Weapons of mass destruction/hazardous materials response and decontamination.
33. Worker health and safety.

Recovery Capabilities:

34. Economic and community recovery.
35. Restoration of lifelines.
36. Structural damage assessment and mitigation.

Q: Recognizing that you believe that the database set up by the DC Office of Homeland Security to track funds should be more inclusive in terms of which grants are tracked, what is your assessment of the database itself, and do you believe it is an adequate system that contains the necessary data points.

Addressing the threat of terrorism in the NCR is a regionwide endeavor that encompasses all political jurisdictions and first-response disciplines. A comprehensive preparedness effort involves many federal funding sources, including the Urban Area Security Initiative (UASI) grant, State Homeland Security Grants, Fire Administration Grants, bioterrorism grants from the Department of Health and Human Services, and others. An uncoordinated use of these various funds risks both unnecessary duplication and an inability to maximize the effective use of available funds.

The National Capital Region has taken the first step by establishing a database that addresses the funding and implementation status of UASI-related efforts in the NCR. On the basis of examining the information provided to us, the data included appear to be adequate for tracking the use of UASI funds. However, effectively leveraging UASI funds means knowing what other funding sources are available, how they can be used, how they have been used, and the potential for mixing and matching various funding sources in a complementary, effective, non-duplicative way that achieves regional preparedness goals. It is very difficult to use all available grant funds effectively—or know that they have been used effectively—if data collection, analysis, and reporting are concentrated solely on the UASI grants.

However, in collecting information on funding sources other than UASI, we do not believe that the perfect should be the enemy of the good. While an automated database would be the most preferable means of collecting funding and status information, the NCR could use less sophisticated means of compiling information on available funding sources and the use of those funds before an electronic system is completed. For example, the periodic meetings that take place between regional preparedness officials could be used as a forum in which jurisdictions could report on the funding sources available to them, the amounts available from each source, the status of projects funded with each source and their purpose, and remaining balances available. Alternatively, DC's Office of Homeland Security could periodically query Maryland, Virginia, and DC as well as the local jurisdictions for that same information. The NCR is geographically small enough and funding sources few enough (particularly now that many grants have been consolidated into the State Homeland Security Grant Program) that necessary reports could be compiled by the Office of Homeland Security for use by the Senior Policy Group and other decisionmaking bodies as they deliberate about and make decisions on planned preparedness expenditures and projects.

It is important to note that the NCR's Senior Policy Group has agreed on the need for the type of information we have recommended be compiled and used. At a June 2004 hearing before the House Committee on Government Reform at which GAO, George Foresman, and Thomas Lockwood testified, both Mr. Lockwood and Mr. Foresman testified that it should not have been necessary for GAO to locate and compile grant-related information from a variety of sources and locations through the NCR in order to provide Congress information on the total amount of federal funds available and used in the NCR for enhancing emergency preparedness. Mr. Foresman and Mr. Lockwood stated that (1) there should exist a consolidated data source for grant related information and (2) such a consolidated data source would be in place by the autumn of 2004. It is therefore surprising that the consolidated data source does not yet exist and there appear to be no definite plans for creating one. It is particularly surprising given the importance of such data and the relatively small number of jurisdictions and grants involved. In our view, it is not realistic to believe that one can develop an effective, comprehensive approach for enhancing emergency preparedness in the NCR with the partial funding data now collected and used.

Governments of the District of Columbia,
Commonwealth of Virginia,
State of Maryland, and the
Office of National Capital Region Coordination

National Capital Region's Homeland Security Senior Policy Group

Response to Questions for the Record
Edward D. Reiskin, Deputy Mayor for Public Safety and Justice for the District of Columbia
George W. Foresman, Assistant to the Governor of Virginia for Commonwealth Preparedness
Dennis R. Schrader, Director of the Governor's Office of Homeland Security in the State of Maryland

Readiness in the National Capital Region

Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia
Senator George V. Voinovich, Chair
Senator Daniel K. Akaka, Ranking Member

August 31, 2005

Room 442
Hart Senate Office Building
Washington, DC 20510

Response to Questions for the Record
Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia
Public Hearing on the Homeland Security in the National Capital Region
August 31, 2005

Thank you for allowing us the opportunity to deliver our Readiness in the National Capital Region presentation to the Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia. The leadership of the National Capital Region has compiled this document to summarize our collective responses to the questions posed to the region, as well as to present the responses to questions asked of the individual jurisdictions.

Universal Questions for NCR from Senator Daniel Akaka

1. In your written testimony the SPG stated that the NCR has completed a draft of the *2005 National Capital Region Homeland Security Strategic Plan*. When will this plan be released?

Response:

The NCR will release the final version of the strategic plan in September 2005 in conjunction with National Preparedness Month. The strategic plan will set the course for the NCR through 2007 and beyond, and is designed to align with the National Preparedness Goal to ensure the region is able to meet the national and regional priorities and meet the goals defined in the target capabilities list. The plan will serve as a framework for local, state, and regional policy and fiscal decision making related to homeland security in the region.

2. Will non-Urban Area Security Initiative (UASI) funding be tracked through the NCR database in the future? If so, what is the time line for incorporating the UASI information?

Response:

Currently all responsible parties are tracking and reporting their performance per federal grant requirements. A key issue raised by the question of non-UASI efforts is the coordination and effective use of resources. We are absolutely committed on coordination of all resources and have constructed and are maturing cross-jurisdictional process and decision teams. Further, the NCR SAA will host a monthly meeting with the Maryland and Virginia SAAs to discuss what is currently being funded with other grant dollars for those jurisdictions within the NCR so that all funding can be coordinated.

We are currently developing a web site that will provide ongoing visibility to the region's UASI funded efforts and will include links to the authoritative sources for non-UASI funding information (e.g., Office of Domestic Preparedness). This first phase of increased visibility into UASI funding and performance data will be augmented by the reporting of non-UASI funds in future phases. We are exploring means through which we can more comprehensively present non-UASI funded efforts such as SHSGP, HRSA, CDC, and transportation grants.

3. The NCR received an extension until December 2005 to spend the FY 03 UASI funding. Currently, the NCR must also spend its FY 04 funding by December. Will you need an extension to spend responsibly the FY 04 dollars?

Response:
The NCR SAA will be requesting an extension for the FY 04 UASI. According to UASI grant regulations, NCR will be able to request an extension for the FY 04 grant funding approximately three months before the November 30, 2005 conclusion of the original grant funding term. If an extension is granted, DHS will add an additional six months to the grant funding term. The revised FY 04 grant deadline - with the six month extension – would then be May 30, 2006. The grant extension will be needed to allow enough time for all obligated funds to be expended and all proposed improvements to be implemented. It is important to note that the NCR SAA has taken aggressive steps to move expeditiously in committing funding resources. As a practical matter, with the growing complexity of regional initiatives, we must be very deliberate in seeking tangible and measurable progress. The decision to pursue an extension at this time is simply a function of the need to coordinate among a large group of entities and should not be construed as a lack of commitment to the work to be done.

4. In your written testimony you stated that you are using the Emergency Management Accreditation Program (EMAP) to assess gaps in the region's preparedness capabilities. How applicable will the EMAP assessment be to the standards set forth in the National Preparedness Goal, which DHS will soon require states and locals to comply with in order to receive grants?

Response:
In general, the NCR expects the results of the Emergency Management Accreditation Program (EMAP) assessment will be favorable. The last activity in the creation of the NCR strategic plan is the integration of the EMAP standards into the final plan. The regional working groups will formulate the strategic plan based on EMAP standards.

Two complementary efforts are in progress to gain a detailed understanding of the NCR's requirements:

- The Emergency Management Accreditation Program (EMAP) is performing a detailed emergency management assessment of the NCR to gauge the region's capabilities against national standards, specifically NFPA 1600. EMAP was created by a group of national organizations, such as the National Emergency Management Association (NEMA), the Federal Emergency Management Agency (FEMA), the International Association of Fire Chiefs, and various others to foster excellence and accountability in how communities and states manage emergencies and disasters.
- National preparedness standards are currently being developed by the DHS Office of State and Local Government Coordination and Preparedness (SLGCP) as part of the National Preparedness Goal mandated in Homeland Security Presidential Directive 8 (HSPD-8). These standards will identify target capability levels (e.g., personnel,

planning, organization and leadership, equipment, training, and exercises) and task performance levels required to successfully address fifteen scenarios of major events.

Results from the EMAP assessment combined with the development of national preparedness standards will provide specific guidance in determining the region's homeland security needs and in allocating resources in 2006 and beyond. As we proceed into 2005 where the aforementioned assessments are being performed both regionally and jurisdictionally, we will establish performance measures and standards to enable a more predictive and accurate method of defining regional needs. Significant policy issues will also be identified through regional analysis of infrastructure dependencies and interdependencies and the resources required for risk mitigation. These requirements will be prioritized in coordinated regional strategic planning to establish spending priorities for the NCR over the course of the next several fiscal years.

As a way of providing additional background regarding this topic, we realize there is overlap today between the EMAP standards and the National Preparedness Goal's Overarching Priorities (i.e., Implement the National Incident Management System and National Response Plan, Expand Regional Collaboration, and Implement the Interim National Infrastructure Protection Plan). This is the result of the forward momentum across the region that preceded the development and promulgation of the National Preparedness Goals. However, it should be noted that EMAP and the National Preparedness Goal take different approaches to the National Preparedness Goal's Capability-Specific Priorities/Planning standards and the Capability-Specific Priorities. The Standards used as part of the EMAP assessment have been used for years and focus on an organization's ability to support a complete program. The National Preparedness Goal looks for capability baselines for operational missions and for tracking resource allocation, whereas the EMAP fosters continuous improvement in emergency management capabilities by ensuring that the region has included all of the program's critical components, those components are well managed, properly maintained, and periodically improved.

5. Will the NCR have to do another assessment?

Response:
We believe the regional assessments will show a favorable level of alignment between the many different jurisdictions and expect additional assessments will be performed periodically to incorporate changing area-wide capabilities. An additional series of assessments within the NCR would relate to the federal sector - a vital part of ensuring the NCR's protection and preparedness which must be compatible with other regional resources. Key federal sector assessments should include: (1) inventory of all federal organizations and their roles and responsibilities in the event of a terrorist incident; (2) analysis of the communications, interoperability, and preparedness of the federal sector; (3) evaluation of federal performance with respect to standards established for State and local organizations; and (4) analysis of information sharing and mutual aid agreements across the NCR.

The current assessment is still underway and is scheduled to be complete by November 30, 2005. Once complete, the NCR will maintain the plans, procedures, and programs reviewed during the assessment. As part of the assessment, the NCR will complete and file with the EMAP

commission an annual report via the Online Assessment Tool. The annual updates continue for five years, after which the NCR essentially performs the same steps as the original assessment process, calling for documentation and information to be re-evaluated by on-site assessment teams.

Irrespective of outside requirements, continuing assessments are necessary to ensure our future direction continues to reflect a clear understanding of where we are and where we need to be in terms of NCR preparedness.

Individual Questions for Maryland and Virginia from Senator George Voinovich

1. **I understand that the DC Homeland Security Office serves as the administrate agent for the UASI grants awarded to the region. How is this arrangement working from your perspective?**

Maryland Response:

Having the DC Homeland Security Office serve as the administrative agent for the Urban Area Security Initiative grants awarded to the National Capital Region is working very well from the state of Maryland's perspective. The Senior Policy Group has significant voice in this arrangement and is working hard in a coordinated way to ensure a regional approach is integrated with the jurisdictional needs. The process has proven to be very effective given the nature of the grant.

Virginia Response:

Virginia promoted this approach from the beginning and it has worked well. There are inevitable challenges in establishing a regional program. A large part of the NCR success is because the local communities across the region have remained committed to the principle of regional preparedness and overall have been supportive of the District of Columbia's role. Conflicts, while rare, are worked at the senior executive level which allows staff progress to move forward with minimal interruptions.

2. **Does MD/VA have a system in place to monitor State Homeland Security Program grants and other grant funds that go directly to that state? If yes, how do you measure progress and provide accountability for use of these funds?**

Maryland Response:

Maryland has a system to monitor the State Homeland Security Grant Program (SHSGP) and all other grant funding received by the state. To measure the progress and provide accountability for these funds the State has instituted a program management approach. The Governor's Office of Homeland Security (GOHS) provides program oversight to initiate and monitor all Homeland Security programs, a system very similar to the Department of Defense's Joint Program Executive Office. The GOHS, through executive order, works closely with the various State

Administrative Agents to ensure fiscal accountability and integration of the entire process for the HRSA, CDC, and transportation grant programs.

Virginia Response:

Virginia has a grant monitoring function, as well as a limited auditing function in place. This was established in the latter half of 2002, in advance of the major infusions of federal funding. The Governor's Office of Commonwealth Preparedness (Homeland Security) is a Cabinet level function that directs coordination and synchronization of programs by a wide variety of state agencies. Critical to this is monitoring funding levels for all related funding sources, regardless of whether or not they are administered through the state or directly to communities.

3. **How do you coordinate the grants between the various programs in the region?**

Maryland Response:

Through the use of Executive Steering Committees for key initiatives such as Critical Infrastructure Protection, Health and Medical, Intelligence, and Training and Exercise, we are able to coordinate the grants and programs throughout the region. Also, through the regional integration of HSPD-8 we are able to maintain our philosophy of "one Maryland in coordination with the National Capital Region."

Virginia Response:

Key personnel involved in decision making at both the NCR and statewide levels are the same individuals. This provides consistency between efforts whether they are regional or statewide. In addition, local levels of program and funding coordination for emergency and disaster preparedness pre-date the 2001 attacks and these structures continue to serve the expanded focus on homeland security issues.

Individual Questions for District of Columbia from Senator Daniel Akaka

1. **As you know, on May 12th, an unauthorized plane violated DC air space which caused the evacuation of thousands from buildings in the District. Neither Mayor Williams nor the DC government were made aware of the situation until the all clear was sounded, thus eliminating the DC government as an active partner in the response. Although the federal response was swift, our hearing is focused on whether the regional response is adequate to deal with emergencies. Why was the DC government not informed of the event until it was over, and are you working on procedures that better integrate the DC government unto federal response plans? Was this a case of not having a notification system or a breakdown of the existing system?**

Response:

As the events of May 11 were progressing, several critical notifications were overlooked and key government agencies were not provided with official information from Federal officials. Specifically, during the period of time of 11:28 a.m. through 12:11 p.m., no official notifications or emergency communications were given to key DC officials or emergency response officials, as required of the Department of Homeland Security (DHS) by the National Response Plan (NRP). These contacts are required at times when there are circumstances that pose a direct threat to the District of Columbia. The official DHS notification to DC took place after 12:11 p.m., essentially after the event was given the "all clear" signal and agencies started a wrap-up process.

The notification system does exist, but was not properly used during this emergent event. We immediately implemented corrective actions to ensure timely notification of future events. Most critically, we re-established and clarified protocols with the Department of Homeland Security. We affirmed and clarified these issues through a meeting between Mayor Anthony Williams and Secretary Michael Chertoff. We also provided for redundancy and more direct information access through placement and establishment of protocols for DC Government personnel in various operations centers.

2. **In the past month, communication between the District and DHS was tested by a second violation of restricted airspace and by the attacks on the London transit system. Do you believe the level of communication between DHS and the DC government has improved, and if so, in what ways? What improvements would you still like to see implemented?**

Response:

Yes, the communication between DHS and DC has improved demonstrably since May 11. For the many airspace incursions, the London events, and other events that have occurred since, notification has been timely and complete, in accordance with the revised protocols.

With each event, we will continuously monitor notification and take corrective action as needed. At the regional level, we are currently working with the Department of Homeland Security to codify and institutionalize a more comprehensive set of protocols so that information related to all emergent hazards is systematically communicated to all relevant parties throughout the region.

While our communication with the Department of Homeland Security has significantly improved, we still require that other federal executive and legislative branch agencies follow National Response Plan requirements to notify DC via DHS, if not directly. DHS cannot deliver timely information to DC if other federal agencies have not provided timely information to DHS.

3. **I want to ask about some of the steps taken to correct the problems revealed when the plane on May 11th caused evacuations.**

a. **I understand that Mayor Williams is examining whether to expand DC staffing at the Homeland Security Operations Center to a 24-hour presence. Has a decision been made on this issue? If not, when?**

Response:
The Mayor directed a review of DC staffing at the Homeland Security Operations Center and the Transportation Security Operations Center. As a result of these reviews, DC will increase staffing to 12 hours/day plus special events at the HSOC and have commenced 8-hour/day staffing at the TSOC.

b. **I understand that DHS has offered the District a second Federal Aviation Administration (FAA) teleconference line, to be located in a 24-hour operations center staffed by the DC Emergency Management Agency. Do you know if that phone line has been added and if it is working?**

Response:

Yes, the DC Emergency Management Agency installed an FAA Domestic Events Network line at the Emergency Operations Center. Also, the Metropolitan Police Department installed a new Emergency Phone Central (EPC) in the Special Operations Command Center (SOCC). The EPC now has dedicated lines to the FAA Domestic Events Network (DEN), U.S. Capitol Police Command Center, DC Emergency Management Agency, US Secret Service Command Center, and the Transportation Security Operations Center.

The FAA DEN is now broadcast over speakers installed in the walls of the SOCC. If the FAA DEN is disconnected, there will be both audio and visual (flashing light) alerts given. A visual alert will be given to the remaining command center connections. All the lines connected to the EPC will be continuously monitored for line fault. All line connections will be encased in the rear of EPC in order to eliminate human error. In case of power failure there will be a battery backup installed that can power the EPC for approximately twenty-four hours.

c. **Could you elaborate on the role of the Washington Metropolitan Area Warning System and the National Warning System and explain why it was not activated on May 11th until after evacuations were ordered?**

Response:

These systems were not used during the May 11 event. Our revised protocols explicitly require the use of the Washington Area Warning and Alert System as the primary means of notification for time sensitive incidents where protective action information and decisions are needed quickly.

4. **On July 4th, the District used the opportunity of large crowds watching fireworks on the National Mall to test emergency evacuation routes. At the time, you were quoted in an interview as stating, "We learned a lot that is going to help us refine and improve."**

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Can you explain what you learned during the test and what steps you are taking to improve evacuation procedures?

Response:

The District of Columbia Department of Transportation (DDOT) established four main objectives for the 4th of July test. These objectives included:

- Understanding how changing the traffic signals to the 240-second cycle along select routes would affect the overall transportation network.
- Understanding how large pedestrian movement from the National Mall would directly impact the surrounding emergency routes.
- Reviewing the process for implementing the emergency traffic signaling system.
- Expediting vehicular and pedestrian traffic from the National Mall area in an efficient and effective manner.

All of these objectives were met during the test. In meeting these objectives there were several DDOT takeaways or 'lessons learned':

- In regards to pedestrian vs vehicular management there were several locations identified during the test where transportation can be improved. For instance, at the intersection of Constitution and 9th Streets NW, westbound traffic along Constitution was delayed due to the amount of pedestrian traffic crossing 9th Street on the south side. Had pedestrian traffic been requested to cross on the north side of 9th Street, vehicles could make an unimpeded left turn into the tunnel and alleviate congestion along Constitution (a visual display could be helpful for this).
- The need to update the traffic signaling package because new traffic signals and additional routes have been added since the implementation of the original emergency routes.
- Communication protocols need to be updated to ensure proper management of these routes.
- The importance of continued coordination with the various District and Regional agencies.

Overall this test was deemed a success as the National Mall area was returned to normal Monday night traffic operations within an hour of the conclusion of the fire works display.

As a result of this test, DDOT has begun to take the appropriate steps to ensure the lessons learned are addressed. These steps include:

- Develop baseline traffic data to better gauge the time savings associated with the expedited traffic signal plan.
- Update the overall emergency route information to ensure officials are all clear on which routes are emergency routes, where they begin and end, and how the route is supposed to operate.

- Engage our regional partners in future tests. Due to the success of the July 4th test, our regional partners are excited about being more involved in additional tests, not only to run the test to the District border, but possibly all the way to the beltway, which is the intended purpose of the emergency routes. The next test has not been identified, but the goal is to conduct another one before the end of the year.

Individual Questions for District of Columbia from Senator George Voinovich

1. **Mr. Reiskin, the *Washington Times* recently printed a story regarding bioterrorism funding in the District. The article states that the D.C. government failed to keep track of millions of dollars in federal bioterrorism funds that it had received since 1999. What steps has the District taken to resolve this problem? Do you have a better system in place to monitor this type of funding as well as other grants the District receives?**

Response:

The grant funds discussed in this article were approved by the CDC for the District of Columbia Department of Health (DOH). DOH has implemented a number of improvements with respect to the management of these bioterrorism funds. A major improvement is the establishment of separate indexes which allows the Department to track each focus area separately.

With respect to the specific bioterrorism funding in the District, DOH has implemented separate indexes which allows them to track each focus area separately. The introduction of these unique indexes allows DOH to now track personnel and non-personnel funds, by focus area, for the bioterrorism funding. This visibility improves the agency's ability to monitor grant spending and delineate not only the amount of monies spent, but the type of expenditure which was something that was identified in the audit described in the Washington Times article.

DOH has taken additional steps to improve its system for monitoring grant funds:

- trained program staff in the financial system
- implemented monthly review of all grants with the DOH CFO
- implemented a grant management matrix to identify every grant DOH receives, along with other pertinent information regarding responsibility within DOH, funding and project management

As a final step in improving the monitoring of grant funds within DOH, the agency is implementing a sub-recipient tracking system that will list all sub grants, with monthly spending status. This final process improvement step will allow DOH to monitor not only agency-managed grants, but those grants that are awarded to sub-recipients who act on behalf of DOH to deliver solutions.

These improvements within DOH will ensure the agency is a reliable and authoritative source for grant funds it manages and will position the agency to provide needed grant information within the NCR as the various jurisdictions look to expand their view and ensure there is no duplication

of effort between Department of Health and Human Services (e.g., CDC) and Department of Homeland Security funds.

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Director Thomas J. Lockwood

Questions for the Record from Senator George Voinovich, Chairman

Q: Mr. Lockwood, I understand from your testimony that you are in the process of developing the 2005 National Capital Region Homeland Security Strategic Plan. The Office was created in 2003. Why has it taken so long to develop a strategic plan?

Response: This region has a rich legacy of strategic vision and planning. The Governors of Maryland and Virginia and the Mayor of the District of Columbia established the original direction and prioritization for the National Capital Region (NCR) in 2002 by committing to the Eight Commitments to Action. This document of agreement served as a strategic framework prior to the establishment of Department of Homeland Security and subsequent requirement for an Urban Area Security Initiative (UASI) Strategic Plan.

During its first year, the 2003 UASI required a regional needs-assessment and the development of an Urban Area Homeland Security Strategy. The *FY 2003 Urban Area Homeland Security Strategy* for the NCR was developed based on the results of the needs assessment completed by member communities in July 2003—the first region in the nation to do so. The assessment included a focused risk, capabilities, and needs assessment, and provided insight into the requirements of the region.[1] It was a multi-jurisdictional and multi-disciplinary review of capabilities and shortfalls across the spectrum of public safety. The assessment included each of the region's twelve local governments incorporating data for ten primary disciplines with emergency response duties. The assessment, based upon the four domains of homeland security preparedness—planning, training, exercise, and equipment, highlighted training and equipment as major needs.

The *FY 2003 Strategy* included the following three objectives:[2]

- Prevent terrorist attacks within the NCR
- Reduce the NCR's vulnerability to terrorism
- Minimize the damage and recover from attacks that do occur

The *FY 2003 Strategy* provided the direction for enhancing inter-jurisdictional coordination and establishing a regional identity to prevent and reduce vulnerability to terrorist incidents in the NCR. The document incorporated three separate influences: (1) the *National Strategy for Homeland Security* that identifies a perspective and direction for regional initiatives; (2) guidance from NCR executives represented in the *Eight Commitments to Action*; and (3) the *Statewide Template Initiative* with its checklist of planning guidance from State and local public safety emergency managers.[3]

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[1] The assessment focused on regional communities and did not include Federal capabilities.
[2] *FY 2003 Urban Area Homeland Security Strategy for the National Capital Region*, October 22, 2003.
[3] *Statewide Template Initiative*, President's Homeland Security Advisory Council, March 2003.

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The *FY 2003 Strategy* and the resources available through the UASI program focused on developing true **regional** capability—capability with benefits across the NCR, not simply for a particular jurisdiction. The *FY 2003 Strategy* focuses on four areas: planning, training, exercise and equipment. For each area specific goals, objectives, implementation steps and metrics were described. The *FY 2003 Strategy* also embraced the concept of a national incident management system that defined a common terminology for all parties, provided a unified command structure, recommended standards and qualifications, and suggested scalable solutions to meet incidents of all sizes. This integration was a program milestone toward regional leveraging of pre-existing State, District, and local initiatives to create, for the first time, a cohesive regional identity.

Currently, the NCR is developing a comprehensive strategic plan that will complement the overall direction and newly defined National Preparedness Goals now set by the Department of Homeland Security (DHS). The revised strategic plan will also meet the standards prescribed by Homeland Security Presidential Directive 8 (HSPD 8).

Who is involved in developing the strategic plan?

Response: The strategic plan is being developed in a collaborative process with all of the Homeland Security Partners in the National Capital Region. This includes the senior leadership from Federal, state, local public sectors; regional authorities; and private sector (including not-for profit groups) from the NCR. To ensure the strategic plan has sufficient depth and breadth, the generation of the plan includes a thorough analysis of current initiatives – to set a baseline – against the four national goals. The layers of the NCR strategic plan include mapping the initiatives at five levels: (1) NCR strategic plan goals, (2) NCR strategic plan objectives, (3) HSPD-8 target capabilities list (TCL), (4) seven priorities of national preparedness, and (5) emergency management accreditation program (EMAP) standards. While this initial layering will include only UASI-funded activities, the final objective is to include other preparedness grants, state and local level programs, and other proposed initiatives across the region.

Is there a hard date set for release and implementation?

Response: The NCR expects to release the final version of the strategic plan in September 2005 in coordination with National Preparedness Month activities. This strategic plan coordinates and builds upon the efforts to date and set the course for the NCR. This plan is aligned with National Preparedness Goals to ensure the region is able to meet both national and regional priorities and goals.

To assist with the validation of the strategic plan, the SPG has aligned all current initiatives under the four national preparedness goals as a crucial step in establishing the foundation upon which the 2005 strategic plan will build.

Q: You noted in your written testimony that the governments of the NCR have not relied solely on homeland security grant funds, but have also used state and local dollars, and other grant

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funds to enhance coordination and preparedness. How does your office monitor these other funds to make sure you are strategically spending all grant funds in a coordinated, effective, and efficient manner?

Response: In order to provide for effective and cohesive oversight of Emergency Preparedness and Homeland Security activities, DHS requires that homeland security grants be coordinated through a single State Administrative Agent (SAA). When the program was initiated, the Governors of Virginia and Maryland and the Mayor of the District of Columbia jointly agreed that the District serve as the Administrative Agent for UASI grants awarded to the NCR. The reason was simple: this approach supports coordination of regional SAA services and to do otherwise would risk overlap or ineffective use of resources.

The Office of Domestic Preparedness is the DHS component responsible for UASI grant administration and oversight of these resources. This office in coordination with and conjunction to ODP act to provide enhanced funds oversight and coordination.

More importantly, this office is focused on the coordination of all resources and is actively involved in the construction and maturation of cross-jurisdictional process and decision teams involved in requirements development and resource allocation. This includes active coordination of government and private sector activities and efforts outside of the ODP funded efforts.

When will a comprehensive and searchable website be up and running?

Response: The region is currently developing a web site that will provide ongoing visibility to the NCR's UASI funded efforts and will include links to the authoritative sources for non-UASI funding information (e.g., Office of Domestic Preparedness). This first phase increasing availability of UASI funding and performance data will be augmented by the reporting of non-UASI funds in future phases. The region is exploring means though which the region's non-UASI funded efforts, such as SHSGP, HRSA, CDC, etc., can be more comprehensively presented by NCR.

The website to report regional homeland security efforts was released for internal review on 8/4, as planned. It is on schedule for its pilot release on or before 8/31/05 as part of a collaborative effort with the Metropolitan Washington Council of Governments (COG). Additional capabilities for collaboration, document sharing, and subscription services are expected in the future, along with enhancements to the search capabilities for the website.

Questions for the Record from Senator Daniel K. Akaka

1. Will non-Urban Area Security Initiative (UASI) funding be tracked through the NCR database in the future? If so, what is the time line for incorporating the UASI information?

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Response: Currently all responsible parties are tracking and reporting their performance per federal grant requirements. A key issue raised by the question of non-UASI efforts is the coordination and effective use of resources. The region is absolutely committed to the coordination of all resources and has constructed and is maturing cross-jurisdictional process and decision teams. Further, the NCR SAA will host a monthly meeting with the Maryland and Virginia SAA's to discuss what is currently being funded with other grant dollars for those jurisdictions within the NCR so that all funding can be coordinated.

The region is currently developing a web site that will provide ongoing visibility to the NCR's UASI funded efforts and will include links to the authoritative sources for non-UASI funding information (e.g., Office of Domestic Preparedness). This first phase increasing availability of UASI funding and performance data will be augmented by the reporting of non-UASI funds in future phases.

2. The NCR received an extension until December 2005 to spend the FY 03 UASI funding. Currently, the NCR must also spend its FY 04 funding by December. Will the Department of Homeland Security (DHS) will grant an extension on the FY 04 funding if necessary?

Response: NCR will be able to request an extension for the FY 04 grant funding approximately three months before the November 30, 2005 conclusion of the original grant funding term. At this time no funding extension has been requested. DHS has granted the NCR SAA an extension for the original FY 03 Part 1 and Part 2 funding terms.

3. In your written testimony you stated that you are using the Emergency Management Accreditation Program (EMAP) to assess gaps in the region's preparedness capabilities. How applicable will the EMAP assessment be to the standards set forth in the National Preparedness Goal, which DHS will soon require states and locals to comply with in order to receive grants?

Response: Two complementary efforts are in progress to gain a detailed understanding of the NCR's capabilities and requirements: (1) The Emergency Management Accreditation Program (EMAP) and National Preparedness Goal as outlined by Homeland Security Presidential Directive 8 (HSPD-8).

The National preparedness standards being developed by the DHS Office of State and Local Government Coordination and Preparedness (SLGCP) will identify target capability levels (e.g., personnel, planning, organization and leadership, equipment, training, and exercises) and task performance levels required to successfully address fifteen scenarios of major events.

The EMAP is the voluntary assessment and accreditation process for state and local government programs responsible for coordinating prevention, mitigation, preparedness, response, and recovery activities for disasters, whether natural or human-caused. Accreditation is based on compliance with collaboratively developed national standards for emergency preparedness (the EMAP Standard is

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based on the NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs, 2004).

The combined results from the EMAP assessment combined with the national preparedness standards will provide specific guidance in determining the region's homeland security needs and in allocating resources in 2006 and beyond. As we proceed into 2005 where the aforementioned assessments are being performed both regionally and jurisdictionally, performance measures and standards will be determined which will enable a more predictive and accurate method of defining regional needs. Significant policy issues will also be identified through regional analysis of infrastructure dependencies and interdependencies and the resources required for risk mitigation. These requirements will be prioritized in a coordinated regional strategic plan that establishes spending priorities for the NCR over the course of the next several fiscal years.

Will the NCR have to do another assessment?

Response: The planned regional assessments must be performed to identify changing area-wide capabilities. Assessment of the region's response capabilities will determine the level of alignment between the many different jurisdictions. The federal family, a vital part of insuring this region's protection and preparedness, must coordinate with other regional resources and should be part of that assessment. Key federal sector assessments should include: an inventory of federal response assets and their roles and responsibilities in the event of a terrorist incident; an analysis of the communications, interoperability, and preparedness of the federal sector; and an analysis of information sharing and mutual aid agreements across the NCR. The National Response Plan has laid the groundwork for these efforts, which will be fully coordinated with any performance assessments tied to the National Preparedness Goal.

4. After the May 11th evacuation, Capitol Police Chief Terry Gainer questioned whether or not the safest option was to evacuate 35,000 people from buildings. He suggested that it might make sense, in some circumstances, to keep people in their buildings rather than flooding the streets. What factors does DHS consider before recommending evacuation over sheltering in place?

Response: In the event of a situation, the local jurisdictions, not DHS, have responsibility for recommending appropriate protective measures – such as evacuation or shelter–in-place– to the public. Incident characteristics are taken into consideration before a recommendation is provided to the public. The executive branch seeks to coordinate its workforce release decision and notification process with other federal, state, and local government entities.

Part of the Citizen Education Campaign the NCR planned for launch in September launch is directing people to sources of information that will give them guidance about evacuating or sheltering in place should an event occur. The campaign also encourages citizens to make a plan and be prepared for either scenario.