

USAWC STRATEGY RESEARCH PROJECT

Integrated Emergency Management:

The Roles of Federal, State, and Local Government with Implications for Homeland Security

by

CAPTAIN ALBERT F. LORD JR.

United States Navy

COLONEL DALLAS OWENS

Project Advisor

The views expressed in this academic research paper are those of the author and do not necessarily reflect the official policy or position of the U.S. Government, the Department of Defense, or any of its agencies.

U.S. Army War College

CARLISLE BARRACKS, PENNSYLVANIA 17013

(This page is intentionally blank.)

REPORT DOCUMENTATION PAGE				Form Approved OMB No. 0704-0188	
Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing this collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (0704-0188), 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number. PLEASE DO NOT RETURN YOUR FORM TO THE ABOVE ADDRESS.					
1. REPORT DATE (DD-MM-YYYY) 07-04-2003		2. REPORT TYPE		3. DATES COVERED (FROM - TO) xx-xx-2002 to xx-xx-2003	
4. TITLE AND SUBTITLE Integrated Emergency Management The Role of the Federal, State and Local Government with Implications for Homeland Security Unclassified				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S) Lord, Albert F. ; Author				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME AND ADDRESS U.S. Army War College Carlisle Barracks Carlisle, PA17013-5050				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME AND ADDRESS ,				10. SPONSOR/MONITOR'S ACRONYM(S)	
				11. SPONSOR/MONITOR'S REPORT NUMBER(S)	
12. DISTRIBUTION/AVAILABILITY STATEMENT A PUBLIC RELEASE ,					
13. SUPPLEMENTARY NOTES					
14. ABSTRACT See attached file.					
15. SUBJECT TERMS					
16. SECURITY CLASSIFICATION OF:		17. LIMITATION OF ABSTRACT Same as Report (SAR)		18. NUMBER OF PAGES 28	19. NAME OF RESPONSIBLE PERSON Rife, Dave RifeD@awc.carlisle.army.mil
a. REPORT Unclassified	b. ABSTRACT Unclassified	c. THIS PAGE Unclassified	19b. TELEPHONE NUMBER International Area Code Area Code Telephone Number DSN		
					Standard Form 298 (Rev. 8-98) Prescribed by ANSI Std Z39.18

REPORT DOCUMENTATION PAGE				Form Approved OMB No. 0704-0188	
Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing this collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (0704-0188), 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number. PLEASE DO NOT RETURN YOUR FORM TO THE ABOVE ADDRESS.					
1. REPORT DATE (DD-MM-YYYY) 07-04-2003		2. REPORT TYPE		3. DATES COVERED (FROM - TO) xx-xx-2002 to xx-xx-2003	
4. TITLE AND SUBTITLE Integrated Emergency Management The Role of the Federal, State and Local Government with Implications for Homeland Security Unclassified				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S) Lord, Albert F. ; Author				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME AND ADDRESS U.S. Army War College Carlisle Barracks Carlisle, PA17013-5050				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME AND ADDRESS ,				10. SPONSOR/MONITOR'S ACRONYM(S)	
				11. SPONSOR/MONITOR'S REPORT NUMBER(S)	
12. DISTRIBUTION/AVAILABILITY STATEMENT A PUBLIC RELEASE ,					
13. SUPPLEMENTARY NOTES					
14. ABSTRACT See attached file.					
15. SUBJECT TERMS					
16. SECURITY CLASSIFICATION OF:		17. LIMITATION OF ABSTRACT Same as Report (SAR)	18. NUMBER OF PAGES 28	19. NAME OF RESPONSIBLE PERSON Rife, Dave RifeD@awc.carlisle.army.mil	
a. REPORT Unclassified	b. ABSTRACT Unclassified	c. THIS PAGE Unclassified		19b. TELEPHONE NUMBER International Area Code Area Code Telephone Number DSN	
				Standard Form 298 (Rev. 8-98) Prescribed by ANSI Std Z39.18	

ABSTRACT

AUTHOR: Albert F. Lord Jr.

TITLE: Integrated Emergency Management: Roles of Federal, State, and Local
Government with Implications for Homeland Security

FORMAT: Strategy Research Project

DATE: 7 April 2003

PAGES: 28

CLASSIFICATION: Unclassified

Integrated Emergency Management is the framework which allows the various levels of government to work together to mitigate, prepare for, respond to, and recover from emergencies and disasters. These disasters can be natural or man-made, relatively small or very large. The events of September 11, 2001 brought new challenges to the Integrated Emergency Management system. For the first time terrorists struck within the borders of the United States and the threat of subsequent attacks using weapons of mass destruction is a real and present danger to every American. The ability to combat this new threat is a fundamental duty of government and will require increased coordination, cooperation, and integration to successfully accomplish this new mission.

A working knowledge of this system is required for emergency managers and military professionals who may be tasked to prepare for or to perform disaster relief. This paper describes the framework of Integrated Emergency Management and the roles of the federal, state, and local government in that structure. The Department of Homeland Security and the Northern Command of the Department of Defense are briefly examined and their roles in the system are highlighted. The initial tasks of the Department of National Security are to integrate its subordinate organizations, eliminate redundant capability and overlapping jurisdictions, and develop streamlined procedures and processes for rapid analysis and response.

The paper presents three recommendations to help ensure successful long term emergency management. These are: first, develop national technical means and the competence to combat the weapons of mass destruction threat; second, fund increases in capability of local first responders to deal with the new reality; and lastly, train and exercise at every level of government with realistic, integrated scenarios.

(This page is intentionally blank.)

TABLE OF CONTENTS

ABSTRACT.....	iii
INTEGRATED EMERGENCY MANAGEMENT: THE ROLES OF FEDERAL, STATE, AND LOCAL GOVERNMENT WITH IMPLICATIONS FOR HOMELAND SECURITY.....	1
INTEGRATED EMERGENCY MANAGEMENT DEFINITION AND FRAMEWORK.....	2
THE ROLE OF THE FEDERAL GOVERNMENT.....	5
THE ROLE OF THE STATE GOVERNMENT.....	8
THE ROLE OF THE LOCAL GOVERNMENT.....	10
THE DEPARTMENT OF HOMELAND SECURITY.....	11
CONCLUSIONS.....	16
RECOMMENDATIONS.....	17
ENDNOTES.....	19
BIBLIOGRAPHY	21

(This page is intentionally blank.)

INTEGRATED EMERGENCY MANAGEMENT: THE ROLES OF FEDERAL, STATE, AND LOCAL GOVERNMENT WITH IMPLICATIONS FOR HOMELAND SECURITY

The events of September 11, 2001 ushered in a new era of threats to Americans who lived within formerly secure borders. Terrorism struck without warning, bringing disaster to the shores of the United States. The destruction of the World Trade Center, damage to the Pentagon, and introduction of anthrax into the U.S. Postal System demonstrated that Americans can quickly find themselves on the front lines of the war against this new terrorism. Beyond the physical damage, Americans have experienced economic and psychological impact of those actions.

How can we meet this new challenge and restore confidence in the ability of government to provide for the safety and welfare of its citizens?

The war against terrorism will be waged across the globe. Military, diplomatic, financial, and information resources have been mobilized to bring the perpetrators of 9/11 to justice and to establish a world-wide security framework to prevent reoccurrences. A concurrent effort is required within the United States to establish new relationships between the levels of government to effectively bring all available resources to bear to meet this new threat. No doubt more resources are required. How can the collective efforts of governments across the United States work together to effectively and efficiently deal with this new danger?

This paper will provide military personnel and civilian emergency management professionals with knowledge of Integrated Emergency Management by answering the following questions:

What is the foundation of emergency response within the United States?

What are the roles of the three levels of government within the national structure?

How does the Department of Homeland Security change the framework of national emergency management?

In addition, this paper will provide recommendations to strengthen the national emergency management system by developing national technologies, funding local capabilities, and integrating training and exercises.

Integrated Emergency Management is the framework which allows government and non-government organizations at every level to work together to prepare for, combat, and recover from disasters. This concept allows for the unique competencies of each level of government to be brought to bear to effectively respond to disasters.¹ The federal government's role is to provide resources, expertise, and training to lower levels of government. The state will perform

the critical task of coordinating immediate action and providing consistent and quality response within its jurisdiction. The local governments know their citizens and immediate localities the best and can most effectively direct action and resources to those most directly involved. This lowest level of government usually has the most credibility with their citizens and is key to effective response and recovery.

Since 9/11, the federal government has taken two major steps to improve response to disasters within the United States. The Department of Homeland Security has been established to provide a single, unified homeland security structure that will provide protection against today's threats and be flexible enough to help meet the unknown threats of the future.ⁱⁱ Specified tasks of this new organization include managing federal response activities and helping to train and equip first responders. The establishment of the Department of Homeland Security is the largest reorganization of the federal government in over 50 years. This action consolidates the efforts of over 100 different government organizations under one cabinet-level secretary to provide optimum prevention, response, recovery, and mitigation for domestic disasters. Another federal initiative is the establishment of the Northern Command of the Department of Defense. This new organization will provide military assistance to civil authorities when directed by the President and it has the framework and mission to coordinate the resources and technical knowledge of the military to provide assistance down to the local level when circumstances require.

The challenge at every level of government is to integrate and coordinate the efforts of those tasked with preparing for and responding to disasters. To be effective, all involved must understand the unique roles and responsibilities of the various organizations charged with taking action or providing resources to combat domestic disasters from whatever source.

INTEGRATED EMERGENCY MANAGEMENT DEFINITION AND FRAMEWORK

The functions of emergency management have been performed since before the founding of our country. The passing of the Civil Defense Act of 1950 gave the federal government a central role in disaster management due to the threat of nuclear war. The current concept of emergency management as practiced in the United States is called Comprehensive Emergency Management (CEM). As its name implies, this concept includes preparation, mitigation, response, and recovery from all types of hazards and emergencies. This is an increased emphasis in making the entire nation's emergency infrastructure more responsive to any major emergency.

Comprehensive Emergency Management is composed of three interrelated componentsⁱⁱⁱ:

- Targeted against all types of hazards. The nature of natural hazards and technological threats strongly suggest many of the same management strategies, techniques, and methods will be effective in responding to a wide range of situations.
- Uses an emergency management partnership. The complex nature and potentially wide scope of modern disaster management requires a close partnership of every level of government and non-governmental organizations including the private sector and the public.
- Features an “emergency lifecycle”. Disasters require management actions over time. A lifecycle of occurrence must be matched with management actions that include strategies to mitigate hazards, prepare for and respond to emergencies, and recover from their effects.

The characteristic of the last component of CEM suggests the time phasing of actions. These four phases are mitigation, preparedness, response, and recovery. In every phase, actions should be taken to ensure the best possible posture to deal with the emergency. Mitigation includes those activities which serve to eliminate or reduce the chance of an emergency from occurring, or if it occurs, reducing the effects of the disaster. Building codes which mandate hurricane or tornado strength resistant materials and construction practices is an example of mitigation. Preparedness includes planning responses and allocating resources in case an emergency occurs. An example would be notification of the affected population and arming them with knowledge of that which would be required to get ready for the event. Response activities take place during or immediately after the disaster strikes. These are designed to save lives and property, provide emergency assistance and reduce the likelihood of secondary or follow-on casualties or damage. The final phase is recovery. It continues until life returns to normal after a disaster. Restoring public services and providing financial aid are examples. In large disasters, the recovery phase may go on for quite some time, years perhaps.

Whereas Comprehensive Emergency Management widens the scope of government at every level to include a full range of potential emergencies, Integrated Emergency Management is a capstone concept which involves each level of government with a role to play in disasters. The creation of the Federal Emergency Management Agency (FEMA) in 1979 consolidated five federal agencies and initiated the movement to develop an integrated approach at maximizing

disaster preparedness and response across government levels and agencies. Of note, since the creation of FEMA, states have followed suit and many have organizations very similar to FEMA to coordinate and consolidate disaster efforts. The goals of the Integrated Emergency Management System (IEMS) are:

- Fostering a full federal, state, and local government partnership with provisions for flexibility at the several levels of government for achieving common national goals.
- Emphasizing implementation of emergency management measures which are known to be effective.
- Achieving more complete integration of emergency management planning into mainstream state and local policy-making and operational systems.
- Building on the foundation of existing emergency management plans, systems and capabilities to broaden their applicability to the full spectrum of emergencies.^{iv}

A key to IEMS is the synchronization of effort in the galaxy of those governmental and non-governmental agencies that have a role in emergency management. The concept allows for tailoring efforts by each agency. Every locale in the United States has some capability for disaster preparation and response. Those in Florida, for example, may be focused on the threat of hurricanes; those in California on earthquakes; those in the Midwest on tornados and if in a floodplain - flooding. Large cities should consider the threat of civil unrest which comes with the population density of metropolitan areas. In each case, local measures should be integrated into an overarching plan. IEMS builds on existing local capabilities and efforts and provides incentives to improve and integrate disaster efforts into a national system. Communities should develop or integrate their plans to be consistent with national guidelines which are specific enough to give consistency across the country but which are sufficiently flexible to allow for options to focus effort on protections which those communities believe are most critical.

The IEMS process begins with a comprehensive hazard assessment which is prepared by the local community. If required or requested, state and federal assistance may be used to assist in formulating this assessment. Once complete, the local authorities will analyze their capability to prepare for and respond to the hazards and shortfalls will be identified. Operational plans are then developed with annexes for emergency management functions and appendices for the unique aspects of each different emergency. These appendices will include mitigation measures, resources required for the development and maintenance of operational capabilities,

the execution of emergency operations, and methods for evaluation. Once these operational plans are created, a long range development plan (with yearly updates) is generated.^v

As previously stated, emergencies come in all shapes and sizes. Disasters can be categorized and the types of responses classified based on the origin and type of response required. Domestic emergencies come in two basic categories: major disasters and civil emergencies. Major disasters are events like tornados, hurricanes, wildfires, earthquakes, floods, and similar natural or man-made events which may overwhelm the local or state governments response capabilities. In this case state and federal assistance will be required. Civil emergencies are those events like civil disturbances, critical worker strikes, environmental incidents, and mass immigration. These situations endanger life and property and may disrupt the normal functioning of government to the extent assistance will be required.

THE ROLE OF THE FEDERAL GOVERNMENT

The Federal government occupies a unique position in the hierarchy of emergency management. As a resource provider, the Federal government can make up shortfalls in resources, conduct training for every level of government, and alleviate hardship in affected communities. The federal level plays important roles throughout the disaster lifecycle. It can create and maintain a database of lessons learned from disasters across the country and worldwide and provide best practices for mitigation. By providing comprehensive, accurate, and timely information, the federal government can assist in the preparation for disasters. Examples of this include the National Weather Service and the National Oceanographic and Atmospheric Administration providing critical warning to prepare for destructive weather. In the response phase, the federal government maintains unique capabilities to assist state and local governments. The Center for Disease Control and the Chemical/Biological Incident Response Force (CBIRF) are just two examples. Perhaps the most well-known and critical capability of the federal government is the funding provided for recovery. Assistance is available through grants or loans to the state and local government to offset the costs of recovery. In addition, identical programs are available for businesses and individuals to get back on their feet after a disaster strikes.

Two agencies of the federal government, FEMA and the FBI, play particularly important roles in assisting state and local authorities. The definition of these roles depends upon the nature of the emergency and types of response required. There are three broad types of response by the federal government to domestic emergencies. Consequence management is performed, under the jurisdiction of the state and local governments, for natural or man-made

disasters. FEMA is the federal agency tasked with primary coordination responsibility for assistance to local authorities. Consequence management involves measures to alleviate the damage, loss, hardship, or suffering caused by emergencies; this includes measures to restore essential government services, protect public health and safety, and provide emergency relief to affected governments businesses and individuals. Crisis management occurs under the jurisdiction of the federal government when an attack by terrorists or suspected terrorists is imminent or has taken place. The FBI is the agency tasked with responsibility to coordinate with local and state agencies to resolve the hostile situation, investigate, and prepare a case for federal prosecution. A third type of emergency response, technical operations, occurs when an incident happens where suspected nuclear, radiological, biological, or chemical agents are threatened or have been present. In this instance, assistance of a technical nature is provided to the authority with jurisdiction - either the FBI in crisis management or the local and state authorities in coordination with FEMA in consequence management. This assistance will help determine the nature of the specific agent and provide aid in the response and recovery processes. The Department of Energy, Nuclear Regulatory Commission, and the Environmental Protection Agency are some of the federal agencies which may be called upon to provide assistance during technical operations.^{vi}

The Federal role and response to disasters is governed by the Stafford Act.^{vii} When the affected state governor officially declares a state of emergency, he may request the President to declare an emergency or major disaster for the affected region. At the same time, the governor's director of emergency management is informing the FEMA regional director, who reports to the FEMA director in Washington D.C. Once the President declares an emergency, he will appoint a Federal coordinating officer who joins with the state coordinating officer and sets up a Disaster Field Office. This office will support the Emergency Response Team which consists of representatives of 26 Federal Agencies and the American Red Cross. This team will provide twelve emergency support functions and work closely with the state and local authorities for the duration of the response and recovery. If enough warning exists before the disaster strikes, an Emergency Response Team Advance Element may be set up at the FEMA regional operations center.^{viii}

There are four steps in the declaration process when the President is asked to declare a state of emergency:

- (1) A Joint State/FEMA Preliminary Damage Assessment is conducted. This consists of an inspection of the affected area to establish a dollar figure for subsequent

planning, aid, and recovery efforts. This provides the basis for the governor's request for assistance to the federal government.

- (2) The Governor's request for assistance is made. This request, by law, must declare that local and state resources are inadequate to deal with the emergency. An estimate of the damage, statement of state resources committed, and description of assistance being requested is included.
- (3) FEMA's recommendation to the President regarding the request is submitted. The request by the Governor is routed through the FEMA regional office where it is endorsed and sent to the FEMA headquarters. The FEMA Director will check for applicability under the Stafford Act and recommend a course of action for the President's approval. The request is then carried to the White House.
- (4) The Presidential Declaration. After review, the President will decide whether or not to declare the state of emergency and make assistance available. If approved, a Federal Coordinating Officer is appointed.^{ix}

Although the process may appear somewhat time consuming, in exceptional circumstances, the time for approval may be cut to hours vice the normal several days. After the President declares a disaster, the state and FEMA will draw up an agreement which establishes the duration and types of assistance to be provided, lists the areas eligible for assistance, states the cost sharing provisions, and other terms and conditions.

In Integrated Emergency Management, the federal government provides resources for dealing with emergencies and disasters that are beyond the capabilities of what state and local governments provide. The primary resource is financial assistance to pay for the response and recovery efforts. Other critical resources are the personnel and equipment that are too scarce or expensive for lower levels of government to stockpile. An obvious example in this case is the specialized resources which may be needed for response to a terrorist attack – especially if the attack consists of weapons of mass destruction. Although not a part of response per se, emergency management training is an important resource provided by the federal government. FEMA runs the National Emergency Training Center (NETC) which is located in Emmitsburg, MD and which provides a variety of resident, correspondence, and on-line courses for emergency managers. FEMA can also check the completeness of state and local emergency action plans by using the Emergency Management Accreditation Program.

THE ROLE OF THE STATE GOVERNMENT

State officials occupy the most critical positions in the Integrated Emergency Management system. The federal tradition of the United States gives primacy of place to the states when dealing with emergencies within their borders. By law, the federal government has no role unless and until the governor asks for assistance. The governors and state agencies have the responsibility to organize, plan for, and respond to emergencies and disasters in their state. The state occupies a critical juncture. Those associated with state level emergency management must be intimately familiar with the capabilities of the federal government and the resources, plans, and actions of their local governments. They must be master coordinators of plans and actions to effectively and efficiently execute disaster management. The state is the linchpin between the locals in need and the massive resources of the federal government. As the state chief executive, the governor is the focus of state preparedness, response, and recovery. He or she must ensure the state and local governments are ready for the demands of emergency management by establishing the organization, reporting responsibilities, and standards of performance for agencies dealing with emergency management. Most importantly, the governor has the power to declare a state of emergency and thereby request federal assistance. During emergencies, the governor assumes extraordinary powers and responsibilities. When a state emergency is declared, the governor can mobilize state resources to provide assistance. Although individual states vary, when a state of emergency has been declared the governor can usually:

- Activate the National Guard and reassign state agency personnel
- Direct the evacuation of the population directly affected by a disaster
- Prohibit certain activities within the disaster area
- Commandeer private property
- Suspend state statutes
- Authorize expenditure of emergency funds
- Enter mutual aid arrangements with other states

Also, he or she can sometimes impose economic controls to provide affordable food, shelter, and other necessities.

To assist the governor in the supervision and execution of disaster supervision, every state maintains an Office of Emergency Response; in many cases it is organized similar to

FEMA. In accordance with state law, this agency coordinates the emergency response program and publishes the state emergency response plan. State emergency managers control the coordination and dispatch of state assets to localities as needed to respond to and recover from disasters. The states vary in the selection and reporting responsibilities of the director of emergency management. Virtually all are appointed positions either directly by the governor or by a cabinet-level official. Some states have the director reporting directly to the governor as a member of the cabinet or in the executive office of the governor. Other states have him or her reporting to a cabinet official. The location of the state emergency management agency within the state government is likewise varied. The director of Emergency management is usually empowered by the governor to take action in preparation and response to emergencies. He or she is likely the point of contact with federal and local authorities in emergency situations.

As coordinator, the state is involved in every serious emergency or disaster. Each state is required to develop and maintain a state Emergency Response Plan – similar to the Federal Emergency Response plan which will dictate the dispatch of resources to local areas. This plan sets forth the roles of the state agencies and the responsibilities of the local governments. In addition, it provides the relationships and linkages among state, local, and federal authorities. Given the comprehensive and integrated nature of general disaster response, teamwork is essential and every state agency and department may be called upon to assist in an emergency or disaster. The formal roles of the departments will be spelled out in the state's emergency response plan. The following is a sample of the state organizations that are likely to be involved in disaster management: the Adjutant General's Office, the Department of Public Safety, the State Energy Office, the State Department of Environmental Protection, the Transportation Department, the Attorney General's office, the Comptroller, the Health and Welfare Agency, the Department of Labor, and the State Emergency Response Commission.

The state National Guard occupies a special place in state organizations which deal with disasters. The National Guard is state based and consists of federally trained and equipped troops available for federal service in times of emergency or when activated by the President. Normally, the National Guard is under the command of the governor of their parent state and he exercises command through the state Adjutant General. The National Guard is called up by the governor when the state and local civilian agencies need additional resources to deal with natural or man-made disasters. The National Guard may also be used to support law enforcement in accordance with state statute. The cost associated with the use of the National Guard is borne by the state until the forces are federalized or otherwise funded by the federal government. For example, after 9/11, National Guard troops that guarded airports were funded

by the federal government but remained under control of the state government. Unless otherwise specified, federalizing the National Guard will transfer control of those troops to the federal government.

When an emergency occurs, every level of government - local, state, and federal, as well as a variety of volunteer organizations, will respond. That response may vary from gathering facts, reporting to seniors, and reviewing the applicable portions of the agency response plan to mobilizing and moving required resources. Legislation and lessons learned have shaped those immediate actions.

THE ROLE OF THE LOCAL GOVERNMENT

The first line of defense in virtually every case is the local authority; they are primarily responsible for managing the response to emergencies and disasters. The local elected officials such as the mayor, city councils, and boards of commissioners are the leading actors in responding to emergencies. Ideally, other levels of government will serve to provide technical assistance, coordination, and additional resources to the local representatives. Especially important are those agreements between local governments which provide for mutual assistance. In rare cases, higher level governmental representatives may play a greater role when the magnitude of the disaster renders the local authorities ineffective or the disaster overlaps jurisdictions.

In the response phase, the local authority will receive and issue warnings to the population which may be affected by the disaster. In addition, mitigating actions and preparations will be carried out. If necessary, an evacuation may be ordered. A good example is the action taken in coastal communities when a hurricane threatens. Upon onset of the disaster, the local first responders will proceed to the emergency site and begin to provide aid on scene. Fire and police departments, emergency medical personnel, rescue units, and possibly utility workers are the best known of the local initial response personnel. State and national organizations may be called upon immediately for assistance when needed. The state may call up the National Guard, and units of the American Red Cross and U.S. Coast Guard may be involved from the start. The local government will attempt to ensure order and safety. Medical services are made available and, if required, rescues are performed. Vital services such as water, power, shelter, transportation, and communications are provided and restored as quickly as possible. The local government will coordinate with voluntary agencies to provide assistance for those in need.

When local authorities respond they are governed by the following factors: speed of onset of the disaster; need for evacuation; magnitude; duration; and extent of the threat to the citizenry. Local government is responsible for responding to the threat in a way that will contain the emergency, protect people and property, and minimize damage. They are also responsible for overall management and coordination of an effective response and of conducting initial assessments of the damage. Lastly, they are responsible for communicating to the next higher level in the hierarchy and requesting assistance in a timely enough manner to allow those assets to respond effectively.

Central to effective local emergency response is a comprehensive Emergency Operations Plan (EOP). This document will set forth roles and responsibilities for the various agencies of local government when planning for and dealing with disasters. It should be a one-stop-shopping directive which addresses the disaster lifecycle of mitigation, preparedness, response, and recovery. In accordance with the comprehensive nature of Integrated Emergency Management, it should be consistent with the state Emergency Management Plan and cover all types of natural and man-made hazards. Although every emergency and disaster will be unique, this plan will form the foundation of local actions when dealing with disasters. An effective local EOP will include sections for administration, information dissemination, and reference applicable state plan sections.^x The EOP must start with a comprehensive self assessment addressing the capabilities of the local authorities to deal with emergencies. A valuable by-product of this assessment will be a list of additional resources required to handle disasters, this may aid in requests for state or federal funding or serve as the basis for cooperative or collaborative local planning between jurisdictions.

Local elected officials and appointed public administration managers like police, fire, health care, and utility personnel will play important roles in the locality. These individuals will be most knowledgeable with the local area and have the most influence with the population which will be affected. These key members of the community must be aware of the contents of the EOP and be ready to provide information to the assisting state and federal authorities.

THE DEPARTMENT OF HOMELAND SECURITY

The Department of Homeland Security was signed into law by President Bush on 25 November 2002. An analysis of the events of September 11, 2001 and the immediate aftermath highlighted the requirement to consolidate the efforts of the federal government to protect and defend the United States against security threats. The Department of Homeland Security combines the efforts of over 100 different government organizations into a unified security

structure that is charged with defending the United States against threats now and in the future.^x

Five primary directorates make up the core of the new department.

- Border and Transportation Security – unifies agencies dealing with the borders of the U.S., waterways and transportation. The following agencies are included:
 - o The U.S. Customs Service
 - o The Immigration and Naturalization Service
 - o The Federal Protective Service
 - o The Transportation Security Administration
 - o Federal Law Enforcement Training Center
 - o Animal and Plant Health Inspection Service
 - o Office for Domestic Preparedness
- Emergency Preparedness and Response – oversees the federal response to domestic emergencies and disasters and the federal assistance provided to state and local governments, including that to first responders. The following make up the directorate:
 - o The Federal Emergency Management Agency
 - o Strategic National Stockpile and the National Disaster Medical System
 - o Nuclear Incident Response Team
 - o Domestic Emergency Support Teams
 - o National Domestic Preparedness Office
- Science and Technology – coordinates the scientific and technological resources required and available to keep the U.S. secure. It is composed of:
 - o CBRN Countermeasures Programs
 - o Environmental Measurements Laboratory
 - o National BW Defense Analysis Center
 - o Plum Island Animal Disease Center
- Information Analysis and Infrastructure Protection - analyzes information and intelligence from other agencies that involve threats to the U.S. and evaluates dangers to the nation's infrastructure. It includes:
 - o Critical Infrastructure Assurance Office
 - o Federal Computer Incident Response Center
 - o National Communications System
 - o National Infrastructure Protection Center

- o Energy Security and Assurance Program
- Management – controls the overall administration of the department including budget and resource expenditure, human resources and personnel, and associated infrastructure and facilities management.

In addition to the five directorates, the U.S. Coast Guard and the United States Secret Service report directly to the Secretary. Other important offices include a Bureau of Citizenship and Immigration Services, an Office of State and Local Government Coordination and an Office of Private Sector Liaison.^{xii}

The Directorate for Emergency Preparedness and Response is the Department of Homeland Security agency tasked with Integrated Emergency Management. The Federal Emergency Management Agency (FEMA) remains the foundation for federal disaster response and the core functions of FEMA remain unchanged.

FEMA was created by executive order in 1979 to consolidate the efforts of five federal agencies which had responsibility for disaster assistance. FEMA is headquartered in Washington DC with 10 regional Offices that help plan, coordinate, and manage disaster assistance operations which include the four phases of mitigation, preparedness, response, and recovery. Reporting to the Department of Homeland Security Under Secretary of Emergency Preparedness and Response, FEMA manages the President's Disaster Relief Fund which is the source of most of the federal financial resources in the wake of a disaster.

FEMA's mission is to reduce the loss of life and property and protect institutions from all hazards by leading and supporting the Nation in a comprehensive, risk based emergency management program of mitigation, preparedness, response, and recovery. The following goals drive FEMA's priorities:

- To create an emergency management partnership with other federal agencies, state and local governments, volunteer organizations, and the private sector.
- To establish, in concert with FEMA's partners, a national emergency management system that is comprehensive, risk based, and all-hazards in approach.
- To make mitigation the foundation of the national emergency management system.
- To provide a rapid and effective response to any disaster.
- To strengthen state and local emergency management.^{xiii}

FEMA uses the Federal Response Plan (FRP) to coordinate the federal response to disaster or emergency situations. The FRP is an umbrella plan which provides the framework and guidelines for federal support to state and local authorities. The plan may be fully or partially activated, depending on the scope of the disaster and needs. It consists of: the Basic

Plan which lays out procedures and planning considerations; Emergency Support Functions Annexes which describe the functions of the agencies tasked to support state and local activities in 12 specified areas; The Recovery Function Annex describes the planning considerations necessary for assistance to allow victims and communities to return to normal; Support Annexes describe ancillary functions of logistics and financial management, community and public relations, and donations management; Incident Annexes describe considerations requiring a unified response with other agencies in situations which may fall outside the provisions of the Stafford Act. The first Incident Annex deals with Terrorist Incidents; lastly, Appendices cover terms, definitions, and abbreviations.^{xiv}

The FRP is implemented through regional supplements developed by FEMA and other federal agency regional offices which address region specific issues and situations. The system allows specific operations supplements to be developed to support special events like the Olympics or Presidential inaugurations. The FRP is further implemented through specific agency instructions, directives, regulations or manuals.^{xv}

The federal assistance under the FRP is coordinated at national and local levels. At the highest level, a Catastrophic Disaster Response Group (CDRG) is formed at FEMA headquarters in Washington DC. It is chaired by the FEMA associate director for Response and Recovery and includes representatives from those agencies that have responsibilities under the FRP. Supporting the CDRG at the FEMA headquarters is the Emergency Support Team which consists of representatives from the primary and support agencies and FEMA headquarters staff. Its job is to support the Federal Coordinating Officer in the field and serve as the central source of information at the national level regarding the status of federal response activities. In addition it coordinates the offers of donations and unsolicited contributions and, if required, adjudicates disputes between Emergency Support Function (ESF) agencies.

At the regional level, a Regional Operations Center (ROC) is established by the FEMA regional director and serves to initiate federal response activity and coordinate actions until a Disaster Field Office is established. The Emergency Response Team-Advance Element (ERT-A) is the spearhead for federal assistance. The leader is a FEMA region Team Leader and has support staff and ESF agency representatives. They will deploy early to the state emergency Operations Center and, among other duties, will assist in drafting the initial needs assessment. The Emergency Response Team (ERT) supports the Federal Coordinating Officer who heads the team. It is composed of FEMA staff and ESF agency representatives. The ERT provides coordination and support to the supporting agencies in the field. In addition, it serves as an information disseminating source to work with local and regional media.

The Federal Coordinating Officer (FCO) is appointed by the President and serves as his representative to the state and local authorities. He coordinates federal assistance with the state governor's representative (the State Coordinating Officer (SCO)), and can task federal agencies to perform additional missions which may not be addressed in the FRP. He coordinates with the CDRG for reporting and requesting additional resources. The Disaster Field Office is established as an Operations Center and Command Post to support the FCO, SCO, and supporting staffs and will have adequate security and communications to carry out their functions.^{xvi}

In certain circumstances, the use of Department of Defense assets may be necessary to provide the required federal assistance in a disaster or emergency. In this case, the President and the Secretary of Defense will establish priorities and determine the extent of assistance. Requests will be considered on the basis of legality, lethality, risk, cost, appropriateness, and readiness.^{xvii}

Beyond the National Guard, two types of assistance are typically available to the state and local authorities: Military Assistance to Civil Authorities (MACA) and Military Assistance for Civil Disturbance (MACDIS). The Assistant Secretary of Defense for Homeland Defense is the Department of Defense executive agent for MACA and MACDIS.

On 1 October 2002, the Secretary of Defense created Northern Command (NORTHCOM) as a unified commander to provide military assets to combat natural disasters, attacks on U.S. soil, or other civil emergencies. It is specifically tasked to provide for coordinated military support to civil authorities such as the FBI, FEMA, and state and local governments. NORTHCOM has planning responsibility for Domestic disaster Relief, Civil Disturbance, Support to the Department of Homeland Security for Mass Immigration, response to a Radiological Accident, and for an Integrated CONUS (Continental US) Medical Operations Plan. When required, military forces will be transferred to NORTHCOM control. Northern Command possesses three standing headquarters to accomplish assigned missions.^{xviii}

- Joint Force Headquarters - Homeland Security (JFHQ-HLS). Headquartered in Norfolk, Va., JFHQ-HLS is the homeland security organization that coordinates land and maritime defense of the United States. It also coordinates military assistance to civil authorities and plans and integrates the full spectrum of homeland defense and civil support to lead federal agencies.
- Joint Task Force - Civil Support (JTF-CS). Headquartered at Fort Monroe in Hampton, Va., JTF-CS is under the operational control of Joint Force Headquarters Homeland Security. The mission of JTF-CS is to provide command and control for

Department of Defense forces supporting the management of the consequences of a chemical, biological, radiological, nuclear or high-yield explosive (CBRNE) incident in the United States, its territories, and possessions.

- Joint Task Force - 6 (JTF-6). Headquartered at Biggs Army Airfield, Fort Bliss, Texas, JTF-6 provides Department of Defense counter-drug support to federal, regional, state, and local law enforcement agencies throughout the continental United States.

The creation of the Department of Homeland Security in November of 2002 and the integration of its constituent parts in March 2003 consolidated 22 agencies under the Secretary of Homeland Security. The creation of the Department of Defense Northern Command has provided a single point of contact for military Homeland Defense. Clearly the new secretary means to build on what works to combat new threats. More is required. Changing the lines on an organization chart will not eliminate overlap and inefficiencies. The continuing challenge is to work within the Department to delineate responsibility, eliminate jurisdictional conflicts, streamline procedures, and focus resources.

CONCLUSION

The terrorist attacks on the World Trade Center and the Pentagon on 11 September 2001 changed the face of Integrated Emergency Management in a fundamental way. Before that day, those preparing for or responding to disasters were primarily focused on relatively familiar natural or environmental emergencies. Perhaps the magnitude or location would differ, but there was a history of national and community resiliency in dealing with these types of situations. The nation had become comfortable with its ability to deal with disasters. In the wake of 9/11, the security, health, and safety of Americans within the borders of the United States are no longer taken for granted.

Terrorist organizations have demonstrated their ability to strike our shores using innovative techniques and weapons. This unique threat to public safety has the capability to counter our preparations and strike at weak points causing not only mass loss of life, but also shaking the confidence of the American people in those public servants and institutions trusted to provide for their safety. The potential use of weapons of mass destruction poses a new threat that is orders of magnitude greater than ever before faced by the American people and those charged with their protection. The net result is a demonstrated intent by an intelligent and cunning foe with a present or future capability to endanger the American people within the borders of the United States.

The roles of the federal, state, and local governments in Integrated Emergency Management are well established. The system has been frequently tested in real world situations. Whether battling wildfires, dealing with threatening hurricanes or violent storms, or protecting the environment from hazardous material, the emergency management professionals and volunteers at every level of government and in non-government organizations have an enviable record of achievement. The system is proven and resilient. However, new challenges will demand even greater levels of performance. The threat of terrorist attack using weapons of mass destruction is a real possibility and some would say an eventuality. Mitigating this risk through preparedness is the single toughest challenge for national, state, and local emergency management professionals.

The federal government has taken a large step with the creation of the Department of Homeland Security. Only through creation of a common culture of dedication, trust, and initiative based on current technical knowledge, fueled by sufficient resources, and seasoned by realistic exercises will the security environment be adequate to the challenge. Maintaining public confidence in the system in the face of an actual attack is critical. There will not be enough resources to prevent risk - only through constant education of the general public and effective training of those responding to the disaster will government effectively deal with this new and insidious threat.

RECOMMENDATIONS

This new threat must be dealt with on two levels. First, resources must be applied to develop the national technical competence to combat the new weapons of mass destruction. Second, local resiliency must be increased by building capability at the local levels of government. Finally, these capabilities must be linked through training and exercises.

The strengthening of the technical capability is the responsibility of the federal government. The design of the Department of Homeland Security with its directorate of Science and Technology indicates the agencies associated with the development of technical countermeasures will have a close working partnership under a common superior. It is essential that this directorate be adequately funded by Congress. The results of this research and development effort must be quickly integrated into the basic techniques and procedures at the federal, state, and local levels of government for disaster mitigation, preparation, response, and recovery. In addition, the American people must be made aware of the results and products of the research and development effort. The psychological effects of WMD may far outstrip the physical effects. An aggressive information campaign by the federal government

will help educate the American people and mitigate the psychological effects by taking the terror out of terrorist acts.

Local emergency management organizations are already resilient. These hard working first responders have a proud history and reputation for public service, protecting their fellow citizens in emergency situations. The new challenge is to build on that heritage and increase local capabilities to deal with the emergent threat of WMD. Federal and state funding will be required to increase the capability of local authorities. Examples of local level required capabilities are a robust communication system, first responder protective clothing, agent detectors, and medicines. Not every capability need be resident in every locality. A mix of national resources and local capability will strike a balance between costs and availability. Federal and possibly state, high cost assets, needed only in exceptional cases, may be staged for rapid transfer when and where needed. Not every locality is equally threatened. Analysis of the threat may indicate that targets are likely to be national landmarks or concentrated in large cities. It is incumbent on the national political and administrative leadership to efficiently allocate resources.

Effective training backed by realistic exercises will tie together the federal, state, and local emergency management system. The Department of Homeland Security Office of State and Local Government Coordination is an indication by senior federal leaders that this is a legitimate concern and recognized requirement. FEMA has created an extensive list of courses for state and local emergency managers and the integration of the latest technology and recommended procedures to deal with the threat is relatively straightforward. The challenge lies in keeping previous course graduates current with the most recent developments in the field. The state level emergency managers should be called upon to play a central role in the continuing education of their constituent emergency professionals. Beyond training, exercises are the most effective method to gain experience and, perhaps more importantly, find lessons learned from exercises or actual response to hazards and develop best practices for future development, integration, and exercise. These exercises may span the range from local-only limited emergencies to national level senior leader strategic simulation. An example of the latter is the Booz, Allen, Hamilton Port Security wargame conducted in October 2002. Most critical are exercises that involve every level of government. The comprehensive and integrated nature of today's emergency management systems must be mirrored in exercises to be truly effective.

WORD COUNT: 7092

ENDNOTES

ⁱ Federal Emergency Management Agency, *IS-1 Emergency Program Manager Course* (Washington D.C.: Federal Emergency Management Agency, 1998), 1-12.

ⁱⁱ George W. Bush, *The National Strategy for Homeland Security*. (Washington, D.C.: The White House, 2002), 49.

ⁱⁱⁱ Federal Emergency Management Agency, *IS-1 Emergency Program Manager Course* (Washington D.C.: Federal Emergency Management Agency, 1998), 1-5.

^{iv} Ibid., 1-10.

^v Ibid., 1-11.

^{vi} Department of the Army, *Domestic Emergencies Handbook*. (U.S. Army Forces Command, Domestic Plans Branch, 1999), 3.

^{vii} Robert T. Stafford Disaster Relief And Emergency Assistance Act, As Amended, 42 U.S.C. 5121. 2000.

^{viii} Federal Emergency Management Agency, *IS-513 The Professional in Emergency Management Independent Study Course* (Washington D.C.: Federal Emergency Management Agency, 1999), I-29.

^{ix} Ibid., I-30

^x Federal Emergency Management Agency, *SLG 101: Guide for All-Hazard Emergency Operations Planning* (Washington D.C.: Federal Emergency Management Agency, 1996), I-5.

^{xi} George W. Bush, *The Department of Homeland Security*. (Washington, D.C.: The White House 2002)

^{xii} U.S. Department of Homeland Security. "DHS Organization". Available from <http://www.dhs.gov/dhspublic/interapp/editorial/editorial_0086.xml>; Internet. Accessed 8 February 2003.

^{xiii} Federal Emergency Management Agency, *IS-513 The Professional in Emergency Management Independent Study Course*, I-3.

^{xiv} Federal Emergency Management Agency, *Federal Response Plan: 9230.1-PL*. (Washington D.C.: Federal Emergency Management Agency 1999), 4.

^{xv} Ibid., 4.

^{xvi} Department of the Army, 20-22.

^{xvii} Ibid., 4.

^{xviii} U.S. Northern Command, "Who We Are – Our Team". Available from <<http://www.northcom.mil/index.cfm>>; Internet. Accessed 8 February 2003.

BIBLIOGRAPHY

Bush, George W. *The National Security Strategy of the United States of America* Washington, D.C.: The White House. 2002.

Bush, George W. *The National Strategy for Homeland Security*. Washington, D.C.: The White House 2002.

Bush, George W. *The Department of Homeland Security*. Washington, D.C.: The White House 2002.

Davis, Shelly. "Fighting Bioterror." *Retired Officers Magazine* April 2002.Vol 58 No. 4:56-62

Echevarria, Antulio J. "Homeland Security Issues: A Strategic Perspective," In *Defeating Terrorism: Strategic Issue Analyses*, ed. COL John R. Martin. Carlisle, PA.: U.S. Army War College Strategic Studies Institute 2002.

Federal Emergency Management Agency. *Federal Response Plan: 9230.1-PL*. Washington D.C.: Federal Emergency Response Agency 1999.

Federal Emergency Management Agency. *IS-1 Emergency Program Manager Course* Washington D.C.: Federal Emergency Management Agency 1998.

Federal Emergency Management Agency. *IS-513 The Professional in Emergency Management Independent Study Course* Washington D.C.: Federal Emergency Management Agency 1999.

Federal Emergency Management Agency. *SLG 101: Guide for All-Hazard Emergency Operations Planning*. Washington D.C.: Federal Emergency Management Agency 1996.

Homeland Security Act of 2002. United States Code Congressional and Administrative News. 2002. Available from <<http://www.whitehouse.gov/deptofhomeland/bill/hsl-bill.pdf>>. Internet. Accessed 24 November 2002

Kulish, Nicholas. "New Homeland Agency Unveils Initial Priorities," *Wall Street Journal*, 27 November 2002

National Governors Association. *A Governor's Guide to Emergency Management Volume One: Natural Disasters*. Washington D.C.: National Governor's Association 2001.

National Governors Association. *A Governor's Guide to Emergency Management Volume Two: Homeland Security*. Washington D.C.: National Governor's Association 2002.

Owens, Dallas D., "The Military's Role in the New Domestic Security Environment: Will Army Missions Change?" In *Defeating Terrorism: Strategic Issue Analyses*, ed. COL John R. Martin. Carlisle, PA.: U.S. Army War College Strategic Studies Institute 2002.

Robert T. Stafford Disaster Relief And Emergency Assistance Act, As Amended, 42 U.S.C. 5121. 2000. Available from <<http://www.fema.gov/library/stafact.shtml>>. Internet. Accessed 29 November 2002

- Ulrich, Marybeth Peterson and Conrad Crane, "Potential Changes in U.S. Civil-Military Relations," In *Defeating Terrorism: Strategic Issue Analyses*, ed. COL John R. Martin. Carlisle, PA.: U.S. Army War College Strategic Studies Institute 2002.
- U.S. Department of the Army. *Domestic Emergencies Handbook*. U.S. Army Forces Command, Domestic Plans Branch 1999.
- U.S. Commission on National Security/21st Century. *The Report of The U.S. Commission on National Security/21st Century*. 2001. Available from <<http://www.nssg.gov/>>. Internet. Accessed 14 October 2002.
- U.S. Northern Command. "Who We Are – Our Team." Available from <<http://www.northcom.mil/index.cfm/>>. Internet. Accessed 8 February 2003.
- U.S. Department of Homeland Security. "DHS Organization." Available from <http://www.dhs.gov/dhspublic/interapp/editorial/editorial_0086.xml/>. Internet. Accessed 8 February 2003.
- Weiss, Aaron. 2001. "When Terror Strikes, Who Should Respond?" *Parameters* Autumn Vol XXXI, No. 3: 117-133