



IV. COORDINATION AND EVALUATION

To ensure FDNY terrorism and disaster preparedness efforts meet the Department's needs and that preparedness initiatives produce desired outcomes, the Department has created a system of analysis, planning and evaluation for terrorism and disaster preparedness activities.

Coordination

This system--referred to as the Strategy Cycle--began with the creation of this Terrorism & Disaster Preparedness Strategy and will continue with a regular iteration of each remaining step in the Strategy Cycle, including Risk Assessment; Response Assessment; Resource Inventory; Needs Analysis; Goal Prioritization; Objective Development; Implementation; and Evaluation. The Strategy Cycle process will be managed by the FDNY's Center for Terrorism & Disaster Preparedness.

The first regular activity in the Cycle is an ongoing *Risk Assessment* to collect and categorize information on possible incident scenarios and the threat level, or likelihood, of those scenarios occurring. The Risk Assessment also includes the identification of actions that could be taken to reduce the consequences of an incident and the detection of hazards that could exacerbate

incident consequences, hinder Department operations and/or create unusual responder safety concerns.

Following the Risk Assessment is a *Response Assessment*--an identification of the resources required to achieve operational readiness for responding to general and site-specific incident scenarios (resource typing). Resource requirements for the performance of each capability are stated in terms of capacity level (quantified), proficiency level (qualified) and deployment time for each capability.

Next, the resources the Department currently has are measured, again in terms of capacity level, proficiency level and deployment time, to produce a written *Resource Inventory* for the Department. The Resource Inventory is organized in two ways. First, a general inventory is conducted to create a catalog of the collective resources of the Department, delineated by capability. Then, resources from the general catalog are aligned to correspond with the scenarios identified in the Risk Assessment and Response Assessment. The Resource Inventory accounts for all of the elements needed to comprise each capability²⁵: Planning; Organization and Leadership; Equipment and Systems; Training; Exercises, Evaluations and Corrective Actions; and Personnel.

The results of the Response Assessment then are compared against the Asset Inventory to produce a *Gap Analysis*--an identification of the gaps that must be filled to reach the previously determined optimal level of preparedness. This analysis also may reveal current resource redundancies that can be eliminated to create greater efficiency.

Collectively, the information generated and organized during these steps provides decision-makers with the tools to comprehensively evaluate the Department's preparedness needs. Decision-makers then can guide appropriate financial and administrative allocations by ranking Department needs according to importance through *Goal Prioritization*.

Prioritized preparedness goals then are further organized through *Objective Development* to identify strategic objectives in support of the goals and specific implementation elements required to achieve those objectives. After the objectives have been broken down into appropriate implementation elements (or

tasks), plans for the *Implementation* of these objectives are developed and resources are assigned to manage initial task completion and maintain corresponding capability enhancements.

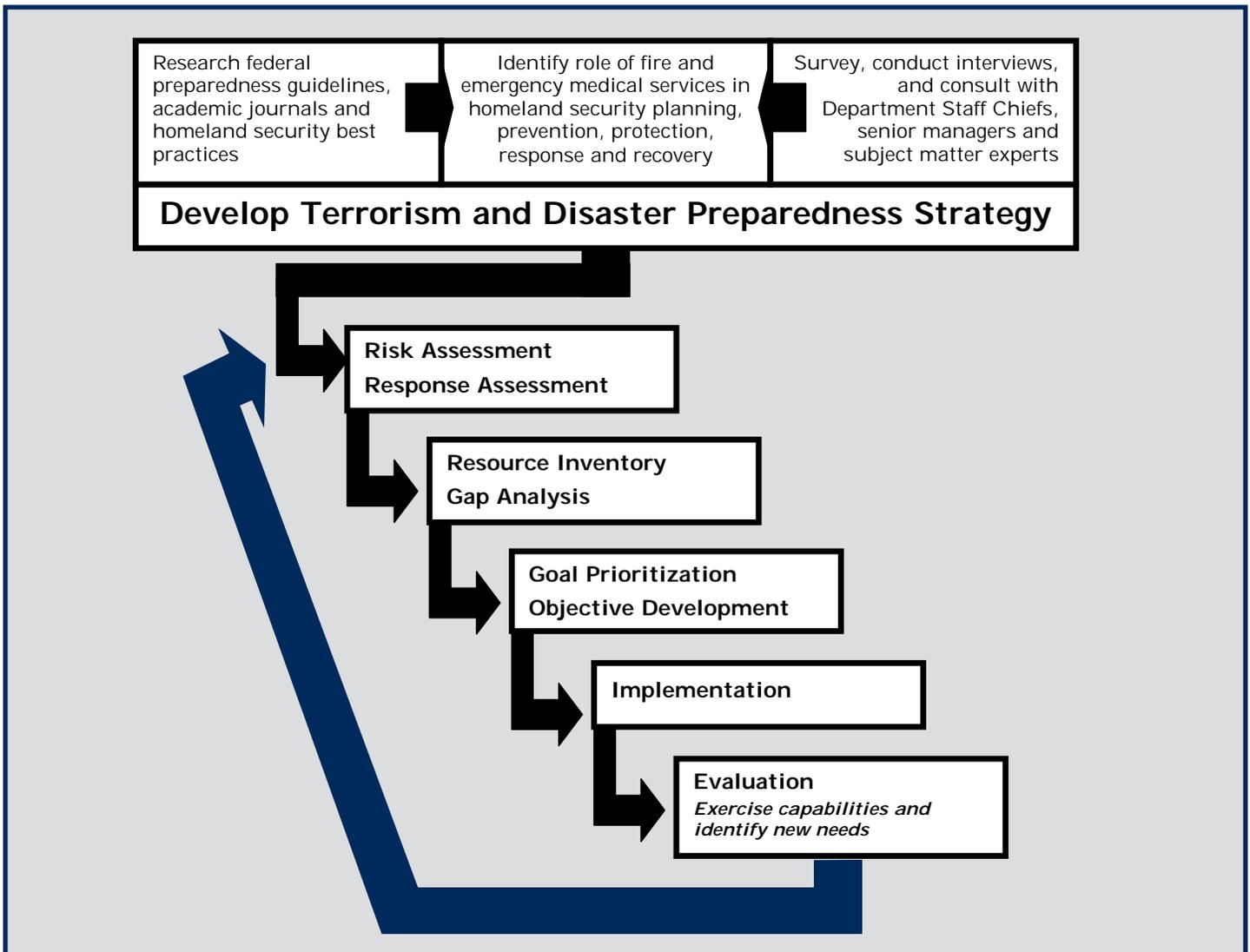
Evaluation

The final activity prescribed by the Strategy Cycle is a measurable, meaningful and actionable *Evaluation* of outcomes for each objective.

The use of *outcomes* to measure progress--rather than *outputs*--is an important distinction to make. Outcome measures provide an assessment of the results of a program activity compared to its intended purpose. In contrast, output measures simply provide a quantified list of actions that have been taken (e.g., equipment purchased) without a true determination of how those actions impacted one's state of preparedness.

A report by the Congressional Research Service, titled *Combating Terrorism: The Challenge of Measuring*

FDNY Terrorism and Disaster Preparedness Strategy Cycle



FDNY Terrorism and Disaster Preparedness Evaluation Plan

| <i>Activity in the Strategy Cycle</i> | <i>Frequency</i> | <i>Responsibility</i> | <i>Corresponding Evaluation Point</i> |
|---|--|---|---|
| Risk Assessment Identification of probable incident scenarios, actions to reduce incident consequences, detection of potential hazards and identification of responder safety concerns | Ongoing; data reviewed and updated annually and/or as new threats emerge | Risk Assessment and Target Hazards (RATH) Unit/CTDP staff | Provides data for setting appropriate operational goals |
| Response Needs Assessment Identification of resources needed to respond to incident scenarios, stated in terms of capacity level (quantified), proficiency level (qualified) and deployment time for each capability element (POETEP) | Ongoing; data reviewed and updated annually or as new needs emerge | Operations/CTDP Advisory Committee | Operational Goals Describe the level of operations to be performed (and the corresponding operational environments within which they need to be performed) in order to fulfill the responsibilities of core capabilities |
| Resource Inventory Evaluation of appropriate capabilities the Department currently has, in terms of capacity level (quantified), proficiency level (qualified) and deployment time for each capability element (POETEP) | Updated annually | Operations/Logistics | Baselines Starting point of capability from which gains are measured and targets are set, in terms of capacity level (quantified), proficiency level (qualified) and deployment time |
| Gap Analysis Identification of the gaps FDNY must fill in order to reach the previously determined optimal level of preparedness, in terms of capacity level (quantified), proficiency level (qualified) and deployment time | Updated semi-annually following asset inventory | CTDP Advisory Committee/CTDP Staff | Target Performance Goals Qualified and quantified; long-term; target levels of performance against which actual achievements can be compared; defined for each task required within an Operational Goal |
| Goal Prioritization Comprehensive evaluation of the Department's preparedness needs; guide appropriate financial and administrative allocations by ranking needs | Annually | CTDP Advisory Committee/Terrorism Task Force | Annual Performance Goals Short-term; should be accomplishable (all or a defined part) within one year; tied to a Target Performance Goal |
| Objective Development Identification of objectives in support of annual performance goals and specific implementation elements required to achieve those objectives | Annually | CTDP working groups/CTDP staff | Strategic Objectives Qualified and quantified; short-term and time limited; well-defined and specific; describe the intended result of carrying out an activity or group of activities required to achieve each Annual Performance Goal |
| Implementation Identification of and planning for the implementation steps that need to be taken in order to achieve the objectives | Ongoing; progress reviewed monthly | CTDP working groups/CTDP staff | Implementation Steps Qualified and quantified; categorized as capability elements (POETEP); describe the individual tasks that will be performed in order to achieve each Strategic Objective |
| Evaluation | Ongoing; reviewed quarterly; annual report | CTDP working groups/CTDP staff | Performance Report |

Effectiveness, cautioned against the use of only output measures, stating: “A common pitfall of governments seeking to demonstrate success in anti-terrorist measures is over-reliance on quantitative indicators, particularly those which may correlate with progress but not accurately measure it, such as the amount of money spent on anti-terror efforts.”²⁶

While outputs still must be tracked as part of an overall evaluation plan, they only have value if they are linked to meaningful outcomes and if those outcomes are further shown to be consistent with the desired results.

To facilitate evaluating the outcomes of FDNY terrorism and disaster preparedness initiatives, a series of Evaluation Points have been developed to provide a picture of the Department’s actual state of preparedness versus its optimal state. Evaluation Points include Operational Goals, Baselines, Target Performance Goals, Annual Performance Goals, Strategic Objectives and Implementation Steps.

Each Evaluation Point requires a collection and reporting of data, which are provided through the completion of its corresponding step in the Strategy Cycle. The data collected connect together in a way that enables the Department to trace how each

initiative taken supports FDNY’s core capabilities. Collectively, the Evaluation Points provide the Department with both the output and outcome information needed to measure and monitor progress toward optimal terrorism and disaster preparedness levels.

To ensure the Department-wide involvement in completing the Strategy Cycle, the Department has created a CTDPA Advisory Committee, consisting of representatives from Fire Operations, EMS Operations, Special Operations Command, Safety, Training, Communications, Fire Prevention and Fire Investigations. The Advisory Committee is charged with setting the FDNY’s long-term strategy goals and prioritizing annual performance goals.

Background information and recommendations for selection and development of the FDNY’s long-term and annual goals will be provided to the Advisory Committee by working groups comprised of Department personnel who have completed the Naval Postgraduate School (NPS) Center for Homeland Defense and Security Master’s Degree Program, the FDNY Officers Management Institute and/or the FDNY/USMA Combating Terrorism Leadership Course, as well as other subject matter experts from within and outside the Department.

