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NOMINATION OF DENNIS R. SCHRADER

HEARING

BEFORE THE

COMMITTEE ON HOMELAND SECURITY AND GOVERNMENTAL AFFAIRS UNITED STATES SENATE

ONE HUNDRED TENTH CONGRESS

FIRST SESSION

NOMINATION OF DENNIS R. SCHRADER TO BE DEPUTY ADMINISTRATOR FOR NATIONAL PREPAREDNESS, FEDERAL EMERGENCY MANAGEMENT AGENCY, U.S. DEPARTMENT OF HOMELAND SECURITY

JULY 25, 2007

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NOMINATION OF DENNIS R. SCHRADER

WEDNESDAY, JULY 25, 2007

U.S. SENATE,
COMMITTEE ON HOMELAND SECURITY
AND GOVERNMENTAL AFFAIRS,
Washington, DC.

The Committee met, pursuant to notice, at 10:07 a.m., in Room SD–342, Dirksen Senate Office Building, Hon. Joseph I. Lieberman, Chairman of the Committee, presiding.

Present: Senators Lieberman, Pryor, and Collins.

OPENING STATEMENT OF SENATOR LIEBERMAN

Chairman LIEBERMAN. Good morning. The hearing will come to order. Thanks very much for being here.

Senator Cardin, if I may be blunt, do you have the time to sit through the opening statements by Senator Collins and me? Or would you like to make an introduction and then go on?

Senator CARDIN. Senator Lieberman, you are always so direct. I appreciate that.

[Laughter.]

I am supposed to preside at 10:30 a.m. I don't know how long your opening comments are——

Chairman LIEBERMAN. Go right ahead.

Senator CARDIN. I always enjoy hearing from you.

Chairman LIEBERMAN. If you want to do the introduction, go ahead.

TESTIMONY OF HON. BENJAMIN L. CARDIN, A U.S. SENATOR FROM THE STATE OF MARYLAND

Senator CARDIN. Well, thank you, Senator Lieberman and Senator Collins. I thank you very much for allowing me this opportunity to appear before the Committee on Homeland Security and Governmental Affairs.

It is a great honor to introduce to the Committee Dennis R. Schrader for the consideration of his nomination to be Deputy Administrator for National Preparedness of the Federal Emergency Management Agency within the U.S. Department of Homeland Security. Quite a mouthful, but an extremely important position.

It is really my pleasure to introduce to you Dennis Schrader. He is a person who was our first Secretary of Homeland Security in Maryland, appointed by Governor Ehrlich, and he had the confidence of our entire congressional delegation. He reached out to all of us and worked in a way that was in the best interests of the peo-

ple of Maryland. He put their interests first as the Secretary of Homeland Security.

We have regular briefings, and at these briefings, they gave us the chance to truly understand what was happening in Maryland and to coordinate our work in Maryland with what was happening nationally. And it was never partisan. It was always including all of us, and I congratulate him on his extraordinary leadership in setting up that agency in Maryland. I think it was one of the most efficient agencies in the country due to his extraordinary leadership.

I also want to introduce his wife, Sandy. Sandy and I have been colleagues. Sandy is a former State Senator, a great leader in her own right for the people of Howard County. So we get two for the price of one here, and they are a great duo.

Chairman LIEBERMAN. We have heard that line before.

[Laughter.]

Senator CARDIN. I thank the entire family because serving in public life is not easy and taking on this challenge will not be easy, and it is a real family commitment, and we thank the entire family for being willing to make this commitment to public service.

Let me just very briefly tell you a little bit about Dennis. He brings with him an extraordinary background of local, State, and Federal experience, and private sector experience. He is the former councilman in Howard County, so he understands local government, and I think that is an extremely important part of his responsibility in this new position, is to work closely with local officials so that we all work together on the same page on behalf of the people of our community.

He also brings a distinguished record in the U.S. Navy. He served in the U.S. Navy for 27 years. Served three active-duty tours, five tours in the U.S. Navy Reserve in assignments that included the Pentagon, Navy Bureau of Personnel, and the Defense Threat Reduction Agency. Captain Schrader earned four Navy commendation medals and three Navy achievement medals before retiring earlier this year, and we thank him for his service to our country.

I got to know Dennis best when he was—I call him our "workout specialist" for the University of Maryland. When I was Speaker of the State Legislature, Dennis was called upon to help us deal with the University of Maryland. At that time, it was a public hospital in terrible financial condition. Dennis used his extraordinary executive leadership to work out the problems of that hospital so that today the University of Maryland Medical Center is one of the great academic medical centers in our country. I must tell you, it just did not happen. It took an extraordinary game plan and talent, and he was part of the team that brought that about, and I thank him for that leadership, which I think will also help him as he deals with the challenges in FEMA and in Homeland Security and making it work in the best interests of the people of our country.

Mr. Chairman, I am proud to support the nomination of Dennis Schrader to be the Deputy Administrator for National Preparedness. I thank the Committee for giving me this opportunity to introduce to you a Marylander that we are very proud of and believe will continue to serve the people of our Nation.

Chairman LIEBERMAN. Thank you, Senator Cardin, for a very thoughtful and obviously sincere statement of support. And you are now free to do whatever you would like at this point, but I thank you.

Senator CARDIN. Thank you. With your permission, I will ask to be excused.

Chairman LIEBERMAN. Understood.

Senator CARDIN. Thank you very much.

[Prepared statement of Senator Cardin follows:]

PREPARED STATEMENT OF SENATOR CARDIN

Chairman Lieberman, Ranking Member Collins, Members of the Committee. Thank you very much for this opportunity to appear before the Committee on Homeland Security and Governmental Affairs.

It is my great honor and privilege to be here today to introduce Dennis R. Schrader for the consideration of his nomination to be Deputy Administrator for National Preparedness of the Federal Emergency Management Agency within the U.S. Department of Homeland Security.

Mr. Schrader has had a long and distinguished career serving the people of Maryland and Nation in the private sector, the military and at the local, state, and Federal levels of government. I have had the opportunity to work closely with Dennis over the years and it is my pleasure to welcome him to Capital Hill today.

I would also like to extend a warm welcome to Dennis' wife, Sandy. Sandy Schrader is another accomplished public servant, having represented the citizens of Howard County from 2002 to 2007 in the Maryland State Senate. Sandy, we are all glad you could be here today with Dennis

Dennis Scharder served in the U.S. Navy for 27 years. Dennis served three active-duty tours and five tours in the U.S. Navy Reserve in assignments that included the Pentagon, Navy Bureau of Personnel, and the Defense Threat Reduction Agency. Captain Schrader earned four Navy Commendation Medals and three Navy Achievement Medals before retiring earlier this year. We thank him for his honorable service.

Mr. Chairman, one of Dennis' greatest contributions to the State of Maryland, and to the medical community, was his leadership at the University of Maryland Medical System. In the mid-1980's, the University of Maryland Hospital was an aging facility with millions of dollars in annual losses.

As Speaker of the Maryland House of Delegates, I worked with my colleagues in the State to find a way to turn the troubled institution around. Dennis was a key member of the team that was assembled to transform the struggling public entity into a modern and financially successful private, non-profit organization.

Today, the University of Maryland Medical System is a nationally recognized center of excellence, with six hospitals, 10,000 employees, and a revenue base of over $1 billion. Dennis has a proven record of implementing organizational and programmatic innovation to turn around a foundering public agency.

Most recently, Dennis has served as the first Director of Homeland Security for the State of Maryland. As Director, Dennis applied his experience from the military, the private sector, and his elected service on the Howard County Council to create a modern, efficient agency capable of identifying and responding to the threat of foreign and domestic terrorism and natural disasters.

Dennis built on existing State functions and local initiatives and leveraged new resources and strategies to create a continuous, cost effective, and sustainable "Culture of Preparedness" in Maryland. In particular, as Director of the Governor's Office of Homeland Security, Dennis always made a concerted effort to reach out to the Maryland Congressional delegation as valued partners in bolstering the safety of our citizens. His efforts to reach out across levels of government—and across party lines—are a testament to his success in emergency management.

Mr. Chairman, I am proud to support the nomination of Dennis Schrader to be Deputy Administrator for National Preparedness. I thank the Committee for the opportunity to appear on behalf of such a dedicated public servant. Thank you very much.

Chairman LIEBERMAN. Thank you very much.

I appreciate very much the introduction by Senator Cardin, and I now formally welcome you, Mr. Schrader, to this hearing. The

Deputy Administrator for National Preparedness is a new position within FEMA, created by DHS, Department of Homeland Security, to implement part of the Post-Katrina Emergency Management Reform Act, which I am proud to say was authored by Senator Collins and me, and basically all the Members of this Committee. That legislation was the result of this Committee's 8-month investigation into why the response to Hurricane Katrina was so horribly botched at all levels of government and what needed to be done so that kind of deadly debacle will never be repeated.

In the aftermath of Hurricane Katrina, some called—and still do—for FEMA to be taken out of the Department of Homeland Security. I believed—and continue to believe—that would be a serious mistake because it would weaken FEMA, not strengthen the agency. Our legislation strengthened FEMA by making it a distinct entity within DHS, similar to the Coast Guard and Secret Service, but it also, I think, strengthened it by putting it together in the same Department with the various other agencies that are clearly part of the preparedness and response responsibility of our government and within DHS so that the whole really would be, and I think is becoming, greater than the sum of the parts. The Post-Katrina Reform Act was designed to ensure that FEMA became the hub of the Federal Government's efforts to prepare for and respond to disasters of all kinds, and it could best become that hub in DHS where the rest of those agencies are.

One of the most important parts of our efforts to remake FEMA into a world-class disaster response agency was to reunite preparedness and response capabilities within FEMA. We don't want to be in the position again where we are trying to build the kind of teamwork and logistical relief operations among all levels of government in the midst of the chaos that inevitably follows a disaster, as clearly happened in the days and even hours after Hurricane Katrina struck.

As part of implementing this requirement of the Act, the Department of Homeland Security created the National Preparedness Directorate to organize and oversee key parts of our national preparedness efforts, and the Secretary placed that directorate under the control of a newly created Deputy Administrator for National Preparedness, which, of course, is the position for which you, Mr. Schrader, have been nominated.

Along with making sure that preparedness is fully integrated into the new FEMA, another major responsibility of yours will be to oversee the disaster exercises and training programs that we clearly need to fix and make better. We saw that in the lead-up to Hurricane Katrina with Hurricane Pam, not being related and acted upon in a way to make the response to Hurricane Katrina better.

In our Hurricane Katrina investigation, we also found that some of FEMA's senior leadership lacked sufficient emergency management and homeland security experience needed to effectively do their jobs. So we made it a requirement of the Post-Katrina Management Act that people who are put in high positions have the required experience, the relevant experience. And I note with real satisfaction, as Senator Cardin's introduction made clear, that you,

Mr. Schrader, have very relevant qualifications and experience that will clearly be an asset to you if you are confirmed.

Mr. Schrader, the responsibilities of the position for which you have been nominated are critical to our homeland security, and your ability to carry them out will make sure that we will never again have to ask the question that we asked in our Post-Katrina hearings, which is: "Why weren't we prepared?"

Senator Collins.

OPENING STATEMENT OF SENATOR COLLINS

Senator COLLINS. Thank you, Mr. Chairman, and welcome, Mr. Schrader.

The FEMA Reform Act written by this Committee—and signed into law last year—reunited the preparedness and response functions of a strengthened FEMA within the Department of Homeland Security. As the Chairman has indicated, the Deputy Administrator for National Preparedness is a new position created by that reform Act, and it will play a critical role in meeting the challenges that are set forth in the reform bill.

The need for this reunification, for this strengthening, and for this position was made clear by our investigation into the flawed preparation for and response to Hurricane Katrina. And, thus, the responsibilities of the position for which Mr. Schrader has been nominated are extensive. They include policy development, contingency planning, exercise coordination and evaluation, emergency management training and hazard mitigation, to name but a few. Beyond the specifics of a job description, the Deputy Administrator for National Preparedness must be a builder—a builder of a new FEMA as an integral part of DHS, a builder of a new culture of all-hazard preparedness across all levels of government, and, above all, a builder of a restored faith within the American people in government's ability to meet its fundamental obligation of protecting our citizens.

Mr. Schrader brings significant experience and expertise to this great challenge. As has been mentioned, as Director of Maryland's Office of Homeland Security, he worked to develop a regional vision for homeland security—that has been an issue that the Chairman and I have long pushed of having a more regional approach and, thus, stronger regional offices, for example. He also was responsible for implementing accountable and measurable program oversight for all homeland security dollars coming to his State. And he helped establish the Maryland Coordination and Analysis Center. His service on the U.S. Attorney's Office Anti-Terrorism Advisory Council and as the Chairman of the Public Safety Communications Interoperability Governance Work Group bears directly upon two issues that have long been at the top of this Committee's agenda.

No aspect of our Post-Katrina legislation has stirred more debate and more disagreement than our intention, our commitment to keep a strengthened FEMA within the Department of Homeland Security. In the end, our proposal prevailed because it is clear that the challenges of the 21st Century require a single agency to plan, coordinate, and integrate homeland security and disaster operations. DHS is that agency and FEMA is its core.

But passing legislation is only one hurdle. The real challenge comes in its implementation, in creating a vigorous, coordinated, and accountable national emergency management network. I commend Mr. Schrader for his willingness to accept that challenge. I look forward to our discussion today.

Finally, Mr. Chairman, let me note that I have a staff member, my deputy chief of staff, Mary Beth Carozza, who worked very closely with Mr. Schrader in his position in Maryland. She personally vouches for him, and I look forward to questioning him today.

Chairman LIEBERMAN. Thanks, Senator Collins. That is high praise.

Senator Pryor, if you would like to make an opening statement, you are welcome.

Senator PRYOR. Thank you, Mr. Chairman, but I do not have one. Thank you.

Chairman LIEBERMAN. Thank you.

I will now do the formal introduction. Dennis Schrader has filed responses to a biographical and financial questionnaire, answered pre-hearing questions submitted by the Committee, and had his financial statements reviewed by the Office of Government Ethics. Without objection, this information will be made part of the hearing record, with the exception of the financial data, which, according to Committee custom, are on file and available for public inspection in the Committee offices.

Our Committee rules require that all witnesses at nomination hearings give their testimony under oath, so, Mr. Schrader, I would ask you to please stand and raise your right hand. Do you swear that the testimony you are about to give to the Committee will be the truth, the whole truth, and nothing but the truth, so help you, God?

Mr. SCHRADER. I do.

Chairman LIEBERMAN. Thank you, and please be seated.

Mr. Schrader, I now welcome your opening statement and invite you to introduce at your pleasure the significant number of family members you have with you.

TESTIMONY OF DENNIS R. SCHRADER,[1] TO BE DEPUTY ADMINISTRATOR FOR NATIONAL PREPAREDNESS, FEDERAL EMERGENCY MANAGEMENT AGENCY, U.S. DEPARTMENT OF HOMELAND SECURITY

Mr. SCHRADER. Yes, Mr. Chairman. Let me start by introducing family members: My wife, Sandra, who Senator Cardin referred to; my daughter, Whitney; my brother, Rick, who I grew up with in Buffalo; my aunt Marguerite Collesano, who came from Buffalo; and my cousin, her daughter, Jennifer Adams. I thank them for being here today. Thank you. As well as many other friends.

Chairman LIEBERMAN. Thank you. We welcome you. I did not realize you are from Buffalo. That inherently means you are from strong stock.

Mr. SCHRADER. Yes, sir.

[Laughter.]

Went through a lot of snowstorms.

[1] The prepared statement of Mr. Schrader appears in the Appendix on page 17.

Good morning, Mr. Chairman, Senator Collins, and Members of the Committee. My name is Dennis Schrader. I would like to start by thanking Senator Cardin for his kind introduction. It was a privilege working with him as then-Congressman Cardin during my tenure as the State Homeland Security Advisor. I am here today as the nominee for Deputy Administrator for National Preparedness at the Federal Emergency Management Agency, a critical role that this Committee envisioned as part of the Post-Katrina Emergency Reform Act of 2006.

I am very honored by the President's nomination and glad to be here today to address your questions as you consider my nomination. It is a great privilege to be considered for this position and to perhaps have a role in furthering our Nation's readiness at this important moment in our history.

In preparing for this hearing, I had an opportunity to not only reflect on the past 30 years of my career, but also to consider how much I relied on my family's support and patience during those years. My wife, Sandy, and my daughter, Whitney, who I have just introduced, are here with me today, and I would like to thank them for their support. The life of a public servant, as you know, can mean long hours and much time away from the home. And Sandy and Whitney have endured that with both grace and understanding.

In addition, I also owe much to my parents, whose character and selflessness set such a sterling example for me during those years I was growing up in Buffalo, New York. Whether it was my father working two jobs at a time or my mother working part-time in addition to her household responsibilities, they instilled in me a sense of civic responsibility that I carry with me today.

If confirmed as the Deputy Administrator for the National Preparedness Directorate, I would address the concerns of many State and local officials, private sector companies, and individual citizens who play key roles in our national preparedness. I would advocate an approach that expects the unexpected. The task at hand requires superior planning, excellence in training and exercises, and an ongoing assessment process that measures improvement.

I have had the benefit of being coached and mentored by a variety of outstanding individuals throughout my career. Just a couple of examples: Rear Admiral Fred Kelly inspired me to work toward my professional engineer's license, and Captain James Kovalcik showed me how to think outside the box to solve tough government contracting problems. The breadth of their knowledge and depth of their character have been an inspiration to me throughout my career, and I am grateful to them.

During my 7 years on active duty in the Navy, I saw firsthand the importance of large-scale contingency planning, both on a national and international basis. In 1980, I found myself on the isolated island of Diego Garcia in the Indian Ocean with the "Can Do" Seabees. There I learned the value of readiness when you are so far removed from basic medical services we take for granted.

In 1981, I learned about and prepared for the risk of tsunamis and typhoons on the Pacific Island of Guam.

From 1982 to 1984, I contributed to the forward-based construction in Sicily and was sobered by the terrorist attack on our Marine barracks in Lebanon just a few hundred miles away.

Finally, during my time at Bethesda Naval Hospital in 1985, I routinely exercised with the Presidential Treatment Unit, only to suddenly have to press it into service on a Friday evening in July that year for President Reagan.

After returning to the private sector in 1987, I spent 16 years working with health professionals who came to work every day with the mission of saving people's lives. When lives are on the line, you work as a team where everyone expects you to be preparing and improving your skills and systems on a daily basis. Health care is a logistics and equipment-intensive business which often encounters the unexpected. For example, in the early 1990s, a major neighborhood substation exploded, and we operated the medical center on emergency power for 3 days while the transformer was replaced. In 1999, we spent $35 million preparing for Y2K and enjoyed the evening of December 31 in the command center while the uneventful New Year passed.

On two occasions, we came close to evacuating patients, but in each case our organizational preparation saved the day.

In 2002, we used the Emergency Management Institute training courses to design a full-scale field exercise that tested our incident command system for a WMD event. It was a major wake-up call for our team. That training we received from EMI highlighted the importance of the common citizen's role in the culture of preparedness. Many of our citizens volunteer every day. I personally served 19 years in the Naval Reserve, and our citizens want to contribute, and we must welcome their participation. We have got to make it easy for them. If confirmed, I hope to build upon the good work being done at both the Citizen Corps and Ready programs.

In our national preparedness efforts at the Federal level, we have to engage our State and local partners who provide the core public safety and public health capability across this country. In 1997, I recall as a county council member voting for over $30 million in bonds to replace our county radio system and observed how expensive these systems can be for local government. We owe a great deal to the Nation's thousands of local elected officials and their teams, and I look forward to working closely with them in the future.

Since September 11, 2001, the Nation has been mobilized to meet the challenge at hand. In the past 4 years as a State official, I managed the State's response to numerous local events, including Hurricane Isabel, an I–95 tanker fire, a threat to our harbor tunnels in Baltimore, as well as coordinating the State's assistance during the response to Hurricane Katrina. The public demands and deserves our best efforts. We continuously challenged ourselves to be better as we reached out to our neighboring States and local jurisdictions. I cannot emphasize enough the importance of collaboration to foster a regional approach.

In closing, the Congress has set the preparedness bar very high for FEMA, DHS, and the Nation. I would welcome the opportunity to meet that challenge and respectfully ask this Committee to con-

firm my nomination to lead the Preparedness Directorate at FEMA.

I thank you, Mr. Chairman, for the opportunity to appear before you, and I would be happy to answer any questions you may have.

Chairman LIEBERMAN. Thanks very much, Mr. Schrader. That was a very strong and encouraging statement.

I must tell you, I would imagine Senator Collins feels the same thing I do. There is a lot of frustration in Congress these days for all of us, but when you are involved in this Committee, as this Committee was, in the investigation Post-Katrina, when you are able to work with your colleagues to adopt legislation and to try to drive a reorganization of FEMA and DHS that makes them more effective in protecting the American people, when the Department creates a position such as yours and then fills it with somebody so eminently qualified, it is very satisfying to see it happen. Now, you have got to do the work, but I think you are an excellent choice.

One of the key aspects of the Post-Katrina Act was obviously to put preparedness back in FEMA, reuniting it with response. If you are confirmed, you will have very important responsibilities for fully integrating preparedness into FEMA, and I want to ask you to talk for a moment about some of the measures you would plan to take to ensure that preparedness is fully and successfully integrated back into FEMA.

Mr. SCHRADER. Well, by starting, sir, I think the first step is making sure that we have the very best possible career leadership at the agency, and I think the first responsibility that I would have, if confirmed, is to make sure the key leadership roles in FEMA are filled with quality people. But we also need to make sure, while we are doing that, we have diversity. We need to have a mix of different folks particularly that know how to reach out to different areas. As you said, DHS offers a tremendous resource to the agency, and the integration of that will require folks who can work in a matrix leadership style reaching out to other folks.

For example, within DHS they have set up—and I experienced this as a State official, working with the information analysis people. Mr. Allen's group is very good. We worked with them. So we need to be able to reach in and collaborate with folks, as well as across, interagency, because FEMA will be required to lead the effort to pull together, folks from the Health Department, HHS, and the Department of Justice. So it really is a frame of mind in terms of how you approach leading.

Chairman LIEBERMAN. I thank you for that answer.

One of the additions that the new legislation makes is to require the development of a comprehensive assessment program for how the grants that we all support and are trying to increase from the Federal Government to State, locals, and first responders are actually being used.

As part of this position, Deputy Administrator for National Preparedness, you will have a responsibility for implementing a comprehensive assessment program so that taxpayers and Members of Congress know how the money we are sending is being spent.

Given the inherent difficulties, which I know you are aware of, having had the experience you have, in defining whether a given State or locality is well prepared for a disaster or a catastrophe like

Hurricane Katrina, how will you go about trying to measure this as the law requires?

Mr. SCHRADER. Yes, sir, Mr. Chairman. Let me start by saying that the first thing that Governor Ehrlich told me when we got started was that he wanted me to stay on top of all the money coming into the State, and it took a while to pull all that data together, but over 5 fiscal years, we realized that we had over $438 million coming into the State. We set up project management functions to oversee all that, and what I learned and I realized at the Federal level is there are two things that are critical. One, we need to have the regional offices at FEMA, which have the relationships with the States, be more engaged in that process. And now through the wisdom of this Committee, that has been made possible, that would be something that would need to be done.

Second, we need to support the States in what I call program management. We have to begin to have an expectation, and that has started. The last two grant cycles required that the States create program management functions. But I think we need to engage in that process and make sure that there are projects that are being implemented.

At the State level, we did that. We had regular briefings with all of the agencies involved in putting projects together, and we tracked those projects, and we made sure that the money was being invested effectively. And I think that is the kind of thing we have to do nationally, but we have to do it through the regional offices. We cannot manage it out of Washington.

Chairman LIEBERMAN. I appreciate that, and I particularly appreciate the emphasis of the regional offices. But what would you see the regional offices doing to assess the preparedness of State and local agencies?

Mr. SCHRADER. Two things, and I use the term "crawl, walk, run."

Chairman LIEBERMAN. Right.

Mr. SCHRADER. Because in building the relationship with the State, we do not want to play "gotcha" with the States. We want to begin the assessment process so that we get accustomed to working with each other. I think we need to stay focused on the eight national priorities. Over the last several grant cycles, we have made it very clear that there are eight priorities, things like implementing the National Incident Management System, the National Response Plan, like the Interoperability Program, just to name a few.

We should focus on those eight priorities and begin to make sure that there are assessment measures. For example, we have already been assessing interoperability at the State level. We ought to take those measures and use them and then begin to orient the States to the fact that we are going to be assessing performance. So crawl, walk, run would be, I think, the most appropriate because we have to build that trust relationship.

Chairman LIEBERMAN. Good answer. Sensible answer. I have got a little more time, but I am going to use it to ask you some of the standard questions that we ask all nominees.

First, is there anything you are aware of in your background that might present a conflict of interest with the duties of the office to which you have been nominated?

Mr. SCHRADER. No, sir.

Chairman LIEBERMAN. Do you know of anything, personal or otherwise, that would in any way prevent you from fully and honorably discharging the responsibilities of the office to which you have been nominated?

Mr. SCHRADER. No, sir.

Chairman LIEBERMAN. Finally, do you agree without reservation to respond to any reasonable summons to appear and testify before any duly constituted Committee of Congress if you are confirmed?

Mr. SCHRADER. Yes, sir.

Chairman LIEBERMAN. Thank you very much. Senator Collins.

Senator COLLINS. Thank you, Mr. Chairman.

Mr. Schrader, I want to pick up on the discussion on interoperability. This afternoon, the Chairman and I will be offering an amendment to the homeland security appropriations bill to designate some funding for interoperability programs in the States and the regions. This is something that both of us have been working on for a very long time. It was disheartening in the aftermath of Hurricane Katrina to hear the same kinds of interoperability problems that hampered the response on September 11, 2001. They were still there in Hurricane Katrina.

You have served on Maryland's Interoperability Council. Give us your thoughts, please, on where we should be going with interoperability, your assessment of the efforts of States, and how can we encourage a more regional approach? Maryland is probably more sensitive to that than most States because you have to work with Virginia and Washington, DC.

Mr. SCHRADER. Right.

Senator COLLINS. But give us your thoughts on that challenge.

Mr. SCHRADER. Yes, Senator. Let me start by saying that the first thing that we did in Maryland is to establish a governance process under Governor Ehrlich's leadership that brought together all the counties and local jurisdictions and the State enterprise, and we met every month for many months, and we developed a master plan for the State. That is the first thing. And this was predicated on a study, a seminal document that was produced about 4 years ago called "Why Can't We Talk?" And it was a national consensus document that had five issues, and they said if a State is going to do interoperability, they need to pay attention to governance, there needs to be coordinated planning, you need to have focus on budgets and projects, and you are going to in some cases have to invest and replace some equipment.

So at the State level, it is within the States' purview to organize this governance process and have a master plan. I think those are absolutely critical.

I will give you one example about the regional part of it because one of the things I am very proud of, in the Midatlantic States, we had organized a 501(c)(3) organization called the "All Hazards Consortium," and in the last grant cycle, in 2006, we got West Virginia, Pennsylvania, Maryland, and Virginia together, and we put in a proposal for a quad-State interoperability project.

When we did that, we signaled the staff at DHS that we were going to do it. When it came to the review process, they did not have the mechanisms to be able to deal with it. However, to their credit, we had a closed-door meeting with them subsequent to that and said, you guys need to fix this, and to their credit they did. And my understanding is that this year in the grant guidance, it was put in there, and there were over 150 regional projects submitted by the States.

We are really proud of the fact that Maryland initiated that because the people in western Maryland said to us, look, it is great that you are working in Baltimore and Washington, DC, but it is more important to us what the county in West Virginia to the south of us and the county in Pennsylvania to the north of us think because there is only 10 miles separating us. We need more of that kind of thinking, and we need to encourage it.

Senator COLLINS. Thank you.

I want to ask you about the status of the revisions to the National Response Plan. As you are well aware, this is the document which all emergency managers—State, local, and Federal—take their cues from on how to respond to a disaster. Many of the witnesses who testified before us during our investigation said that the emergency response to Hurricane Katrina was so poor in part because the original National Response Plan had only been issued just shortly before Hurricane Katrina struck and, thus, first responders and emergency managers had little time to absorb its changes, to be really familiar with the document.

Now, DHS is in the process of a second round of changes to the National Response Plan to incorporate the lessons of Hurricane Katrina. But the problem is DHS was supposed to have completed that task and issued the revised plan in June. We are now well into hurricane season.

What assurances will you give us that you will make completing this plan, the revisions, a priority?

Mr. SCHRADER. Well, one is that I have not been privy to the internal details of what has been going on in the Department as far as the development of the revisions. But I will say, coming from a State perspective, when I received the original document, it was 400 pages long, and you can imagine sitting in a State Governor's office with a handful of people getting a 400-page document. My initial thoughts were, it was too long, it was too Federal centric, and it did not lay out roles and responsibilities that could be easily understood from a State because all incidents start at the State and local level.

So my sense was that the National Response Plan should really be more organized around what happens on the front end at the State and local level and then expands from there.

I have made these comments to leadership at DHS and FEMA, and I have been assured that is the approach that is being taken in this revision.

Having said that, if I am confirmed, this would be at the very top of the list, getting this plan out there, because, quite frankly, in its original form it really was not a plan, per se.

The second thing I would also mention is that what we really need to do is we need to modernize the planning system nationally.

We need to build on that guidance that comes out of the Federal Government and work through the regions with our State and local governments to better put together real operational plans, very similar to what has been done in the last 40 or 50 years within the Department of Defense. There is a well-worn path along those lines.

So it is not just reissuing the plan. It is really moving to the next step and making it even better. And I think the National Plan Review was an excellent initiative, and I felt, as a State advisor when that came through, that was really a very positive step forward toward engaged partnership. But we need to do a lot more.

Senator COLLINS. Thank you.

Chairman LIEBERMAN. Thanks, Senator Collins.

Senator Pryor, I am delighted you are here. I would say to Mr. Schrader, and maybe others, Senator Pryor is the Chairman of our Subcommittee on State, Local, and Private Sector Preparedness and Integration, so he is directly interested in your area of responsibility, if confirmed.

Senator Pryor.

OPENING STATEMENT OF SENATOR PRYOR

Senator PRYOR. Thank you, Mr. Chairman. And as part of that work, we had a hearing in the Subcommittee on June 21 where we talked about the fact that 85 percent of our Nation's critical infrastructure is owned by the private sector. And your soon-to-be colleague, Marko Bourne, stated the other day that FEMA does not have a private sector outreach office or any office that provides a direct line of communication between FEMA and the private sector.

So the first question for you is: Do you plan to create some sort of official line of communication, whether it be an office or a process through your office?

Mr. SCHRADER. Well, Senator, let me first start by saying that I spent 9 years at General Motors early in my career and also 16 years in a private sector hospital. Having been in that hospital on September 11, 2001, trying to get ahold of the FBI and figure out what was going on was very difficult.

That has changed dramatically, but a lot more needs to be done. We need to make it easier for the private sector to participate.

In the process of being briefed, I have had an opportunity to be briefed by Martinez Fonz's office and him personally on the work they are doing. I think this is an example of where FEMA and DHS can collaborate. What we need to do is—and this is what we did in the State of Maryland also. The governor gave me nine people, and we ran the entire State enterprise with nine people. But the trick to it was we had key people in 14 agencies and offices, as well as partnerships with the Federal local offices like the FBI. We did not have to own everything ourselves inside the office. It was the relationship building and the task of organizing that got it all done—and we got a lot of work done.

I will also say we had a private sector outreach program in Maryland which was very effective, and we did it through the critical infrastructure program because, as you said, 85 percent is owned—my philosophy, working on behalf of the governor, was

that you cannot have a critical infrastructure program without working with the private sector.

We had an exercise, for example, where we tested interdependencies and created interdependencies awareness. We had 200 people there. Over 100 of the folks represented in the room were from the private sector through the relationships we had built.

So it can be done, but it is a cultural issue, and it really requires an orientation to the private sector that I would bring.

Senator PRYOR. You mentioned that we need to do those things. Is it your intention, assuming you are confirmed, to come up with a concrete plan to try to implement them? It sounds like you have private sector experience and State experience. Is it your goal to bring that experience to the Federal level?

Mr. SCHRADER. Absolutely. There is no question, if I am confirmed, that would be my intention. I would also mention what I have found to be the barriers in government. Oftentimes the perception is that, well, when private sector people approach government, their only intention is, A, to sell something or, B, there is a concern about I do not want to violate the procurement laws. And what we had to do in Maryland—and I am sure there will be similar challenges in the Federal sector—is to get staff comfortable with the idea of partnering with the private sector because you are talking about different cultures, but it can work. The private sector has enormous resources to bring to bear, but it has to be preplanned. And those relationships have to be established up front.

Senator PRYOR. I think that is critical myself.

When you look at what FEMA does, obviously terrorism is a focus, and it should be. But there are many more natural disasters than there are terrorist events, and the bread and butter of FEMA is to be prepared to respond to the natural disasters. From your standpoint, is there a difference in planning for a natural disaster versus planning for a terrorist event? Or does it require the same preparation?

Mr. SCHRADER. I would say that the process of preparation is the same, but the people that you have to bring together are slightly different, and let me give you an example.

We had a tanker explode on I–95, which backed traffic all the way down through Virginia toward Norfolk. So there is a lot of coordination that goes on in that I–95 corridor. That turned out to be not a terrorist incident, but on the front end, there is an investigation that has to go on very rapidly to determine if it is or it is not.

We had built the relationships through our Joint Terrorism Task Force where we had the Coordination and Analysis Center working very closely with the State Emergency Operations Center, and I am not going to tell you it was perfect. There was always a little bit of friction. But we made it work. And what we found is that back-and-forth communication on a real-time basis allowed us to very quickly determine it was not a terrorist incident, and then very quickly a unified command was set up.

So the bottom line is it worked in that case. If it had been a chlorine tank that was exploded by a terrorist, the process would have been exactly the same. I would argue that what we need to do are

more real-time incident analyses to improve our processes and more functional drills rather than so many—what I have found in my experience is there is far too much emphasis on doing full-scale exercises for the media and the cameras with very long documents that have lessons learned that sit on a shelf, instead of doing more critical analysis of what are the key issues.

So I would argue that the process is very similar, but the people are going to vary in the process.

Senator PRYOR. You mentioned in your prepared statement that it is important to enhance multi-State partnerships. How do you plan on enhancing those? And how do those partnerships play a role in national preparedness?

Mr. SCHRADER. Well, let me start by saying two things. One is I very much believe that there need to be in every region of the country multi-State alliances. There is one in the Pacific Northwest that is very mature that I have become aware of and talked to those folks. The Northeast has begun to evolve. The Southeast part of the country has some structure in place that is evolving. And, of course, in the Midatlantic, we had a very robust group that we put together.

The reason that becomes so important is we have to have a mechanism for the States to collaborate State to State. They are never going to accept the Federal Government imposing their will as almost a superior. What we need is a partnership, and when the States can—what I found in the Midatlantic, when we as the States were able to collaborate together in our 501(c)(3), we then went to Region III and were able to work as full partners.

The second thing we need to do is we really need to grow the capability in the regions for program management and to put the right kind of people there that are leaning forward. They have to also be oriented to move not just from natural disasters but also to reach out and work with the Department of Justice and the FBI.

One last thing I would mention is there are tremendous regional resources in the Federal Government if one is oriented toward collaboration. We found, for example, our U.S. Attorney was an invaluable resource in the State of Maryland, and we leaned on them, and they provided us tremendous support. The same thing with the FBI. The FBI gave us space to work out of. They provided computer systems. We just had to be willing to work together. And so we need to promote this collaboration, not only between agencies but between the States and local jurisdictions.

Senator PRYOR. Thank you.

Chairman LIEBERMAN. Thanks very much, Senator Pryor.

Mr. Schrader, thanks for your testimony and your willingness to serve. I must say I am very impressed by your record that you bring with you to this position, your military service, your service in the nonprofit sector and in the public sector. It is really quite extraordinary. And I am impressed by the way you handle yourself. So I think the President has made an excellent decision here, and I know I do not have to say this, but I think your family has a lot to be proud of. They probably know that already.

I would say that, without objection, the record is going to be kept open until 12 noon tomorrow for the submission of any written questions or statements for the record.

The Committee's next markup is next Wednesday, August 1. It is my intention to bring your nomination before the Committee at that time. I hope we can get it out and, with a little luck and help, through the Senate before we recess for August so that you can be officially in place.

Senator Collins, would you like to add anything?

Senator COLLINS. Thank you, Mr. Chairman. I really think you summed it up well. I have a few more questions that I am going to submit for the record, but I think based on the careful review the Committee has done of this nominee that he is clearly very well qualified for this important position. And I share your pleasure that the Administration has nominated someone who really fits what we had in mind when we created this new position as part of the FEMA reform act last year.

So I join you in supporting the nominee, and I appreciate your expeditious consideration.

Chairman LIEBERMAN. Thanks, Senator Collins. Thank you again.

Mr. SCHRADER. Thank you, Mr. Chairman, Senator Collins.

Chairman LIEBERMAN. The hearing is adjourned.

[Whereupon, at 10:54 a.m., the Committee was adjourned.]

APPENDIX

Testimony
Dennis R. Schrader, Nominee
Deputy Administrator, National Preparedness Directorate/FEMA
United States Senate
Committee on Homeland Security and Governmental Affairs

July 25, 2007, 10:00 a.m., 342 Dirksen Senate Office Building

Good morning Mr. Chairman, Senator Collins, and Members of the Committee. My name is Dennis Schrader. I'd like to start by thanking Senator Cardin for that very kind introduction. It was a privilege working with him in Maryland as then Congressman Cardin during my tenure as State Homeland Security Advisor.

I'm here today as the nominee for Deputy Administrator for National Preparedness at the Federal Emergency Management Agency (FEMA), a critical role that this Committee envisioned as part of the Post Katrina Emergency Reform Act of 2006. I am very honored by the President's nomination and glad to be here today to address your questions as you consider my nomination. It is a great privilege to be considered for this position and to perhaps have a role in furthering our Nation's readiness at this important moment in history.

In preparing for this hearing, I had an opportunity to not only reflect on the past thirty years of my career but also to consider how much I have relied on my family's support and patience during those years. My wife Sandy and daughter Whitney are here with me today along with other members of my family and I'd like to thank them for their support. The life of a public servant can mean long hours and much time away from home, and Sandy and Whitney have endured that with both grace and understanding. In addition, I owe so much to my parents whose character and selflessness set such a sterling example for me during those years I was growing up in Buffalo, New York.

Whether it was my father working two jobs at a time or my mother working part time in addition to her household responsibilities, they instilled in me a sense of civic responsibility that I still carry with me today.

If confirmed as the Deputy Administrator for the National Preparedness Directorate, I would address the concerns of many State and local officials, private sector companies, and individual citizens who play key roles in our Nation's preparedness. I would advocate an approach that expects the unexpected. The task at hand requires superior planning, excellence in training and exercises, and an ongoing assessment process that measures improvement.

I have had the benefit of being coached and mentored by a variety of outstanding individuals throughout my career. For example, Rear Admiral Fred Kelly inspired me to work towards my professional engineer's license and Commander James Kovalcik showed me how to think outside the box to solve tough government contracting problems. The breadth of their knowledge and depth of their character have been an inspiration to me throughout my career, and I am grateful to them.

During my seven years on active duty in the United States Navy, I saw first hand the importance and necessity of large scale contingency planning, for both national and international efforts. In 1980, I found myself on the isolated island of Diego Garcia in the Indian Ocean with the Can Do SEABEES. There I learned the value of readiness when you are so far removed from the basic medical services we take for granted. In 1981, I learned about, and prepared for, the risk of tsunamis and typhoons on the Pacific island of Guam. From 1982 to 1984, I contributed to the forward base construction in Sicily and was sobered by the terrorist attack on our Marine barracks in Lebanon.

Finally, in my time at the Bethesda Naval Hospital in 1985, I routinely exercised with the Presidential Treatment Unit, only to suddenly have to press it into service on a Friday evening in July that year for President Reagan.

After returning to the private sector in 1987, I spent sixteen years working with health professionals who came to work everyday with the mission of saving people's lives. When lives are on the line, you work as a team where everyone expects you to be preparing and improving your skills and systems daily. Health care is a logistics- and equipment-intensive business, which often encounters the unexpected.

In the early 1990s, a major neighborhood substation exploded and we operated the University of Maryland Medical Center on emergency power for three days while the transformer was replaced. In 1999, we spent $35 million preparing for Y2K and enjoyed the evening of December 31st in the Command Center while the uneventful New Year passed. On two occasions we came close to evacuating patients. In each case our organizational preparation saved the day. In 2002, we used the Emergency Management Institute (EMI) training courses to design a Medical Center full-scale field exercise that tested our Incident Command System for a WMD event. It was a major wakeup call for our team.

That training that we received at EMI highlighted the importance of the common citizen's role in the culture of preparedness. Many of our citizens volunteer every day across this Nation. I personally served nineteen years in the Naval Reserve including tours at the Pentagon, the Bureau of Personnel, and the Defense Threat Reduction Agency. Our citizens want to contribute and we must welcome their participation. If

confirmed, I hope to build upon the good work being done at both the Citizen Corps and Ready Programs.

In our national preparedness efforts at the Federal level, we will have to engage our State and local partners who provide the core public safety and public health capability across this country. In 1997, as a county council member I voted for over $30 million in bonds to replace our county radio system and observed how expensive these systems can be for local government. We owe a great deal to the Nations' thousands of local elected officials and their teams and I look forward to working closely with them in the future.

Since 9/11, the Nation has been mobilized to meet the challenge at hand. In the past four years as a State official I managed the State's response to numerous local events including Hurricane Isabel, an I-95 tanker fire, and a threat to our harbor tunnels in Baltimore, as well as coordinating the State's assistance during the response to Hurricane Katrina. The public demands and deserves our best efforts. We continuously challenged ourselves to be better as we reached out to our neighboring states and local jurisdictions. I cannot emphasize enough the importance of collaboration to foster a regional approach.

In closing, the Congress has set the preparedness bar very high for FEMA, DHS, and the Nation. I would welcome the opportunity to meet that challenge and respectfully ask this committee to confirm my nomination to lead the Preparedness Directorate at FEMA. I want to thank you Mr. Chairman for the opportunity to appear before you, and I would be happy to answer any questions you may have.

REDACTED

BIOGRAPHICAL AND FINANCIAL INFORMATION REQUESTED OF NOMINEES

A. BIOGRAPHICAL INFORMATION

1. **Name:** Dennis Richard Schrader

2. **Position to which nominated:** Deputy Administrator for National Preparedness, Federal Emergency Management Agency (FEMA) at the Department of Homeland Security (DHS).

3. **Date of nomination:** 16 April 2007

4. **Address:**

5. **Date and place of birth:** February 3, 1953, Buffalo, NY

6. **Marital status:** Married, Sandra Calloway Bienias Schrader

7. **Names and ages of children:** Whitney Elizabeth Schrader - 20

8. **Education**:

1971 - 1976	General Motors Institute	Flint, MI
BIE Industrial Engineering		
1976-1979	SUNY at Buffalo	Buffalo, NY
MSIE Industrial Engineering		

9. Employment record:

Consultant	Columbia, MD	Feb 2007-Present
State of Maryland Homeland Security Director for Governor Ehrlich	Annapolis, MD	July 2003- Jan 2007
County Council, Howard County, MD Citizen legislator		1994-1998
University of Maryland Medical System Corp. Baltimore, MD Vice President (1996 - 2003) Director of Operations (1987-1996)		1987-2003
Captain, Civil Engineer Corps, United States Navy (Retired) Served 5 Reserve tours in assignments which included the Pentagon, Bureau of Personnel, and DTRA. Served 3 active duty tours.		1980-2006 (1980-1987)

General Motors Corporation, Chevrolet Division, Buffalo,NY 1971-1980
Manufacturing management positions in quality control, inspection, production, materials management and co-op student

The Buffalo Club, Buffalo, NY 1969-1971
Kitchen assistant, sandwich clerk, busboy

10. Government experience:

Howard County Solid Waste Committee Nov. 1991- Feb. 1993

Modular Emergency Medical System Concept Development
Nunn-Lugar-Domenici Homeland Defense Program (BWIRP), SBCCOM,
Aberdeen Proving Grounds, (Frank Church, Jr.) 30-31 January 2001

11. Business relationships:

Columbia Housing Corporation: Board member, Columbia, MD
1989-1994
Council for Economic and Business Opportunity: Board member, Baltimore, MD
1990-1993, Board Chair 1999-2003

12. Memberships:

- Sigma Chi Fraternity, Life member
- Council for Economic and Business Opportunity(1990-2003), Board Chair 1999-2003
- Order of Sons of Italy in America (1992-Present), Howard County Treasurer 1999-2002
- St. Francis Roman Catholic Church, Fulton Maryland, (1991-Present),Various committees
- Howard County Republican Club 1987-present
- NAACP, Life member Howard County chapter, 1992-present
- Naval Reserve Association, 1990-present
- CEC-Seabee Historical Foundation, 1995-present
- Seabee Memorial Scholarship Fund 1998-2002, Fundraising VP, 1999-2001
- Columbia Association, Columbia, MD1987-2002
- American Automobile Association
- American Legion, Post 300 Maryland, 2001-present
- Columbia Housing Corporation, Board member 1990-1994
- Interval International timeshare exchange
- All Hazards Consortium, Mid-Atlantic states, Advisor (2005-Present)

13. **Political affiliations and activities:**

(a) List all offices with a political party which you have held or any public office for which you have been a candidate.

1988- Howard County Victory '88, Bush Campaign, Treasurer
1990- County Council, Howard County, Maryland
1994- County Council, Howard County, Maryland
1998- County Executive, Howard County Maryland

(b) List all memberships and offices held in and services rendered to any political party or election committee during the last 10 years.

2002- Spouse's Senate Race, Maryland General Assembly, Unpaid Advisor
2006- Spouses's Senate Race, Maryland general Assembly, Unpaid Advisor

(c) Itemize all political contributions to any individual, campaign organization, political party, political action committee, or similar entity of $50 or more during the past 5 years.

Yes. See attached list

14. Honors and awards:
Navy Commendation Medals (4), Navy Achievement Medals (3), Defense Achievement Medal

15. **Published writings:** Provide the Committee with two copies of any books, articles, reports, or other published materials which you have written.

The University of Maryland Medical System, Yesterday, Today, and Tomorrow
January 1994

Maryland Homeland Security Annual Report 2005
Maryland Homeland Security Annual Report 2006
Maryland Cyber Security White Paper 1 Nov 2006

16. **Speeches:**

(a) Provide the Committee with two copies of any formal speeches you have delivered during the last 5 years which you have copies of and are on topics relevant to the position for which you have been nominated. Provide copies of any testimony to Congress, or to any other legislative or administrative body.
[2002-2007]

24 October 2002: Perspectives on Implementation of a Disaster Training Exercise
JCAHO Conference: Homeland Defense: Blueprints for Emergency Management Responses

Congressional Briefings

28 April 2004 - House Select Homeland Security Subcommittee on Emergency Preparedness and Response: First Responder Assistance Programs

Testified six times with the National Capital Region on Homeland security issues.

03 Oct 2003 - House Committee on Government Reform: Emergency Readiness in Capital Region

24 Jun 2004 - House Committee on Government Reform: Regional Security Coordination for the for National Capital Area

29 Mar 2005 - Senate Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia: Readiness in the National Capital Region

14 Jul 2005 - Senate Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia: Readiness in the National Capital Region

15 June 2006 – House Committee on Government Reform: Regional Insecurity: DHS Grants to the National Capital Area

28 Sep 2006 - Senate Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia: Securing the National capital Region: An Examination of the NCR's Strategic Plan

Maryland Legislature Briefings

Delegate Hurson: House Government Operations - 21 Oct 03
Joint Tech Oversight Brief - BBM - Jan 04
Fire Caucus16Feb04
Senate Budget & Tax 19Feb04
Prince George's County Delegation 12 Mar 2004
JTOC Interoperability Presentation 13Oct04
Delegate Hurson 18Jan05-18 Month Program Progress Report to HGO
Budget briefing House Public Safety&Adminstation 3 Mar 2005
Budget briefing Senate Public Safety Transportation&Environment 4 Mar 2005

Maryland State Homeland Security briefings since 2003

Maryland Governor's Office of Homeland Security

[Sample Brief- GOHS Overview 5-31-06]

All Hazards Forum Strategy Panel 29 Nov 2004
AACO Police Leadership Group 13Dec 2004
UMUC Cyber Security Conference 16 Dec 04
Local Government Grants Conference-APL 4 Jan 05
Johns Hopkins University "Securing the Future" Conference April 13, 2005
Sun Microsystems conference 15 April 2005
Spring Institute of the International Association of Workforce Professionals Maryland Chapter 28 April 2005
Maryland Emergency Manager's Conference, The Future of Emergency Management, 24 May 2005
Maryland Tech Council 13 June 05
Maryland Municipal League Convention 27 June 2005
Presented at the DHMH Bioterrorism Speakers Series July 19, 2005
Intelligence Fellows Program – Wye River 1 Aug 05
A Brief for the All Hazards Consortium December 23, 2005
Homeland Security Dialogue Forum January 25, 2006
Marshall Center briefing 2 Aug 2006
Anne Arundel Tech Council 5 Oct 2006
All Hazards Forum, HSA forum, 11 Oct 2006
Charles. Co. Tech Council 3 Nov 2006
Marshall Center briefing 6 Dec 2006

Critical Infrastructure Protection Program

NY Maritime Speech 20 Sept 2005 [Single brief]

[Sample Brief: Emergency Management Conference 24May06 v2]

TISP breakfast speaker, Army-Navy Club, Critical Infrastructure 18 Jan 2006
The Infrastructure Security Partnership: Defining Vulnerabilities and Acceptable Risks: Industry Incentives Critical Infrastructure Resilience 15 Feb 2006
Anti Terrorism Advisory Council Executive Committee- Private Sector Workgroup 16 May 2006
Maryland Emergency Managers Conference 24May06
Institute for Defense and Government Advancement, Critical Infrastructure Resilience, TISP Panel 27 June 2006
ASCE/USACE Workshop on Condition Assessment of Critical Infrastructure (July 13-14 2006, Washington DC), Strategies for Engaging the Private Sector Critical Infrastructure Resilience: Fostering Public-Private Cooperation and Coordination, 28 Mar 2007, 6th Annual TISP Congress

CyberSecurity

National Security Agency 19 Oct 05 [Single brief]

Local Government Grants Briefing – Spring 2006

Met with every Executive and County Council in Maryland's 24 jurisdictions

[Sample Brief: 28MAR06 Local Government Grants briefing]

Interoperability

Maryland Municipal League Update Fall 2004 [Single brief]

Maryland Association of Counties Interoperability Presentation 27 Oct 2004 [Single brief]

Regional Interoperability Update Fall 2005 - Eastern Shore [Single brief]

Towson University GIS Conference 24 Mar 2004 [Single brief]

(b) Provide a list of all speeches and testimony you have delivered in the past 10 years, except for those the text of which you are providing to the Committee. Please provide a short description of the speech or testimony, its date of delivery, and the audience to whom you delivered it. [1997-2007]

U.S.-Israel Cooperative Civil Infrastructure Security (CIS) Program, John Hopkins University Montgomery County Campus 11 Jun 2004

Remarks on Maryland-Israeli Homeland Security partnership: Capital Hill staff luncheon sponsored by AIPAC 2005

Remarks on Maryland-Israeli Homeland Security partnership: AIPAC meeting; Boca Raton, FL Summer 2005

Remarks on Maryland-Israeli Homeland Security partnership: Ministry of Foreign Affairs- State Homeland Security Conference- Jerusalem, 22 March, 2006

Appeared in AIPAC film for their Annual meeting describing Maryland-Israeli partnership Washington, DC convention center 2006

Various TV news interviews as Maryland Homeland Security Advisor

Shelter in Place Symposium, Architectural Engineering Institute, Engineers Club, Baltimore, 15 Mar 2007

17. **Selection:**

(a) Do you know why you were chosen for this nomination by the President?

The ongoing development of our national preparedness requires the continuous process of organizational change and performance improvement within and between all the components of DHS. It also requires the empowerment and leveraging of state, local, and private sector resources in partnership with the Federal government. The Post Katrina Emergency Management Reform Act of 2006 focuses attention on this change within DHS and adds a heightened sense of urgency to the process of creating the new FEMA.

I have had a unique blend of executive leadership experiences in situations that require both change management and strong program management skills. These situations have been in the private sector as well as federal, state and local government.

Prior to joining Governor Ehrlich, I spent sixteen years as a health care executive in an operating environment that required preparedness on a 365 day a year basis. Medical readiness is a key component of our national preparedness capability.

On behalf of Governor Ehrlich, we built a program in Maryland from the ground up that was focused on creating a culture of preparedness with a strategic goal of partnering with federal, local, and private interests. This demanded that we create frameworks to facilitate this goal and operate in a team environment.

Our Maryland program mirrored the National Strategy of 2002 and built on the Attorney General's Anti-terrorism framework with the FBI and U.S. Attorney. We included all elements of Public Safety, Public Health, and Transportation. We also put an emphasis on citizen involvement and disabilities populations.

Lastly, in my 26 years of naval experience I was able to develop capabilities in logistics, information security, and program leadership in a national security environment.

I imagine that my experience and track record match the current situational need.

(b) What do you believe in your background or employment experience affirmatively qualifies you for this particular appointment?

I am a strategic thinker and have a history of improving operational environments by analyzing and improving processes and developing people to create change.

During my 30 plus year career, I have been charged with many, many projects that require planning and management of tight budgets, significant amounts of money, and strict schedules. I have always delivered results.

I have been a training officer, written and executed operations plans, and managed in turnaround environments where very sick people depend on systems and capabilities to operate flawlessly all the time.

As a former elected official, I appreciate the accountability that voters expect of their government representatives.

As a former senior advisor to a Governor, I appreciate the pressure on the chief executive to create results in a difficult environment.

During my active duty time, I was stationed in remote environments that demanded logistics planning and preparedness.

I have managed in matrix environments that require peer to peer leadership and team skills.

B. EMPLOYMENT RELATIONSHIPS

1. Will you sever all connections with your present employers, business firms, business associations or business organizations if you are confirmed by the Senate?

   Yes

2. Do you have any plans, commitments or agreements to pursue outside employment, with or without compensation, during your service with the government? If so, explain.

   No

3. Do you have any plans, commitments or agreements after completing government service to resume employment, affiliation or practice with your previous employer, business firm, association or organization, or to start employment with any other entity?

   No

4. Has anybody made a commitment to employ your services in any capacity after you leave government service?

   No

5. If confirmed, do you expect to serve out your full term or until the next Presidential election, whichever is applicable?

   Yes

6. Have you ever been asked by an employer to leave a job or otherwise left a job on a non-voluntary basis? If so, please explain.

   No

C. POTENTIAL CONFLICTS OF INTEREST

1. Describe any business relationship, dealing or financial transaction which you have had during the last 10 years, whether for yourself, on behalf of a client, or acting as an agent, that could in any way constitute or result in a possible conflict of interest in the position to which you have been nominated.

   In accordance with the April 17, 2007 Ethics agreement

2. Describe any activity during the past 10 years in which you have engaged for the purpose of directly or indirectly influencing the passage, defeat or modification of any legislation or affecting the administration or execution of law or public policy, other than while in a federal government capacity.

   Local legislator, Howard County Maryland 1994-1998

   University of Maryland Medical System, Maryland state capital budget 1997-2003

3. Do you agree to have written opinions provided to the Committee by the designated agency ethics officer of the agency to which you are nominated and by the Office of Government Ethics concerning potential conflicts of interest or any legal impediments to your serving in this position?

   Yes

D. LEGAL MATTERS

1. Have you ever been disciplined or cited for a breach of ethics for unprofessional conduct by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, provide details.

   Yes.

   In 1986, while I was Assistant Public Works Officer at Bethesda National Naval Medical Center, I removed Julie Saposnekoo, a GS-11 from her role as Administrative Officer for poor performance. She filed an appeal that was ultimately heard by the Merit Systems Protection Board. The removal was upheld by the Board.

2. Have you ever been investigated, arrested, charged or convicted (including pleas of guilty or nolo contendere) by any federal, State, or other law enforcement authority for violation of any federal, State, county or municipal law, other than a minor traffic offense? If so, provide details.

   Yes.

   In 1986, while I was Assistant Public Works Officer at Bethesda National Naval Medical Center, I was informally accused by Martha Ray of sexual harassment. She was the secretary to myself and the Public Works Officer. We were reorganizing the office and had many long standing personnel issues we were addressing. Ms. Ray was a disgruntled employee and was involved in office gossip. When confronted with the situation she made the charge to our EEO office. It was later dropped by the Base EEO office.

3. Have you or any business of which you are or were an officer, director or owner ever been involved as a party in interest in any administrative agency proceeding or civil litigation? If so, provide details.

   No.

4. For responses to question 3, please identify and provide details for any proceedings or civil litigation that involve actions taken or omitted by you, or alleged to have been taken or omitted by you, while serving in your official capacity.

   No.

5. Please advise the Committee of any additional information, favorable or unfavorable, which you feel should be considered in connection with your nomination.

Yes.

I am a government witness in an indictment against former Maryland State Senator Thomas Bromwell. Mr. Bromwell is accused of using his office to influence contracts. The case is scheduled for Fall 2007 in Baltimore Federal District court. The AUSA is Kathy Gavin. The government has been investigating Mr. Bromwell's attempt to influence a mechanical subcontract on a major project that I was responsible for managing in 2000-2002 timeframe.

Howard County, MD County Executive Race 1998

My primary opponent made an ethics charge in the media that my fundraising included people I knew from Howard County that had worked for me on contract at the Medical System in my private sector job. The contributions were in full compliance with election law. I decided to return the money to eliminate the issue and we won the primary.

E. FINANCIAL DATA

All information requested under this heading must be provided for yourself, your spouse, and your dependents. (This information will not be published in the record of the hearing on your nomination, but it will be retained in the Committee's files and will be available for public inspection).

AFFIDAVIT

Dennis R. Schrader being duly sworn, hereby states that he/she has read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of his/her knowledge, current, accurate, and complete.

Dennis R. Schrader

Subscribed and sworn before me this 18th day of April, 20 07

Notary Public

U.S. Senate Committee on Homeland Security and Governmental Affairs
Pre-hearing Questionnaire
For the Nomination of Dennis R. Schrader to be
Deputy Administrator for National Preparedness, Federal Emergency Management Agency (FEMA) at the Department of Homeland Security (DHS)

I. Nomination Process and Conflicts of Interest

1. Why do you believe the President nominated you to serve as Deputy Administrator for National Preparedness?

ANSWER:

The ongoing development of our national preparedness requires the continuous process of organizational change and performance improvement within and between all the components of DHS. It also requires the empowerment and leveraging of State, local, and private sector resources in partnership with the Federal government. The Post Katrina Emergency Management Reform Act of 2006 focuses attention on this change within DHS and adds a heightened sense of urgency to the process of creating the new FEMA. I have had a unique blend of executive leadership experiences in situations that require both change management and strong program management skills. These situations involved the private sector as well as Federal, State and local government entities.

Prior to joining Governor Ehrlich, I spent sixteen years as a health care executive in an operating environment that required preparedness on a 365 day a year basis. Medical readiness is a key component of our national preparedness capability. On behalf of Governor Ehrlich, we built a program in Maryland from the ground up that was focused on creating a culture of preparedness with a strategic goal of partnering with Federal, local, and private interests. This demanded that we create frameworks to facilitate this goal and operate in a team environment.

Our Maryland program mirrored the National Strategy of 2002 and built upon the Attorney General's anti-terrorism framework with the Federal Bureau of Investigation (FBI) and U.S. Attorney. We included all elements of Public Safety, Public Health, and Transportation while also putting an emphasis on citizen involvement and disabilities populations.

Lastly, in my twenty-six years of naval experience I was able to develop capabilities in logistics, information security, and program leadership in a national security environment. I imagine that my experience and track record match the current situational need.

2. Were any conditions, express or implied, attached to your nomination? If so, please explain.

ANSWER:

None

3. What specific background and experience affirmatively qualifies you to be Deputy Administrator for National Preparedness?

ANSWER:

I am a strategic thinker with a history of improving operational environments by analyzing and improving processes and developing people in order to create change. During my thirty-plus year career, I have been charged with projects that require planning and management of tight budgets, significant amounts of money, and strict schedules. Much of my leadership was spent managing in matrix environments that require peer to peer leadership and team skills. I have had experience as a training officer, written and executed operations plans, and managed in turnaround environments where very sick people depend on systems and capabilities to operate flawlessly at all times.

As a former elected official, I appreciate the accountability that voters expect of their government representatives. In my time with the Governor, I also learned to appreciate the pressure on the chief executive to create results in a difficult environment. Going back to my time on active duty, I was stationed in remote environments that demanded logistics planning and preparedness. All of these experiences demanded the most of my skills, and I have always delivered results.

4. Have you made any commitments with respect to the policies and principles you will attempt to implement as Deputy Administrator for National Preparedness? If so, what are they, and to whom were the commitments made?

ANSWER:

None

5. If confirmed, are there any issues from which you may have to recuse or disqualify yourself because of a conflict of interest or the appearance of a conflict of interest? If so, please explain what procedures and/or criteria that you will use to carry out such a recusal or disqualification.

ANSWER:

Because of my continued participation in Maryland's defined benefit pension plan, if I am confirmed, I will recuse myself from participating in particular matters that will

have a direct and predictable effect on the ability or willingness of the State of Maryland to provide the pension, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

Beginning on May 1st, 2007, my wife was employed as a Senior Consultant with The Artemis Group (Artemis) in Annapolis, Maryland. Therefore, if I am confirmed, I will recuse myself from participating in particular matters that will have a direct and predictable effect on her employment, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1). In addition, in accordance with the U.S. Office of Government Ethics regulation treating appearance of a conflict of interests, I will recuse myself from participating in particular matters involving specific parties in which Artemis is or represents a party, unless I am give prior approval to participate pursuant to 5 C.F.R. § 2635.502(d).

Due to my service as Homeland Security Director for the State of Maryland until January 17th, 2007, if I am confirmed, during the first year following my resignation from my Maryland position, i.e., until January 17th, 2008, I will recuse myself from participating in particular matters involving specific parties in which Maryland is or represents a party, unless I am give prior approval to participate pursuant to 5 C.F.R. § 2635.502(d).

Due to my service as a Strategic Advisor to the Mid Atlantic All Hazards Consortium (Mid Atlantic) during the first four months of 2007, if I am confirmed, during the first year after I last served Mid Atlantic, i.e., until April, 4th, 2008, I will recuse myself from participating in particular matters involving specific parties in which Mid Atlantic is or represents a party, unless I am give prior approval to participate pursuant to 5 C.F.R. § 2635.502(d).

These commitments have been made in conjunction with the Department's Designated Agency Ethics Advisor (DAEO) and, except for the recently acquired potential for a conflict generated by my wife's employment with Artemis, the Director, U.S. Office of Government Ethics, and are contained in my ethics agreement dated April 17, 2007. That agreement has been provided to the Committee along with my Public Financial Disclosure Report, SF 278. Should I be appointed, I will work closely with the DAEO to ensure I avoid being involved in these matters or any other that present a conflict or an appearance of a conflict of interests.

6. Have you ever been asked by an employer to leave a job or otherwise left a job on a non-voluntary basis? If so, please explain.

ANSWER:

No.

II. Background of the Nominee

7. What were your responsibilities while serving as Homeland Security Director for Governor Ehrlich? What was the size of your staff?

ANSWER:

Governor Ehrlich's Executive Order established the Homeland Security program in Maryland during June 2003. The Executive order gave me broad authority to "direct homeland security efforts across state government and coordinate with Federal and local government, private sector, academia, and the public." We were provided "limited professional staff appointed by the Governor and by professional staff on rotational assignment from State agencies." The office totaled nine people including myself.

In addition, we had significant support from the Maryland Emergency Management Agency directly and had indirect support through fourteen state agencies and offices through various coordination arrangements generally run through the agency operating deputies. We built the program inside the existing agencies to avoid duplicating existing resources. We further acted as an integrator of Federal resources in the state, thereby receiving significant support from agencies like the U.S. Attorney, FBI, Coast Guard, and DHS' Intelligence & Analysis and Infrastructure Protection.

8. What were your responsibilities while at the University of Maryland Medical System Corporation? What was the size of your staff?

ANSWER:

I served sixteen years in executive capacities as an Operations Director and Vice President. I was a member of the senior leadership team that focused on clinical program development to recruit top national clinicians that would improve our quality of care, our bottom line and capacity to access capital investment through debt, philanthropy, and cash from operations. As a member of that team, I was responsible for all aspects of facilities operations, infrastructure management, real estate acquisition, and development of major projects. In that capacity, I was responsible for emergency preparedness and disaster management based on the Joint Commission (JCAHO) standards. After the Nunn-Lugar-Domenici Act in 1997, I was tasked with developing a weapons of mass destruction program for the Medical Center. In 1999, I became a senior advisor to the Chief Operating Officer and added responsibility for Operations improvement, cost reduction, technology management, Y2K, and was a key sponsor for diversity management for the entire organization in addition to the responsibilities of my previous position. At various times I also had a role in capital planning, worker's compensation, parking management, and security in addition to my normal duties.

My staff varied at times from 100-250 employees and I had direct responsibility for contract staff that varied from 200-1000 depending on the cycle of our programs.

9. Please list every disaster to which you have responded and describe in detail your role and responsibility in each event.

ANSWER:

I have been involved in numerous emergencies, threat situations, and disasters over my thirty year career in operational, policy, and advisory roles.

Event/Threat	Date	Comment
Maryland Homeland Security	**2003-2007**	
Power blackout	08-2003	Cabinet in Ocean City, Maryland with Governor. Advisor to Governor.
NYC Financial District threat	08-2003	This was pre-fusion center. Coordinated briefing by Assistant U.S. Attorney, FBI Special Agent in Charge (SAC) and Senior Policy Group to advise Governor
Tropical Storm Isabel	09-2003	Unified command member at state Emergency Operations Center (EOC) representing Governor Led transition from emergency response to recovery in coordination with the Federal Coordinating Officer (FCO) and State Coordinating Officer (SCO). Organized and maintained communication with local elected officials. Governor appointed our Planning Secretary to lead recovery. I was member of her team.
Maryland Fusion Center opened	11-2003	As member of Anti-terrorism Advisory Council (ATAC), I was a Board member for governance of fusion center.
Madrid Rail bombing	03-2004	Monitored situation through fusion center and organized Senior Policy Group recommendations to the Governor. Coordinated the implementation of TSA rail security guidelines in Maryland
First Election post Madrid bombing	11-2004	Organized and monitored statewide planning and preparedness effort for election
Maryland Joint operations Center (MJOC)	12-2004	National Guard-Maryland Emergency Management Agency (MEMA) – Established 24x7 situation awareness and

		coordination for Senior Policy Group and State agencies
Federal Inauguration	01-2005	Supported Maryland contribution to National Capital Region (NCR) Joint Field Office (JFO) staffing
Iraqi Out of Country Voting Registration	17-25 Jan 2005	Prince George's County, Maryland Coordinated State agencies with International Organization for Migration IOM), Office of National Capital Region Coordination (ONCRC), Maryland State Police and Prince George's County to prepare for event
Iraqi Out of Country Voting Voting	28-30 Jan 2005	Prince George's County, Maryland Same as above.
Pentagon White Powder threat	03-2005	Member of National Capital Region Senior Policy Group that organized After Action Report (AAR) for this incident.
Courthouse powder incidents	Mar 2005	Garrett and Worcester County. Monitor through Fusion Center and State MJOC, Advise Governor of situation.
London Rail Bombing	07-2005	Monitored situation through fusion center and organized Senior Policy Group recommendations to the Governor. Implemented additional measures on rail system.
Katrina-Rita	Aug-Nov 2005	Maryland sent Guard, first responder, and medical personnel to Mississippi and Louisiana. Inserted Governor's representative into Jefferson Parish to coordinate Emergency Management Assistance Compact (EMAC) request prior to dispatching personnel. 5000 evacuees were received in Maryland.
Tularemia false positive- DC Mall	09-2005	As member of NCR Senior Policy Group developed recommendations for Secretary Chertoff, Governors of Maryland, Virginia, and Mayor of DC for course of action to address Tularemia false positive.
New York subway threat	10-2005	In coordination with fusion center and Maryland Senior Policy Group, monitor and advise Governor Ehrlich
Harbor Tunnels threat	10-2005	In coordination with Maryland Joint Terrorism Task Force (MJTTF) supported investigation prior to MJTTF operation. AAR meeting with Secretary Chertoff and Governor Ehrlich lead to assignment of

		analysts in Fusion Centers including Maryland.
Iraqi Out of Country Voting	13-15 Dec 05	Northern VA
Avian Flu threat	2005-06	Organized Cabinet Table Top 21 Nov 05
United Arab Emirates (UAE) Port incident	01-2006	Advised Governor and coordinated Maryland Department of Transportation response to Committee on Foreign Investment in the United States (CFIUS) ruling
Summer Thunderstorm Flooding	06-2006	Coordinated Governor's office effort with MEMA and local elected officials to apply for Federal disaster aid
Indian rail Bombing	11 July 2006	In coordination with fusion center and Maryland Senior Policy Group (SPG), monitor and advise Governor Ehrlich
United Kingdom Airline Threat	08-2006	In coordination with fusion center and Maryland SPG, monitor and advise Governor Ehrlich
Wilson Bridge balloon	08-2006	In coordination with fusion center and Maryland SPG, monitor and advise Governor Ehrlich
Spinach E coli threat	09-2006	In coordination with fusion center and Maryland SPG, monitor and advise Governor Ehrlich
Ernesto	09-2006	
Election	11-2006	Organized and monitored statewide planning and preparedness effort for election
University of Maryland Medical Center (UMMC)	**1987-2003**	650 Bed, 3000 staff, 2.2 million square feet tertiary care facility
Executive leader for Medical Center Disaster Preparedness, Emergency management, and Chemical, Biological, and Radiological program	1987-2003	Adopted Hospital Emergency Incident Command System (HEICS) in mid 90s to manage all hospital incidents. $60 million – Infrastructure replacement program to improve Medical Center Preparedness by making infrastructure more effective and resilient: life safety systems, utilities, emergency power, elevators, cybersecurity, physical security, etc.
Neonatal Intensive Care Unit overheating	07-1987	Older South hospital did not have central air at the time. Temperatures reached the 90s during summer.
Parking lot implosion	08-1987	Campus imploded parking structure adjacent to hospital on early Sunday

		morning. I gave the final clearance to proceed as unified command member
Shock Trauma Center power outage	1987	Incident commander at command post-Lost complete power to old building
Major Baltimore Gas & Electric Greene Street substation Transformer explosion and power loss	1991	Operated the Medical Center for three days on emergency power- Unified command member
North Hospital Air Handling unit damper frozen	02-1993	Unified command member
Hospital evacuation threat due to Mercaptan release	1997	Unified command member
School of Social Work Sanitary pipe break	1996	Shut down street and parking lot- Patient access
Y2K	1999	Executive Project leader-$35 million readiness program: EOC unified command member December 31, 1999
Shock Trauma Center support	9-11-2001	Pentagon response standby for DOD- EOC Unified Command
Snow storms	Annual	Emergency transport of staff
Smallpox vaccination decision	2002	State of Maryland hospital decisions: UMMC unified team lead
Worker's Comp prevention	Ongoing	Flu prevention, TB, HIV
Navy Experience	**1980-1987**	
Diego Garcia deployment	1980	Remote island living in sea huts Explosive operations on reef Serious personal accident, medevac to Philippines
President Reagan shooting	30 March 1981	Supervisor in Bethesda NNMC ambulance motor pool during response operation
President Reagan surgery-Bethesda Medical Evaluation and Treatment Unit	12-20 July 1985	Officer of the Day on Friday July 12, 1985 when hospital mobilized in early evening to do President's surgery. Turned over command to Admiral when he arrived and led logistics effort. Maintained logistics support role throughout the incident. Received Navy Achievement medal for service
Industrial Experience	**1971-1980**	Chevrolet Motor Division
Factory safety	1976-1980	Forge plant supervisor. Responsible for daily personnel safety and accident prevention in risky industrial environment requiring Personal Protective Equipment

		and safety procedures for acids, noise, furnaces, forging machines, and heavy material load handling.
Buffalo blizzard	1977	Reported to plant on second shift during snow emergency to assist in operations. First shift was snow bound and wasn't relieved.

10. Please describe in detail any other experiences you have had in emergency management and homeland security.

ANSWER:

While at the Medical Center, we collaborated with the City of Baltimore on a series of exercises. We were the pilot hospital for the Maryland Emergency Management Agency, and I took the lead in designing a full scale field exercise with Air Force Surgeon General support (Lt. General Carlton). The exercise was subsequent to a 2001 visit by our CEO to Israel with Lt. General Carlton to observe Israeli exercise technique.

We used the FEMA IS-120 as a guide and in six months, by July 2002, we designed and executed a simulation of a phosgene release at Ravens Stadium during the tailgating period just prior to the start of a football game. The exercise was called Free State Response 2002. We involved the city fire department, Stadium Authority, and had 200 victims with moulage.

The objective was to test the command and control capability of the hospital and its entrance protocols at the Emergency Department. The Air Force drilled its deployable team that was assigned to our Shock Trauma Center for training purposes. The total cost of the exercise was under $100,000 and gave me valuable insight into private sector concerns regarding preparedness.

During my later U.S. Navy duty, I was assigned to the Defense Threat Reduction Agency as a reserve Team Chief for the Joint Service Integrated Vulnerability Assessment (JSIVA) program. These assessments were on behalf of the Chairman of the Joint Chiefs, subsequent to the Downing Commission review of the Khobar Towers incident. I led assessments of Walter Reed Army Medical Center and Bethesda National Naval Medical Center (2003), Dahlgren Naval Surface Weapons Center (2003), Armed Forces Inaugural Committee at C St. SW building (2004), and Marine Corps Base Camp S.D. Butler Okinawa (2005).

As Plans and Training Officer for NMCB Forty 1981-82, I wrote Operations Orders and directed Training and Exercise deployments to Camp Pendleton, CA and Tinian, Northern Marianas Islands. I was also responsible for typhoon (tropical cyclone) and tsunami response planning while deployed to Guam.

11. Please describe in detail any experience you have had with emergency management grants as well as other homeland security grants.

ANSWER:

On behalf of the Governor, I had oversight of all Homeland Security, Emergency Management, and Public Health grants related to disaster preparedness. This included Transportation and Assistance to Fire Grants. We tracked the grants at a consolidated roll up and they had amounted to $438 million (over five fiscal years) at the time I left in January 2007.

We established a Program Executive Office (PEO) function in my office. We set priorities in alignment with HSPD-5, 7, 8, 12, and 13 and tracked projects on a monthly basis that were based on the Governor's strategy. The strategy was developed by the Governor's Senior Policy Group which I chaired. This strategy directed the State Administrative Agent function to the appropriate agency from the Senior Policy Group and my office focused on creating, assessing, and measuring outcomes through program leadership.

We developed Governance groups to support key program areas, staffed an external advisory group to the Governor, established and maintained close working relationships with local elected officials from twenty-four counties and 157 municipalities, and regularly briefed the state legislature. Based on input from the process, my office coordinated the drafting of the three year enhancement plan and the fiscal year investment justification.

12. Did you serve the government in any other capacity, including any advisory boards or task forces, while employed by the State of Maryland? If so, please provide the names of the boards or task forces, and the dates during which you served on them.

ANSWER:

Anti-Terrorism Advisory Council (ATAC)- Member (Aug. 2003- Jan. 2007)

ATAC Private Sector Work Group- Co-Chair (2005-Jan. 2007)

Mid-Atlantic All Hazards Consortium- Strategic Advisory Committee (2004-Jan. 2007)

National Capital Region (NCR) Senior Policy Group – Member (Aug. 2003- Jan. 2007)

Maryland - Maryland Association of Counties - Maryland Municipal League Interoperability Governance Group – Chair (Dec. 2003-Jan. 2007)

ATAC Critical Infrastructure Oversight Committee – Member (2004-Jan. 2007)

Maryland Driver's License Task Force – Member (May 2004-December 2004)

Area Maritime Steering Committee – Member (2004-Jan. 2007)

Information Sharing Environment Task Force (Director of National Intelligence-sponsored) – Member (2006-Jan. 2007)

National Governors Association (NGA) Homeland Security Advisors Council – Member (2006-Jan. 2007)

Global Fusion Center Guidelines Task Force – Advisor (2006)

The Infrastructure Security Partnership (TISP) – Regional Disaster Resilience Guide Task Force – Advisor (2006)

III. Role and Responsibilities of the Administrator for National Preparedness

13. Why do you wish to serve as Deputy Administrator for National Preparedness?

ANSWER:

It is a great honor to be asked to contribute one's expertise, built over a lifetime, to further our nation's readiness at this important moment in our history. I believe that I can contribute to the team in building the new FEMA as a vital component of DHS.

As mentioned, I have gained significant knowledge from my vast experience in the past. As a State Homeland Security Advisor, states were key partners with Federal and local governments and the private sector in building our Nation's capability. I feel that I have the necessary experience with each of the four partners.

14. What do you see as the principal mission(s) of the National Preparedness Directorate?

ANSWER:

FEMA's core preparedness mission responsibilities are comprehensively defined in the Post Katrina Emergency Management Reform Act (PKEMRA) and Homeland Security Presidential Directive/HSPD-8 (National Preparedness). PKEMRA directs development and implementation of "a risk-based, all-hazards strategy for preparedness that builds those common capabilities necessary to respond to natural disasters, acts of terrorism, and other man-made disasters while also building the unique capabilities necessary to respond to specific types of incidents that pose the greatest risk to our Nation." FEMA's national preparedness mission clearly centers

on building and sustaining the all hazards preparedness of the United States through establishing a fully integrated, adaptable, all hazards national preparedness system capable of dealing with all manner and magnitude of threats and hazards. This is a fully shared mission with other Federal departments and agencies, the FEMA regions, States, local governments, territories, tribes, and private sector partners.

The Administrator is charged with developing a National Preparedness Goal and a national preparedness system to meet the Goal. The Goal and its national preparedness priorities establish specific mission objectives, and the system provides the ways and means for achievement through its target capabilities, standards, national training and national exercise programs, comprehensive assessment system, remedial action management program, Federal response capability inventory and specific reporting requirements.

If confirmed, I am committed to successfully executing these national responsibilities in support of the Administrator, the Secretary of Homeland Security, and the President, and will do so with the full transparency and stakeholder engagement these important responsibilities warrant.

To accomplish this mission, FEMA will lead the preparedness efforts across the Department, coordinate preparedness efforts across the U.S. government, and partner with State and local governments, tribal organizations, the private sector, and the American people to ensure our Nation is prepared for all hazards.

15. What do you see as the National Preparedness Directorate's principal strengths and weaknesses in its ability to accomplish those mission(s)?

ANSWER:

The greatest strengths of the National Preparedness Directorate lie in the commitment and expertise of its leadership and personnel. It is evident that the Directorate's staff is committed to building a strong culture and system of preparedness that encompasses Federal, State, and local governments, community groups, public and nongovernmental organizations, and the private sector.

Perhaps the greatest challenge facing the Directorate is its successful integration into the new FEMA, and in establishing effective coordination with other parts of the Federal interagency community and State and local governments. The establishment of the National Preparedness Directorate in FEMA marries a seasoned preparedness team and mature programs to a strong FEMA regional structure, and co-locates the National Preparedness Directorate with FEMA operational components and their day-to-day and long-term preparedness requirements. The elements that transferred into FEMA bring a strong, longstanding preparedness relationship with State and local governments that will enable the continued integration and synchronization of preparedness programs, services and activities across jurisdictions and all levels of governments. The consolidation of preparedness institutions and programs within

one Directorate will ensure FEMA can more effectively and efficiently implement the preparedness requirements identified in PKEMRA.

While reorganizations often impose short-term challenges as new structures and business rules are established, I believe the realignment of preparedness functions was well-planned and executed and minimized the impact on programs, services and activities.

While significant progress has already been made to remedy longstanding weaknesses in our Nation's preparedness in areas such as planning, much work remains to be done. Understanding those systemic challenges will help to ensure FEMA and its National Preparedness Division are keenly focused on, and structured to tackle the hardest challenges in preparedness and build enduring partner capacity.

16. If confirmed, what would be your top priorities? What do you hope to have accomplished at the end of your tenure?

ANSWER:

If confirmed, I will use the PKEMRA preparedness responsibilities assigned to FEMA as the basis for prioritizing the efforts of the Directorate, and as the means to rapidly baseline where the new National Preparedness Directorate stands in terms of progress to those ends. PKEMRA identifies critically important preparedness steps, such as the means to comprehensively assess and measure the nation's level of preparedness and to be able to report that status to Congress, the President, and the American people.

If confirmed, my immediate priorities would be (1) to complete promptly the many critical initiatives already underway, (2) to develop a new and practical Preparedness Vision for FEMA, and 3) to coordinate effectively with the Directorate's partners in the Department, the Federal interagency, and stakeholders across the Nation.

The National Preparedness Goal provides priorities that reflect a consensus of the national preparedness community. They include: (1) Expand Regional Collaboration; (2) Implement the National Incident Management System and National Response Plan; (3) Implement the National Infrastructure Protection Plan; (4) Strengthen Information Sharing and Collaboration Capabilities; (5) Strengthen Interoperable and Operable Communications Capabilities; (6) Strengthen CBRNE Detection, Response, and Decontamination Capabilities; (7) Strengthen Medical Surge and Mass Prophylaxis Capabilities; and (8) Strengthen Planning and Citizen Preparedness Capabilities. The eighth was added following Hurricane Katrina and the 2006 Nationwide Plan Review. I believe they reflect appropriate priorities, and address near-term acute needs as well as long-term actions for improving and sustaining the Nation's readiness.

To ensure priorities accurately reflect our national needs, I will seek the advice and counsel of experts across our community and a continuing and frequent dialogue with Congress. I believe developing a common approach to risk management is an imperative so that shared homeland security priorities drive decision-making at the national, regional, State, local, territorial and tribal levels. The lessons of Hurricane Katrina told us that much remains to be done to integrate and synchronize homeland security efforts across the nation, as well as to promote awareness and regional partnerships, and to foster a national culture of preparedness and civic responsibility. Finally, if confirmed, I owe it to the fine preparedness professionals across the nation to provide prioritized support for the establishment of comprehensive professional development, education and training programs to ensure consistency and excellence across the preparedness mission.

I intend to ensure we have the means not only to continue the delivery and quality of preparedness products and services that enhance our nation's preparedness, but that we have the comprehensive means to measure and report on our progress on achieving our priorities; that we have renewed confidence in our ability to plan and in our plans; and that the legacy of my tenure is reflected in the demonstrated performance of and strengthened professional knowledge, skills and abilities of practitioners across the nation.

IV. Policy Questions

General Management

17. What is your approach to managing staff, and how has it developed in your previous management experiences?

ANSWER:

I always start by setting a tone through leadership by example. I like to get involved without micro-managing the details. I set goals and objectives with measures that are tangible. I also set high expectations in the goal setting process. I expect everyone to do their part and hold staff accountable so the team feels respected. I believe in hiring quality people and coaching and mentoring them. I also delegate, follow-up and stretch individuals to build their confidence. It is imperative to manage upward to support staff and try to anticipate bumps in the road and communicate them to staff. I also train them to anticipate themselves. I'm a risk taker, so I must have committed teammates.

Finally, it is important to have a matrix leadership to leverage resources and take part in peer to peer engagement. I would continuously evaluate the organization and make adjustments to improve overall performance. Each assignment builds on the next and causes me to evaluate prior experiences and apply new approaches when necessary and use lessons learned from past experience.

18. The Post-Katrina Emergency Management Reform Act of 2006 (P.L. 109-295), strengthens and reforms FEMA and among other things, reorganizes aspects of DHS to enable the Department to more effectively fulfill its emergency management mission. This includes rejoining the preparedness and response functions within FEMA.

a. If confirmed, how will you carry out Congressional intent to implement the reorganization?

ANSWER:

The Congressional intent to incorporate certain preparedness program functions in FEMA has already largely occurred as I understand it. As of April 1, 2007, the major program functions I seek to lead have been transferred to FEMA. I will focus my efforts on ensuring the reorganization is fully implemented, completing whatever remaining integration tasks there may be, and that it is done in a way that maximizes the effective incorporation of preparedness, prevention and protection concepts across the Agency. In the same way, I will ensure that our National Preparedness programs are implemented in a way that is coordinated with, and supportive of, the Agency's other programs.

b. What management challenges do you foresee in the implementation of The Post-Katrina Act?

ANSWER:

The management challenges I foresee in the implementation of PKEMRA from an internal FEMA perspective is ensuring the true integration of the preparedness elements of prevention and protection in the Agency. From an external perspective, the major challenge I see is to make sure our partners understand the value added to our efforts by being part of an integrated emergency management and preparedness agency, and that outside the Department this reorganization is seen as seamless, effective and beneficial.

c. What are your plans to overcome these challenges?

ANSWER:

I plan to overcome the internal challenges by working closely with my staff and other FEMA senior level managers to complete integration of the preparedness components and missions into the Agency, to support the incorporation of preparedness prevention and protection principles into other FEMA programs, and to leverage the assets available within other FEMA directorates in support of the overall preparedness mission. I understand that such efforts are already underway within FEMA and I am grateful for that and look forward to continuing this process. With respect to our outside stakeholders, I will work with my

FEMA and DHS colleagues to implement an aggressive communications program to ensure our constituents have the most up to date information and an open line of communication is present so their questions or concerns are answered in a timely manner. I believe a number of the other PKEMRA improvements, such as the addition of a Law Enforcement Advisor to the FEMA leadership team, will help improve relations with FEMA partners.

d. What are the policy and operational strengths and challenges of the new alignment from your perspective?

ANSWER:

The most obvious strength is having the preparedness and emergency management capabilities together in one entity, allowing for a seamless system to work closely and comprehensively with our Federal, State and local, Tribal, and private sector partners to strengthen the Nation's resilience, improve service to our stakeholders, and empower our employees. The National Preparedness Directorate, with the help of the other FEMA directorates, will be better able to shape preparedness as a whole in the country and build capability and capacity for response to incidents.

I believe the major challenge will be to complete the integration of the National Preparedness Directorate within FEMA and to ensure that the benefits of having an integrated preparedness and emergency management agency are fully realized.

e. What measures will you take to ensure that preparedness functions you will oversee will be properly integrated into FEMA? What difficulties do you anticipate in re-integrating the preparedness functions with FEMA, and how would you address them?

ANSWER:

As I have previously stated there are efforts already underway at FEMA to ensure the complete integration of preparedness functions. My colleagues and I will continue to develop relationships with the other senior managers at FEMA and use the Transformation Management Office to complete the integration of preparedness into FEMA. So far, I have heard nothing but excitement for the re-integration of preparedness functions into FEMA. I will address issues as they arise with the proper points of contact at FEMA and our outside stakeholders, and ensure that there is open communications with all interested parties concerning the transformation.

Personnel Management

19. What actions in your past executive experiences demonstrate your style and approach in the area of labor-management relations?

ANSWER:

My tenure with the U.S. Navy and University of Maryland Medical Center were the most extensive executive experience along with the 3-1/2 years with Governor Ehrlich. In each of those settings, we had a very mobile work force that fostered a progressive Human Resources environment.

Competitive labor markets require successful organizations to recruit and retain the very best people. I liked to engage staff to ensure that they are being taken care of by their chain of command. I prefer a team building environment that challenges everyone to grow and develop.

It's also critical to have an environment where staff can communicate concerns and those concerns are taken seriously. Leaders must be available to staff to address their needs and modern benefits and human resources practices support the retention of a quality workforce. All of these elements are vital because there must be a sense of fairness in the workplace that starts from the top down.

20. FEMA has suffered very high vacancy rates, often for positions of critical importance. This Committee's investigation on the preparation for and response to Hurricane Katrina found that vacancies in FEMA hurt the nation's ability to respond to that catastrophic event. If confirmed, what will you do to ensure that vacant positions in the National Preparedness Directorate are filled?

ANSWER:

First, it is my understanding that FEMA recently reached a milestone by having 95 percent of its positions filled, so the Agency has already begun to address the issue. If confirmed, I will work with the Human Capital Division to ensure that all National Preparedness positions allocated support the organization's mission, goals, and objectives, and are staffed in a manner supportive of the Agency's Strategic Human Capital Plan. Legwork will be done for anticipated vacancies to ensure that positions are announced immediately upon availability. Vacancy announcements should be written to be informative, interest prospective employees, and provide incentive to work for the Department of Homeland Security, FEMA, and in particular, National Preparedness – and be targeted to competent, well qualified, high caliber applicants. And, I will ensure that National Preparedness management and supervisory staff work closely with FEMA's Human Capital Division staff to ensure that timely selections are made once the best qualified applicants have been identified.

21. What do you believe FEMA can do to recruit and hire the personnel needed to achieve results?

ANSWER:

First, be clear on each organization's mission, goals, and objectives. Second, be certain that position management within each organization supports the organization's mission, goals, and objectives. Third, ensure that vacancy announcements clearly identify position expectations, responsibilities, skills, and abilities needed – as well as be informative, interest prospective employees, and provide incentive to work for FEMA. Fourth, recruitments should be targeted when clearly to the advantage of the hiring organization. Fifth, ensure there is a thorough review and rating of all applicant packages by knowledgeable staff familiar with the hiring organization, job requirements, and skills needed. Finally, maintain a high level of exemplary customer service with everyone involved in the process, from the initial identification of a vacancy through the on-boarding of the selectee – in other words, throughout the entire process.

22. What do you see as FEMA's role in providing the training, structure, incentives, and accountability to its employees in order for them to work effectively?

ANSWER:

FEMA's mandate and FEMA's mission requires success. Success requires the ability for each employee to work effectively. It is FEMA's role to provide training, structure, incentives, and accountability for employees, as each is central to an employee's ability to work effectively. Structure provides the foundation for everything within the organization – purpose, direction, stability, and communication – everything that is fundamental to performance individually as well as organizationally. Training is imperative for growth, understanding, and effectiveness. Incentives keep employees motivated, interested in performing their job and contributing to the mission, striving to be creative and thinking past the obvious, and loyal to their senior leadership, organization, and agency. Accountability provides the framework for credibility within an organization and ensures the integrity needed to be successful.

These are fundamental Human Resource and leadership functions of a well run organization.

23. This Committee's investigation of Hurricane Katrina found that training of various teams within FEMA was sorely lacking. For example, the Emergency Response Teams at FEMA rarely trained or exercised together. As Director of National Preparedness, what do you envision as your role for ensuring that personnel within the Department receive adequate and meaningful training and exercising? How will you ensure that FEMA's emergency response teams are prepared?

ANSWER:

I believe one of the most important benefits of the establishment of the National Preparedness Directorate was the consolidation of many excellent training partners and institutions under the new National Preparedness Directorate. PKEMRA and

HSPD-8 direct establishment of a National Training Program to implement the National Preparedness Goal, National Incident Management System, National Response Plan, and other related plans and strategies. Consolidating training partners and institutions within a single Directorate in FEMA provides greatly improved access to the wide catalogue of available training so that individual professionals and teams are trained to standard and tested in rigorous exercises under realistic settings. Where needed training does not exist, this partnership of training providers improves the means to design and deliver specialized, state-of-the-art training that not only benefits individual professionals and teams with DHS and FEMA, but that can be shared across the training community, whether through community colleges, State and local public safety academies, State and private universities, and other facilities in order to reach the widest training audience.

24. The federal government has been active in contracting out selected government functions. While contracting out can be an effective means of performing the department's activities, it is critical that the government have sufficient staff on board with the appropriate skills to establish policy, maintain a strong institutional memory, and to effectively manage acquisitions and contract oversight in order to ensure quality, economy, and timeliness. What are your views on the future of federal contracting and the capacity of the federal government to ensure that the public interest is appropriately served?

ANSWER:

The Federal Government was established to protect and serve the public interest and this fundamental purpose should routinely be a part of any Federal organization's approach to how they do business throughout the work day. Contracting in any venue has its place, but should not be used to perform inherently governmental functions. Opportunities for contracting should be considered when appropriate, and if deemed appropriate, every effort should be made to ensure that the contracting requirement is clear in performance expectations, timelines, deliverables, reviews, coordination and concurrence requirements, and performance periods. Contracting opportunities should be provided fairly to those meeting experience and technical requirements. And contract oversight should be provided by competent, trained staff that can hold contractors accountable for the quality and timeliness required by contract. It is imperative that those employees with contract oversight responsibilities have the time needed to perform this critical element of their job.

25. What role would you like to see unions play at FEMA, and what style or arrangements involving labor and management do you intend to foster? For example, will you foster labor-management partnership at FEMA or do you believe that other kinds of arrangements would be preferable? What steps would you take to achieve the kind of labor-management relationships you want?

ANSWER:

I am a supporter of labor-management partnerships, in that I believe they best serve the immediate organization, the Agency as a whole, and the American public overall. Labor-management partnerships can only be achieved through productive labor activity and purposeful management participation. Any member of senior leadership within an organization must promote communication from within; foster an atmosphere of respect; recognize employee efforts through the use of reward and incentive; and clearly demonstrate the type of performance and conduct that you would like to have employees emulate. I believe that by establishing these elements as fundamental to management, a leader will foster positive, productive labor-management relations internal and external to their organization.

26. According to the April 10, 2006 issue of Federal Human Resources Week, mentoring opportunities are welcomed by federal workers and help in recruitment and retention efforts. In addition, according to the International Mentoring Association, when training is combined with coaching and mentoring, productivity is increased by 88 percent. What do you believe is the value of mentoring programs, and what actions, if any, do you believe FEMA should take to expand or improve employee mentoring programs at the agency? What steps would you take to increase mentoring opportunities at FEMA?

ANSWER:

I believe that if properly executed, a well designed mentoring program that partners experienced employees with new employees can derive great benefits to the Agency. With a significant percentage of the federal workforce eligible for retirement in the coming years, mentoring also can serve as an effective means for passing down institutional knowledge from worker to worker. I am aware that FEMA has an existing mentoring program, and if confirmed, it will be my intention to ensure that this program is fully implemented within the National Preparedness Directorate. I believe that by fully implementing mentoring at National Preparedness Directorate, and clearly demonstrating my support for the program, we will increase opportunities to participate.

27. The Post-Katrina Act calls for the FEMA Administrator to develop a strategic human capital plan to share and improve the agency's workforce. The plan is to address several areas, including a workforce gap analysis, an action plan for addressing the gaps in critical skills and competencies, and details on surge capacity and training. This law also calls for the FEMA Administrator to provide career paths and the education, training, experience, and assignments necessary for career progression.

    a. If you were advising the FEMA Administrator, what specific steps, areas of coverage and criteria do you believe are needed in conducting the workforce gap analysis and action plan for the National Preparedness Directorate?

ANSWER:

I understand that much has been accomplished in the course of the PKEMRA-directed realignment, including a very thorough analysis of the knowledge, skills, abilities and experience of the incoming workforce. I also understand that FEMA and the Department are working with Congress on reprogramming efforts designed to provide the means to cover specific areas, such as strengthening the regional preparedness workforce, and that these efforts include comprehensive concepts of operation establishing criteria for implementation. PKEMRA directs a disciplined approach to the workforce analysis. In particular, I strongly believe that the guidance to look at a 10-year period beginning on the date of enactment ensures efforts are directed at building and retaining a well-trained, highly motivated, and high-performing workforce well into the future.

I believe strengthening the regional workforce and its preparedness capacity is the key to success in our highly decentralized national system. I am very encouraged that the FEMA headquarters staff is working closely with the Regional Administrators and their staffs on a joint analysis of how to best organize preparedness programs, activities and services now that the initial phase of the realignment has been accomplished.

b. What specific policies, programs, and resource allocations are necessary to achieve the expected career paths for the employees of the National Preparedness Directorate?

ANSWER:

The President's recent Executive Order on National Security Professional Development (17 May 2007) provides direction to Federal agencies and departments on the establishment of a professional development program, including interagency and intergovernmental assignments and fellowship opportunities and professional development guidelines for career advancement.

The Secretary of Homeland Security is specifically charged with developing a program to provide to Federal, State, local, and tribal government officials education in disaster preparedness, response, and recovery plans and authorities, and training in crisis decision-making skills, consistent with applicable presidential guidance.

In addition, PKEMRA outlines requirements for a Homeland Security Education Program and a Homeland Security Rotation Program that will contribute greatly to strengthening our workforce's mastery of the art and science of homeland security. I believe one of the most important steps is to ensure education, training, and rotation programs include mixed cohorts of Federal, State, local, territorial, tribal, and private sector participants. This is fundamental to maintaining mutual trust and shared confidence in our collective preparedness.

If confirmed, I pledge to strongly support these programs. The training and education institutions that are part of the National Preparedness Directorate will play a key role in their implementation. I will ensure the National Preparedness Directorate workforce accesses the opportunities afforded by these programs, and the Directorate has a deliberate and comprehensive plan to ensure its professionals can meet today's and tomorrow's preparedness requirements.

c. What staff competencies do you see as key in creating and maintaining the viability of a National Preparedness System?

ANSWER:

Required competencies are defined by specific mission and job requirements. If confirmed, I intend to use the results of the workforce gap analysis and the integration of the new Directorate's workforce to review and identify any shortfalls in knowledge, skills and abilities to meet the requirements of the National Preparedness System. Some aspects of National Preparedness are quantifiable and measurable and reflect the "science" of preparedness. Knowledge about the science of preparedness can be gained through training and study. Other aspects are part of the "art" of preparedness and require understanding the dynamic relationships between participants, and the conditions and complexity imposed by homeland security situations. Mastering the art of preparedness comes through education, exercises and operational experience.

Necessary competencies clearly include training, education, and experience in emergency management and homeland security, on the National Incident Management System (NIMS) and National Response Plan (NRP), and on project and program management, commensurate with the duties and responsibilities of the individual. I believe we have a growing need for training and education to aid in developing our workforce's analytical capacity. The broadened scope of emergency management and homeland security is creating new analytical challenges and a greater demand for analysis.

The National Preparedness System employs capability-based planning, which is transforming the way we have approached all-hazards preparedness. This requires knowledge and skills to understand its principles and application. Finally, I believe operational planning is an essential activity and therefore an essential skill of homeland security and emergency management. Skill in planning can serve, at least in part, as a substitute for experience. In situations where practitioners lack experience, such as many potential homeland security scenarios, knowledge and skills in operational planning provide the opportunity to systematically think through potential problems and workable solutions.

Grants

28. The Post-Katrina Act transferred the Office of Grants and Training, which had responsibility for grant management and grant policy, to FEMA. In implementing the Post-Katrina Act, the Department chose to split the grants-related responsibilities that had previously all been housed in the Office of Grants and Training across two different entities within FEMA – the National Preparedness Directorate and the Office of Grant Programs.

    a. Please explain in detail what grants-related responsibilities you expect to have if confirmed as Director of National Preparedness. What is your understanding of the grants-related responsibilities that will be assumed by the Assistant Administrator of FEMA for Grant Programs?

    ANSWER:

    If confirmed, I would expect to have the lead for determining the effectiveness of the grants program for their contribution to the Preparedness Goal and overall preparedness of our Nation, and thereby have a principal role with the Assistant Administrator for Grants Programs in determining the primary architecture for the grant programs within FEMA. I would expect the National Preparedness Directorate's subject matter experts to be principal partners with those in the Office of Grants Programs in crafting selection criteria associated with the application review process and in working closely with their counterparts in the Transportation Security Agency (TSA) and the United States Coast Guard (USCG). I would expect to be charged with coordinating with the DHS Chief Intelligence Officer and other DHS components in the risk management component associated with the development of grant allocations, guidance and application kits. I would expect to closely coordinate with the Assistant Administrator throughout program life cycles to ensure his or her grant management tools, financial controls, audits and program management are fully supported.

    b. What do you see as the possible pitfalls of splitting grants-related responsibilities between two different offices? What will you do to avoid such problems? How do you intend to coordinate the grants-related responsibilities of the Directorate for National Preparedness with those of the Office for Grants Programs? Do you believe that financial management of DHS grant programs should be consolidated with grant policy?

    ANSWER:

    The combined capabilities of the National Preparedness Directorate and the Office of Grant Programs will provide FEMA with the opportunity to continue to improve the administrative and financial management aspects of the grants

programs as well as bring new focus to assessing the effectiveness of the grants as they contribute to the objective of the Preparedness Goal.

Integrating the Department's grant programs into FEMA has provided an opportunity to capitalize on FEMA's existing financial management infrastructure. That ensures grant management tools, financial controls, audits and program management are fully integrated into FEMA's processes. I understand that in the course of the recent realignment, FEMA organized a series of "Tiger Teams" and conducted several "off-sites" to conduct specific reviews of grant management and identify ways to advance financial and programmatic management of these critical programs.

If confirmed, I will work closely with the Assistant Administrator to support continued improvement in the design and operation of the administrative mechanisms needed to manage the grant programs. The Assistant Administrator will be responsible for ensuring compliance with all relevant Federal grant management requirements and delivering the appropriate grant management tools, financial controls, audits and program management discipline needed to support the programs. Both the Assistant Administrator and I will be committed to alignment of our respective roles as we will each by necessity interface directly with our stakeholders.

c. For years now, DHS has emphasized the importance of having a "one-stop shop" for grants, a single office that States and local governments can go to with respect to all DHS grants. In your view, does having two offices within FEMA handling grants undermine the concept of a "one-stop shop?" Which office will be the primary point of contact for State and local officials with grants-related questions?

ANSWER:

Effective management of these programs clearly entails a partnership within FEMA and across the Department, and this partnership will be guided by boundaries defined by Secretary Chertoff and Administrator Paulison. In terms of the administration responsibilities for financial controls and audits, the Assistant Administrator, assisted by the National Preparedness Directorate and the FEMA Regions, will remain the primary point of contact for state officials. I am committed to making the partnership with the Assistant Administrator and the other key elements of FEMA and DHS seamless to our external partners, and ensure we provide an efficient and effective "one-stop shop" for our customers.

d. Within the Directorate for National Preparedness, there are several different offices. Within which of these offices do you expect to handle grants-related matters? How will the Directorate's grants-related responsibilities fit in with the Directorate's other responsibilities?

ANSWER:

The Directorate utilizes a Centralized Scheduling and Information Desk (CSID), with a Help Line, to provide an integrated access point for inquiries. Depending on the nature of the matter, various components of the Directorate can then be charged to coordinate and respond to the inquiry. Strengthened FEMA Regions will also be armed with the expert staff and intimate program knowledge to address grant program customer inquiries at the regional level. The high degree of contact with customers by regional preparedness staff will ensure inquiries are quickly resolved.

29. If confirmed, how will you ensure that state, local and tribal recipients use homeland security grant funding to achieve national preparedness goals? What specific additional measures, if any, do you believe should be undertaken beyond what DHS is currently doing in this regard?

ANSWER:

The recent grant application cycle for FY2007, and the grant reporting processes I worked with as a senior State official provide significant measures to ensure recipients are using funding to achieve the National Preparedness Goal and national preparedness priorities. For example, grant program reporting includes an Initial Strategy Implementation Plan (ISIP) and Biannual Strategy Implementation Report (BSIR) that outline how recipients are using grant funding to meet national goals and objectives and those outlined in the State and Urban Area Homeland Security Strategies. The FY2007 application process included specific requirements for applications and investment justifications to align with the Goal and national priorities, and FEMA conducted a peer review, using over 150 State and local subject matter experts to review submissions for alignment with national priorities.

I believe the PKEMRA requirement in Section 649 to establish a comprehensive assessment system is critical to ensuring compliance with the national preparedness system, NIMS, the NRP, and other related plans and strategies, and to gauge capability levels, resource needs, and performance of training, exercises, and operations. I understand that FEMA and its partners across the homeland security / emergency management community have been working on several pilot efforts related to assessment tools and systems. If confirmed, I will evaluate these efforts to ensure they provide the means to conduct accurate assessments and report results in a meaningful and understandable way to Congress, the President, and the American people.

30. If confirmed, what steps will you take to make certain that grant guidance and other application materials are made available in a timely manner?

ANSWER:

As a former senior State official, I appreciate the importance of having adequate time to respond to guidance and to develop fully staffed and integrated applications. Congress has identified clear and specific milestones for grant guidance and applications. If confirmed, I will work closely with the Assistant Administrator for Grants Programs to review existing processes and staffing to ensure grant guidance and application kit development complies with these milestones. I believe that grant programs have reached a level of maturity and stability that will contribute to more timely production and make more time available to our grant program applicants.

31. For fiscal year 2006, DHS made several changes to the grant allocation process, including modifying its risk assessment methodology, introducing an assessment of the anticipated effectiveness of investments, and combining the outcomes of these two assessments to inform funding decisions. Subsequently, Secretary Chertoff indicated that future grants will be awarded based more on common sense and less on "bean-counting."

a. What do you believe is the appropriate balance between "common sense" and "bean-counting" in the allocation of homeland security grants? Any quantitative risk assessment methodology will have limitations, inevitably incorporate subjective elements with respect to which factors are included and how they are weighted, and, with respect to the risk of terrorism, will likely be difficult if not impossible to validate. On the other hand, if the Department simply employs "common sense" in allocating grants, it may be difficult to ensure that the process if fair and objective and that it reflects the actual risks faced by states and localities. How would you approach this dilemma?

ANSWER:

As a State official, I clearly saw the evolution of the understanding of risk as it pertains to homeland security and emergency management. Risk is a conceptual balance between danger and opportunity. Effective risk analysis allows us to make informed judgments about allocation of resources not only to address specific dangers, but also to identify opportunities where key investments can significantly advance our ability to mitigate risks across a wide range of threats and hazards. There is a degree of irreducible uncertainty in any formulation of risk, so expert judgment and experience remain important contributors to final decisions about risk, and its relationship to allocations. The FY2007 formulation incorporates familiar, standard practices of the expert risk community and the informed judgments of the intelligence community and other experts. DHS has simplified, refined, and strengthened the risk analysis formula, putting more weight on risk to people, either through population, or economic variables that represent a population's activities. DHS has also made significant strides in communicating how risk is formulated, what factors are taken into account, and the sources of data. I believe that transparency helps to ensure the process is fair and objective, and DHS has made great progress in communicating to practitioners and to elected and appointed officials how it balances the

quantitative and qualitative aspects of risk analysis. I am committed to ensuring the process has the required rigor and discipline, that sources and types of data are validated, and that we strike the right balance between transparency and operational security to maintain the integrity and confidence in our risk analysis.

b. In your opinion, what changes to the DHS grant allocation process will most effectively target funding?

ANSWER:

Over the past year, much has been accomplished in terms of acquiring feedback from grant recipients about improvements to the allocation process. Many of these suggestions are readily evident in the FY2007 grant guidance and application kit. In addition, the National Preparedness Goal, national preparedness priorities, and target capabilities now provide, for the first time, a common goal, priorities, and reference for effectively targeting grant funding.

I believe there are two important contributions FEMA can make to the grant allocation process. The first is stability. Grant recipients can best be served by a consistent, clear, timely and stable allocation and application process. The second is to ensure strengthened FEMA regions have the resident expertise and the engaged partnerships across their regions to support the allocation process.

32. In your former position as Homeland Security Director for the Governor of Maryland, what role, if any, did you play in administering federal homeland security grants that the State received? Based on your experience, how could DHS better assist grant recipients?

ANSWER:

On behalf of the Governor, I had oversight of all Homeland Security, Emergency Management, and Public Health grants related to disaster preparedness. This included Transportation and Assistance to Fire Grants. We tracked the grants at a consolidated roll up and they had amounted to $438 million (over five fiscal years) at the time I left in January 2007.

We established a Program Executive Office (PEO) function in my office. We set priorities in alignment with HSPD-5, 7, 8, 12, and 13 and tracked projects on a monthly basis that were based on the Governor's strategy. The strategy was developed by the Governor's Senior Policy Group which I chaired. This strategy directed the State Administrative Agent function to the appropriate agency from the Senior Policy Group and my office focused on creating, assessing, and measuring outcomes through program leadership.

We developed Governance groups to support key program areas, staffed an external advisory group to the Governor, established and maintained close working

relationships with local elected officials from twenty-four counties and 157 municipalities, and regularly briefed the state legislature. Based on input from the process, my office coordinated the drafting of the three year enhancement plan and the fiscal year investment justification. Someone will always be disappointed since it's a very competitive process. The peer review process was a good step forward in making the process more open.

I would propose to provide regionally based program management resources to grow and develop state and local capabilities in coordination with FEMA regional offices. In addition, I would foster regional multi-state consortia to facilitate inter-state level collaboration. And finally, I would propose to provide regional assistance teams to deliver hands on expertise for program development and consultation that produces tangible products like plan templates, workshop support, operational plan writing, and exercise design and evaluation services.

33. Each fiscal year since FY 2004 the Administration has proposed decreases in homeland security grants to state and local governments and first responders. For example, the FY 2008 request cuts the State Homeland Security Grant program by 52% from the FY 2007 appropriated level, FIRE Act grants would be reduced by 55%, and funding for the Metropolitan Medical Response System (MMRS) would be eliminated. If the President's budget were enacted, the State Homeland Security Grant Program would be reduced by 85% and overall grant funding by 40% since FY 2004.

a. Do you believe the cuts the Administration has proposed are appropriate?

ANSWER:

I believe the context for the Administration's budget is based on several factors, including the substantial level of funds awarded over the past several years, as well as acknowledgement of the amount of recent funding that has been awarded but is still in the approval and procurement processes at State and local government. With FY2007 funding, the nation will have invested nearly $20 billion in homeland security and emergency management. In my former position as a senior State official, I recognize the challenge in balancing the demand of competing priorities and, if confirmed I will ensure our resources are applied to address our highest risks and to support our national aims.

b. How will you ensure that this pattern of decreased funding will not adversely affect the preparedness of our first responders?

ANSWER:

If confirmed, I will ensure that available funding is focused on our highest risks, and that the enhanced investment processes that DHS has developed, such as a rigorous application process and peer review of investment justifications, will be

applied to fairly and objectively balance application of available resources. I believe establishing the National Preparedness System required by PKEMRA will aid in ensuring our homeland security and emergency management dollars are applied in a manner that derives the greatest all hazards capability for the Nation.

National Preparedness System

34. The Post-Katrina Act requires that the President establish a national preparedness goal and national preparedness system and complete, revise, and update (as necessary) the goal to ensure the nation's ability to prevent, respond to, recover from, and mitigate against disasters of all kinds. The goal must be consistent with the National Incident Management System (NIMS) and the National Response Plan (NRP). The President, through FEMA, is to establish a National Preparedness System that will enable the nation to meet the Goal. The Goal is intended to define capabilities and related measures for all-hazards preparedness, response, and recovery. Federal funding is now tied to the Goal's target capabilities list – based on 15 planning scenarios – and many national priorities, such as regional approaches. 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. However, DHS is still in the process of developing goals, requirements, and metrics for these capabilities and the National Preparedness Goal in light of the Hurricane Katrina experience.

a. Based on your state experience, what changes would you suggest in defining the Goal?

ANSWER:

I believe the Goal, which for the first time articulates a common preparedness framework for the Nation, captures the essential elements of the National Preparedness System, and does not require near-term changes. The Goal and national preparedness priorities were designed to be enduring, but certainly warrant periodic review and updating when changes in the strategic or operational landscape require new or modified preparedness objectives and priorities. In my experience, the process DHS used to develop the Goal was inclusive and relied on broad engagement with and input from stakeholders across the Nation. I understand that following their experience in Hurricane Katrina, stakeholders requested the opportunity to revisit the development of selected target capabilities and that an eighth priority, "Strengthen Planning and Citizen Preparedness Capabilities" was added as a direct result of the 2006 Nationwide Plan Review directed by the President and Congress after Hurricane Katrina.
I believe that my State experience and leadership can make useful contributions in ensuring the metrics we use to gauge our progress in achieving the Goal or in

considering future changes are simple, measurable, achievable, realistic, and timely.

b. What approach should be used in deciding whether and how to invest finite resources in specific capabilities for a catastrophic disaster?

ANSWER:

Effective risk analysis allows us to make informed judgments about allocation of resources not only to prioritize and address specific dangers, but also to identify opportunities where key investments can significantly advance our ability to mitigate risks across a wide range of threats and hazards. The formulation of risk has been complemented by the adoption of a capabilities-based planning approach to national preparedness. This process of designing target capabilities, which had broad and extended engagement from stakeholders across the Nation, led to the development of a comprehensive methodology for guiding how homeland security capacity in States and communities, and collectively for the Nation is sized, shaped and postured. DHS introduced this methodology in the FY2006 grant guidance and application process, and it is fully integrated in the FY2007 process. I believe it provides the means to ensure preparedness investments, programs, activities and services achieve specific operational objectives, and that States, communities, and the Nation possess the full range of and sufficient all-hazards capabilities and task proficiency for the wide range of threats and hazards we face.

c. What are the core base capabilities you believe each jurisdiction or agency should have?

ANSWER:

The development of target capabilities was an important advancement in national preparedness. President and Congress directed creation of a fully integrated, adaptable, all-hazards national preparedness system, which included developing the National Preparedness Goal and Target Capabilities List (TCL) to establish the system's all-hazards framework. The TCL is a national-level, generic model of operationally ready capabilities defining all-hazards preparedness for terrorist attacks, natural disasters, health emergencies, and other major events. It identifies thirty-seven capabilities that include both common and mission-unique capabilities. The common capabilities are central to all homeland security and emergency management agencies, and include Planning; Communications; Risk Management; and Community Preparedness and Participation. The TCL was developed with the active participation of stakeholders representing all levels of government, non-governmental organizations, and the private sector. Based on my involvement from my State role, I understand the design intent of the TCL was to provide a national network of capabilities that will be available when and where they are needed to prevent, protect against, respond to, and recover from

major events. No two jurisdictions require the same level of capabilities; the appropriate level will depend upon risk and need.

d. In your view, should the target capabilities list being developed by the Department reflect the range of necessary capabilities for diverse communities – e.g., large cities or areas at high risk of major hurricanes vs. small inland towns? If so, what will you do to ensure that appropriate capabilities are indicated for different areas? If not, why not?

ANSWER:

In my operational experience and as a senior State official, there is a core set of common capabilities that all communities, regardless of size, must have in scale to their needs and abilities, such as planning, communications, risk management, and community preparedness and participation. The Target Capabilities List (TCL) acknowledges the distinction in the type and amount of resources needed, and acknowledges that requirements are generally greater in high population, high-density areas. While, for example, an Urban Search and Rescue (US&R) Task Force would generally be needed most frequently in urban areas with high-rise buildings, Collapse Search and Rescue Teams and Heavy Rescue Strike Teams and Squads must be available to less urban areas since threats and hazards are not confined to high density urban areas. For some capability resources, such as Animal Health and Safety, the highest risk is generally not in high population, high-density areas, but in areas where livestock is concentrated.

If confirmed, I will work closely with the FEMA Regions and grant recipients to ensure these national models are applied in a manner that reflects the unique risks, needs and abilities of our States and communities.

e. What policies, procedures, or other mechanisms are needed to better leverage capabilities that can be shared across jurisdictions or agencies? What barriers must be overcome in their adoption?

ANSWER:

As a former State official, and based on my extensive planning experience, I believe that effective operational planning by States and communities is the best tool to identify capability requirements and employ capabilities with specific performance requirements. If confirmed, I will ensure that the application of sound risk management principles, effective operational planning, tools such as the Target Capabilities List, and effective threat and hazard identification guide the appropriate application of capabilities. I will work closely with Regional, State, local, territorial and tribal counterparts to provide the support they need to ensure their communities have the appropriate degree of security and resilience, and in turn contribute to the security and resilience of the United States.

f. What are some of the key metrics you believe would be most useful in assessing State and National preparedness?

ANSWER:

I understand the design intent of the target capabilities was to provide a national network of capabilities that will be available when and where they are needed to prevent, protect against, respond to, and recover from major events. The National Preparedness Goal includes a specific national priority to "Expand Regional Collaboration", and in the FY2007 grant guidance and application process DHS incentivized regional collaboration through competitive award of additional funding.

I support these efforts, and if confirmed, will work with the FEMA Regions and grant recipients to ensure strong and effective regional networks are in place. The National Preparedness Goal specifically calls for "Standardized structures and processes for regional collaboration [to] enable entities to collectively manage and coordinate activities for operations and preparedness consistently and effectively." I worked hard in my role as a senior State official to ensure Maryland had a strong and resilient homeland security network. I believe the Emergency Management Assistance Compact (EMAC), a State-to-State partnership coordinated by the National Emergency Management Association (NEMA), is an excellent example of a fast and flexible response system through which States send requested personnel and equipment to help other States. If confirmed, I will ensure National Preparedness Directorate programs, activities and services support and enable regional collaboration and resilience.

g. As Homeland Security Director in Maryland, did you employ performance metrics to assess the State's preparedness? If so, please provide some examples of the metrics you used and how they were used to enhance preparedness.

ANSWER:

Metrics are critical to assessing preparedness. As I understand it, and from my previous experience participating in discussions and forums related to national preparedness, FEMA is making significant strides in developing metrics for the target capabilities that will form the basis for assessments of State and National preparedness. Regions, States, local government, territories and tribes routinely use metrics such as those identified in National Fire Protection Association (NFPA) 1600, the Standard on Disaster/Emergency Management and Business Continuity Programs. HSPD-8 identifies the requirement to develop "readiness metrics and elements that support the National Preparedness Goal, including standards for preparedness assessments and strategies." PKEMRA requires employment of capability targets and establishes a series of periodic reports on State and national preparedness. Sound metrics that contribute to meaningful conclusions or decisions are clearly critical to assessing how prepared we are, and

for what. In my experience, metrics must be dynamic decision tools that provide both objective and subjective aspects to capture the analysis of the complex, interrelated problems homeland security and emergency management practitioners face.

As I understand and have observed, each of the current target capabilities include a description of the major activities performed with the capability and the critical tasks and measures associated with the activity. They include both preparedness and performance activities, tasks, and measures. The Target Capabilities List (TCL) describes preparedness activities and tasks as those things that should be done prior to the demand for the capability, such as development of plans, procedures, protocols, and systems, or establishment of mutual aid agreements and authorities. Performance activities and tasks are described as the actions taken to prevent, protect against, respond to, or recover from an actual event or are demonstrated during an exercise. Performance measures are quantitative or qualitative levels against which achievement of a task or capability outcome can be assessed. They describe in the TCL how much, how well and/or how quickly an action should be performed and are typically expressed in ways that can be observed during an exercise or real event.

If confirmed, I will ensure the measures and metrics employed to assess State and National preparedness abide by best practices associated with metrics development, including that they have stakeholder relevance, are clearly defined, represent explicit goals, are reliable indicators, have predictive power, provide actionable information, and are simple to collect and analyze. If confirmed, I will work with standards-making bodies to ensure existing standards are used where they exist.

h. If confirmed, how would you use performance metrics to assess the effectiveness of homeland security grant funds in enhancing preparedness?

ANSWER:

As mentioned previously, and if confirmed, I will look to the requirements in HSPD-8 and PKEMRA to guide employment of metrics, and will ensure the measures and metrics employed to assess State and National preparedness abide by best practices associated with metrics development. I will work with standards-making bodies to ensure existing standards are used where they exist.

35. The National Integration Center (NIC) is tasked with managing and updating the NIMS and the NRP. DHS is in the process of making further changes to the NIMS and NRP in the aftermath of Hurricane Katrina. The NIC is also responsible for coordinating volunteer activity with the Corporation for National and Community Service and coordination with state, local, and tribal governments concerning the deployment of first responders to disaster areas.

a. Based on your experience, are the planned revisions you are aware of to the NRP and NIMS adequate? If not, what further changes would you suggest?

ANSWER:

The DHS Secretary has responsibility under HSPD 5 to periodically review each of the documents noted above to ensure that issues are constantly being identified based on new events, concerns of the Administration, experts in the field, and end users. Both documents have been revised to reflect the concerns raised in Hurricane Katrina after-action reports.

b. What steps should DHS take to ensure the revised NRP and NIMS are fully implemented and maintained by all responsible parties, including the development of operational implementation plans?

ANSWER:

Training, education, and outreach efforts for senior leadership and the end-user community are crucial to the successful deployment and implementation of any new planning initiatives. Within FEMA, the Incident Management Systems Division (IMS) in the National Preparedness Directorate's National Integration Center is responsible for maintaining both documents and will be conducting year round outreach efforts, participating in exercises, and convening focus groups to update planning documents and operational implementation plans. As part of the outreach efforts, specific awareness training will be released for each Emergency Support Function (ESF), Incident Annex, and Support Annex. Outreach efforts will also include teleconferences to our stakeholders across the Nation.

c. How do you plan to exercise and train on the revised NRP and Catastrophic Incident Supplement?

ANSWER:

An implementation strategy has been developed and is currently in the process of being finalized. This implementation strategy includes a series of tabletop exercises for each Federal region to be conducted in conjunction with our stakeholders at the State, local, tribal levels and for private sector and non-governmental organizations.

Additionally, within FEMA, the National Exercise Division (NED) is coordinating with IMS to incorporate testing the revised National Plans (to include revisions made to the National Response Plan, National Incident Management System, and the Catastrophic Incident Supplement) into future exercises. Once revisions have been finalized and approved, all forthcoming Tier 1 and Tier 2 exercises within the National Exercise Program will incorporate objectives that will ultimately test the effectiveness of these interlocking systems.

The TOPOFF 4 exercise team is coordinating with National Plans revision teams to incorporate updated plans, policies, and procedures into a TOPOFF 4 National Seminar.

d. In your view, what are the greatest difficulties in coordinating volunteer activity at a national level? What solutions might resolve any difficulties?

ANSWER:

First responders are just one percent of the population and can be overwhelmed or unable to reach an incident scene immediately. As such, citizens who have been trained in emergency preparedness and response can provide critically needed assistance to overburdened responders.

DHS is working to address gaps in coordination and integration of volunteers that were identified in the White House's Hurricane Katrina Lessons Learned Report. These lessons learned showed a need to expand the pre-disaster volunteer planning and relationships to other organizations, including the private sector, to include volunteer services and resources that have not traditionally been included in pre-disaster planning. For example, during Katrina, private sector and other nongovernmental organizations offered to provide technical services for functions that were not built into our pre-disaster planning and relationships.

In coordinating volunteers for disaster response, there's an important distinction between volunteers who are affiliated with an organization that has pre-disaster relationship with government (whether local, State or Federal) and spontaneous volunteers who want to help in a crisis but are not affiliated with a responder organization.

FEMA and all levels of government rely on the core of traditional voluntary organizations to leverage affiliated volunteers, including traditional Voluntary Organizations Active in Disaster (VOADS), who play an important role in training and providing volunteers for disaster missions. At the National level, we are working to improve our ability to coordinate with voluntary organizations and affiliated volunteers. In addition, State and local government-sponsored volunteer programs are an emerging source of affiliated volunteers primarily through Corporation for National and Community Service (CNCS) and Citizen Corps programs like Community Emergency Response Teams (CERT), Medical Reserve Corps and Volunteers in Police Services (VIPS).

Systems for managing spontaneous or unaffiliated volunteers in a disaster are a critical element in ensuring we leverage and integrate volunteers to expand emergency surge capacity. The National Response Plan has a support annex that addresses management of unaffiliated volunteers and unsolicited donations. Through this annex, support is provided to all Emergency Support Functions

(ESFs). FEMA is also working with VOADs and Volunteer Centers (Points of Light) to strengthen State and local level training for planning and managing systems to incorporate spontaneous volunteers into response operations.

As support for increasing the use of trained and affiliated volunteers, FEMA is working to expand resource typing to include more functions that can be performed by trained volunteers and to address critical issues of liability and credentialing.

e. What are the greatest difficulties in coordinating with state, local, and tribal governments in deploying first responders to disaster areas? What solutions might resolve any difficulties?

ANSWER:

The greatest difficulty is ensuring that information is communicated in a timely manner to all those entities noted above and that all these entities understand the command structure and reporting chain. Once the command structure is established and key personnel are identified, frequent communication is the best tool to resolve difficulties which may arise. Within FEMA, IMS is working closely with the Emergency Management Assistance Compact (EMAC) personnel to ensure the timely movement of typed resources, teams, and credentialed personnel to disaster areas.

36. What kind of outreach activities do you anticipate the National Preparedness Directorate division taking to educate local officials, first responders, and individuals? What is the main point of entry for state and local officials in FEMA?

ANSWER:

I understand the National Preparedness Directorate already has extensive outreach activities among its constituent elements, and if confirmed, I will ensure the National Preparedness Directorate's principal focus continues to center on an engaged partnership with its customers.

Improvements in the FY2007 grant guidance and application kit appear to be a direct reflection of the Directorate's extensive outreach. They hosted national conferences to solicit feedback on the program and application process, and introduced an optional mid-term review during the application period so that states and urban areas could have DHS review draft applications and give guidance prior to the final deadline.

Among other examples of extensive outreach, I understand the Directorate is responsible for conducting Mobile Education Team (MET) seminars, under a partnership with the Naval Postgraduate School's Center for Homeland Defense and Security that are intensive, half-day seminars designed for state governors, their

homeland security teams and for major urban area leaders. These MET seminars focus exclusively on enhancing the capacity of top government officials to address new homeland security challenges. The Directorate's Emergency Management Institute offers an exercise-based Integrated Emergency Management Course that addresses preparedness and response in emergency situations and is conducted for audiences that represent various communities from throughout the country, as well as audiences comprised of participants all from one community. This places public officials and other key community leaders in a disaster simulation to allow for structured decision making in a learning, yet realistic, environment.

37. Many, if not most, preparedness efforts require regional or even multi-state efforts: communications interoperability, security for regional and interstate transit systems, and evacuations planning are three obvious examples. If confirmed, what specific steps would you take to encourage regional and multi-state planning and preparedness?

ANSWER:

I observed that the FY2007 Homeland Security Grant Program guidance and application kit offered an incentive for multi-state investments (shared Investments between two or more States, or between two or more Urban Areas participating in the UASI program.) The guidance indicated that applicants who propose one multi-State or multi-Urban Area Investment may receive up to a 5% bonus, and applicants who propose more than one multi-State or multi-Urban Area Investments may receive up to an 8% bonus. If confirmed, I will analyze the results of this promising initiative and seek input from grant recipients regarding its utility.

If confirmed, I will ensure the Directorate prioritizes planning modernization. While much work has been accomplished by Federal departments and agencies, and state and local governments in recent months, the National Academy of Sciences identified planning as "the Achilles Heel of homeland security." The 2006 Nationwide Plan Review results indicated that much work remains to be done to bring planning to a level where we share confidence in our respective plans and planning. It also identified evacuation planning as requiring specialized attention, given its complexity, the import of addressing the socially vulnerable and special medical needs populations, and the potential impact not only on the States at risk, but on the states that could potentially host evacuees.

I understand that the Directorate is working closely with the Department of Commerce to implement the Public Safety Interoperability Grant Program, and that program requires development of statewide interoperability plans. Since interoperability has historically been the highest expenditure in DHS grant programs, if confirmed, I will work closely with the Department of Commerce, with the DHS Office of Emergency Communications, and with our state and local partners to ensure interoperability planning and resource allocation can achieve meaningful and measurable improvements in the state of communications interoperability.

If confirmed, I will continue and enhance the strong working relationship I understand the Directorate enjoys with its partner, the Transportation Security Agency (TSA), in ensuring transit security grants target the most urgent risks and needs for regional and interstate transit systems. I believe the FY2007 Transit Security Grant Program, including regional outreach sessions that included TSA and Directorate representatives reflects this strong partnership, and couples the subject matter expertise of TSA with the experience and grants program management capabilities of FEMA.

I firmly believe, and my experience reinforces that the value of planning rests in its proven ability to determine how to influence events before they occur, and in its indispensable contribution to unity of effort. Planning is part of the broad context of incident management, and I firmly believe it is an essential activity of homeland security. The President identified emergency planning as a national priority, and this prioritization is reflected in the National Preparedness Goal. Congress identified specific requirements related to planning in PKEMRA. My experience reinforces that to be effective, planning must be conducted in an atmosphere of trust and mutual understanding. It cannot be formulaic or scripted, since no planner can anticipate every scenario or foresee every outcome. In my experience, the value of effective planning is not determined by whether every action transpires exactly as planned, or in the elimination of risk or uncertainty, but in the development of a sound framework for action in the midst of it.

Exercises and Training

38. Realistic exercises, challengingly designed and honestly assessed, are a key component of ensuring adequate emergency response capabilities. The Post-Katrina Act directed the Administration to establish national exercise and training programs. GAO recommended DHS provide guidance and direction for federal, state, and local planning, training, and exercising to ensure such activities fully support preparedness, response, and recovery responsibilities on a jurisdictional and regional basis.

    a. What will be your goals and priorities in developing national level exercises as required by section 648 of the Post-Katrina Act?

    ANSWER:

    Exercises play a pivotal role in preparing the Nation to respond to natural disasters and acts of terrorism. In addition to providing homeland security officials with an opportunity to practice critical functions, they are a forum for evaluating the adequacy of existing capabilities, plans, policies, and procedures. In my experience, exercises and the gaps they uncover are critical to more effective targeting of preparedness investments, programs, activities and services.

PKEMRA confirmed the utility of a suite of National Planning Scenarios to reflect the relative risk presented by all hazards, including natural disasters, acts of terrorism, and other man-made disasters. I believe these reflect representative threats and hazards that should be systematically addressed in national level exercises. I understand that FEMA is well-along in planning for the Top Officials (TOPOFF) exercise slated for October of 2007. Since our system is highly decentralized, and in situations where we lack experience, such as many potential homeland security scenarios, exercises like TOPOFF serve, at least in part, as a substitute for experience. They provide opportunities to anticipate conditions, demonstrate performance, and to systematically think through potential problems and workable solutions.

Both HSPD-8 and PKEMRA call for the creation of a National Exercise Program. While I have observed progress toward the creation and implementation of such a program, I believe much work remains to be done in prioritizing, scheduling, and follow up to exercise activities. If confirmed, I will strongly support the interagency-wide exercise program that provides for a program of exercises requiring the participation of Cabinet officers and other key officials, and a Five Year Exercise Schedule that reflects U.S. Government-wide strategic and policy priorities.

b. How would you assist state and local jurisdictions with the design, implementation and evaluation of exercises?

ANSWER:

I believe one of the most successful, but perhaps unsung efforts of the Department has been the development and promulgation of the Homeland Security Exercise and Evaluation Program (HSEEP) Policy and Guidance Volumes. They provide a standard methodology for exercise design, conduct, and evaluation. State and local recipients of Department of Homeland Security grants are already required to adhere to HSEEP Policy and Guidance. If confirmed, I will ensure our exercise programs are more closely linked to operational planning to ensure plans are tested in rigorous and realistic environments.

In addition to HSEEP, the Directorate has other strong and successful programs to assist State and local jurisdictions with the design, implementation, and evaluation of exercises, including the Tactical Interoperable Communications Program (TICP) and the Terrorism Prevention Exercise Program (TPEP). These programs have provided valuable assistance to States, local governments, territories, and tribes, and if confirmed, I look forward to working with the program managers to ensure these programs are administered in a way that provides the greatest service to our customers.

c. How would you ensure that federal, state and local jurisdictions implement lessons learned from such exercises?

ANSWER:

In my experience, preparedness requires a continuous cycle of activity, since it is a quest and not a guarantee. This cycle includes planning, organizing, staffing, training, educating, equipping, exercising, evaluating, assessing, correcting and improving performance. The effectiveness of the preparedness cycle is only as good as the effectiveness of each step, and the lessons from performance in exercises, as well as in real-world events are the fuel for improvements in our plans, organization and staffing, training, education, and equipping.

The National Preparedness Directorate administers the Lessons Learned Information Sharing (LLIS.gov), a national on-line network of lessons learned and best practices designed to help emergency response providers and homeland security officials prevent, prepare for, respond to, and recover from all hazards, including terrorism. LLIS.gov enhances national preparedness by allowing response professionals to tap into a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

LLIS.gov has a membership in the tens of thousands, allowing the Directorate to communicate lessons learned and best practices directly with emergency response professionals across the country. If confirmed, I look forward to working with the LLIS.gov team to ensure lessons learned become lessons implemented, and that our grant and other Directorate programs demonstrably capture the impact of lessons from exercises and real world events.

d. Based on your experience, what changes would you make in FEMA's current training program?

ANSWER:

I understand that FEMA established a "tiger team" during the course of the organizational realignment to specifically examine the capacity and programs, services and activities of training institutions and training providers that are part of the new Directorate. If confirmed, I will analyze the results of this process to understand and identify potential changes.

Both HSPD-8 and PKEMRA call for establishment of a National Training Program.
If confirmed, I will ensure the Directorate's training efforts are directed at establishing and carrying out the Program to implement the National Preparedness Goal, the National Incident Management System, the National Response Plan, and other related plans and strategies. I will work with the exceptional team of

training partners to ensure specialized, state-of-the-art training is provided for all homeland security and emergency management providers.

Medical Preparedness

39. What do you think are the most crucial elements of preparedness for a pandemic flu? As FEMA Deputy Administrator for National Preparedness, how would you facilitate cooperation between state and local officials in the event of pandemic flu? How do you think the performance of first responders will differ in a flu situation from other threats? How would you recommend that we deal with the contingent of first responders who are hesitant to respond for fear of putting themselves and their families at increased risk?

ANSWER:

Secretary Chertoff and Secretary of Health and Human Services (HHS) Michael Leavitt have clearly articulated that the most crucial element of pandemic influenza preparedness is readiness of State, local, territorial, tribal, and private sector entities, and this must be coupled with the awareness and readiness of families and individuals. Secretary Leavitt, CDC Director Dr. Julie Gerberding, and DHS Chief Medical Officer Dr. Jeffrey Runge all make the convincing case that pandemic influenza would be a global event that would stretch the capacity of all levels of government. In my view, these leaders have correctly characterized that the nature of this event will tax our Nation's resources in an unprecedented manner.

Education and a well-practiced response are the best antidotes for fear. The Directorate's on-going National Pandemic Influenza Exercise series with HHS and communities across the nation provides a key service in identifying the unique characteristics of a pandemic. Many of the medical capabilities in the Target Capabilities List were developed under the leadership of HHS and in a broad partnership with state and local public health and medical experts. Both HHS and DHS have conducted extensive outreach and training for State and local officials and responders, and these efforts, exercises and well-documented capabilities are key to dispelling the fear associated with a potential pandemic. If confirmed, and based on my experience in working in the medical community, I will ensure pandemic preparedness receives the priority it warrants as a global threat.

Regional Partnering

40. The Post-Katrina Act formally established the ten FEMA regional offices and gave significant new responsibilities to the Regional Administrators. For example, they must have regional capabilities for a national catastrophic response system; develop regional plans that support the NRP, and maintain and operate a regional response

coordination center. What initiatives do you plan to implement to ensure that regional offices meet their national preparedness responsibilities?

ANSWER:

First and foremost I look forward to working closely with the FEMA Regional Administrators and their staff to ensure the effective implementation of their national preparedness responsibilities. Since the PKEMRA legislation calls for strengthened FEMA Regional Offices, there will need to be a close working relationship between the FEMA headquarters program components and their regional counterparts to ensure effective support to, and cooperation with, our State and local, Tribal and private sector partners in the regions. As we implement the national integrated preparedness program and ensure full and effective communications with our partners, the expanded preparedness support staff in the field will help integrate the preparedness functions in the regional offices just as we will be working to do in headquarters. As the preparedness function becomes more and more integrated into all of FEMA's programs and functions, incorporation in the regions will ensue.

41. The National Preparedness Goal prioritized regional coordination. What do you see as the major challenges in regional partnering based on your experience as Maryland's Homeland Security Advisor and your involvement with jurisdictions for the National Capital Region in developing homeland security programs in the area?

ANSWER:

States and local jurisdictions will not agree to initiatives that appear to create a model where the federal government is imposed as directing the states and local jurisdictions. The alternative that I have found to work is to mutually develop and create governance structures that share authority and responsibility. Every state is different and every administration is different within states. In Maryland, we found that the Anti-Terrorism Advisory Council model worked very well.

We also developed a multi-state consortium to allow the states in coordination with local government, private sector, and academia to collaborate with the federal government. A similar approach has been established in the Pacific Northwest. Through the consortium we submitted a quad state grant proposal for interoperability that was groundbreaking for DHS. When I left we were just beginning the concept of engaging FFRDC's to collaborate with the consortium. We have to give the FEMA Regional Administrators the tools, requirements, and frameworks to employ these approaches.

42. Through its grant guidance, DHS has encouraged regional and multistate planning and preparation. Planning, however, often seems to be an afterthought. GAO's investigation of interoperable communications, for example, found limited progress in developing statewide interoperable communications plans to guide equipment

purchases. Based on your experience, how can FEMA better emphasize regional and multi-state planning?

ANSWER:

As noted in my previous responses, planning is part of the broad context of incident management, and I firmly believe it is an essential activity of homeland security. The President identified emergency planning as a national priority, and this prioritization is reflected in the National Preparedness Goal. The Public Safety Interoperable Communications Grant Program will require States to provide a statewide interoperable communications plan to guide not only equipment purchases, but all aspects of the SAFECOM interoperability Continuum, including Governance, Standard Operating Procedures, Technology, Training and Exercises, and Usage.

Our homeland security and emergency management challenges unequivocally support a fundamental modernization of planning. Rapid homeland security mission expansion and the diversity of risks have outpaced our planning processes, doctrine and tools. 21st century preparedness requires transforming the way we think about, perform, and value the art and science of planning. It is my understanding that FEMA is in the process of developing a detailed approach to comprehensive planning modernization, based on the results of the 2006 Nationwide Plan Review and recent efforts related to evacuation planning in the Gulf Coast in preparation for the 2007 hurricane season. I will work with other elements of FEMA and the Department, and our stakeholders to ensure the development of sufficient trained planners to meet and sustain planning requirements; to link planning, preparedness and resource and asset management processes and data; and to prioritize plans and planning efforts to best support homeland security strategies and allow seamless transition to execution.

43. The National Capital Region (NCR) has struggled to develop a strategic plan that includes clear measurable goals and priorities for preparedness and response. In commenting on the NCR's strategic plan in September 2006, GAO observed that additional information could be provided regarding the type, nature, scope, or timing of planned goals, objectives, and initiatives; performance expectations and measures; designation of priority initiatives to meet regional risk and needed capabilities; lead organizations for initiative implementation; resources and investments; and operational commitment. What progress has the NCR made in developing more specific priorities and preparedness measures for the NCR that can be used to measure the achievement of specific preparedness goals? What has been the principal challenge to developing such priorities and performance measures?

ANSWER:

The NCR Strategic Plan is the first and only regional preparedness plan in the Nation that incorporates capability and planning development between multiple levels of government to include a state, commonwealth, major urban area, and several local jurisdictions. From the creation of the strategic framework in 2003 through the

development the NCR Strategic Plan in 2006 the region made great progress in coordinating, creating and developing a common vision of preparedness. This progress is evident throughout the region. Capabilities such as the NCR radio caches that support regional events, protective equipment for NCR responders, increased capacity to handle and transport mass casualties via ambulance buses, common information sharing tools for regional emergency operations centers are just a few examples of the progress made in the region. It should be noted that the region has also been recognized as among the most prepared regions in its tactical interoperable communications capability.

The strategic plan left in place for my successors in the region included four high-level goals, twelve key objective that support those goals, and more than thirty initiatives to complete the objectives. As stated in the Plan, the "content and priorities have been developed entirely by the Region's local, State, Regional, and Federal stakeholders through a consensus-based process..." displaying the regional leaders' continuing commitment to work together and ensure local jurisdictions are empowered and engaged in the process. In addition to the Strategic Plan, the region instituted a robust program management capability to successfully execute the Initiatives and track their progress.

It is my understanding that the regional leadership continues to engage with GAO to address the observations noted, and was set to brief GAO in June 2007 on the progress made in developing more specific priorities and preparedness measures. However, a key challenge that remains is that the Plan is not static; it must be flexible and adaptive to changing conditions, policies, and resources. Representatives from the region's Senior Policy Group also commented on challenges to implementing the regional strategy in September 28, 2006 testimony to the Senate Subcommittee on Oversight of Government Management, the Federal Workforce, and the District of Columbia, that "A challenge we recognize is that local and state governments will eventually own the future support..." of building enduring capabilities. Even though some Initiatives may be considered "completed", many will require continual financial commitment for maintenance and training.

National Preparedness Capacity

44. National Preparedness is a new entity integrating existing organizations but with a broad mandate regarding the development, implementation, and assessment of the National Preparedness System.

    a. What do you see as the short-term and long-term challenges in creating and sustaining the new organization?

ANSWER:

Perhaps the greatest challenge facing the Directorate in the near-term is its successful integration with the new FEMA and coordination with other parts of the Federal interagency, States, and local governments. I understand that FEMA established a series of "tiger teams" to ensure all aspects of establishing the new Directorate were addressed and that critical preparedness programs, activities and services could continue with little or no disruption.

Over the longer term, the most significant challenge will be to create a strong culture of preparedness that pervades all levels of government, the public, and the private sector. In addition, the Directorate will face unique challenges in integrating and synchronizing preparedness programs, activities and services and developing and realizing a *National* vision for Preparedness in a *federal* system, and for the highly complex and interrelated problems we face. This puts a premium on dialogue within the Directorate, FEMA, the Department and with our stakeholders across the Nation.

b. What would be your first steps in assessing the current capacity of National Preparedness?

ANSWER:

If confirmed, a nationwide baseline assessment of preparedness must clearly be a priority. A nationwide preparedness baseline assessment is important to effectively identify and establish appropriate benchmarks and metrics. The Nationwide Plan Review demonstrated that DHS can conduct a nationwide assessment of preparedness plans, draw conclusions, and develop actionable programmatic recommendations to address the deficiencies identified by the data. If confirmed, I will quickly assess where Directorate programs are in development of the assessment tools, measures and metrics identified in HSPD-8 and PKEMRA, and focus Directorate efforts on the means to expeditiously baseline the Nation's preparedness.

c. What other initiatives might be planned to strengthen the management of DHS's National Preparedness System?

ANSWER:

I understand and have observed that DHS and elements of the new National Preparedness Directorate have made concerted efforts to engage and solicit feedback from stakeholders. Whether conducting pilot assessments or in developing a prototype comprehensive assessment system, my experience is that all elements of the Directorate are committed to seeking stakeholder input and feedback for strengthening the management of the National Preparedness System. If confirmed, and based on my State experience, I have a strong commitment to

continuous dialogue with, and for improving the Directorate's process of seeking stakeholder feedback.

45. The U.S. has lived under the threat of nuclear attack since the beginning of the Cold War. Today many experts worry about the effects of a "dirty bomb" attack. A "dirty bomb" involves conventional explosives combined with radioactive material or biological agents. The damage from these devices could spread well beyond the blast field and could produce mass panic with devastating consequences in terms of both casualties and economic impact. If confirmed, how will you insure that the National Preparedness Directorate includes such a scenario in its training and exercising?

ANSWER:

The National Planning Scenarios, which are a component of the National Preparedness System, include a Radiological Dispersal Device (RDD) scenario. The National Preparedness Goal includes a national preparedness priority that states: "Chemical, biological, radiological, nuclear, and explosive (CBRNE) detection, response, and decontamination capabilities are developed to target levels in the States, territories, and designated urban areas that are consistent with measures and metrics established in the TCL." Elements of the Directorate have conducted exercises involving RDD, most notably in the Top Officials (TOPOFF) 2 Exercise, in which the city of Seattle, Washington, conducted a full-scale exercise to test the response to an RDD. The Target Capabilities List (TCL) includes several capabilities that support preparedness for RDD attacks, such as CBRNE Detection, WMD/Hazardous Materials Response and Decontamination, Responder Safety and Health, and Environmental Health. Training institutions and partners in the Directorate provide specific training for RDD response.

If confirmed, I will ensure that this National Planning Scenario and the capabilities associated with effective response to RDD attacks are exercised at the proper frequency and scale to ensure sufficient task proficiency and sufficiency of capabilities.

V. Relations with Congress

46. Because of the critical nature of DHS's mission, Congressional oversight remains considerable and an important means of reporting on the Department's performance. Timely and accurate access to federal agency records and other information and to federal officials is necessary for Congress to fulfill its oversight responsibilities.

a. Do you agree that this Committee and other Committees of jurisdiction have a responsibility to oversee FEMA's transformation and its operations?

ANSWER:

Yes.

b. Do you pledge to cooperate with this oversight and provide the Committee and or its agents timely and complete access to officials and employees and needed documents?

ANSWER:

I will cooperate with the Committee's oversight and provide access to officials, employees, and documents in accordance with the applicable law and authority.

c. Can we expect you to cooperate with the GAO as they carry out actions to assist the Congress in its oversight?

ANSWER:

Yes, I will cooperate with the GAO in accordance with the applicable law and authority.

d. Will you agree to timely cooperate in all aspects with any GAO inquiry?

ANSWER:

Yes, I will cooperate with the GAO in a timely manner in accordance with the applicable law and authority.

e. What, if any, limitations would you attempt to impose upon Congressional or GAO access to federal agency information and to key federal officials within DHS?

ANSWER:

I will provide Congress and GAO access to information in accordance with the applicable law, authority and procedures for review and coordination.

f. How do you propose resolving any potential disputes regarding access to federal information and officials?

ANSWER:

I will work with Congress and GAO to resolve any issues that might arise.

47. Do you agree, without reservation, to respond to any reasonable summons to appear and testify before any duly constituted committee of the Congress if you are confirmed?

ANSWER:

Yes.

48. Do you agree, without reservation, to reply to any reasonable request for information from any duly constituted committee of the Congress if you are confirmed?

ANSWER:

Yes.

VI. Assistance

49. Are these answers your own? Have you consulted with DHS or any interested parties? If so, please indicate which entities.

ANSWER:

The questions that asked for my opinions, observations, or plans that I have first hand experience with are solely my answers.

Some of the questions are at a level of detail that I would not have had the opportunity to have internal knowledge of the organization to make a reasoned judgment. Therefore, I have received routine pre-confirmation briefings from the White House Personnel Office, DHS, and FEMA offices that have assisted me in developing those answers.

AFFIDAVIT

I, Dennis R. Schrader, being duly sworn, hereby state that I have read and signed the foregoing Statement on Pre-hearing Questions and that the information provided therein is, to the best of my knowledge, current, accurate, and complete.

Dennis R. Schrader

Subscribed and sworn before me this 6th day of July, 2007.

Rosie M. Lett

Notary Public

ROSIE M. LETT
NOTARY PUBLIC DISTRICT OF COLUMBIA
My Commission Expires June 30, 2009

United States
Office of Government Ethics
1201 New York Avenue, NW., Suite 500
Washington, DC 20005-3917

April 19, 2007

The Honorable Joseph I. Lieberman
Chairman
Committee on Homeland Security
and Governmental Affairs
United States Senate
Washington, DC 20510-6250

Dear Mr. Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Dennis R. Schrader, who has been nominated by President Bush for the position of Deputy Administrator for National Preparedness, Federal Emergency Management Agency, Department of Homeland Security.

We have reviewed the report and have also obtained advice from the Department of Homeland Security concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is a letter dated April 17, 2007, from Mr. Schrader to the agency's ethics official, outlining the steps Mr. Schrader will take to avoid conflicts of interest. Unless a specific date has been agreed to, the nominee must fully comply within three months of his confirmation date with any action he agreed to take in his ethics agreement.

Based thereon, we believe that Mr. Schrader is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Robert I. Cusick
Director

Enclosures

Senator Joseph I. Lieberman
Additional Questions for the Record
Nomination Hearing for Dennis R. Schrader
July 25, 2007

1. **One of the key aspects of the Post-Katrina Act put preparedness back into FEMA, reuniting preparedness with response. If you are confirmed as the Deputy Administrator for National Preparedness, you will have very important responsibilities for fully integrating preparedness into FEMA. How will you work with FEMA's Office of Disaster Operations, who is in charge of the response, to make sure preparedness and response are working hand in hand together? How will you coordinate preparedness and response within FEMA to make sure business cards aren't being exchanged during the response to a disaster?**

   Response: If confirmed, it is my intention to work with all of the DHS/FEMA Directorates and Offices in a comprehensive and coordinated way to ensure that preparedness concepts are incorporated into all of DHS/FEMA's programs and that our preparedness efforts are informed by the knowledge base of the other DHS/FEMA programs.

   We will establish a national planning system and community that will train together and each level of the planning hierarchy will be coordinated. Preparedness would facilitate the process of designing the relationships and coordinate the product development cycle. For example, the FEMA disaster Operations team would lead the plan development for FEMA. The Regions would use those plans to facilitate their plans and State and local planning.

   I understand that, as part of the implementation effort for the Post-Katrina Emergency Management Reform Act of 2006 (PKEMBRA), DHS/FEMA has already been conducting meetings between preparedness staff and each of the DHS/FEMA operational directorates. These meetings are intended to identify points of synchronization in order to increase operational efficiencies, avoid duplication of efforts, incorporate preparedness concepts where appropriate and effective in DHS/FEMA's other programs, and identify ways the Agency's preparedness efforts could be structured to address issues identified by the other DHS/FEMA entities. In the area of Disaster Operations, I see potential for greater coordination and integration in the area of planning, identification of response preparedness gaps, training and education, exercises, and improved links to intelligence information, among others. It is my intention to build upon the work already begun at DHS/FEMA in order to further improve the coordination and integration of preparedness into the Agency's other directorates and to inform the development of our preparedness efforts to better address the needs of DHS/FEMA's other program efforts, including response, recovery and mitigation.

2. **Prior to the creation of the new FEMA, DHS had a single office that handled Grants, training and exercises (the "Office of Grants and Training"). When this**

office was moved into FEMA as part of the creation of the revived agency, DHS chose to separate out these functions, so that the Office of Grant Programs will now handle grants allocations and administration, while your office will handle training, exercises and other preparedness activities. Nonetheless, there is still a crucial link between grants and other preparedness functions. Given this close link between the responsibilities of the National Preparedness Directorate and the Office of Grant Programs, how do you plan on working with that office? What are the areas in which you think collaboration is most essential?

Response: As both the Grants Office and the Preparedness Directorate report to Administrator Paulison, I am confident we will have clear and concise policy guidance and support for both offices. Also, a clear and effective partnership currently exists between the National Preparedness Directorate and the Office of Grant Programs that allows cooperation and collaboration at multiple levels of the grant process. The joint resources of the two offices allow for a more robust capability in grant administration and financial management. The Preparedness Directorate will continue to be responsible for establishing requirements based on the National Preparedness System and assessment of outcomes and effectiveness. Providing clear and concise grant guidance together with a coordinated application review process for State and local agencies will be primary areas of cooperation between our two offices.

As part of this relationship, I will work to ensure that the National Preparedness Directorate and Office of Grant Programs develop the tools necessary to administer an effective and efficient grant program. If confirmed, I will support the Assistant Administrator in continuing to expand the design and operation of the administrative mechanisms needed to manage the grant programs. Soliciting stakeholder feedback to continue to improve the grant process will also be a responsibility of both offices. Our goal should be to provide a seamless, fully integrated, "one-stop shop" for our external partners and customers utilizing the Regions to provide coordination and effectiveness coaching and oversight for our State and local partners. This partnership will continue the critical cooperative relationship of financial and programmatic monitoring whereby financial specialists and preparedness officers perform monitoring in teams to cover the entire range of compliance and effectiveness monitoring.

3. **In Katrina, one of FEMA's problems was that FEMA's emergency response teams were inadequately trained and exercised. If confirmed, how would you go about ensuring FEMA's response teams are adequately trained and exercised?**

Response: It is my understanding that DHS/FEMA has undertaken a number of initiatives to improve the capabilities of its emergency response teams, and they are in the middle of developing a new generation of emergency response teams to meet the challenges of all-hazards emergencies and disasters. DHS/FEMA has a tiered disaster response framework, with several disaster response teams ready to provide varying levels of response depending on the circumstances and related requirements.

I would anticipate the Emergency Management Institute and other training institutions within the National Preparedness Directorate to play a significant role in designing both the training and exercise programs to ensure the response teams are capable of fulfilling their functions when deployed. In fact, the consolidation of training, education, and exercise programs within FEMA's National Integration Center will improve the quality and availability of such services to all FEMA personnel, including its response teams.

- The Federal Incident Response Support Teams (FIRSTs) provide preliminary on-scene federal management and important situational awareness for the Department. FIRSTs can deploy within two hours of notice and arrive on scene in 12 hours or less.

- Advanced elements of Emergency Response Teams (ERT-As) are regional disaster response teams that can be deployed within six hours of notice of an event and arrive within 12 hours.

- The National Emergency Response Teams (ERT-Ns) are national disaster response teams. Similar to the ERT-As, ERT-Ns can be activated and deploy within 12 hours of notice and arrive on-scene within 24 hours.

- Mobile Emergency Response Support (MERS) detachments are specialized response teams designed to provide mobile telecommunications, life support, logistics, operational support and power generation. MERS detachments can deploy within four hours of notification of an event.

It is my understanding that the Department's responses to recent storms and tornados have demonstrated the capacity and readiness of these teams. In response to Tropical Storm Ernesto and to the recent tornados in Florida and Alabama, the FIRST arrived approximately seven hours after being deployed and the same day that the storms struck, respectively.

4. **The Post-Katrina Emergency Management Reform Act required the establishment of a national preparedness system, which has several components, some of which include building target capabilities, training and exercising, and assessing our level of preparedness. What will be your priorities in implementing the national preparedness system? How will you build and improve our nation's preparedness at all levels of government – federal, state, and local?**

Response: In implementing the National Preparedness System, I would utilize the eight national priorities delineated by the National Preparedness Goal and those target capabilities deemed essential to all jurisdictions to establish metrics and develop a simple baseline for preparedness assessment. Effectively assessing the capabilities of each jurisdiction is crucial in developing Homeland Security policy that accurately reflects national aims and the needs of State and local stakeholders. If confirmed, I would work closely with the Regions to engage State and local governments to establish preparedness metrics that have stakeholder relevance, are clearly defined, represent explicit goals, and

are simple to collect and analyze. If confirmed, I will work with standards-making bodies to ensure existing standards are used where they exist. We will also expand the scope of our engagement to collaborate with DHS' Chief Learning Officer and the Private Sector Office to build professional development nationally at the State and local levels as well as the private sector.

5. **In addition to routine disasters, the Post-Katrina Act charged the new FEMA with being prepared for and able to respond to catastrophes – when by definition state and local officials are overwhelmed – something the old FEMA was never built to do. Given that many of the failures during Katrina were attributed to the fact that FEMA was not prepared to respond to a catastrophe, please explain how you, if confirmed, plan to build FEMA's preparedness so FEMA can respond to a catastrophe?**

Response: Administrator Paulison has already made many changes based on the Post Katrina Emergency Reform Act of 2006 and the Homeland Security Council's 125 recommendations. He has established a transformation office that has lead the integration of Preparedness into FEMA on 1 April, 2007, established a Logistics Directorate, hired the Regional Directors, hired the Disabilities Coordinator, and established a policy of engaged partnership with State and local government, pre-scripted mission assignments, and pre-negotiated contracts for logistics support. There is clearly momentum for change.

We will build on these initiatives by developing regional capabilities to support preparedness to State and local governments and the private sector. We will also be designing a planning, training and exercise system that supports the engaged partnership policy, as well as developing an assessment process that measures Federal, State, and local preparedness of which FEMA will be a key component. We also will support strengthening the Emergency Management Assistance Compact's (EMAC) capacity to facilitate mutual aid.

FEMA employees have always taken great pride in preparing for the broad spectrum of potential disasters, which are by definition, not routine and potentially catastrophic. It is my intention to work to improve this level of preparedness of DHS/FEMA's programs as well as those of our State and local partners through our coordinated implementation of our grant, training and exercise, technical assistance, and planning programs. Our exercise and training programs will also help build increased capability in the agency's response operations so they are better able to address the needs of a catastrophic incident.

6. **One of the priorities of the Post-Katrina Emergency Management Reform Act was to build up FEMA's regional offices. Do you feel it is important to build up preparedness functions in FEMA regional offices? If so, how would you go about enhancing preparedness functions in the FEMA regional offices?**

Response: Yes, I do. The FEMA Regional Offices are the key to building a nation-wide system of preparedness. The Preparedness Directorate will be the architect of the preparedness system. The regions should implement the system with the states, local government, and private sector as well as the regional Federal offices of the various Federal agencies throughout the country. In this regard, the states can play an integrator role with the FEMA regions taking the lead to bring all the stakeholders together.

The regions will have to be systematically resourced to accomplish this mission by programming the resources to build regional capacity.

If, confirmed I would recommend initially providing seed positions to the regions and contractor resources to support the states and local jurisdictions in planning, training, and exercises. The exercises should be embedded within the five year national exercise plan as it is developed.

There is also a need to maintain a strong link among the many preparedness efforts for enhancing capabilities across each of the prevention, protection, response, and recovery missions. If confirmed, I would build on the work already begun by DHS/FEMA to increase capabilities at their regional offices, and to greatly strengthen the regional preparedness capability in order to support stronger relationships with State and local partners while at the same time, increasing coordination with the other DHS/FEMA programs at the regional level.

The grant guidance should be tied to this process through coordination between the states and Urban Areas as they develop their annual grant submissions. The FEMA regions should become the consultants and advise states and Urban Areas on the quality of their applications.

7. **FEMA's job as coordinator of the NRP is to ensure that other agencies with NRP responsibilities are prepared to respond. If confirmed, what measures will you take to ensure other federal agencies are prepared?**

Response: If confirmed, I would work with our Federal partners to ensure we are fully trained and exercised in effective implementation of the NRP and its annexes, and through the identification and implementation of lessons learned, to address any shortcomings that may appear through exercises and/or real world events. I believe DHS/FEMA and their Federal partners have undertaken a number of initiatives over the last two years to address weaknesses identified in the response to Hurricane Katrina, and those efforts will continue as additional preparedness needs are identified in the months and years ahead. It must be clear, however, that the world of emergency management, response and recovery is not static, that the threats and challenges are continually changing, and that we are never likely to reach the point where no further improvements are needed in our ability to address a major incident.

Senator Susan M. Collins
Additional Questions for the Record
Nomination Hearing for Dennis R. Schrader
July 25, 2007

1. **The position of Deputy Administrator for National Preparedness is a new position we created in the Post-Katrina Emergency Management Reform Act of 2006. This legislation was the result of this Committee's investigation into the failed response to Hurricane Katrina. One of our principal initiatives was to rejoin the preparedness and response functions within a stronger and more robust Federal Emergency Management Agency. How will you address the challenges of fully implementing our FEMA reforms and truly integrate preparedness into the new FEMA?**

Response: The new FEMA allows for a seamless system with both preparedness and emergency management capabilities together in one entity. This consolidation will ensure FEMA can more effectively and efficiently implement the preparedness requirements identified in PKEMRA. I am determined that the benefits provided by the integration are not lost in the challenges of reorganization.

As of April 1, 2007, the major program functions I seek to lead were transferred to FEMA. I will focus my efforts on ensuring the reorganization is fully implemented, completing whatever remaining integration tasks there may be, and that it is done in a way that maximizes the effective incorporation of preparedness prevention and protection concepts across the Agency.

As a first step, I will seek to hire career executives who have demonstrated change leadership capacity for many of the key senior leadership roles. I will also immediately advocate to provide the FEMA regions with seed resources, as they are made available, to begin building their preparedness capacities. We will train and exercise together in various team projects and drill activities.

Administrator Paulison has organized a transformation initiative that will facilitate team development process. The National Integration Center (NIC) will be a key resource to drive change and integration.

We will establish a national planning system and community that will train together and each level of the planning hierarchy will be coordinated. Preparedness would facilitate the process of designing the relationships and coordinate the product development cycle. For example, the FEMA Disaster Operations team will lead the planning for FEMA. The Regions would use those strategies to facilitate their plans and help with State and local planning.

I will also ensure that our National Preparedness programs are implemented in a way that is coordinated with, and supportive of, the Agency's other programs. Outside of the Agency, it is critical to establish effective coordination with other parts of the Federal

interagency community and State and local governments. The National Preparedness mission is fully shared with other Federal departments and agencies, the FEMA regions, States, local governments, territories, tribes, and private sector partners.

2. **The Post-Katrina Act requires that the President establish a national preparedness goal and national preparedness system and complete, revise, and update (as necessary) the goal to ensure the nation's ability to prevent, respond to, recover from, and mitigate against disasters of all kinds. The goal must be consistent with the National Incident Management System (NIMS) and the National Response Plan (NRP). I understand that, though DHS has made progress, the Department is still in the process of developing the goals, requirements, and metrics for the target capabilities and the National Preparedness Goal in light of the lessons learned from Hurricane Katrina.**

In your staff interview and pre-hearing questionnaire, you echoed what we have recognized from our Committee's investigative and oversight work—that performance metrics are critical in assessing preparedness. If confirmed, what will be your role in establishing these performance metrics?

Response: The Incident Management Systems Division (IMS) will provide direct support to Doctrine, Planning, and Analysis Division to accomplish this work. We can and must make the direct link between operational and strategic planning to make the proper investments in both FEMA headquarters as well as with our state and local partners. It is important, however, to design and implement the metric collection and analysis in a measured and manageable manner, i.e., crawl, walk, and then run to minimize confusion and avoid overly complex approaches as we move this system forward.

The development of performance metrics is critical to accurately assess preparedness across the Nation. As discussed in my pre-hearing questionnaire, based on my operational experience and as a senior State official, I believe that there is a core set of common capabilities that all communities must have. The four common capabilities are: Expand regional collaboration; Implement the *National Incident Management System* (NIMS) and *National Response Framework* (formerly, National Response Plan); Implement the National Infrastructure Protection Plan; and Strengthen information sharing and collaboration capabilities. If confirmed, I will look to the requirements in HSPD-8 and PKEMRA to guide employment of metrics, and will ensure the measures and metrics employed to assess State and national preparedness capabilities abide by best practices associated with metrics development. I will work with standards-making bodies to ensure existing standards are used where they exist.

I will work closely with the FEMA regions and grant recipients to ensure these national models are applied in a manner that reflects the unique risks, needs and abilities of our states and communities. I will provide necessary support to our Regional, State, local, territorial and tribal homeland security partners to ensure their communities have the

appropriate degree of security and resilience, and in turn contribute to the security and resilience of the United States.

3. **The FEMA Reform legislation put great emphasis on bolstering the responsibilities, capabilities and effectiveness of the ten FEMA regional offices. Many, if not most, preparedness efforts require regional or even multi-state efforts: communications interoperability, security for regional and interstate transit systems, and evacuations planning are three obvious examples. In your staff interview and policy questionnaire, you agreed with this Committee's determination that FEMA regional offices should be strengthened. What do you see as the role of the regional offices in building a nation-wide system of preparedness?**

Response: The FEMA Regional Offices are the key to building a nation-wide system of preparedness. The Preparedness Directorate will be the architect of the preparedness system. The regions should implement the system with the states, local government, and private sector as well as the regional Federal offices of the various Federal agencies throughout the country. In this regard, the states can play an integrator role with the FEMA regions to bring all the stakeholders together.

The regions will have to be systematically resourced to accomplish this mission by programming the resources to build regional capacity.

If confirmed, I would recommend initially providing seed positions to the regions and contractor resources to support the states and local jurisdictions in planning, training, and exercises. The exercises should be embedded within the five year national exercise plan as it is developed.

There is also a need to maintain a strong link among the many preparedness efforts for enhancing capabilities across each of the prevention, protection, response, and recovery missions. If confirmed, I would build on the work already begun by DHS/FEMA to increase capabilities at their regional offices, and to greatly strengthen the regional preparedness capability in order to support stronger relationships with State and local partners at the same time we increase coordination with the other DHS/FEMA programs at the regional level.

The grant guidance should be tied to this process through coordination between the states and Urban Areas as they develop their annual grant submissions. The FEMA regions should become the consultants and advise states and Urban Areas on the quality of their applications.

4. **The National Preparedness Goal is intended to guide federal departments and agencies, state, territorial, local and tribal officials, the private sector, non-government organizations and the public in determining how to most effectively and efficiently strengthen preparedness for terrorist attacks, major disasters, and other**

emergencies. The Interim National Preparedness Goal was released on March 31, 2005. But we are still awaiting the publication of the final National Preparedness Goal over two years later. Are you committed to finalizing the National Preparedness Goal?

Response: Yes, if confirmed, I look forward to the release of National Preparedness Goal in the near future. The National Preparedness Goal is a critical document for national preparedness. It is at the cornerstone of our efforts to establish a vision for preparedness, defining the systematic approach necessary for a comprehensive preparedness system. The document, along with its companion piece, the Target Capabilities List, will help focus policy, planning and investments at all levels of government and the private sector.

After the release of the Interim Goal in March, 2005, DHS embarked on an extensive review and comment process. Revisions to the Goal have included stakeholder feedback from its use in the FY 2006 Homeland Security Grant Program and incorporation of lessons learned following Hurricane Katrina. A 2006 DHS review of states' and major cities' emergency operations and evacuation plans resulted in the addition of a new national priority centered on strengthening operational planning and community preparedness. The improvements to the Goal will achieve three central objectives: improve the usability of the document for State, local, and tribal stakeholders; build upon lessons learned following Hurricane Katrina; and incorporate feedback from stakeholders.

5. **The Post-Katrina Emergency Management Reform Act of 2006, which Senator Lieberman and I sponsored last year, merges preparedness and response together within FEMA. We felt strongly that FEMA needed to have responsibilities for both of these. Your Directorate within FEMA exists largely as a result of that legislation, and is responsible for Preparedness across the Department. How will you bridge the gap between your responsibilities for all-hazards preparedness and FEMA's responsibilities elsewhere within the agency for all-hazards response?**

Response: If confirmed, I would want to determine if a gap actually exists between all-hazards preparedness and all-hazards response. Administrator Paulison has already organized a transformation initiative that facilitates a team development process to integrate the agency that I understand has been effective.

The National Integration Center (NIC) will be a key resource to drive change and integration through the National Incident Management System (NIMS) and the National Response Framework (formerly, National Response Plan) that provides the doctrinal framework for the Nation. NIMS has six key components of Incident Command, Preparedness, Resource Management, Communications, Supporting Technologies, and Ongoing Maintenance.

The Prevention, Protection, Response, and Recovery missions are inherently linked at many levels, from the development and implementation of policy at headquarters, to the delivery and application of services at the Regions. If confirmed, I will continue the DHS/FEMA efforts to identify ways in which the Nation's preparedness and response capabilities can be effectively coordinated and strengthened and to ensure we make the best use of the resources provided to us.

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