DomPrep Action Plan

Building Resilient Regions for a Secure and Resilient Nation

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FOREWORD

Near the end of 2011, select members of the DomPrep40 – an interactive advisory board of insider practitioners and opinion leaders – met to discuss the key components of community resilience (see Appendix A). This collaborative effort included discussion on building stronger regions and the effects caused by reduced Tier II and Tier III Urban Area Security Initiative (UASI) grants. Following that discussion, DomPrep and select DomPrep40 Advisors proceeded to plan a series of six regional events and corresponding surveys in 2012 to learn from practitioners what resilience efforts are currently in place and what still needs to be addressed. The events and surveys were conducted as follows:

- Northeast Region – Workshop held in Hartford, Connecticut
- Midwest Region – Workshop held in Indianapolis, Indiana
- Southwest Region – Four conference calls were conducted
- West Region – Online workshop hosted
- Southeast Region – Online survey distributed and questionnaire
- Mid-Atlantic Region – Online survey distributed and questionnaire

Each event was attended (in person, online, by conference call, or by survey) by an audience of key professional decision makers from local, state, and federal government, non-governmental organizations, and private-sector partners (see Appendix C). These events provided both qualitative and quantitative feedback for the report.

Leaders from multiple disciplines associated with protecting the nation's homeland security met through workshops, teleconferences, and surveys to debate and discuss the asymmetrical nature of resilience. In this report, entitled *Building Resilient Regions for a Secure and Resilient Nation*, the topic of resilience has been documented and studied in depth. John F. Morton, noted author in the field of homeland security analysis, highlights comments and concerns of participants from across the nation, and brings logical form and coherent reasoning to the surface.

Five clear points are described in the summary and supported within the report that provide a tactical plan for sustaining a resilient nation. Going forward, several key considerations must be addressed: funding to bolster collaboration and sustain horizontal collaborative networks; statutory authority to support sub-state regionalization efforts; and enabling frameworks to assist public-private initiatives. Professional development for homeland security and emergency management personnel must not only continue but also be sustained at all levels of government.

All Americans and every level of government have experienced "common sovereignty" over the issue of homeland security since 2001. Resilience is a product of collaboration beginning at the local level, and networks of partners, associations, agencies, small businesses, non-profits, and faith-based

organizations form the nucleus of resilient capability. This research shows that those networks have been connecting the dots for years, and noteworthy examples of collaboration, initiative, and innovation are cited. Driving the homeland security enterprise from a top-down political posture points dramatically to the need for a balancing bottom-up approach if resilience is to be maintained.

Resilience is about mobilizing human potential, especially at the individual citizen and local government level. Success will be based on inserting the private sector, establishing a working governance system, creating collaborative contracts, changing state statutes, and having the capacity for response agencies to be part of a regional organization.

The resilience process over the years has been empowering. Resilience is about local capacity building as demonstrated in the ability to recover over a shorter period of time. However, the basis of resilience is sustainability, which requires some level of funding to maintain capacity developed at the local level of government.

It is ironic that resilience is the emerging battle cry considering that it is often defined as "the ability of an ecosystem to return to its original state after being disturbed" (dictionary.reference.com). That definition does not explain what the Department of Homeland Security is doing now across the United States, nor is the nation where it was prior to 11 September 2001. After investing $34 billion tax dollars in the security of the country, the un-funded Urban Area Security Initiative (UASI) Regions are now told to keep sustainability going by nothing more than innovation and collaboration.

The topic of this report is important because the "homeland security concept" is not just about what building or place must be saved at all cost, but rather the resilience of the people, the businesses, the institutions, and the critical infrastructure across America. Workshop participants voiced the belief that the federal government should find a way to provide preparedness/resilience funding in a non-competitive way. Sustainably funding need not be overly expensive – several million dollars in sustainability support for each of the 64 UASI regions is far less expensive than the current plan and would continue to strengthen the overall resilience of each region.

In addition, the federal grant process has been complicated and often counterproductive to the execution of programs. Federal guidance should take the form of a framework that would enhance the capability of local responders and planners to respond to diverse municipal needs. Needless to say, there is a lot of work ahead to establish a consistent homeland security concept across and between regions.

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SUMMARY

Federal, state, local, tribal, territorial, nongovernmental, and private-sector organizations and agencies share a common national interest in the safety and security of the United States and its diverse population. Some components of the homeland security enterprise are now facing the inevitable reduction of investment in the initial establishment of capabilities and struggling to realize sustainment strategies to maintain the capabilities. Recently, the 2012 federal budget effectively eliminated grant funds for jurisdictions in half of the Tier II regions of the Urban Area Security Initiative (UASI), leaving those jurisdictions and their states in no position to pay for fully sustaining capabilities. In the current climate of budget deficits, such cuts to federal preparedness grant dollars are almost certain to continue their dramatic decline.

"States and localities are facing mounting fiscal challenges," stated former Federal Reserve Chairman Paul Volker's State Budget Crisis Task Force in a July 2012 report. "While the extent varies significantly state by state, there can be no doubt the magnitude of the problem is great and extends beyond the impact of the financial crisis and lingering recession." Determining how states and jurisdictions will be able to maintain capabilities that had been created and funded over the past decade by more than $34 billion in federal preparedness grants is now the homeland security enterprise's fundamental resourcing challenge.

Throughout 2012, *DomPrep* addressed this challenge by conducting a series of surveys and hosting regional workshops and teleconferences across its nationwide network of homeland security practitioners to canvass the thinking in the field on how to sustain preparedness capabilities. *DomPrep* held workshops in the Northeast and Midwest regions, conducted a series of teleconferences with practitioners in the Southwest region, hosted an online workshop in the West region, and conducted surveys in the Southeast and Mid-Atlantic regions.

The survey results and input from the workshops and conferences support the current U.S. Department of Homeland Security (DHS) and Federal Emergency Management Agency (FEMA) declaratory policy on homeland security, which is moving toward bottom-up preparedness based on networks of resilient communities.

From these results, *DomPrep* has derived five key findings that must be brought to the attention of policymakers at all levels of government:

I.   Regardless the amount of funding, the federal government must target what remains of grants, other financial resources, and technical assistance on efforts supporting cross-jurisdiction, cross-agency, and cross-discipline collaboration for: threat assessment, risk analysis, planning, exercises, grant targeting processes, development of performance metrics and performance assessment, and mutual aid.

II. For their part, state governments and local jurisdictions can best leverage increasingly scarce resources by reallocating them toward developing and sustaining horizontal collaborative networks at the intrastate, regional level.

III. Intrastate regional collaborative structures and processes should be based on statewide statutory authorities whose priorities are primarily driven bottom-up by local jurisdictions, as opposed to top-down by the federal government.

IV. All levels of government must establish effective enabling frameworks for public-private preparedness collaborations that utilize the time, talents, and resources of private-sector and volunteer organizations.

V.   Professional development – training, education, and exercises – of homeland security and emergency management, particularly at the local level, must continue to be developed and sustained by all levels of government.

I. COMMUNITY RESILIENCE-BUILDING
AS THE POLICY CONTEXT

At the Northeast workshop, former West Hartford Fire Chief and homeland security coordinator for Hartford's Capitol Region Council of Governments, William Austin, identified "common sovereignty" as a new governance paradigm for the homeland security enterprise and its mission partners. "Common sovereignty is a term that explains how every level of government (local, state, and federal), every non-governmental organization, the private sector, and every citizen have a shared responsibility for the execution of homeland security activities."

At the same workshop, Michael Zanker, FEMA's former Senior Medical Officer, referenced Administrator Craig Fugate's "whole-of-community" approach toward "meta-disasters," where the first 24 to 72 hours of a catastrophic response is directed at stabilizing a "community."[1] Fugate wants to push that responsibility downward to the local level. This 2010 whole-of-community initiative aspired to lay the groundwork for building networks of resilient communities by developing personal and professional relationships among the mission partners for activities such as clearing debris, restoring power, and providing water, food, and medical care.

In 2011, Fugate's initiative rolled into the Homeland Security Council Resilience Directorate's Presidential Policy Directive-8. That "National Preparedness" directive currently serves as the policy context for guiding community resilience building. What follows, said Zanker, is focused federal funding toward making the connections to ensure community-centered resilience. Fugate's goal is to enable Americans to "get control over our own destiny."

Reinforcing Zanker's bottom-up point, Northeast workshop attendees offered their views that the local level was the appropriate place to start developing what some called "sustainability models." Because resilience is locally driven, communities must not only have "empowerment," but they also need to "partner up" into regional collaborative networks.

Feedback from all six regions reinforced the bottom-up theme, with "community" being the best starting point for driving regional resilience followed by the "sub-state" and "state" levels (Table 1). Members of "communities of function," to cite just one example, have the best organizational authority for their communities to achieve maximum capability. Although it is impossible to achieve 100 percent capability in

TABLE 1
What level is the appropriate starting point for driving regional resilience?

	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Community	44.7%	32.5%	33.9%	37.3%	57.7%	55.4%
Sub-state	26.6%	19.8%	15.3%	16.7%	13.5%	15.4%
State	11.7%	14.4%	22.0%	17.6%	15.4%	12.3%
Federal region	1.1%	7.2%	1.7%	1.0%	0.0%	6.2%
Washington	2.1%	0.9%	0.0%	1.0%	0.0%	0.0%
Private sector	2.1%	0.9%	1.7%	7.8%	0.0%	3.1%
Unsure	11.7%	24.3%	25.4%	18.6%	13.4%	7.6%

times of crisis, decentralizing data offers real-time accuracy for local as well as U.S. Department of Defense capabilities.

In light of current budget constraints, survey results show that regions across the nation are making a concerted effort to build on existing regional resilience capabilities (Table 2). However, the large number (more than 25 percent from each region) of participants who are "unsure" whether their region is attempting to build on existing regional resilience capabilities raises additional questions about the roles and collaborative efforts of regional partners.

A firefighter in the Mid-Atlantic region who answered "unsure" to this question offered additional information: "there are very strong subregions in my region and they drive a lot of the coordination of the exercises and planning." However, she continues, "If you are just outside of that strong subregion, it is very common to be left out and not be able to participate nor learn…. The dichotomy is great and may never be equalized, but the realization that there is one needs to be addressed."

In several survey questions, respondents were given the opportunity to answer "unsure." Most of the participants who chose this option did so because they were unaware of planning efforts being made within their region. It is imperative that all stakeholders are involved and information is shared to ensure truly resilient regions across the nation.

II. LEVERAGING REGIONAL RESOURCES

The Legacy of Preparedness – MMRS as a Preferred Model

A large number of practitioners at the Northeast workshop and participants in other regions agree that grant contracts such as FEMA's Metropolitan Medical Response System (MMRS) program have provided a good bottom-up model for regional collaboration (Table 2 and 3). "The MMRS program," reads the FEMA website, "provides funding to local or sub-state regional jurisdictions to support and enhance the integration of local emergency management, health, and medical systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident."

As experienced in Connecticut and Massachusetts, and noted by an MMRS Coordinator in the Midwest, the MMRS can achieve a lot of capability and continue these efforts very effectively with only a small amount of funding. The requirement for deliverables also has made MMRS particularly successful. According to the FEMA website, jurisdictions must show that "investments will increase the effectiveness of emergency preparedness planning and response for the whole community":

> The responsibilities of the SAA [state administrative agency] are to prepare, with the assistance of the MMRS Program Manager(s), one Investment that clearly identifies the state's support for the integration of local emergency management, health, and medical services to improve the local response to mass casualty events using MMRS grant funds; ensure that MMRS is represented on State Homeland Security Working Groups and UAWGs [Urban Area Working Groups] so that the interests of the local health and medical communities are well represented; [and] ensure all neighboring MMRS sub-grantees shall actively and demonstratively collaborate to develop a regional plan that supports the MMRS mission in cases where MMRS sub-grantees are located adjacent to one another.

One example worth noting was Connecticut's Region 3 being able to leverage MMRS grants to develop regional doctrine, policy, and training, and to create a regional structure and plan. That region was particularly successful with its Medical Reserve Corps strategy, whose process set the precedent for establishing the Corps statewide. The effective regional Medical Reserve Corps structure has three sub-units

TABLE 2
Given the current budget constraints, is your region attempting to build on existing regional resilience capabilities?

	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Yes	59.4%	45.1%	47.5%	56.0%	60.8%	59.1%
No, it had to suspend such capabilities	6.3%	8.1%	5.1%	8.0%	5.9%	7.6%
No, it has never had such capabilities	6.3%	3.6%	8.4%	2.0%	5.9%	6.1%
Unsure	28.0%	43.2%	39.0%	34.0%	27.4%	27.2%

that provide town-specific volunteers upon which clinics and other mission partners can call. Although the Connecticut Department of Public Health's mass dispensing areas are a success at the regional level, the coordination link from regions to state "is broken" to some extent due to staffing reduction and loss of key people.

As MMRS expanded its scope throughout Connecticut, the program in the state benefitted from the health systems' and hospitals' willingness to participate. All five regions have mass vaccination and mass distribution plans. Regarding Emergency Support Function 8 (Public Health and Medical Services), the requirements of the grant process for uniformity drove the 19 public health districts in Connecticut Region 3 to take a broader regional approach. In addition, the health districts formed collaborative relationships with emergency management departments and first responder organizations. Altogether, these collaborations have greatly increased the influence of health districts.[2]

In another example, MMRS funding assisted small towns in western Massachusetts in forming an emergency medical services (EMS) infrastructure. Because a volunteer group initiated this regional thrust, the drawback was that it lacked a focused effort. As a result, the region had no fiduciary mechanism for regional allocation. Yet, as hospital regions tend to mimic EMS regions, participating healthcare systems actually have the potential to provide the basis for some degree of governance.

Central and western Massachusetts already have regional healthcare committees that share resources via 24 statewide Regional Emergency Planning Committees, each covering several communities. Following the terrorist attacks on 11 September 2001 and the bioterrorism threat that arose from the subsequent anthrax attacks, the Regional Emergency

TABLE 3 If federal funds were to become available in the future for regional resilience, what would be the most effective means for dispensing them?						
	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Competitive grants	31.6%	35.1%	29.3%	34.3%	38.4%	36.9%
Contracts - e.g., similar to the Metropolitan Medical Response System (MMRS) Program	53.7%	29.7%	41.4%	39.4%	40.4%	35.4%
Unsure	14.7%	35.2%	29.3%	26.3%	21.2%	27.7%

Planning Committees evolved from a leadership effort by the Harrington Hospital in Southbridge. Elsewhere, the MMRS grant to Springfield covered some hospitals, from which a regional hospital group developed, evolved, and was effective and sustainable at no additional cost.

Collaboration as the Fundamental Preparedness Grant Outcome
Although most participants were unsure if their regions have a disaster resilience action plan in place, most agreed that establishment of and support for collaborative networks should be a funding requirement for DHS, Department of Health and Human Services (HHS), Centers for Disease Control and Prevention (CDC), and Department of Transportation preparedness grants (Table 4). The funding model must be multi-dimensional and inclusive of all players.

Participants, in general, believe that the most promising programs for collaboration are the combined CDC Public Health and Emergency Preparedness (PHEP) and HHS Office of the Assistant Secretary for Preparedness and Response (ASPR) Hospital Preparedness Program (HPP) grants that now have a five-year performance period and are synchronized to enhance collaboration. According to the FEMA website, the SAA coordinates with state health representatives who work in the PHEP and HPP programs as well as the Strategic National Stockpile. Shortcomings to the HPP program have been noted only where hospitals persist in planning independently.

In contrast to the bottom-up-driven MMRS contracts, participants characterized UASI grants as a top-down model with a federally imposed definition of a region based on a one-dimensional risk – the threat of terrorist use of weapons of mass destruction. While the funding

TABLE 4						
Does your region have a disaster resilience action plan?						
	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Yes	30.5%	33.4%	31.6%	31.0%	42.3%	28.8%
No	12.6%	11.7%	14.0%	16.0%	15.4%	12.1%
In development	21.1%	14.4%	19.3%	15.0%	21.2%	25.8%
Unsure	35.8%	40.5%	35.1%	38.0%	21.1%	33.3%

flowed, UASI grants furthered regional collaboration and enabled regions to: identify risks, capabilities, and capability gaps; perform the region's strategic assessment and planning; and operationalize capabilities. Unfortunately, UASI funding has now decreased or been eliminated in many areas.

At the Northeast and the Midwest workshops, participants noted that some equipment grants also were able to further collaborative goals. The most obvious examples were those grants that provide command and communications interfaces, given the widely acknowledged priority importance of interoperable communications. Grant funding to Connecticut Region 1, for example, established a regional communications platform between communities and between disciplines. In the Midwest, participants noted how $10 million in federal preparedness grants to one Indiana county enabled working groups to implement a complete communications overhaul for all channels – police, EMS, fire, etc. – and a replacement program for all county radios.

Yet there is still an enduring downside to grants, despite the declared intent to support collaboration. Jurisdictions often are faced with competition rather than collaboration – focusing more on the dollars rather than on sustainment. Workshop participants voiced the need for the federal government to find a way to provide preparedness funding in a non-competitive way. The MMRS program, for example, constructs its contracts according to what recipients propose to do with the money. The performance assessment is thus based on whether the recipients delivered the outcome. As a result, competitive grants successfully built "pockets of preparedness" and "silos of excellence," notably in public health.

In many ways, the intergovernmental disconnects throughout the system are the result of top-down structures and processes imposed on local jurisdictions. As such, local authorities tend to perceive statewide

initiatives as competitive. Some officials in local jurisdictions complain that their counties do not provide them with sufficient preparedness funding. Other officials put forth the position that, because critical infrastructures in multiple regions are considered part of a greater metropolitan area, they should all receive regional resilience monies.

The workshops and discussions featured other familiar state-local criticisms of the preparedness grant process. Federal grant funds, of course, go to states for disbursement to local jurisdictions, which leads to a familiar complaint about the institutional bias of the SAA. Local jurisdictions also complain that states are sometimes slow to process grant requests to the cities and disburse funds or rulings to the regions. Cutbacks to state staffing are a major reason for those long delays.

Another common concern is the performance period disconnect, where sub-grantees have a performance period that is less than that of the grant. Participants maintained that the federal government must change grant guidance to align better with state and local fiscal timelines. Washington, therefore, should create grant "frameworks," not set specific requirements or directives. Rather than getting "wrapped around" the process, the federal government needs to tighten the scope of each grant and focus on the product – that is, the preparedness outcomes.[3]

Leveraging Federal Assets for Collaboration With Local Jurisdictions

Many workshop participants did acknowledge that local jurisdictions and sub-state regions can find collaborative economies by taking advantage of a local federal presence. The familiar examples are those involving the Federal Bureau of Investigation (FBI) and Joint Terrorism Task Forces. In Texas, for example, city fire departments in San Antonio and Austin have developed relationships with the FBI, the Joint Terrorism Task Forces' Weapons of Mass Destruction coordinator, and/or the Environmental Protection Agency for information sharing and relationship building.

In Indiana, one county in the state's Homeland Security Region 4 has two CDC centers and a number of federal agencies that have allowed it to create joint task forces and share regional funding. One federal initiative in Michigan leveraged the Coast Guard's expertise in contingency planning to develop and maintain planning committees with local agencies. By working closely with local officials on planning and exercises, both the Texas and the Indiana regions were able to foster relationships and determine what resources the communities were able to contribute in the event of a real disaster.

The general feeling among participants was that the federal government should strengthen FEMA regional programs to move beyond direct contact with only the states to also include better outreach to sub-state regional organizations. One participant suggested that DHS conduct FEMA regional workshops to discuss threat, hazard identification, and risk analyses.

Expanding Regional Assets

At various times, workshop participants stressed the importance of basing the determination of regions and the funding to support them on a business as opposed to a preparedness model. In other words, "respond as you train, and train as you respond." Any model must be part of a system that is used every day.

Local jurisdictions are finding ways to resolve the challenge of balancing the demands of regional preparedness with their day-to-day routine operations. In a San Antonio example, fire departments have established and used regional units formed from local assets. They have addressed the challenge by creating two response teams: the first for responses within its jurisdiction and the second for regional collaboration. Although priority often goes to preparedness within a jurisdiction, there are still handicaps in regional planning efforts due to short-staffing and a resistant culture.

One criterion for organizations is having the capacity to be part of a regional department, including participating in training on equipment and resources. Because localities cannot do it all in the current budget climate, jurisdictions have little choice but to leverage regional assets. One example was cited in Connecticut, where regions received federal funds through the state for fully equipped trailers for mass care. The individual municipalities took ownership of trailers, but it was understood that the trailers would remain regional assets. As a result, some communities created effective partnerships around a regional hazmat team.

Assets such as incident management teams have the ability to solve their own problems and manage incidents without federal support. Incident management teams, in fact, also have the potential to become all-hazards planning teams for regions. A component of the hazmat capability, for example, could be a police department's Type 1 bomb squad – having the ability to respond to simultaneous attacks with sophisticated equipment like robots for handling car bombs, bomb suits, diagnostic equipment, containment devices, highly trained bomb-sniffing dogs, and advanced monitors for weapons of mass destruction.

III. INTRASTATE REGIONAL STRUCTURES AND PROCESSES

One Federal Model Does Not Fit All

If sub-state regions are going to be part of a regional resilience construct, they still require guidance from the state and the federal regions. However, a caveat is in order. The federal government cannot create a model, impose it on states and local jurisdictions – as it did with the UASI regions – and then subsequently remove the financial support required to sustain it. A model produced by the federal government simply does not fit at the local level. Although states might be better than the federal government at creating an improved intrastate model, even models within a state can vary for different regions.

Rather than a doctrinal document that may be ignored, federal guidance should take the form of a framework – especially in light of diminishing federal preparedness grants.[4] In general, local authorities do not use "national documents" as frameworks. One participant from Texas went so far as to say that his office does not even use emergency support functions. One Northeast response stated that "Ready.gov is a miserable failure because it was marketed as a FEMA program."

Other participants, in contrast, spoke positively of the evolution of the National Infrastructure Protection Plan from a "plan" to the National Protection Framework as provided by Presidential Policy Directive-8. By using the national plan as guidance and recognizing that state and local levels will implement critical infrastructure protection differently, local jurisdictions should be able to develop their own infrastructure protection plans.[5]

Bottom-Up Intrastate Regionalization

A key question that arose was: "How prepared do jurisdictions need to be?" Some respondents believe that federal grant funding frequently goes to over-prepared communities. Preparedness metrics, however, only derive from a collaborative regional definition of "preparedness" followed by dissemination of a single message. The response community, in turn, must develop different metrics for each level in order to manage expectations.

Defining a sub-state region, however, is the fundamental issue. The state's councils of government, emergency management, state health, Department of Public Safety, and highway patrol districts have

TABLE 5
As evidenced by its actions, how does your state define a region?

	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Sub-state	50.6%	25.3%	41.4%	39.8%	26.9%	44.6%
Interstate	8.4%	11.7%	5.2%	12.2%	15.4%	6.2%
Both	14.7%	25.2%	17.2%	13.3%	23.1%	12.3%
Unsure	26.3%	37.8%	36.2%	34.7%	34.6%	36.9%

traditionally been different, with some regional overlaps. Some regions were described as being larger than the Department of Public Safety or state health districts. Participants offered various definitions of what their jurisdictions consider a region: (a) the city and area surrounding the county's council of governments; (b) an area comprising multiple councils of governments and multiple counties; (c) an area identified by its perception of the greatest regional threat, hazard, and risks; (d) a multi-county area that prioritizes emergency management issues and related risks; and (e) an area based on its readiness to share resources and its mechanisms for connectivity.

By any definition, regions are an extended geographic community of practitioners who must collaborate and communicate for a common goal. Although many respondents were unsure how their states officially define a region, the majority believe that their states' actions indicate that regions are considered sub-state rather than interstate (Table 5).

Resilience can be conceived as a contemporary expression of the *top-down* Cold War idea of national continuity: continuity of government, continuity of operations, or more recently enduring constitutional government. However, resilience more appropriately addresses continuity *bottom-up* – that is, beginning with continuity at the community level – via what Craig Fugate calls "community resilience networks," in other words, the interdependencies that contribute to each community remaining individually viable.

At the West online workshop, a retired planning manager for the Portland, Oregon, Office of Emergency Management, spoke of her city's regional approach via its Regional Disaster Preparedness Organization.[6] Portland's emergency management bureaucracy is focused on planning. In view of the effect of budget cuts and the threats posed by "technical glitches and disasters," her office approached regional planning for

managing assets that promote recovery or continuity of operations. In particular, Portland's Asset and Conditions Report is a community risk reduction strategy to inform upgrades to critical infrastructure. The Portland region prioritized the restoration of energy – fuel, natural gas, electric companies – and thus brought in new partners. An important element was a scheme for prioritizing fuel allocations, while another key report focused on wildfires.

The workshop participants were in broad agreement on the approaches holding the most promise for contributing to long-term regional resilience. They are those that:

· Foster regional relationships through mechanisms for information sharing;
· Provide for local input in planning; and
· Are reinforced by robust training opportunities.

Collaborative regional resilience planning is twofold:

· Planning for critical infrastructure protection; and
· Planning for response and recovery.

Taken together, such planning may provide the assurance of regional continuity in the event of a catastrophic incident, or a "meta-disaster."

A region's resilience planning approach, therefore, serves as a comparative risk analysis that identifies the regional critical infrastructure and the all-hazard threats to that infrastructure. Because local and mutual aid capabilities are most vital during the first 72 hours of a response, one participant stated that regional resilience planning should be about "connecting the dots *horizontally* rather than having a behemoth leading." One regional planning approach could be built on statewide mutual aid agreements that are in essence intrastate Emergency Management Assistance Compacts. In some states, the statewide mutual aid agreements are actually mandated by statute and assist coordination among fire, police, and public health departments.

Moving Toward Regional Governance Structures and Processes

With federal preparedness funding certain to continue its decline, it is time for the federal regions and states to provide overarching facilitation of bottom-up, intrastate regional resilience efforts. Although it may be in the best interest of states to support these regional efforts to operationalize collaborative resilience plans, there is still resistance.

The adoption of a regional resilience approach could lead to funding going directly to an intrastate region, which would require some form of regional governance process to provide program

coordination and oversight. To assist regions in identifying capability gaps and determining how to fill them, states can adopt a regional emergency support function structure to, for example, align hazmat programs and oversee the coordination of statewide Community Emergency Response Teams (CERT).

States also could move toward regional governance by taking a process approach – for example, through budget development similar to the way in which UASI working groups develop budgets around emergency support functions. Intrastate regional budget development based on those functions could serve as a model process that in turn would drive planning, organization, equipment, training, and exercise activities and enhance the regional support structure. Thus far, some regional resilience guidelines, such as those for regional emergency planning teams and the regional emergency support plans, have worked.[7] A process based on emergency support functions, however, also may lead to a state developing silos of excellence or dividing itself by function into regions that do not coordinate.

Some regions already have established regional emergency operations centers (EOCs), with primary and secondary locations, but a significant challenge is staffing. Not every town has the capacity to assign qualified personnel to a regional EOC for region-wide emergencies. Moreover, if the regions do not have a seat at the state EOC, the state may not recognize the regional authority when coordinating state and regional assets. These regional EOCs provide important capabilities that can serve a greater purpose by co-locating regional coordinating centers with state EOCs.

Similar to regional EOCs, in many states, intrastate regions have responsibilities but no statutory authority. Although intrastate regions are not political entities, they are operational assets during a regional disaster. Therefore, where established by the state and local jurisdictions, intrastate regions serve as statutory operational and functional entities with temporary hierarchical command and control structures. Such intrastate regions are a new paradigm – collaborative regional action networks, informed by emergency support function and Incident Command System protocols, for coordinated planning, exercises, and incident management.

Regional projects with greatest priority, therefore, would be those that bridge the gaps between jurisdictions and disciplines. When possible, they would continue collaborative efforts and build on the past culture of regional emergency planning teams. Where a training exercise planning

TABLE 6
Who is your most effective coordination agent with the political power to make regional resilience happen?

	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Regional planning organizations	59.6%	45.1%	30.5%	45.0%	48.1%	42.4%
Chambers of commerce	1.1%	0.9%	3.4%	2.0%	0.0%	0.0%
Major employers	3.2%	4.5%	6.8%	12.0%	7.7%	4.5%
Major tax payers within the community	1.1%	1.8%	3.4%	2.0%	0.0%	1.5%
UASI, if applicable	10.6%	7.2%	11.9%	4.0%	7.7%	15.2%
Unsure	24.4%	40.5%	44.0%	35.0%	36.5%	36.4%

committee exists, the regional exercises would be multi-jurisdictional and multi-agency. From there, regions would then shift their focus toward:

· Regionalizing response protocols;
· Establishing regional dispatch centers; and
· Providing other routine regional services.

Political Support From Elected Officials Is Vital

Without statutory authority, regions do not have properly identified governance mechanisms to engender formal cooperation among communities. It is a cultural problem with a lack of political support because, in many cases, the state and local governments do not want to lose their control. According to survey responses, the most effective coordination agent with the political power to promote regional resilience is a regional planning organization (Table 6).

Institution of regional resilience governance, however, requires a change in political will among state and local elected officials; and regions also must receive endorsements from chief elected officials. Moreover, consistent bipartisan government backing is essential for maintaining a strong regional approach that will always be subject to the attitudes of any new elected officials. It is in effect the responsibility of the operational practitioners to deliver a consistent message to the politicians.

The political case must be made for states to enact legislative authorities that empower sub-state regions to do what they believe they

TABLE 7						
Does your region have support from elected leaders to maintain resilience programs?						
	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Yes	47.4%	40.6%	33.9%	35.0%	49.0%	36.9%
No	16.8%	16.2%	11.9%	25.0%	11.8%	18.5%
Unsure	35.8%	43.2%	54.2%	40.0%	39.2%	44.6%

can and should do. One possible solution to overcome impediments to regional collaboration is to have states rewrite statutes to recognize sub-state regionalization, which in time would change the culture.[8]

Such transformations would move beyond declaratory policies supporting collaborative regional resilience and toward empowering regional governance structures and processes. Governance may be lacking, yet it remains the key to sustainability. Fortunately, many respondents across the nation believe that their regions already have some support from elected leaders when it comes to maintaining resilience programs (Table 7).

The Example of Hartford's Capitol Region Council of Governments

The transportation world has been using regional councils of government for years to facilitate regional collaboration in transportation. Many regions have adapted their councils of government to emergency management and homeland security missions. Connecticut's five regions overall include 169 towns and two tribal nations. The most mature are the densely populated Regions 1 and 3, whereas the less populated Regions 2, 4, and 5 have not been as proactive. Region 3 initiated work in the 1990s via the Hartford metropolitan area's Capitol Region Council of Governments (CRCOG). Guided by elected municipal officials, the CRCOG governing policy board consists of mayors, first selectmen, and town council chairmen who have been collaborating for more than 30 years on a wide range of projects. Following 9/11, CRCOG established its Capitol Region Emergency Planning Committee (CREPC) as a committee of its Public Safety Council.

Although it received no federal grants in its first two years of operation, the CREPC was able to develop a regional governance mechanism, policy options, interagency collaboration, and operational capability. Despite funding and liability challenges, officials in public

health, fire, police, emergency medical, emergency management, and communications successfully established operational networks. The region thus brought multiple disciplines together to pursue common objectives and build its initial plans *before* it received any federal funding support. When funding did arrive, Regions 1 and 3 further forged regional coordination largely by applying grant funds to regionally assessed needs. These collaboratively determined needs then drove the planning process.

Region 3's CREPC achieved tangible regional resilience collaboration outcomes by taking responsibility for allocating grant funds across the needs of its 41 towns.[9] It solidified the regional concept with a coalition that managed grants. By taking a regional approach, the CREPC used the funding more purposefully and frugally versus each town wanting funding for something "just like the next town." Today, the CREPC covers in excess of 125 organizations and 41 municipalities in the Capitol Region and meets monthly to foster a healthy collaboration and regional approach.

This regionally based approach subsequently yielded success when it came time to seek future grants. Jurisdictions that had simply spent early grant dollars on equipment and could not demonstrate results on how they had actually fulfilled needs had difficulty making a case for further funding. Yet with the grants came a downside and the issue now is maintaining a regional effort despite funding shortfalls.

When asked how their regions are maintaining a local resilience coordinating group, about one-fourth of respondents still expect support to come primarily via federal funding passed through the state and/or local governments. An even larger percentage, however, remains unsure of how this type of coordination will be maintained across (Table 8) their regions.

Connecticut's State-Intrastate Region Disconnects

Connecticut Region 3 had developed its own guidelines for regional resilience collaboration outcomes. When the state restructured itself, however, Region 3 had to resynchronize its regional plan with the state's regional resilience planning across and within its five regions. Unfortunately, the state did not prove to be a great facilitator in the process. When Region 3 submitted its regional plan including its own priorities, the state did not accept the suggestions and refused to support the region in operationalizing that plan. The region, for example, put forth a plan to open a sheltering facility to provide medical support

TABLE 8
Given the current budget constraints, how is your region maintaining a local resilience coordinating group?

	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Primarily via federal funding passed through the state and/or local governments	29.5%	24.4%	25.9%	22.0%	25.0%	21.3%
Primarily by private-sector underwriting	1.1%	2.7%	0.0%	3.0%	0.0%	0.0%
Primarily on a volunteer basis	8.4%	10.8%	8.6%	9.0%	7.7%	12.1%
Combination of the above	25.3%	16.2%	15.5%	26.0%	25.0%	31.8%
My region has not been able to maintain a coordinating group	8.4%	3.6%	1.7%	6.0%	9.6%	10.6%
Unsure	27.3%	42.3%	48.3%	34.0%	32.7%	24.2%

for those with functional needs beyond the capability of standard shelters but not to the point of requiring a hospital.

Connecticut does not have statutes granting authority to regions so, as a result, the state was in a position to reject this item in its regional plan. The state does not recognize authority of its five regions and thus requires any such request to come from a local jurisdiction. Because its intrastate regions are not governance entities, they merely serve as advisory groups. Furthermore, without legal standing, regions also have no purchasing power.

What is needed now is for states to support regional needs, adjust statutes to allow for operational support, and ensure that proposals will work across the state. By facilitating the definition of a statewide framework for regional resilience, states will enable municipalities to adapt the framework to their respective localities, as well as determine needs, understand regional capabilities, and leverage small successful regional efforts that could be applicable statewide. By comparison, when Massachusetts went through its own intrastate regional planning process, the state engaged all parties in the process coequally.

Texas and Its State-Centric Approach to Preparedness

The Southwest regional teleconferences presented views that were more independent of the federal government. At the same time, the Texas

approach is more state-centric vis-à-vis local jurisdictions. With respect to preparedness grants, Texans tend to be leery of federal money because of the "strings" attached. Participants were indeed largely critical of the grants process. As expressed by Southwest as well as other participants across the nation, they were critical of the effect that a dependency on federal funding has on a program when the grant goes away. The disappearance of federal funding to support interoperable communications has forced local governments to find alternate funds to sustain the effort. In other cases, staff positions were dependent on federal funds.

Although many jurisdictions have become too dependent on federal money, refocusing on the ultimate goal of resilience can prove to be a significant challenge. Participants criticized the federal government for establishing a grant process that is too complicated with rules that hinder execution of programs. By following a federal guideline, the process can get in the way of the product, thus causing some jurisdictions to forego requesting any funds.

For the most part, federal interfaces are at the state level in Texas, where FEMA, DHS, Immigration and Customs Enforcement, and the Transportation Security Administration connect with the Department of Public Safety's Texas Division of Emergency Management (TDEM). On the basis of federal support in various high-profile response operations, one assessment held that the federal government was better suited to perform recovery missions than response operations. Yet even the federal role in recovery generated criticism. One anecdotal comment addressed federal support after Hurricane Ike, with provision of housing from the Housing and Urban Development. Evidently, Texas accepted housing that it agreed to manage with the expectation of potential savings; however, the expected savings "were eaten up in administrative costs."

In 2004, Texas instituted its regional emergency management organization into a Department of Public Safety structure of 24 disaster districts. Rather than horizontal regional resilience collaborations, these district structures are the principal means for regional organization for state support in disasters. "Disaster Districts are the State's regional emergency management organizations that serve as the initial source of state emergency assistance for local governments."[10] Each district has a Disaster District Committee that consists of state agencies and volunteer groups that have resources within the district's area of responsibility.

The local Texas Highway Patrol commander chairs the Disaster District Committee, while the committee assists him or her in identifying,

mobilizing, and deploying personnel, equipment, supplies, and technical support to respond to requests for emergency assistance from local governments and state agencies. The disaster district chair may activate and commit all state resources in his or her area of responsibility to aid requesters, except the activation of the National Guard or State Guard, which requires prior approval by the governor. Reads the Texas Department of Public Safety's website, "If the resources of a Disaster District are inadequate to provide the type or quantity of assistance that has been requested, the request for assistance is forwarded to the State Operations Center for state-level action." Although state resources committed to assist local governments normally work under the general direction of the disaster district chair, they take their specific task assignments from the local jurisdiction's incident commander.

In this state-centric Texas model, the avenue for mutual aid among local jurisdictions funnels through the state EOC. The Department of Public Safety's Division of Emergency Management has structured a number of means for the state to directly support local jurisdictions in regional disasters. Prompted by the impact of and response to Hurricane Rita on the Texas coast in 2005, TDEM created eight Regional Response Teams to support multi-jurisdictional operations during catastrophic events.

Under Governor Rick Perry's 2006 executive order RP57, "Relating to Implementing Recommendations From the Governor's Task Force on Evacuation, Transportation, and Logistics," the state formed incident management teams for planning and logistics, each team staffed with up to 20 members drawn from local jurisdictions. The state now has 15 teams from 28 jurisdictions that can plug directly into an incident command post, the state operations center, or a regional Disaster District Committee operations center.

RP57 also established a Regional Unified Command Structure within each of the state's 24 councils of government "to improve command, control, and communications during mass evacuations."[11] Each Regional Unified Command Structure is responsible for preparing for and responding to catastrophic events within the region under an appointed single incident commander who serves for a one-year term and who functions as the operational commander within the region during any disaster response, including mass evacuations.

In addition to regional response teams, TDEM also facilitates mutual aid with the Texas Intrastate Fire Mutual Aid System (TIFMAS) program of state grants from the Texas Forest Service that go to local

fire departments. Put together in 2007 by the Texas Forest Service via TDEM and various state fire associations, "The program includes training, qualification, and mobilization systems to make statewide use of local resources."[12] Notably, TIFMAS had 13 mobilizations in 2011: 205 fire departments, 432 engines (20 of which were funded by the grant), and 1,538 firefighters. Local TIFMAS grant recipients agree to a memorandum of understanding and receive a 100 percent grant to cover the cost of locally housed assets that double as a state resource.

Another example of a state-centralized approach is TDEM's Texas Task Force 1 (TX-TF1), an urban search and rescue asset administered by Texas A&M's Texas Engineering Extension Service. One of the 28 National Urban Search and Rescue teams coordinated by FEMA, TX-TF1 has three composite teams – Red, White, and Blue – of 90 personnel each with one team serving in rotation on stand-by. Altogether, Texas Task Force 1 totals 510 personnel, including technicians for hazmat and weapons of mass destruction as well as 300 water rescue personnel drawn from fire departments and organizations throughout the state.

Although the TX-TF1 has seen many successes, some San Antonio Fire Department participants argue that the model would benefit from decentralization to act as the state facilitator, coordinator, and administrator, rather than serve as the "mothership." As funding and the ability to sustain program and training costs are reduced, a "train the trainer" model would help develop in-house training capabilities and/or provide state venues for training. The result would be local teams that gather regionally for collaboration, training, and use.

Regionally based teams also could help improve response time and better enable personnel to stay proficient in their skills. Support for the program may increase as teams are used routinely and are able to leverage their everyday contacts with an expanding network of collaborative mission partners in the region. Supporting the Texas model, the majority of respondents believe that the local level of government serves as the most effective coordination agent (Table 9).

Fusion Centers as Avenues for Enhancing Functional Collaboration

Fusion centers provide a representative all-hazards resilience function that is becoming familiar across the nation. Whereas the culture across councils of governments structures and processes is political and inclined to focus on issues of funding allocations, the culture that forms around fusion centers is functional and very conducive to

TABLE 9
At what level are your most effective coordination agents?

	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Local	46.3%	37.9%	52.5%	65.3%	48.1%	64.1%
Council of governments	26.3%	12.6%	5.1%	5.0%	15.4%	4.7%
State	13.7%	18.9%	25.4%	13.9%	21.2%	12.5%
Federal region	0.0%	9.0%	1.7%	2.0%	3.8%	4.7%
Washington	0.0%	0.9%	0.0%	0.0%	0.0%	0.0%
Unsure	13.7%	20.7%	15.3%	13.8%	11.5%	14.0%

building resilience through relationships. Fusion centers expand information sharing beyond the silos to a network, and thus help build personal relationships.

DHS has helped put San Antonio's fire department into the city's Southwest Texas Regional Fusion Center (SWTRFC). The center is city-funded but, as a Tier II regional information center, it now receives federal assistance. The fire department developed an interest in working with the fusion center after recognizing how access to information was crucial to improving the efficiency of the response.

The State as Regional Governance Facilitator: The Indiana Model

States can take the approach of providing offices as regional resilience conveners and facilitators. A good example of this model is Indiana's regional homeland security governance structure, which includes the state-led formation of 10 homeland security districts along with a system for district planning. In 2008, the Indiana Department of Homeland Security (IDHS) under Executive Director Joe Wainscott released its regional task force concept. Each district has a District Response Task Force staffed and managed by local emergency responders.

The governing bodies of the District Response Task Force are the District Planning Councils – supplying administrative support, guidance, direction, and policies to assist each district in planning, organizing, and managing critical emergency response activities on a regional basis – and the District Planning Oversight Committees[13] that include elected officials.[14] The District Planning Oversight Committees provide governance, while the District Planning Councils provide management. The Councils recommend and the Committees

approve district-level policy decisions such as mutual aid agreements, memoranda of understanding, and minimum acceptable resource levels for their jurisdiction. The Councils make recommendations to the District Planning Oversight Committees and manage resources and initiatives in line with the Committees' policies and guidance. In turn, Indiana's State Advisory Committee for District Initiatives supports the District Response Task Forces with policy recommendations and program guidance.

During the rollout of the District Response Task Force initiative, the IDHS Field Services Division provided a networking opportunity through a series of state conferences and training classes and supplied response equipment to specified disciplines. The state also made available operational guidance in technical areas such as distribution of medicines and decontamination procedures. It provided an interoperability communication platform that acts as a conduit for communication, best practices between local partners, and the guidance templates and standard practices.

To launch the effort, funding was distributed evenly to the regions and over time has shifted toward risk-based metrics. Success came from starting at the local level and having the authority to pass information upward to the state and FEMA regional levels. In its July 2009 initiative rollout document, IDHS stated, "The district concept is dependent on collaboration and partnerships. Local jurisdictions must work together in the pursuit of common and unified objectives for the district concept to work." To enhance collaborative efforts, all 10 Indiana homeland security districts now have capabilities and capacity that are compliant with the National Incident Management System.

IV. COORDINATING PUBLIC- AND PRIVATE-SECTOR RESILIENCE

When it comes to the matter of leveraging private-sector capabilities in regional resilience, the *DomPrep* workshops, conferences, and surveys embraced the concept of "privatizing resilience." A region develops and sustains the whole-of-community concept through its public-private mechanisms and relationships (Table 10). Although corporate citizenship is important to community resilience and continuity, the consistent message nationwide is that it is the public sector's responsibility to initiate the public-private partnership.

When asked if their regions currently have broad-based leadership support across the private sector, responses from homeland security professionals across the nation were almost evenly divided between yes, no, and unsure. Private businesses should not be expected to come to government, but rather the jurisdictional authorities must take the initiative to get to know the business community.

The question remains, however, as to who has the responsibility for funding public-private partnerships for community and regional resilience. Many workshop participants in the private sector assert that the private sector does not have the necessary funding resources so, by default, it falls under the responsibility of government via its grant programs. They believe that such collaborations must be led by the private sector, but it is the government's responsibility to promote and sustain public-private sector resilience in a holistic manner. Resilience requires funding, but in an era of declining public funds at all governmental levels, private-sector participation may prove to be a challenge.

It is important to move beyond simply focusing on large corporations and begin leveraging small businesses as well for public-private partnerships, which often prove crucial to community viability, especially in rural agricultural jurisdictions. In addition, some jurisdictions may benefit from focusing on relationships with higher-education communities as a valuable professional development and training resource.

The National Infrastructure Protection Plan provides an effective framework and starting point for regions to identify critical infrastructure sectors and potential private-sector partners. However, public-private partnerships must be clearly defined and have a specific direction, with strategic objectives linked to business goals. Private-sector participation in the response planning process is best served by giving participants a specific problem to solve.

TABLE 10
Does your region currently have broad-based support across the private sector in your leadership group?

	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Yes	28.4%	23.6%	20.7%	38.0%	39.2%	37.9%
No	41.1%	25.5%	29.3%	26.0%	23.5%	34.8%
Unsure	30.5%	50.9%	50.0%	36.0%	37.3%	27.3%

Business Continuity Now Focuses on Partnerships

Addressing the business continuity specifically, there are three primary private-sector continuity issues: (a) revenue disruption; (b) supply-chain security; and (c) workforce protection (on site, in its communities and as it relates to its assured access to and egress from the workplace). The private sector needs to know its partners, understand their needs, and determine what they can mutually provide each other to maintain resilience in a disaster. Before developing partnerships, private-sector organizations must first demonstrate resilience, which can be incentivized through resilience accreditation such as program evaluations and benchmarking.

Although the private sector has long embraced business continuity plans, its approach is still evolving. Until recently, firms were focusing their business continuity thinking on how to manage during the immediate response phase until the responders arrive. That focus has now shifted to the proactive formation of partnerships – with both the public sector and the supply chain. The value of relationships has now pushed supply-chain considerations to the forefront in private-sector continuity thinking. At the same time, these global manufacturing networks create resilience vulnerabilities.

One way that some private-sector organizations are demonstrating resilience is by reshaping continuity programs to the "language" of the National Incident Management System and Incident Command System, and adopting planning approaches that are all-hazards and scenario-based. Unfortunately, as one Indianapolis workshop participant noted, in some private-sector cultures where bosses rule by command and control, the Incident Command System may not necessarily translate.

The Private Sector and Emergency Response

States can facilitate private-sector participation in response by providing liability coverage. Some states already have programs in place that provide surplus equipment along with liability coverage. Regions also can leverage private-sector response capabilities by creating business EOCs or offering seats to the private sector at state EOCs.

The California Resiliency Alliance already has demonstrated success in implementing operational public-private collaboration and business EOCs at the state, regional, and local levels. This initiative, launched in 2005, is one of the Business Executives for National Security's (BENS) seven such regional alliances. The Alliance and the state signed a memorandum of understanding in 2008, which led to a network-of-networks approach that relied on business liaison positions. The Alliance is proving to be an important asset in terms of its network capability for regional logistics. It also has successfully worked with the American Red Cross on pandemic cross-sector collaboration and planning via the 12-member Public Health Bay Area Cross-Sector Partners in Preparedness (BACSPP).

In Connecticut, the state EOC has seats for Home Depot and Walmart. Alternatively, Connecticut regional EOCs – the regional coordinating centers – focus more on seating utilities and hospital systems, reflecting the importance of energy and mass care as well as Emergency Support Function 14 (Long-Term Community Recovery) and Emergency Support Function 15 (External Affairs) issues.

The precedent has been set at the national level, where the National Response Coordination Center at FEMA Headquarters reserves a seat for the private sector. Home Depot, Walmart, K-Mart, and Target work together and share that seat in a three-month rotation. Along those lines, state and regional emergency support function structures could benefit from similar outreach initiatives to the private-sector and volunteer organizations.

The former head of the DHS Office of Infrastructure Protection, Robert (Bob) Stephan, now an Executive Vice President at Community Research Associates, Inc., told the Midwest workshop that Indiana's homeland security district structure could be enhanced by bringing the private sector into district task forces and establishing linkages to the state level. Stephan advocated private-sector involvement in development, detailed analysis, and review of emergency support functions that would inform the planning, organization, equipment, training, and exercises for each district.

By providing the means for inserting private-sector participation, the private-sector dimension of regional resilience development can build on structures and processes that are already in place. One leverage point is the Superfund Amendments and Reauthorization Act Title III, which describes funding to promote outreach for developing local emergency preparedness programs for response to chemical releases. Title III funds can go to local emergency planning committees for training and to exercises that can include members from the private sector and ultimately improve overall resilience.

The Private Sector–Driven All-Hazards
Regional Assessment in Indiana Homeland Security District 1

The effects of the August 2008 Hurricane Ike closed I-94 transportation infrastructure for four days, collapsing the northwest Indiana regional supply chain for the utilities and critical manufacturing sectors. A public-private effort initiated by U.S. Steel along with ArcelorMittal Ghent, BP, and the Port of Indiana became a DHS-supported 2009-2010 project to address risk, supply chain, and capabilities. The initiative built upon Indiana's preexisting homeland security district structure and processes.

Funded by U.S. Steel and its private-sector partners, the regional effort initiated an all-hazards regional resilience assessment and strategy that in the process identified points of failure. Using DHS funds, the mission partners established an all-hazard critical information-sharing network around a WebEOC platform using an Automated Critical Asset Management System (ACAMS) portal. At the same time, the network expanded the connectivity of the state's Indiana Intelligence Fusion Center (IIFC) to the private sector and provided a national link via a portal from the Homeland Security Information Network.

Given that the private sector should shoulder a portion of the investment burden for regional resilience, participants were asked about the level at which private-sector resilience standards should be developed in advance of determining the degree of private-sector responsibility. The sub-state regional efforts initiated by private-sector partners such as U.S. Steel reflect the majority of responses to that question (Table 11).

Enabling Frameworks for Private-Sector Participation

States themselves also need to be creative when it comes to incentivizing the private sector. A Louisville, Kentucky, official told the Midwest workshop that his city incentivizes companies by waiving annual

TABLE 11
Given that the private sector should shoulder a portion of the investment burden for regional resilience, at what level should private-sector resilience standards be developed in advance of determining the degree of private-sector responsibility?

	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Sub-state region	36.8%	30.7%	37.3%	39.6%	40.4%	45.3%
State	27.4%	19.8%	22.0%	20.8%	19.3%	20.3%
Federal region	2.1%	1.8%	0.0%	1.0%	1.9%	3.1%
Federal	2.1%	3.6%	3.4%	7.9%	3.8%	6.3%
"National"	5.3%	12.6%	5.1%	6.9%	5.8%	7.8%
Unsure	26.3%	31.5%	32.2%	23.8%	28.8%	17.2%

fees, such as for permits, if representatives attend all six annual planning meetings. In addition, company officials receive a uniform "patch." A company can participate in private-sector training free of charge, and the city will make public-sector personnel available to train with the firm in its own exercises.

Other incentives could come from an agreement with insurance companies to lower business insurance rates for firms that obtain Public Sector Preparedness certification for implementing voluntary business continuity standards adopted by DHS. Additional return on investment incentives could apply to insurance rates for those companies that routinely take part in Incident Command System training. Other personnel incentives could include the offer of continuing education credits to employees who enroll in preparedness education programs.

The most effective incentives vary for each private-sector partner depending on the needs and resources of all parties involved. To determine the best fit, therefore, jurisdictions must build relationships and communicate effectively with all potential partners. Community resilience efforts then can be enhanced by incorporating existing resources that have traditionally been under-utilized (see Appendix D for a map of the Regional Consortium Coordinating Councils).

Including Faith-Based Organizations

The potential economies present in partnerships with faith-based organizations, particularly when looking beyond the dependence on

federal funding, are important for jurisdictions to recognize. Local and regional resilience can develop collaborative relationships with such organizations as well as other volunteer and fraternal organizations that have the skills and ability to provide in-kind support. Unconstrained by government paperwork requirements, faith-based organizations have the benefit of being able to deploy rapidly, as was demonstrated during the 2011 Indiana State Fair Disaster that involved a storm-induced collapse of an outdoor stage.

To promote partnerships, the regional resilience network should develop programs for sustaining prolonged operations – for providing food, for example – that do not attempt to replicate the capabilities of faith-based organizations but rather draw upon the work of the Red Cross, United Way, Salvation Army, and others. Similar to a rescue involving people, animals also have a 72-hour response time. Livestock, companion animals, and (after the event) wild animals represent a subset issue, particularly in rural regions, that can be a consequence management challenge that only veterinarians can properly address.

For all response efforts, there is an operational need for better credentialing processes. The Pegasus Program of FBI's InfraGard offers one solution. As the public-private information-sharing and analysis partnership, with chapters linked to FBI field offices throughout the country, Pegasus is an important enhancement to the use of faith-based organizations and other volunteer groups during a response. The program provides a means for volunteer organization re-entry credentialing into disaster areas and, among other things, expedites response and short-term recovery logistics.

Faith-based organizations offer a variety of disaster-related and other services that have a direct effect on resilience of the affected communities. All levels of government in all jurisdictions can greatly benefit from developing and supporting partnerships within and between such organizations.

The Partnering Challenge Presented by Utilities
The aging infrastructure and the difficulty of integrating utilities into public-private critical infrastructure collaborations present another problem. Utility companies traditionally are sensitive to privacy issues as relates to their business operations and are not inclined to share information. A utility may often mark information "for official use only," thus fencing it from Freedom of Information Act requests for disclosure.

Moreover, the sector is wary of government incursion into the utility areas of business, a view that frequently prompts utility companies to not participate in InfraGard.

In addition to information about the business, some utility companies are reluctant to share lessons learned from disasters, even among themselves. Some states are now "recommending" development of agreements with utilities regarding information sharing with local jurisdictions.

In Indiana, where flooding is a routine disaster, such events have prompted many counties to improve pumping stations and retaining walls. In 2007, the Indiana Rural Water Association launched the Water/Wastewater Agency Response Network (InWARN), a network of public and private utilities modeled on similar efforts in Florida and California. InWARN, which now has some 70-80 member utilities, is a formalized system of "utilities helping utilities" that, under a mutual aid agreement, activates in a disaster to deliver assistance to members. Managed by a steering committee that works with the Indiana Department of Environmental Management, the network currently allocates utility personnel and equipment to assess and assist water and wastewater systems to restore operations.

Despite an ongoing resistance to share information, networks such as InWARN demonstrate that some utility companies are beginning to understand and see the benefit of the relationship between information sharing and infrastructure resilience. In time, perhaps those relationships can be expanded beyond simply the utility sector.

Partnering With Hospitals

Hospital systems represent a special case – expensive operations that involve life-or-death decisions on a daily basis. Given facility costs, doctor salaries, and other related expenses, hospital preparedness training can easily become a financial burden for any jurisdiction. Planning with regional health systems is thus a very real challenge.

At the Northeast workshop, participants highlighted Connecticut's collaborative hospital mutual aid plan. Based on the models of Massachusetts, the plan runs independently and does not rely on public resources, although Connecticut did receive federal funds to build the program's website. In addition, the state also has a long-term care mutual aid plan that was self-funded through the agencies.

Also discussed was one private-sector network effort that receives no federal or state funding – the Rx Response Program,

which is a coalition/network for sharing information and addressing bio-pharmaceutical supply chain risks during a public health emergency.[15] The focusing event for Rx Response was Hurricane Katrina and the lessons learned, including use of medicines in emergency response and the need for a single point of contact for the bio-pharmaceutical supply chain.

Following a 2006 Pharmaceutical Research and Manufacturers of America (PhRMA) outreach, the program began with establishment of the Rx Response Coordinating Body, which serves as the leadership and decision-making group. The Rx Response InfoCenter is the program's online information-sharing forum, enabling all registered members to view and share information and documents and to communicate with relevant parties. This tool includes a Pharmacy Status Reporting feature to communicate critical information to government agencies and the public.

Collaborative mutual aid plans and partnerships with private-sector networks are just two examples of how to incorporate the private sector into hospital preparedness. Such partnerships enhance resilience not only for hospitals, but also for the communities in which they serve.

Information Sharing With the Private Sector

Information sharing is a particular challenge with regard to the private sector. Classification issues surrounding information that is for official use only or is law enforcement sensitive, for example, impede the performance of InfraGard and fusion centers. Such issues arising from the application of Freedom of Information Act and the Federal Advisory Committee Act further complicate public-private sector collaboration. It is important to overcome information-sharing roadblocks in order to facilitate sharing with businesses that require sensitive information for continuity of operations training.

The collaborative effort of the DHS Office of Infrastructure Protection/FBI-InfraGard Joint Critical Infrastructure Partnership draws on local resources accessible through DHS, InfraGard, and public- and private-sector partners. In addition, the Joint Critical Infrastructure Partnership reduces risk, promotes awareness, and provides opportunities to enhance infrastructure security and resilience at the local and regional levels. Houston's InfraGard chapter, along with the New Orleans and Washington, D.C. chapters, currently are working with universities to share information as they develop improved computer forensics.

With regard to information sharing with the health systems community, one Southwest teleconference participant noted how Texas has put a sharing capability into hospitals for resource management during a disaster. The Texas Department of Health and Human Services was the driving force behind the establishment of the Texas Evacuation Tracking Network (TETN). As a public-private information exchange effort, TETN is available to regions for evacuation tracking and patient needs.

Four systems meld into the TETN, which links local systems into a cooperative computer system and database for shelters. The network uses radio-frequency identification technology with wristbands and global positioning system units with bar codes for buses. The Texas National Guard and the State Guard – that is, the militia that does not deploy overseas but rather provides support to the Texas Rangers – perform TETN badging and staff shelters.

The Northern California Regional Intelligence Center (NCRIC) is currently a 16-member public-private fusion center promoting information sharing across jurisdictions and law enforcement/homeland security agencies to enhance critical infrastructure protection. In the Northeast, Rhode Island government officials use the Northeast Disaster Recovery Information Exchange (NEDRIX) – a non-profit organization formed in 1991 that covers all New England states including New York and New Jersey – to connect to the business community. It provides continuity and crisis management professionals with access to real-time governmental agency information during a crisis or event through its automated notification tool – NEDRIX Notify. Throughout the Northeast, team leaders are identified for each state and team members work with state and local governments as liaisons between the public and private sectors. In addition to regular face-to-face information sharing, NEDRIX also provides examples of industry best practices. Members are eligible for continuing education points, which can apply to continuity business professional certification, for all NEDRIX conferences and events.

In Hartford, Connecticut, more than 150 security, public safety, and emergency management professionals representing some 50 different organizations, corporations, and governmental agencies rely on the Security Communication Access Network (SCAN) notification system. Founded in 1985, SCAN is a volunteer organization sponsored, staffed, and maintained by the Hartford Guides. This coalition of Hartford-based

professionals has partnered with local authorities to enhance regional safety and security through an interactive network with links to state and federal homeland security agencies. Services include: (a) an e-mail alert program covering criminal threats, unusually adverse weather conditions, or other matters of significant security interest; (b) HARTSCAN, which is a communications link to Hartford's public safety communications system that is networked across private security organizations as well as city police, fire, and other first responder bodies; and (c) monthly fora for exchanging information.

Many avenues for sharing information have been established in various regions, but the challenge of engaging the private sector in those efforts remains. Whether established by the public sector or the private sector, valuable lessons can be learned by examining various information-sharing systems to determine how to improve efforts to effectively communicate among and between all those involved in building regional resilience.[16]

V. MULTI-JURISDICTIONAL PREPAREDNESS ACTIVITIES AND EDUCATION

Exercises – The Case for Going Regional

Workshop participants consistently voiced the preference that exercises be regional. Intrastate regions could then coordinate their exercises across programs and promote collaboration across the law enforcement, fire, and health disciplines as well as the private sector. Such interdependency exercises are essential to building public-private sector trust and cross-sector information sharing.

These exercises should have a narrow focus and emphasize the outcomes and lessons learned from the exercises as opposed to policy concerns. Regions are able to improve capability by better engaging exercise design teams. Rather than designing regional exercises, therefore, federal exercise officials should focus on developing the proficiency of non-federal exercise developers. In support of that finding, a number of participants praised FEMA's Homeland Security Exercise Evaluation Program – a performance-based exercise program providing a standardized methodology and terminology for exercise design, development, conduct, evaluation, and improvement planning.

Jurisdictions should invite, possibly co-develop, and if necessary incentivize the private sector to participate at the supervisor level and below in drills, training, and exercises. Correspondingly, they should make officials available for participation in private-sector exercises. Beyond corporate involvement, some participants expressed the view that regional disaster resilience exercises must include colleges and universities within the region.

Another suggestion from the Midwest workshop was incentivizing oil company participation in oil spill exercises by the jurisdictions making a case for cost-saving. By improving plans and procedures via an exercise, an oil company response could prove significantly cost-effective in the event of such a spill. The company would also have the opportunity to familiarize itself with the collaborative relationships that currently exist within and between response agencies, thus gaining the reassurance that it would not be responding alone.

Participants cautioned, however, that rural jurisdictions in particular might not be willing to automatically embrace regional exercise approaches. The local network within rural areas is able to manage a broad range of response scenarios and generally does not spend a lot of money

for regional exercises. As such, it can be especially resistant to change and to justifying the need for building a regional network. Incentives that address specific needs of such jurisdictions also must be addressed.

Special Events as Relation-Building "Exercises"

Beyond grant money, ways must be found to spark an interest in resilience and find incentives to develop capability and apply lessons learned in future preparedness efforts. The threat of a terrorist attack alone is not sufficient to motivate people to action. In some cases, gleaning lessons learned from a real-world event – a disaster nearby or in an area with similar characteristics, for example – can help create messaging that conveys awareness. In other cases, it may take an incident closer to home to convey the need to develop resilience capabilities. Regardless the type of messaging, one challenge to implementing change and building resilience is maintaining the public's attention span, which often does not exceed two days.

Every major disaster or incident provides collaborative resilience lessons learned and relationship-building for state and local jurisdictions. Additional lessons can be learned and relationships built during and after the planning and execution phases of large special events, which effectively serve as regional, interagency, intergovernmental "exercises."

Indiana's success with special events can be attributed to cooperation among the counties. In Indianapolis, for example, planning for and executing the 2012 Super Bowl XLVI laid the groundwork for future regional resilience collaborations. The receipt of federal and state grants contributed to the city's successful outcomes: no fights or violence in the downtown "Superbowl Village"; excellent communications and cooperation between the organizers and the agencies; and smooth public-private-sector interfaces. The southern Indiana tornadoes that occurred in the spring of 2012 showed that state-facilitated guidance and coordination worked.

Similarly, collaborative relationships formed or were deepened in Illinois across and between governmental agencies during the planning meetings in Chicago and Springfield for the May 2012 North Atlantic Treaty Organization summit. One Midwest workshop participant, however, cited Michigan as an example where attempts often are made to plan centrally at the state level, but this approach has been perceived from the local perspective as "a failure."

A caveat remains with regard to some local and/or rural areas: attitudes that emphasize self-reliance. The downside for officials in areas prone to such beliefs is that, as a result, they may not be aware of the resources and/or partners that are available when necessary.[17]

The Key to Developing Collaborative Culture

Knowing all the answers is not as important as knowing who to call. In terms of collaborating with other communities, planners and responders must learn each other's culture. It is important for all parties involved to know one another and have relations, which means finding opportunities that provide homeland practitioners from different jurisdictions and disciplines with adequate "face time." Much more can be accomplished through personal relationships developed over time than via official channels. The homeland security enterprise requires more "joint" duty and training opportunities to reinforce these collaborative professional relationships.

In the whole-of-community context, the main issue is a change in culture. At a basic level, this means building community connections, both neighbor-to-neighbor and within families. The ultimate goal is personal self-sufficiency within a community, where the "victims" become the "mission partners."

Resilience, which is the product of collaboration, is the key to going forward. Plans alone are not as important as practice and training for building relationships with regional partners. A successful response involves pre-incident establishment of relationships that are fostered by training and education.

Education and the Next Generation of Professionals

One respondent from the Midwest workshop offered that "the biggest problem in public safety is leadership," implying that the solution requires professional education programs starting at the top and working down. However, another participant countered that programs are more effective in the long-term when they promote leadership bottom-up, thus changing the culture over time. Along those lines, a suggestion came forth for jurisdictions to institute mentorship programs for college students in emergency management/homeland security and for maintaining consistent programs to train new recruits for the profession.

The education component also works well for business executives looking to find additional benefit from external partnering. Employees enrolled in universities and colleges, for example, further the partnership

model because they qualify for continuing education or continuing medical education credits.

Perhaps most promising are the opportunities for local jurisdictions to build relationships with community colleges, not only for continuing education but also for development of cost-competitive local analytical support in areas like risk assessment and management. One fruitful example noted at the West online workshop was the University of California at Berkeley's Resilient and Sustainable Infrastructure Networks (RESIN) project funded by the National Science Foundation. Launched in 2008, RESIN conducts new risk assessment and management approaches for evaluating and managing resilience and sustainability across interdependent, interconnected, and interactive critical infrastructure systems.

For the homeland security professional development culture, the 1986 Goldwater-Nichols Department of Defense Reorganization Act's joint duty requirement for commissioned officer advancement to flag and general officer grade may serve as an example. The emergency management profession should have the same rigorous professional standards as the military, police, and fire disciplines. The field perhaps should move toward emergency managers serving with careers behind them in police, fire, EMS, public health, etc. Under those circumstances, managers would begin their duties as "joint" conveners in local, state, and federal political entities, with solid operational line authority backgrounds.

Jurisdictions should reach out to colleges, universities, and other academic facilities to foster relationships that would further efforts for public- and private-sector preparedness. In addition to the educational and cost benefits, such relationships also could help raise the standards set for the next generation of emergency management professionals.

Education and the Next Generation of Citizens

One Northeast participant offered that "it is easier to educate the public than protect it." A number of participants spoke of the mission to start working on a strategic vision for developing the next generation of public servants and leaders. Many agreed on the need to include state-developed preparedness and resilience curricula in public schools from kindergarten through high school as well as professionally certified programs at the college level.[18]

Although federal funds are needed in order to implement some ideas presented by participants, there were also warnings by some respondents against a preparedness communications strategy coming solely from Washington, such as Ready.gov. At the state website level, for example, the site does not allow direct access for local communities to facilitate assembly of a working group to develop a forward-looking message. The message must be driven to the consumer and a jurisdiction requires the ability to brand preparedness at the local level.

States should make preparedness a culture that encourages people to start taking care of themselves. This recurring theme relates to the need for jurisdictions to reconsider the messaging to their citizens during a disaster. Natural disasters are inevitable, so it is paramount that citizens receive clear information to help them feel independent, empowered, and prepared.

KEY FINDINGS AND ACTION PLAN

This study has established that regions throughout the country are increasingly aware that new approaches are required if states and local jurisdictions are to sustain capabilities in response to the investment reductions. Since 2003, grant requirements – that is, those that encouraged the use of mutual aid planning and scaling capabilities through regional coordination – prioritized regional collaboration. In the early years of preparedness grants, however, large amounts of money were available in a short period of time and, as a consequence, regional coordination became less of a priority.

Now that the investment money is receding, regional approaches have returned to the forefront. Those parts of the country with the seasoned experience of regional collaboration offer many applicable lessons for all areas of the country. This study has thus focused on expert opinions from practitioners in a variety of regions, disciplines, sectors, and levels of government.

When creating a regional action plan, there are many key points to consider, including but not limited to:

- Reprioritizing reduced grants and other federal assets;
- Expanding regional assets;
- Engaging small businesses and large corporations;
- Regionalizing structures and processes;
- Gaining political support;
- Expanding use of data fusion centers;
- Developing more public-private partnerships;
- Sharing information with all partners;
- Incorporating volunteer organizations; and
- Emphasizing regional exercises, training, and education.

Although no silver bullet can resolve all the challenges for sustaining capabilities, this study has yielded a number of emerging concepts and case studies that state and local emergency management and homeland security professionals can apply to their own jurisdictions and intrastate regions.

NOTES

[1] DHS disseminated the draft "National Preparedness Goal" for stakeholder review in late August 2011 that characterized a meta-disaster as one that is "well beyond current federal and state planning," as stated by Fugate. For the purposes of informing national-level response and recovery planning, the draft described a "meta-scenario" that did not appear, however, in the final version of the Goal:

"There is a no-notice event impacting a population of seven million within a 25 thousand square mile area. The impacted area includes several states across multiple regions. Severe damage is projected to critical infrastructure including essential transportation infrastructure. Ingress and egress options are severely limited. The projected number of fatalities is 195,000 during the initial hours of the event. It is projected that 265,000 survivors will require emergency medical attention. At least 25 percent of the impacted population will require mass care, emergency sheltering, and housing assistance."

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[2] "The MMRS grants defined the community." –Retired Chief *Carmine Centrella*, MMRS Program Director for Region 3, Connecticut

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[3] Additional guidelines for outcomes that are still required for states and/or the federal government:

"It is my opinion that the federal government needs to define expectations (outcomes) clearly and precisely if someone is going to receive federal funding. If we are looking at building a national resiliency and capacity program, then the Feds need to step up and say exactly what that is and the minimum standards and requirements that are associated with that if federal funds are involved. Then there must be some method of assurance/compliance/measure that it has been achieved with those funds." –*Debra Robinson*, Director, Medical Reserve Corps Project, National Association of County and City Health Officials (NACCHO)

"(1) National policy of risk/resilience analysis as the core logic; (2) development of competent, consistent, risk-based investment and performance evaluation metrics and tools specifically for simultaneously analyzing both public and private perspectives on all levels from individual critical facility to the full region (in a form permitting aggregation to state and nation); and (3) designation of one suite of such tools as those to be used for a minimally acceptable plan or grant application. The methodology would be leverage for moving away from simplistic 'capabilities' approaches and toward sound security/resilience investments and programs in which benefits and costs are aligned. Insurance, credit-rating, and standards development organizations could, perhaps with federal prompting, offer incentives for regions to adopt such approaches

even as federal funds are decreased. An example is the third-party rating of fire departments that can result in lower area-wide insurance costs for areas supported by high-performing fire departments." –*Jerry P. Brashear*, Managing Director, The Brashear

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[4] Following are some suggestions for how the federal government can foster models and guidelines to facilitate development and implementation of cross-jurisdiction coordination and resilience action plans:

"Bring generic models that the states and regions can customize to the demographics, vulnerabilities, and hazards." –*Martha T. Hicks*, Registered Nurse, Escambia County Health Department, Florida

"Stop the silo approach among public health, healthcare organizations, and homeland security. Integrate and align the programs, especially in the areas of education and exercises, and encourage better alignment with and between national Homeland Security, CDC Public Health Preparedness Program, and ASPR Healthcare Organization Program. ASPR needs to develop a greater degree of flexibility for the support of the joint efforts at the state and regional levels of operation." –*Kenneth Martin Palmer*, FACHE Director, Healthcare Preparedness Program, Tennessee Department of Health

"Publish best practices and include higher education." –*Ronald Campbell*, Emergency Management Coordinator, University of North Carolina at Chapel Hill

"It might be better if the federal government provided a public-private forum – not directly government operated or directed – to research and develop a template for coordination and resilience plans. Federal efforts are often too rigid and uninformed. State and local governments too often reject federally stipulated programs and processes." –*Stephen Grainer*, Chief of IMS Programs, Virginia Department of Fire Programs

"Assist communities in developing and enforcing the National Flood Insurance Program (NFIP) Model Floodplain Ordinance. Local governments do not have the resources to battle large corporations when it comes to development in high-risk areas." –*Anthony S. Mangeri, Sr.*, Manager of Fire and Emergency Management Initiatives, American Public University System

"Maintain MMRS-like programs for both mass casualty preparedness and other inter-agency activities (such as coordinated exercises)." –*Paul Weichselbaum*, Program Coordinator, Onondaga County Health Department, New York

"Regionally distribute funds and assistance and make regional cooperation, coordination, and benefit a condition of receiving federal funds and assistance. Also, realize that the threats to Tier II UASI urban areas are as real as those to Tier I UASI urban areas and that their local and regional fiscal resources to deal with potential targets and threats may not be as robust as those of the Tier I UASI urban areas." –*Larry Spencer*, Captain, current Company Commander/Fire Station 22, Virginia

[5] *Hanh Truong*, a critical infrastructure planner at the Texas Fusion Center/ Texas Homeland Security Unit of the Texas Department of Public Safety's Intelligence and Counterterrorism Division, stated that her office used the National Infrastructure Protection Plan only as guidance.

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[6] The following regional approaches were suggested for driving investments in mitigation and/or protection measures:

"For better results, include local businesses in the planning process. They get their name out – free publicity – and it helps the community with planning for emergencies." –*Henry F. Miller III*, Acting Lieutenant/Firefighter, Georgia

"Bring back legacy programs that showed positive community involvement and success – e.g., project impact, etc." –*Jane Prinz*, Community Partnerships Manager, Virginia

"Building codes and infusion of federal funds to coerce collaboration." –*Joe Manous*, Manager Institute for Water Resources, U.S. Army Corps of Engineers

"The region has to have been shown that the investment in reducing/ mitigation is cheaper than the costs of recovery, otherwise, the money will never be allocated." –*David A. Lane*, Emergency Coordinator, Prince William County Amateur Radio Emergency Service, Virginia

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[7] Respondents offered a few examples of guidelines for regional resilience collaboration outcomes that have worked: American Red Cross disaster planning model for creating scalable, coordinated, actionable plans; Northern California's National Disaster Resilience Center; Louisiana State University's Resilience Center; local/regional coalitions; and DC Council of Governments with regard to public safety.

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[8] Culture was expressed by many respondents as the number one impediment for regional collaboration:

"Culture – there is a lack of a regional entity that has the authority or mission to coordinate on a day-to-day basis or during an emergency. My suggestion would be bring the state closer to the locals in the form of a regional EOC. This could be in a current state facility with alternates at non-impacted county EOCs. Staffing could be provided by state employees in the region augmented by county staff. Day to day, state staff could review plans, conduct training, etc. in the regions and establish those relationships with the locals within their region. California has a model similar to what I am proposing. However, in Florida, there would have to be quite a shift in culture for this to move forward." –*David A. Donnelly*, Emergency Management Director, Alachua County Fire Rescue, Florida

"Culture is probably the biggest obstacle. The paid versus volunteer, and urban versus rural." *–Joe Casper*, Team Leader, Southtowns Hazardous Materials Response Team, New York

"Culture. All too often, regional councils are focused only on transportation, sanitation, and water issues. What's missing is the 'Whole Community' approach and convincing the leadership that resilience is a win-win for everyone." *–Ellis Stanley*, Vice President, Dewberry, Georgia

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[9] Other tangible regional collaboration outcomes and sustainable capabilities that regions have been able to achieve, either with preparedness grants or independent of federal support:

"Baltimore UASI health and medical committee has developed a regional cache of supplies as well as an Alternate Care Site. The committee is representative of the Region III hospitals, health departments, emergency management, and EMS in the state of Maryland. These items were achieved with UASI funds as well as HPP funds." *–Nikesha Kersey*, Director, Emergency Preparedness and Response Program, Howard County Health Department (Maryland)

"A regional hazardous materials team is in place. Using that team as a blueprint, the region is in the process of establishing several other specialized teams. There is also a statewide task force, TF 2, located in our area, which is able to respond to collapses, water emergencies, trench rescues, etc." *–Damon La Manna*, Hazardous Materials Lieutenant, West Albany Fire District, Town of Colonie, New York

"Our region has the ASPR preparedness committee that I participate with. We use yearly grant funding from the state, passed down from the federal agency, to develop plans, acquire equipment and supplies, and train for preparedness." *–Forrest Hicks*, Coroner, Wayne County, Kentucky

"We are doing extremely well with developing community emergency operations plans that connect the public and private sectors as well as volunteers – i.e., CERT members. We are working hard on interoperability, but funding is a large constraint for accomplishing objectives in a timely manner." *–Lee Bennett*, Technical Instructor, Virginia

"We have developed regional caches of equipment and supplies to respond across the region or state as necessary." *–James Pate*, Strategic Planning and Emergency Operations Manager, Florida

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[10] Texas Department of Public Safety website: http://www.txdps.state.tx.us/dem/stateLocalOrganizations.htm

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[11] Texas Office of the Governor website: http://governor.state.tx.us/news/executive-order/3631/

[12] Texas Forest Service website: http://txforestservice.tamu.edu/main/article.aspx?id=9216

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[13] Respondents from other regions identified various decision-making mechanisms for identifying security and resilience improvements within their regions, including but not limited to: council of governments sub-groups; regional disaster medical committees; regional health departments; emergency management agencies; coalitions; regional task forces; Joint Federal Committee; local emergency planning committees; operation security plans; UASI working groups; regional emergency response groups; politicians; and outside contractors.

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[14] For an excellent discussion on the statutory authority for Indiana's establishment of its homeland security district governance structure – the District Planning Councils – see Indiana State Department of Health's Indiana District Planning Council Guidance Document (Revised), November 2008, "Annex C – IDHS Opinion on Legal Standing of Homeland Security Districts," pp. 43-46, http://www.in.gov/dhs/files/Indiana_District_Planning_Council_Guidance_Document_-_Final_Draft_11-2008.pdf.

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[15] Additional information can be found at the Rx Response program website: http://www.rxresponse.org/about/Pages/FAQs.aspx

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[16] Other examples of successful public-private partnerships for disaster resilience:

"Two systems were created to provide two-way support – one is a communications system that provides emergency messages to registered businesses and the other supports mutual aid by the private sector to the emergency management agency in advance of a disaster. Special programs were provided to enable the networking of businesses with key utility providers so that each can understand the dependence on utilities to continue mission critical operations." –*Kathleen Criss*, Director of Preparedness Operations, University of Pittsburgh Medical Center

"A regional public health coordination team meets once a month with health department preparedness coordinators in 12-county region to provide guidance and share information." –*Bobby Kennedy*, Preparedness Coordinator, Mecklenburg County Health Department, North Carolina

"In the Middle Tennessee region, a preponderance of the healthcare facilities is private for profit and we work with the non-profit hospitals to provide a regional based response whenever there is a need. We have mutual aid agreements and patient transfer agreements in case one or more facilities are impacted in a disaster." –*Lee Trevor*, Disaster Preparedness Coordinator, TriStar Summit Medical Center

"One of the partnerships has been with the Publix supermarkets and Walgreens, which have hardened their facilities in an effort to continue providing services to the community post-storm." –*Gilbert Fernandez*, FPEM Manager of Safety and Workers' Compensation, Florida

"Some commercial recovery companies have joined VOAD to provide job estimation support and brief project consultation to support problematic cases." –*Brenda Pittman*, EMS and CISM Coordinator, Lancaster County, Pennsylvania

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[17] During one of the Southwest teleconferences, Waller County Judge *Glenn Beckendorff* encouraged that, at a minimum, smaller resource-constrained counties should not hesitate to build collaborative relationships with more populated and prosperous counties with more capabilities.

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[18] Michigan-based Coast Guardsman *Steven Keck* argued for passing on the knowledge to students of a much younger generation. Federal dollars, he said, should go toward elementary school education and drills, and he put forth a representative idea of "Pete, the Preparedness Puppy" as a school mascot modeled on the post-World War II U.S. Forest Service's Smokey the Bear campaigns that raised forest fire safety awareness. Similarly, a K-12 personal self-reliance education program could be fashioned in the same way as home fire prevention.

APPENDIX A
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APPENDIX B
Abbreviations

ACAMS	Automated Critical Asset Management System
ASPR	Office of the Assistant Secretary for Preparedness and Response
BACSPP	Bay Area Cross-Sector Partners in Preparedness (California)
BENS	Business Executives for National Security
CDC	Centers for Disease Control and Prevention
CERT	Community Emergency Response Team
CISM	Critical Incident Stress Management
CRCOG	Capitol Region Council of Governments (Connecticut)
CREPC	Capitol Region Emergency Planning Committee (Connecticut)
DHS	Department of Homeland Security
EMS	Emergency Medical Services
EOC	Emergency Operations Center
FBI	Federal Bureau of Investigation
FEMA	Federal Emergency Management Agency
HHS	Department of Health and Human Services
HPP	Hospital Preparedness Program
IDHS	Indiana Department of Homeland Security
IIFC	Indiana Intelligence Fusion Center
InWARN	Indiana Rural Water Association's Water/Wastewater Agency Response Network
MMRS	Metropolitan Medical Response System
NACCHO	National Association of County and City Health Officials
NCRIC	Northern California Regional Intelligence Center
NEDRIX	Northeast Disaster Recovery Information Exchange
NFIP	National Flood Insurance Program
PHEP	Public Health and Emergency Preparedness
PhRMA	Pharmaceutical Research and Manufacturers of America
RESIN	Resilient and Sustainable Infrastructure Networks (California)
SAA	State Administrative Agency
SCAN	Security Communication Access Network (Connecticut)
SWTRFC	Southwest Texas Regional Fusion Center
TDEM	Texas Division of Emergency Management
TETN	Texas Evacuation Tracking Network
TIFMAS	Texas Intrastate Fire Mutual Aid System
TX-TF1	Texas Task Force 1
UASI	Urban Area Security Initiative
VOAD	Voluntary Organizations Active in Disaster

APPENDIX C
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Sean Ghio, 2-1-1 Project and Performance Management, United Way of Connecticut

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William Gleason, U.S. Department of Homeland Security

Russell L. Glenn, Oregon State University

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Jubenal Gonzalez, American Military University

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Annette Wolf, Village of Fox Lake

Harold R. Wolgamott, City of Gonzales

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For what type of company/agency do you work?						
	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Fire Service	10.1%	10.7%	10.2%	11.4%	14.3%	9.2%
Law Enforcement	5.6%	0.9%	5.1%	6.3%	8.2%	4.6%
EMS	8.9%	1.8%	6.8%	3.1%	6.1%	3.1%
Emergency Management	15.6%	9.8%	10.2%	8.2%	20.4%	16.9%
Public Health	16.7%	8.9%	30.5%	21.6%	16.3%	18.5%
Hospital (including VA)	13.3%	2.7%	5.1%	11.3%	6.1%	6.2%
Federal Government	3.3%	11.6%	5.1%	1.0%	4.1%	1.5%
Military	0.0%	4.5%	5.1%	3.1%	4.1%	0.0%
State/Local Government	13.3%	4.5%	8.5%	10.3%	10.2%	13.8%
Non-Government Organizations (NGOs)	4.4%	4.5%	1.7%	0.0%	4.1%	3.1%
Privately Owned Company	2.2%	19.6%	8.4%	8.2%	0.0%	12.3%
Publicly Traded Company	2.2%	1.8%	0.0%	8.2%	0.0%	1.5%
Academic Institution	1.15	4.5%	3.3%	2.1%	4.1%	6.2%
Student	0.0%	1.8%	0.0%	2.1%	0.0%	0.0%
Other	3.3%	12.4%	0.0%	3.1%	2.0%	3.1%

In what sector do you work?						
	Northeast	Mid-Atlantic	Southeast	Midwest	Southwest	West
Local government	43.3%	18.6%	39.0%	49.5%	43.1%	43.9%
State government	15.5%	8.0%	25.4%	10.9%	19.6%	15.2%
Federal government	6.2%	22.1%	13.6%	6.9%	13.7%	6.1%
Private sector	11.3%	24.8%	16.9%	19.8%	11.8%	18.2%
Non-Government Organizations (NGO)	2.1%	5.3%	1.7%	4.0%	0.0%	0.0%
Non-profit	15.5%	11.5%	3.4%	7.9%	9.8%	9.1%
None of the above	6.1%	9.7%	0.0%	1.0%	2.0%	7.5%

APPENDIX D
Regional Consortium Coordinating Councils
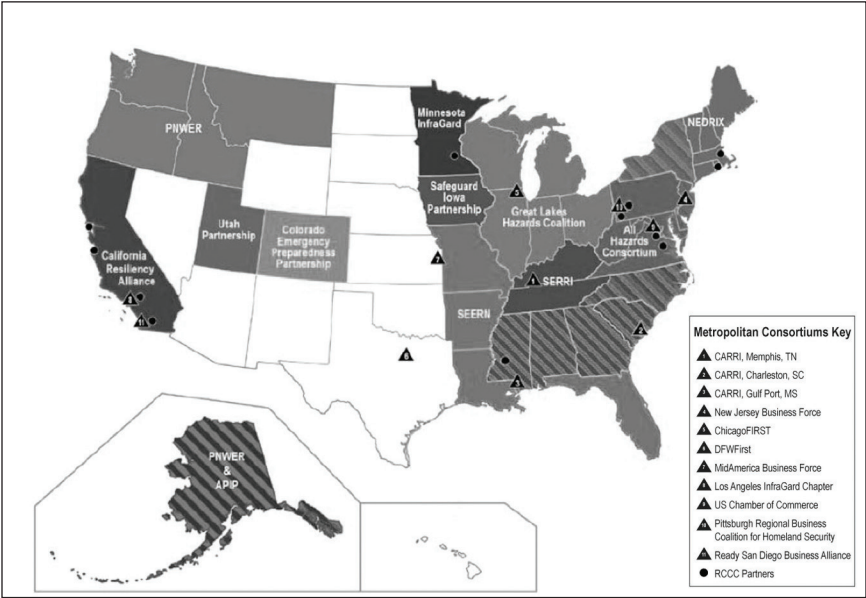
Source: Great Lakes Hazards Coalition.

APPENDIX E
Survey Methodology and Survey Data

The survey fielded by DomPrep highlights the importance of active participation by membership in informing the opinions and concerns of the domestic preparedness community at large. This survey serves as an important first step toward quantifying the state of domestic preparedness and ensuring that the capabilities that have been realized in the past several years do not erode in this era of shrinking public-sector budgets. The survey reflects the assessments of nearly 500 domestic preparedness experts on a variety of preparedness-related topics. However, it should be noted that this survey is more rightly thought of as a pilot study than a rigorous effort to collect data that would allow DomPrep to make inferences about its entire membership or the field of domestic preparedness individuals, as a whole.

To collect these data, the DomPrep team sent email solicitations to the entirety of the DomPrep readership. A follow-up email was sent to all non-respondents. Select regions were sent a second follow-up solicitation, for a total of three contacts. The results of these two (or three) solicitations are what constitute the survey data presented in this report. Nearly seven percent of the population (RR = 6.8%) responded to the survey, which can be quite robust, depending on what is being measured. However, due to the lack of systematic sampling and some unknown characteristics about the DomPrep population, it cannot be said that those who chose to respond adequately represent the entire population.

These survey data highlight the need and utility of a more rigorous examination of the impact of the current budget environment on domestic preparedness, and also demonstrate the potential for DomPrep readers to play a critical role in informing these issues. If these data are found to be reflective of the beliefs of the larger domestic preparedness sector, there could be a pronounced need to focus on horizontal data structures and bottom-up solutions. However, in the absence of a more rigorous study, it is difficult to know, with any degree of certainty, the prevailing prescriptions from the domestic preparedness community.

Feedback provided by
NORC at the University of Chicago

Supporting Organizations

American Military University (AMU)

INFRAGARD

International Association of Emergency Managers (IAEM)

MESH Coalition

National Association of County and City Health Officials (NACCHO)

Naval Postgraduate School Center for Homeland Defense and Security (CHDS)

The Infrastructure Security Partnership (TISP)

U.S. Chamber of Commerce, National Security Task Force

To meet our preparedness goals, the Whole Community must be actively involved in all phases of the preparedness, response, and recovery cycle. As a concept, Whole Community is a means by which residents, emergency management practitioners, organizational and community leaders, and government officials can collectively understand and assess the needs of their respective communities and determine the best ways to organize and strengthen their assets, capacities, and interests.

By doing so, a more effective path to societal security and resilience is built.

W. Craig Fugate
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Federal Emergency Management Agency
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