



STATE OF ARIZONA

JANET NAPOLITANO
GOVERNOR

OFFICE OF THE GOVERNOR
1700 WEST WASHINGTON STREET, PHOENIX, AZ 85007
March 1, 2005

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**Governor Janet Napolitano's
First Homeland Security Summit
"Securing Arizona, Together"**

**Conference Date: Tuesday and Wednesday, March 29 - 30, 2005
Conference Location: Hyatt Regency in downtown Phoenix**

Please join me on Tuesday and Wednesday, March 29 - 30, 2005 for the First Homeland Security Summit. This two-day event will be held at the Hyatt Regency in downtown Phoenix, 122 North Second Street. During the Summit we will:

- build on our past accomplishments;
- open new channels of communication throughout Arizona and the country;
- educate participants on Homeland Security specific issues;
- identify and evaluate new Homeland Security issues;
- develop action plans to address these new issues;
- provide the opportunity for local, state, federal and tribal leaders to discuss areas of importance, and
- opportunities to interface with Governor and State leaders

I will be participating in this Summit on both days and look forward to seeing you there.

Accommodations:

If you are traveling from outside of Phoenix, rooms have been blocked for you at the Hyatt Regency in downtown Phoenix. Your room will be reserved for you only after you register for the Summit as detailed below. Costs for the room will be covered by the State as provided by the Federal grant.

Continental breakfast will be provided on both days, 8:30 - 9:15 a.m. on Tuesday, and 8:00 - 8:30 a.m. on Wednesday. Additionally, lunch will be provided on Tuesday.

Registration:

THIS SUMMIT IS FOR INVITEES ONLY. You may register on-line by going to <http://www.homelandsecurity.az.gov/Registration.asp>. Seating and time is limited, so please register today. The registration cut-off is Friday, March 11, 2005. If you have any questions or are in need of special accommodation, please contact (b)(2)(low), (b)(6) (b)(2)(low)

Yours very truly,

Janet Napolitano
Governor of the State of Arizona

Secretary

U.S. Department of Homeland Security
Washington, DC 20528



**Homeland
Security**

January 14, 2008

The Honorable Janet Napolitano
Governor
State Capitol
Phoenix, Arizona 85007

Dear Governor Napolitano:

Thank you for your November 5, 2007 letter regarding the Top Officials (TOPOFF) 4 exercise. I appreciate the concerns you have expressed and share your desire for this exercise and future national level exercises to contribute to a greater level of preparedness for major contingencies. While I have taken the liberty of forwarding your letter to the Federal Emergency Management Agency (FEMA) for inclusion in the ongoing after action review process, I would like to provide the following information as an initial response to issues you have raised.

In previous years, the interval between conducting exercises and disseminating lessons learned became extended for a variety of reasons. I am committed to a more timely process and one that will share information more broadly among stakeholders so that all jurisdictions can benefit from lessons learned. DHS is committed to improving information sharing in a way that is beneficial to stakeholders while protecting sensitive information. For TOPOFF 4, we will provide interim exercise feedback in January 2008 to State and local participants in the form of a "Quick-Look Report." A portion of this information will be released to the public, and will also be entered in the Lessons Learned Information System (<http://LLIS.gov>), which is accessible to 40,000 constituents in the homeland security community. Homeland Security Advisors and Emergency Management Directors will be invited to attend a National After Action Conference in February 2008. The final After Action Report is scheduled to be released in March 2008. This tempo will be similar for all major exercises going forward.

A rigorous feedback process is integral to the success of the National Exercise Program, which includes the TOPOFF series, and FEMA carefully considers the pros and cons included in participants' feedback. Based on your comments and those of others, FEMA has already identified a number of areas where improvements can be made. As an example, future national level exercises will be organized with FEMA Regional involvement and will provide States an opportunity to participate at a level commensurate with their preparedness needs and availability of resources. In addition, the MOU process will also be recrafted as it has become unduly cumbersome. These and other actions will enhance the relevancy and reduce the cost of future national level exercises.

The TOPOFF series of exercises does require investment of focused intellectual capital and prescribed levels of funding by participants. While the funding requirements may seem

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burdensome, previous participants have described the 18-month, interactive cycle as having greatly enhanced their preparedness by establishing new or refined plans, in effect "forcing" collaboration and rehearsal among key stakeholders that do not routinely interact.

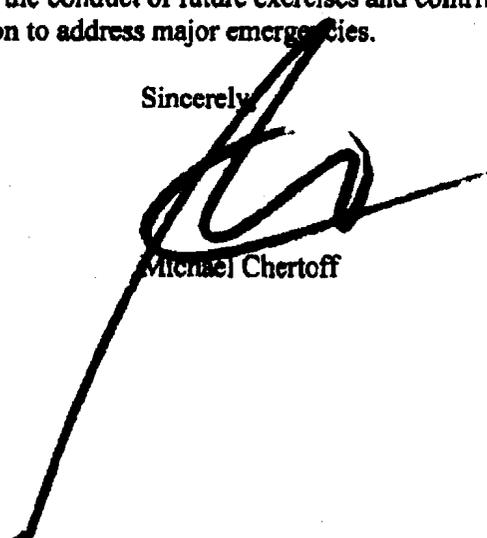
With regard to Federal-State relations during the exercise, both instances that you identified are regrettable. However, they highlight the value of the exercise itself and the need for Federal and State officials to establish and strengthen relationships on a regular basis. These relationships will bring value when challenged by an incident.

One of the key objectives for TOPOFF 4 was to ascertain the viability of information sharing systems and protocols. Your observation about information sharing difficulties supports a critical finding from this exercise that has been provided to the DHS Office of Intelligence and Analysis (I&A) and the broader intelligence community for further action. DHS I&A and others in the intelligence community have been charged with identifying solutions that can be broadly applied in all such Federal-State relationships.

Finally, I agree that the TOPOFF 4 scenario in Arizona would have benefited from greater involvement by you. One of the initial planning elements was that all players in TOPOFF are encouraged to participate throughout the full extent of play whenever possible. However, each jurisdiction, department or agency determines its own level of participation during the exercise planning process. The process provides an opportunity for Federal and State planners to set the standards for pace and involvement of their participants as well as to write prompts into the exercise that will provide the desired degree of challenge. Your observation on the role of the governor is an important one that should be addressed in the after action review and has been identified as a lesson for future exercise planners.

Thank you again for the State of Arizona's support and contributions to the planning, conduct and after action review of TOPPOFF 4. I appreciate your thoughtful critique as it will constructively strengthen the conduct of future exercises and contribute to the improved preparedness of our Nation to address major emergencies.

Sincerely,



Michael Chertoff

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11/13/07



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November 5, 2007

The Honorable Michael Chertoff
Secretary of Homeland Security
Department of Homeland Security
Washington, DC 20528

Dear Secretary Chertoff:

I am writing with respect to the Topoff 4 exercise that recently took place in Arizona, Oregon and Guam. The elaborate, expensive Topoff process has promise. Nonetheless, I have some substantive concerns that need to be raised to your level.

First, the elapse between exercise and formal feedback to the participants is too long. Topoff 3 took place in 2005 and the federal after action report has yet to be released. It makes no sense to conduct Topoff 4 if those involved have not been able to incorporate the lessons learned from Topoff 3. If there is a sense of urgency about these exercises -- and there should be -- I ask that you direct after action reports be completed no later than ninety days after the completion of the exercise.

Second, the planning period for Topoff 4 was too expensive, too protracted and too removed from a real-world scenario. In my view, we need to conduct many of these exercises on a more frequent, less elaborate basis. Frankly, when you have months to prepare for an exercise and you know the exact scenario being contemplated, a large part of the exercise is just a game. It becomes a rather elaborate game as opposed to checking the capacity of a particular state to respond quickly to an emergency. Indeed, most states and localities cannot afford to participate in a Topoff exercise because to participate in the exercise depletes the very finances necessary to be prepared in the event of a real catastrophe. In light of my own experience, I would be hard pressed to ask my successor as Governor to participate in the Topoff exercises as currently designed. They just aren't useful enough for the expense and man-hours consumed.

Third, even given the months of planning, the Memorandum of Agreement between Arizona and the federal government was unduly delayed. Arizona's MOA for Topoff 4 was signed less than one week before the exercise began, yet it was ready for signature in late July of 2007. State and local governments need these documents in order to move the necessary finances to support a Topoff exercise. I ask that you direct that these types of bureaucratic delays be remedied.

Fourth, the exercise revealed some immediate gaps in federal-state relations. The Transportation and Security Administration, for example, never contacted the director of the Arizona Department of Homeland Security during the exercise even though the state's largest

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airport, Sky Harbor International, had been shut down during the exercise. A protocol should be established so that the TSA informs the state director of Homeland Security immediately of any airport closure.

Similarly, the director of the Arizona Department of Homeland Security received no intelligence from the National Operations Center (NOC) until it was brought to official's attention late into the Topoff4 exercise. As the Homeland Security Advisor to the Governor, she needs to receive that information directly from the NOC, or any other appropriate federal source, as if this were a real life incident.

Finally, the Topoff4 exercise does not accurately incorporate the top decision makers who would actually be involved in the event of a catastrophic scenario. In real life, as Governor, I would be in touch minute to minute with the events unfolding in our emergency operations center, around the state, and as intelligence is developed throughout the country. During an exercise, however, I am merely asked to show up at different rehearsal points during the exercise. Even with that limited involvement, however, I found a significant federal-state problem. Specifically, I directly requested to speak with, and be briefed by, the principal federal official (PFO) on site. Despite my request, the PFO left the scene without making any contact with me. You need to instruct the principal federal officials that among their most immediate, and important contacts are with the actual lead elected officials.

While I have many more comments I could make about Topoff 4, I wanted you to have these immediately before any other exercises are attempted. I offer these comments in the hopes of improving the process as I know we both share the desire to have the best-prepared citizen government that we can in case of an actual emergency. Without your direct involvement, however, I feel that the Topoff exercises will become another rehash of exercises that have been conducted in the past with no elevation of urgency, relevancy, or utility.

If I can provide any help or assistance as you contemplate these matters, please do not hesitate to call on me.

Yours very truly



Jon Kyl
Governor, State of Arizona