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TO: All State Administrative Agency Heads
All State Administrative Agency Points of Contact
All State Homeland Security Directors

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Director

SUBJECT: Guidance for developing the evaluation plan for the State Homeland Security Strategy and Urban Area Security Strategy

The evaluation plan included in the state and urban area homeland security strategies should outline the process by which the state will review and analyze progress made toward identified goals and objectives. The review and analysis (R&A) process should compile key management information, track trends that emerge as the strategy is implemented, ensure that implementation is proceeding as it should, and make mid-course adjustments to the strategy as necessary.

The evaluation plan is a critical element of the strategy and is tied to its ultimate approval by the Department of Homeland Security. Grantees need to demonstrate that important issues associated with evaluating progress have been contemplated thoroughly and that a plan is in place to make sure that implementation of strategic goals and objectives is tracked from the beginning. Consequently, the evaluation plan should provide details about the membership of key evaluation working groups, the frequency of working group meetings, their use of evaluation tools, and the development of corrective action plans. The evaluation plan should consider several key categories of questions:

- Who will be part of the evaluation process?
- What meetings have been developed and scheduled to evaluate progress?
- How will progress be evaluated?
- How will mid-course adjustments be made if goals and objectives change, if progress toward them stalls, or if mass casualty disasters occur?

The following sections provide example questions to consider when filling in the details of your evaluation plan. This is not an exhaustive list.

1. Who will be part of the evaluation process?

- Will a new working group be established for regular R&A?
 - If so, who will be part of the working group?

- Will an existing working group be tasked with R&A?
 - For example, did the state create a strategic planning working group to develop the homeland security strategy? If so, will that same working group be involved in the plan's evaluation?
- Will more than one working group be involved in evaluating progress toward goals and objectives?
 - For example, would one group meet more frequently than another to manage issues at the working level?
- What emergency response disciplines will be represented in the working group(s)?
- Will local government representatives be included?
- Will private industry and voluntary organizations be included?
- Which agency(ies) will have lead and support roles in managing the meetings and following up on action items identified by participants?

2. What meetings have been developed and scheduled to evaluate progress?

- How frequently will working groups meet to consider evaluation issues?
- Will there be monthly R&A meetings for subject matter experts?
 - If so, will they be dedicated to R&A of strategy implementation or will the meetings address routine business matters as well?
 - If not, what alternative schedule has been identified?
- Will there be regularly scheduled (e.g., quarterly, biannually, annually) presentations of R&A findings by subject matter experts to homeland security leadership and working group members?
- What will be the expected outcomes of any monthly, quarterly, or annual meetings?
- Have appropriate funding streams been identified to support working group meetings?

3. How will progress be evaluated?

- What tools will the relevant working groups and personnel use to evaluate progress?
- How will that information be maintained and disseminated?
- Will states continue to use the ODP online tool used during the State Homeland Security Assessment and Strategy process?
 - If so, who will manage data updates and how frequently will they occur?
 - If not, what alternative tool will be used?
- What types of reports will be disseminated to various working group members to illustrate progress or risk areas?

4. How will mid-course adjustments be made if goals and objectives change, if progress toward them stalls, or if mass casualty disasters occur?

- How will modifications to the goals and objectives included in the homeland security strategy be identified and implemented?
- How will corrective actions be tracked in future evaluation and R&A efforts?

If you have any questions or would like assistance with the development of your evaluation plan, please contact your ODP Program Manager at (800) 368-6498.