

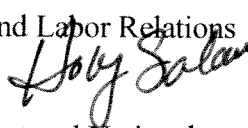


U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, DC 20410-3000

OFFICE OF THE CHIEF HUMAN CAPITAL OFFICER

SEP 30 2010

MEMORANDUM FOR: Russell Varnado, President, National Council of HUD Locals 222

FROM: Holly Salamido, Deputy Director, Employee and Labor Relations
Division, AHEDA 

SUBJECT: Establishment of Office of Disaster Management and National Security (ODMNS)

In accordance with Article 5, Section 5.04 of the HUD/AFGE Agreement, this memorandum serves as notification to the Union regarding management's decision to establish the Office of Disaster Management and National Security (ODMNS). The principal missions of the office involve both disaster management and security issues of national importance.

This new office will perform five primary responsibilities critical to effective disaster management preparedness, response, and recovery:

1. Support all HUD offices and client organizations in the design, training, testing, and continuous improvement of integrated, comprehensive disaster management and national security programs, including Continuity of Operation (COOP), contingency plans, disaster response, executive security, and other requirements of the National Response Framework and the National Continuity Plan.
2. Develop strong partnerships with other organizations involved in disaster and national security programs at the federal, state, and community levels along with nonprofit and private sector organizations in order to share best practices, leverage resources, integrate plans, and improve coordination before, during, and after disaster and national security situations.
3. Proactively identify and remove barriers and resolve issues that hinder effectiveness and efficiency of HUD's disaster and national security programs.
4. Develop and promote the use of robust, research-based recovery roadmaps that lead to sustainable, efficient rebuilding of communities.
5. Lead the coordination of HUD's response during disaster and national security events to ensure smooth hand-offs between HUD offices, clients, and external partners.

The following documents are attached: Overview: Mission and Function Statements, Organizational Structure and Chart, Staffing Plan, Office Locations and Extensions, and Legislation Language for FY 2001 Budget/Operating Plan.

Please submit any bargaining proposals to the Labor Relations Branch within ten (10) calendar days of your receipt of this memorandum.

Attachments

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U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, DC 20410-0050

September 17, 2010

MEMORANDUM FOR: Ron Sims, Deputy Secretary
FROM: Dab Kern, Chief Disaster and Emergency Operations Officer
Laura McClure
SUBJECT: Request for Approval to Establish the Office of Disaster Management and National Security

We request your approval to establish the Office of Disaster Management and National Security (ODMNS). While Congressional leadership has provided consent to proceed, the Department has not officially documented the office internally.

Of note:

- The office will be comprised of 43 staff with three divisions to include Preparedness, Disaster Response and Recovery, and Protective Services and Security.
- I propose the name Office of Disaster Management and National Security as the principal missions of the office span both disaster management and security issues of national import. The office represents the Department on National Security Council committees, meetings, and policy issues, and better reflects the office's focus than the unofficial name of ODEM - Office of Disaster and Emergency Management.

Thank you for your outstanding support for the establishment of this office. We stand by to implement upon your approval, or discuss any concerns or changes you may have in an effort to establish the office by FY 2011.

Attachment (1) Office Establishment

Attachment (2) Proposal to Establish the Office - Legislative submission

Approve

Disapprove

SEP 24 2010

cc: Estelle Richman, Chief Operating Officer

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Attachment 1

Office of Disaster Management and National Security Establishment

- I. Overview: Mission and Function Statements
- II. Organizational Structure and Chart
- III. Staffing Plan
- IV. Office Locations and Extensions
- V. Legislation Language for FY 2011 Budget/Operating Plan

I. Overview:

Mission

HUD's Office of Disaster Management and National Security (ODMNS) will perform five primary responsibilities critical to effective disaster management preparedness, response, and recovery, as follows:

- Support all HUD offices and client organizations in the design, training, testing, and continuous improvement of **integrated, comprehensive disaster management and national security programs**, including COOP, contingency plans, disaster response, executive security, and other requirements of the National Response Framework and the National Continuity Plan.
- Develop **strong partnerships with other organizations** involved in disaster and national security programs at the federal, state, and community levels along with nonprofit and private sector organizations in order to share best practices, leverage resources, integrate plans, and improve coordination before, during, and after disaster and national security situations.
- Proactively **identify and remove barriers** and resolve issues that hinder effectiveness and efficiency of HUD's disaster and national security programs.
- Develop and promote the use of **robust, research-based recovery roadmaps** that lead to sustainable, efficient rebuilding of communities.
- **Lead the coordination of HUD's response** during disasters and national security events to ensure smooth hand-offs between HUD offices, clients, and external partners.

Core Functions

The scope of the office will cut across the entire department. ODMNS will advise the Secretary, Deputy Secretary, and departmental leadership on all aspects of disaster and national security preparedness, response, and recovery, and work with others in the department to identify and mitigate national risks to employees, public resources, and critical infrastructure.

The office will be responsible for risk assessment, readiness, training, monitoring, and execution of applicable disaster management and recovery programs. It will work with key stakeholders, including the Domestic Policy Council, the White House National Security Staff, the Department of Homeland Security, and other departments and agencies to establish policy and ensure compliance with directives for the safety and welfare of HUD equities and partners.

ODMNS will:

- Respond to disasters and national security incidents
- Increase HUD's capacity to take a larger and more effective role in disaster and national security preparedness, response, and long-term recovery in the areas of housing and community development.

- Research and analyze complex issues related to disaster preparedness, response, and recovery and develop policy and program options, alternatives, and recommendations in coordination with the HUD Office of Policy Development and Research and key program offices.
- Coordinate and develop cross-cutting policies, programs, and plans related to disaster and national security that improve departmental preparedness, response, and long term recovery support, including Community Development Block Grant Disaster Recovery Assistance, Public Housing Capital Investment programs, Housing Choice Vouchers and the Disaster Housing Assistance Program (DHAP), and federal resiliency programs.
- Develop and implement long-range disaster housing recovery protocols with Federal, state, local, and regional partners.
- Coordinate implementation of the National Response Framework, National Continuity Policy, and Presidential Disaster and National Security Directives across the department
- Implement a coordinated test, train, and exercise plan for preparedness, response, and recovery to national incidents and crises.
- Coordinate and integrate preparedness, response, and recovery planning at the Regional and Field levels.
- Integrate existing fragmented programs for disasters and national security into a comprehensive and cohesive departmental effort.
- Develop and use improved performance-based criteria and evaluation procedures for emergency preparedness and response.

II. Organizational Structure and Chart

Structure

Staffing requirements for the ODMNS reflect its primary mission: To develop, train, test, coordinate, and communicate – *not to execute HUD disaster programs or duplicate functional support*. The ODMNS will be led by a senior career officer and will be supported by a Deputy, Senior Advisor, three Division Directors, and a number of specialist positions.

Chief Disaster and National Security Officer/Assistant Deputy Secretary

The head of the office leads HUD's Office of Disaster Management and National Security and is HUD's chief authority on disaster management and national security policy and procedures; chief spokesperson to external national incident management partners on HUD disaster and national security programs and activities; and, chief coordinator of HUD-wide response to national disasters. A secondary title of Assistant Secretary is proposed to ensure the office head can represent the department in national and domestic security committees, groups, and councils at the appropriate level and ensure parity with interagency entities. HUD created an 'Assistant Deputy Secretary' title in 2004 to provide a focal point for HUD disaster-related activities that was assumed by Mr. Nelson Bregon when he fulfilled a similar role for the department. Unless future departmental title protocols will not include this title structure, this title should be transferred as part of the consolidation of these functions into ODMNS.

Major duties include:

1. Quality and compliance oversight of HUD disaster and national security preparedness, response and long term recovery policies, plans, processes, tools, capabilities, and procedures.
2. Direct management of executive-level relationships with HUD offices and FEMA, as well as other external disaster and national security organizations, including Federal, state governments and on-profit and private sector partners.
3. Quality and compliance oversight of HUD's test, training, and exercise programs and its participation in National Level Exercises.
4. Guiding the design of long-range disaster recovery roadmaps and promoting of their application by state and local community planning organizations.
5. Direct involvement with program offices on the design of HUD's core disaster recovery programs (*such as CDBG, HOME, and DHAP*) to ensure effectiveness and to remove barriers.
6. In preparation for and during large-scale disasters and national security events, activating HUD's Disaster and Emergency Executive Council and taking the lead role in coordinating HUD's response.
7. In times of national disasters and severe emergencies, activating and overseeing HUD's Emergency Operations Center.

Deputy Chief Disaster and National Security Officer

The Deputy Chief Disaster and National Security Officer will serve as deputy for this office, and act as the alter ego to the office head and in the capacity of the office head in his absence. In addition, the Deputy's duties will include:

1. Providing executive direction in the development of standard protocols and planning templates to assist HUD offices and clients in disaster and national security preparedness including COOP, contingency planning, pandemic influenza guidance, disaster response, and all other requirements of the National Response Framework and the National Continuity Plan.
2. Providing direction in the development of long-range disaster recovery roadmaps for communities.
3. Approving policy direction in the development of test, training, and exercise programs and assisting in training coordinators to deliver these programs.
4. Leading interagency participation and contributing to policies and agreements that impact disaster and emergency preparedness, response, and recovery, especially long-term community recovery
5. Providing policy guidance regarding changes in National Response Framework/National Continuity Plan policies and requirements as well as identifying best practices from other disaster and emergency organizations.
6. Sponsoring periodic briefings and benchmarking sessions to capture after action lessons learned and to identify new best practices.

7. Overseeing the design and maintenance of HUD's National Housing Locator system.
8. In preparation for and during large-scale disasters and severe emergencies, activating the Secretary's Emergency Response Team and taking a lead role in coordinating HUD's response.
9. Reviewing policy guidance regarding changes in National Response Framework/National Continuity Plan policies and requirements as well as identifying best practices from other disaster and emergency organizations.

Senior Advisor, ODMNS

Provide strategic guidance and policy expertise and knowledge to ODMNS management and HUD program offices. Provides resident expertise and historical knowledge on myriad HUD disaster programs and oversees staffing requirements to support mission functions. Specifically:

1. Providing policy guidance regarding changes in National Response Framework/National Continuity Plan policies and requirements as well as identifying best practices from other disaster and emergency organizations.
2. Directs staffing and budget requirements for the office and deployment activities.
3. Liaisons with interagency groups as required and represents HUD on committees requiring in depth technical and policy knowledge.
4. Coordinates responses to Legislative, GAO, OMB inquiries.
5. Works with other program offices within HUD to determine appropriate level of response, coordination, and staffing required during events and recovery operations.

Preparedness Division, ODMNS

The Preparedness Division manages the design, development, and continuous improvement of HUD's Disaster Management and National Security Programs including policies, plans, tools, training, and procedures that facilitate preparedness by all HUD offices and clients and that improve execution in times of disasters and emergency situations. Duties include:

1. Ensuring compliance and accountability regarding National Continuity Programs (Continuity of Government COG) and Continuity of Operations (COOP) to include National Communications System (NCS) compliance and classified program implementation.
2. Coordinate preparedness and coordination with other Federal, State and local disaster and emergency organizations.
3. Sponsoring periodic briefings and benchmarking sessions to capture after action lessons learned and to identify new best practices.
4. Overseeing the design and maintenance of HUD's Emergency Operations Center.
5. Leading the development of standard protocols and planning templates to assist HUD offices and clients in disaster management and preparedness including COOP.

- Contingency Planning, Pandemic Influenza Guidance, Disaster Response, and all other requirements of the National Response Framework and the National Continuity Plan.
6. Developing and implementing a test training and evaluation program for department-wide preparedness for continuity and life-support systems.
 7. Coordinating with external stakeholders on recovery plans and programs managed by departmental offices.
 8. Maintaining and implementing remedial action programs following tests and drills.

Response and Recovery Division, ODMNS

The Response and Recovery Division manages a cadre of specialists responsible for developing relationships with HUD offices, stakeholders, client organizations, and other disaster and emergency organizations with a focus on two parts: 1) preparing for a disaster at the local level before a disaster strikes, and 2) managing HUD's response and recovery support to large scales and catastrophic disasters. The division achieves this through the education and data sharing of stakeholders regarding HUD disaster and emergency policies and programs, coordinating plan development, training, and execution during disaster and emergency situations.

Major duties include:

1. Direct responsibility for developing and managing assigned executive level relationships with HUD offices, HUD client organizations, FEMA, and other external disaster and emergency response organizations, particularly coordinating HUD's support of Emergency Support functions (ESF) 6, 14, and others as assigned.
2. Maintaining a Disaster Team Roster throughout all high-risk regions.
3. Coordinating and implementing community development and capacity building training schedules for high-risk areas.
4. Coordinating the development of long-range disaster recovery roadmaps for communities.
5. Capturing data and lessons learned to incorporate for future disasters to mitigate threats and increase efficiencies.
6. Partnering with other program offices within HUD to develop best practices and streamline support to communities affected by natural or manmade disasters
7. Working directly with other Coordinators and Federal entities to promote the use of HUD's best practices-based long-range disaster recovery roadmaps with community, state, and federal disaster and emergency organizations.
8. Maintaining the ability to surge and remain "on station" to coordinate disaster programs following a major disaster through reserve corps or retired annuitant program.

Protective Services and Security Division, ODMNS

The Protective Services Division is an operational law enforcement entity that provides protection, investigative, and logistical services to the Secretary and Deputy Secretary.

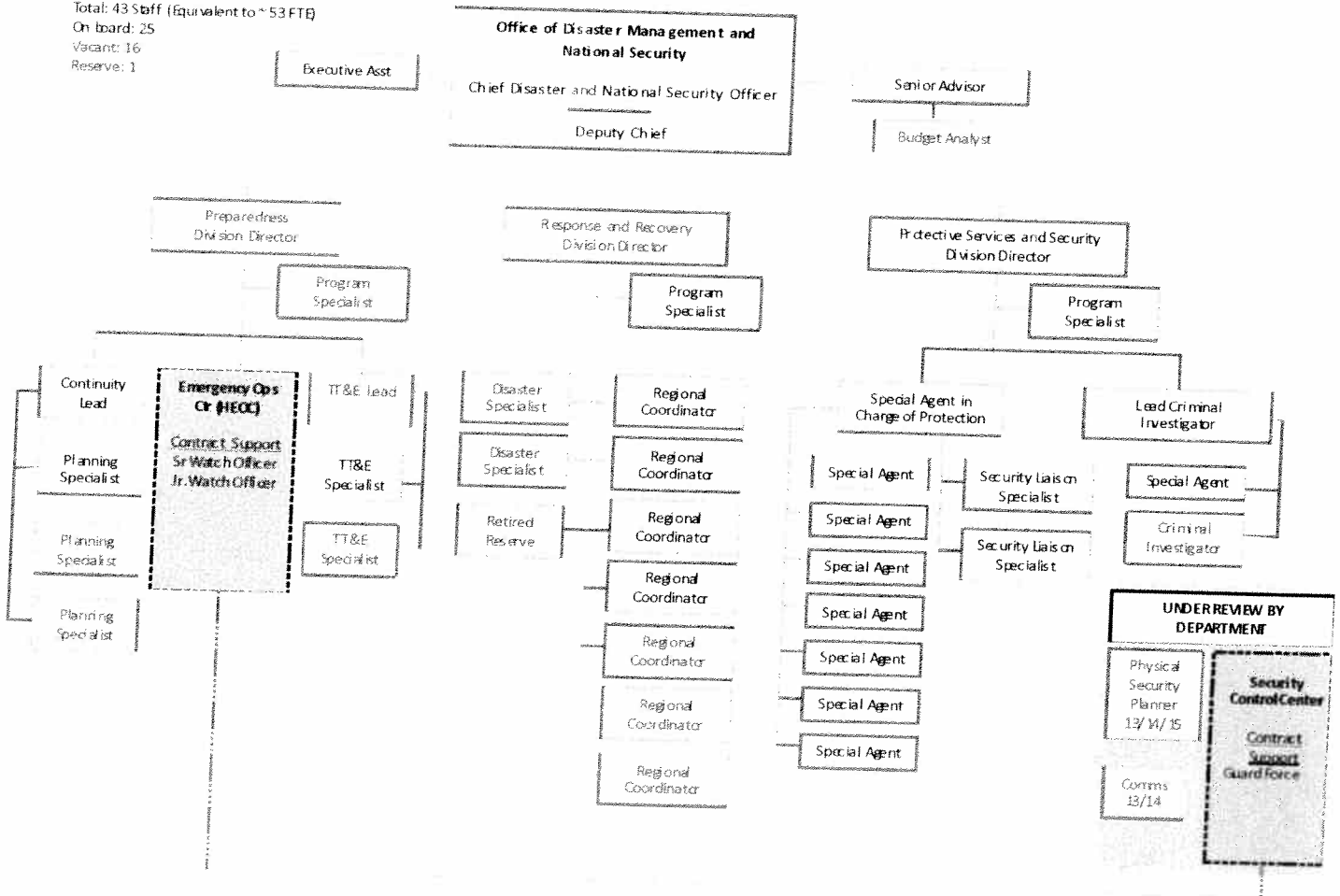
Staff assigned to the office is authorized to carry a concealed firearm, conduct criminal and administrative investigations, and make criminal arrest with or without a warrant for criminal or civil violations of the law. These individuals are tasked with protecting the Secretary and Deputy Secretary and other designated officials as authorized by 42 U.S.C 3533. Longer-term, the Physical Security Branch may move from OCHCO into this division. If this occurs, the division will also have the responsibility to manage the physical security for headquarters building and associated facilities. This is under review now with plans to establish a Physical Security Task Force in the department to assess gaps and develop a long term plan.

Major duties include:

1. Developing, coordinating, and implementing policies concerning the protection of Secretary, and as required, Deputy Secretary, and other high ranking HUD officials; reviewing, evaluating, and analyzing protective intelligence information to determine possible threats against the Secretary of HUD, HUD employees, and property; and provides direct oversight of all executive transportation and general motor pool issues.
2. Overseeing security at public events, hearings, administrative proceedings, and conferences that are scheduled, conducted, or sponsored by the department, particularly when they involve controversial or sensitive issues. Coordinating security for these events with other law enforcement agencies.
3. Final authority in disposition of investigative reports, providing information to law enforcement personnel for affidavits, search warrants, and arrest warrants for prosecution in the Federal Court system. Arrests or directs the arrest of suspected felons who have threatened the safety of the Secretary or other high level HUD official.
4. Issues policies and procedures for HQ and field application in conducting security inspections, surveys, and evaluations of departmental activities and facilities to ensure the protection of personnel, property, and buildings. Coordinates and implements policies concerning the protection of lives and the security of property at all locations under the charge and control of HUD.
5. If the Physical Security function is transferred to ODMNS, this division would assume direct responsibility for managing physical security programs in HUD.

Organizational Chart

Total: 43 Staff (Equivalent to ~ 53 FTE)
 On board: 25
 Vacant: 16
 Reserve: 1



III. Staffing Plan

Staff	Level	Position	Section	
Kern	SES	Chief Disaster and National Security Officer	Executive Management	
McClure	15	Deputy Chief Disaster and National Security Officer		
Opper	15	Senior Advisor		
Price	11/12	Executive Assistant		
Vacant	9/10/11	Program Analyst		
Vacant	14/15	Preparedness Division Director	Preparedness Division	
Vacant	7/9/11	Program Specialist		
McMahon	13/14	Continuity Lead		
Vacant	13/14	TT&E Lead		
Michell-Lawson	12/13	TT&E Specialist		
Vacant	12/13	TT&E Specialist		
Starks	11/12	Planning Specialist		
Vacant	12/13	Planning Specialist		
Vacant	7/8/9	Planning Specialist		
Vacant	14/15	Response and Recovery Division Director		Response and Recovery Division
Wilson	11/12	Program Specialist		
Ellis	15	Regional Coordinator R6		
DeYulia	14/15	Regional Coordinator R9		
Goulka	14/15	Regional Coordinator R5		
Tassone	14/15	Regional Coordinator R2		
Vacant	14/15	Regional Coordinator R4 (selected)		
Vacant	14/15	Regional Coordinator R7 (selected)		
Vacant	14/15	Regional Coordinator R10 (pending)		
Vacant	14/15	Regional Coordinator Reserve Corps		
Vacant	12/13	Disaster Specialist		
Vacant	12/13	Disaster Specialist		
Long	15	Protective Services and Security Division Director	Protective Services and Security Division	
Berry (Acting)	14	Special Agent in Charge of Protection		
Dargan	13/14	Program Specialist		
Foster	13/14	Special Agent		
Harding	13/14	Special Agent		
Judge	13/14	Special Agent		
McCahill	12/13	Special Agent		
McLanahan	12/13	Special Agent		
McKenney	12/13	Security Liaison Specialist		
Miranda	11/12/13	Special Agent		

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Perkins	11/12/13	Lead Criminal Investigator
Pounds	11/12/13	Special Agent
Seals	11/12/13	Security Liaison Specialist
Thomas	11/12/13	Special Agent
Vacant	11/12/13	Criminal Investigator
Vacant	14/15	Physical Security Planner
Vacant	13/14	Communications

IV. Office Locations and Extensions

Executive Management: Located in Weaver Building, suite 10170, north east corner.

Dab Kern	Ext 5094
Jan Opper	Ext 4538
Lisa Price	Ext 2509

Preparedness: Located in Weaver Building, suite 6280, northwest corner

Laura McClure (Acting)*	Ext 6300
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Disaster Recovery: Regional Offices throughout the U.S. Local offices vacant; will be located in suite 6280.

Edward Ellis, Dallas/Fort Worth	817-978-5984
Robert Goulka, Chicago	312-913-8037
Gary Deyulia, San Francisco	415-489-6424
Robert Tassone, New York	212-542-7173

Protective Services and Security: Protective Services located in Weaver Building, suite 10253, west side. Physical Security is not currently authorized or staffed.

Ben Long	Ext 3909
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* Scheduled for transfer to Deputy Chief pending administrative process.

V. Legislation Language for FY 2011 Budget/Operating Plan

The following was submitted in the 2011 Operating Plan. It was approved by Congress. Note: At the time it was submitted, Physical Security had not been proposed as part of ODMNS; hence the 40 FTE's request is indicated below vice the 42 stated earlier in this request. The proposal to establish the office, in Attachment 2, was submitted to various Congressional leadership and committees over the course of CY 2009/10.

Disaster and Emergency Management

For the past two decades, the U.S. Department of Housing and Urban Development (HUD) has played a critical role in the federal government's response to and recovery from national disasters. With its experience and expertise in promoting affordable housing and sustainable community development, HUD has provided valuable guidance and essential funding to state and local governments on long-term disaster recovery. Although existing HUD personnel assigned to disaster and emergency operations have performed admirably in fulfilling their assigned duties, the absence of an integrated, single office for HUD-wide disaster and emergency planning and management has put HUD at a disadvantage in fulfilling its internal needs for disaster and emergency preparedness and response.

The Office of Disaster and Emergency Management (ODEM), currently operating as part of the Office of Chief Human Capital Officer, is proposed as a new office in the Administration, Operations and Management account. As an independent office, ODEM provides immediate benefits, including a single point of contact, planning, communication, and coordination for HUD-wide disaster and emergency response and recovery activities and programs.*

*For fiscal year 2011 ODEM is requesting 40 FTE.** Existing staff positions funded by the Offices of Community Planning and Development, Field Policy and Management, and Chief Human Capital Officer will be reassigned to ODEM. The net impact of standing up the Office of Disaster and Emergency Management is minor, equating to a net increase of 4 FTE.*

ODEM will provide increased capabilities to develop standard policy, tools, and templates to improve the effectiveness and efficiency of HUD disaster and emergency operations. The office will provide more capacity for research of best practices, internal training and testing, and external outreach and coordination. The Office of Community Planning and Development will be able to redirect its current disaster policy and management staff to focus on managing disaster-related Community Development Block Grants.

The Office will advise the Secretary, Deputy Secretary, and Departmental leadership on all aspects of disaster preparedness, response, recovery, and emergency management, and implements programs to mitigate threats to employees, public resources, and critical infrastructure. ODEM will work with key stakeholders, including the Department of Homeland Security and the White House National Security Staff, to establish policy and ensure compliance with directives for the safety and welfare of HUD equities and external partners. Through Regional Disaster Coordinators, the Office will ensure preparedness and recovery in HUD-focused activities and programs across the nation.

* ODEM was original plan for the office name.

** 40 FTE Request was submitted prior to physical security being transferred to this office. Request is now 42 in FY 2011, and 43 in FY 2012.

Attachment 2



Proposal for Establishing the HUD Office of Disaster and Emergency Management

April 2010



I. Background

For the past two decades, the U.S. Department of Housing and Urban Development (*HUD*) has played a critical role in the federal government's response to and recovery from national disasters. With its experience and expertise in promoting affordable housing and sustainable community development, HUD has provided valuable guidance and essential funding to state and local governments on long-term disaster recovery. Through its network of Public Housing Authorities, the National Housing Locator, and other national housing resources, HUD has provided interim housing options to bridge the path from sheltering of disaster victims to permanent housing solutions. With oversight of public and other HUD-assisted housing clients and HUD employees in disaster areas, HUD has assisted in their safe evacuation and immediate sheltering. Finally, since Hurricane Andrew, in cooperation with Federal and local entities, HUD has provided over \$30 billion in long-term recovery assistance to affected areas through Community Development Block Grant disaster recovery assistance.

As part of a comprehensive review of HUD programs in 2008, disaster response and recovery was identified as one of the core functions of the Department for assessment and improvement. Driving the focus on disaster operations was HUD's recent experience in the Gulf Coast hurricane disasters and West Coast wildfires as well as the increased urgency for all federal agencies to improve disaster and emergency preparedness to ensure continuity of government operations and effective national response to public needs.

Recent events have shown a significant growth in the level of activity and complexity involved in HUD's assigned duties in the National Response Framework, the National Continuity Plan, and the National Disaster Housing Strategy, with the resulting need for more coordinated action across HUD offices. In addition, the experience of responding to Hurricane Ike in September 2008 simultaneously punctuated the challenges of coordinating internal disaster and emergency response and recovery roles, as well as managing relationships with external organizations, particularly FEMA and state governments.

Although existing HUD personnel assigned to disaster and emergency operations have performed admirably in fulfilling their assigned duties, the absence of an integrated, single office for HUD-wide disaster and emergency planning and management has put HUD at a disadvantage in fulfilling its internal needs for disaster and emergency preparedness and response.

More recently, HUD's role as a partner with the Department of Homeland Security (*DHS*) in leading the Long-term Disaster Recovery Working Group (*LTDRWG*) has emphasized the need for HUD to consolidate various emergency management and disaster activities within the Department to help support anticipated recommendations coming out of the *LTDRWG's* Report to the President due in April 2010.

Based on the study conducted in 2008, and the findings of the current leadership, a senior career officer position was established in August 2009. This individual reports to the Deputy Secretary and Chief Operating Officer, coordinating both disaster and emergency management

programs for the Department. In addition, the Department recommends the combination of emergency management, field disaster coordinators, protective services, and analyst positions be consolidated to form one office to fully leverage HUD's capabilities. This office, the *Office of Disaster and Emergency Management (ODEM)*, will provide enough flexibility to incorporate lessons learned out of the LTDRWG efforts at minimal cost to the government and serve as the coordination office for disaster-related programs and activities managed by the department.

The balance of the document outlines the proposed Concept of Operations for this new office.

II. The Case for Action

In responding to national disasters over the past two decades, HUD has earned a reputation as a reliable and resourceful partner for providing housing opportunities and supporting long-term community and economic recovery. HUD program offices, particularly the Office of Community Planning and Development, the Office of Public and Indian Housing, and the Office of Housing, have documented and tested processes for responding to disasters. Likewise, HUD Regional Offices and Field Offices, particularly those in disaster-prone areas, are experienced in mobilizing staff for local disaster operations and FEMA mission assignments.

Nonetheless, HUD's ability to respond to disasters and severe emergency incidents is handicapped from a number of perspectives. First and foremost, while roles and responsibilities for disaster and emergency operations are relatively clear within each HUD office, responsibility for actions that cut across HUD offices and to external organizations has been less clear.

When national disasters are officially declared and HUD offices move into action, there is a continuous flow of decisions to be made and issues to be resolved that are typically outside the scope of any single HUD office. For example, the negotiating of interagency agreements with FEMA often requires input from legal, procurement, and public affairs experts, as well as HUD program offices. The securing of damage assessments and establishment of call centers to respond to disaster victim inquiries are other tasks that are not currently coordinated across the department. These disaster-specific activities are time-consuming, often require expertise and experience to execute effectively, and are difficult for program offices and support functions to manage given ongoing duties and commitments that do not stop when disasters and emergencies arise.

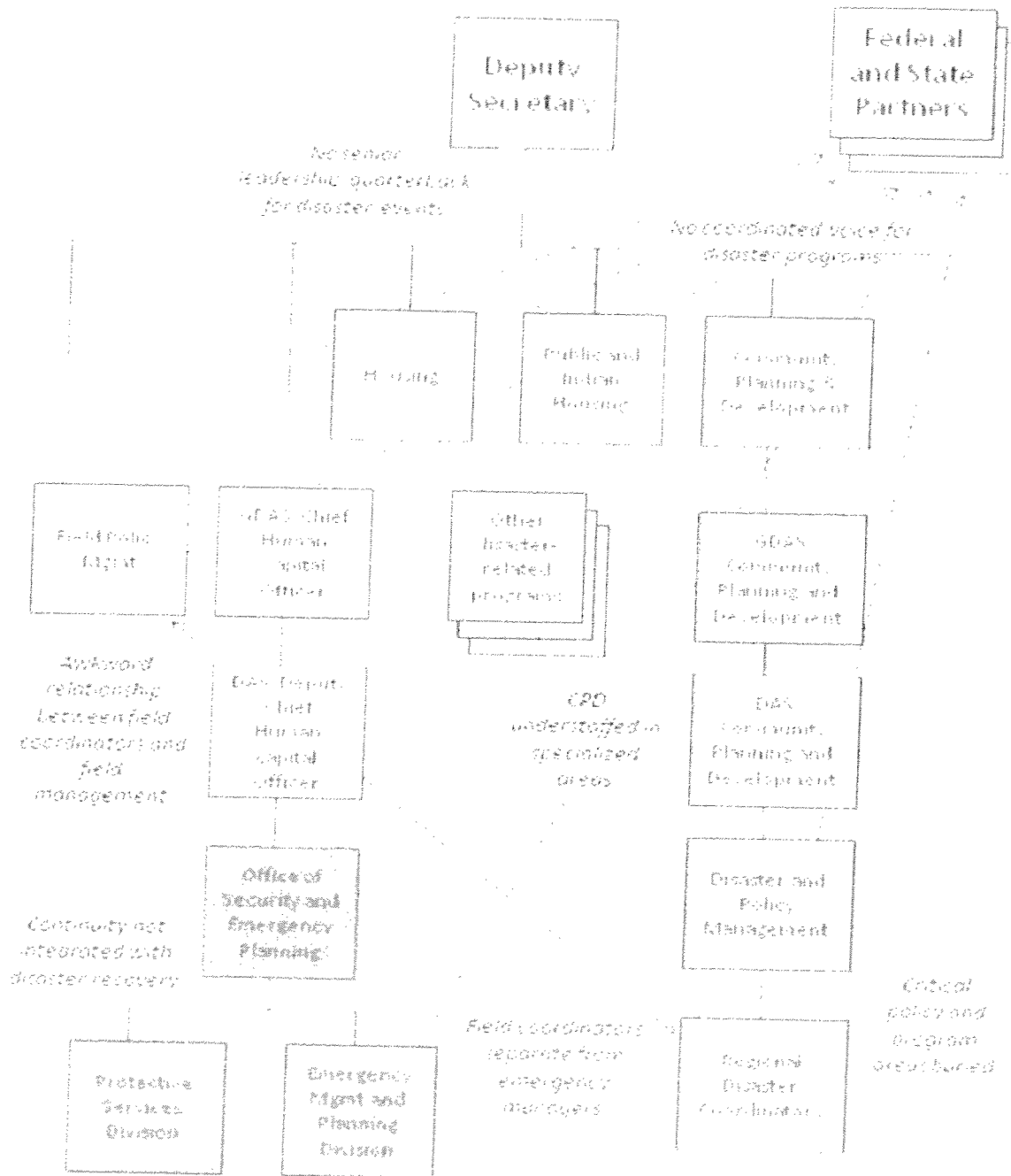
During disasters, HUD offices are required to "flex" their staffs to take on disaster roles for both short- and longer- term duration assignments. Lack of a formal process for assigning staff, backfilling positions, and funding temporary assignments creates stress on individual offices and results in inefficient and even ineffective execution. While there are small full-time staffs in place today to support disaster and emergency planning and coordination, these offices are managed through different chains of command and, for the most part, operate independently. Within the Office of Community Planning and Development, a small Office of

Disaster Policy and Management, with an Associate Deputy Assistant Secretary and six Disaster Recovery Coordinators, has responsibility for managing HUD's interagency coordination and facilitating disaster preparedness in Field and Regional Offices.

Under HUD's Office of Administration, the Office of Security and Emergency Planning has responsibility for HUD's Continuity of Operations (*COOP*), Continuity of Government (*COG*), contingency planning, executive protection, and other requirements associated with the National Continuity Policy. The Emergency Planning and Management Division of this office operates with a staff of five full-time personnel and five contract support staff who work with all HUD offices to ensure that continuity plans are in place, test and training requirements are met, and HUD's Emergency Operations Center is manned and ready to perform. The Protective Service Division, in addition to providing protective services for the Secretary, operates with approximately a dozen staff to support contingency operations, investigations, and Continuity of the Presidency requirements.

The Office of Disaster Policy and Management and the Office of Security and Emergency Planning have performed their duties as currently defined. However, the independent management and operation of these offices has put HUD at a disadvantage with respect to National Response Framework and National Contingency Policy goals of *combined* planning, training, and testing for disaster and emergency management. There is little to no collaboration or economies of scale. Preparedness and training programs are disjointed and devoid of regional focus. The Emergency Operations Center is not fully integrated with field and program office focus areas, and is staffed by contract personnel to oversee critical operations that are best addressed by personnel with experience and resident knowledge of the department's requirements. Protective Services are not adequately integrated into continuity and contingency plans and programs, and their law enforcement authorities, a significant asset in an emergency, are not fully understood or utilized. In addition, independent operation of these offices has made it difficult to share best practices and conduct joint planning, training, and exercise activities. Perhaps of most concern, in HUD today there is not a single voice or ear for communicating, listening, and responding to the constantly changing environment that characterizes disaster and emergency operations. Drawbacks to effectively managing emergency programs are highlighted in Exhibit 1 below:

Exhibit 1 Drawbacks to Current Structure



The increased frequency and threat of national disasters and severe emergency incidents, natural and manmade, has elevated the urgency for all federal agencies to invest in greater preparedness, response, and recovery capabilities. For HUD, the urgency is further elevated by the enlarged role it has been asked to play, particularly in the wake of the Gulf Coast and Midwest disasters – from preparing for significant dislocation of populations and housing shortages, to supporting FEMA on evacuation and sheltering of HUD clients, to providing interim housing solutions and taking a leading role in planning and supporting long-term, sustainable community recovery.

Moving to a combined Office of Disaster and Emergency Management, headed by a senior career officer, will equip HUD with a more efficient and effective vehicle for leveraging best practices; gaining efficiencies in planning, training, and testing; and improving coordination within HUD and communication and cooperation with other disaster and emergency operations. The path for quickly establishing a more integrated, efficient, and capable HUD disaster and emergency operation is outlined in the section that follows.

III. Guiding Principles for Improved HUD Disaster and Emergency Management

Improving HUD's internal execution and fully contributing to its external role in disaster recovery will require more than a change in organization and reporting relationships. A set of principles should guide HUD's decisions, allocation of resources, and development of policy and procedures for HUD-wide disaster and emergency operations. These Guiding Principles are:

1. HUD will operate with a single, central authority and support staff to manage the planning, training, testing, coordination, and continuous improvement of its disaster and emergency operations. This function is permanent, with its own budget and funding, reports Chief Operating Officer during steady state conditions, and the Deputy Secretary during emergencies, and is the "quarterback" for guiding HUD in all disaster and emergency operations across program areas.
2. Disaster and emergency preparedness, response, and recovery is a formal, documented responsibility for every HUD office. Disaster and emergency preparedness, response, and recovery is supported by specific, annual performance plan goals, standard operating procedures, and templates that are easy to use.
3. Every HUD office will assign a point of contact and, as appropriate, assign staff to support HUD's Emergency Response Team to represent the disaster-related impacts to their respective program offices and help integrate departmental reactions and operations.
4. HUD will design and deliver disaster and emergency programs that are tied to clearly defined outcomes, are easy to understand, and are measured by return on investment.

5. In executing its disaster and emergency programs, HUD will operate with a spirit of partnership and apply a case management approach to promote holistic HUD support to impacted organizations and individuals.
6. HUD will proactively reach out to federal, state, and local disaster and emergency organizations to promote preparedness and leverage best practices for achieving efficient and sustainable community recovery.
7. To ensure a smooth response to disaster and emergency situations, HUD will proactively develop positive, ongoing relationships with other governmental, nonprofit, and private industry organizations that play roles in disaster and emergency response and recovery.
8. HUD will operate with an integrated disaster and emergency test, training, and exercise program to improve internal preparedness and gain efficiencies, with an increased focus on regional entities.
9. To mitigate misconceptions and confusion, as well as promote HUD's role and capabilities, HUD will design and execute an ongoing disaster and emergency communications campaign.
10. HUD will incorporate a formal Remedial Action Management Program (RAMP), a process of tracking and monitoring outstanding action items that will be tracked and monitored to ensure capacity gaps are filled, and ultimately catalogued to produce best practices and lessons learned, thereby to standardizing disaster and emergency operations, and promoting continuous improvement.

IV. Proposed HUD Disaster and Emergency Management Office Concept of Operations

This section presents the proposed concept for implementing a new, combined Office of Disaster and Emergency Management within HUD. Included in this Concept of Operations are the mission, metrics, core functions, and proposed staffing and funding for the office.

Mission

HUD's Office of Disaster and Emergency Management (*ODEM*) will perform five primary responsibilities critical to effective disaster and emergency planning, response, and recovery, as follows:

1. Support all HUD offices and client organizations in the design, training, testing, and continuous improvement of **integrated, comprehensive disaster and emergency plans**, including COOP, contingency plans, disaster response, executive security, and other requirements of the National Response Framework and the National Continuity Plan.
2. Develop **strong partnerships with other organizations** involved in disaster and emergency operations at the federal, state, and community levels along with non-government and private industry organizations in order to share best practices, leverage resources, integrate plans, and improve coordination before, during, and after disaster and emergency situations.

3. Proactively **identify and remove barriers** and resolve issues that hinder effectiveness and efficiency of HUD's disaster and emergency operations and programs.
4. Develop and promote the use of **robust, research-based recovery roadmaps** that lead to sustainable, energy-efficient rebuilding of communities.
5. **Lead the coordination of HUD's response** during national disasters and severe emergency incidents to ensure smooth hand-offs between HUD offices, clients, and external partners.

Success Metrics

The Office of Disaster and Emergency Management will be responsible for the overall performance and perception of HUD's disaster and emergency activities. As such, it will manage over time HUD's **scorecard of external outcome metrics** for disaster and emergency operations performance. These metrics may include:

- Compliance with the National Response Framework, the National Continuity Plan, and assigned Emergency Support Functions (*ESF 5, 6, 14, and 15*) and other requirements.
- Performance ratings by external organizations (*federal, state, community, non-government, private industry*) on HUD responsiveness, professionalism, and results achieved in disaster and emergency operations.
- Impact and return on disaster and emergency funds allocated to HUD.
- Effective stewardship of funds with respect to fraud, waste, or abuse.

In managing its own performance, ODEM will also maintain, track, and report on a **set of internal effectiveness metrics**, which include:

- Perception of value-added to disaster and emergency capability as seen by HUD offices and HUD client organizations (*such as Public Housing Authorities*).
- Scores on internal disaster and emergency preparedness assessments.
- Number and effectiveness of new disaster and emergency products, tools, and program enhancements developed and implemented.
- Number and effectiveness of new interagency agreements or MOA's, established or renewed with external disaster and emergency partner organizations.
- Number and effectiveness of Disaster Recovery Plan collaborations at the state and community level.

Core Functions

The scope of the office will cut across the entire Department. The Office of Disaster and Emergency Management will advise the Secretary, Deputy Secretary, and Departmental leadership on all aspects of disaster preparedness, response, recovery, and emergency management, and implements programs to mitigate threats to employees, public resources, and critical infrastructure.

The office will be responsible for risk assessment, readiness, training, monitoring, and execution of applicable emergency, response, and recovery programs. It will work with key

stakeholders and the Domestic Policy Council, the White House National Security Staff, the Department of Homeland Security, and other departments and agencies to establish policy and ensure compliance with directives for the safety and welfare of HUD equities and partners.

The ODEM will:

- Respond to disasters and severe emergency incidents; and take on a larger role in housing and community recovery
- Research and analyze complex issues related to disaster response and recovery and develops policy and program options, alternatives, solutions, and recommendations in coordination with the HUD Office of Policy Development and Research and others
- Coordinate and develop cross-cutting policies, programs, and plans related to disaster and emergency preparedness, prevention, response, and recovery, and departmental business continuity and resumption including Community Development Block Grant Disaster Recovery Assistance, Public Housing Capital Investment programs, Housing Choice Vouchers and the Disaster Housing Assistance Program (DHAP), and federal resiliency programs.
- Develop and implement long-range disaster housing recovery protocols with Federal, state, local, and regional partners
- Implement National Response Framework, National Continuity Policy, and Presidential directives across the Department
- Implement a coordinated test, train, and exercise plan for emergency response and recovery
- Coordinate and integrate operational plans at the Regional and Field level
- Integrate continuity and disaster response and recovery
- Develop and use improved performance-based criteria and evaluation procedures for emergency preparedness and response

Organizational Structure

Staffing requirements for the ODEM reflect its primary mission: To develop, train, test, coordinate, and communicate – *not to execute HUD disaster programs or duplicate functional support*. The ODEM will be led by a senior career officer and will be supported by a Deputy and three Division Managers and a number of specialist positions. Initial staffing levels only require a slight increase of existing full-time HUD positions currently in place to support disaster coordination and emergency planning, and will convert activities currently supported by contractors into fewer government positions. Exhibit 2 shows the proposed organizational chart of the positions that follow.

Chief Disaster and Emergency Management Officer/Assistant Deputy Secretary

The head of the office leads HUD's Office of Disaster and Emergency Management and is HUD's chief authority on disaster and emergency policy and procedures; chief spokesperson to external parties on HUD disaster and emergency programs and activities; and, chief coordinator of HUD-wide response to national disasters and severe emergency incidents.

Major duties include:

1. Quality and compliance oversight of HUD disaster and emergency response and recovery policies, plans, processes, tools, capabilities, and procedures.
2. Direct management of executive level relationships with HUD offices and FEMA as well as other external disaster and emergency response organizations – federal, state, non-profit, and private sector.
3. Quality and compliance oversight of HUD's test, training, and exercise programs and its participation in National Level Exercises.
4. Guiding the design of long-range disaster recovery roadmaps and promoting of their application by state and local community planning organizations.
5. Direct involvement with program offices on the design of HUD's core disaster recovery programs (*such as CDBG, HOME, and DHAP*) to ensure effectiveness and to remove barriers.
6. In preparation for and during large-scale disasters and severe emergencies, activating HUD's Disaster and Emergency Executive Council and taking the lead role in coordinating HUD's response.
7. In times of national disasters and severe emergencies, activating and overseeing HUD's Emergency Operations Center.

Associate Deputy Assistant Secretary, Disaster and Policy Management/Deputy, ODEM

The Associate Deputy Assistant Secretary (ADAS) will serve as deputy for this office, and act as the alter ego to the office head and in the capacity of the office head in his absence. In addition, the ADAS duties will include:

1. Providing executive direction in the development of standard protocols and planning templates to assist HUD offices and clients in disaster and emergency preparedness including COOP, contingency planning, pandemic influenza guidance, disaster response, and all other requirements of the National Response Framework and the National Continuity Plan.
2. Providing direction in the development of long-range disaster recovery roadmaps for communities.
3. Providing policy direction in the development of test, training, and exercise programs and assisting in training coordinators to deliver these programs.
4. Leading interagency participation and contributing to policies and agreements that impact disaster and emergency preparedness, response, and recovery, especially long-term community recovery
5. Providing policy guidance regarding changes in National Response Framework/National Continuity Plan policies and requirements as well as identifying best practices from other disaster and emergency organizations.
6. Sponsoring periodic briefings and benchmarking sessions to capture after action lessons learned and to identify new best practices.

7. Overseeing the design and maintenance of HUD's National Housing Locator system.
8. In preparation for and during large-scale disasters and severe emergencies, activating HUD's Disaster and Emergency Executive Council and taking the lead role in coordinating HUD's response.

Director, Preparedness & Program Coordination

The Director of Preparedness and Program Coordination manages the design, development, and continuous improvement of HUD's Disaster and Emergency Program including policies, plans, tools, training, and procedures that facilitate preparedness by all HUD offices and clients and that improve execution in times of disasters and emergency situations.

1. Major duties include: other disaster and emergency organizations.
2. Sponsoring periodic briefings and benchmarking sessions to capture after action lessons learned and to identify new best practices.
3. Overseeing the design and maintenance of HUD's Disaster and Emergency Operations Center.
4. Leading the development of standard protocols and planning templates to assist HUD offices and clients in disaster and emergency preparedness including COOP, Contingency Planning, Pandemic Influenza Guidance, Disaster Response, and all other requirements of the National Response Framework and the National Continuity Plan.
5. Coordinating the development of long-range disaster recovery roadmaps for communities.
6. Coordinating with external stakeholders on recovery plans and programs managed by departmental offices.
7. Overseeing the Emergency Operations Center and emergency/secure communications requirements, integrating plans produced through test, training, and exercise program during operational cycles.
8. Monitoring changes in National Response Framework/National Continuity Plan policies and requirements as well as identifying best practices.

Director, TT&E and Regional Coordination

The Director of Disaster and Emergency Response & Recovery Coordination manages a cadre of specialists responsible for developing relationships with HUD offices, client organizations, and other disaster and emergency organizations; educating these organizations on HUD disaster and emergency policies and programs; and coordinating plan development, training, and execution during disaster and emergency situations.

Major duties include:

1. Direct responsibility for developing and managing assigned executive level relationships with HUD offices, HUD client organizations, FEMA, and other external disaster and

emergency response organizations. *(Backs up the Chief Officer's relationships and manages his/her own relationship portfolio as well.)*

2. Leading the staff of Disaster Coordinators by making relationship management assignments and setting goals for outreach, plan completion, training, and testing.
3. Working directly with Coordinators to promote the use of HUD's best practices-based long-range disaster recovery roadmaps with community, state, and federal disaster and emergency organizations.
4. Coaching Coordinators on their work with HUD offices and client organizations to develop plans, conduct training, and test exercises.
5. Backing up the Chief Officer in the HUD-wide coordinator role during large-scale disasters and severe emergency situations.

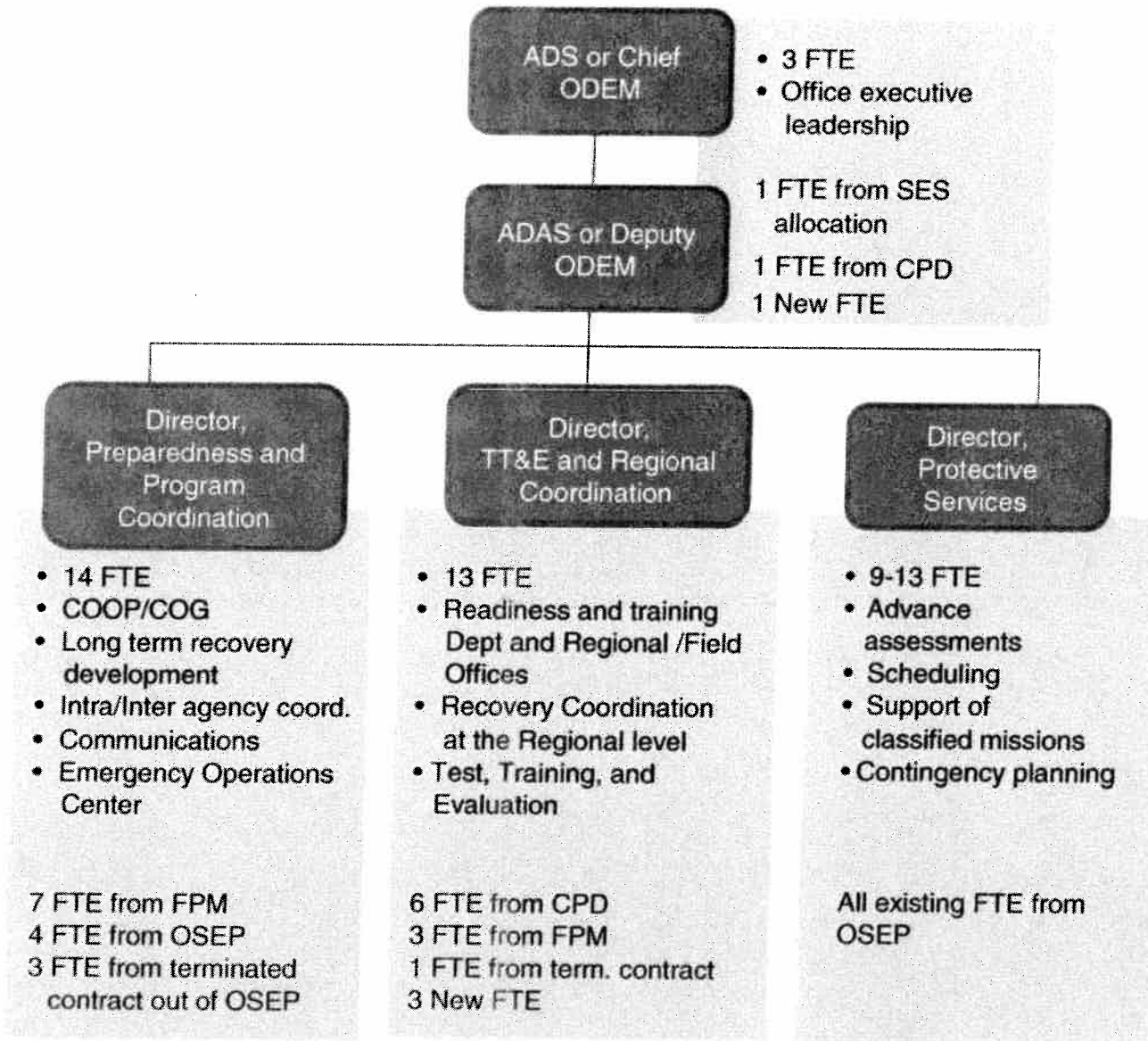
Director, Protective Services

The Director of Protective Services manages protection for the Secretary, Deputy Secretary, senior executive staff, executive transportation and operations, intelligence, and investigations.

Major duties include:

1. Direct responsibility for managing the investigation of threat information, coordinating intelligence and information gathering activities, assessing necessary levels of security, and supervising in a multitude of situations.
2. Developing, coordinating and implementing policies concerning the protection of Secretary, and as required, Deputy Secretary and other high ranking HUD officials, reviewing, evaluating, and analyzing protective intelligence information to determine possible threats against the Secretary of HUD, HUD employees and property and provides direct oversight of all executive transportation and general motor pool issues.
3. Overseeing security at public events, hearings, administrative proceedings and conferences that are scheduled, conducted or sponsored by the Department, particularly when they involve controversial or sensitive issues. Coordinating security for these events with other law enforcement agencies.
4. Final authority in disposition of investigative reports, providing information to law enforcement personnel for affidavits, search warrants, and arrest warrants for prosecution in the Federal Court system. Arrests or directs the arrest of suspected felons who have threatened the safety of the Secretary or other high level HUD official.
5. Issues policies and procedures for HQ and field application in conducting security inspections, surveys, and evaluations of Departmental activities and facilities to ensure the protection of personnel, property and buildings. Coordinates and implements policies concerning the protection of lives and the security of property at all locations under the charge and control of the Department of HUD.

**Exhibit 2.
Office of Disaster and Emergency Management Staffing
and Reporting Relationships**



39-43 total FTE. A total of 4 new FTE offset by \$820K from terminated contract

- FPM: Field Policy Management
- CPD: Community Planning and Development;
- OSEP: Office of Security and Emergency Planning

V. Improvements to Previous Structure

The establishment and realignment of human capital produces significant improvements in capacity, efficiency, and effectiveness at marginal cost increase to the government:

- **Chief Disaster and Emergency Management Officer (CDEMO):**
 - Establishes a single point of coordination for all departmental emergencies at an elevated position in the department, and gives the office head leverage of the Secretary's and Deputy Secretary's authority when applicable to better coordinate functional programs across the entire organization.
 - Places Continuity Coordinator responsibilities and all hazards mitigation requirements under one office, collocating continuity and ESF compliance responsibilities, ensuring improved visibility and efficiencies on cross-cutting emergency directives.
 - Provides integrated disaster funding oversight and fiscal discipline during declared disasters.

- **Preparedness & Program Coordination Division:**
 - Co-locating COG, COOP, disaster planning and coordination under one office director produces economies of scale and integrates heretofore stovepiped continuity programs with all hazards programs.
 - Establishes an organization with a standardized external outreach and coordination mechanism for long term recovery.
 - Eliminates an \$850K contract funding for over outsourced 5 positions. Replaced with 4 FTE at a savings to the government while 1) providing better coverage and 2) improved integration of the Emergency Operations Center into departmental programs.

- **TT&E and Regional Coordination Division:**
 - Provides integrated TT&E with a greater emphasis on regional support and the staff to provide gap analysis and follow-up.
 - Integrates regional disaster coordination with departmental priorities and directives.

- **Protective Services Division:**
 - Integrates emergency response capabilities of law enforcement personnel with departmental programs and priorities.
 - Places critical Continuity of the Presidency (COP) program management in an elevated position in the department.

VI. Funding and Budget Impact

The Office of Disaster and Emergency Management is to be funded as a standalone office. However, to support immediate operation of the office, funding will be provided by shifting the budget currently allocated for the Emergency Planning and Management Division and Protective Services Division within the Office of Security and Emergency Planning and the budget currently allocated within Field Policy & Management for unfilled positions.

Existing budget and staff positions in the Office of Disaster Policy and Management (*currently funded by the Community Planning and Development Office*) will be reassigned to ODEM.

The net impact of standing up the Office of Disaster and Emergency Management is minor, equating to a net increase of 4 FTE after the elimination of a service contract. The following funding items, in addition to staff salaries and benefits, are critical to fulfilling the mission of the office:

- Sufficient funds for travel by staff, especially coordinators, to engage with “clients” of the ODEM. The ODEM’s effectiveness depends on frequent and consistent information with a large portfolio of internal and external organizations.
- Sufficient travel funds for protective services.
- Sufficient funds for sponsoring training workshops and test exercise events with HUD offices and clients. The ODEM must be able to make it easy for these offices to participate in such events by delivering at local sites easily accessed by HUD offices and client personnel and by paying for materials, instruction, and facilities costs as required.
- Sufficient funds for publishing materials to support HUD’s disaster and emergency management mission for distribution to HUD offices, clients, and external partner organizations.
- Sufficient funds to support the ongoing operation of the Emergency Operations Center along with funding to pre-position communication tools and materials to support HUD personnel once deployed to disaster areas.