

# Office of Emergency Management and Homeland Security Performance Review

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Chris Voss, Director  
17 Sept, 2014

# CountyStat Principles

- **Require Data-Driven Performance**
- **Promote Strategic Governance**
- **Increase Government Transparency**
- **Foster a Culture of Accountability**



# Meeting Goals

- Evaluate OEMHS's FY14 Performance
- Review Results of COOP Internal Audit

# Desired Outcomes

- Enhance Montgomery County Government's ability to respond effectively to disaster and emergency situations.



# Agenda

- **Review of FY14 Headline Performance Measures**
- **Internal COOP Audit Results and Analysis**
- **Emergency Management Performance Measures Used in Other Jurisdictions**
- **Overview of the Urban Areas Security Initiative (UASI) Grant**
- **Wrap-Up**



# Historical Budget and Work Year Overview

Budget*	FY12	FY13	FY14	FY15
OEMHS General Fund Approved Budget	\$1,247,900	\$1,247,900	\$1,317,312	\$1,368,218
OEMHS General Fund Latest Adjusted Budget	\$1,206,708	\$1,283,188	\$1,326,403	-
OEMHS General Fund Actual Expenditures	\$867,334	\$1,070,208	\$1,101,338	-
Percent Under/(Over) Approved Budget	30.5%	14.2%	16.4%	-

Work Year/FTE	FY12	FY13**	FY14	FY15
OEMHS General Fund Approved	7.8	7.6	7.6	8.6
OEMHS General Fund Total as Percent of Total MCG Operating	0.0%	0.0%	0.0%	0.0%

\*Does not include prior year encumbrances

\*\*Calculation switched from Work Years to FTEs in FY2013 Budget

OEMHS's General Fund approved budget increased 3.8% from FY14 to FY15, and General Fund approved FTEs increased 13.2% (1 FTE).



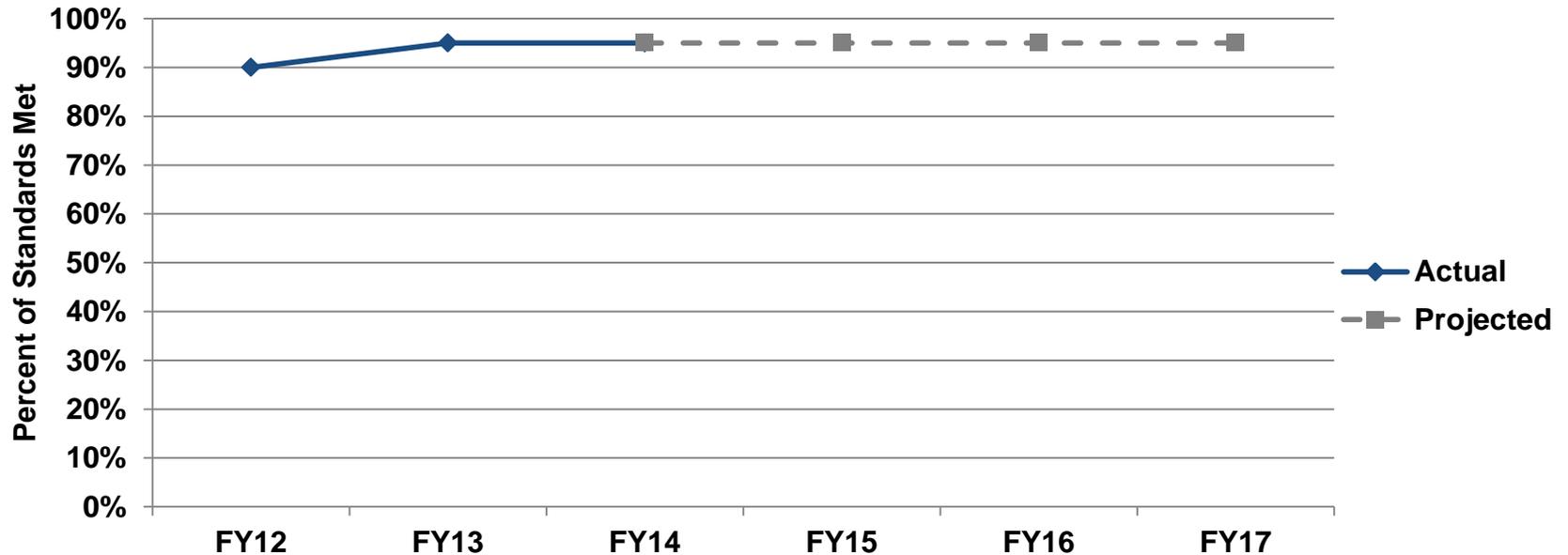
# Review of FY13 Headline Performance Measures

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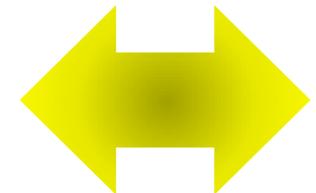
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# Percent of Emergency Management Accreditation Standards Met by the County



	FY12	FY13	FY14	FY15	FY16	FY17
Actual	90%	95%	95%	--	--	--
Projected	--	95%	95%	95%	95%	95%

Performance Change



Performance did not change from FY13 to FY14.



# Percent of Emergency Management Accreditation Standards Met by the County

## Factors Restricting Performance

- As this is a County-wide accreditation, several standards are dependent on other departments, resources and EMAP changes
- Standards based on plans and programs that are dynamic. Updates and changes could temporarily impact whether a standard is met.

## Factors Contributing to Current Performance

- Recent plan updates ensured compliance with a number of standards.
- Work over a period of several years on standards to increase compliance.

## Performance Improvement Plan

- Assign staff for regular review and update of EMAP standards.
- Report on compliance at regular Emergency Management Group meetings.



# Percent of Emergency Management Accreditation Standards Met by the County

The following three standards comprise the 4.7% that OEMHS believes are NOT fully met by the County:

- 4.5.2 – The jurisdiction shall have a strategy among disciplines to coordinate prevention activities, to monitor the identified threats and hazards, and adjust the level of prevention activity commensurate with risk.
- 4.6.3 – The emergency operations plan (EOP) shall identify and assign specific areas of responsibility for performing functions in response to an emergency or disaster. Areas of responsibility should address needs of population at risk as defined by the Emergency Management Program’s HIRA...
- 4.8.2 – Resource management objectives shall be established by conducting periodic gap analysis.

In FY2015, OEMHS will seek full accreditation through the Emergency Management Accreditation Program (EMAP). To receive accreditation, OEMHS must address any shortcomings in its effort to meet EMAP standards, including the three standards identified by the department that they are not currently meeting in full.



# Percent of Emergency Management Accreditation Standards Met by the County

OEMHS has developed the following plan to address the three standards not currently being met:

## Standard 4.5.2 (Prevention Activities)

- Work with MCPD to gather documentation on current prevention activities.\*

## Standard 4.6.3 (Critical Infrastructure)

- OEMHS has a draft procedure and will have a final version by the end of the year.

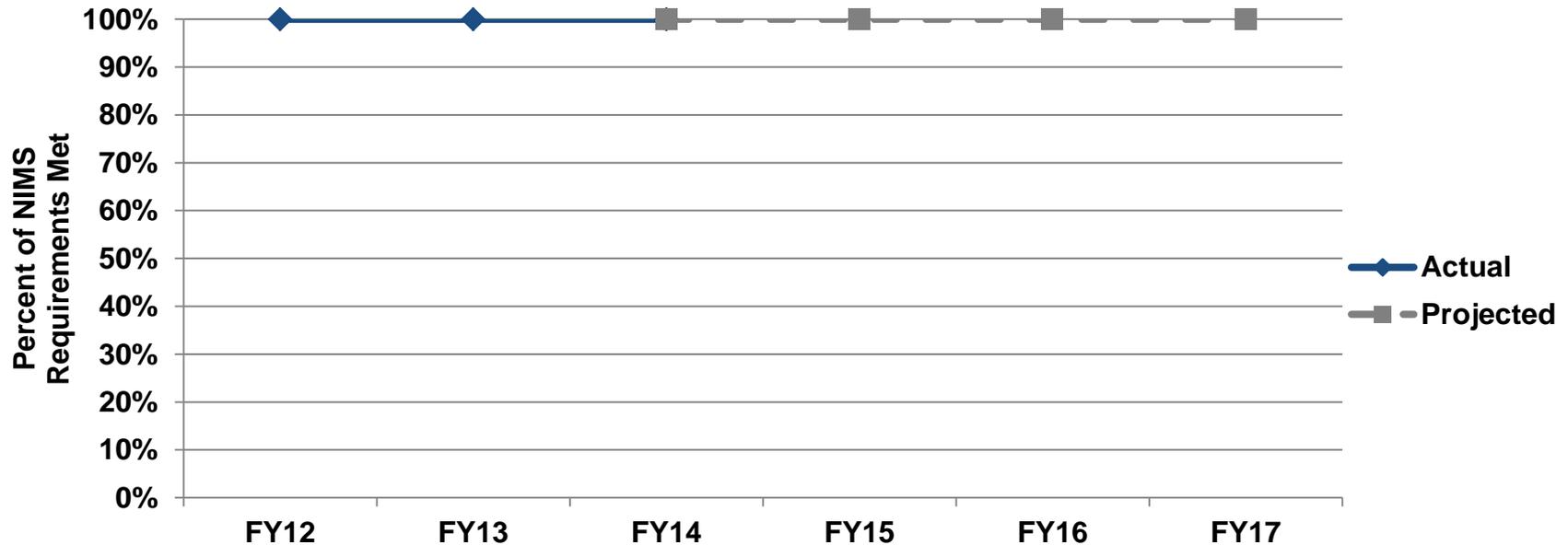
## Standard 4.8.2 (Resource Management and Logistics)

- OEMHS is working with relevant parties to develop the appropriate guidance documents.



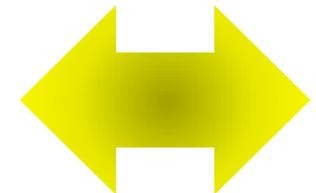
\*OEMHS believes the County is compliant but is working with Police to gather the necessary documentation.

# Percent of National Incident Management Systems (NIMS) Requirements Met by the County



	FY12	FY13	FY14	FY15	FY16	FY17
Actual	100%	100%	100%	--	--	--
Projected	--	--	100%	100%	100%	100%

Performance Change



Performance remains unchanged from FY13 to FY14.



# Percent of National Incident Management Systems (NIMS) Requirements Met by the County

## Factors Restricting Performance

- Lack of a NIMS Compliance Officer could make it more difficult to ensure compliance.

## Factors Contributing to Current Performance

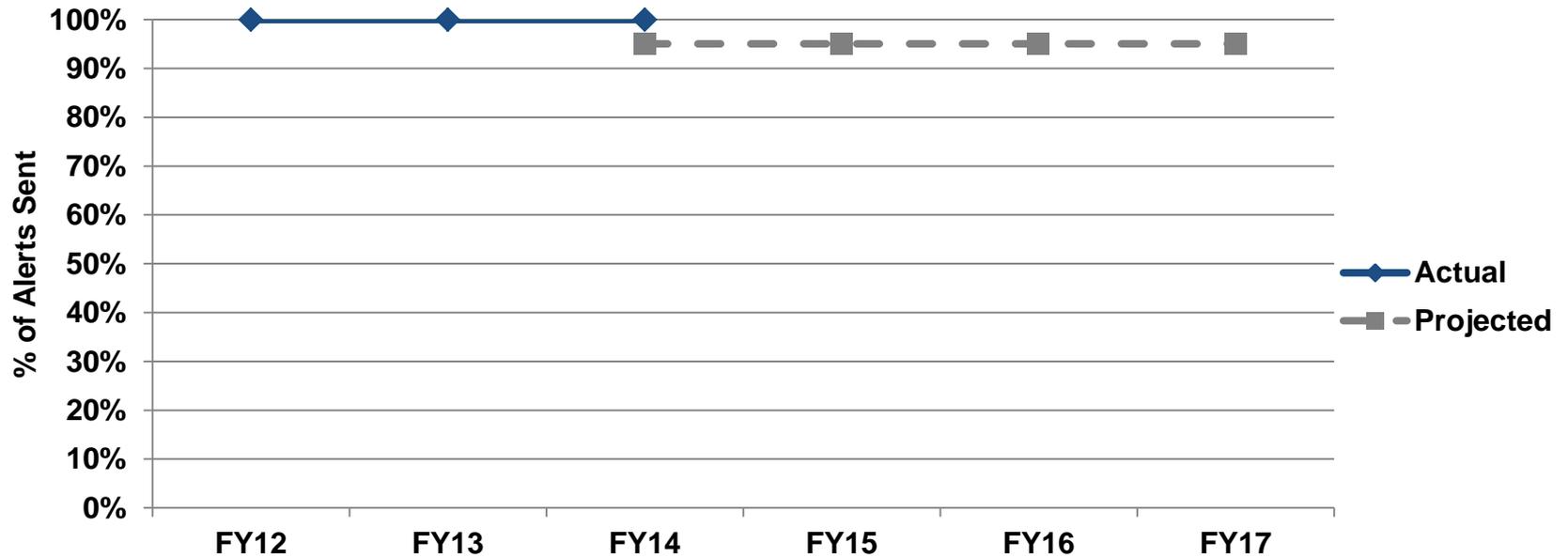
- Twenty-three ongoing activities that have been consistently implemented have ensured Emergency Management Group members understand expectations.

## Performance Improvement Plan

- Ensure a NIMS Compliance Officer is in place.

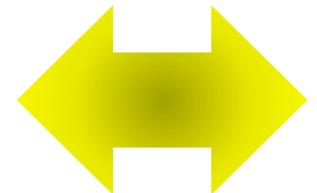


# Percent of Emergency Alerts Sent Within 20 Minutes of Information Received by OEMHS Between 9-5pm



	FY12	FY13	FY14	FY15	FY16	FY17
Actual	100%	100%	100%	--	--	--
Projected	--	--	95%	95%	95%	95%

Performance Change



Performance remains unchanged from FY13 to FY14.



# Percent of Emergency Alerts Sent Within 20 Minutes of Information Received by OEMHS Between 9-5pm

## Factors Restricting Performance

- Most of the current Alert messages are relayed by staff. Meetings, training and out of office activities can occasionally delay the message transmission.

## Factors Contributing to Current Performance

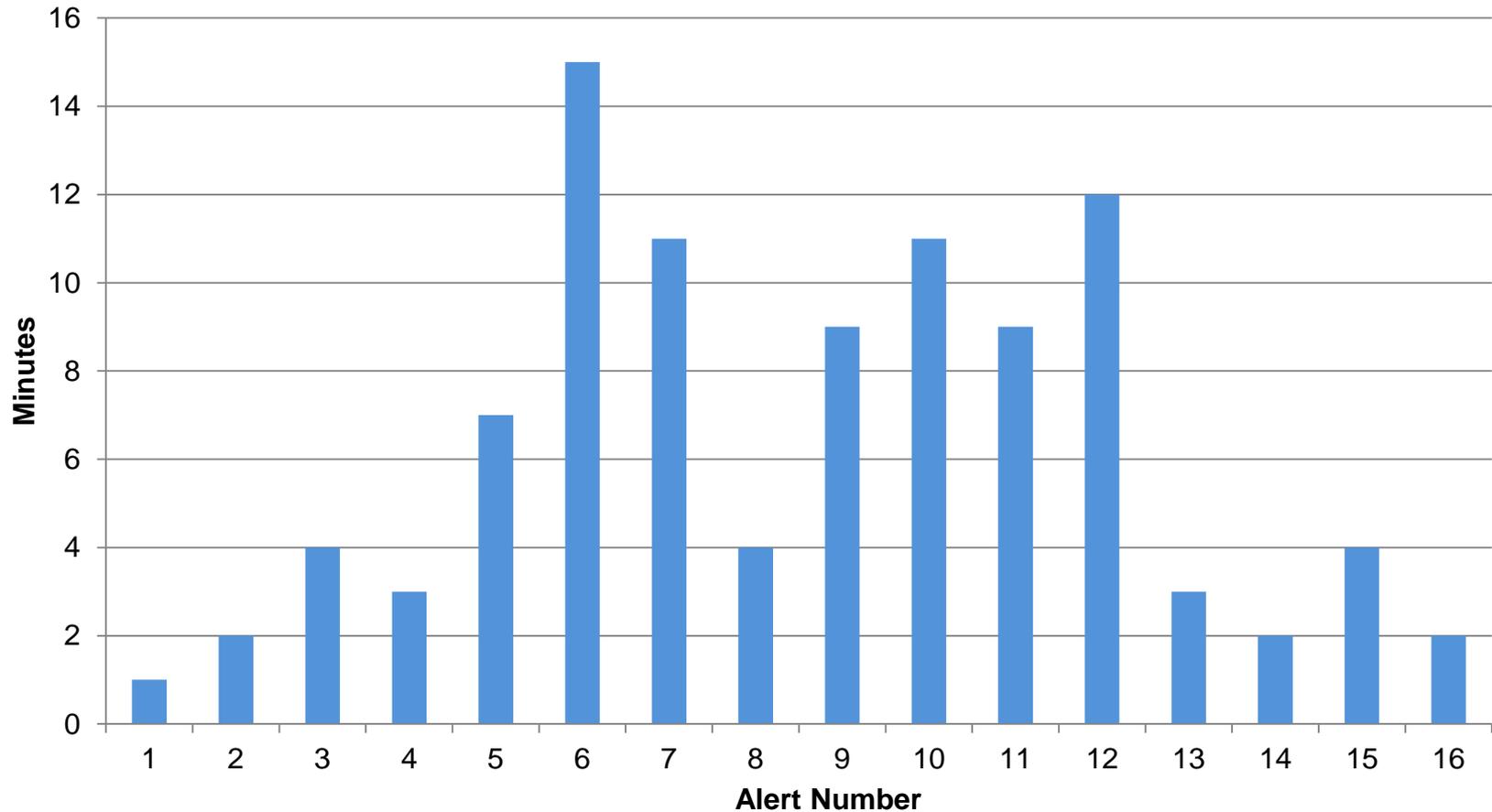
- Over the past 12 months, we have increased the number of trained staff able to send alerts and rotated this assignment.
- Automation has improved messaging for one category of weather.

## Performance Improvement Plan

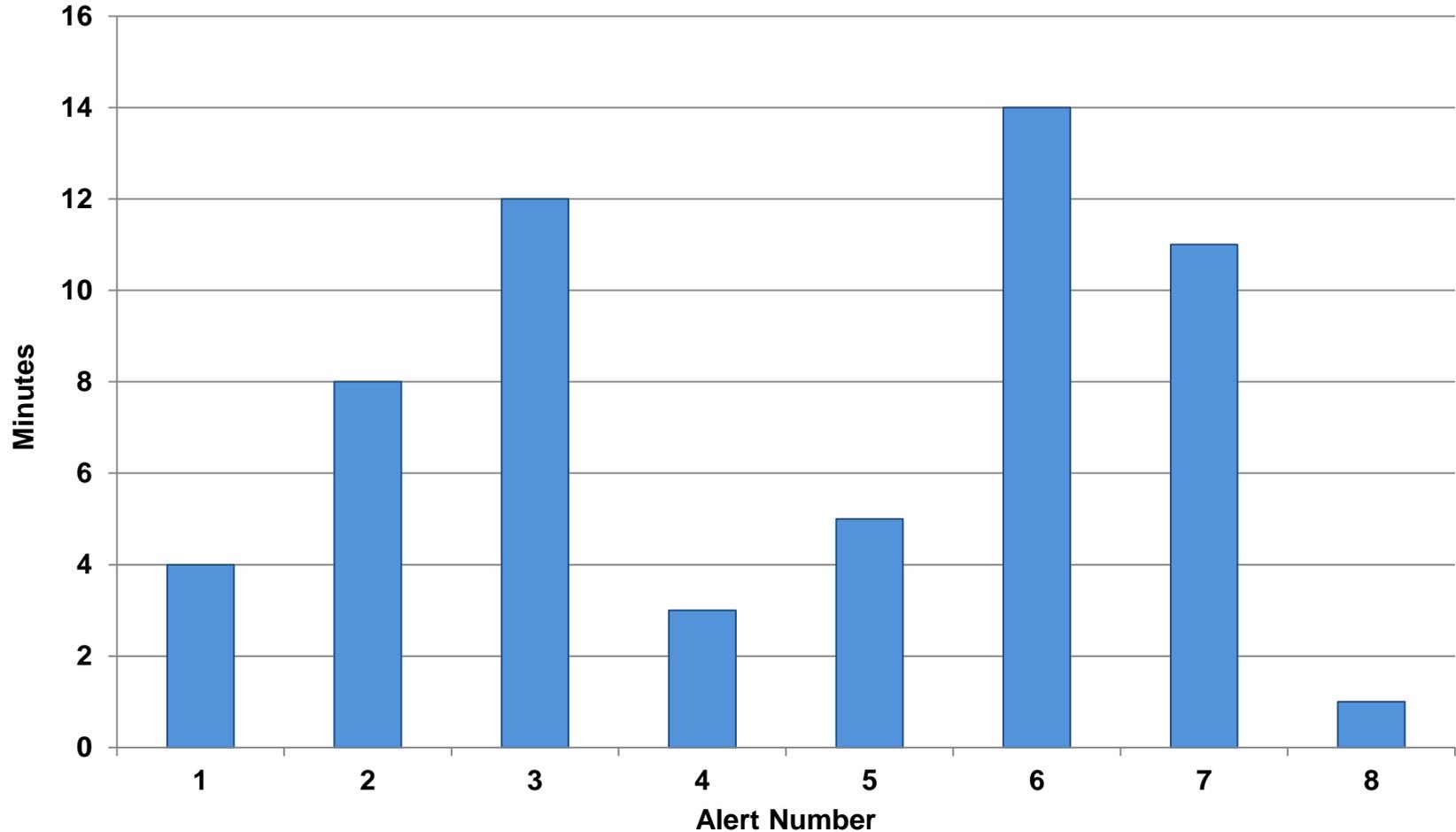
- In the next 12 months explore the automation of weather alerts and prepare more template messages to reduce relay times.



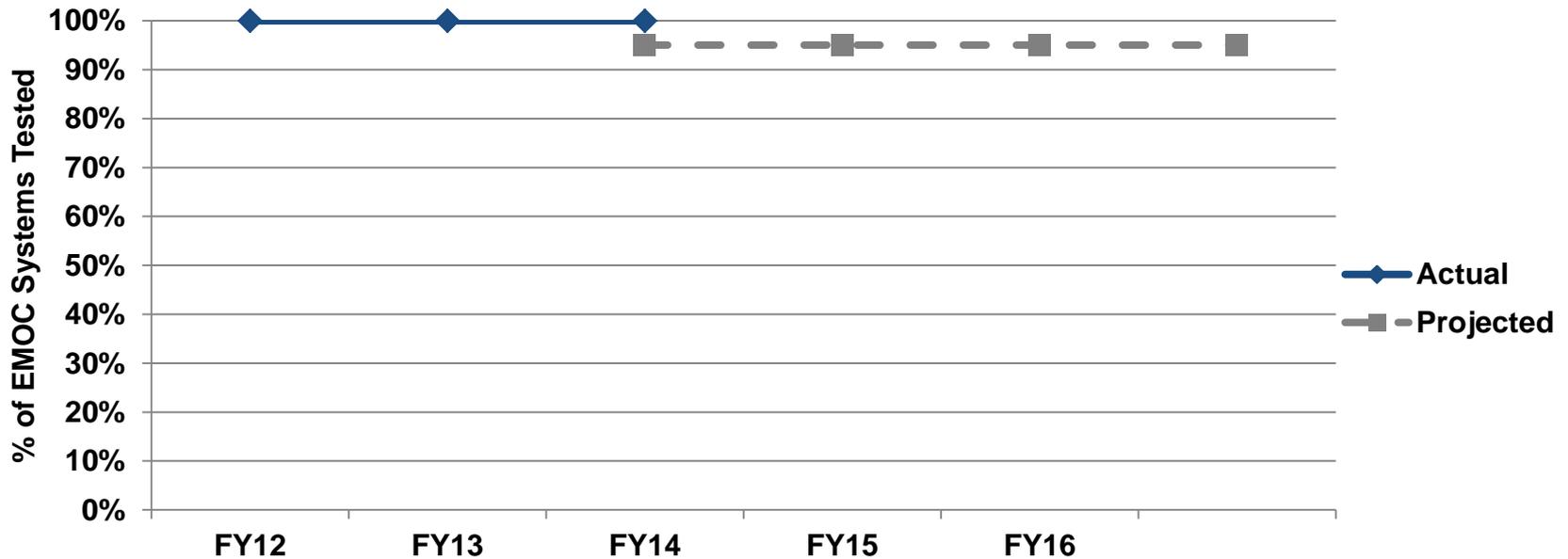
# Alert Montgomery Data: FY14 Severe Thunderstorm Warnings



# Alert Montgomery Data: FY14 Flash Flood Warnings

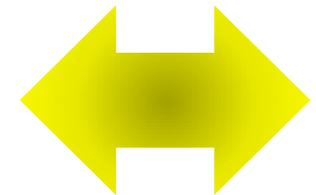


# Percent of Emergency Management Operations Center Systems Tested for Reliability Within Required Time Frame



	FY12	FY13	FY14	FY15	FY16	FY17
Actual	100%	100%	100%	--	--	--
Projected	--	--	95%	95%	95%	95%

Performance Change



Performance remains unchanged from FY13 to FY14.



# Percent of Emergency Management Operations Center Systems Tested for Reliability Within Required Time Frame

## Factors Restricting Performance

- Most EOC systems must be tested manually by only a few employees who fully understand all systems.

## Factors Contributing to Current Performance

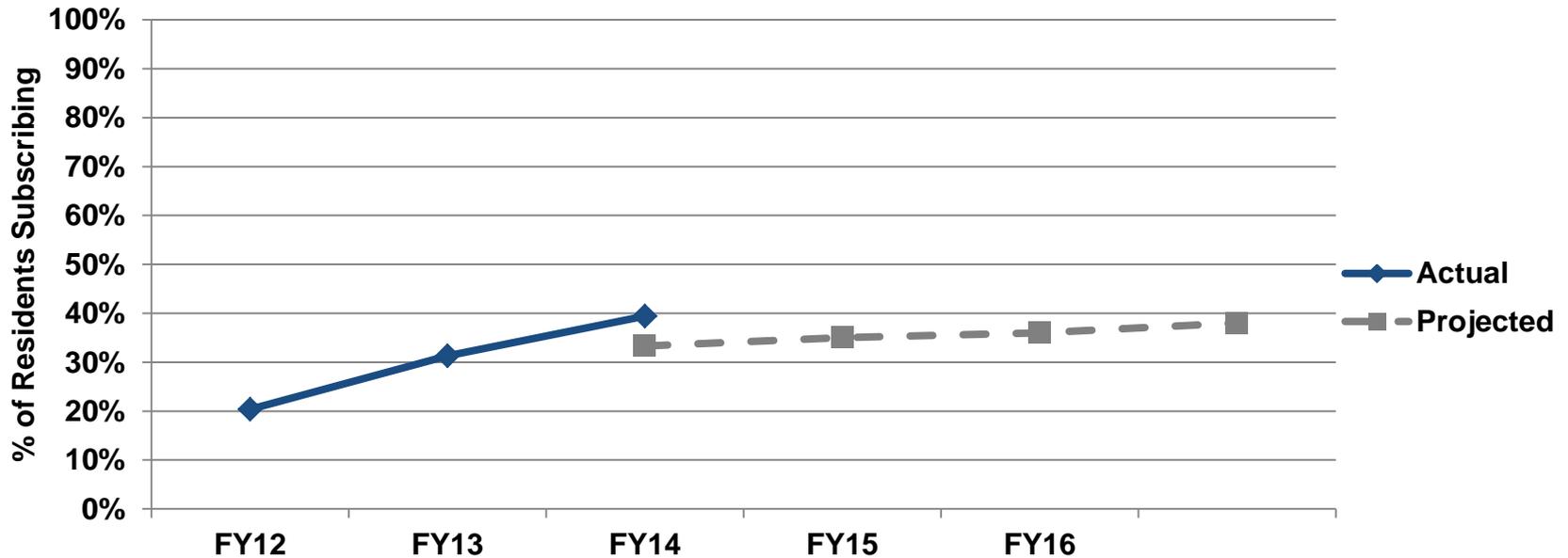
- Random testing schedule and lack of automation.

## Performance Improvement Plan

- Establish standard schedule for testing and the installation of system failure alarms.

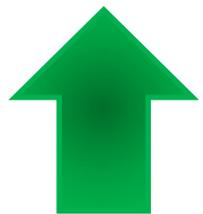


# Percent of County Residents Subscribed to Alert Montgomery (By Device) Based on 2012 Census Estimate



	FY12	FY13	FY14	FY15	FY16	FY17
Actual	20.4%	31.3%	39.4%	--	--	--
Projected	--	--	33.3%	35.0%	35.0%	35.0%

Performance Change



Performance improved from FY13 to FY14.



# Percent of County Residents Subscribed to Alert Montgomery (By Device) Based on 2012 Census Estimate

## Factors Restricting Performance

- Lack of language variability, availability of voice alerts and recognizing the need for alerts.

## Factors Contributing to Current Performance

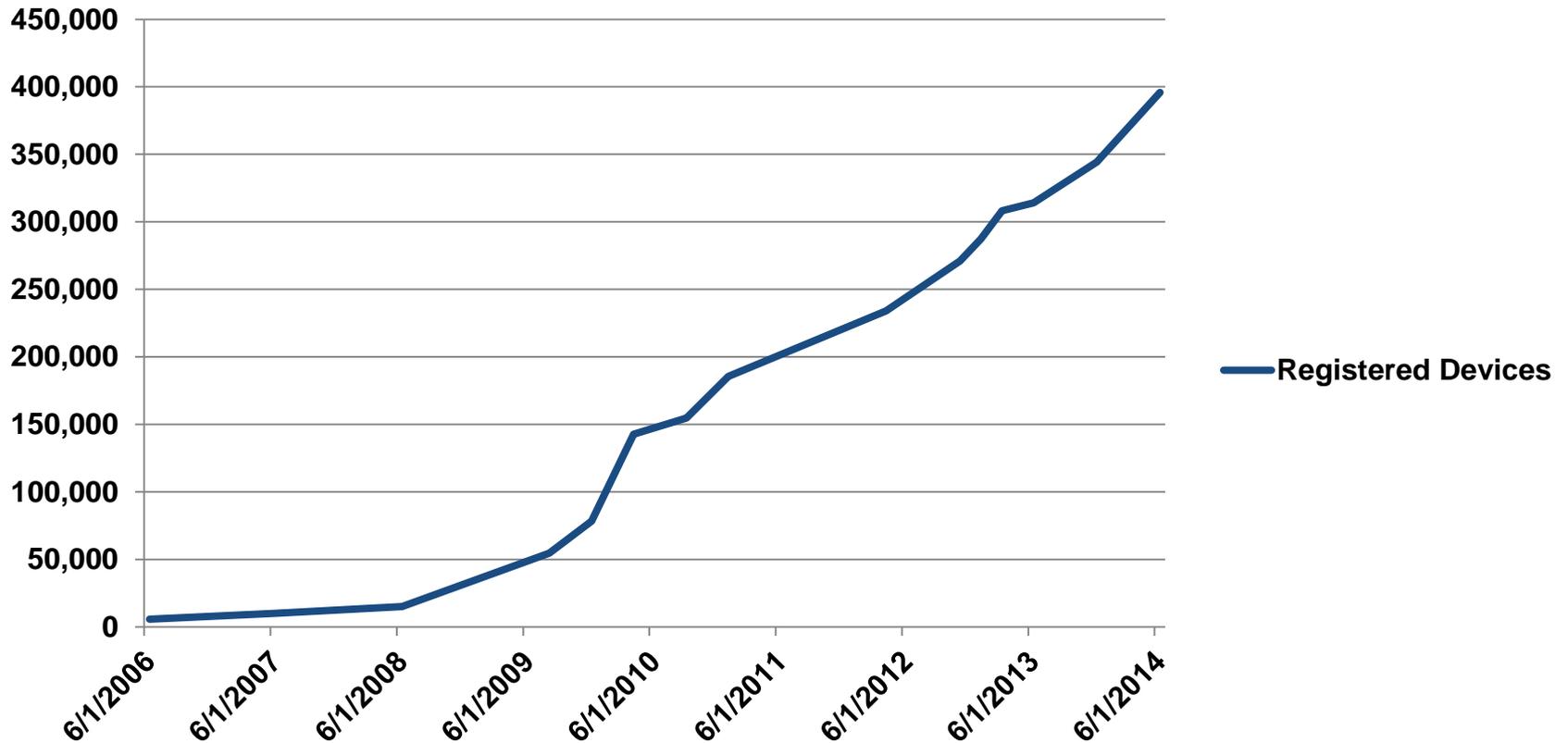
- Continuous outreach to diverse populations and use of the alert system by groups such as MCPS, MNCPPC and others.

## Performance Improvement Plan

- Continued targeted outreach, availability of voice messaging and expansion of alert messaging in other languages.



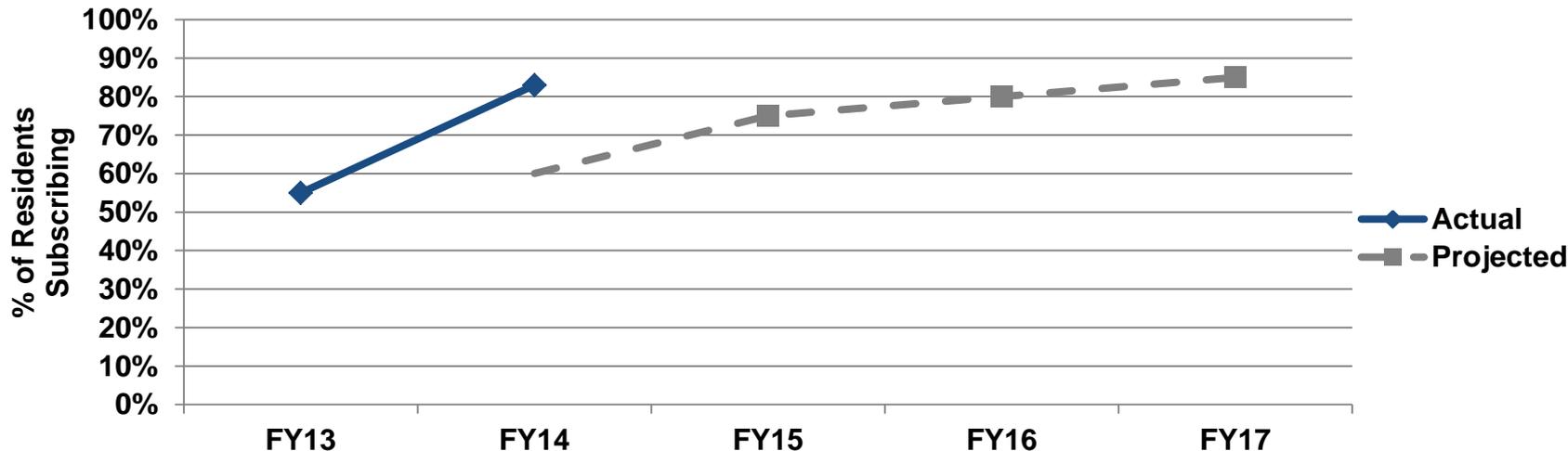
# Number of Devices Registered for Alert Montgomery



The number of devices registered for Alert Montgomery have grown 26% from June 2013 to June 2014. Since 2010, registered devices have grown 178%.



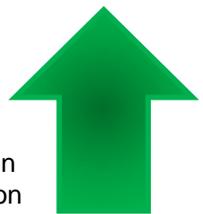
# Percent of Principal County Departments and Offices with a COOP Plan Score of 2.5 or Higher\*



	FY12	FY13	FY14	FY15	FY16	FY17
Actual	N/A**	55.0%	83.0%	--	--	--
Projected	--	--	60.0%	75.0%	80.0%	85.0%

Performance Change

**Performance has improved from FY13 to FY14.**



Response Key: 0: No information provided; 1: Minimal required information provided, significant additional information recommended; 2: Most required information provided, some additional information required; 3: All required information provided

\*Score is the average of scores received for each of seven key plan components.

\*\*New measure in FY13



# Percent of Principal County Departments and Offices with a COOP Plan Score of 2.5 or Higher\*

## Factors Restricting Performance

- Large number of plans (currently 102) with an increase coming
- OEMHS COOP program grant funded
- Department turnover of COOP PMs requires continual training and education from OEMHS for new COOP PMs

## Factors Contributing to Current Performance

- Focus on yearly improvement. Growing a young program.
- WebEOC monthly drills ensure plans are updated yearly.

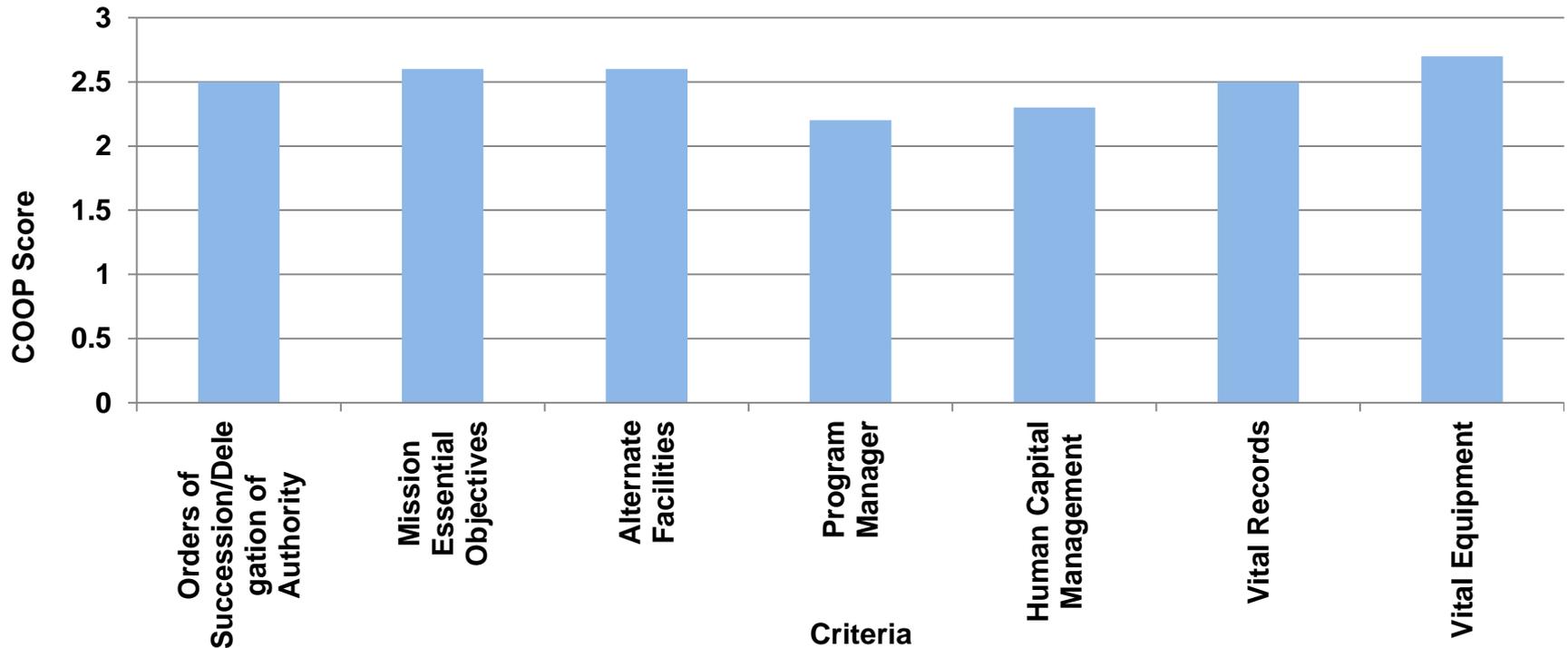
## Performance Improvement Plan

- 63% of plans come from four departments.
- 30% of plans with scores under 2.5 are from those four departments.
- Focus on working with those four departments on ensuring a COOP PM is assigned, trained, and participating in the program.



# Average MCG COOP Scores by Criteria

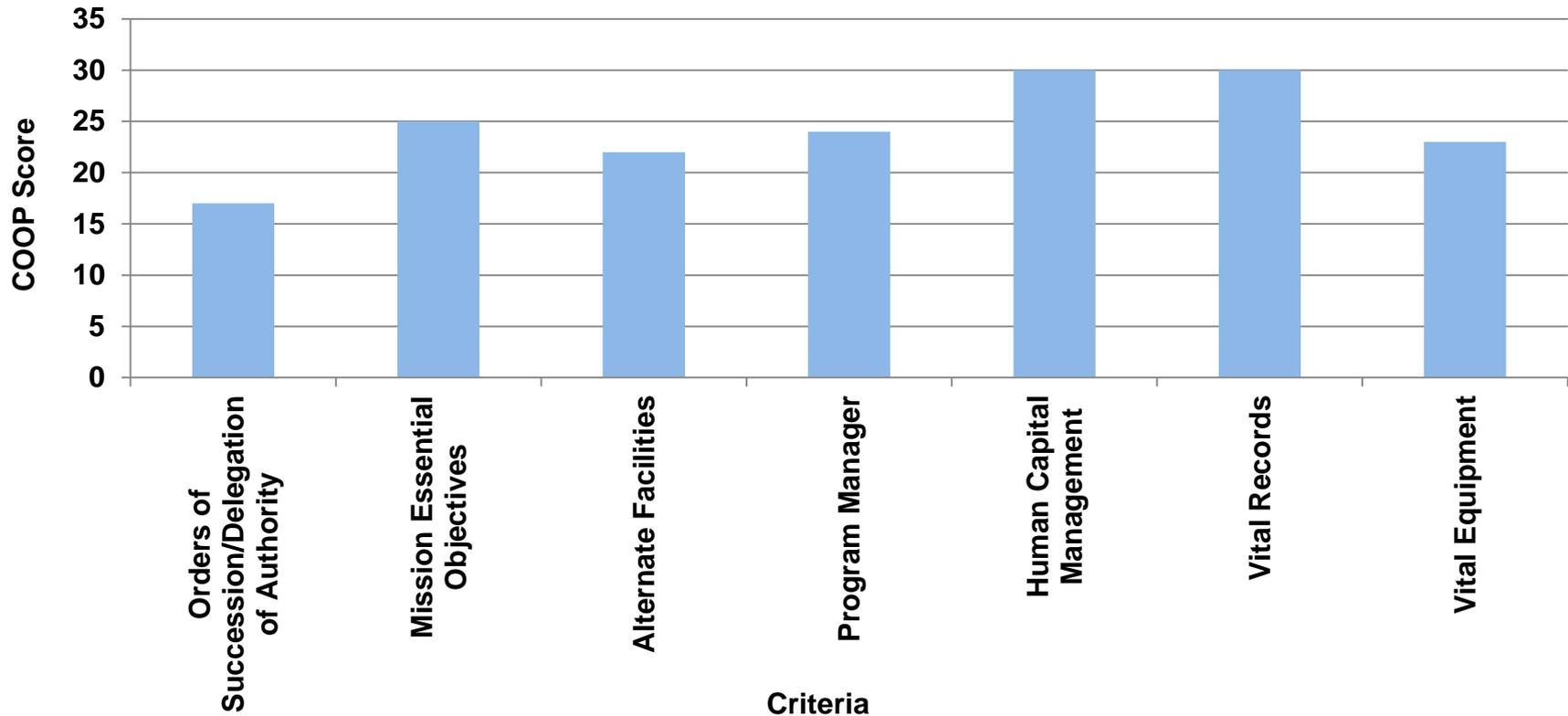
COOP plans are evaluated BY OEMHS using seven criteria listed below.



102 plans were evaluated in FY14. Plans are rated by OEMHS based on whether the information provided to OEMHS is comprehensive.



# Count of COOP Plan Scores of Zero by Criteria



30 COOP Plans of the 55 plans evaluated had COOP Scores of zero for the Human Capital Management criteria and Vital Records criteria.



# Internal COOP Audit Results and Analysis



# Internal COOP Audit: Overview

An Internal Audit was conducted assessing the County's COOP plan. The audit was broken into two phases.

Phase 1 identified which Executive Branch departments had COOP plans and whether they contained “essential critical elements” identified by FEMA and Montgomery County OEMHS.

Phase 2 reviewed ten departments and offices to assess the extent of their preparedness.



# Internal COOP Audit: Overview

Table 5 – Summary of Results from Phase I Critical COOP Element Testing

Test Attribute	Total # of COOPs without Defined Test Attribute	Percent of Missing Attributes per 55 COOPs Tested
1. Defined mission essential functions	5	9%
2. Defined delegation of authority & order of succession	4	7%
3. Defined alternate processing facilities	6	11%
4. Identification of vital equipment & communication	16	29%
5. Identification of vital records & databases	17	31%
6. Identification of human capital and key personnel	13	24%
7. Defined procedures to resume normal business operations following COOP activation	48	87%
8. Performance of tests, training, and exercise programs	46	84%

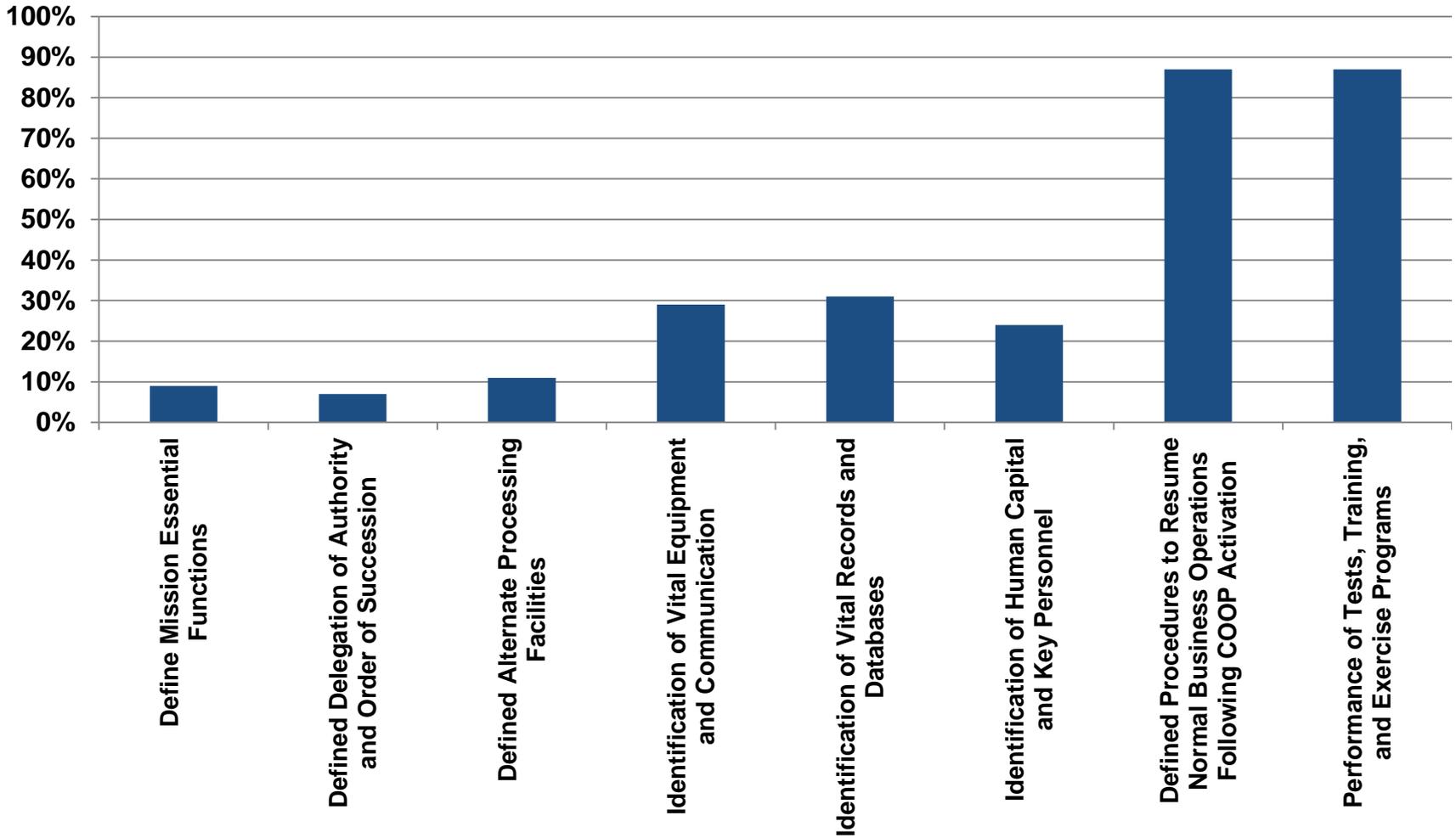
Table 6 – Summary of Results from Phase II Continuity Program Review

Attribute Examined	Total # of Continuity Programs Not Satisfying the Defined Attribute	Percent of Missing Attributes Per 37 Continuity Programs Reviewed
<b>Continuity Program Management</b>		
1 – COOP Plan kept up-to-date	2	5%
2 – Personnel attend periodic COOP training exercises	8	22%
3 – Results of COOP activation documented	29	78%
<b>COOP Content</b>		
4 – Defined COOP Administrators and frequency of updates	35	95%
5 – Mission essential functions are defined	7	19%
6 – Contact information for personnel defined	21	57%
7 – Defined Order of Succession and Delegation of Authority	10	27%
8 – Defined activation and reconstitution procedural steps	0	0%
9 – Identification and quantification of vital records and equipment have been defined	25	68%
10 – Primary and alternate processing facilities defined	5	14%
11 – Method of communicating information to Personnel defined	17	46%
12 – Building evacuation and evacuation roles defined	0	0%
13 – External vendor stakeholder contact information defined	33	89%
<b>Business Impact Assessment</b>		
14 – Recovery time objectives (RTO) defined	5	14%
15 – Recovery time objectives periodically reviewed	13	35%
<b>Continuity Program Testing</b>		
16 – Continuity Program is periodically tested	11	30%
17 – Continuity Program test results are documented	11	30%
18 – Continuity Program test results are communicated to Management	11	30%
19 – Continuity Program test issues are resolved	11	30%

The key findings of phases 1 and 2 are identified in Tables 5 and 6. Highlighted percentages exceed 50%. Attributes 7 and 8 in Table 5 are not part of departments' COOP plans developed by OEMHS.



# Percent Missing Critical COOP Plan Components



# Internal COOP Audit: Recommendations

The Report identified four recommendations:

1. Define critical elements that need to be incorporated into each of the County's continuity plans. COOP plan templates to departments should be updated to reflect any additional critical elements identified.
2. Conduct additional oversight over the County's continuity planning program. As part of the this expanded oversight, OEMHS should develop metrics to track departmental and office documentation of COOP plan critical elements, completion of monthly training, and participation in test exercise programs. Results should be periodically reported to the Office of the County Executive.
3. Define continuity planning training requirements for departments and office COOP Administrators, key personnel supporting Mission Essential Functions, and other County personnel, reflecting the need of appropriate levels.
4. Define exercise performance requirements for departments and offices to test the reliability and appropriateness of their programs. The results of these exercises should be documented with details about participants involved, testing scenarios, successes and difficulties, and lessons learned.



# Tracking Progress (Audit Report Recommendation 2)

“...OEMHS should develop metrics to track departmental and office documentation of COOP plan critical elements, completion of monthly training, and participation in test exercise programs.”

Critical Element	Status
Defined mission essential functions	Currently Tracking at Department Level
Defined delegation of authority & order of succession	Currently Tracking at Department Level
Defined alternative processing facilities	Currently Tracking at Department Level
Identification of vital equipment and communication devices	Currently Tracking at Department Level
Identification of vital records and databases	Currently Tracking at Department Level
Identification of human capital and key personnel	Currently Tracking at Department Level
Defined procedures to resume normal business operations following COOP activation	Currently Tracking at Countywide Level
Performance of tests, training, and exercise programs	Under Construction

CountyStat and OEMHS currently track documentation of COOP plan critical elements through the Headline Performance Measure related to COOP. Two critical elements identified by the auditor are not tracked at the department level.\*



\*As the report notes, OEMHS has purposefully excluded these criteria from the responsibility of individual Departments. They are treated as part of the overall County plan.



# Emergency Management Performance Measures Used in Other Jurisdictions

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# Emergency Management Performance Measures Used in Other Jurisdictions

## Washington, DC

- Number of critical infrastructure program outreach meetings, seminars, and workshops
- Number of training provided to first responders, employees, and the public

## New York City

- Number of tabletop exercises conducted
- Functional exercises and drills conducted
- Number of CERT members trained

## Fairfax County

- Percent of County agencies receiving training
- Percent of County agencies and/or employees who are satisfied with training\*

CountyStat identified several performance measures that may help evaluate OEMHS's efforts to train and prepare the County for disaster response efforts.



\*Metric would require implementation of a satisfaction survey

# Overview of the Urban Areas Security Initiative Grant

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# Overview of the Urban Areas Security Initiative (UASI) Grant

The Department of Homeland Security Urban Areas Security Initiative “provides \$587 million to enhance regional preparedness and capabilities of the nation’s 39 highest-risk, highest-threat, highest-density urban areas.”

The National Capital Region, which includes Montgomery County, MD, is designated as a UASI eligible area.

In FY13, Montgomery County received 10.5% of the total UASI grant money allocated to the National Capital Region, or \$5.46 million. \* This grant cycle closes May 31, 2015.



\*Significant additional resources were received by Montgomery County through UASI funded equipment and services received from other jurisdictions.

# Overview of the Urban Areas Security Initiative (UASI) Grant

UASI grant dollars to the National Capital Region (NCR) are allocated based on the goals, objectives and initiatives set forth in the [NCR Homeland Security Strategic Plan](#). The goals include:

1. *Ensure Interoperable Communications Capabilities*
2. *Enhance Information Sharing and Situational Awareness*
3. *Enhance Critical Infrastructure Protection*
4. *Ensure Development and Maintenance of Regional Core Capabilities*



The objectives and initiatives of each goal can be found in the [Strategic Plan](#) beginning on page 7.

# Overview of the Urban Areas Security Initiative (UASI) Grant

Sub-Grantee	Project	Grant Award	Committed Dollars	Uncommitted Dollars
Montgomery County OEMHS	Exercise and Training Officer	\$125,000	\$125,000.00	\$0.00
	NIMS Compliance Officer	\$61,727.02	\$61,727.02	\$0.00
	Volunteer and Citizen Corps	\$249,579.10	\$229,358.16	\$20,220.94
	Regional Planning	\$163,309.82	\$163,309.82	\$0.00
	EOC Enhancements	\$969,608.00	\$968,175.80	\$1,432.20
	School Emergency Preparedness Seminars	\$53,025.00	\$42,844.12	\$10,180.88
	Police In-Car Video	\$385,621.00	\$385,621.00	\$0.00
	EMS Unit Equipment Upgrades	\$219,504.00	\$219,504.00	\$0.00
	Radio Microphone Upgrades	\$99,882.00	\$99,882.30	\$0.00
	LInX Expansion	\$362,000.00	\$359,869.20	\$2,130.80
	Radio Encryption	\$282,000.00	\$282,000.00	\$0.00
	<b>Total</b>		<b>\$2,971,256.24</b>	<b>\$2,937,291.42</b>



# Wrap-up

