



Governmental Homeland Security Structures

What You Will Learn

- The individual components that compose the Department of Homeland Security, the function of each component, and other interesting facts and figures about each
- The causes and nature of major structural changes that have occurred within the Department of Homeland Security since it was established in 2002
- The federal agencies, in addition to the Department of Homeland Security, that participate in traditional homeland security activities and the nature of those activities
- The various homeland security-related activities that the nation's state and local organizations participate in, and what types of assistance they provide their constituent members

Introduction

The Department of Homeland Security is a massive agency, juggling numerous responsibilities between a staggeringly wide range of program areas, employing approximately 230,000 people, and managing a massive multibillion-dollar budget and an ambitious list of tasks and goals. The Department leverages resources within federal, state, and local governments, coordinating the ongoing transition of multiple agencies and programs into a single, integrated agency focused on protecting the American people and their homeland.

The function of homeland security, however, is not unique to this one federal department. In fact, there are more than 87,000 different governmental jurisdictions at the federal, state, and local level that have homeland security responsibilities.

This chapter presents the structure and makeup of the Department of Homeland Security as it exists today, explains the organizational positioning of its many components, and details how this organizational structure has changed through time. These components are presented according to three organizational groupings, which include components falling within the Office of the Secretary, preexisting offices (which have maintained their structural integrity within the new Department), and new offices and directorates. This chapter also explains several other areas within the federal government, and at the state and local levels, where homeland security functions exist.

Department of Homeland Security Organizational Chart

At the federal level, the Department of Homeland Security (DHS) organizational composition continues to experience regular transition, and as such remains in a constant state of flux. Several readjustments and reorganizations have occurred during the course of its first decade, with multiple offices and responsibilities being passed between the Departments and many functional components. Though it seemed by the end of first DHS Secretary Tom Ridge's years of service that the basic organizational makeup had been established (see Figure 4-1), incoming DHS Secretary Michael Chertoff proposed several fundamental changes to the Department's organization which were implemented under his widely publicized Reorganization Plan. The Department was again reorganized following the 2005 hurricane season according to the requirements of the Post-Katrina Emergency Management Reform Act (PKEMRA) of 2006.

There are two factors that stand to change the structure of the Department even further as it moves into its second decade. The first is the physical consolidation of the Department's many agencies into a

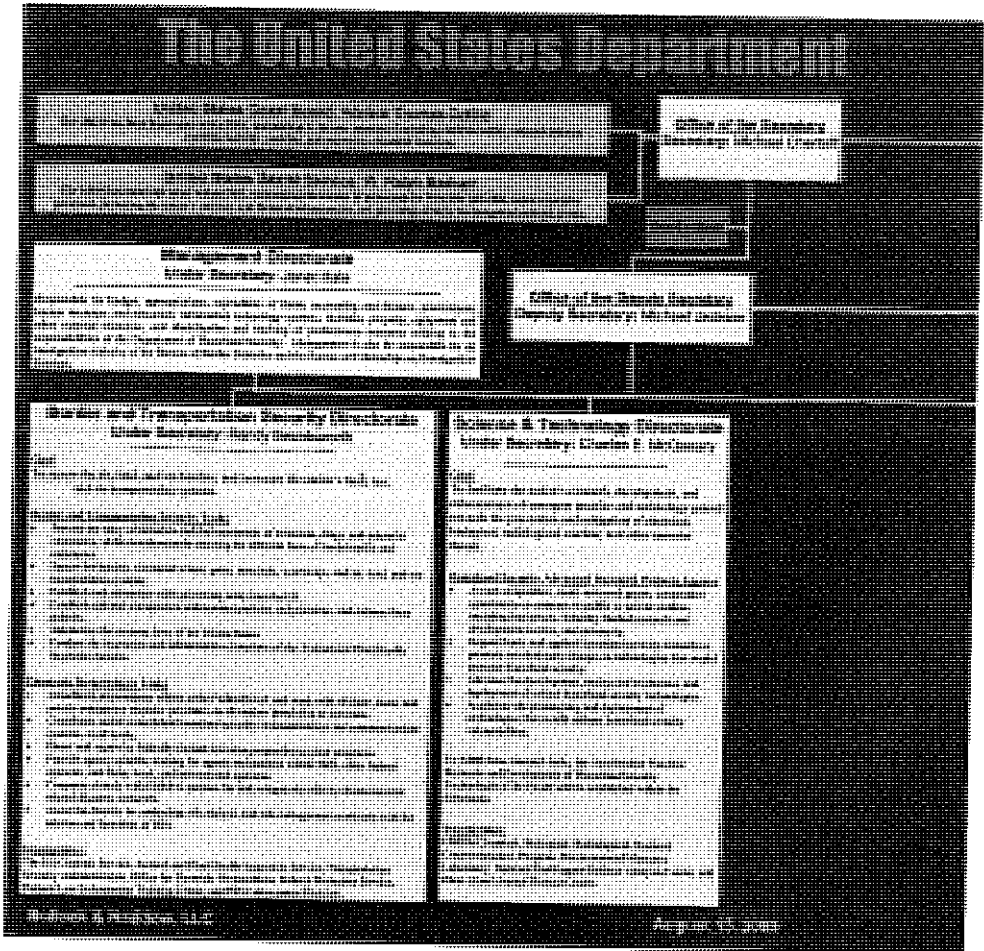
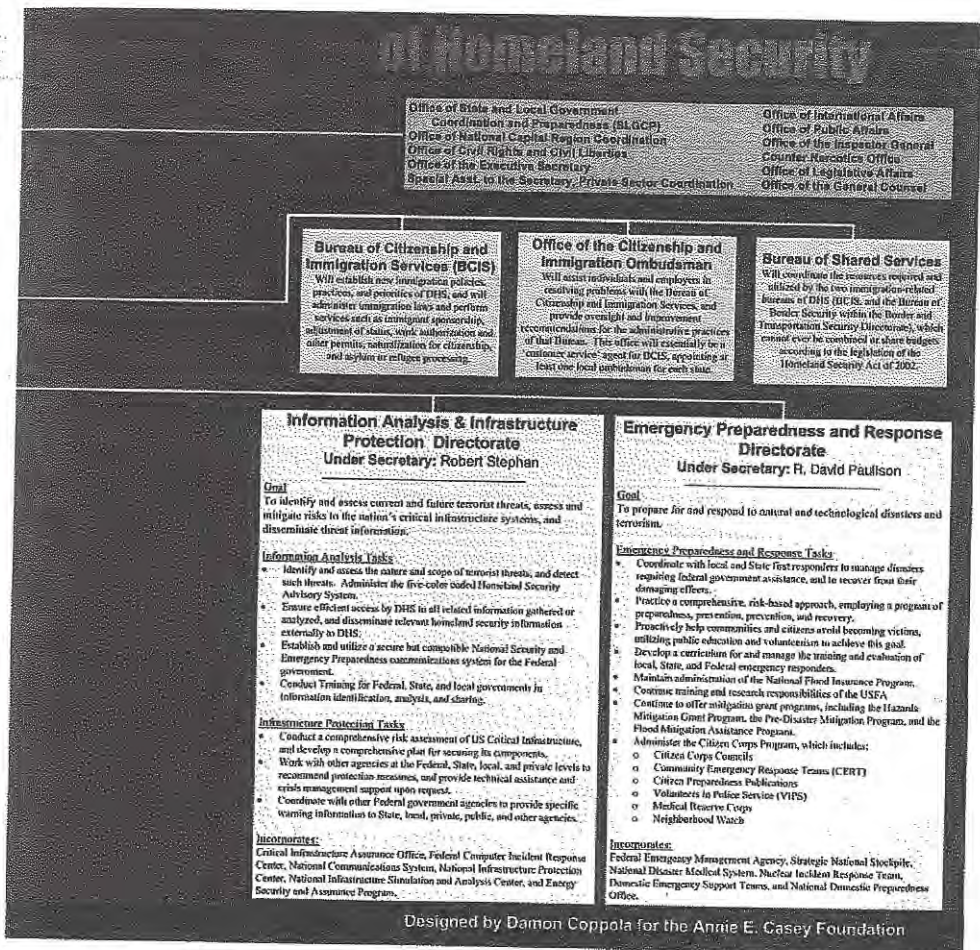


FIGURE 4-1 Original DHS organizational chart, with leadership figures holding office in July of 2005. (Designed by Damon Coppola for Bullock & Haddow, funding provided by the Annie E. Casey Foundation)

new “campus” of buildings that is under construction in the Washington, D.C., area. The Department broke ground for this new massive facility on September 9, 2009, which is being constructed on the site of a former psychiatric institution in the city’s southeast. Once the facility is completed, scheduled to occur in 2016, most of the area’s 22,000 employees (who are currently scattered across the metropolitan area in dozens of different buildings) will be collocated. It is felt that this will streamline communications and evolve the Department’s culture. It may also result in the conglomeration of different offices. The second factor is the completion of the Quadrennial Homeland Security Review which occurred in February 2011. This study was conducted to identify and track all of the Department’s functions and to assess how efficiently its various components are carrying out these functions in their present form. Through this study, there will be ongoing efforts to improve upon how the Department does its business, and this will undoubtedly result in the consolidation of various components, the exchange of functions and budgets, and the creation of new offices. The Quadrennial Homeland Security Review states, “The division of operational roles among federal departments and agencies for various homeland security mission goals



Designed by Damon Coppola for the Annie E. Casey Foundation

FIGURE 4-1 (Continued)

and objectives [has] emerged as a major area requiring further study[.] . . . Going forward, an analysis of roles and responsibilities across the homeland security missions would help resolve gaps or unnecessary redundancies between departments and agencies” (DHS, 2011). The current organization of the Department is provided in Figure 4–2.

The Office of the Secretary of Homeland Security

The Secretary of Homeland Security is a cabinet-level official, within the executive branch, who leads the department. The first DHS secretary, who served from the department’s opening day in March 2003 until February 2005, was former Pennsylvania Governor Tom Ridge. Tom Ridge was followed by Michael Chertoff, who formerly served as a U.S. Circuit Judge for the Third Circuit Court of Appeals and who served as Secretary from February 2005 until January 21, 2009. Former Arizona Governor Janet Napolitano took over the office immediately upon Chertoff’s departure and remains in the position as of the publication of this book.

The secretary and his or her staff are responsible for managing the overall direction of the department. This office oversees the activities of the department. In conjunction with other federal, state, local, and private entities, as part of a collaborative effort to strengthen the nation’s borders, the Office of the Secretary sets the direction for intelligence analysis and infrastructure protection, improved use of science and technology to counter weapons of mass destruction, and the creation of comprehensive response and recovery initiatives. Within the Office of the Secretary are multiple-program and issue-related offices that contribute to the overall homeland security mission. These offices and their purposes include:

- *The Privacy Office:* This office was created to minimize the impact that the DHS mission has on the privacy of individuals, particularly with respect for their personal information and dignity. Privacy remains a major concern of citizens’ advocacy groups due to the types of personally identifiable information that must be gathered in the Department’s interaction with American citizens. The DHS privacy office, which is the first in a government agency that is statutorily required, helps to design and implement the means by which the Department handles the information it collects and maintains.
- *Office of Civil Rights and Civil Liberties:* This office provides legal and policy advice to DHS leadership on civil rights and civil liberties issues; investigates and resolves complaints; and provides leadership to Equal Employment Opportunity Programs. Even more so than privacy concerns, civil liberties advocates have argued that the actions of the Department (especially with regard to transportation security, investigations, and counterterrorism measures) have infringed upon the civil liberties and constitutional rights of American citizens. This office tracks those concerns and provides a dedicated staff to the resolution of such issues as they arise, and provides Department-wide training to help manage incidents and reduce the number of incidents that arise.
- *Office of the Inspector General:* This office is responsible for conducting and supervising audits, investigations, and inspections relating to DHS programs and operations, and for recommending ways for DHS to carry out its responsibilities in the most effective, efficient, and economical manner possible. The Inspector General (IG) is a position that is appointed by the President and requires Senate confirmation.
- *Citizenship and Immigration Ombudsman:* This office provides recommendations for resolving individual and employer problems with the U.S. Citizenship and Immigration Services (USCIS) in order to ensure that both the national security and the integrity of the legal immigration system are maintained. The work of this office is a major concern of employers, especially in

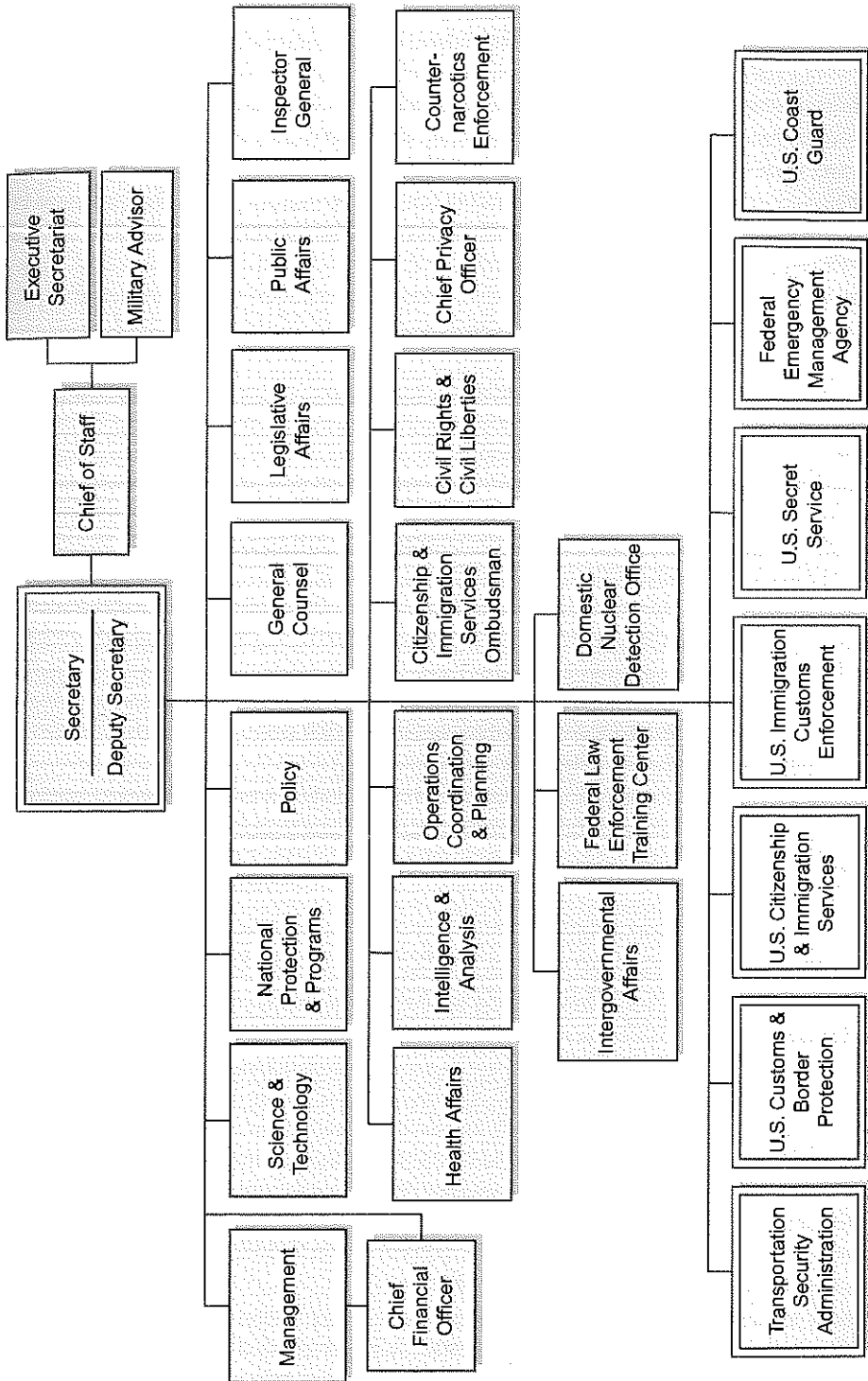


FIGURE 4-2 Current DHS organizational chart. (Source: DHS, 2011, <http://www.dhs.gov/xlibrary/assets/dhs-orgchart.pdf>)

the agriculture and construction industries, who rely heavily upon a foreign workforce and who have had to dramatically increase their filing and tracking requirements. This office is also tasked with improving the interface that exists between the Department and foreign applicants seeking permission to immigrate to the United States or to become a U.S. citizen.

- *Office of Legislative Affairs:* The staff of this office serve as the primary liaison to members of Congress and their staff, the White House and Executive Branch, and to other federal agencies and governmental entities that have national security roles and concerns. This office is key to ensuring the accurate and effective sharing of information between the department and other key government agencies involved in homeland security.
- *Office of General Counsel:* This office works to integrate the efforts of approximately 1,700 lawyers positioned throughout the Department into what they term to be an “effective, client-oriented, full-service legal team” (DHS, 2007).
- *Office of Public Affairs:* This office is responsible for making sure that the public and the press are informed of the Department’s activities and priorities. Because the Federal Emergency Management Agency (FEMA) is now located within the DHS structure, the Department’s Office of Public Affairs also serves as the lead Public Information Office (PIO) during a national-level disaster or emergency event. This office is the primary point of contact for the media, outside (nongovernmental and private-sector) organizations, and the general public, when they seek general information about the Department.
- *Office of Counternarcotics Enforcement:* The staff of this office serve as the primary policy advisers to the DHS Secretary for department-wide counternarcotics issues, develop policies that unify DHS counternarcotics activities, and coordinate efforts to monitor and combat connections between illegal drug trafficking and terrorism. Drug interdiction is a function that spans the federal government, existing also within the Department of Justice, the Department of State, the Department of the Treasury, and the White House Office. This office ensures that the DHS efforts support the ongoing government-wide policy and effort.
- *Executive Secretariat:* This office ensures that all DHS officials are included in the correspondence drafting and policymaking process through a managed clearance and control system.
- *Military Advisor’s Office:* This office provides sound military advice to the Secretary and other executive staff.
- *The Office of Intergovernmental Affairs:* This office is the primary point of contact with other government agencies at all government levels (including federal, state, local, and tribal governments), integrating the work of the department with that of each of these other entities in their national security efforts.

The Office of the Secretary also maintains a number of advisory panels and committees, which help to form direction and policy on a number of issues deemed critical to the Department’s mission. These include:

- The Homeland Security Advisory Council, which provides advice and recommendations to the Secretary on matters related to homeland security. This Council is comprised of leaders from state and local governments, first-responder communities, the private sector, and academia. This council oversees a number of task forces which address topics including border security, community resilience, and Department sustainability and efficiency.
- The National Infrastructure Advisory Council provides advice to the Secretary and the President on the security of information systems for the public and private institutions managing or owning critical infrastructure. Topics addressed include threats to infrastructure, mitigation of infrastructure

disruption, establishing resilience standards and goals, understanding and managing infrastructure interdependencies, and the impact of chemical, biological, radiological/nuclear, and explosive (CBRNE) hazards on infrastructure components.

- The Homeland Security Science and Technology Advisory Committee serves as a source of independent scientific and technical planning advice for the Department's Under Secretary for Science and Technology.
- The Critical Infrastructure Partnership Advisory Council was established to facilitate effective coordination between federal infrastructure protection programs and infrastructure protection activities of the private sector and of state, local, territorial, and tribal governments. Committees within this council include Emergency Services; Banking and Finance; Food and Agriculture; Energy, Oil, and Natural Gas Sectors; Freight Rail; Communications; Water; Chemical; Highway; Health Care; Transportation; Nuclear Defense; Dams; Maritime; Mass Transit; Commercial Facilities; and more.
- The Interagency Coordinating Council on Emergency Preparedness and Individuals with Disabilities was established to ensure that the federal government appropriately supports safety and security for individuals with disabilities in disaster situations. This council works to consider how the Department, in their emergency preparedness planning, can accommodate the unique needs of agency employees with disabilities and individuals with disabilities whom the agency serves; to encourage consideration of the unique needs of employees and individuals with disabilities served by state, local, and tribal governments, and private organizations and individuals in emergency preparedness planning; and to facilitate cooperation among federal, state, local, and tribal governments and private organizations and individuals in the implementation of emergency preparedness plans as they relate to individuals with disabilities.
- The Task Force on New Americans leads the interagency effort to develop programs and communication that helps new immigrants to learn English, to embrace American civic culture, and to otherwise become part of the collective American citizenry.
- The DHS Labor-Management Forum was established in 2010 according to President Obama's Executive Order 13522 (requiring all executive-level agencies with employees represented by labor organizations to establish Labor-Management Forums) to support cooperative and productive labor-management relations.

Preexisting Offices Moved into DHS in 2002

Several agencies that existed elsewhere in the federal government prior to September 11 were transferred with few or no structural changes into the DHS when it was established. The leadership and staff of each of these agencies now report directly to the Office of the Secretary. Most notable of these agencies are the U.S. Coast Guard (USCG) and the U.S. Secret Service. FEMA was originally integrated into one of four original directorates, but after the bungled response to the post-Katrina 2007 reorganization, FEMA was reinstated as a standalone agency reporting directly to the DHS Secretary. The Federal Law Enforcement Training Center (FLETC) was similarly incorporated into a DHS entity in 2002, but restored to its independent status under the DHS Secretary as part of this 2002 reorganization. These intact agencies are described individually in the following subsections.

The U.S. Coast Guard

The U.S. Coast Guard (USCG), under the direction of Commandant Thad W. Allen, was transferred to the DHS as an intact agency on March 1, 2003. Today, the Coast Guard is led by Admiral Robert J. Papp,

Jr. The primary function of the Coast Guard within the DHS remains consistent with its historic mission, as identified in the following ten mission areas:

- Ports, waterways, and coastal security
- Drug interdiction
- Aids to navigation
- Search and rescue
- Living marine resources
- Defense readiness
- Migrant interdiction
- Marine environment protection
- Ice operations
- Other law enforcement

As lead federal agency for maritime safety and security, the USCG protects several of the nation's vital interests; the personal safety and security of the American population; the natural and economic resources of the United States; and the territorial integrity of the country from both internal and external threats, natural and human-made. As a military, maritime service, the USCG is responsible for a blend of humanitarian, law enforcement, regulatory, diplomatic, and military duties — all for which it is entirely qualified — to provide maritime security, maritime safety, protection of natural resources, maritime mobility, and national defense services (Figure 4-3).

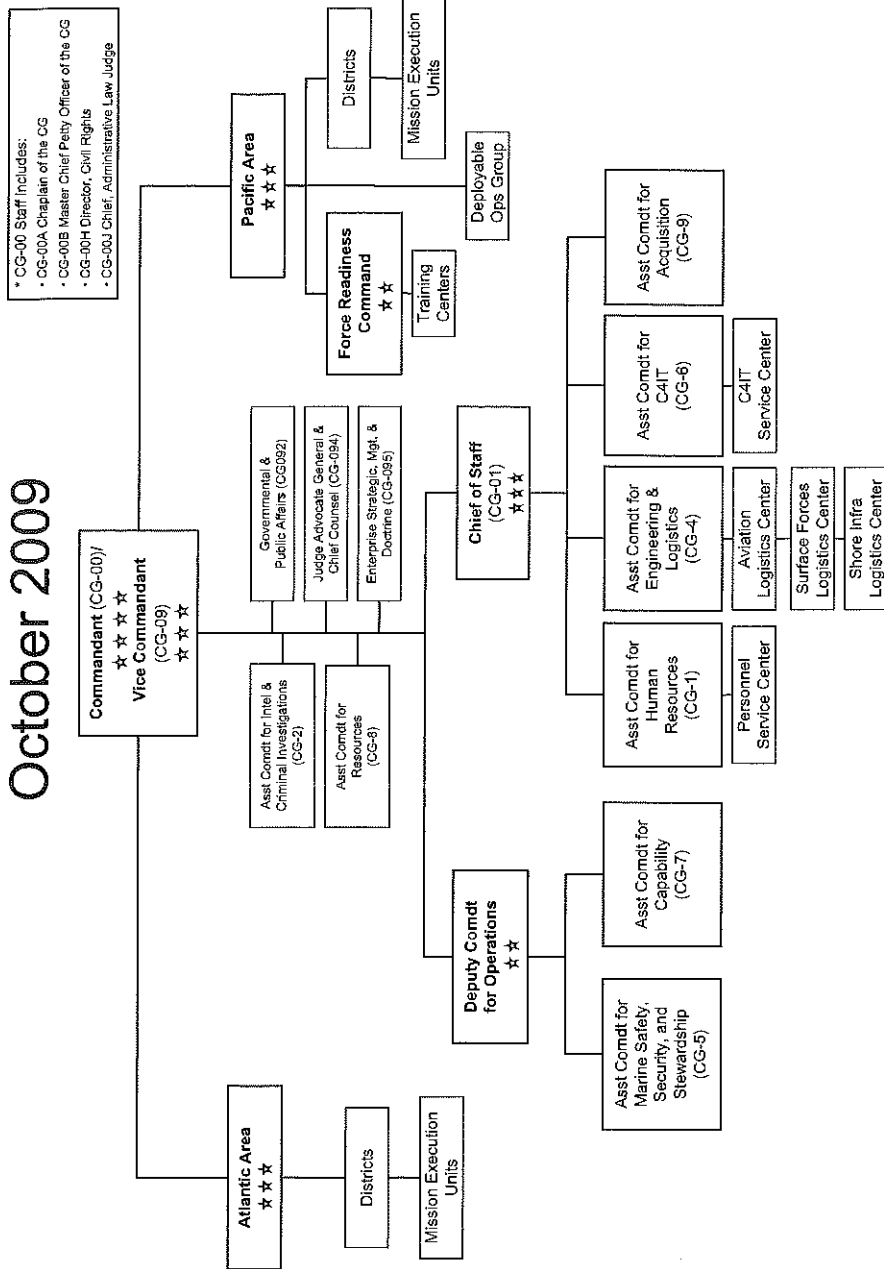
The USCG was recognized after September 11 as being a well-equipped military force with established jurisdiction within U.S. territory. Immediately following September 11, the importance of this fact was not lost on federal government officials who witnessed how, as naval ships were quickly leaving the nation's ports to protect themselves, the Coast Guard's ships were moving into position inside those same ports.

Since entering DHS, the USCG has received a significant boost in its budget allocation, which has been used primarily to update a fleet of ships and aircraft that was considered outdated in relation to the other armed services (as part of the ongoing Integrated Deepwater System project). Additionally, many more employees have been added to the agency's payroll. As of 2010, the Coast Guard employed 42,171 active duty military members and 7,773 civilian employees, for a total of 49,944 people. In addition to these, the USCG maintains 8,100 selected reserve and 30,047 auxiliary employees. Between FY 2004 and FY 2011, the USCG saw its budget rise first from \$6.994 billion to \$10.078 billion. This represents 18% of the total FY2011 DHS budget authorization (see Figure 4-4).

U.S. Secret Service

The U.S. Secret Service (USSS), under the leadership of Mark J. Sullivan, was transferred to the DHS as an intact agency on March 1, 2003. The Secret Service was able to continue its historic mission of protecting the president and senior executive personnel, in addition to protecting the country's currency and financial infrastructure and providing security for designated national events (e.g., the Super Bowl and the Olympics). The USSS is also responsible for the protection of the vice president, immediate family members of these senior officials, the president-elect, and vice president-elect, or other officers next in the order of succession to the Office of the President and members of their immediate families, presidential candidates, visiting heads of state and their accompanying spouses, and, at the direction of the president, other distinguished foreign visitors to the United States and official representatives of the United States

October 2009



- * CG-00 Staff includes:
- CG-00A Chaplain of the CG
 - CG-00B Master Chief Petty Officer of the CG
 - CG-00H Director, Civil Rights
 - CG-00J Chief, Administrative Law Judge

FIGURE 4-3 U.S. Coast Guard organizational chart. (Source: DHS, 2011, <http://www.uscg.mil/top/about/organization.asp>)

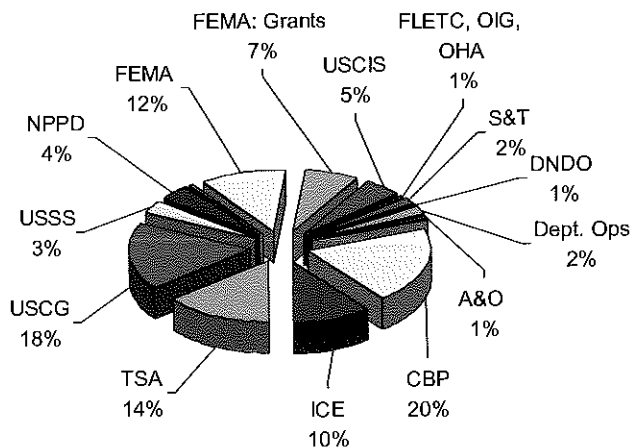


FIGURE 4-4 DHS — Percent of total budget authority by organization. (Source: DHS, 2011, "FY 2012 Budget in Brief," <http://www.dhs.gov/xlibrary/assets/budget-bib-fy2012.pdf>)

performing special missions abroad. Former presidents, their spouses, and minor children are also offered USSS protection for life.

The USSS also protects the executive residence and grounds in the District of Columbia, buildings in which White House offices are located, the official residence and grounds of the vice president in the District of Columbia, foreign diplomatic missions located in the Washington metropolitan area, the headquarters buildings and grounds of the DHS and Treasury Department, and such other areas as directed by the president. The USSS is also responsible for telecommunications fraud, computer and telemarketing fraud, fraud relative to federally insured financial institutions, and other criminal and noncriminal cases. The Service is organized into two major components, one focused on protection and the other focused on investigation.

All people, places, and events that are protected represent key components of the nation's government and heritage. They are all, in addition to their intended roles, symbols of the country, and therefore prime terrorist targets. The loss of any of these, whether due to terrorist or other means, could threaten the security of the nation, and therefore their protection is considered integral to the homeland security mission. In 2010, the USSS employed 7,014 people. The Secret Service budget allocation has gained slightly each year, rising from \$1.334 billion in FY 2004 to \$1.812 billion in FY 2011. This accounts for about 3% of the total FY 2011 DHS budget.

Federal Emergency Management Agency

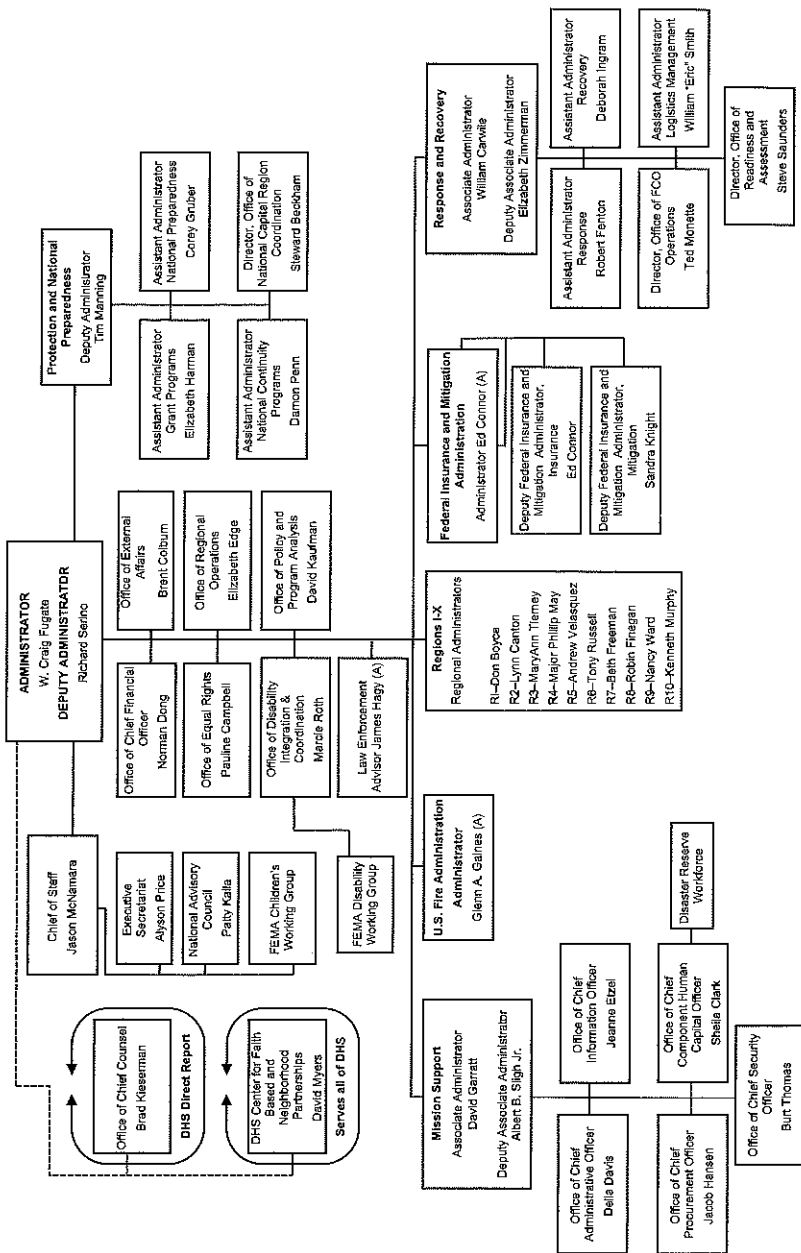
The Federal Emergency Management Agency (FEMA) is the government agency responsible for leading national efforts to mitigate the risk of and prepare for the response to all types of disasters, whether they are natural, technological, or terrorism related (Figure 4-5). In this effort, FEMA leads several important risk reduction programs including the National Flood Insurance Program, the National Earthquake Hazards Reduction Program, and others. FEMA is also tasked with managing the federal response and recovery efforts to support affected states and jurisdictions included in presidentially declared disasters.

FEMA maintains a full-time staff of 7,382 employees (May 2011), of which almost half are funded through the Disaster Relief Fund (i.e., are associated with the response and recovery of specific disaster events). These employees work at FEMA headquarters in Washington, D.C., at regional and area offices



FEMA

US Department of Homeland Security/FEMA



(A) Denotes acting/incumbent.

Effective 2/25/2011

FIGURE 4-5 FEMA organizational chart. (Source: FEMA, 2011, http://www.fema.gov/pdf/about/org_chart.pdf)

across the country (including 10 regional offices, 2 area offices, and 5 recovery offices), at the Mount Weather Emergency Operations Center, and at the National Emergency Training Center in Emmitsburg, Maryland.

While FEMA's central mission has remained the same since it was incorporated into DHS, its various functions have been transferred into and out of the agency during various organizational iterations that have occurred in the intervening years. One of its primary missions, as stated by DHS, is to "further the evolution of the emergency management culture from one that reacts to disasters to one that proactively helps communities and citizens avoid becoming victims." In addition, the directorate develops and manages a national training and evaluation system, designs curriculums, sets standards, and rewards performance in local, state, and federal training efforts.

Through the Disaster Relief Fund, FEMA provides individual and public assistance to help families and communities impacted by disasters rebuild and recover. FEMA also administers hazard mitigation programs to prevent or to reduce the risk to life and property from floods and other hazards. In addition to administering the National Incident Management System (NIMS), in FY 2007, FEMA's role as the lead federal agency for incident management, preparedness, and response was expanded to include the administration of DHS's grant programs and the United States Fire Administration. The inclusion of these programs was intended to reinforce FEMA's ability to provide the United States with a "unified, coordinated, and robust all-hazards preparedness and response capability at all levels of government including federal, state, tribal, and local government personnel, agencies, and regional authorities."

FEMA has been granted the leadership role, through the National Response Framework (NRF) and the Robert T. Stafford Disaster Relief and Emergency Assistance Act, to manage the DHS response to any sort of natural, technological, or terrorist attack disaster. The agency is also in charge of coordinating the involvement of other federal response teams, such as the National Guard, in the event of a major incident. In accordance with the NRF, FEMA also leads federal government relief and recovery efforts that follow major declared disasters. These response and recovery processes are illustrated in much greater detail in Chapter 9.

FEMA also funds and administers the Citizen Corps Program. Citizen Corps funding supports the formation and training of local Citizen Corps Councils (CCCs), which increase local involvement (in CCCs), develop community action plans, help in the performance of threat assessments and the identification of local resources for homeland security, and locally coordinate the Citizen Corps programs. The existing programs, administered by several federal agencies both internal and external to homeland security, involve leaders from law enforcement, fire, and emergency medical services, businesses, community-based institutions, schools, places of worship, health care facilities, public works, and other key community sectors. Current Citizen Corps programs include the following (Citizen Corps activities are documented in greater detail in Chapter 9 of this book):

- Community Emergency Response Teams (CERTs), administered by DHS
- Volunteers in Police Service (VIPS) program, administered by DOJ (Department of Justice)
- Medical Reserve Corps (MRC), administered by HHS (Department of Health and Human Services)
- Neighborhood Watch (USA On Watch) programs, administered by DOJ
- Fire Corps Program, administered by the USA Freedom Corps and several nongovernmental partners
- Citizen-preparedness publications, which are public education guides that seek to increase individual knowledge and preparedness for crime, terrorism, and disasters at home, in neighborhoods, at places of work, and in public spaces

FEMA saw its budget (as a component of the former Emergency Preparedness and Response Directorate until 2006) rise from \$5.554 billion in FY 2004 to \$7.541 billion in FY 2005, mostly because of biodefense funding. However, biodefense funding was cut from the FEMA budget in FY 2006, dropping the amount the agency received to \$5.365 billion. With the introduction of the FEMA Grants

Program in 2008, this amount as requested stood at \$9.639 billion. In FY 2011, the FEMA budget stands at \$10.528 billion. This amount accounts for 19% of the total DHS budget, of which 7% is reallocated outside of FEMA in the form of grants. The FEMA budget can be increased by Congress through emergency appropriations to cover the costs of catastrophic disasters — as was the case following the September 11 attacks and the Hurricane Katrina response.

■ ■ Critical Thinking ■ ■

Do you believe that FEMA is appropriately placed within the DHS bureaucracy in its current position under the Secretary of Homeland Security, or should it have been placed somewhere else within the federal structure outside of DHS? Explain your answer.

Federal Law Enforcement Training Center

The Federal Law Enforcement Training Center (FLETC) serves as the federal government's principal provider of federal law enforcement personnel training. FLETC provides for the training needs of 85 federal agencies that carry out law enforcement responsibilities. The center also provides training and technical assistance to state and local law enforcement entities, and plans, develops, and presents formal training courses and practical exercise applications related to international law enforcement training. The center offers numerous basic law enforcement training programs of varying lengths, designed specifically for the duties and responsibilities of the personnel to be trained, and conducts numerous advanced and specialized training programs found nowhere else in the country.

FLETC currently operates four training sites throughout the United States. Its headquarters and primary training site is located in Glynco, Georgia. Two other field locations, both of which provide both basic and advanced training, are located in Artesia, New Mexico, and Charleston, South Carolina. The fourth training site, in Cheltenham, Maryland, provides in-service and requalification training for officers and agents in the Washington, D.C., area. In cooperation with the State Department, FLETC also operates International Law Enforcement Academies in Gabarone, Botswana; San Salvador, El Salvador; Bangkok, Thailand; and throughout the world through collaboration with U.S. embassies and consulates abroad. FLETC maintained a staff of 1,103 in FY 2011, and saw budget allocations rise from \$192 million in FY 2004 to \$278 million in FY 2011 (representing less than 1% of the DHS budget).

Transportation Security Administration (TSA)

The Transportation Security Administration (TSA) was created just 2 months after the September 11 terrorist attacks (on November 19, 2001), through the Aviation and Transportation Security Act (ATSA — Public Law 107-071). TSA protects the nation's transportation systems in order to ensure the freedom of movement for both people and commercial goods and services. ATSA was created in recognition of failures in private security systems, and placed overall aviation transportation security under the direction and responsibility of the federal government. TSA's focus is on identifying risks to the transportation sector, prioritizing them, and managing them to acceptable levels through a variety of means, while working to mitigate the impact of incidents that may occur (Figure 4-6).

TSA began as an agency focused on airline security, which was understandable considering that the September 11 terrorists capitalized on lax aviation security measures to attack the nation. The agency's focus has steadily expanded to address other transportation modes such as intercity buses, rail travel, and ferry travel, but in terms of both dollars and people, its primary focus clearly remains on aviation security. TSA's specific responsibilities include ensuring thorough and efficient screening of all airline passengers

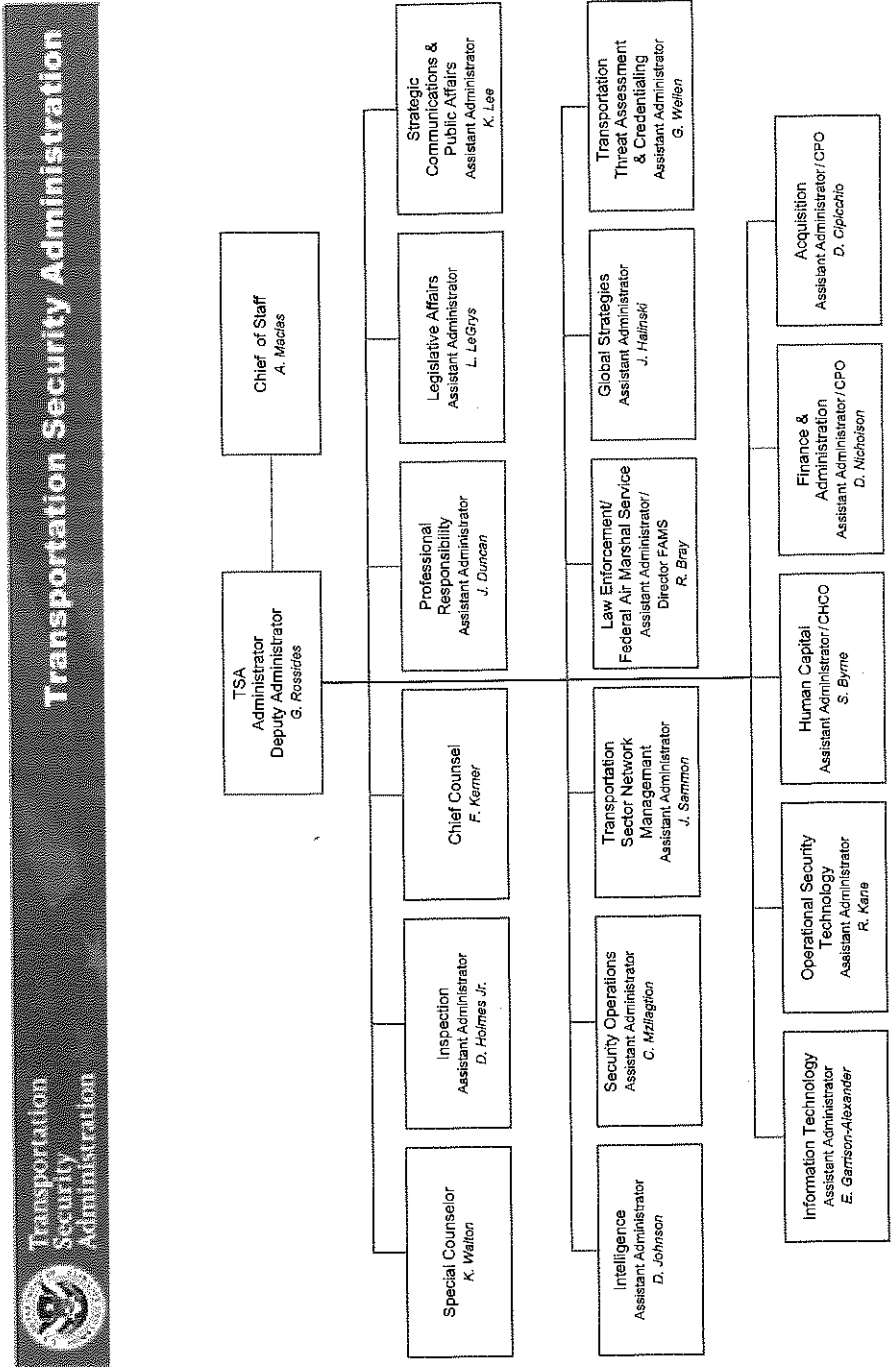


FIGURE 4-6 TSA organizational chart. (Source: TSA, 2011, http://www.tsa.gov/who_we_are/org/editorial_multi_image_with_table_0102.shtml)

and baggage through an appropriate mix of federalized and privatized screeners and technology. This screener workforce consists primarily of 50,000 passenger and baggage screeners located at more than 450 commercial and privatized airports throughout the country.

U.S. air carriers transport approximately 12.5 million tons of cargo, of which 2.8 million tons fly on board commercial passenger planes and 9.7 million tons are shipped in cargo planes (which, still today, are not inspected to the same degree as cargo that is shipped on the passenger carriers). TSA has been given the responsibility to devise and implement a system to screen, inspect, or otherwise ensure the security of all cargo that is to be transported aboard aircraft — a task that will likely require many years and significant financial investment.

TSA is also tasked with managing the security risk to the U.S. surface transportation systems. They are confronted with the paradox of trying to ensure the freedom of movement of people and commerce while preventing the same for terrorists. These transportation systems include approximately 751 million passengers traveling on buses each year, and over 9 billion passenger trips on mass transit per year; over 140,000 mi of railroad (of which 120,000 mi are privately owned); 3.8 million mi of roads (46,717 mi of Interstate highway and 114,700 mi of National Highway System roads), 582,000 bridges over 20 ft of span, 54 tunnels over 19,685 ft in length, and nearly 2.2 million mi of pipeline; and nearly 800,000 shipments of hazardous materials transported every day (95% by truck).

As part of Secretary Chertoff's reorganization plan, the Federal Air Marshals program was transferred from the U.S. Immigration and Customs Enforcement (ICE) office to TSA, where it was originally located before being removed in 2003 under the original framework of DHS.

John Pistole is the current administrator of TSA. The TSA maintained an employee base of 56,221 in FY 2010 (primarily federal airport security screeners), and saw its budget rise steadily from \$4.578 billion in FY 2004 to \$8.165 billion in FY 2011 (of which \$5.560 billion was dedicated to aviation security). The TSA budget represents 14% of the total DHS budget.

New Offices and Directorates

Many new offices have been created within the DHS to manage the wide range of functions that directly and indirectly support national security. Over the past decade, the number of offices has gone up and down as functions arise, are eliminated, or are consolidated. Among these offices, DHS currently maintains three major multifunctional divisions, which have been termed *directorates*. Each directorate is led by an undersecretary. Each of the directorates and offices is described in this section.

Directorate for National Protection and Programs

The Directorate for National Protection and Programs serves to accomplish the risk-reduction mission that is central to DHS. This Directorate was newly created in 2007 as a result of the PKEMRA, thereby assuming several functions that had existed previously in other areas spread throughout DHS. This office is led by DHS Undersecretary Rand Beers and maintains a full-time staff of 2,969 employees. The NPPD budget has increased from \$1.177 billion in FY 2008 to \$2.362 billion in FY 2011, representing 4% of the DHS budget request and an increase of over 100% over FY 2008 amounts.

Prior to NPPD, the DHS Preparedness Directorate fulfilled three critical department-wide needs, namely:

1. To strengthen national risk management efforts for critical infrastructure
2. To define and synchronize DHS-level doctrine for homeland security protection initiatives that entail aggressive coordination internally within DHS, in planning and integration work across the federal government, and with state, communities, and the private sector
3. To deliver grants and related preparedness program and training activities

Of these three functions, the third was transferred to FEMA, while NPPD assumed the status as a “Department-level focal point” for the ongoing management of the first two. In addition, NPPD provides management support and direction for US-VISIT, an immigration tracking and technology program. NPPD is also the lead office for federal efforts to protect and prevent attacks on critical infrastructure, and as such, it works to improve cybersecurity and communications system resilience. NPPD is the office that interacts with the private sector and with state and local government leaders to ensure the full range of department-wide programs and policies are effectively integrated. This office is also working to standardize DHS risk management efforts. The NPPD responsibilities include:

- Identifying threats and vulnerabilities to the nation’s cyber infrastructure and mitigating against the consequences of a cyber attack
- Protecting and strengthening the nation’s national security and emergency communications capabilities’ reliability, survivability, and interoperability at the federal, state, local, and tribal levels
- Integrating and disseminating critical infrastructure and key resources’ threat, consequence, and vulnerability information and developing risk mitigation strategies that enhance protection and resilience through coordination with critical infrastructure and key resources owners
- Developing and ensuring implementation of the National Infrastructure Protection Plan (NIPP) for the nation’s infrastructure through sector-specific plans
- Ensuring a safe and secure environment in which federal agencies can conduct business by reducing threats posed against approximately 9,000 federal facilities nationwide
- Providing biometric and biographic identity management and screening services to other departmental entities as well as to other federal, state, local, and international stakeholders for immigration and border management
- Leading the Department’s effort to develop, implement, and share a common framework addressing the overall analysis and management of homeland security risk

The five components of NPPD include:

- *The Office of Cybersecurity and Communications (CS&C)*: This office works to ensure the security, resiliency, and reliability of the nation’s cyber and communications infrastructure in collaboration with the public and private sectors, including international partners. Specifically, CS&C is focused on preparing for and responding to catastrophic incidents that could degrade or overwhelm the networks, systems, and assets that operate our nation’s information technology and communications infrastructure. Programs contained within this office include:
 - The National Communications System
 - The National Cybersecurity Division
 - The Office of Emergency Communications
- *The Office of Infrastructure Protection (OIP)*: This office leads the coordinated national effort to reduce risk to critical infrastructures and key resources posed by terrorism. OIP facilitates the identification, prioritization, coordination, and protection of these resources in support of federal, state, local, territorial, and tribal governments, as well as the private sector and international entities. OIP shares this information with “partners” at the state, local, and private levels, communicating threats, vulnerabilities, incidents, potential protective measures, and best practices that enhance protection, response, mitigation, and restoration activities across the nation and the international community. OIP functions are guided by the NIPP (which can be found by accessing http://www.dhs.gov/files/programs/editorial_0827.shtm).

- *The Federal Protective Service (FPS)*: This office provides security and law enforcement services to federally owned and leased buildings, facilities, properties, and other assets nationwide. FPS employs 1,225 federal staff (including 900 law enforcement security officers, criminal investigators, police officers, and support personnel) and 15,000 contract guard staff to secure over 9,000 buildings and safeguard their occupants. FPS was recently transferred into NPPD from U.S. ICE, another DHS component described later in this chapter.
- *The Office of Risk Management and Analysis (RMA)*: This office works to ensure that risk information and analysis are provided to inform a full range of homeland security decisions, including strategy formulation, preparedness priorities, and resource allocations. RMA has two divisions that address critical homeland security needs, the Risk Governance and Support Division and the Risk Analytics Division.
 - *The Risk Governance and Support Division*: This division, through the development of risk processes and capabilities, works to ensure that enterprise decisions are risk-informed and that risk management is executed in an integrated fashion.
 - *The Risk Analytics Division*: This division aims to provide decision support to the homeland security enterprise through the design, execution, and sharing of relevant and technically sound risk and decision analysis.

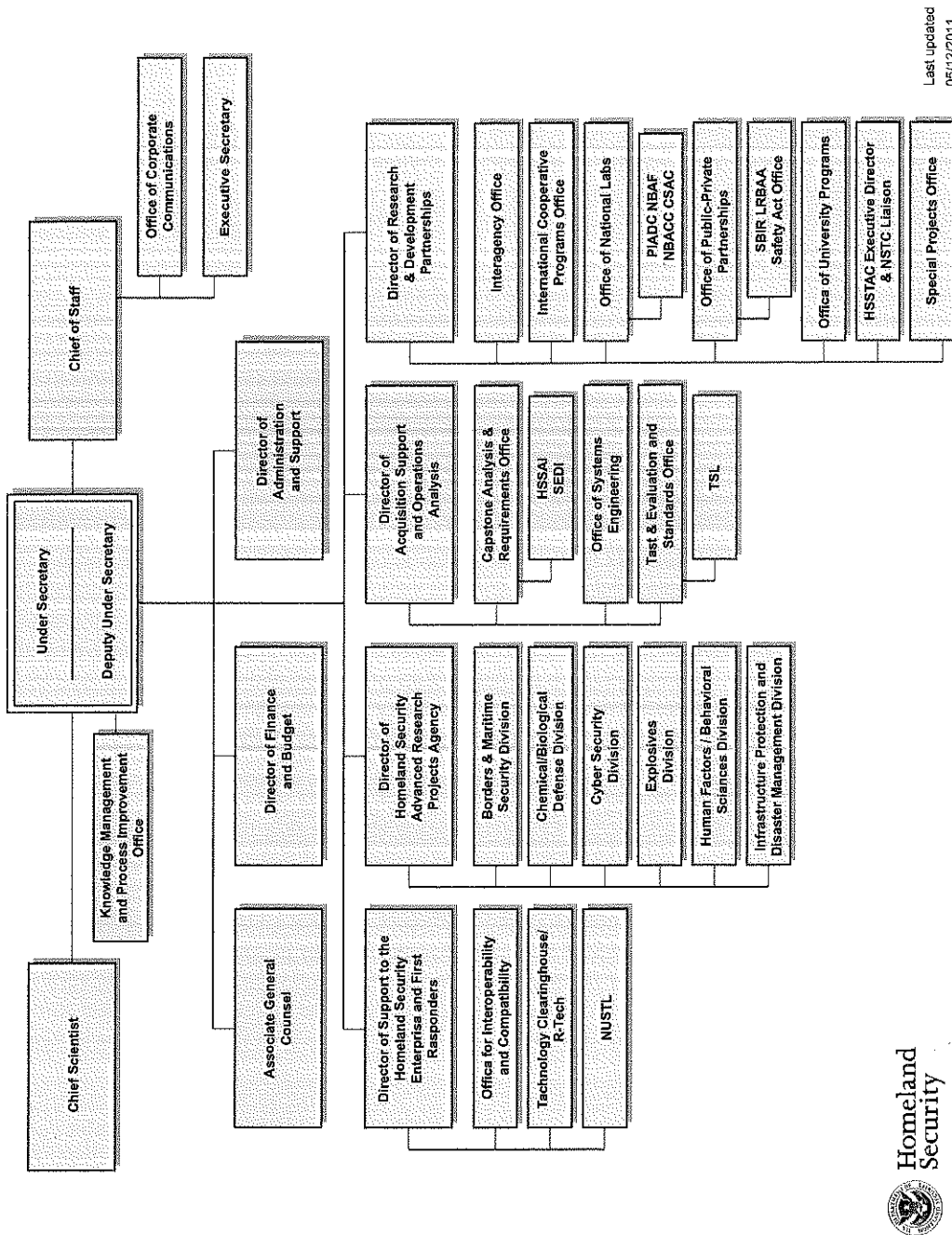
RMA supports the Department's Risk Steering Committee, which is comprised of representatives from operational components, governing directorates, and supporting offices. Chaired by the Under Secretary for the National Protection and Programs Directorate, the committee makes decisions on ways to improve and integrate the Department's risk management activities and serves to communicate risk ideas, concepts, and practices.
- *United States Visitor and Immigrant Status Indicator Technology (US-VISIT)*: US-VISIT was established in order to accurately record the entry and exit of travelers to the United States by collecting biographic information and biometric information (such as digital fingerprints and photographs, for example). US-VISIT is part of an ongoing and growing system of security measures that begins overseas and continues through a foreign traveler's arrival in and departure from the United States.

Directorate for Science and Technology

The Directorate for Science and Technology (S&T) provides leadership for directing, funding, and conducting research, development, test, and evaluation (RDT&E), and procurement of technologies and systems that can prevent the importation of chemical, biological, radiological, nuclear, and related weapons and material, and will help the nation protect against and respond to terrorist threats. The S&T Directorate partners and coordinates with federal, state, and local government and private-sector entities in conducting its activities, and is working to establish a system to transfer the fruits of these homeland security developments and technologies into DHS's operational elements. Through S&T research and development activities, DHS hopes to enhance its ability to execute all of its stated missions, now and in the future, and to help the nation meet its homeland security RDT&E needs (Figure 4-7).

The HS Act of 2002 effectively abolished the Office of Science and Technology that existed within the National Institute of Justice (which still exists within the DOJ) and transferred all applicable functions to S&T. The Directorate is comprised of four groups that address basic research through advanced technology development and transition, spanning six primary divisions that address critical homeland security needs. These lead groups include:

- *The Director of Support to the Homeland Security Enterprise and First Responders Group (FRG)*: This group identifies, validates, and facilitates the fulfillment of first-responder requirements



Last updated
05/12/2011



FIGURE 4-7 Science and technology directorate. (Source: DHS, 2011, <http://www.dhs.gov/xlibrary/assets/sant-org-chart.pdf>)

through the use of existing and emerging technologies, knowledge products, and the acceleration of standards. This organization manages working groups, teams, and stakeholder outreach efforts to better understand the requirements of first responders. FRG manages the following offices:

- Office of Interoperability and Compatibility
- Technology Clearinghouse/R-Tech
- National Urban Security Technology Laboratory (NUSTL)
- *The Director of Homeland Security Advanced Research Projects Agency*: This organization manages a portfolio of highly innovative programs that are transforming the future mission of Homeland Security. Homeland Security Advanced Research Projects Agency (HSARPA) scientific projects address customer-identified needs. HSARPA manages the following technical divisions:
 - *Borders & Maritime Security Division*: Develops and transitions tools and technologies that improve the security of our nation's borders and waterways, without impeding the flow of commerce and travel.
 - *Chemical/Biological Defense Division*: Works to increase the nation's preparedness against chemical and biological threats through improved threat awareness, advanced surveillance and detection, and protective countermeasures.
 - *Cybersecurity Division*: Works to address the security of the nation's computer networks against crime and/or terrorist attacks
 - *Explosives Division*: Develops the technical capabilities to detect, interdict, and lessen the impacts of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation, and critical infrastructure.
 - *Human Factors/Behavioral Sciences Division*: Develops the technical capabilities to detect, interdict, and lessen the impacts of non-nuclear explosives used in terrorist attacks against mass transit, civil aviation, and critical infrastructure.
 - *Infrastructure Protection & Disaster Management Division*: Focuses on identifying and mitigating the vulnerabilities of the 18 critical infrastructure and key assets that keep our society and economy functioning.
- *The Director of Acquisition Support and Operations Analysis (ASOA)*: This office serves as a conduit for Department components seeking support on a range of technical and analytical requirements and document development throughout the acquisition life cycle. ASOA is made up of three primary components including:
 - Office of Systems Engineering (SYS)
 - Capstone Analysis & Requirements Office (CAR)
 - Test & Evaluation and Standards Office (TES)
- *The Director of Research and Development Partnerships (RDP)*: This group conducts stakeholder outreach and engagement through close partnerships with eight Department science and technology groups. The RDP groups include:
 - The Interagency Office
 - The International Cooperative Programs Office
 - The Office of National Laboratories, which includes:
 - Plum Island Animal Disease Center (PIADC)
 - National Biodefense Analysis and Countermeasures Center (NBACC)
 - National Bio- and Agro-Defense Facility (NBAF)
 - Chemical Security Analysis Center (CSAC)
- *The Office of Public-Private Partnerships*, which includes:
 - Small Business Innovative Research Office (SBIR)

- Long Range Broad Agency Announcement Office (LRBAA)
- SAFETY Act Office
- Commercialization Office
- The Office of University Programs
- The Homeland Security Science and Technology Advisory Committee (HSSTAC)
- The Executive Director & National Science and Technology Council (NSTC) Liaison
- The Special Projects Office

The S&T Directorate maintained a staff of 447 full-time employees in FY 2011. The S&T budget allocation rose steadily from \$913 million in FY 2004 to \$1.368 billion in FY 2006. In 2007, this amount fell to \$968 million, and fell again in FY 2008 to \$830 million. In FY 2009, the president requested a slight increase to \$869 million. In FY 2011, the budget stood at \$1,018 billion, accounting for 2% of the total DHS FY 2011 budget. The S&T directorate is expanded on in much greater detail in Chapter 12.

Directorate for Management

The Undersecretary for Management (USM) is responsible for budget, appropriations, expenditure of funds, accounting, and finance; procurement; human resources and personnel; information technology systems; facilities, property, equipment, and other material resources; and identification and tracking of performance measurements relating to the responsibilities of the DHS. The Office of the USM maintained a budget of \$267 million in FY 2011 and a staff of 1046, which represented an increase of approximately 25% over FY 2009 levels. The Office of the USM is but one component of the function termed *Departmental Management and Operations*. This function, which received a budget of \$1.270 billion in FY 2011, provides leadership, direction, and management to the whole Department and is comprised of separate appropriations which include (in addition to the Directorate of Management) the following:

- Office of the Secretary and Executive Management (OSEM)
- The Undersecretary for Management (USM)
- Office of the Chief Financial Officer (OCFO)
- Office of the Chief Information Officer (OCIO)
- The National Special Security Events (NSSE) State and Local Fund
- The DHS Headquarters Consolidation Project (HQ)

OSEM provides central leadership, management, direction, and oversight of all the Department's components. The Secretary serves as the top representative of the Department to the President, Congress, and the general public.

USM includes the Immediate Office of the Under Secretary for Management, the Office of the Chief Human Capital Officer, the Office of the Chief Procurement Officer, the Office of the Chief Administrative Officer, and the Office of the Chief Security Officer. USM's primary mission is to deliver administrative support services and provide leadership and oversight for all Departmental Management and Operations functions that include IT, budget and financial management, procurement and acquisition, human capital, security, and administrative services.

OCFO is comprised of the Budget Division, the Program Analysis and Evaluation Division, the Office of Financial Operations Division, the Financial Management and Policy Division, the Internal Control Management Division, the Resource Management Transformation Office (Financial Systems Division), the Grants Policy and Oversight Division, the Departmental Audit Liaison Office, and the Workforce Development Division. OCFO is responsible for the fiscal management, integrity, and accountability of DHS. The mission of the OCFO is to provide guidance and oversight of the Department's budget, financial

management, financial operations for all departmental management and operations, the DHS Working Capital Fund, grants and assistance awards, and resource management systems to ensure that funds necessary to carry out the Department's mission are obtained, allocated, and expended in accordance with the Department's priorities and relevant law and policies.

OCIO consists of five program offices: Executive Front Office, Information Security Office, Enterprise Business Management Office, Office of Applied Technology, and the Information Technology Services Office. OCIO is responsible for all the information technology projects in the Department. The OCIO provides information technology leadership, as well as products and services, to ensure the effective and appropriate use of information technology across DHS. The OCIO coordinates acquisition strategies to minimize costs and improve consistency of the information technology infrastructure. The OCIO enhances mission success by partnering with other DHS components to leverage the best available information technologies and management practices. OCIO is the lead organization in providing the capability for DHS to partner in the sharing of essential information to federal, state, tribal, and local governments as well as private industry and regular U.S. citizens for protection of the homeland. OCIO coordinates the planning and design structure to ascertain the best IT practices, processes, and systems to support both OCIO and component missions in accordance with the Department's overall goals. OCIO is the lead organization in developing and maintaining the DHS Information Security Program, which includes oversight and coordination of activities associated with FISMA (Federal Information Security Management Act). OCIO is also responsible for providing performance metrics and overall evaluation of DHS component IT programs as related to DHS and Government Performance and Results Act (GPRA) goals.

NSSE provides funding to state and local governments hosting major events that are considered to be nationally significant by the President, or his representative, the Secretary of DHS. Beginning in September 1998 through February 2008, there have been 28 events designated as NSSEs. Some of these events have included presidential inaugurations, presidential nominating conventions, major sports events, and major international meetings.

The DHS HQ Consolidation Project is responsible for the collocation and consolidation of the Department through lease consolidation and build-out of the St. Elizabeth's campus. The DHS Management Directorate provides the coordination, planning, policy, guidance, operational oversight and support, and innovative solutions for the management needs of the entire Department for the "One DHS" culture.

Office of the Inspector General

The DHS Office of the Inspector General (OIG) was established by the Homeland Security Act of 2002, by amendment to the Inspector General Act of 1978. Inspector General Clark Kent Ervin was the first to hold the post. The inspector general has a dual reporting responsibility, both to the DHS secretary and to Congress. The OIG serves as an independent and objective inspection, audit, and investigative body that safeguards public tax dollars by promoting effectiveness, efficiency, and economy in DHS programs and operations, and by preventing and detecting fraud, abuse, mismanagement, and waste in such programs and operations.

Considering the massive changes that have resulted from the creation of DHS, and the billions of dollars that have been dedicated to the department's mission, an office such as this is critical. In 2011, OIG maintained a staff of 665 people. The OIG budget has remained relatively constant during the period of FY 2004 to FY 2006, with an allocation of approximately \$83 million. In FY 2007 this jumped by nearly 25% to \$103 million, as the perceived need for greater oversight was confirmed. This amount rose again in FY 2008 to \$109 million. The 2011 OIG budget was \$130 million, representing less than 1% of the total DHS budget. Clark Kent Ervin left the post of inspector general on December 8, 2004, and was replaced by Assistant Inspector General Richard L. Skinner who has held the office ever since.

United States Citizenship and Immigration Services

The U.S. Citizenship and Immigration Services (USCIS) is the component of DHS that facilitates legal immigration for people seeking to enter, reside, or work in the United States. The office, led by Director Alejandro Mayorkas, is responsible for “ensuring the delivery of the right immigration benefit to the right person at the right time, and no benefit to the wrong person.” USCIS has established six strategic goals in accomplishing this task:

1. Strengthening the security and integrity of the immigration system
2. Providing effective customer-oriented immigration benefit and information services
3. Supporting immigrants’ integration and participation in American civic culture
4. Promoting flexible and sound immigration policies and programs
5. Strengthening the infrastructure supporting the USCIS mission
6. Operating as a high-performance organization that promotes a highly talented workforce and a dynamic work culture

Before September 11, all immigration issues were handled by the U.S. State Department through their consular services section and by the Immigration and Naturalization Service (INS) of the Department of Justice. The State Department, which handled the granting of permission to apply for entry into the United States from overseas posts, has maintained its role since the government reorganization has taken place. The INS, however, which handled the creation and enforcement of immigration policy within the United States, was absorbed into the DHS and broken into three distinct offices. USCIS was given responsibility for the immigration services (applications for residence, for instance), ICE is responsible for enforcing immigration law within the United States, and Customs and Border Protection (CBP) enforces those same laws at the U.S. ports of entry and the borders (Figure 4–8).

USCIS processes more than seven million applications each year. The office maintained a staff of 10,878 in FY 2011, and saw their budget rise from \$1.550 billion in FY 2004 to \$2.812 billion in FY 2011. The FY 2011 budget appropriation for USCIS represents 5% of the department’s total budget.

United States Customs and Border Protection

U.S. Customs and Border Protection (CBP) is responsible for protecting the nation’s borders, at and between official ports of entry. CBP is responsible for ensuring that all persons and cargo entering the United States do so both legally and safely. CBP inspectors are responsible for preventing cross-border smuggling of such contraband as controlled substances, weapons of mass destruction (WMDs), and illegal plants and animals. They also ensure that travelers and immigrants have appropriate documentation necessary to enter the country legally. Other tasks include preventing the illegal export of U.S. currency or other negotiable instruments, the export of stolen goods such as vehicles, and the export of strategically sensitive technologies that could be used overseas to compromise both the security and the strategic and economic position of the United States. The Border Patrol, which operates under the direction of CBP, is responsible for controlling all of America’s 7,500 mi of land borders between ports of entry and 95,000 mi of maritime border in partnership with the USCG.

CBP officials are also deployed overseas at major international seaports, through application of the Container Security Initiative (CSI). This project was established to allow agents to prescreen shipping containers in order to detect and interdict WMDs and other illicit material before they arrive in the United States. To date, there are 58 CSI ports throughout the world, covering over 90% of inbound maritime containers. CBP’s entry specialists and trade compliance personnel enforce U.S. trade and tariff laws and regulations in order

USCIS Organizational Chart

Effective 01/06/10

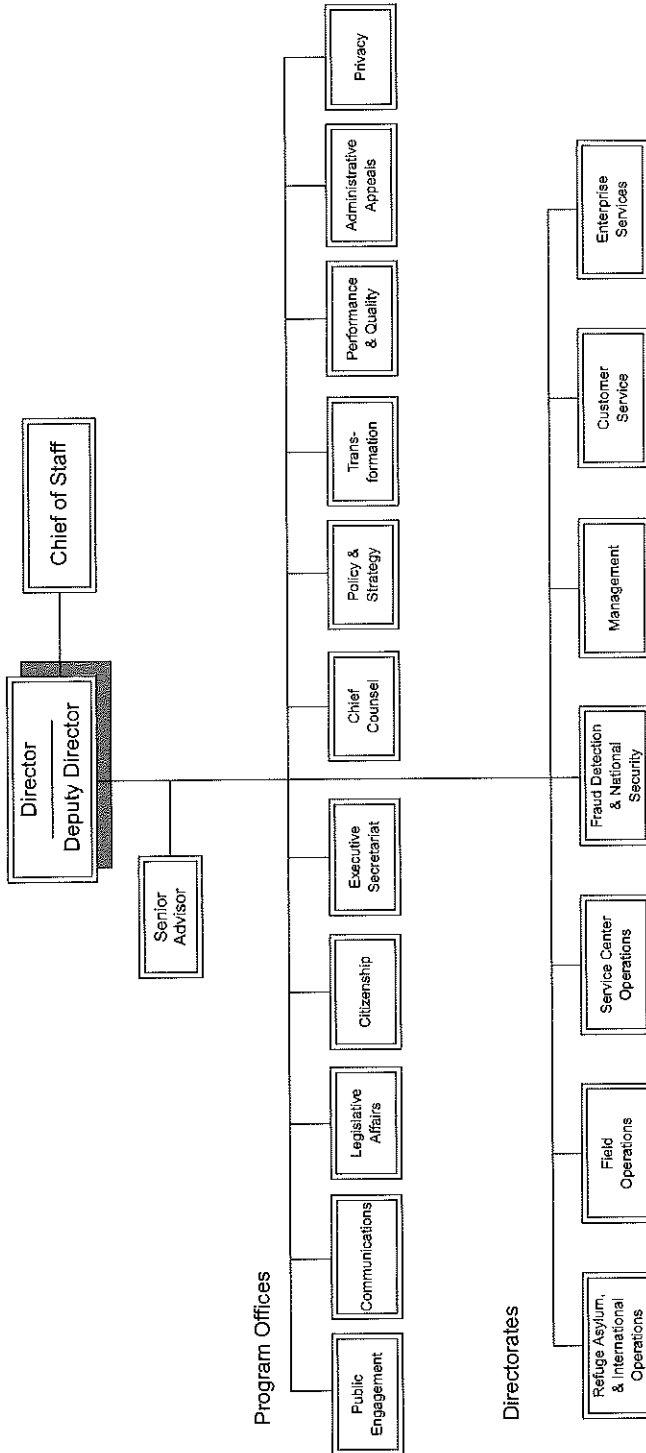


FIGURE 4-8 U.S. Citizenship and Immigration Services Organizational Chart. (Source: USCIS, 2011, <http://www.uscis.gov/portal/site/uscis/menuitem.5af9bb95919f35e667614176543f6d1a7vgnextchannel=2af29c7755cb9010vgmVCM10000045f3d6a1RCRD&vgnextoid=476fd021c599110VgVCM1000004718190aRCRD>)

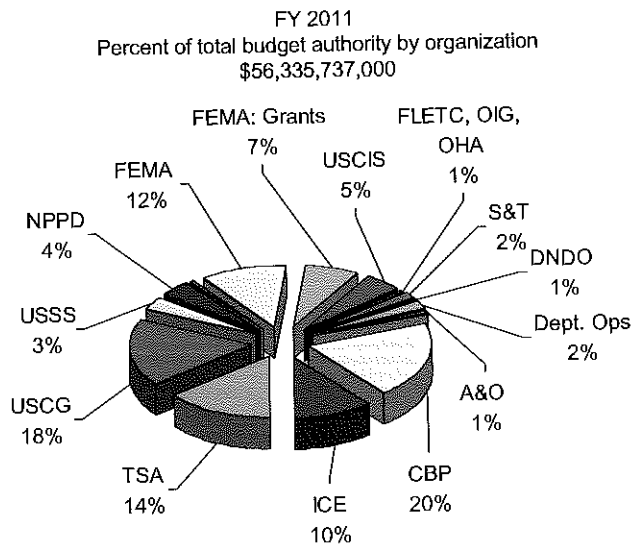


FIGURE 4-9 DHS FY2011 budget — percent of total budget authority by organization. (Source: DHS, 2010, "FY2011 Budget in Brief," http://www.dhs.gov/xlibrary/assets/budget_bib_fy2011.pdf)

to ensure that a fair and competitive trade environment exists for the United States. CBP's Air and Marine Operations Division patrols the nation's borders to interdict illegal drugs and terrorists before entry into the United States, and provides surveillance and operational support to special national security events.

CBP makes direct contact with more than 500 million people crossing the borders through ports each year, and with tens of thousands of shippers, drivers, pilots, and importers associated with more than 25 million officially declared trade entries. In FY 2011, CBP maintained a staff of 58,575, and saw budgets rise steadily from \$5.997 billion in FY 2004 to \$11.180 billion in FY 2011. The FY 2011 budget allocation represents the single greatest item on the DHS budget, accounting for 20% of the total (Figure 4-9).

Immigration and Customs Enforcement

As the largest investigative arm of DHS, U.S. Immigration and Customs Enforcement (ICE) enforces federal immigration and customs laws. ICE protects America and upholds public safety by identifying and dismantling criminal organizations that exploit the nation's borders. ICE agents and investigators identify, apprehend, and remove (deport) criminal and other illegal aliens from the United States. The various components of this directorate are as follows:

- The Office of Investigations (OI) is responsible for investigating a broad range of domestic and international activities arising from the illicit movement of people and goods that violate immigration and customs laws and threaten national security. This might include, for example, illegal arms trafficking, intellectual property and financial crime, identity and benefit fraud, commercial fraud, human trafficking, child pornography, and child sex tourism.
- The Office of International Affairs (OIA) expands ICE's law enforcement reach internationally. OIA enhances the ICE mission through international partnerships and the strategic placement of ICE assets to prevent dangerous goods and people from reaching the United States.

- The Office of Detention and Removal Operations (DRO) is responsible for ensuring that aliens ordered for deportation are actually removed from the United States. DRO, in partnership with other ICE programs, targets aliens for removal based upon the risk they present to public safety and national security.
- The Secure Communities/Comprehensive Identification and Removal of Criminal Aliens (SC/CIRCA) Program Office coordinates the planning activities devoted to criminal alien enforcement across ICE. Through SC/CIRCA, ICE leverages technology to increase national security and public safety by prioritizing deployment of resources to areas where criminal aliens present the greatest threat to the public.
- The Office of Intelligence is responsible for the collection, analysis, and dissemination of strategic, operational, and tactical intelligence that directly supports ICE's law enforcement and homeland security mission. Intel is also responsible for sharing potentially critical information developed by ICE's frontline officers and agents with the Intelligence Community (IC) through the production of Homeland Intelligence Reports.
- The Office of the Principal Legal Advisor (OPLA) is the only legal office with authority to represent the United States in removal proceedings before the Executive Office for Immigration Review (EOIR). OPLA also provides legal advice and training to ICE's operational and management programs.

ICE is led by Assistant Secretary John Morton. In FY 2011, ICE employed 20,876 employees, and saw allocations rise steadily from \$3.616 billion in FY2004 to \$5.835 billion in FY 2011. This allocation represents 10% of the department's 2011 budget (Figure 4-10).

Office of Policy

The Office of Policy, led by Assistant Secretary for Policy David Heyman, formulates and coordinates homeland security policy and procedures for the DHS. This office helps the enormous, widespread department to maintain a centralized, coordinated focus. Through their actions, the Office of Policy coordinates the department's prevention, protection, response, and recovery missions. The Office of Policy:

- Leads coordination of department-wide policies, programs, and planning, which will ensure consistency and integration of missions throughout the entire department
- Provides a central office to develop and communicate policies across multiple components of the homeland security network and strengthens the department's ability to maintain policy and operational readiness needed to protect the homeland
- Provides the foundation and direction for department-wide strategic planning and budget priorities
- Bridges multiple headquarters' components and operating agencies to improve communication among departmental entities, eliminate duplication of effort, and translate policies into timely action
- Creates a single point of contact for internal and external stakeholders that will allow for streamlined policy management across the department

The Office of Policy operates through the actions of the following offices:

- *Office of Policy Development*: Ensures that a coordinated approach to DHS policy is adopted and advocated within its components and that DHS interests are effectively portrayed in national and international efforts

Department of Homeland Security Organization Chart
(proposed end state)

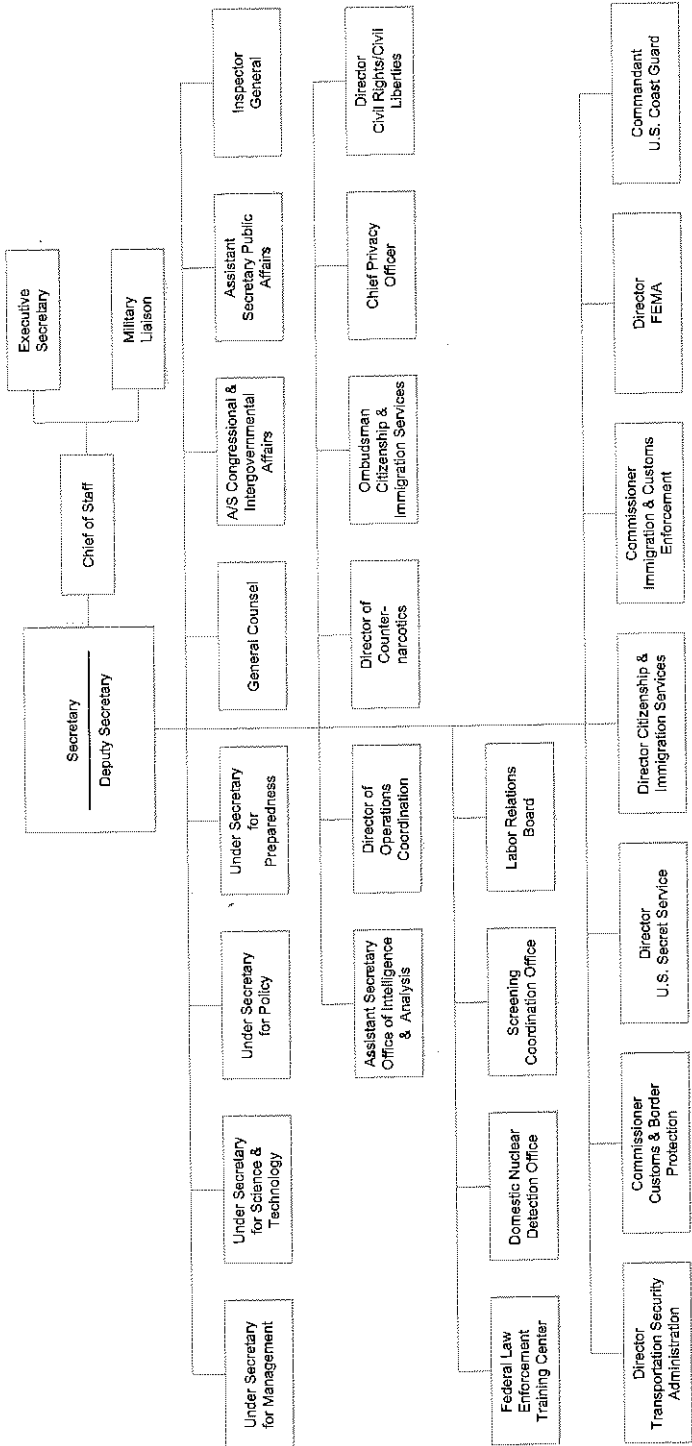


FIGURE 4-10 Second iteration of the DHS organizational structure, as defined by Secretary Chertoff's six-point agenda.

- *Office of Strategic Plans*: Maintains what is considered the “long-term view” for DHS and ensures that the DHS Secretary’s strategic priorities are incorporated into all planning efforts (especially with regard to integration, component priorities, and resource allocation)
- *Office of State and Local Law Enforcement*: Leads the coordination of department-wide policies relating to state, local, and tribal law enforcement’s role in preventing acts of terrorism and also serves as the primary liaison between law enforcement agencies across the country and the Department
- *Office of International Affairs*: Develops DHS’s strategy for promoting the department’s mission overseas and actively engages foreign allies to improve international cooperation for immigration policy, visa security, aviation security, border security and training, law enforcement, and cargo security
- *Office of Immigration Statistics*: Leads the development of statistical information useful to make decisions and analyze the effects of immigration in the United States
- *Private-Sector Office*: Provides the nation’s private sector with a direct line of communication (to DHS), utilizes information received from the private sector, and promotes DHS policies to the private sector
- *Homeland Security Advisory Council*: Leverages the experience, expertise, and national and global connections of its members to provide the DHS Secretary with real-time, real-world, sensing and independent advice to support decision making for homeland security operations

The budget of this new office, created in 2007, falls under the Directorate for Management.

Office of Health Affairs

The Office of Health Affairs (OHA) coordinates all DHS medical activities to ensure appropriate preparation for and response to incidents having “medical significance.” OHA serves as the principal medical adviser for the DHS Secretary and FEMA Administrator by providing timely incident-specific management guidance for the medical consequences of disasters. Additionally, OHA leads the department’s bio- and chemical defense activities; leads the Department’s food, agriculture, and veterinary defense; works with partner agencies to ensure medical readiness for catastrophic incidents; and supports the DHS mission through department-wide standards and best practices for the occupational health and safety of employees. This new office, created in 2007, is led by the Chief Medical Officer, who maintains the title of Assistant Secretary for Health Affairs and Chief Medical Officer. The first person to assume this role was Dr. Jeffrey W. Runge. Today the office is led by Dr. Alex G. Garza.

The OHA has two main divisions:

- *The Health Threats Resilience Division*: Strengthens national capabilities to prepare and secure the nation against the health impacts of CBRN incidents and other intentional and naturally occurring events
- *The Workforce Health and Medical Support Division*: Ensures coordination of medical first responders by providing operational medical support; enhances occupational health in the Department by developing strategy, policy, requirements and metrics for the medical aspects of an occupational health and safety program; and ensures medical quality assurance

The president’s FY 2012 budget request for this new office, which maintained a full-time staff of 95 employees in FY 2011, is \$213 million.

Offices of Intelligence and Analysis and Operations Coordination

The Office of Intelligence and Analysis (I&A), created in 2007 in response to the changes brought about by the PKEMRA, is responsible for using the information and intelligence gleaned from the myriad sources throughout the federal government to identify and assess current and future threats to the United States. I&A is also responsible for the Department's intelligence and information-gathering and -sharing capabilities for and among all components of DHS, state, local, and private sector partners and the IC. I&A serves as the primary federal interface with state and local fusion centers, providing for reciprocal intelligence and information sharing in support of homeland security operations across all levels of government and the private sector. The Undersecretary for Intelligence and Analysis (ASIS), currently Caryn Wagner, leads this office and serves as the DHS Chief Intelligence Officer (CINT). I&A ensures that information is gathered from all relevant DHS field operations and is fused with information from throughout the IC to produce intelligence reports (and other products) for officials who require them inside and outside of DHS.

The Office of Operations Coordination is responsible for monitoring U.S. security on a daily basis and coordinating activities within DHS and with governors, Homeland Security Advisors, law enforcement partners, and critical infrastructure operators in all 50 states and more than 50 major urban areas nationwide. Information is shared daily by the two halves of the office, referred to as the "Intelligence Side" and the "Law Enforcement side." Each half is identical and functions in tandem with the other but operates under different security clearance standards for information access purposes. The Intelligence Side focuses on pieces of highly classified intelligence and how the information contributes to the current threat picture for any given area. The Law Enforcement Side is dedicated to tracking the different enforcement activities across the country that may have terrorist significance. The two pieces fuse together to create a real-time picture of the nation's threat environment.

Operations Coordination oversees the National Operations Center (NOC), which collects and collates information from more than 35 federal, state, territorial, tribal, local, and private sector agencies. Through the NOC, the office provides real-time situational awareness and monitoring of the nation, coordinates incidents and response activities, and, in conjunction with the I&A, issues advisories and bulletins concerning threats to homeland security, as well as specific protective measures. The NOC — which is always operational — coordinates information sharing to help deter, detect, and prevent terrorist acts and to manage domestic incidents. Information on domestic incident management is shared with Emergency Operations Centers at all levels through the Homeland Security Information Network (HSIN). This office, also created in 2007 in response to the changes brought about by the PKEMRA, is led by Director for Operations Coordination (acting) Richard Chavez.

These two offices operate under a joined budget, termed *Analysis and Operations*, for which \$348 million was appropriated in 2011. Together, these offices employed 870 people in FY 2011.

Domestic Nuclear Detection Office

The Domestic Nuclear Detection Office (DNDO) works to enhance the nuclear detection efforts of federal, state, territorial, tribal, and local governments and the private sector and to ensure a coordinated response to such threats. DNDO was established April 15, 2005, to improve the capability of the U.S. government to detect and report unauthorized attempts to import, possess, store, develop, or transport nuclear or radiological material for use against the nation, and to further enhance this capability over time. The objectives of the office are to:

- Develop the global nuclear detection and reporting architecture
- Develop, acquire, and support the domestic nuclear detection and reporting system

- Characterize detector system performance before deployment
- Facilitate situational awareness through information sharing and analysis
- Establish operational protocols to ensure detection leads to effective response
- Conduct a transformational research and development program
- Provide centralized planning, integration, and advancement of U.S. government nuclear forensics programs

The DNDO is led by Director Warren Stern and employed 122 people in FY 2011. The DNDO budget fell from \$317 million in FY 2006 to \$305 million in FY 2011. The president's FY 2009 budget request for DNDO is \$564 million.

■ ■ Critical Thinking ■ ■

Do you believe that it is possible to effectively lead a single federal department like the DHS, with over 220,000 employees, or does its existence combine too many unrelated functions under a single organizational mission? Explain your answer.

Agency Reorganization

At various points throughout the first decade of the Department's existence, reorganizations have been necessary. Offices have been added or expanded and reduced or eliminated. There have been two specific situations, however, where the nature of these organizations was of such great scope as to merit special mention. These include Secretary (Michael) Chertoff's DHS Reorganization Plan and the PKEMRA. Both are described below.

Secretary Chertoff's DHS Reorganization Plan

On July 13, 2005, DHS Secretary Michael Chertoff released a six-point agenda that was used to guide the first of two major reorganizations that have occurred within DHS, in this case aimed at streamlining what were considered inefficient and cumbersome efforts and operations. The agenda followed an initial comprehensive review of operations that Chertoff initiated immediately after assuming his leadership position. The review closely examined the department in search of ways in which leadership could better manage risk in terms of threat, vulnerability, and consequence; prioritize policies and operational missions according to this risk-based approach; and establish a series of preventive and protective steps that would increase security at multiple levels. According to the six-point agenda, changes were focused on the following:

- Increasing overall preparedness, particularly for catastrophic events
- Creating better transportation security systems to move people and cargo more securely and efficiently
- Strengthening border security and interior enforcement and reforming immigration processes
- Enhancing information sharing (with partners)
- Improving financial management, human resource development, procurement, and information technology within the department
- Realigning the department's organization to maximize mission performance

Secretary Chertoff initiated several new policy initiatives that were included in the overhaul of the department, including:

- New border security approaches, accomplished through additional personnel, new technologies, infrastructure investments, and more comprehensive enforcement — coupled with efforts to reduce the demand for illegal border migration by channeling migrants seeking work into regulated legal channels
- Restructuring the current immigration process to enhance security and improve customer service
- Reaching out to the state homeland security officials in order to improve information exchange protocols, refine the Homeland Security Advisory System, and support state and regional data fusion centers
- Investing in DHS personnel by providing professional career training and other development efforts

One of the most significant changes that occurred as result of the six-point agenda was an organizational restructuring of the department (Figure 4–10). Chertoff asserted that these changes were made “to increase [the Department’s] ability to prepare, prevent, and respond to terrorist attacks and other emergencies.” Changes included the following:

- A new Directorate of Policy was created “to centralize and improve policy development and coordination.” This directorate was led by an undersecretary and served as the primary department-wide coordinator for policies, regulations, and other initiatives. This directorate was created to ensure the consistency of policy and regulatory development across various parts of the Department as well as to perform long-range strategic policy planning. This new directorate, which later became the Office for Policy in 2007, included the following offices:
 - Office of International Affairs
 - Office of Private Sector Liaison
 - Homeland Security Advisory Council
 - Office of Immigration Statistics
 - Senior Asylum Officer
- A new Office of Intelligence and Analysis was created to “strengthen intelligence functions and information sharing.” This office still exists in the current structure of DHS as previously described.
- A Director of Operations Coordination position was created, with a corresponding Operations Coordination office, which also remains in the current structure of DHS.
- The Information Analysis and Infrastructure Protection Directorate was renamed the Directorate for Preparedness, which consolidated preparedness assets from across the Department. The Directorate for Preparedness was created to facilitate grants and oversee nationwide preparedness efforts supporting first-responder training, citizen awareness, public health, infrastructure security, and cybersecurity and ensure proper steps are taken to protect high-risk targets. Many of this directorate’s functions, several of which were removed from FEMA according to Secretary Chertoff’s Reorganization Plan, were returned to that and other agencies and offices spread across the Department in 2007 according to the PKEMRA.
- FEMA was removed from the Emergency Preparedness & Response Directorate that was created in the original organization of DHS, and was given a direct reporting responsibility to the Secretary of Homeland Security. This change, which remains in place today, was first made in order to “improve national response and recovery efforts by focusing FEMA on its core functions,” and involved drawing many of the preparedness functions from the agency. However, all of these original functions of FEMA were returned to the agency as stipulated by the PKEMRA.

- The Federal Air Marshal Service was moved from the ICE bureau to the TSA (where it was originally housed prior to the creation of DHS in 2002).
- A new Office of Legislative and Intergovernmental Affairs was created, which merged the functions of the original Offices of Legislative Affairs and of State and Local Government Coordination, in an effort to “streamline intergovernmental relations efforts and better share homeland security information with members of Congress as well as state and local officials.” This office remains in the new organization of the Department.
- The Office of Security, which develops, implements, and oversees the security policies, programs, and standards within DHS, was moved into the Directorate for Management “in order to better manage information systems, contractual activities, security accreditation, training and resources.” This office, led by the Chief Security Officer, remains there today.

Of the changes that were made according to Secretary Chertoff’s Reorganization Plan, there was one change that stood out above the rest as being particularly troubling — the disassembly of the Directorate of Emergency Preparedness and Response (EP&R). Although it made perfect sense that FEMA should exist as a standalone agency within the Department — especially considering the fact that the functions of FEMA fully dominated this original directorate — it was somewhat inexplicable as to why FEMA would be stripped of its preparedness and mitigation functions. This action was clearly a complete reversal in the 30-year trend toward the comprehensive approach to emergency management’s four functions: mitigation, preparedness, response, and recovery.

United Press International reported that critics both within FEMA and outside of DHS, especially from within the first-responder community, felt that the change was a sure sign that DHS was making a significant departure from the traditional “all-hazards” approach to emergency management, which would see terrorism as but one of many hazards encompassing each community’s hazard profile. Following the poor response to Katrina, members of Congress redressed this apparent mistake by reinstating all of the functions withdrawn from FEMA back under the direction of its administrator.

■ ■ Critical Thinking ■ ■

Do you believe that the problems attributed to FEMA in the response to Hurricane Katrina would have happened regardless of Secretary Chertoff’s reorganization plan, or that it was something about this structure that caused the inefficiencies and shortfalls that were observed? Or were the problems entirely unrelated to the DHS structure? Explain your answer.

The Post-Katrina Emergency Management Reform Act

Hurricane Katrina, which struck on August 29, 2005, and resulted in the death of over 1,800 people (and the destruction of billions of dollars in housing stock and other infrastructure), exposed significant problems with the United States’ emergency management framework. Clearly, the terrorism focus had been maintained at the expense of preparedness and response capacity for other hazards, namely, the natural disasters that have proven to be much more likely to occur. FEMA, and likewise DHS, was highly criticized by the public and by Congress in the months following the 2005 hurricane season. In response, Congress passed the Post-Katrina Emergency Management Reform Act (PKEMRA) (H.R. 5441, Public Law 109-295), signed into law by the president on October 4, 2006.

This law established several new leadership positions within DHS, moved additional functions into (several were simply returned) the FEMA, created and reallocated functions to other components within DHS, and amended the Homeland Security Act in ways that directly and indirectly affected the

organization and functions of various entities within DHS. The changes were required to have gone into effect by March 31, 2007. Transfers into FEMA that were mandated by PKEMRA included (with the exception of certain offices as listed in the Act):

- United States Fire Administration (USFA)
- Office of Grants and Training (G&T)
- Chemical Stockpile Emergency Preparedness Division (CSEP)
- Radiological Emergency Preparedness Program (REPP)
- Office of National Capital Region Coordination (NCRC)

The law determined that the head of FEMA, at the time R. David Paulison, would take on the new title of administrator. This official would now be supported by two deputy administrators. One is the deputy administrator and chief operating officer, who serves as the principal deputy and maintains overall operational responsibilities at FEMA. The other is the deputy administrator for National Preparedness, a new division created within FEMA. The National Preparedness Division under FEMA included several existing FEMA programs and several programs that were moved into the former Preparedness Directorate. This division focuses on emergency preparedness policy, contingency planning, exercise coordination and evaluation, emergency management training, and hazard mitigation (with respect to the CSEP and REPP programs). The National Preparedness Division oversees two new divisions: Readiness, Prevention and Planning (RPP), and the National Integration Center (NIC). RPP is now the central office within FEMA handling preparedness policy and planning functions. The NIC maintains the NIMS and the National Response Plan (NRP) and coordinates activities with the U.S. Fire Administration.

The existing Office of Grants and Training (OGT) was moved into the newly expanded FEMA and was renamed the “Office of Grant Programs.” The training and systems support divisions of the OGT were transferred into the NIC. The Office of the Citizen Corps was transferred into the FEMA Office of Readiness, Prevention and Planning.

Additional headquarters positions created at FEMA by the new law included a disability coordinator (located in the FEMA Office of Equal Rights), a small state and rural advocate, a law enforcement advisor to the administrator, and a national advisory council.

This act specifically excluded certain elements of the former DHS Preparedness Directorate from transfer into FEMA. The Preparedness Directorate was renamed the National Protection and Programs Directorate (NPPD), and it remained under the direction of a DHS Undersecretary (currently Rand Beers).

And finally, the law created the OHA. OHA is led by the Chief Medical Officer, who was given the title of Assistant Secretary for Health Affairs and Chief Medical Officer. This position is currently staffed by Dr. Alex G. Garza.

DHS Budget

Table 4–1 details the FY 2012 DHS budget proposed by department function or component.

Other Agencies Participating in Community-Level Funding

As mentioned in the introduction to this chapter, the DHS may be the most recognized embodiment of federal homeland security action and have the most central role in its implementation, but it is not alone in the federal government by any means in this mission. Several other federal agencies outside of the new department

Table 4-1 FY 2012 Proposed DHS Budget (\$ in thousands)

Budget Item	FY 2010	FY 2011	FY 2012 Proposed	Year Over Year Change	Year Over Year (%)
Departmental Operations	809,531	800,931	947,231	146,300	18
Analysis and Operations (A&O)	333,030	335,030	355,368	20,338	6
Office of the Inspector General (OIG)	113,874	129,874	144,318	14,444	11
U.S. Customs & Border Protection (CBP)	11,540,501	11,544,660	11,845,678	301,018	3
U.S. Immigration & Customs Enforcement (ICE)	5,741,752	5,748,339	5,822,576	74,237	1
Transportation Security Administration (TSA)	7,656,066	7,649,666	8,115,259	465,593	6
U.S. Coast Guard (USCG)	10,789,076	10,151,543	10,338,545	187,002	2
U.S. Secret Service (USSS)	1,710,344	1,722,644	1,943,531	220,887	13
National Protection and Programs Directorate (NPPD)	2,429,455	2,432,756	2,555,449	122,693	5
Office of Health Affairs (OHA)	136,850	139,250	160,949	21,699	16
Federal Emergency Management Agency (FEMA)	6,200,618	6,181,718	6,218,433	36,715	1
FEMA: Grant Programs	4,165,200	4,165,200	3,844,663	(320,537)	-8
U.S. Citizenship & Immigration Services (USCIS)	2,870,997	3,054,829	2,906,866	(147,963)	-5
Federal Law Enforcement Training Center (FLETC)	282,812	282,812	276,413	(6,399)	-2
Science & Technology Directorate (S&T)	1,006,471	1,006,471	1,176,432	169,961	17
Domestic Nuclear Detection Office (DNDO)	383,037	383,037	331,738	(51,299)	-13
Total budget authority:	56,169,614	55,728,760	56,983,449	1,254,689	2.25
Mandatory, fee, and trust funds	(10,179,438)	(9,697,347)	(9,578,910)	118,437	-1.22
Discretionary offsetting fees	(3,533,561)	(3,442,780)	(4,180,357)	(737,577)	21
Net discount budget authority	42,456,615	42,588,633	43,224,182	635,549	-
Less rescission of prior-year carryover — regular appropriations	(151,582)	(40,474)	(41,942)	-	0
Adjusted net discount budget authority	42,305,033	42,548,159	43,182,240	634,081	1

have both maintained existing programs and created entirely new programs, each addressing some aspect of homeland security. Many of these also fund or support homeland security efforts at the state and local levels as well. Several of these programs, as discussed next, are either in the transitional or in the developmental phase but have already begun active participation within the greater homeland security context.

The White House (the Executive Office of the President)

The President of the United States and the White House (the Executive Office of the President) play an important homeland security role as the primary drivers of federal policy and as a result of the role of

the President as Commander in Chief. Through the National Security and Homeland Security Councils and the National Security Staff, the President provides overall homeland security policy direction and coordination. As a result of Presidential Study Directive 1 (2009), which directed an examination of ways to reform the White House organization for counterterrorism and homeland security, the White House merged the staffs of the National Security Council and the Homeland Security Council into a single new integrated National Security Staff (NSS). The new NSS supports all White House policy-making activities related to international, transnational, and homeland security matters. The NSS was established under the direction of the National Security Advisor. The NSS is maintained as the principal venue for interagency deliberations on national security issues including terrorism, WMDs, and natural disasters, among others. Within the NSS, a number of new directorates and positions were created to deal with new and emerging threats including cybersecurity, WMD terrorism, transborder security, information sharing, and resilience.

U.S. Department of Agriculture

Considering the varied and wide-reaching impacts that both terrorism and other natural disasters (such as plant and animal diseases) could have on the both the U.S. food supply and on the U.S. economy, agriculture has assumed a very important role in the overall homeland security approach of the United States. Shortly after September 11, the U.S. Department of Agriculture (USDA) formed a Homeland Security Council (within USDA) to develop a department-wide plan and coordinate efforts among all USDA agencies and offices. Their efforts have since focused on three key areas of concern:

- Safety and security of the food supply and agricultural production
- Protection of USDA facilities
- USDA staff and emergency preparedness

The USDA contributes to an ongoing DHS effort of protecting the nation's food supply by keeping foreign agricultural pests and diseases from entering the country. In this vein, there has been a drastic increase in the number of veterinarians and food import surveillance officers that have been posted at borders and ports of entry. Although approximately 2,600 members of the USDA border inspection force were transferred to DHS as stipulated in the Homeland Security Act of 2002, USDA has continued to train inspectors and set policy for plants, animals, and commodities entering the United States.

In March 2004, the former DHS Bureau of Customs and Border Protection's Border Patrol (BP) announced the 2004 Arizona Border Control Initiative. This initiative was aimed at securing the border with Mexico. The initiative required increased cooperation between the DHS and the USDA Forest Service in allowing more access to public lands on the border. Forest Service resource managers continue to help DHS enhance border security in such a way as to avoid disturbing the environment, and Forest Service law enforcement personnel have assisted DHS in deterring illegal activities on National Forest System lands.

Protecting the Health and Safety of Farm Animals, Crops, and Natural Resources

The USDA created a National Surveillance Unit within its Animal and Plant Health Inspection Service's (APHIS) Veterinary Services program. The unit provides a focal point for the collection, processing, and delivery of surveillance information used to make risk analyses and to take further action when needed. The unit designs surveillance strategies and coordinates and integrates surveillance activities in order to protect the health of and enhance the marketability of livestock and poultry.

USDA appointed a National Surveillance System Coordinator whose purpose is to more efficiently lead the agency's animal health surveillance efforts. USDA also works with universities and state veterinary diagnostic laboratories to create plant and animal health laboratory networks that help to increase

the nation's capability to respond in an emergency. USDA developed guidance documents to help remind farmers and ranchers of steps that they can take to secure their operations.

The Office of Food Defense and Emergency Response (OFDER) was created in 2002 to develop and coordinate all activities of the USDA Food Safety and Inspection Service (FSIS) to prevent, prepare for, respond to, and recover from nonroutine emergencies resulting from intentional and unintentional contamination affecting meat, poultry, and egg products. OFDER serves as the agency's central office for homeland security issues and ensures coordination of its activities with the USDA Homeland Security Office, the DHS, the Food and Drug Administration (FDA) and other federal and state government agencies with food-related responsibilities, and industry.

USDA has provided tens of millions of dollars to states, universities, and tribal lands to increase homeland security prevention, detection, and response efforts. USDA also developed the National Animal Health Reserve Corps, which has resulted in the registration of almost 300 private veterinarians who will assist local communities during times of emergency.

USDA has also continued to perform research on rapid identification tests for biological agents considered to pose the most serious threats to our agricultural system, including foot and mouth disease, rinderpest, and soybean and wheat rust.

Ensuring a Safe Food Supply

The USDA has enhanced security at all food safety laboratories around the country, and expanded its abilities to test for "nontraditional" biological, chemical, and radiological agents. USDA established an Office of Food Security and Emergency Preparedness, which now serves as the lead coordinating body in the development of the infrastructure and capacity to prevent, prepare for, and respond to terrorism aimed at the U.S. food supply. USDA also drafted and distributed guidance for field and laboratory personnel about what to do when the HSAS is raised to either orange or red levels.

New import surveillance liaison inspectors have been hired by the department, who are stationed around the United States to enhance surveillance of imported products. Using a food security plan they developed, USDA has conducted training for employees, veterinarians, and inspectors on threat prevention and preparedness activities. USDA food safety labs have maintained a lead role in creating a network to integrate the U.S. laboratory infrastructure and surge capacity at the local, state, and federal levels.

Protecting Research and Laboratory Facilities

The USDA has provided millions of dollars in grants aimed at security assessments, background investigations, physical security upgrades, and additional security personnel at research and laboratory facilities. Security countermeasures have been implemented based on the findings of these assessments. Furthermore, all USDA laboratories where dangerous agents and toxins are used are held to the requirements of the Agricultural Bioterrorism Protection Act of 2002.

Emergency Preparedness and Response

A department-wide National Interagency Incident Management System (NIIMS), based on the successful system utilized by USDA's Forest Service, is being implemented. This system includes incident command and control systems, coordination systems, training and qualification systems, and publication management systems. USDA's NIIMS uses the same systems within USDA for incident management as those standardized for the nation under the NIMS, which is described in Chapter 7.

The construction of an APHIS Emergency Operations Center (AEOC), which is used to coordinate and support emergency response within APHIS, has been completed. The AEOC, which enhances APHIS's ability to provide leadership during national emergencies, has already been utilized on several occasions,

including the exotic Newcastle disease outbreak, the monkey pox outbreak, and the confirmations of bovine spongiform encephalopathy (BSE) in both Canada and the United States.

Protecting Other Infrastructure

The USDA Forest Service's law enforcement officers continue to conduct security assessments of research facilities and air tanker bases nationwide. USDA's Forest Service continues to enhance efforts to protect National Forest System lands and facilities, including dams, reservoirs, pipelines, water treatment plants, power lines, and energy production facilities on government property.

Securing Information Technology

The USDA has conducted tests of its network systems to assess threat levels. USDA upgraded the security status of key information technology personnel and conducted training and planning sessions to strengthen the department's continuity of operations plans.

In addition to these functions, USDA is also the coordinator and primary agency for two Emergency Support Functions: ESF #4 — Firefighting and ESF #11 — Agriculture and Natural Resources. USDA, together with the Department of the Interior (DOI), also operates the National Interagency Fire Center.

Department of Commerce

The Department of Commerce promotes homeland security through actions conducted in three of its many offices and agencies. These include:

- Bureau of Industry and Security
- National Institute for Standards and Technology
- National Oceanographic and Atmospheric Administration

Bureau of Industry and Security

The mission of the Bureau of Industry and Security (BIS) is to advance U.S. national security, foreign policy, and economic interests. BIS's activities include regulating the export of sensitive goods and technologies and enforcing export control and public safety laws; cooperating with and assisting foreign countries on export control; helping U.S. industry to comply with international arms control agreements; and monitoring the U.S. defense industrial base to ensure that it is capable of handling national and homeland security needs. This agency gained more notoriety after September 11, when concerns about certain technologies and arms that could be used by terrorists abroad were raised. The bureau has enjoyed an increase in funding as a result of these changes.

National Institute for Standards and Technology

The National Institute for Standards and Technology (NIST) has provided significant contributions to the homeland security of the nation by assisting in the measurement infrastructure used to establish safety and security standards. NIST labs have enjoyed an increase in funding levels since September 11, and have developed technologies that are used for such actions as establishing standards for and measuring the safety and security of buildings, for the development of biometric identification systems, and for various radiation detection systems utilized at U.S. and foreign ports, among many others. NIST laboratories involved, at least partially, in homeland security include the following:

- Building and Fire Research Laboratory
- Chemical Science and Technology Laboratory

- Materials Science and Engineering Laboratory
- Physics Laboratory
- Technology Services

National Oceanographic and Atmospheric Administration

The National Oceanographic and Atmospheric Administration (NOAA) has been involved in disaster management since long before the creation of DHS. NOAA monitors meteorological conditions, makes forecasts about storm risks, and recommends preparedness measures to FEMA and other federal, state, and local government agencies. The NOAA National Weather Service (NWS), under which the All-Hazards Radio Warning Network is managed, is another vital component to the overall homeland security needs of the nation. Although not focused on terrorism, the weather radio system is capable of being activated in the event of any type of disaster, regardless of its origin, to provide timely warning to people who may be in danger.

Department of Education

The Department of Education is responsible for, among other things, taking a leadership position in establishing standards and technical assistance for school safety. Schools are not only vulnerable to the effects of natural and technological disasters, but have been identified by many terrorism experts to be a primary target for terrorist activities due to the emotional factor involved with the injury or death of children. Both before and since September 11, there have been many terrorist or other attacks in schools throughout the world, including in Beslan, Russia, and in Cambodia — both of which resulted in fatalities — and elsewhere. Attacks on schools, exemplified by the 1999 Columbine attacks, provide further justification of the required homeland security role that is filled by the Department of Education.

The office of Safe and Drug-Free Schools was created in September 2002 to manage all Department of Education activities related to safe schools, crisis response, alcohol and drug prevention, and health and well-being of students. Today, this office is responsible for leading the homeland security efforts of the department. Millions of dollars in funding have been made available to schools by the Department of Education through this office to help them to better address emergency planning issues.

Emergency planning guidance and technical assistance are major concerns of the Department of Education, and this area of expertise is also handled through the Office of Safe and Drug-Free Schools. Through the development and maintenance of a website (<http://www2.ed.gov/admins/lead/safety/emergencyplan/index.html>), the Department of Education has created what they call a “one-stop shop” for schools to locate information to plan for all types of disasters, whether they are natural, terrorist, or other.

The Environmental Protection Agency

The Environmental Protection Agency (EPA) is charged with protecting human health and the environment. The EPA has played a very important role in emergency management and homeland security for decades, most notably in the water sector. The EPA was one of the signatory agencies of the Federal Response Plan (FRP), and today it plays a major role in the NRF. The EPA is concerned primarily with emergencies involving the release, or threatened release, of oil, radioactive materials, or hazardous chemicals that have the potential to affect communities and the surrounding environment. These releases may be accidental, deliberate, or the result of a natural disaster. EPA works with a variety of private and public entities to prevent, prepare for, and respond to spills and other environmental emergencies. EPA's website provides information for these entities to be able to better prevent spills and releases and to better respond to them when they occur.

The EPA has a responsibility for preparing for and responding to terrorist threats involving WMDs. Because of its inherent role in protecting human health and the environment from possible harmful effects of certain chemical, biological, and nuclear materials, the EPA is actively involved in counterterrorism planning and response efforts. The EPA supports federal counterterrorism programs through the following four mechanisms:

1. Helping state and local responders to plan for emergencies
2. Coordinating with key federal partners
3. Training first responders
4. Providing resources in the event of a terrorist incident

Several offices within the agency are involved in these efforts, including these three:

- Office of Emergency Management
- Office of Superfund Remediation Technology Innovation
- Office of Air and Radiation

Office of Emergency Management

The EPA Office of Emergency Management (OEM) works with other federal partners to prevent accidents as well as to maintain the response capabilities of the Agency. This office is tasked with providing information about response efforts, regulations, tools, and research that will help the regulated community, government entities, and concerned citizens prevent, prepare for, and respond to emergencies. OEM also administers the Oil Pollution Act and several other environmental statutes that relate to environmental emergencies and, more importantly, their prevention.

In 1985, one year after the Bhopal, India, chemical accident that killed thousands of people, the EPA established the Chemical Emergency Preparedness and Prevention Office (CEPPO). Through this office, EPA assumed a leading role within the federal government in building programs to respond to and prevent chemical accidents. CEPPO worked with numerous federal, state, local, and tribal governments; industry groups; environmental groups; labor organizations; and community groups to help them better understand the risks posed by chemicals in their communities, to manage and reduce those risks, and to deal with emergencies.

CEPPO also worked with its state and local partners to develop new approaches to deal with emergency preparedness and accident prevention. They assisted local emergency planning committees (LEPCs) and state emergency response commissions (SERCs) by providing leadership, issuing regulations, developing technical guidance, and enabling these committees to develop their own unique emergency planning systems appropriate to their individual needs.

Today the roles of CEPPO fall within the new Office of Emergency Management. This office addresses a number of areas related to the prevention of and preparedness for hazard events and the response and recovery actions required when events actually occur. These programs include:

- *The Environmental Response Laboratory Network (ERLN)*: The ERLN was established to assist in addressing chemical, biological, and radiological threats during major disaster events. The ERLN is a national network of laboratories that can be ramped up as needed to support large-scale environmental responses by providing analytical capabilities, response capacity, and systematic, coordinated data as needed. The ERLN integrates capabilities of existing public sector laboratories with accredited private

sector labs to support environmental responses. ERLN's mission is to provide consistent analytical capabilities, capacities, and quality data to federal, state, and local decision makers.

- *The Emergency Planning and Community Right-to-Know Act (EPCRA) Requirements:* The EPCRA requirements help communities prepare for and respond to chemical accidents by requiring facilities to report chemical storage and release information and communities to develop emergency response plans. EPCRA stipulates that every community in the United States must be part of a comprehensive emergency response plan. SERCs oversee the implementation of EPCRA requirements in each state. LEPCs work to understand chemical hazards in the community, develop emergency plans in case of an accidental release, and look for ways to prevent chemical accidents. LEPCs are made up of emergency management agencies, responders, industry, and the public.
- *Emergency Response and Cleanup Actions:* Each year, more than 20,000 emergencies involving the release (or threatened release) of oil and hazardous substances are reported in the United States, potentially affecting both communities and the surrounding natural environment. Emergencies range from small-scale spills to large events requiring prompt action and evacuation of nearby populations. EPA coordinates and implements a wide range of activities to ensure that adequate and timely response measures are taken in communities affected by hazardous substances and oil releases where state and local first-responder capabilities have been exceeded or where additional support is needed. EPA's emergency response program responds to chemical, oil, biological, and radiological releases and large-scale national emergencies, including homeland security incidents. EPA conducts time-critical and non-time-critical removal actions when necessary to protect human health and the environment by either funding response actions directly or overseeing and enforcing actions conducted by potentially responsible parties.
- *Facility Response Plan (FRP) Rule:* A Facility Response Plan (FRP) demonstrates a facility's preparedness to respond to a worst-case oil discharge. Under the Clean Water Act, as amended by the Oil Pollution Act, certain facilities that store and use oil are required to prepare and submit these plans. As part of the Oil Pollution Prevention regulation, the FRP rule addresses:
 - Who must prepare and submit an FRP
 - What must be included in an FRP
 - Potential to cause "substantial harm" in the event of a discharge
- *Local Government Reimbursement (LGR) Program:* In the event of a release (or threatened release) of hazardous substances, EPA may reimburse local governments for expenses related to the release and associated emergency response measures. The LGR Program provides a safety net of up to \$25,000 per incident to local governments that do not have funds available to pay for response actions.
- *National Contingency Plan (NCP) Subpart J:* Subpart J provides for a schedule of dispersants, other chemicals, and other spill-mitigating devices and substances that may be authorized for use on oil discharges.
- *Risk Management Plans (RMPs):* RMPs require certain facilities to tell the public and the EPA what they are doing to prevent accidents and how they plan to operate safely and manage their chemicals in a responsible way. Under the authority of section 112(r) of the Clean Air Act, the chemical accident prevention provisions require facilities that produce, handle, process, distribute, or store certain chemicals to develop a Risk Management Program, prepare an RMP, and submit the RMP to EPA. Covered facilities were initially required to comply with the rule in 1999, and the rule has been amended on several occasions since then, most recently in 2004.
- *Spill Prevention, Control, and Countermeasures (SPCC) Rule:* The SPCC rule includes requirements for oil spill prevention, preparedness, and response to prevent oil discharges to navigable waters and

adjoining shorelines. The rule requires specific facilities to prepare, amend, and implement SPCC plans. The SPCC rule is part of the Oil Pollution Prevention regulation, which also includes the FRP rule.

Office of Superfund Remediation Technology Innovation

The Office of Superfund Remediation Technology Innovation (OSRTI), called the Office of Emergency and Remedial Response (OERR) until 2003, manages the Superfund program. The Superfund program was created to protect citizens from the dangers posed by abandoned or uncontrolled hazardous waste sites. Congress established Superfund in 1980 by passing the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA). CERCLA gives the federal government the authority to respond to hazardous substance emergencies and to develop long-term solutions for the nation's most serious hazardous waste problems.

Office of Air and Radiation

The Office of Air and Radiation (OAR) develops national programs, technical policies, and regulations for controlling air pollution and radiation exposure. OAR is concerned with energy conservation and pollution prevention, indoor and outdoor air quality, industrial air pollution, pollution from vehicles and engines, radon, acid rain, stratospheric ozone depletion, and radiation protection. With regard to homeland security, this office is responsible for emergency response to radiation disasters, helping to design and implement air protection measures, monitoring ambient air (including project BioWatch and monitoring the air around the World Trade Center disaster), and maintaining a national air monitoring system.

In March 2004, the EPA Homeland Security Collaborative Network (HSCN) was established to facilitate the agency's collective approach to analyzing homeland security issues while formulating policy recommendations and actions cooperatively. The following is a list of EPA program offices that are members of the HSCN and a brief description of their homeland security tasks (where appropriate):

- Office of Air and Radiation (OAR)
 - See earlier description
- Office of Administration and Resource Management (OARM)
 - EPA facilities and employee security
 - Physical critical infrastructure protection
 - Design buildout of sensitive, classified information facilities/secured access facilities (SCIFs/SAFs)
- Monitoring of Homeland Security Advisory System (HSAD) threat conditions
- Office of the Chief Financial Officer (OCFO)
- Office of Enforcement and Compliance Assurance (OECA)
 - Civil and criminal enforcement
 - Incident response
 - Counterterrorism support
 - Forensics
- Office of Environmental Information (OEI)
 - Information protection and access policy
 - Information infrastructure and cyberprotection
 - Information technology
 - Data management

- Office of Prevention, Pesticides, and Toxic Substances (OPPTS)
 - Food and agriculture security support
 - Emergency exemption requests
 - Acute Exposure Guideline Limits (AEGLs)
 - Chemical data/expertise on pesticides and industrial chemicals
 - Licensing authority for antimicrobials to inactivate pathogens and pesticides
 - Establishment of rules for storage/disposal of pesticides and pesticide applicator certification program
- Office of Research and Development (ORD)
 - Water security research
 - Building decontamination
 - Rapid risk assessment
 - Office of Solid Waste and Emergency Response (OSWER)
 - Chemical industry infrastructure support
 - Building and critical infrastructure decontamination
 - Emergency response
 - Lab capacity
 - Continuity of operations plan/continuity of government (COOP/COG)
 - Superfund
- Office of Water (OW)
 - Drinking water and wastewater infrastructure protection
 - Training, simulations, exercises
 - Best water security practices
 - Vulnerability assessments and emergency response plans
 - Tools for preparedness and emergency response
 - Framework for monitoring/surveillance network
 - Financial assistance to states and tribes
 - Information sharing with sector and partners
- Region 6
 - Lead EPA region for homeland security responsibilities

The Department of Justice

The Department of Justice has lead responsibility for criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the United States or directed at U.S. citizens or institutions abroad, as well as for related intelligence collection activities within the United States. Following a terrorist threat or an actual incident that falls within the criminal jurisdiction of the United States, the Attorney General identifies the perpetrators and makes every effort through the various DOJ agencies to bring those perpetrators to justice. These agencies include the Federal Bureau of Investigation (FBI), the Drug Enforcement Administration (DEA), and Bureau of Alcohol, Tobacco, Firearms, and Explosives (ATF), each of which has key homeland security responsibilities.

The Department of State

The Department of State has the responsibility to coordinate activities with foreign governments and international organizations related to the prevention, preparation, response, and recovery from domestic

disasters, and for the protection of U.S. citizens and U.S. interests overseas. The Department of State political officers located at the various embassies and consulates, found throughout all countries of the world maintaining diplomatic relations with the United States, monitor emerging and known threats through establishment of local contacts and monitoring of events. The Department of State also provides direction to the Office of the President on areas where diplomatic pressure may be utilized to control emerging and known threats to domestic security (see sidebar “Diplomatic Pressure”). The Department of State also has an important counterterrorism role through its adjudication of visa applications, which helps to prevent easy access to the nation for possible terrorists (as identified through the various intelligence efforts).

Diplomatic Pressure

Through the U.S. Department of State, the U.S. government works to develop allies in the fight against terrorism around the world. As a major world power, and the leading provider of international development assistance, the United States is able to influence the actions of other nations through the application of diplomatic pressure when the White House feels that such actions are necessary to maintain national security. A recent example of this pressure occurred in the summer of 2011 when the U.S. government threatened to significantly reduce the amount of military aid it provided to Pakistan, a major ally in the fight against terrorism. Several consecutive events initiated this action, the most significant of which happened in the spring of 2011 when the U.S. military, working in conjunction with the Central Intelligence Agency, located and killed Al Qaeda leader Osama bin Laden. When it was discovered that bin Laden had been living unnoticed in the shadow of a significant military facility in Abbottabad, Pakistan, many U.S. lawmakers felt that Pakistan was not doing enough to battle terrorist extremists. After the military operation took place, Pakistan retaliated against what it called a “violation of its sovereignty” by refusing entry of various military support personnel and by releasing the names of key CIA officials operating in the country. These events marked a significant change in the working relationship that existed between the two countries, and were a sign that Pakistan may not be taking a hard enough line against terrorism to achieve the outcomes that the U.S. government would like to see (with regard to a reduction in national security risks). In response, Pakistan was threatened with a reduction of approximately \$800 billion in the ongoing military assistance the United States had been providing to Pakistan for years. The move was clearly a message to the South Asian country that their actions were moving away from what was felt by the White House to be in the best interests of the national security of the United States (Associated Press, 2011).

For more information, see the article titled “Sixty Years of US Aid to Pakistan” (Guardian, 2011).

The Department of Defense

The Department of Defense (DOD) ensures the security of the United States by acting both as a military deterrent to nations and groups who might otherwise wish to attack American soil and by pursuing and eliminating threats around the world. DOD military services, defense agencies, and geographic and functional commands also work to ensure regional stability by participating in conflict around the globe, securing and assuring access to sea, air, space, and cyberspace, and building the security capacity of key partners. DOD

supports civil authorities in disaster events, at the direction of the Secretary of Defense or the President, when the capabilities of state and local authorities to respond effectively to an event are overwhelmed.

The Department of Health and Human Services

The Department of Health and Human Services (HHS) leads the coordination of all functions relevant to Public Health Emergency Preparedness and Disaster Medical Response. Additionally, HHS incorporates steady-state and incident-specific activities as described in the National Health Security Strategy. HHS is the coordinator and primary agency for NRF Emergency Support Function (ESF) #8 — Public Health and Medical Services, providing the mechanism for coordinated federal assistance to supplement state, local, tribal, and territorial resources in response to a public health and medical disaster, potential or actual incident requiring a coordinated federal response, and/or during a developing potential health and medical emergency.

The Department of the Treasury

The Department of the Treasury (Treasury) works to safeguard the U.S. financial system, combat financial crimes, and cut off financial support to terrorists, WMD proliferators, drug traffickers, and other national security threats. After the 9/11 terrorist attacks, Treasury initiated the Terrorist Finance Tracking Program (TFTP) to identify, track, and pursue terrorists and terror networks (e.g., Al Qaeda). The Treasury Department is uniquely positioned to track terrorist money flows and assist in broader U.S. government efforts to uncover terrorist cells and map terrorist networks here at home and around the world. As the policy development and outreach office for Terrorism and Financing Intelligence (TFI), the Office of Terrorist Financing and Financial Crimes (TFFC) works across all elements of the national security community — including the law enforcement, regulatory, policy, diplomatic, and intelligence communities — and with the private sector and foreign governments to identify and address the threats presented by all forms of illicit finance to the international financial system. TFFC advances this mission by developing initiatives and strategies to deploy a full range of financial authorities to combat money laundering, terrorist financing, WMD proliferation, and other criminal and illicit activities both at home and abroad. These include not only systemic initiatives to enhance the transparency of the international financial system, but also threat-specific strategies and initiatives to apply and implement targeted financial measures to the full range of national security threats.

The Director of National Intelligence

The Director of National Intelligence (DNI) serves as the head of the IC, acts as the principal advisor to the President and National Security Council for intelligence matters relating to national security, and oversees and directs implementation of the National Intelligence Program. The IC, composed of 16 elements across the U.S. Government, functions consistent with law, Executive order, regulations, and policy to support the national security-related missions of the U.S. Government. The homeland security role of DNI is explained in much greater detail in Chapter 5.

Department of Energy

The Department of Energy (DOE) maintains stewardship of vital national security capabilities, from nuclear weapons to research and development programs. DOE is the designated federal agency to provide a unifying structure for the integration of federal critical infrastructure and key resources' protection efforts, specifically for the energy sector. It is also responsible for maintaining continuous and reliable energy supplies for

the United States through preventive measures and restoration and recovery actions. DOE is the coordinator and primary agency for ESF #12 (Energy) when disasters are declared by the President.

The Department of Housing and Urban Development

The Department of Housing and Urban Development (HUD) is the coordinator and primary agency for ESF #14 — Long-Term Community Recovery, which provides a mechanism for coordinating federal support to state, tribal, regional, and local governments, nongovernmental organizations (NGOs), and the private sector to enable community recovery from the long-term consequences of extraordinary disasters.

Department of the Interior

The DOI develops policies and procedures for all types of hazards and emergencies that impact federal lands, facilities, infrastructure, and resources; tribal lands; and insular areas. DOI is also a primary agency for ESF #9 (Search and Rescue), providing specialized lifesaving assistance to state, tribal, and local authorities when activated for incidents or potential incidents requiring a coordinated federal response. DOI, together with the Department of Agriculture, also operates the National Interagency Fire Center.

Department of Transportation

The Department of Transportation (DOT) collaborates with DHS on all matters relating to transportation security and transportation infrastructure protection and in regulating the transportation of hazardous materials by all modes (including pipelines). The Secretary of Transportation is responsible for operating the national airspace system. DOT is the coordinating agency for ESF #1 (Transportation) in the event of disasters declared by the president.

The Corporation for National and Community Service

The Corporation for National and Community Service (CNCS) is a government agency that administers several individual volunteer-based but grant-funded programs that contribute to homeland security and emergency management, including AmeriCorps, Senior Corps, and Learn and Serve America.

- AmeriCorps is a network of national service programs that “engage more than 70,000 Americans each year in intensive service to meet critical needs in education, public safety, health, and the environment.” AmeriCorps members serve through more than 3,000 nonprofit and nongovernmental agencies, public agencies, and faith-based organizations, tutoring and mentoring youth, building affordable housing, teaching computer skills, cleaning parks and streams, running after-school programs, and helping communities respond to disasters. These programs engage more than two million Americans of all ages and backgrounds in service each year.
- Senior Corps is a network of programs that “tap the experience, skills, and talents of older citizens to meet community challenges.” It includes three programs: Foster Grandparents, Senior Companions, and the Retired and Senior Volunteer. More than a half-million Americans ages 55 and older assist local nonprofits, public agencies, and faith-based organizations in carrying out their missions, together having provided over one billion volunteer hours nationwide.
- Learn and Serve America is a program that “supports service-learning programs in schools and community organizations that help nearly one million students from kindergarten through college meet community needs, while improving their academic skills and learning the habits of good

citizenship.” Service learning is defined as an educational method by which participants learn and develop through active participation in service that is conducted in and meets the needs of a community.

In July 2002, CNCS awarded 43 grants totaling \$10.3 million to increasing citizen participation in homeland security in communities, government agencies, and voluntary organizations. Since that time CNCS has continued to support community-level homeland security projects. In the response to and recovery from the 2005 Gulf Coast hurricanes, CNCS became highly involved in the cleanup and rebuilding of the affected communities through volunteer participation. CNCS grantee programs from throughout the country sent volunteer participants. CNCS volunteers provided millions of hours of service in relief and recovery areas such as “mucking out” flooded houses, demolition, construction, tarping of damaged roofs, victim case management, counseling, and much more. The post-disaster assistance provided by the various CNCS programs is described in the sidebar “National Service Responds to the Gulf Coast Hurricanes.”

National Service Responds to the Gulf Coast Hurricanes

Since August 2005, the Corporation for National and Community Service has provided more than \$200 million worth of resources to Gulf Coast states recovering from the devastation caused by Hurricanes Katrina, Rita, and Wilma. Working in cooperation with FEMA, state and local authorities, and hundreds of nonprofit groups, more than 110,000 national service volunteers have contributed more than 9.6 million hours to the relief, recovery, and rebuilding effort. They also have coordinated an additional 648,000 community volunteers, a major share of the overall volunteer force. Activities have included supporting shelter operations and housing placement; establishing call centers and warehousing sites; assisting with case work and benefits coordination; setting up school and youth programs; blue roofing, debris removal, and mucking out homes; serving on long-term recovery committees; and construction of new homes for low-income families. As a result of its experience with hurricane relief and recovery, the Corporation has established a number of new procedures to provide more effective and timely response to disasters under the authority of FEMA mission assignments. Using lessons learned in Katrina, trained AmeriCorps teams have been deployed to winter ice storms in Missouri; tornadoes in Greensburg, Kansas, and Parkersburg, Iowa; California forest fires; 2008 flooding in Iowa and Missouri; and the BP oil spill, among other disasters. The Corporation continues to shift its resources to support a variety of disaster preparedness and response activities.

In June 2007, the Corporation’s board of directors added a new strategic initiative on disaster preparedness and response. This action reflected the agency’s growing expertise and increased commitment to help individuals and communities expand their capacity to prepare for and respond to natural disasters.

- **AMERICORPS:** AmeriCorps has been a backbone of Gulf Coast hurricane relief, and continues to be deeply engaged in the long-term recovery effort. More than 17,000 AmeriCorps members have provided 8.5 million hours of service and recruited or coordinated more than 611,000 other volunteers.
- **AMERICORPS NCCC:** More than 5,400 AmeriCorps NCCC members have served on more than 1,040 separate disaster services projects in the Gulf Coast region since September 2005, in coordination with such groups as the American Red Cross, the Salvation Army, Habitat

for Humanity, and state service commissions. In all, NCCC members have contributed more than 2.7 million hours of service, valued at \$54 million. They have assisted 3 million people, trained and supervised more than 262,000 community volunteers, completed nearly 55,000 damage assessments, refurbished more than 10,500 homes, constructed 2,000 new homes, served 1.6 million meals, and distributed more than 6,000 tons of food.

- **AMERICORPS STATE AND NATIONAL:** More than 100 grantee programs of AmeriCorps State and National, collectively representing more than 9,000 AmeriCorps members, have provided more than 3.1 million hours in hurricane relief and recovery assistance in the Gulf region. The Corporation has provided more than \$78 million in funds to bring thousands of AmeriCorps members to the Gulf region through fiscal year 2010.
- **AMERICORPS VISTA:** More than 2,700 AmeriCorps VISTA members have served in the Gulf Coast, building the capacity of nonprofit organizations and helping low-income people out of poverty. In addition, through its Summer Associate Program, VISTA has sent 246 members to New Orleans to support summer camps for tens of thousands of children in 2007 and 2008.
- **SENIOR CORPS:** More than 18,600 Senior Corps volunteers have served in Gulf Coast hurricane relief efforts, providing food and shelter, coordinating distribution of donated goods, managing community volunteers, meeting the needs of at-risk youth, and more.
- **LEARN AND SERVE AMERICA:** Tens of thousands of students supported by Learn and Serve America raised funds and items needed for hurricane relief, assembled and distributed disaster relief kits, and traveled to the Gulf region to help in the recovery effort. Hundreds of college and high school student groups have traveled to the Gulf Coast to volunteer on spring break and summer trips
- **CHALLENGE GRANT PROGRAM:** The Corporation revised its 2005 Challenge Grant competition to focus on disaster relief, resulting in the approval of \$4 million to six multistate projects to recruit nearly 72,000 volunteers, with an emphasis on baby boomers.
- **“SKILLED SERVICE IN THE GULF” GRANTS:** In June 2007, the Corporation announced that Habitat for Humanity International, Xavier University of Louisiana, and Rebuilding Together were selected to receive awards totaling \$900,000 to engage skilled volunteers in providing disaster recovery assistance to the Gulf states. The skilled construction volunteers will lead lesser-skilled volunteers and handle the most challenging aspects of rebuilding.
- **COORDINATION AND PLANNING:** To increase coordination at the federal, state, and local levels, the Corporation has worked with the Department of Homeland Security and FEMA on the National Response Framework, created a “Disaster Coordinator Cadre” of specially trained staff available to go to disaster zones to coordinate national service assets and mission assignments with FEMA, and signed a Memorandum of Understanding in January 2007 with the National Voluntary Organizations Active in Disaster to enable smarter, faster cooperation with the group's members.
- **TRAINING AND TECHNICAL ASSISTANCE:** Through its Resource Center, the Corporation offers free online resources on disaster preparedness and response including videos, how-to guides, best practices, and courses. The Corporation also provides in-person training at conferences, including a 2007 national “Disaster Institute” for state service commissions.

Citizen Corps Program

Citizen Corps is a FEMA-administered program that provides opportunities for citizens who want to help make their communities more secure. Since its January 2002 establishment, tens of thousands of people from all 50 states and U.S. territories have volunteered to work with one or more of the Citizen Corps programs. These include the following:

- Citizen Corps Councils (CCCs) were established at the state and local level to promote, organize, and run the various programs that fall under the Citizen Corps umbrella. Funding for these councils is provided by the federal government through grant awards. As of May 2008, there were CCCs in 56 states and U.S. territories and 1,093 local communities, all of which serve 60% of the total population of the United States.
- Community Emergency Response Teams (CERTs) began in 1983 in Los Angeles, California. City administrators there recognized that in most emergency situations, average citizens — neighbors, coworkers, and bystanders, for example — were often on scene during the critical moments before professional help arrives. These officials acted on the belief that by training average citizens to perform basic search and rescue, first aid, and other critical emergency response skills, they would increase the overall resilience of the community. Additionally, should a large-scale disaster like an earthquake occur, where first response units would be stretched very thin, these trained citizens would be able to augment official services and provide an important service to the community. Beginning in 1993, FEMA began to offer CERT training on a national level, providing funding to cover start-up and tuition costs for programs. By 2008, CERT programs had been established in more than 2,915 communities in all 50 states, the District of Columbia, and several U.S. territories. Today, that number has fallen to 1,790, mostly due to falling funding levels. CERT teams remain active in the community before a disaster strikes, sponsoring events such as drills, neighborhood cleanup, and disaster-education fairs. Trainers offer periodic refresher sessions to CERT members to reinforce the basic training and to keep participants involved and practiced in their skills. CERT members also offer other nonemergency assistance to the community with the goal of improving the overall safety of the community.
- Volunteers in Police Service (VIPS) was created in the aftermath of September 11, 2001, to address the increased demands on state and local law enforcement. The basis of the program is that civilian volunteers are able to support police officers by doing much of the behind-the-scenes work that does not require formal law enforcement training, thereby allowing officers to spend more of their already strained schedules on the street. Although the concept is not new, the federal support for such programs is. VIPS draws on the time and recognized talents of civilian volunteers. Volunteer roles may include performing clerical tasks, serving as an extra set of “eyes and ears,” assisting with search-and-rescue activities, and writing citations for accessible parking violations, just to name a few. As of summer 2011, there were 2,177 official VIPS programs registered throughout the United States.
- The Medical Reserve Corps (MRC) was founded after the 2002 State of the Union Address to establish teams of local volunteer medical and public health professionals who can contribute their skills and experience when called on in times of need. The program relies on volunteers who are practicing and retired physicians, nurses, dentists, veterinarians, epidemiologists, and other health professionals, as well as other citizens untrained in public health but who can contribute to the community’s normal and disaster public health needs in other ways (which may include interpreters, chaplains, legal advisers, etc.). Local community leaders develop their own MRC units and recruit local volunteers that address the specific community needs. For example, MRC volunteers may deliver necessary public health services during a crisis, assist emergency response teams with

patients, and provide care directly to those with less serious injuries and other health-related issues. MRC volunteers may also serve a vital role by assisting their communities with ongoing public health needs (e.g., immunizations, screenings, health and nutrition education, and volunteering in community health centers and local hospitals). The MRC unit decides, in concert with local officials (including the local CCC), on when the community MRC is activated during a local emergency. As of summer 2011, there were 947 MRC programs established throughout the United States.

- The Neighborhood Watch Program has been in existence for more than 30 years in cities and counties throughout the United States. The program is based on the concept that neighbors who join together to fight crime will be able to increase security in their surrounding areas and, as a result, provide an overall better quality of life for residents. Understandably, after September 11, when terrorism became a major focus of the U.S. government, the recognized importance of programs like Neighborhood Watch took on much greater significance. The Neighborhood Watch program is not maintained by the National Sheriff's Association, which founded the program initially. At the local level, the CCCs help neighborhood groups that have banded together to start a program to carry out their mission. Many printed materials and other guidance are available for free to help them carry out their goals. Neighborhood Watch programs have successfully decreased crime in many of the neighborhoods where they have been implemented. In total, as of January 2008, there were 14,791 programs spread out throughout the United States and the U.S. territories. In addition to serving a crime prevention role, Neighborhood Watch has been used as the basis for bringing neighborhood residents together to focus on disaster preparedness and terrorism awareness; to focus on evacuation drills and exercises; and even to organize group training, such as the CERT training.
- Fire Corps was created in 2004 under the umbrella of U.S. Freedom Corps and Citizen Corps. The purpose of the program, like the VIPS program with the police, was to enhance the ability of fire departments to utilize citizen advocates and provide individuals with opportunities to support their local fire departments with both time and talent. Fire Corps was created as a partnership between the International Association of Fire Chiefs' Volunteer Combination Officers Section (VCOS), the International Association of Fire Fighters (IAFF), and the National Volunteer Fire Council (NVFC). By participating in the program, concerned and interested citizens can assist in their local fire department's activities through tasks such as administrative assistance, public education, fund-raising, data entry, accounting, public relations, and equipment and facility maintenance, just to name a few examples. Any fire department that allows citizens to volunteer support service is considered a Fire Corps program, but programs can become official through registering with a local, county, or state CCC, if one exists. Official Fire Corps programs will be provided with assistance on how to implement a nonoperational citizen advocates program or improve existing programs. A Fire Corps National Advisory Committee has been established under the program in order to provide strategic direction and collect feedback from the field. As of summer 2011, there were 1,098 established Fire Corps programs throughout the United States and the U.S. territories. Although some of these programs are relatively new, some, such as Neighborhood Watch, have been in place for more than a decade. More information on these programs is provided in Chapter 9.

NRF Participant Agencies

Many other federal agencies other than those just listed are involved in homeland security efforts, although most of these actions occur as a result of their contractual obligations set out in NRF. Although these actions will be described in greater detail in Chapter 9, the following is a list of the federal agencies that participate in the response to disasters within the United States:

- Corporation for National and Community Service
- Department of Agriculture
- Department of Commerce
- Department of Defense
- Department of Education
- Department of Energy
- Department of Health and Human Services
- Department of Homeland Security
- Department of Housing and Urban Development
- Department of the Interior
- Department of Justice
- Department of Labor
- Department of State
- Department of Transportation
- Department of the Treasury
- Department of Veterans Affairs
- Central Intelligence Agency
- Environmental Protection Agency
- Federal Bureau of Investigation
- Federal Communications Commission
- General Services Administration
- National Aeronautics and Space Administration
- National Transportation Safety Board
- Nuclear Regulatory Commission
- Office of Personnel Management
- Small Business Administration
- Social Security Administration
- Tennessee Valley Authority
- United States Agency for International Development
- U.S. Postal Service

■ ■ Critical Thinking ■ ■

Why do you think certain homeland security-related functions are still performed by other federal agencies that were not incorporated into DHS? Should they have been? Why or why not?

Activities by State and Local Organizations

State and local governments have expended considerable human and financial resources to secure their jurisdictions from the perceived threat of terrorism. Although considerable amounts of federal funding

have gone to helping state and local agencies to better prepare for the terrorist threat, many of these efforts have been performed without any federal compensation. Also, each time a homeland security alert is issued, or when a major event that is identified as being a potential terrorist target is held within a jurisdiction, local leaders must divert sparse financial and human resources from other areas of need to adequately address those threats. These collective strains have prompted the many organizations representative of state and local governments to become actively engaged in the homeland security debate, from the passage of the Homeland Security Act of 2002 until today.

As early as September 2002, the municipal organizations, which include the U.S. Conference of Mayors (USCM), the National League of Cities (NLC), the National Association of Counties (NACo), and the National Governors Association (NGA), and the emergency management organizations, which include the National Emergency Management Association (NEMA) and the International Association of Emergency Managers (IAEM), began fighting for first-responder funding for state and local governments and about the way the money was allocated — whether it would be to the states or directly to the local municipalities. Clearly, these organizations were and continue to be involved in informing the federal government's approach to funding state and local homeland security efforts. Each of these organizations is discussed next.

United States Conference of Mayors

The U.S. Conference of Mayors (USCM) is the official nonpartisan organization of the nation's 1,192 U.S. cities with populations of 30,000 or more. Each city is represented in the conference by its chief elected official, the mayor. The primary roles of the USCM are to:

- Promote the development of effective national urban/suburban policy
- Strengthen federal-city relationships
- Ensure that federal policy meets urban needs
- Provide mayors with leadership and management tools
- Create a forum in which mayors can share ideas and information

The conference has historically assumed a national leadership role, calling early attention to serious urban problems and pressing successfully for solutions.

In December 2001, 3 months after the 9/11 attacks, the USCM released “A National Action Plan for Safety and Security in America's Cities.” The document was prepared as part of the Mayors Emergency Safety and Security Summit held in Washington, DC, on October 23–25, 2001. It contained recommendations in four priority areas: transportation security, emergency preparedness, federal-local law enforcement, and economic security. In this document, the mayors made the following critical point:

It is important to understand that while the fourth area, economic security, is viewed as the ultimate goal of a nation, it cannot be achieved in the absence of the first three. That is, securing our transportation system, maximizing our emergency response capability, and coordinating our law enforcement response to threats and incidents at all levels are viewed as prerequisites to eliminating the anxiety that has accelerated the nation's economic downturn, and to achieving economic security for the nation.

The principal areas of concern in federal-local law enforcement for the mayors are communications, coordination, and border-city security. In the transportation security section, the mayors' paper presents recommendations concerning security issues in each of the major transportation modes: airport, transit, highway, rail, and port.

The USCM leadership has repeatedly expressed concern that a significant amount of funding from the federal government has not reached the cities for combating terrorism. The mayors expressed that they have been working on initiatives related to homeland security, largely without any federal assistance. Select initiatives, related to communities, that they mentioned include the following: (1) conducting exercises to help prepare for emergencies and improve response capabilities, (2) expanding public information and education efforts, and (3) conducting vulnerability assessments of potential key targets.

Funding for cities has remained a principal focus of the USCM in the area of homeland security. In September 2003, the USCM released a report titled, "First Mayors' Report to the Nation: Tracking Homeland Security Funds Sent to the 50 State Governments" (U.S. Conference of Mayors, 2003). Through release of the report, the USCM website announced that 90% of cities had not received funds from the largest federal homeland security program designed to assist first responders by the federally set deadline of August 1, 2003. The report also found that more than half of the cities either had not been consulted or had no opportunity to influence state decision making about how to use and distribute funding.

The USCM established a Homeland Security Monitoring Center (no longer active) to monitor the flow of homeland security funds from the federal government to states and localities. This focus on funding was at the heart of a March 12, 2004, message from Tom Cochran, executive director of the USCM, in a website column that stated, "Our goal is to do one thing: get the money down to our first responders on the front line in cities throughout America" (U.S. Conference of Mayors, 2004a). In June 2004, the USCM released a report of a survey that was conducted to assess the flow of federal homeland security funds through the states to the cities. Their study found that 52% of the 231 cities surveyed had not received any money at all, nor had they been notified that they would receive money from the state block grant program, which is the largest homeland security program designed to assist first responders.

In 2006, the USCM conducted a survey to determine levels of emergency and disaster readiness at the city level in the United States. The results of this survey were issued in a report titled "Five Years Post 9/11 and One Year Post Hurricane Katrina: The State of America's Readiness." Results announced in a press release (see "U.S. Conference of Mayors Press Release" sidebar) showed that cities still have a long way to go. The USCM has continued to fight for municipal homeland security issues in the years since. In January 2007, the mayors released a 10-point legislative agenda that included a section on homeland security. This plan identified three areas of concern for the cities, many of which remain relevant to this day. These included:

- **Interoperable communications:** The mayors called for a well-funded, standalone, federal emergency communications grant program designed to improve interoperable communications, including flexible direct grants to cities and first responders.
- **Transit security:** The mayors called for a flexible federal transit security initiative to improve security in the areas of communications, surveillance, detection systems, personnel, and training. Because of the negative experiences cities had previously encountered trying to find money locally to cover these kinds of expenses, and in trying to receive the actual funds once granted by the federal government, the mayors requested that there be no local or state match and that security funds would go directly to the operator of the system or the jurisdiction providing the security.
- **Funding mechanism:** The mayors contend that improvements must be made in the application process and delivery mechanism for federal homeland security grant resources to make sure that the process is more user-friendly, the funding reaches cities quickly, and the funding is flexible enough to meet local needs.

The mayor's influence was felt by Congress, and many of their 10-Point Plan requests were honored in the 9/11 Bill that was passed on August 3, 2007. For instance, the Urban Area Security Initiative

(UASI), which is designed to assist high-risk urban areas in preventing, preparing for, protecting against, and responding to terrorism, was altered to meet the mayors' preferences. For FY 2008, \$850 million was authorized, with an additional \$150 million every year thereafter. Eligible city governments were given the opportunity to present what they feel is relevant information about their city's threat, vulnerability, and likely consequences of a terrorist attack, and details about the intended allocation of funds within the local government. If approved, awards are still distributed to the state (a point of contention for the mayors), but the state is required to pass at least 80% of the funds to the appropriate urban area within 45 days. Any remaining amounts retained by the states must be put toward "items, services, or activities that benefit the high-risk urban area." Under the law, the 100 most populous metropolitan areas in the United States are eligible for UASI grants. If a region is not ranked within the 100 most populous metropolitan areas, DHS can still determine it to be a high-risk urban area based on a risk formula, and DHS can designate regions consisting of more than one metropolitan area into several high-risk urban areas. Finally, a high-risk urban area can, with DHS permission, expand its jurisdiction to include additional regions.

The law also changed the Homeland Security Grant Program (HSGP), which seeks to enhance state-wide homeland security management, personnel, training, and equipment. The new bill reduced the minimum amount of total funding each state would receive from 0.75% to 0.375% in FY 2008, 0.365% in FY 2009, and 0.360% for FY 2010 on. Like UASI, the state is responsible for allocating at least 80% of the funds to local governments within 45 days of receiving the grant. The factors that will ultimately determine the sums awarded to the states are risk level and the quality of the anticipated effectiveness of the proposal. The most important change to this grant that affects the mayors is the absence of a local match requirement, which had been included in earlier versions of the legislation and was opposed by the Conference of Mayors.

The new 9/11 Bill was to have increased the authorization for the Emergency Management Performance Grant program to \$400 million for FY 2008, \$535 million in FY 2009, \$680 million in FY 2010, \$815 million in FY 2011, and \$950 million in FY 2012. However, in 2011 those figures fell to \$329 million once the budget was approved, rising to \$350 million in 2012.

One of the most important changes brought about by the new legislation, in terms of the needs of cities, was the Interoperable Emergency Communications Grant Program. This grant program sought to improve local, tribal, statewide, regional, and national interoperable communications as is needed in collective response to disasters and emergencies. The bill authorized \$400 million each fiscal year between 2009 and 2012. However, this grant was lumped into the State Homeland Security Grant Program in 2012. This grant is key for states because they must submit an Interoperable Communication Plan to be approved by the Director of Emergency Communications on the basis of:

1. Risk, including likelihood of a state responding to a nearby jurisdiction, population size, and proximity to international borders
2. Anticipated effectiveness

The USCM also saw its transit security recommendation in the 10-Point Plan integrated in the final version of the 9/11 Bill. Through a partnership between the DHS and the DOT, the bill created the National Strategy for Public Transportation and Security that sought to minimize security threats to the public transportation system and maximize recovery ability. The Public Transportation Security Assistance Program, which has since ended, made grants available for security improvements to transportation agencies that have performed a security assessment or have drawn up a security plan.

National League of Cities

The NLC is the oldest and largest national organization representing municipal governments throughout the United States. The NLC serves as a resource to and is an advocate for the more than 19,000 cities, villages, and towns it represents. More than 1,600 municipalities of all sizes pay dues to NLC and actively participate as leaders and voting members in the organization. The NLC provides numerous benefits to its network of members, including:

- Advocates for cities and towns in the Washington, D.C. area through full-time lobbying and grassroots campaigns
- Promotes cities and towns through an aggressive media and communications program that draws attention to city issues and enhances the national image of local government
- Provides programs and services that give local leaders the tools and knowledge to better serve their communities
- Keeps leaders informed of critical issues that affect municipalities and warrant action by local officials
- Strengthens leadership skills by offering numerous training and education programs
- Recognizes municipal achievements by gathering and promoting examples of best practices and honoring cities and towns with awards for model programs and initiatives
- Partners with state leagues to supplement resources and strengthen the voice of local government in the nation's capital and all state capitals
- Promotes cities and towns through an aggressive media and communications program that draws attention to city issues and enhances the national image of local government

Like the USCM, the NLC has also focused on the first-responder funding issue. It conducted a letter-writing campaign to the White House and Congress to build support for the original allocation of first-responder funds. In 2002, NLC proposed a \$75.5 billion stimulus package that would include \$10 billion for unmet homeland security needs.

In January 2003, then NLC President Karen Anderson appointed the special Working Group on Homeland Security to serve as NLC's frontline resource on the subject. That group worked to prepare resources to help city officials in carrying out their new roles as the "front line of hometown defense."

The NLC has continued to lobby Congress and the Executive Office to increase or maintain funding support to strengthen "hometown" and homeland security, and develop extensive policy on these issues. The NLC reports the results of surveys on municipal responses to terrorism regarding vulnerable targets and the need for federal guidance and support. A variety of publications that NLC generates offer practical guidance to local officials to assist in their ongoing efforts to develop and refine local and regional homeland security plans.

In 2005, homeland security remained a top priority for the NLC. The two primary NLC issues were first-responder funding and public safety communications. Presented in the "2005 Advocacy Priority" sidebar is text from an NLC document detailing advocacy policy regarding funding for first responders.

In 2005, the NLC developed a policy statement on homeland security that was included in its "National Municipal Policy." The policy statement addresses the following topics:

- Prevention, planning, and mitigation
- Disaster response and recovery
- Training and technical assistance

- Disaster insurance
- Domestic terrorism
- Border security
- Immigration enforcement
- Profiling

In support of these policies, NLC developed a publication, “Protecting Hometown America: Lessons Learned from and for Small Cities and Towns,” available on this book’s companion website.

2005 Advocacy Priority — The Issue: Funding for First Responders

The nation’s cities and towns need a well-funded, improved grant program to respond to terrorism threats in highly populated and high-threat areas. Local governments seek funding that allows jurisdictions to prepare for possible terrorist threats, with flexibility to use the funds for a range of risks based on their state homeland security plans.

Message to Congress

- **Preserve direct funding.** Preserve direct funding to local governments and regions based on the congressionally mandated 80 percent pass-through requirement from states to local governments.
- **Improve homeland and hometown security.** Improve security by increasing funding for Urban Area Security Grants and the State Homeland Security Grant program.
- **Preserve funding.** Preserve funding for both homeland security programs such as Law Enforcement Terrorism Prevention grants, the Urban Search and Rescue program and the Metropolitan Medical Response System, and traditional first-responder and emergency management programs that existed before September 11, 2001.
- **Provide flexibility.** Provide flexibility for local governments to use homeland security funds to offset overtime expenditures during national high alerts, counterterrorism activities, and training exercises.
- **Create a Federal clearinghouse.** Create a web-based Federal clearinghouse of best practices and updated voluntary national consensus standards.
- **Waive cost-sharing requirements.** Waive matching or cost-sharing requirements for local governments.

Request to Congress

- **Enact an authorization bill** that provides funding for first responders to target terrorism threats in highly populated and high-threat areas, with maximum flexibility to use the funds for a range of risks based on their state homeland security plans.
- **Fully fund the State Homeland Security Grant program, Urban Area Security Grants, and other critical homeland security programs.**

The NLC has developed several other publications to assist local governments in participating in homeland security, including:

- “Homeland Security: Practical Tools for Local Governments” (http://www.transit-safety.volpe.dot.gov/security/SecurityInitiatives/Top20/1%20--%20Management%20and%20Accountability/2%20--%20Updated%20for%20Anti-Terrorism%20Measures/Additional/National_League_of_Cities_Practical_Tools.pdf#page=6)
- “Why Can’t We Talk?” Emergency Communications Interoperability Guide (http://www.safecomprogram.gov/NR/rdonlyres/322B4367-265C-45FB-8EEA-BD0FEBDA95A8/0/Why_cant_we_talk_NTFL_Guide.pdf)
- “SARS: Lessons Learned for America’s Cities and Towns” (http://www.transit-safety.volpe.dot.gov/security/SecurityInitiatives/Top20/1%20--%20Management%20and%20Accountability/2%20--%20Updated%20for%20Anti-Terrorism%20Measures/Additional/lessons_sars.pdf)

In July 2007, NLC representatives met with DHS officials to exchange views and perspectives on homeland security in towns and cities. At this meeting, the NLC reiterated that all emergency situations are local events and that local elected officials involved in the day-to-day operations of local government shoulder the burden of ensuring that public safety resources are available to citizens in times of emergency or disaster. At this meeting, NLC highlighted the following seven topics as priorities for local elected officials:

1. Emergency communications
2. Emergency Management Assistance Compacts (EMACs)/Mutual Aid
3. All-hazards planning
4. Federalization of the National Guard
5. Intragovernmental collaboration and communication
6. Full funding of federal mandates
7. Immigration/border security

National Association of Counties

The NACo was created in 1935, and remains the only national organization that represents county governments in the United States. NACo maintains a membership of more than 2,000 counties (over 80% of the U.S. population), but represents all of the nation’s 3,068 counties to the White House and to Congress.

NACo is a full-service organization that provides many services to its members, including legislative, research, technical, and public affairs assistance. The association acts as a liaison with other levels of government, works to improve public understanding of counties, serves as a national advocate for counties, and provides them with resources to help them find innovative methods to meet the challenges they face. NACo is involved in a number of special projects that deal with such issues as the environment, sustainable communities, volunteerism, and intergenerational studies.

In 2001, NACo created the “Policy Agenda to Secure the People of America’s Counties.” This policy paper stated that “[c]ounties are the first responders to terrorist attacks, natural disasters and major emergencies” (National Association of Counties, 2002). NACo established a 43-member NACo Homeland Security Task Force that, on October 23, 2001, prepared a set of 20 recommendations in four general categories concerning homeland security issues: public health, local law enforcement and

intelligence, infrastructure security, and emergency planning and public safety. Since that time, NACo has continued to release policy recommendations, with the 2007–2008 Policy Resolutions titled “NACo Homeland Security Policy Resolutions ...” available on this book’s companion website.

Like the other municipal organizations listed earlier, NACo is vitally interested in homeland security funding issues and works to help its member counties to locally address the complex issues. In addition to advocacy, NACo develops toolkits and other publications that counties can use to decipher the flood of information that exists. In early 2011, NACo issued a press release that relayed the concerns of counties relative to falling homeland security funding, detailed in the sidebar titled “NACo Fights Massive Cuts to Homeland Security.”

NACo Fights Massive Cuts to Homeland Security (Issued May 13, 2011)

WASHINGTON, D.C. – The National Association of Counties (NACo) today warned that proposed cuts to the FY 2012 Department of Homeland Security (DHS) Appropriations Bill would impede progress gained in recent years to effectively and efficiently improve the nation’s counties, abilities to protect and serve their communities.

The legislation, which is scheduled to be considered Friday, May 13, in the House of Representatives Appropriations Subcommittee on Homeland Security, proposes massive reductions in grants, technical assistance and programs important to states, local governments and public safety agencies nationwide.

Additionally, the legislation proposes a major change to the current formula for distributing state and local grants; and many counties would presumably be at risk of not receiving any future state and local grant assistance from the DHS.

Specifically, the legislation proposes only \$1 billion for DHS Grants, Exercises, and Technical Assistance important to states, local governments and public safety agencies. This is a decrease of \$1.2 billion compared to the current year, and the legislation also proposes major reductions in DHS’s Fire Grants (\$350 million), FEMA Flood Mapping (\$120 million), and PreDisaster Mitigation Grants (\$40 million).

Additionally, the legislation proposes a major consolidation of programs important to states, local governments and public safety agencies. Specifically, the legislation proposes combining DHS’s State Homeland Security Grant Program, Urban Area Security Initiative Grant Program, Metropolitan Medical Response System, Citizen Corp Program, Rail and Transit Grants, Intercity Bus Security Grants, Port Security Grants, Interoperable Emergency Communications Grants and DHS/FEMA Training, Technical Assistance and Exercises into one single line item; and awarding future grants to States, local governments and public safety agencies at the discretion of the DHS Secretary.

“Counties are strongly opposed to any reduction of funds to DHS’s State and Local Programs and assert that a minimum level of preparedness must be provided to all communities,” said NACo Executive Director Larry E. Naake. “We are asking in the strongest possible terms that members of Congress reject these harmful cuts and continue to work with counties to ensure our communities are well served.”

The following is an example of the homeland security toolkits and other relevant publications released by NACo:

- *NIMS Guide for County Officials*: A guide to help county officials understand what NIMS is and the role counties play in planning to prepare for and respond to emergencies of any type and of any scale (http://www.portal.state.pa.us/portal/server.pt/document/783252/nimsguide_pdf)

In February 2004, NACo surveyed several of the nation's "core counties," which are those counties that are most representative of each of the nation's high-threat urban areas included in the DHS Urban Areas Security Initiative (UASI). The survey solicited information about each county's involvement in the UASI and how well the process worked from their perspective. The results of the survey are presented in the sidebar titled "Excerpts from NACo UASI Survey Report."

Excerpts from NAC UASI Survey Report

During FY 2003, the DHS Office of Domestic Preparedness (ODP) created the Urban Areas Security Initiative (UASI). This initiative is designed to combat terrorism in the United States by targeting federal funding to high threat urban areas. These areas have been determined to be high threats because they house significant national, state or business infrastructure, governmental systems and population centers and are considered most vulnerable to terrorist attacks. Each urban area is made up of a core city and county and includes jurisdictions that are contiguous and have established formal mutual aid agreements.

A core county is where the core city of the urban area is located. The funds were to address the unique equipment, training, planning, exercise and operation needs of these large urban areas. After the designation of the 30 urban high threat areas, each state worked with ODP to complete the process to determine the allocation for each urban area. The funds were then awarded to the states, each of which was responsible, through its State Administrative Agency, for managing the submission of assessments and strategies from each urban area that was eligible to receive funds.

In mid-February 2004, the National Association of Counties sent a survey to the core county in each of these high threat urban areas. This survey was designed to find out whether these targeted areas were receiving these much needed funds. In addition, the survey asked each responding county to comment on how the funding distribution process has worked in their states. Fifteen core counties completed the survey, representing 12 of the 20 states that had been awarded at that time.

Findings

Core counties were asked if their states had kept them well informed about the process it followed to submit a plan to the ODP to make their urban area eligible for UASI funds.

- One hundred percent of responding core counties, except Washington, D.C., responded yes to that question.
- When asked if the core county participated in discussions with their states about the distribution of these funds, 80 percent of responding core counties reported discussions with their states.
- Of the three core counties that indicated that they did not participate, all were in states where another core county responded that they had participated in such discussions. The states are California, Ohio, and Texas.

Core counties were next asked if they had participated in discussions with the other participating local governments in their high-threat area. All 15 responding counties (100%) reported having these discussions.

Core counties were asked what percentage of the funds was asked for each of the four major expenditure areas.

- Of the four — training, exercises, equipment, and planning — in 80 percent of the core counties the largest percentage of the funds was requested for equipment. These requests ranged from a low of 30 percent to a high of 100 percent.
- Only Miami-Dade County and Multnomah County requested that the largest percentage of their funds be in the area of training.

Core counties were asked if they had received any of their UASI funds as of the date of their response to this survey.

- Forty-seven percent of responding counties responded yes.
- Fifty-three percent responded that they have not.
- These amounts ranged from a high of \$18.5 million down to \$40,000.
- When asked what percentage of the anticipated funds they had received, 81 percent reported receiving from 0 to 25 percent.
- Only San Francisco County reported receiving 100 percent of its funds, which amounts to more than \$18.5 million.
- Only 47 percent of the core counties, representing six states, said that the state has appropriated its own funds to assist with homeland security efforts.
- Thirty-three percent of core counties did not know whether their states had appropriated these funds.

Among the core counties, 73 percent report that they have used their own general operating funds to enhance homeland security efforts. One hundred percent of the core counties report that the planning and funding process for the UASI grant program has better prepared their counties for responding to a terrorist threat.

Source: National Association of Counties, <http://www.naco.org/ContentManagement/ContentDisplay.cfm?ContentID=16077>.

National Governors Association

The NGA — the bipartisan organization of the nation's governors — promotes visionary state leadership, shares best practices, and speaks with a unified voice on national policy. Its members are the governors of the 50 states and 5 territories. The NGA bills itself as the collective voice of the nation's governors and one of Washington, D.C.'s most respected public policy organizations. NGA provides governors and their senior staff members with services that range from representing states on Capitol Hill and before

the administration on key federal issues to developing policy reports on innovative state programs and hosting networking seminars for state government executive branch officials. The NGA Center for Best Practices focuses on state innovations and best practices on issues that range from education and health to technology, welfare reform, and the environment. NGA also provides management and technical assistance to both new and incumbent governors.

In August 2002, the Center for Best Practices of the NGA released “States’ Homeland Security Priorities.” A list of 10 major priorities and issues was identified by the NGA center through a survey of states’ and territories’ homeland security offices (NGA Center for Best Practices, 2002). These priorities clearly illustrated the main concerns of the state leadership in light of the massive changes that were occurring at the federal level and included the following:

- Coordination must involve all levels of government.
- The federal government must disseminate timely intelligence information to the states.
- The states must work with local governments to develop interoperable communications between first responders, and an adequate wireless spectrum must be set aside to do the job.
- State and local governments need help and technical assistance to identify and protect critical infrastructure.
- Both the states and federal government must focus on enhancing bioterrorism preparedness and rebuilding the nation’s public health system to address 21st-century threats.
- The federal government should provide adequate federal funding and support to ensure that homeland security needs are met.
- The federal government should work with states to protect sensitive security information, including restricting access to information available through “freedom of information” requests.
- An effective system must be developed that secures points of entry at borders, airports, and seaports without placing an undue burden on commerce.
- The National Guard has proven itself to be an effective force during emergencies and crises. The mission of the National Guard should remain flexible, and Guard units should primarily remain under the control of the governor during times of crises.
- Federal agencies should integrate their command systems into existing state and local incident command systems (ICS) rather than requiring state and local agencies to adapt to federal command systems (NGA Center for Best Practices, Issue Brief, August 19, 2002).

The NGA Center for Best Practices (NGAC) provides support to the governors in their management of new homeland security challenges as they arise and the overall homeland security domain that exists as a result of September 11. NGAC provides these officials with technical assistance and policy research and facilitates their participation in national discussions and initiatives. Center activities focus on states’ efforts to protect critical infrastructure, develop interoperable communications capabilities, and prepare for and respond to bioterrorism, agroterrorism, nuclear and radiological terrorism, and cyberterrorism (as it impacts the government’s ability to obtain, disseminate, and store essential information). The NGA does recognize that, while terrorism must be a priority, natural and human-made disasters will continue to demand timely and coordinated responses from local, state, and federal government agencies.

The Association’s position on homeland security is presented in the sidebar titled “NGA Position on Homeland Security.”

NGA Position on Homeland Security

Although the Constitution delegates to Congress the power and responsibility to provide for the common defense, most of the responsibility for providing homeland defense rests with state and local governments. Governors, with the support of the federal government and local jurisdictions, are responsible for ensuring the ability of state, territorial, and local authorities to deal with natural disasters and other types of major emergencies, including a terrorist incident. State homeland security efforts (infrastructure assets, people resources, and coordination) are critical components of the National Strategy for Homeland Security.

NGA policy and positions with regard to Homeland Security issues are guided by the following principles:

- There should be a base capacity in every state, which means that every state should receive some funds.
- The Department of Homeland Security should provide guidance to states for developing equipment and training standards for adequate levels of protection and preparedness.
- There should be flexibility in the allowable uses of grant funds.
- Governors and other high-ranking state and territorial officials need to receive timely and critical intelligence information related to terrorist threats.
- The traditional first responder programs that existed prior to September 11, 2001, should continue to be funded.
- There should be predictable and sustainable long-term funding of homeland security programs.
- All Federal funding, resources, programs and activities involving state and local governments must be coordinated through the nation's Governors for maximum effectiveness and efficiency.
- The role of the business community and the impact on the economic viability of a community when faced with recovery from a terrorist attack must be considered.

Source: National Governors Association, http://www.nga.org/nga/lobbyIssues/1,1169,D_4898,00.html.

Since 2004, the National Governors Association Center for Best Practices (NGA Center) has tracked the states' progress in developing homeland security structures and programs through an annual survey of state homeland security officials. The results of the 2007 survey are listed in the "NGA Survey Results" sidebar.

NGA Survey Results

For the 2007 survey, the NGA Center polled the 56 state and territorial homeland security advisors who, collectively, comprise the Governors Homeland Security Advisors Council. The survey results reflect the participation of roughly 80 percent of those officials; that is, 44 state homeland security officials completed the survey either in whole or in part, although the response rate for some questions was less than the full 80 percent. This year's survey shows that the top five priorities for states in 2007 were, in order:

- Developing interoperable communications
- Coordinating state and local efforts
- Protecting critical infrastructure
- Developing state fusion centers
- Strengthening citizen preparedness

These priorities have remained stable for several survey years. The survey also revealed that:

- States continue to report unsatisfactory progress in their relationship with the federal government, specifically with the Department of Homeland Security (DHS).
- In the view of the states, federal homeland security grant programs are not adequately funded and do not strike an adequate balance among preparedness, prevention, response, and recovery.
- The majority of states said DHS should coordinate policies with the states prior to the release or implementation of those policies.
- States need federal funding to support personnel to implement and sustain initiatives that are national in scope but that are carried out locally.
- Federal agencies should coordinate their security clearances to ensure that a clearance issued by one agency is recognized by other agencies.
- Only about one-third of states have at least 75 percent of their National Guard forces available to respond to a natural or manmade disaster.
- More than half the states have "significantly" involved local governments in the development of strategic plans, including grant funding allocation plans.

Full survey results can be found at <http://www.nga.org/Files/pdf/0712HOMELANDSURVEY.PDF>.

Source: National Governors Association.

National Emergency Management Association

The National Emergency Management Association (NEMA) is a nonpartisan, nonprofit association that works to enhance public safety. NEMA is focused on the all-hazards approach to emergency management. NEMA began in 1974 when state directors of emergency services first united in order to exchange information on common emergency management issues in their constituencies. State emergency management

directors form the core membership, but members also include key state staff, homeland security advisers, federal agencies, nonprofit organizations, private-sector companies, and concerned individuals.

NEMA's mission is to:

- Provide national leadership and expertise in comprehensive emergency management
- Serve as a vital emergency management information and assistance resource
- Advance continuous improvement in emergency management through strategic partnerships, innovative programs, and collaborative policy positions

Following September 11, NEMA created the National Homeland Security Consortium, which includes key state and local organizations, elected officials, the private sector, and others with roles and responsibilities for homeland security prevention, preparedness, response, and recovery activities. Participating organizations began meeting in 2002. The consortium is an outgrowth of those initial discussions regarding the need for enhanced communication and coordination between disciplines and levels of government. The consortium is now recognized by DHS and works in partnership with other federal agencies such as the Centers for Disease Control and Prevention. The mission of the consortium is to provide a forum wherein key ideas on homeland security can be shared among and between various levels of government.

International Association of Emergency Managers

The International Association of Emergency Managers (IAEM) is a nonprofit organization dedicated to promoting the goals of saving lives and protecting property during emergencies and disasters. Founded in 1952 as the U.S. Civil Defense Council, it became the National Coordinating Council on Emergency Management in 1985, and changed its name to the IAEM in 1998.

The association brings together emergency managers and disaster response professionals from all levels of government, as well as the military, the private sector, and volunteer organizations in the United States and around the world. The purpose of IAEM is to serve the emergency management community by:

- Encouraging the development of disaster-resistant communities to reduce the effect of disasters on life and property
- Acting as a clearinghouse for information on comprehensive management issues
- Providing a forum for creative and innovative problem-solving on emergency management issues
- Maintaining and expanding standards for emergency management programs and professionals
- Fostering informed decision making on public policy in the emergency management arena

The IAEM often issues policy briefs that relay the position of the nation's and the world's emergency managers about salient issues being debated or considered in Congress.

Homeland Security Activity of State and Tribal Governments

Each governor is responsible for overseeing and ensuring the prevention of hazard risk within that state, including the assessment of threats and vulnerability, the mitigation of hazard risks, the funding and coordination of local offices of emergency management, and the coordination with federal emergency management agencies and entities. The governor is also tasked with leading the state's response to any emergency or disaster, and must therefore take an active role in ensuring that other state officials and agencies are able to address these many hazards and ongoing challenges.

During a disaster event, the governor will likely take on a number of roles, including the state's principal source of information to the public. This might include the issuance of evacuations, details about the scope of the disaster, and the availability of assistance. Governors command the state's National Guard resources and maintain the authority to mobilize them in times of disaster (as stipulated by Title 32 of the U.S. Code). During disasters, it is the responsibility of the governor to assess the need for a disaster declaration and to make that request to the President and/or mutual aid partners if such a determination for need is made.

The state or territorial government itself is tasked with coordinating the activity of cities, counties, and intrastate regions. States administer federal homeland security grants to local and tribal (in certain grant programs) governments, allocating key resources to bolster their prevention and preparedness capabilities. Several state agencies and offices are tasked with ensuring the enforcement of state and federal law and for carrying out other security activities. State government agencies have expanded their roles with regard to the homeland security function since 9/11 as many key components of critical infrastructure, as well as key resources, exist or are maintained at the state level. Moreover, because many risk reduction and other emergency management/homeland security programs are coordinated and funded at the state level, the state government is tasked with providing the necessary direction and guidance for these efforts. During actual disaster events, states must often mobilize their various response resources, as stipulated in the state emergency plan, and help to coordinate federal and other resources as they are provided.

Like governors, tribal leaders are responsible for the public safety and welfare of their membership. They can serve as both key decision makers and trusted sources of public information during incidents. Tribal governments, which have a special status under federal laws and treaties, ensure the provision of essential services to members within their communities and are responsible for developing emergency response and mitigation plans. Tribal governments may coordinate resources and capabilities with neighboring jurisdictions, and establish mutual aid agreements with other tribal governments, local jurisdictions, and state governments. Depending on location, land base, and resources, tribal governments provide law enforcement, fire, and emergency services as well as public safety to their members.

A good indicator of the manner in which each of the state governments approaches the terrorism issue is the priorities set by their emergency managers. A survey of state homeland security structures by NEMA conducted in June 2002 found that all 50 states maintain primary point of contact for antiterrorism/homeland security efforts. At that time, these contacts were located in the following state government offices:

- Governor/Lieutenant Governor's office — 14 states
- Military/adjutant general — 12 states
- Public safety/law enforcement — 12 states
- Office of Homeland Security/Emergency Management — 10 states
- Attorney general — 2 states
- Land commissioner — 1 state (National Conference of State Legislatures, 2005)

In January 2008, these numbers had changed significantly, reflecting an approach that gave much more weight to homeland security as a standalone function in the overall context of state government affairs. Many states had even created dedicated homeland security offices. These figures were as follows:

- Office of Homeland Security/Emergency Management — 34 states
- Military/adjutant general — 8 states
- Public safety/law enforcement — 7 states
- Governor's office — 2 states

However, by August 2011, possibly as a result of shrinking budgets or because of the changing nature of homeland security and emergency management (especially with regard to the nature of natural versus terrorist-based threats), there was a major reversal in the trends toward state government homeland security structuring. NEMA continues to track these structures and reported the following state homeland security and emergency management directorship positioning (not all states listed):

- Governor's Office — 11 states (Alabama, Arkansas, California, Florida, Georgia, Illinois, Louisiana, Mississippi, New York, Oklahoma, Pennsylvania)
- Military/Adjutant General — 17 states (Alaska, Arizona, Hawaii, Idaho, Iowa, Kansas, Kentucky, Maine, Maryland, Montana, Nebraska, North Dakota, Oregon, Rhode Island, South Carolina, Tennessee, Washington, Wisconsin)
- Office of Homeland Security — 1 state (Indiana)
- Office of Public Safety — 12 states (Massachusetts, Minnesota, Missouri, Nevada, New Hampshire, North Carolina, Ohio, South Dakota, Texas, Utah, Vermont, Virginia)
- State Police — 2 states (Michigan, New Jersey)
- Other — 4 states (Colorado, Connecticut, New Mexico, West Virginia) (NEMA, 2011)

Shrinking budgets have been a major concern of state directors of homeland security, who feel that the task of preparing for hazards and maintaining national security is causing incredible strain on state budgets. NEMA reports that the FY 2010 operating budgets for state emergency management were at most \$47 million, but that the median budget was \$3,300,000. This amount was a reduction from the FY 2009 median of \$3,406,500. NEMA also reported that 24 states saw their emergency management budgets shrink in FY 2010, and that such trends are likely to continue. Reductions in dependence on federal funding has become necessary as this funding has decreased and/or been passed through to local agencies. In 2009, 34 states received 60% or more of their homeland security funding from federal dollars. This compares to 36 states in 2008, 39 in 2007, and 46 in 2006. Of the 34 states this year, 13 operate with 100% federal funding, which is down from 18 last year. Staffing of these agencies and offices are seeing similar problems, with the actual number of personnel or full-time equivalents (FTEs) falling, from 5,217 for FY 2009 to 5,020 in FY 2010. At present, many states must rely on volunteers to assist in disaster response and recovery efforts (NEMA, 2011a; NEMA, 2011b).

Local Government Homeland Security Activities

Like their counterpart governors at the state level, mayors and other local elected and appointed officials (such as city managers) are responsible for ensuring the public safety and welfare of their residents. Local chief elected officials serve as their jurisdiction's chief communicator and a primary source of information for homeland security-related information, and ensure their governments are able to carry out emergency response activities. They are typically the key decision makers in times of disaster as stipulated in the local emergency operations plan.

The local government manages a number of key government functions, many of which pertain directly to emergency management and homeland security. These include, for example, law enforcement, fire safety and suppression, public safety, environmental response, public health, and emergency medical services. In times of disaster, this role is put to the forefront as the local government maintains operational control of incidents in accordance with the U.S. federal system of government.

Through individual cooperation, as well as supported by other state and federal programs (such as the UASI program), cities and counties address multijurisdictional planning and operations, equipment

support and purchasing, and training and exercises in support of high-threat, high-density urban areas. Federal grant money helps local governments to build and sustain their homeland security capabilities. Local governments coordinate resources and capabilities during disasters with neighboring jurisdictions, NGOs, the state, and the private sector.

County leaders serve as chief operating officers of county governments, in a fashion similar to what exists at the local level. The role of the county (or parish in the case of Louisiana) changes from state to state. This role typically includes supporting and enabling the county governments to fulfill their responsibilities to constituents, including public safety and security. County governments provide frontline leadership for local law enforcement, fire, public safety, environmental response, public health, and emergency medical services for all manner of hazards and emergencies. County governments coordinate resources and capabilities during disasters with neighboring jurisdictions, NGOs, the state, and the private sector.

Emergency preparedness, mitigation, response, and recovery all occur at the local community level. It is at the local level that the critical planning, communications, technology, coordination, command, and spending decisions matter the most. The priorities of groups such as the National Conference of Mayors and the National Association of Counties are to represent these very concerns shared by local communities about what is necessary for them to become resilient from the threat of terrorism. The drive toward a reduction in vulnerability from terrorism has spawned a series of new requirements in preparedness and mitigation planning for most local-level officials that, prior to September 11, rarely considered such issues.

Both NAC and the USCM policy papers identified issues in the areas of command, coordination, communications, funding and equipment, training, and mutual aid. These two organizations recognized and proclaimed the local concerns about protecting critical community infrastructure, including the public health system, most of which is maintained and secured at the local level by local government law enforcement, fire, and health officials.

The events of September 11 brought to the surface the notion that the security of community infrastructure, which was suddenly recognized as a potential target for terrorist attacks, was vital to the security of the nation as a whole. Community infrastructure has always been vulnerable to natural and other technological disaster events — so much so that FEMA's largest disaster assistance program, Public Assistance, is designed to fund the rebuilding of community infrastructure damaged by a disaster event. However, local government officials and local emergency managers were suddenly finding themselves dedicating a greatly increased amount of funding and personnel to protecting and securing community infrastructure from the increased threat of terrorist attack. They have also had to boost the abilities of the local public health system, which has been recognized by the federal government as the most likely area where an outbreak caused by a bioterrorism agent will be identified.

To illustrate several of the new issues that local governments, most notably the smaller, rural governments, have had to consider in light of the new terrorist threat, the following checklist designed for the City of Boone, North Carolina, is provided. This checklist is excerpted from that municipality's technological annex developed for the town's All-Hazards Planning and Operations Manual:

- Identify the types of terrorist events that might occur in the community
- Plan emergency activities in advance to ensure a coordinated response to terrorist attacks
- Build capabilities necessary to respond effectively to the consequences of terrorism
- Identify the type or nature of a terrorist attack when it does happen
- Implement the planned response quickly and efficiently
- Recover from the incident

The response to terrorism is similar in many ways to that of other natural or human-made disasters for which Boone has already prepared. Through additions and modifications, the development of a completely separate system could be avoided. Training and public education have been vital to enhancing preparedness, and understanding the process by which available federal financial assistance is acquired has drastically increased local capacity. The general types of activities that Boone has needed to take to meet the above-mentioned objectives follow:

- Strengthen information and communications technology
- Establish a well-defined incident command structure that includes the FBI
- Strengthen local working relationships and communications
- Educate health-care and emergency response communities about identification of bioterrorist attacks and agents
- Educate health-care and emergency response communities about medical treatment and prophylaxis for possible biological agents
- Educate local health department about state and federal requirements and assistance
- Maintain locally accessible supply of medications, vaccines, and supplies
- Address health care-worker safety issues
- Designate a spokesperson to maintain contact with the public
- Develop comprehensive evacuation plans
- Become familiar with state and local laws relating to isolation/quarantine
- Develop or enhance local capability to prosecute crimes involving WMD or the planning of terrorism events
- Develop, maintain, and practice an infectious diseases' emergency response plan
- Practice with surrounding jurisdictions to strengthen mutual agreement plans
- Outline the roles of federal agency assistance in planning and response
- Educate the public in recognizing events and ways to respond as individuals
- Stay current (Town of Boone, All-Hazards Planning and Operations Manual, Technological Hazards Annex. Boone, NC: Town of Boone, March 2007)

■ ■ Critical Thinking ■ ■

Terrorism prevention and preparedness have added significant strain to already stretched local budgets. Do you feel that the local governments should determine their risk and act accordingly, or should they be expected to prescribe a minimum level of preparedness regardless of the effect it has on other local programs that may suffer as a result of budget reallocations?

Role of Private Sector in Homeland Security and Changes in Business Continuity and Contingency Planning

The terrorist attacks of September 11 affected thousands of private businesses, not just businesses in New York or near the Pentagon, but businesses that were as far away as Hawaii and Seattle. The attacks killed nearly 3,000 people, most of whom were employees of private corporations that had offices in or near the World Trade Center (WTC). Some companies lost hundreds of employees. In downtown Manhattan,

almost 34.5 million square feet of office space was destroyed. Totalling \$50 billion to \$70 billion in insured losses, the WTC attack became one of the costliest disasters in U.S. history. Most of these direct economic losses were incurred by the private sector. In addition to the physical resources and systems lost by businesses in the WTC, changes in public behavior following the attacks had a severe impact on travel, tourism, and other businesses. Because the biggest portion of the impact was absorbed by the private sector, September 11 has been perceived as a sudden wake-up call for disaster preparedness, business continuity planning, and corporate crisis management in the private sector.

The changes in private-sector disaster preparedness after September 11 can be analyzed from two perspectives: (1) the direct involvement of the private sector in disaster preparedness and response in coordination with the DHS and as foreseen by the NRF and the NIMS, and (2) the self-reassessment of the private sector in terms of corporate crisis management and business continuity as a competitive requirement as opposed to cost of business. Our reference point in addressing the changing expectations of the federal government from the private sector will be several major federal documents and strategies, such as the National Strategy for Homeland Security and official press releases from relevant departments and agencies. While addressing the change of internal processes and procedures among the private sector, we will refer to publications and press releases that address changes in particular companies and try to find general trends between different approaches.

Expectations of DHS from the Private Sector

The National Strategy for Homeland Security defines the basic approach of DHS and briefly describes the characteristics of the partnership the department is planning to achieve with the private sector. Given the fact that almost 85% of the infrastructure of the United States is owned or managed by the private sector, there is no doubt that the private sector must be included as a major stakeholder in homeland security. Reducing the vulnerabilities and securing the private sector means the same as securing the vast portion of U.S. infrastructure and economic viability.

According to the National Strategy for Homeland Security, a close partnership between the government and private sectors is essential in ensuring that existing vulnerabilities of critical infrastructures to terrorism are identified and eliminated as quickly as possible. The private sector is expected to conduct risk assessments on their holdings and invest in systems to protect key assets. The internalization of these costs is interpreted by the DHS as not only a matter of sound corporate governance and good corporate citizenship but also an essential safeguard of economic assets for shareholders, employees, and the nation.

The National Strategy for the Protection of Physical Infrastructure and Key Assets provides more direct clues about what the DHS expects from the private sector as a partner and stakeholder in homeland security. The strategy defines the private sector as the owner and operator of the bulk of U.S. critical infrastructures and key assets and mentions that private-sector firms prudently engage in risk management planning and invest in security as a necessary function of business operations and customer confidence. Moreover, since in the present threat environment the private sector generally remains the first line of defense for its own facilities, the DHS expects private-sector owners and operators to reassess and adjust their planning, assurance, and investment programs to better accommodate the increased risk presented by deliberate acts of violence (Figure 4-11).

Since the events of September 11, many businesses have increased their threshold investments and undertaken enhancements in security in an effort to meet the demands of the new threat environment. For most enterprises, the level of investment in security reflects implicit risk-versus-consequence trade-offs, which are based on (1) what is known about the risk environment, (2) what is economically justifiable and sustainable in a competitive marketplace or in an environment of limited government resources,

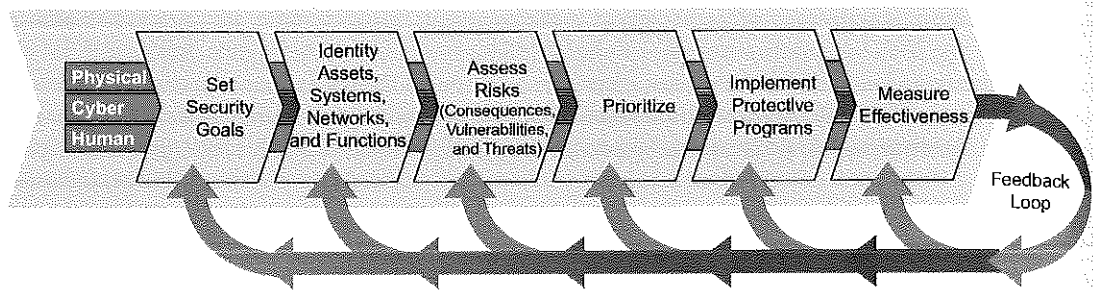


FIGURE 4-11 Operational framework for critical infrastructure and key assets protection. (Source: National Infrastructure Protection Plan)

(3) potential consequences of disasters, and (4) priorities for the protection of human capital, processes, physical infrastructure, organizational reputation, stakeholder confidence, and vital records that require immediate attention. Given the dynamic nature of the terrorist threat and the severity of the consequences associated with many potential attack scenarios, the private sector naturally looks to the government for better information to help make its crucial security investment decisions. The private sector is continuing to look for better data, analysis, and assessment from DHS to use in the corporate decision-making process.

Similarly, the private sector looks to the government for assistance when the threat at hand exceeds an enterprise's capability to protect itself beyond a reasonable level of additional investment. In this light, the federal government promises to collaborate with the private sector (and state and local governments) to ensure the protection of nationally critical infrastructures and assets; provide timely warning and ensure the protection of infrastructures and assets that face a specific, imminent threat; and promote an environment in which the private sector can better carry out its specific protection responsibilities.

A good example of partnership between the private sector and DHS is the sectoral information sharing and analysis centers (ISACs). ISACs are established by the owners and operators of a national critical infrastructure to better protect their networks, systems, and facilities within the coordination of DHS. ISACs serve as central points to gather, analyze, sanitize, and disseminate private-sector information to both industry and DHS. These centers also analyze and distribute information received from DHS to the private sector. The objectives of this program are to seek participation from all sector segments/entities, representation of all segments on ISAC Advisory Board in order to establish a two-way, trusted information sharing program between ISAC entities and DHS, and to provide cleared industry expertise to assist DHS in evaluating threats and incidents. Currently, ISACs exist and are being created in a variety of critical infrastructure sectors. The DHS document that defines the relationships between the private sector and DHS is the National Infrastructure Protection Plan (NIPP) of January 2006 and the subsequent sector-specific annexes that have been developed in 2007. These plans define mechanisms that serve to build those relationships and create a system where the government and private entities can work in harmony to achieve a higher level of protection for critical infrastructures and key resources of the United States. Table 4-2 gives a list of operating ISACs and their dates of establishment.

As mentioned earlier, the primary building block of this relationship is the formation of sectoral ISACs, which promote the coordination, cooperation, best practices, lessons learned, information flow, and information sharing among sector-specific entities. The NIPP defines another coordination body for the achievement of the public-private integration. Those coordinating bodies are called Critical Infrastructure and Key Resources Sector Coordinating Councils. They are private-sector coordinating

Table 4-2 Operating Status of Sectoral ISACs as of 2008

Sector	ISAC	ISAC Established
Agriculture and food	Food	February 2002
Banking and finance	Financial services	October 1999
Chemical	Chemical	April 2002
Commercial facilities	Real estate	February 2003
Drinking water and water treatment systems	Water	December 2002
Emergency services	Emergency management and response	October 2000
Energy	Electric	October 2000
	Energy	November 2001
Government facilities	Multistate	January 2003
Information technology	Information technology	December 2000
	Research and education network	February 2003
Telecommunications	National Coordinating Center for Telecommunications	January 2000
Transportation systems	Public transit	January 2003
	Surface transportation (rail)	May 2002
	Highway	March 2003
	Maritime	February 2003

Source: Government Accountability Office, GAO-07-39, Washington, DC, 2006.
ISAC, Information Sharing and Analysis Center.

mechanisms that comprise private-sector infrastructure owners and operators and supporting associations, as appropriate. Sector coordinating councils bring together the entire range of infrastructure protection activities and issues to a single entity.

The roles of the sector coordinating councils are to identify, establish, and support the information sharing mechanisms (ISMs) that are most effective for their sector, drawing on existing mechanisms (e.g., ISACs) or creating new ones as required. The NIPP also creates Critical Infrastructure and Key Resources Government Coordinating Councils, which are government coordinating councils for each sector comprised of representatives from DHS, the sector specific agency (SSA), and the appropriate supporting federal departments and agencies. The government coordinating councils work with and support the efforts of the sector coordinating councils to plan, implement, and execute sufficient and necessary broad-based sector security, planning, and information sharing to support the nation's homeland security mission.

As indicated by the NIPP, the private sector will be engaged by DHS, in collaboration with the relevant SSAs, to promote awareness of and feedback on the NIPP framework and to solicit their involvement in the national CIP program. The private sector will also be working with the appropriate SSAs to begin implementation of the sector-specific plans (SSPs) for their sectors. As the interim NIPP is implemented, the private sector will be provided with more coordinated data calls from government agencies, enhanced engagement through sector coordinating councils, and subsequent versions of the NIPP and SSPs will reflect discussions among DHS, the SSAs, and other stakeholders, including the private sector. The NIPP serves as a guide for the private sector to identify and implement the procedures to protect the critical infrastructure against specific threats and the general threat environment. There are five major

goals identified in the plan, and objectives to meet those goals are also listed. Those goals and the respective objectives are as follows:

- Goal 1: Protect CI/KR against plausible and specific threats. Objectives to meet this goal include:
 - Increase awareness of the threat environment across CI/KR sectors
 - Integrate threat and vulnerability information into specific vulnerability reduction prioritization decisions
 - Use vulnerability assessment information when responding to specific threats
 - Identify and implement protective measures against specific threats
- Goal 2: Long-term reduction of CI/KR vulnerabilities in a comprehensive and integrated manner. Objectives to meet this goal include:
 - Develop and maintain comprehensive national inventory of CI/KR assets and vulnerabilities that includes cyber, physical, and human aspects of each asset, including intangibles
 - Complete mapping of interdependencies among assets and across CI/KR sectors
 - Conduct vulnerability assessments for the nation's critical infrastructure and key resources for both specific and general threats
 - Integrate infrastructure protection activities with those called for in other national-level plans to avoid overlaps and gaps
 - Reduce general vulnerabilities within and across sectors where needed
- Goal 3: Maximize efficient use of resources for infrastructure protection. Objectives to meet this goal include:
 - Prioritize possible protective measures considering return on investment in light of inherent vulnerabilities, existing protective measures, and (when applicable) threat information
 - Encourage and support SSA responsibility for sectors to leverage sector-specific expertise
 - Identify market-based incentives for voluntary action by owners and operators
 - Ensure lessons learned and best practices are captured and shared for evolution into sector-accepted operational practices over time
- Goal 4: Build partnerships among federal, state, local, tribal, international, and private-sector stakeholders to implement CIP programs. Objectives to meet this goal include:
 - Delineate roles, responsibilities, and accountability for actions
 - Develop necessary organizations, staffing, and training to carry out responsibilities
 - Request appropriate authorities and funding to allow actions to be implemented
 - Establish mechanisms for coordination and information exchange among partners
 - Develop mechanisms for tracking involvement and progress
- Goal 5: Continuously track and improve national protection. Objectives to meet this goal include:
 - Develop mechanisms for tracking national- and sector-level vulnerabilities and progress in reducing those vulnerabilities
 - Make infrastructure protection activities and metrics part of the organization's overall operational metrics to reinforce the importance of CIP initiatives and activities
 - Develop a national-risk profile (a high-level summary of the risk and protection for all sectors) to align threats with strategic decision making
 - Develop an information-sharing system to support rapid dissemination of lessons learned

These goals are to be achieved using the national risk management framework as defined by the NIPP. The framework is similar for specific and general threat environments; therefore, we will not address both frameworks separately.

DHS has acknowledged that it is well known that effective protection of the critical infrastructure in the United States is only achievable through direct involvement of and strong partnership with the private sector. The private sector is not only an integral part of the national infrastructure protection effort, but lies in the center of all protection strategies designed by DHS. That said, DHS is responsible for creating the environment where public- and private-sector entities talk to each other and work together to achieve a well-established national goal. Understanding the needs of each sector, building trust among officials and decision makers, making plausible assumptions, and setting realistic milestones are all key success factors. The real challenge is addressing cross-sectoral vulnerabilities due to interdependencies where involvement of multiple sectors is necessary for sustainable protection of a critical infrastructure and creation of realistic recovery objectives and procedures. Creation of cross-sector vulnerability assessment teams and utilization of multiple-sector expertise are critical to successfully plan for contingencies that may simultaneously hit interdependent critical infrastructures.

Corporate Crisis Management, Business Continuity, and Contingency Planning: The New Cost of Doing Business

September 11 was the most devastating day in modern history for American corporations. The attack in New York City was a direct attack on not only the symbols of corporate America, but also on the businesses themselves. The private sector lost human resources, expertise, buildings, office space, data, records, and revenue. Some of these losses were irreplaceable, such as people. The affected companies also suffered time-dependent and continuous losses such as business interruption, loss of customer trust, and employee loyalty. The property and human losses could not have been prevented because the private sector itself could not have stopped the hijacked planes from crashing into the towers. However, effective corporate crisis management and business continuity planning absolutely could have, and in many places did, minimize the continuous losses.

To put this discussion in perspective, the statistics and charts shown in Figure 4–12 illustrate the vulnerability of the private sector in terms of terrorist actions. The Department of State report *Patterns of Global Terrorism* reports on the total number of facilities struck by international terrorist attacks. The statistics show attacks with respect to the year they occurred and the type of facility struck (e.g., private sector, government, diplomatic, military). These figures are important because they show changing trends in the types of facilities terrorists have chosen to attack. There is a common belief that terrorists are more likely to attack military and government facilities, because of the stated political ideologies of the terrorist groups. However, the facts prove this theory wrong. In actuality, it is the soft-target private-sector facilities that have most commonly been victimized by the scourge of terrorism.

Clearly, a reduction in the number of attacks on businesses worldwide occurred after 2001. This reduction may be attributable to several factors that have changed since that time. One of these factors is the increased global effort to reduce terrorist acts. This effort is primarily led by the United States and its allies, which are the most likely targets but which also have spent billions on preventing such attacks. As terror cells become more and more international and decentralized, international cooperation and intelligence sharing become critical to prevent acts of terrorism. Since 2001, significant amounts of resources have been allocated to achieve this goal, and this may serve as a contributing factor to the reduced number of terrorist attacks.

However, the preceding explanation does not account for why the reduction in the total number of attacks to businesses is steeper compared to other potential targets. As seen in Figure 4–12, the number of terrorist attacks aimed at businesses was reduced from 408 in 2001, to 122 in 2002 and 93 in 2003,

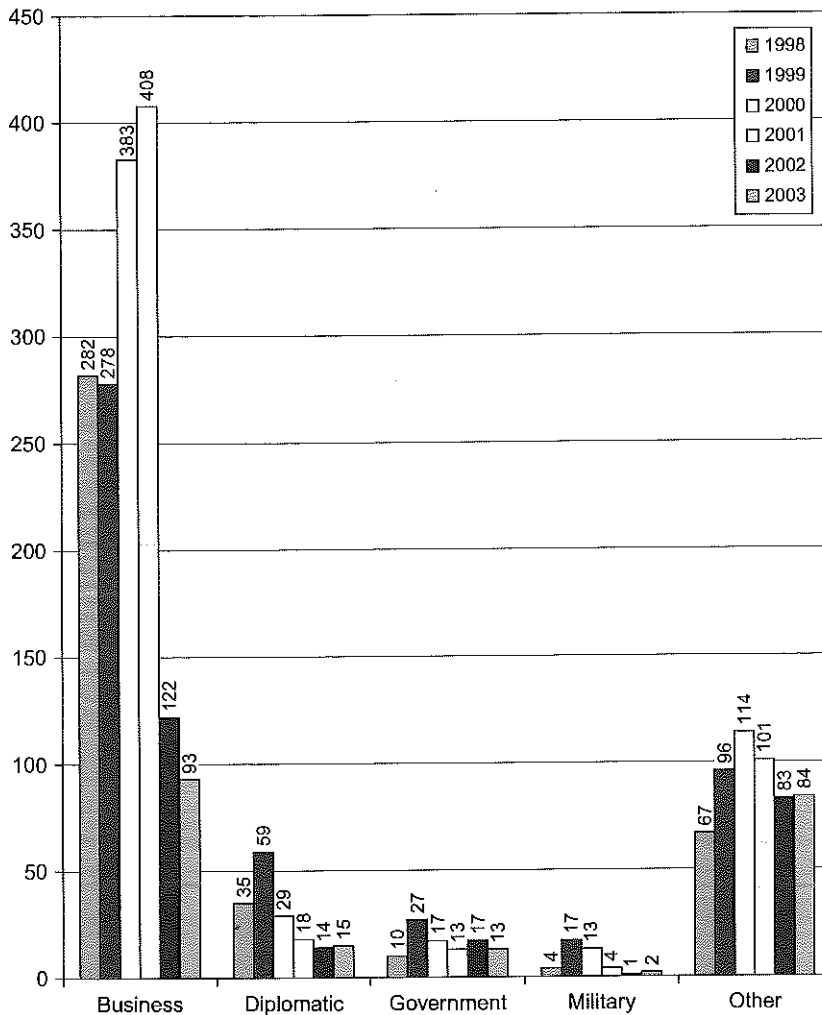


FIGURE 4-12 Total facilities attacked by terrorists (worldwide), 1998-2003. (Source: Department of State, "Patterns of Global Terrorism," 2003)

whereas such reductions were not as significant for diplomatic facilities, government buildings, or military or other facilities.

Businesses have historically been targets of terrorists primarily because they have been perceived as soft targets that are easier to attack and minimally protected. After the 9/11 attacks, the vulnerability of businesses to disasters such as terrorism became obvious. Businesses learned through tragic experience that they constitute a potential target for terrorists. So they began to invest more into their security, risk management, crisis management, and business continuity programs. Research shows that all sophisticated terrorists carefully observe their prospective targets before deciding on their actual target.

ANOTHER VOICE: SAFETY AND SECURITY CONCERNS IN THE PRIVATE SECTOR.

Security in Public vs. Private Sectors

The phone rang at 15 minutes before 3 AM. It was January 26, 2007. Sound asleep, I instinctively reached for my phone, wondering who could be calling at this hour. It was little surprise to me that it was my boss on the line. He was notifying me that an explosion had just occurred outside the entrance of one of our hotels in South Asia. An unidentified man attempted to penetrate hotel security. Strapped with a homemade explosive device, he was confronted by our guards who prevented access to the property. A scuffle ensued and the bomber detonated the device. The security guard was killed instantly alongside the bomber and seven bystanders were injured.

Through the system we had established years earlier, all of our crisis management team members were on a conference call within 15 minutes. We concluded the conference call an hour later with tasks assigned to each member. The team convened again a few hours later to report on their assignments. Since the damage to the hotel's building structure was minimal, the hotel was able to resume its normal operations later that day. Later, a relief fund was set up to help the deceased employee's family.

This is an example of one of those phone calls you do not wish to receive, regardless of the time of day. A phone call like this precipitates a crisis lasting anywhere from one day to several weeks. Everyone in the security department will be tested dealing with this on a 24-hour basis. It is our employee, our company, our reputation, after all.

There is little distinction between the security responsibilities of government agencies and private sector entities. Both protect people, facilities, assets, and reputation. However, the ramifications are far more complex for the private sector when it comes to dealing with the aftermath of a crisis. When working in the government sector, there is little concern about the stock performance, shareholders, a potential increase in insurance premiums, public relations disasters, or lawsuits by customers. These elements can be extremely challenging for someone who makes the decision to cross over into the private sector.

In a corporate crisis environment, pressure comes from many areas. It most often manifests itself from stockholders, legal advisors, consultants, rank-and-file employees, customers and, naturally, competitors. Everyone is a stakeholder.

If FEMA had been a privately owned company and its directors performed in much the same manner that they did during Hurricane Katrina, FEMA's stock would have plunged and no insurance company would have dared to insure them again. Senior executives in the parent company (which would be the Department of Homeland Security in this example) and its board of directors would have fired them all and, needless to say, the PR department would have their own crisis trying to mitigate the negative publicity.

The Hurricane Katrina story could have been very different if it had been handled in an effective and efficient manner. When such disasters occur, mass evacuations and major rescue operations require extensive efforts. In this case, government waste was rampant and communication between agencies broke down. Politics obfuscated good judgment. Conversely, a private company has to be self-sufficient. Its contingency plans need to cover all aspects from start to finish. If a private company fails to manage a crisis effectively, profits will plunge, customers will not return, stock holders will sell, and the company will eventually go under.

Private companies have to have a strategic focus, think ahead, and prepare resources. They should assess the situation from the perspective of each stakeholder. Hurricane plans should include shelters both inside and outside of the facility, prenegotiated contracts with chartered airlines, and

(Continued)

ANOTHER VOICE: SAFETY AND SECURITY CONCERNS IN THE PRIVATE SECTOR (CONTINUED).

supplies such as food, beds, and toilets. Having these plans and provisions in place will boost customer confidence, increase business, please shareholders, and drive revenue. Everyone is happy.

Another aspect to consider is that many companies are global, thereby expanding the horizon and adding more elements to the crisis plan. Different parts of the world involve various kinds of threats that might not exist in corporate America. Wars, government instability, foreign languages, customs, laws, and restrictions need to be considered and evaluated in order to allow for fast and seamless reaction during a crisis.

A private company's plan needs to be all encompassing, including preventative methods as well as solutions. A comprehensive review of the business continuity plan is always needed after a crisis comes to an end.

Last but not least, cooperation from company executives is the key. Without it, no crisis plan can function as they always require top down support, money, time, and resources.

Jack Suwanlert

Director — International Loss Prevention

Marriott International Inc.

Corporate Security

Terrorists often select targets they consider to be soft — that is, those that are easy to hit. Therefore, it is not only the operational benefits gained by corporate security programs, but also their visibility, that serves as a deterrent for terrorists. For example, if a terrorist organization aims to damage a country's tourism sector, it may attempt to detonate a bomb in a hotel. As terrorists determine which hotel to attack, they will likely consider several alternatives and select that which has the least visible security. Overall, business sector preparedness is much greater today than it was in 2001, which is one obvious explanation for why attacks on business targets have decreased. This reduction can be attributed to businesses "hardening" themselves against their former "soft target" image.

Another factor that is changing private-sector perceptions is insurance and losses. The Insurance Information Institute has plotted the distribution of different types of insured damages from the September 11 attacks and it presents some interesting facts (see Figure 4-13). The most notable figure in this graph is the amount of damage from business interruption: \$9.8 billion (30% of all estimated damage). This is a significant portion of the damage, one over which we have some degree of control if adequate business impact analysis and business continuity planning activities can be established before the crisis. One needs to remember that despite significant losses in the 2001 attack, due to the 1993 WTC bombing and the potential Y2K threat, private-sector members located inside the WTC complex were among the more prepared stakeholders compared to private organizations in other parts of the nation.

Insurance companies are taking into account the existence of preparedness programs as they calculate the premiums and business interruption insurance coverage for private corporations. Due to the heavy losses they incurred after 9/11, insurance companies looked for ways to limit their exposure to potential future catastrophic losses caused by acts of terrorism. Since re-insurers were also hit hard with the costly claims of 9/11, one option was to exclude terrorism coverage completely from the portfolio of available insurance product. At this point, the U.S. government intervened and passed the Terrorism Risk Insurance Act of 2002 (TRIA), which essentially mandated enrolled insurance companies to offer terrorism insurance

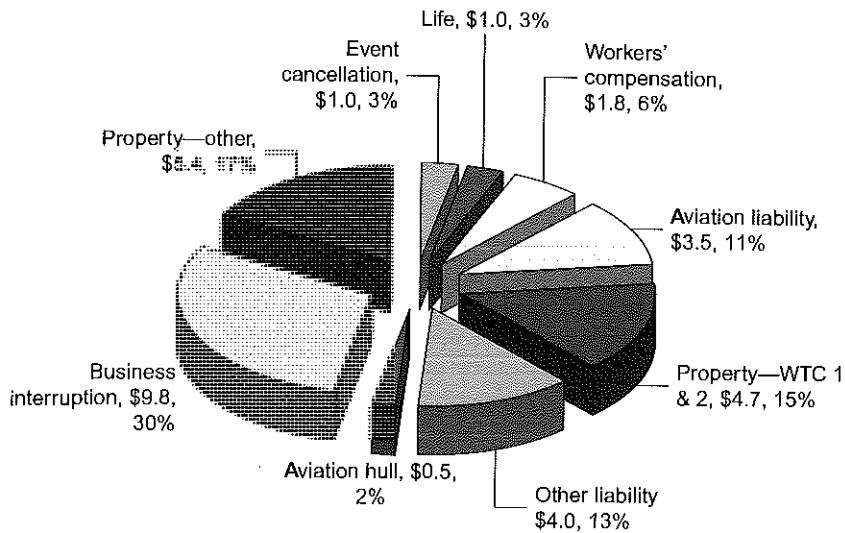


FIGURE 4-13 September 11, 2001, distribution of losses by insurance type (\$ in billions). (Source: Insurance Information Institute, 2004)

and in exchange the U.S. government would take the responsibility of paying a significant portion of claims for terrorism incidents that meet a certain criterion. The initial act was designed as a temporary provision to the insurance industry until it figures out a feasible way to offer terrorism insurance and was set to expire by the end of 2005. However, the act was amended in both 2005 and 2007, extending its current benefits to consumers until 2014. The latest version of the act is governed by the following rules:

- The insurance companies enrolled have to make terrorism insurance available to all commercial customers if demanded. The customers may opt to exclude terrorism if they wish to reduce the premiums of their insurance coverage.
- The definition of an “act of terrorism” is that of the Secretary of Treasury.
- The U.S. government is ensuring assistance to the industry of up to \$100 billion a year for terrorism-related insurance claims for which the program trigger criteria have been met.
- For a specific incident to qualify for protection by the U.S. government, the combined losses of the incident should exceed \$100 million.
- The insurance companies agree to pay up to 20% of the direct earned premium for each year per claim before federal assistance becomes available. The government agrees to pay 85% of the portion of the claim that exceeds the insurer’s deductibles.

With the launch of the Terrorism Risk Insurance Act, in a sense the U.S. government has agreed to act as a re-insurer of insurance companies by guaranteeing to absorb a significant amount of losses after terrorist incidents that qualify to trigger the program. One major difference between the 2002 and 2007 versions of the act is that the 2002 version only provided coverage for “international” terrorist attacks, whereas the 2007 version includes acts of “domestic” terrorism (Government Accountability Office, “Terrorism Insurance: Effects of the Terrorism Risk Insurance Act of 2002,” 2004; Marsh, 2008).

The “Another Voice” section by Jack Suwanlert provides a comparison of how security is handled differently by public and private entities.

Other Homeland Security Structures

The maintenance of a safe and secure nation depends upon the actions and activities of many more organizations and individuals than those associated with government (as detailed in the preceding text of this chapter). The role of these “other” organizations has been known for quite some time, but was officially recognized in the NRF which expanded its treatment to include nongovernmental groups. These include the private sector, faith-based organizations, community organizations, voluntary organizations, and individuals, among others.

The American Red Cross is probably one of the most significant of these other supporting entities. The American Red Cross is a key player in U.S. emergency management preparedness and response, and is currently a supporting agency to the mass care functions of ESF #6 — Mass Care, Emergency Assistance, Housing, and Human Services under the NRF. As the nation’s largest mass care service provider, the American Red Cross provides sheltering, feeding, bulk distribution of needed items, basic first aid, welfare information, and casework, among other services, at the local level as needed. In its role as a service provider, the American Red Cross works closely with local, tribal, and state governments to provide mass care services to victims of every disaster, large and small, in an affected area.

VOADs, or voluntary organizations active in disasters, are associations of NGOs who have a common goal of assisting in major emergencies and who work together to better coordinate their efforts in times of need. At the national level, the National Voluntary Organizations Active in Disaster (NVOAD) is a consortium of approximately 50 national organizations and 55 state and territory equivalents that typically send representatives to the FEMA’s National Response Coordination Center to represent the voluntary organizations and assist in response coordination. Members of NVOAD form a coalition of nonprofit organizations that respond to disasters as part of their overall mission. Each state maintains a VOAD which includes organizations that work statewide, and to a growing degree communities are establishing community VOADs.

Individual NGOs are becoming a vital part of the nation’s response and recovery network, providing shelter, emergency food supplies, counseling services, and other services to support official emergency management organizations and agencies. They often provide specialized services that help individuals with special needs, including those with disabilities, and provide resettlement assistance and services to arriving refugees. NGOs also play key roles in engaging communities to integrate lawful immigrants into American society and reduce the marginalization or radicalization of these groups. Through the communities, and in some cases official community organizations, many homeland security needs are met. There are a number of established community-based organizations that act toward this common goal, including Neighborhood Watch, the CERTs, and other civic and professional organizations (such as the Lions Club or Rotary International.) These groups may possess the knowledge and understanding of the threats, local response capabilities, and special needs within their jurisdictions and have the capacity necessary to alert authorities of those threats, capabilities, or needs. Additionally, during an incident these groups may be critical in passing along vital incident communications to individuals and families and to supporting critical response activities in the initial stages of a crisis.

Finally, individuals and families take the basic steps to prepare themselves for emergencies, including understanding the threats and hazards that they may face, reducing hazards in and around their homes,

preparing an emergency supply kit and household emergency plans (that include care for pets and service animals), monitoring emergency communications carefully, volunteering with established organizations, mobilizing or helping to ensure community preparedness, enrolling in training courses, and practicing what to do in an emergency. These individual and family preparedness activities strengthen community resilience and mitigate the impact of disasters. In addition, individual vigilance and awareness can help communities remain safer and bolster prevention efforts (DHS, 2010).

Conclusion

Emergency management in the United States was forever changed by the events of September 11, 2001, and many would say for the better. This opinion is in wide dispute, however, for a variety of reasons that are unique to each successive level of government, primarily in terms of a loss of dedication to more traditional, nonterrorism hazards. Regardless, it is undeniable that emergency management, and now homeland security, has been thrust to the forefront of the public and the policy agendas, and is one of many primary concerns of federal, state, and local administrators.

For local governments, terrorism is a new threat that greatly expands their already strained safety and security requirements and adds to a long list of needs and priorities. But the threat of terrorism is one that cannot be ignored, and state and local governments have not done so. At these local levels, the dramatic increase in funding that has provided training and equipment to local first responders has been greeted with mixed emotion. Many recipients feel it has remained singular in focus, addressing mainly the terrorism threat. Historically, and including the 2001 terrorist attacks, natural disasters have taken many more lives and have caused much more financial harm. These natural and technological hazards will continue to pose a threat and will continue to result in disaster. It is undeniable that a more comprehensive approach to building the capacity of the local government to respond would provide more long-term benefits. Whether or not these local government agencies will be better prepared overall remains to be seen.

At the state level, governors and state emergency management directors have resisted the push toward local control and have been accused on many occasions of holding out federal homeland security funding from the local governments for which it was intended. In many circumstances it was determined that these accusations were correct. But state officials feel the same concerns about the terrorist threat as do the locals, and have called for better coordination, new communications technologies, and, as always, more and more funding.

At the federal government level, the changes that have resulted with regard to emergency management have been the most visible — and the most dramatic. The creation in 2002 of the DHS, which absorbed FEMA and most of the former federal government disaster management programs, has resulted in DHS taking the lead in addressing these new issues. This new agency has been tested on several occasions, as is displayed throughout this chapter, and has enjoyed relatively mixed but primarily positive success. Under the leadership of DHS, many federal disaster response, recovery, and mitigation programs have so far fared well, although their priorities have seen a drastic shift to accommodate the new terrorist concern. In general, the United States has taken the typical response to a new problem in that it reorganized and committed huge amounts of funding to reducing the newly recognized problem.

The “Select Websites for Additional Information” sidebar lists websites about the organizations discussed in this chapter.

Select Websites for Additional Information

AmeriCorps: <http://www.americorps.org>
Animal and Plant Health Inspection Service: <http://www.aphis.usda.gov>
Citizen Corps: <http://www.citizencorps.gov>
Corporation for National and Community Service: <http://www.nationalservice.org>
Department of Homeland Security: <http://www.dhs.gov>
Federal Emergency Management Agency: <http://www.fema.gov>
Medical Reserve Corps: <http://www.medicalreservecorps.gov>
Office for Domestic Preparedness: <http://www.ojp.usdoj.gov/odp>
National Association of Counties: <http://www.naco.org>
National Governors Association: <http://www.nga.org>
National League of Cities: <http://www.nlc.org>
Neighborhood Watch: <http://www.usaonwatch.org>
Senior Corps: <http://www.seniorcorps.org>
Transportation Security Administration: <http://www.tsa.dot.gov>
United States Coast Guard: <http://www.uscg.mil>
United States Conference of Mayors: <http://www.usmayors.org>
United States Customs Service: <http://www.cbp.gov>
United States Secret Service: <http://www.secretservice.gov>
U.S.A. Freedom Corps: <http://www.usafreedomcorps.gov>
Volunteers in Police Service: <http://www.policevolunteers.org>

Key Terms

- Adjutant General:** The chief administrative officer of a major military unit (the National Guard, in the case of the state government).
- Civil Rights:** The rights belonging to an individual by virtue of citizenship.
- Cybersecurity:** The protection of data and systems in networks that are connected to the Internet.
- Directorate (DHS):** A major division within the Department of Homeland Security that oversees several offices addressing a similar broad-reaching topic (like Science and Technology, for instance).
- Ombudsman:** A person or an office that investigates complaints and mediates fair settlements.
- Superfund:** Another name for the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), which sought to define liability for individual toxic waste sites and then clean up those sites from a fund built from taxes and fines.

Review Questions

1. What is the principal role of emergency management in homeland security? Identify the other major players and their roles in homeland security.

2. Identify the three directorates of the Department of Homeland Security and discuss their respective missions.
3. Discuss the homeland security role of federal agencies other than DHS.
4. Make the case for retaining an all-hazards approach to emergency management that includes terrorism and its associated hazards as one of many hazards. Discuss the pros and cons of such an approach as it relates to all four phases of emergency management: mitigation, preparedness, response, and recovery.
5. If you had been in charge of establishing the Department of Homeland Security (DHS), would you have included the Federal Emergency Management Agency in DHS or would you have retained it as an independent executive branch agency reporting directly to the president? Discuss the possible ramifications of moving FEMA into DHS in terms of FEMA's mission, programs, and reporting structure. The director of FEMA no longer reports directly to the president; will this be a problem in future natural and terrorist-related disasters? What will the impact of FEMA's inclusion in DHS be on the nation's emergency management system?

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