

Innovative Programs in Funding State Homeland Security Needs

A Special Series Report of the Southern Legislative Conference

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Introduction

By the latter part of 2007, the negative effects of a slowing national economy had begun percolating across the country and affecting the finances of some states. By early 2008, this national economic slowdown became more apparent with the release of the gross domestic product (GDP) figures for the final quarter of 2007 and a number of additional statistical measures such as weakening consumer spending, mounting inflation rates, tightening credit, rising unemployment levels, dropping housing values and surging foreclosure rates.

The adverse implications of the collapse in the housing and construction sectors in many areas of the country—precipitated by the unraveling of the sub-prime mortgage sector and the ensuing meltdown in the mortgage industry—continue to apply tremendous fiscal pressures on the national and state economies. Additionally, the unprecedented rise in energy prices and the severe tightening in the credit markets pose complicated fiscal challenges to policymakers at every level of government. Consequently, by spring 2008, dozens of states faced the unenviable prospect of dipping revenues and growing budget shortfalls in the next few fiscal years.

Prior to the national economic slowdown that began in the latter part of 2007, state revenue inflows had improved significantly in the previous three fiscal years, especially when compared to the depths to which they had plunged in the early years of this

decade. Although state policymakers were buoyed by these increased revenues, they realized that states faced a series of major expenditure categories in the coming years (healthcare, education, pensions, transportation and infrastructure) along with sizable expenses related to emergency preparedness and emergency management for both natural and human-related disasters.

State policymakers play a crucial role in preparing for and responding to natural disasters (e.g., Hurricane Katrina), accidents (e.g., Minnesota Bridge Collapse), and other types of major emergencies (pandemic flu preparedness) and terrorist strikes (e.g., September 11, 2001, attacks). Specifically, governors and their staff are responsible for liaising with state and local government personnel in enacting a range of preventive measures and then coordinating the state's response to these emergencies and disasters. Not only are state and local personnel

the first line of defense in preparing for and in responding to these emergencies, they are likely to be the officials spending the most time at the scene of the emergency.

Since the September 11, 2001, attacks, the federal government has played a more active role in helping state and local governments prepare and respond to myriad emergencies, mainly through the Homeland Security Grant Program (HSGP) operated by the federal Department of Homeland Security (DHS).¹ According to federal data, total HSGP funding to the states between fiscal years 2002 and 2007 totaled \$11.6 billion with the following annual breakdowns: \$315.7 million in fiscal year 2002; \$2.7 billion in fiscal year 2003; \$2.9 billion in fiscal year 2004; \$2.3 billion in fiscal year 2005; \$1.7 billion in fiscal year 2006; and \$1.7 billion in fiscal year 2007.² As evident from these figures, federal funds to the states under the HSGP have decreased in the last few years despite heightened threats and increasing federal homeland security requirements on state and local governments.*

In response to dwindling federal homeland security funds, states have been forced to devise and implement a range of innovative programs to enhance their security and response capabilities. Except for some anecdotal information, to date, there is little comprehensive data on these programs. Therefore, an examination of certain innovative state programs is instructive to other states as they seek to maximize use of the federal homeland security grants awarded to them.

* The phrases fiscal year and federal fiscal year will be used interchangeably in this report but all such references refer to the federal fiscal year, unless otherwise specified.

Methodology

This project was prompted, in part, by an inquiry forwarded to the SLC by Kansas state Senator Jay Scott Emler in May 2007 regarding information on innovative programs introduced by states in reaction to the declining level of federal homeland security funds in recent years.

Upon discovering that no substantive compilation or inventory of such programs existed, the SLC obtained the assistance of the National Emergency Management Agency (NEMA), an affiliate of The Council of State Governments (CSG), in securing contact information for state homeland security and emergency management directors.

The SLC, with the assistance of Senator Emler, drafted a survey to glean information from state directors regarding homeland security programs, with particular attention given to innovations necessitated by diminished federal funding. In order to amass the latest and most accurate information, the SLC report authors contacted officials in the emergency management and homeland security agencies in a number of states to prepare this report. The information received from states is analyzed and presented in the final section of this three-part report.

The first part of this report is an examination of the federal funding for state projects through the HSGP from fiscal years 2002 to 2007. This segment examines the levels of federal funding to states under the different programs during each of these years and how federal funding for state programs changed during that time. It

also articulates the current, general status of states in regard to the onus of attaining satisfactory homeland security status for their populations.

The second part examines the particular public safety repercussions resulting from diminished federal homeland security funding. Specifically, this section examines the current implications of inadequate border security and public health preparedness throughout the country, and how proper funding for homeland security and emergency management programs in states would help ameliorate such inadequacies. This section pointedly accentuates the dangers inherent in failing to do so.

The final section of this report is an analysis of the information received from states regarding innovative homeland security and emergency management programs enacted in recent years to contend with the cutbacks in federal funding levels. The survey also solicited information from the states on other key features of their homeland security and emergency management programs. These surveys were sent to emergency management and homeland security departments in all 50 states.³ The resulting report highlights notable programs in states from all four of the CSG regions. These states are: Cali-

fornia, Colorado, Delaware, Florida, Georgia, Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Montana, Nebraska, New Jersey, New Mexico, North Carolina, North Dakota, and Wisconsin.

Participants responded to 12 survey questions regarding the following areas:⁴

1. Programs initiated in their state between fiscal years 2002 and 2007 that employ noteworthy strategies for dealing with dwindling federal funds;
2. State homeland security budgets;
3. State efforts to leverage additional federal funds for homeland security matching grants;
4. State spending of federal homeland security funds;
5. Measures to ensure that states are spending their federal homeland security funds efficiently and effectively;
6. Regional collaboration among states;
7. Public-private partnerships in addressing homeland security issues;
8. Interoperability among programs within states;
9. State performance measures related to federal homeland security grant funds;
10. State public health capabilities in preparing for potential emergencies;
11. State homeland security strengths and weaknesses alongside areas for potential improvement with additional funding; and
12. States' most important concerns.

The survey also gave states the opportunity to provide additional information regarding their strategy regarding homeland security issues. Unless explicitly stated, the information contained in part three of the report draws on the responses submitted.

Part I

Status of Federal Homeland Security Funding to the States

Introduction

Among the most critical missions of DHS is the provision to states of financial and non-financial assistance to enhance their capacity to “prevent, protect, respond and recover” from natural disasters, accidents and terrorist attacks.¹ The events of September 11, 2001, completely transformed the role of the federal government in this regard.

Prior to this date, state and local governments were eligible to receive funding from three grant programs: the State Domestic Preparedness Program (SDPP) administered by the U.S. Department of Justice (DOJ) through the Office for Domestic Preparedness (ODP), the Emergency Management Performance Grant (EMPG) Program administered by the Federal Emergency Management Agency (FEMA), and the Metropolitan Medical Response System (MMRS) administered by the U.S. Department of Health and Human Services (HHS).² With the establishment of the federal DHS in 2002, these three programs were augmented with funding for an additional four programs. Furthermore, the existing three programs were refined and re-named in one instance and brought under the aegis of DHS.

According to the coordinator of intergovernmental programs for state

and local government associations for DHS, funding programs to state and local governments is divided into two main categories: those provided through (1) Grants Program Directorate and those provided through (2) National Preparedness Directorate. In turn, Grants Program Directorate is sub-categorized into the HSGP, EMPG, the Infrastructure Protection Program (IPP), Assistance to Firefighters Grant Program (AFG), Staffing for Adequate Fire and Emergency Response Grants (SAFER) and Fire Prevention and Safety Grants (FP&S).

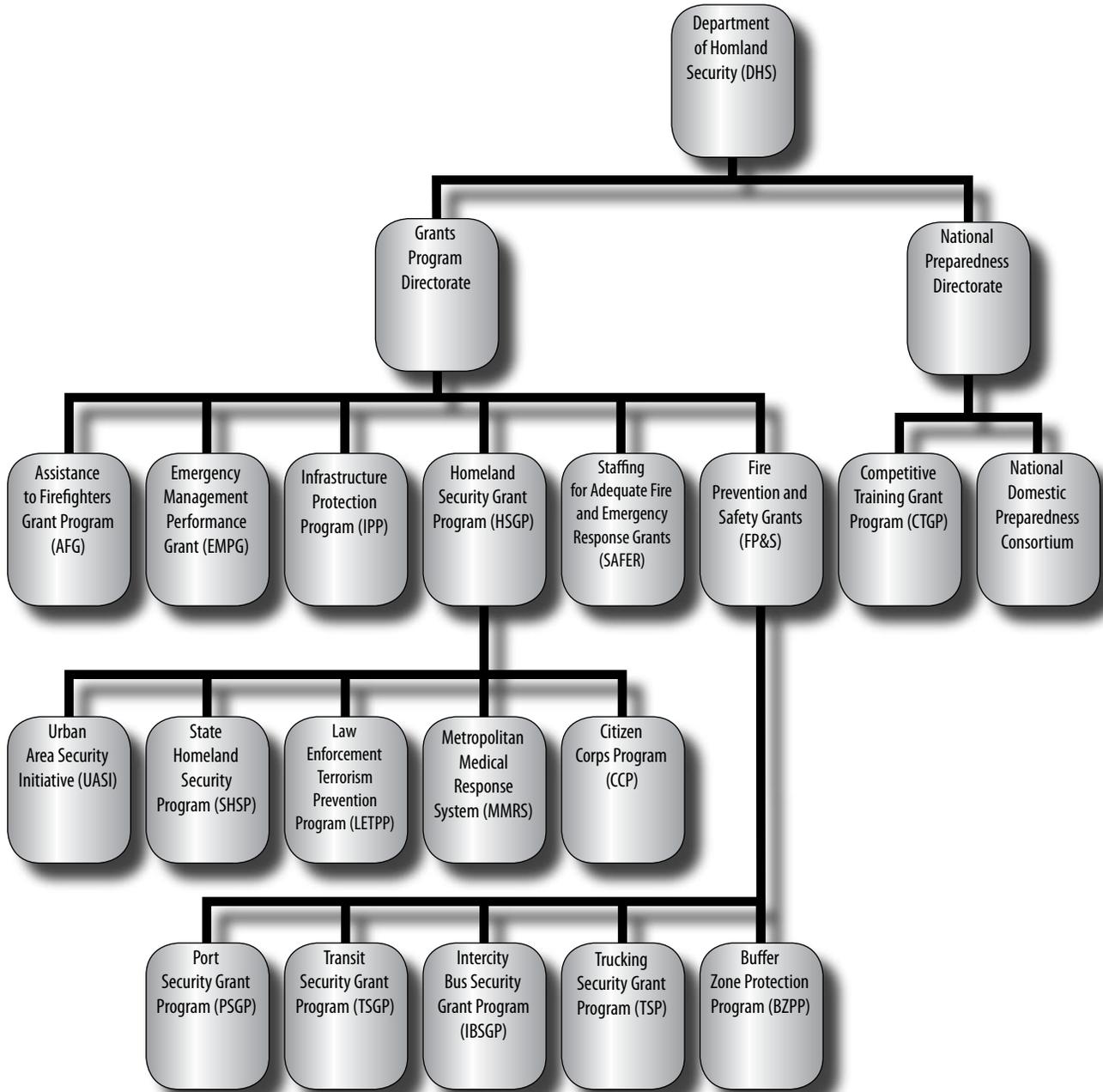
Two of these sub-categories, the HSGP and IPP, are further broken down into the following programs. The HSGP comprises the Urban Area Security Initiative (UASI), State Homeland Security Program (SHSP), Law Enforcement Terrorism Prevention Program (LETTP), MMRS and Citizen Corps Program (CCP). The IPP

includes the following programs: Port Security Grant Program (PSGP), Transit Security Grant Program (TSGP), Intercity Bus Security Grant Program (IBSGP), Trucking Security Grant Program (TSP) and Buffer Zone Protection Program (BZPP).

Finally, the second of the two main categories, the National Preparedness Directorate comprises two sub-categories, the Competitive Training Grant Program (CTGP) and the National Domestic Preparedness Consortium. This hierarchy is graphically presented in Figure 1.

It is important to stress at the outset that while DHS provides funding under these programs to enhance the homeland security needs of state and local governments, these are not the only federal assistance programs with homeland security or public safety components. An array of other federal agencies and departments provides funds under myriad other programs to state and local governments. This report seeks to document and analyze the funds provided to the states by DHS through several of these program categories based on the information secured from DHS. Since state and local governments saw a sharp increase in federal homeland security funds beginning in fiscal year 2002, an analysis of data for fiscal years 2002 through 2007 is presented.

Figure 1» DHS Funding Hierarchy



Homeland Security Grant Program (HSGP)

The HSGP remains one of the most important components of the programs administered through the Grants Program Directorate, one of the two major DHS funding categories. In fiscal year 2007, HSGP funds were

allocated to the states with the goal of funding planning, equipment purchases and training exercises alongside management and administration costs through the following five programs:

1. Urban Areas Security Initiative
2. State Homeland Security Program
3. Law Enforcement Terrorism Prevention Program
4. Metropolitan Medical Response System
5. Citizen Corps Program

While Congress appropriated funding in fiscal year 2007 for each of these five programs separately, Table 1 enumerates the level of funding appropriated in the last six federal fiscal years,

2002 through 2007.* As stated at the outset, the terrorist attacks of September 11, 2001, proved to be the catalyst for substantial federal government involvement in the distribution of homeland security funds to the states, and this is reflected in the considerable expansion in funding levels beginning in fiscal year 2003 (October 1 through September 30).

As reflected in Table 1, between fiscal years 2002 and 2007, total federal homeland security funding under the HSGP program increased by 428 percent, from \$315.7 million in fiscal year 2002 to nearly \$1.7 billion in fiscal year 2007. As expected, the largest increase was experienced between fiscal years 2002 and 2003, immediately after the September 11, 2001, attacks, when federal HSGP funding increased by a formidable 755 percent. In subsequent years, the increase in federal HSGP funding tapered off, and it was only in the very next year, between fiscal years 2003 and 2004, that there was even an increase: an 8 percent increase, from \$2.7 billion to \$2.9 billion. Between fiscal years 2004 and 2005, and also between fiscal years 2005 and 2006, federal HSGP appropriations to the states actually declined by 20 percent (from \$2.9 billion to \$2.3 billion) and by a steep 29 percent (from \$2.3 billion to \$1.7 billion), respectively. For the final year of analysis, between fiscal years 2006 and 2007, the amount appropriated remained static at \$1.7 billion.

Table 1 also enables the conclusion to be drawn that for the six-year review

* Data on the HSGP state allocations for federal fiscal year 2007 remains the most recent made available by the DHS.

period, the largest portion of federal homeland security funds involved the SHSP. Slightly over half (approximately 53 percent) of the total \$11.6 billion appropriated by the federal government between fiscal years 2002 and 2007, or \$6.2 billion, involved funds specifically for programs under this category. As noted, there were five major programs that the federal government funded under the HSGP, and the program that received the second highest proportion of funds during the review period was the UASI, which received 31 percent (or \$3.6 billion of the \$11.6 billion), while the LETPP secured 14 percent (\$1.6 billion). The MMRS and the CCP, the final two programs, received approximately 1 percent of the total funds, \$135.3 million and \$119.6 million, respectively.

Further review of the overall funding levels provided to the states under the HSGP indicates that even though state homeland security needs have not diminished—a valid and strong case can be made that they have increased exponentially—federal appropriation levels under the HSGP have declined. From the high of \$2.7 billion in fiscal year 2003 to the low of \$1.7 billion in fiscal year 2007 (a drop of 37 percent), the declining funding levels have only intensified the burden on states as they grapple with numerous other financial challenges. In justifying the level of funding that the federal government has provided during the review period, DHS makes the point that the allocation of HSGP funds was primarily based on an annual analysis of the areas of the country presumed to be at the greatest risk for either terrorism or other disasters. According to

DHS, annual funding levels also took into consideration the efforts made by individual states in devising and implementing effective solutions to building and sustaining their preparedness capacities.

Major Components of the Homeland Security Grant Program

As indicated earlier, the primary vehicle used by DHS for providing states with funds to enhance their capacity to deal with natural disasters, accidents and terrorist attacks involves the five programs under the HSGP. Based on information extracted from the Congressional Research Service and DHS publications, the following list provides a brief description of each of these programs:

1. *UASI* - This program supports the efforts of eligible high-threat/high-density urban areas seeking to improve their planning and training needs in effectively preventing, protecting, responding and recovering from acts of terrorism. In fiscal year 2007, it also was the largest DHS allocation category to the states under the HSGP. There were 45 urban areas qualifying for assistance under this program in fiscal year 2007 and six of these urban areas (Bay Area, CA; Chicago Area, IL; Houston Area, TX; Los Angeles/Long Beach Area, CA; National Capital Area (Washington, D.C.); New York City/Northern New Jersey Area, NY/NJ) were allocated approximately \$411 million, or 55 percent, of the total \$746.9 million

Grant Program	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	Total
UASI	-	\$596,351,000	\$671,017,498	\$854,656,750	\$710,622,000	\$746,900,000	\$3,579,547,248
SHSP	\$315,700,000	\$2,066,295,000	\$1,675,058,500	\$1,062,285,226	\$528,165,000	\$509,250,000	\$6,156,753,726
LETPP	-	-	\$497,050,000	\$386,285,537	\$384,120,000	\$363,750,000	\$1,631,205,537
MMRS	-	-	\$46,281,496	\$28,221,408	\$28,808,920	\$32,010,000	\$135,321,824
CCP	-	\$37,528,557	\$34,793,500	\$13,485,710	\$19,206,000	\$14,550,000	\$119,563,767
Total	\$315,700,000	\$2,700,174,557	\$2,924,200,994	\$2,344,934,631	\$1,670,921,920	\$1,666,460,000	\$11,622,392,102

Source: FY 2007 Homeland Security Grant Program, U.S. Department of Homeland Security

Table 2» SHSP Funding History Fiscal Years 2002 to 2007

State	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	Award Amount
Alabama	\$5,317,000	\$34,506,000	\$27,972,000	\$17,688,797	\$8,300,000	\$6,010,000	\$99,793,797
Alaska	\$2,783,000	\$18,225,000	\$14,774,000	\$9,368,592	\$4,430,000	\$3,820,000	\$53,400,592
Arizona	\$5,770,000	\$38,617,000	\$31,304,000	\$20,021,731	\$8,660,000	\$9,120,000	\$113,492,731
Arkansas	\$4,141,000	\$26,979,000	\$21,871,000	\$13,854,701	\$4,550,000	\$3,960,000	\$75,355,701
California	\$24,831,000	\$164,279,000	\$133,174,000	\$84,613,815	\$47,580,000	\$55,850,000	\$510,327,815
Colorado	\$5,220,000	\$34,591,000	\$28,041,000	\$17,796,658	\$8,080,000	\$6,430,000	\$100,158,658
Connecticut	\$4,626,000	\$30,158,000	\$24,448,000	\$15,491,248	\$11,160,000	\$5,840,000	\$91,723,248
Delaware	\$2,887,000	\$18,918,000	\$15,336,000	\$9,732,926	\$6,070,000	\$3,820,000	\$56,763,926
Washington, D.C.	\$2,747,000	\$17,916,000	\$14,524,000	\$9,184,053	\$4,270,000	\$5,960,000	\$54,601,053
Florida	\$12,967,000	\$86,309,000	\$69,967,000	\$44,728,449	\$25,590,000	\$25,460,000	\$265,021,449
Georgia	\$7,797,000	\$51,767,000	\$41,964,000	\$26,726,187	\$13,360,000	\$14,240,000	\$155,854,187
Hawaii	\$3,172,000	\$20,772,000	\$16,839,000	\$10,683,582	\$4,490,000	\$3,820,000	\$59,776,582
Idaho	\$3,226,000	\$21,178,000	\$17,169,000	\$10,918,426	\$6,690,000	\$3,820,000	\$63,001,426
Illinois	\$10,604,000	\$68,884,000	\$55,841,000	\$35,298,886	\$19,080,000	\$22,300,000	\$212,007,886
Indiana	\$6,400,000	\$41,593,000	\$33,717,000	\$21,349,773	\$10,820,000	\$8,680,000	\$122,559,773
Iowa	\$4,308,000	\$27,938,500	\$22,650,000	\$14,326,334	\$7,520,000	\$3,840,000	\$80,582,834
Kansas	\$4,151,000	\$27,004,000	\$21,891,000	\$13,849,934	\$7,850,000	\$4,470,000	\$79,215,934
Kentucky	\$5,048,000	\$32,839,000	\$26,621,000	\$16,861,675	\$10,510,000	\$6,420,000	\$98,299,675
Louisiana	\$5,331,000	\$34,488,000	\$27,959,000	\$17,679,253	\$12,020,000	\$9,460,000	\$106,937,253
Maine	\$3,213,000	\$20,983,000	\$17,009,000	\$10,787,521	\$4,390,000	\$3,820,000	\$60,202,521
Maryland	\$5,881,000	\$38,622,000	\$31,310,000	\$19,866,423	\$8,120,000	\$11,800,000	\$115,599,423
Massachusetts	\$6,579,000	\$42,731,000	\$34,640,000	\$21,863,377	\$11,710,000	\$11,800,000	\$129,323,377
Michigan	\$8,958,000	\$58,080,000	\$47,083,000	\$29,739,980	\$15,650,000	\$13,670,000	\$173,180,980
Minnesota	\$5,631,000	\$36,766,000	\$29,804,000	\$18,895,426	\$4,790,000	\$6,580,000	\$102,466,426
Mississippi	\$4,255,000	\$27,665,000	\$22,426,000	\$14,190,727	\$4,650,000	\$3,820,000	\$77,006,727
Missouri	\$6,079,000	\$39,531,000	\$32,046,000	\$20,288,866	\$17,980,000	\$7,490,000	\$123,414,866
Montana	\$2,967,000	\$19,350,000	\$15,687,000	\$9,949,207	\$4,490,000	\$3,820,000	\$56,263,207
Nebraska	\$3,502,000	\$22,822,500	\$18,502,000	\$11,724,020	\$11,200,000	\$3,820,000	\$71,570,520
Nevada	\$3,693,000	\$24,706,000	\$20,028,000	\$12,808,048	\$8,110,000	\$5,610,000	\$74,955,048
New Hampshire	\$3,187,000	\$20,899,000	\$16,942,000	\$10,748,552	\$4,320,000	\$3,820,000	\$59,916,552
New Jersey	\$7,948,000	\$51,893,000	\$42,067,000	\$26,626,137	\$9,170,000	\$14,100,000	\$151,804,137
New Mexico	\$3,574,000	\$23,357,000	\$18,934,000	\$12,016,319	\$4,530,000	\$3,820,000	\$66,231,319
New York	\$14,953,000	\$96,664,000	\$78,362,000	\$49,417,927	\$27,460,000	\$38,810,000	\$305,666,927
North Carolina	\$7,706,000	\$50,748,000	\$41,140,000	\$26,126,856	\$10,780,000	\$11,170,000	\$147,670,856
North Dakota	\$2,794,000	\$18,183,000	\$14,741,000	\$9,336,232	\$6,270,000	\$3,820,000	\$55,144,232
Ohio	\$9,897,000	\$63,888,000	\$51,791,000	\$32,668,546	\$12,630,000	\$16,830,000	\$187,704,546
Oklahoma	\$4,656,000	\$30,300,000	\$24,563,000	\$15,552,074	\$8,480,000	\$5,070,000	\$88,621,074
Oregon	\$4,637,000	\$30,417,000	\$24,658,000	\$15,655,892	\$4,680,000	\$4,530,000	\$84,577,892
Pennsylvania	\$10,512,000	\$67,759,000	\$54,929,500	\$34,676,612	\$12,810,000	\$20,230,000	\$200,917,112
Rhode Island	\$3,063,000	\$20,029,000	\$16,237,000	\$10,291,661	\$4,460,000	\$3,820,000	\$57,900,661
South Carolina	\$5,028,000	\$32,899,000	\$26,670,000	\$16,925,018	\$10,040,000	\$6,130,000	\$97,692,018
South Dakota	\$2,868,000	\$18,722,000	\$15,177,000	\$9,618,052	\$4,380,000	\$3,820,000	\$54,585,052
Tennessee	\$6,140,000	\$40,058,000	\$32,475,000	\$20,585,357	\$4,780,000	\$8,250,000	\$112,288,357
Texas	\$16,196,000	\$107,776,000	\$87,369,000	\$55,743,279	\$26,140,000	\$34,400,000	\$327,624,279
Utah	\$3,849,000	\$25,311,000	\$20,518,000	\$13,046,325	\$4,520,000	\$3,820,000	\$71,064,325
Vermont	\$2,772,000	\$18,110,000	\$14,681,000	\$9,304,415	\$7,220,000	\$3,820,000	\$55,907,415
Virginia	\$7,062,000	\$46,399,000	\$37,614,000	\$23,921,666	\$8,720,000	\$13,650,000	\$137,366,666
Washington	\$6,276,000	\$41,211,000	\$33,408,000	\$21,211,105	\$12,730,000	\$10,030,000	\$124,866,105
West Virginia	\$3,567,000	\$23,132,000	\$18,752,000	\$11,877,517	\$7,570,000	\$3,820,000	\$68,718,517
Wisconsin	\$5,925,000	\$38,550,000	\$31,251,000	\$19,787,345	\$8,710,000	\$7,220,000	\$111,443,345
Wyoming	\$2,696,000	\$17,611,000	\$14,276,000	\$9,049,826	\$4,420,000	\$3,820,000	\$51,872,826
TOTALS	\$315,700,000	\$2,066,295,000	\$1,675,058,500	\$1,062,285,226	\$528,165,000	\$509,250,000	\$6,156,753,726

Source: FY 2007 Homeland Security Grant Program, U.S. Department of Homeland Security

Note: Additional grants—generally smaller—not included in Table 2, also were awarded to several U.S. territories and protectorates and will account for any discrepancies reflected in the totals in the last row.

awarded. The remaining 45 percent, or \$336 million, was distributed among the other 39 qualifying urban areas.

2. *SHSP* - Funding to the states under this program category remains the second largest (at \$509.2 million in fiscal year 2007) among the five program categories. Funds provided under this program category are designed to enhance the homeland security capacities of the 50 states (along with Washington, D.C. and several U.S. territories and protectorates) in planning, equipping, training and conducting exercises. While awards were based on a risk analysis and the anticipated effectiveness of the proposed investments by the states, each state received a minimum of 0.75 percent (or \$3.8 million) of the total SHSP funding amount.
3. *LETPP* - The third highest funded program category in fiscal year 2007 at \$363.8 million, this program provides resources to law enforcement and public safety communities to bolster terrorism prevention activities, including establishing and enhancing fusion centers and collaborating with non-law enforcement partners, other government agencies and the private sector. Funds were awarded on the basis of risk and the anticipated effectiveness of the awarded funds with each state receiving a minimum allocation of 0.75 percent (or \$2.7 million) of the total LETPP funds available.
4. *MMRS* - This funding category—amounting to \$32 million in fiscal year 2007—is designed to assist local preparedness groups in responding to an ‘all-hazards mass casualty incident’, including chemical, biological, radiological, nuclear and explosive (CBRNE) terrorism; disease outbreaks of epidemic proportions; natural disasters; and large-scale, hazardous materials incidents. As in previous years, 124 cities were eligible for MMRS funding. Each of these jurisdictions received \$258,145 to establish and sustain local capabilities.

5. *CCP* - The final program funding category, also the smallest of the five programs (\$14.5 million in fiscal year 2007), focuses on programs that coordinate activities between community and government leaders in emergency preparedness, planning, mitigation, response and recovery. Each of the 50 states received a minimum 0.75 percent of the total available grant funding.

Funding History of the Homeland Security Grant Program

A more complete analysis of the fiscal year 2007 HSGP awards made by DHS to the states involves a review of the funding history under this grant category dating back to fiscal year 2002, the year after the September 11, 2001, attacks, when a premium was placed by the federal government on bolstering the capacity of states to deal with a wide range of emergencies. As detailed earlier, DHS made a series of funding allocations to five specific program categories. The analysis presented focuses on three of these categories—SHSP, LETPP and MMRS—as these programs lend themselves to a more detailed, 50-state analysis over the different fiscal years in the review period.

Table 2 provides details on the funding awards made to each of the 50 states and Washington, D.C. for the SHSP category between fiscal years 2002 and 2007.

Table 2 documents that funding allocations by DHS under the SHSP were volatile between fiscal years 2002 and 2007. Specifically, from \$315.7 million in fiscal year 2002, DHS funds increased significantly to \$2.1 billion in fiscal year 2003, a staggering 554 percent growth rate in the cumulative number provided to the 50 states and Washington, D.C. As expected, the major reason for this explosive growth level was the September 11, 2001, attacks during the prior fiscal year (2002) and the urgent need to provide funds to the states to bolster their homeland security preparedness level.

By fiscal year 2004, the level of funding fell to \$1.7 billion (a drop of 19 percent) and then to \$1.1 billion in fiscal year 2005 (a further reduction of 37 percent) and, even more precipitously, to \$528 million (a 50 percent reduction) in fiscal year 2006. Finally, in fiscal year 2007, the funding declined further to \$509 million, a drop of about 4 percent. Except for the spurt in funding in the fiscal year following the September 11, 2001, attacks, federal government funding to the states under this program category has continued to dwindle from a high of \$2.1 billion in fiscal year 2003 to \$509 million in fiscal year 2007.

Further examination of the SHSP demonstrates that between fiscal years 2002 and 2007, five states (Iowa, Mississippi, Arkansas, Oregon and Utah) actually experienced a decline in funds. Even though the average percentage growth rate for the 50 states and Washington, D.C. between these fiscal years was 44 percent, Iowa saw the steepest decline (11 percent). Conversely, the remaining 45 states and Washington, D.C. all saw an increase in funding, with New York receiving the largest boost in funds from nearly \$15 million in fiscal year 2002 to \$38.8 million in fiscal year 2007, a growth of 160 percent. Five additional states secured funding increases over these six fiscal years that reached triple-digit percentage levels (California, Florida, Illinois, Maryland and Texas).

In fiscal year 2003, the fiscal year with the most significant percentage increase in SHSP funding, the average growth was 554 percent, with Arizona and Nevada experiencing the highest percentage increase (569 percent) and Pennsylvania the lowest percentage increase (545 percent). In both fiscal years 2004 and 2005, all the states and Washington, D.C. experienced declines of 19 percent and nearly 37 percent, respectively. In fiscal year 2006, while the average decline was 50 percent, the state with the steepest drop was Tennessee (-77 percent), while Nebraska (-4 percent) experienced the lowest decline. In fiscal year 2007, while the average decline was 8 percent, Nebraska experienced the sharpest drop (-66 per-

**Table 3» SHSP Cumulative Funding Rankings
Fiscal Years 2002 to 2007**

State	Funding Amount	Ranking
California	\$510,327,815	1
Texas	\$327,624,279	2
New York	\$305,666,927	3
Florida	\$265,021,449	4
Illinois	\$212,007,886	5
Pennsylvania	\$200,917,112	6
Vermont	\$55,907,415	46
North Dakota	\$55,144,232	47
Washington, D.C.	\$54,601,053	48
South Dakota	\$54,585,052	49
Alaska	\$53,400,592	50
Wyoming	\$51,872,826	51

Source: FY 2007 HSGP, U.S. Department of Homeland Security

cent), and Tennessee saw the most significant increase (73 percent).

Another important layer of analysis involves the total funds received by the states and Washington, D.C. during the six-year review period. While all 50 states and Washington, D.C. received \$6.2 billion cumulatively under the SHSP, 27 states and Washington, D.C. received between \$52 million and \$100 million; the remaining 23 states received more than \$100 million. Moreover, six states (Pennsylvania, Illinois, Florida, New York, Texas and California) all received more than \$200 million. At the other end of the spectrum, Wyoming, Alaska, South Dakota, Washington, D.C., North Dakota and Vermont received the least amount of funds under the SHSP. Table 3 demonstrates these rankings.

In addition to the SHSP grants, DHS also awarded funds to the 50 states and Washington, D.C. under the LETPP. Table 4 presents the details of the awards under the LETPP for fiscal years 2004 through 2007. Fiscal year 2004 was the first year that awards under this program were made by DHS to the states.

As illustrated in Table 4, DHS first provided \$497 million in funds to the 50 states and Washington, D.C. under the LETPP in fiscal year 2004. In the subsequent three fiscal years, the total LETPP fund allocations continued to

decline to \$386.3 million (-22 percent) in fiscal year 2005 to \$384.1 million (-1 percent) in fiscal year 2006, and to \$363.8 million (-5 percent) in fiscal year 2007.

While there continued to be a great deal of variation in the funding allocations under this category to the states during the review period, in fiscal year 2005, nearly all the states experienced a 22 percent decline. This scenario changed in the subsequent two fiscal years. In fiscal year 2006, while the average change among the 50 states and Washington, D.C. amounted to -7 percent, 20 states saw an increase in their LETPP funding while the remaining 30 states and Washington, D.C. faced a decrease. Connecticut experienced the steepest decline (-67 percent), while New York saw the sharpest increase (45 percent). In the final fiscal year, 2007, only 15 states received an increase in funding compared to the prior year, while 35 states and Washington, D.C. all encountered a decline. In this instance, the average change for the 50 states and Washington, D.C. amounted to -3 percent. The state with the most precipitous drop was West Virginia (-50 percent), while Connecticut received a 125 percent appreciation in LETPP funding over the prior fiscal year.

In terms of funding levels between fiscal years 2004 and 2007, 48 states and Washington, D.C. endured a cut-

back in LETPP; only California (barely in the positive range at 1 percent) and New York (19 percent) saw an increase in funds. At the other end of the spectrum, Iowa and Mississippi both had cutbacks between the two fiscal years that amounted to -59 percent. On average, the percentage change between fiscal year 2004 and 2007 amounted to a decline of -34 percent.

As in the SHSP funding category, an important layer of analysis of the LETPP funding involves the total funds received by the states and Washington, D.C. during the four-year review period (fiscal years 2004 through 2007). Thus, while all 50 states and Washington, D.C. received \$1.6 billion cumulatively under the LETPP, 22 states and Washington, D.C. received between \$13.3 million and \$20 million; 13 states received between \$20.2 million and \$30 million; seven states received between \$30.2 million and \$40 million; three states received between \$43.8 million and \$48.4 million; and the remaining six states (Pennsylvania, Illinois, Florida, New York, Texas and California) received between \$54.4 million and \$152.5 million. At the other end of the spectrum, Wyoming, Alaska, South Dakota, Vermont and Nebraska received the least amount of total funds under the LETPP during the review period. Table 5 demonstrates these rankings.

Table 4» LETPP Funding History Fiscal Years 2004 to 2007

State	FY 2004	FY 2005	FY 2006	FY 2007	Total Award Amount
Alabama	\$8,300,000	\$6,432,289	\$6,030,000	\$4,290,000	\$25,052,289
Alaska	\$4,384,000	\$3,406,760	\$3,230,000	\$2,730,000	\$13,750,760
Arizona	\$9,289,000	\$7,280,630	\$6,290,000	\$6,520,000	\$29,379,630
Arkansas	\$6,490,000	\$5,038,073	\$3,310,000	\$2,830,000	\$17,668,073
California	\$39,517,000	\$30,768,660	\$42,370,000	\$39,880,000	\$152,535,660
Colorado	\$8,321,000	\$6,471,512	\$7,600,000	\$4,600,000	\$26,992,512
Connecticut	\$7,255,000	\$5,633,181	\$1,850,000	\$4,170,000	\$18,908,181
Delaware	\$4,551,000	\$3,539,246	\$4,050,000	\$2,730,000	\$14,870,246
Washington, D.C.	\$4,310,000	\$3,339,656	\$3,110,000	\$4,250,000	\$15,009,656
Florida	\$20,762,000	\$16,264,891	\$18,610,000	\$18,180,000	\$73,816,891
Georgia	\$12,452,000	\$9,718,613	\$11,430,000	\$10,170,000	\$43,770,613
Hawaii	\$4,997,000	\$3,884,939	\$3,260,000	\$2,730,000	\$14,871,939
Idaho	\$5,095,000	\$3,970,337	\$4,870,000	\$2,730,000	\$16,665,337
Illinois	\$16,570,000	\$12,835,959	\$18,200,000	\$15,930,000	\$63,535,959
Indiana	\$10,005,000	\$7,763,554	\$5,090,000	\$6,200,000	\$29,058,554
Iowa	\$6,721,000	\$5,209,576	\$5,470,000	\$2,750,000	\$20,150,576
Kansas	\$6,496,000	\$5,036,340	\$5,710,000	\$3,200,000	\$20,442,340
Kentucky	\$7,899,000	\$6,131,518	\$4,320,000	\$4,590,000	\$22,940,518
Louisiana	\$8,296,000	\$6,428,819	\$8,740,000	\$6,760,000	\$30,224,819
Maine	\$5,047,000	\$3,922,735	\$3,200,000	\$2,730,000	\$14,899,735
Maryland	\$9,291,000	\$7,224,154	\$5,910,000	\$8,430,000	\$30,855,154
Massachusetts	\$10,279,000	\$7,950,319	\$10,240,000	\$8,430,000	\$36,899,319
Michigan	\$13,971,000	\$10,814,538	\$11,390,000	\$9,760,000	\$45,935,538
Minnesota	\$8,844,000	\$6,871,064	\$3,490,000	\$4,690,000	\$23,895,064
Mississippi	\$6,655,000	\$5,160,264	\$3,390,000	\$2,730,000	\$17,935,264
Missouri	\$9,509,000	\$7,377,769	\$5,610,000	\$5,350,000	\$27,846,769
Montana	\$4,655,000	\$3,617,894	\$3,260,000	\$2,730,000	\$14,262,894
Nebraska	\$5,490,000	\$4,263,280	\$1,540,000	\$2,730,000	\$14,023,280
Nevada	\$5,943,000	\$4,657,472	\$4,180,000	\$4,000,000	\$18,780,472
New Hampshire	\$5,027,000	\$3,908,565	\$3,140,000	\$2,730,000	\$14,805,565
New Jersey	\$12,483,000	\$9,682,232	\$7,540,000	\$10,060,000	\$39,765,232
New Mexico	\$5,619,000	\$4,369,571	\$3,290,000	\$2,730,000	\$16,008,571
New York	\$23,253,000	\$17,970,155	\$26,010,000	\$27,710,000	\$94,943,155
North Carolina	\$12,208,000	\$9,500,675	\$9,560,000	\$7,980,000	\$39,248,675
North Dakota	\$4,374,000	\$3,394,993	\$4,350,000	\$2,730,000	\$14,848,993
Ohio	\$15,368,000	\$11,879,471	\$9,180,000	\$12,020,000	\$48,447,471
Oklahoma	\$7,289,000	\$5,655,300	\$6,170,000	\$3,620,000	\$22,734,300
Oregon	\$7,317,000	\$5,693,052	\$3,400,000	\$3,240,000	\$19,650,052
Pennsylvania	\$16,300,000	\$12,609,677	\$11,050,000	\$14,450,000	\$54,409,677
Rhode Island	\$4,818,000	\$3,742,422	\$2,960,000	\$2,730,000	\$14,250,422
South Carolina	\$7,914,000	\$6,154,552	\$4,100,000	\$4,380,000	\$22,548,552
South Dakota	\$4,504,000	\$3,497,474	\$3,180,000	\$2,730,000	\$13,911,474
Tennessee	\$9,636,000	\$7,485,584	\$3,480,000	\$5,890,000	\$26,491,584
Texas	\$25,926,000	\$20,270,283	\$24,740,000	\$24,560,000	\$95,496,283
Utah	\$6,089,000	\$4,744,118	\$3,280,000	\$2,730,000	\$16,843,118
Vermont	\$4,356,000	\$3,383,424	\$3,520,000	\$2,730,000	\$13,989,424
Virginia	\$11,161,000	\$8,698,787	\$6,340,000	\$9,750,000	\$35,949,787
Washington	\$9,913,000	\$7,713,129	\$9,260,000	\$7,170,000	\$34,056,129
West Virginia	\$5,564,000	\$4,319,097	\$5,510,000	\$2,730,000	\$18,123,097
Wisconsin	\$9,273,000	\$7,195,398	\$6,330,000	\$5,160,000	\$27,958,398
Wyoming	\$4,236,000	\$3,290,846	\$3,090,000	\$2,730,000	\$13,346,846
TOTALS	\$497,050,000	\$386,285,537	\$384,120,000	\$363,750,000	\$1,631,205,537

Source: FY 2007 Homeland Security Grant Program, U.S. Department of Homeland Security

Note: Additional grants—generally smaller—not included in the Table 4, also were awarded to several U.S. territories and protectorates and will account for any discrepancies reflected in the totals in the last row.

**Table 5» LETPP Cumulative Funding Rankings
Fiscal Years 2004 to 2007**

State	Total Funding Amount	Ranking
California	\$152,535,660	1
Texas	\$95,496,283	2
New York	\$94,943,155	3
Florida	\$73,816,891	4
Illinois	\$63,535,959	5
Nebraska	\$14,023,280	47
Vermont	\$13,989,424	48
South Dakota	\$13,911,474	49
Alaska	\$13,750,760	50
Wyoming	\$13,346,846	51

Source: FY 2007 Homeland Security Grant Program,
U.S. Department of Homeland Security

Along with the grants provided under the SHSP and LETPP categories, DHS also provides grants to the states under MMRS. This program seeks to assist state and local governments prepare for mass casualty incidents as a result of an array of hazardous incidents. As the title of this category implies, and even though the goal involves assisting in the medical responses of principally metropolitan areas, nine states (and Washington, D.C.) did not receive awards during the review period (fiscal years 2004 through 2007). These nine states are Delaware, Idaho, Maine, Montana, North Dakota, South Dakota, Vermont, West Virginia and Wyoming. The remaining 41 states received MMRS grants in at least one of the fiscal years in the previously indicated review period. Three states (Alaska, Iowa and Rhode Island) did not receive MMRS grant funds in fiscal year 2004 but received funds in the remaining three fiscal years. Table 6 documents the grant awards history for the MMRS category.

In fiscal year 2004, DHS disbursed \$46.3 million to 38 states and, in fiscal year 2005, this amount dropped to \$28.2 million, a percentage drop of -39 percent. Total awards under the

MMRS category increased fractionally to \$28.8 million in fiscal year 2006 (an increase of 2 percent) and then further increased to \$32 million in fiscal year 2007, an 11 percent expansion compared to fiscal year 2006. However, the award level in fiscal year 2007 (\$32 million) was a drop of 31 percent compared to the \$46.3 million awarded in the initial year (fiscal year 2004) of the MMRS program. Cumulatively, in the four years of the MMRS program, states received a total of \$135.3 million.

In terms of the percentage changes among the states during the review period, between fiscal years 2004 and 2005, the average percentage change amounted to a decline of 36 percent with Oklahoma (-68 percent) and Pennsylvania (14 percent) occupying the two extremes of the 38 states reviewed. Except for two states (Michigan and Pennsylvania), the remaining 36 states experienced negative growth between these two fiscal years. In contrast, between fiscal years 2005 and 2006, and then fiscal years 2006 and 2007, 41 states saw their MMRS funds increase, on average, by 2 percent and 11 percent, respectively. When comparing fiscal years 2004 and 2007, the average

percentage change among the 41 states amounted to a decline of 24 percent. Once again, Oklahoma (-33 percent) and Pennsylvania (29 percent) occupied the two extremes.

Nine states experienced an increase in their MMRS funds while 32 states faced a decline in their funding levels under this category. A review of the states that received the most and least funds under the MMRS category indicates the following: Cumulatively, the 41 states garnered \$135.3 million under this program category between fiscal years 2004 and 2007; this amount was distributed among five states that secured under \$1 million, 34 states that secured between \$1.1 million and \$7.6 million and two states (Texas and California) that secured between \$14.2 million and \$20 million.

This section demonstrates that overall federal funding to the states under the HSGP program experienced declines between fiscal years 2004 and 2007. After a burst in funding levels in the aftermath of the September 11, 2001, attacks during fiscal year 2003 (\$2.7 billion) and in fiscal year 2004 (\$2.9 billion), HSGP funds allocated diminished to \$1.7 billion in fiscal year 2007.

Table 6» MMRS Funding History Fiscal Years 2004 to 2007

State	FY 2004	FY 2005	FY 2006	FY 2007	Total Award Amount
Alabama	\$1,600,000	\$910,368	\$929,320	\$1,032,581	\$4,472,269
Alaska	-	\$455,184	\$464,660	\$516,290	\$1,436,134
Arizona	\$1,850,000	\$910,368	\$929,320	\$1,032,581	\$4,722,269
Arkansas	\$250,000	\$227,592	\$232,330	\$258,145	\$968,067
California	\$6,850,000	\$4,096,656	\$4,181,940	\$4,646,613	\$19,775,209
Colorado	\$1,200,000	\$682,776	\$696,990	\$774,435	\$3,354,201
Connecticut	\$400,000	\$227,592	\$232,330	\$258,145	\$1,118,067
Delaware	-	-	-	-	-
Washington, D.C.	-	-	-	-	-
Florida	\$2,520,315	\$1,593,144	\$1,626,310	\$1,807,016	\$7,546,785
Georgia	\$500,000	\$455,184	\$464,660	\$516,290	\$1,936,134
Hawaii	\$400,000	\$227,592	\$232,330	\$258,145	\$1,118,067
Idaho	-	-	-	-	-
Illinois	\$400,000	\$227,592	\$232,330	\$258,145	\$1,118,067
Indiana	\$800,000	\$455,184	\$464,660	\$516,290	\$2,236,134
Iowa	-	\$227,592	\$232,330	\$258,145	\$718,067
Kansas	\$675,000	\$455,184	\$464,660	\$516,290	\$2,111,134
Kentucky	\$650,000	\$455,184	\$464,660	\$516,290	\$2,086,134
Louisiana	\$1,435,095	\$910,368	\$929,320	\$1,032,581	\$4,307,364
Maine	-	-	-	-	-
Maryland	\$460,040	\$227,592	\$232,330	\$258,145	\$1,178,107
Massachusetts	\$1,150,000	\$682,776	\$696,990	\$774,435	\$3,304,201
Michigan	\$649,800	\$682,776	\$696,990	\$774,435	\$2,804,001
Minnesota	\$800,000	\$455,184	\$464,660	\$516,290	\$2,236,134
Mississippi	\$400,000	\$227,592	\$232,330	\$258,145	\$1,118,067
Missouri	\$1,050,000	\$455,184	\$464,660	\$516,290	\$2,486,134
Montana	-	-	-	-	-
Nebraska	\$650,000	\$455,184	\$464,660	\$516,290	\$2,086,134
Nevada	\$400,000	\$227,592	\$232,330	\$258,145	\$1,118,067
New Hampshire	\$250,000	\$227,592	\$232,330	\$258,145	\$968,067
New Jersey	\$800,000	\$455,184	\$464,660	\$516,290	\$2,236,134
New Mexico	\$400,000	\$227,592	\$232,330	\$258,145	\$1,118,067
New York	\$2,891,480	\$1,137,960	\$1,161,650	\$1,290,726	\$6,481,816
North Carolina	\$1,050,000	\$682,776	\$696,990	\$774,435	\$3,204,201
North Dakota	-	-	-	-	-
Ohio	\$2,313,000	\$1,365,552	\$1,393,980	\$1,548,871	\$6,621,403
Oklahoma	\$1,416,550	\$455,184	\$464,660	\$516,290	\$2,852,684
Oregon	\$400,000	\$227,592	\$232,330	\$258,145	\$1,118,067
Pennsylvania	\$400,000	\$455,184	\$464,660	\$516,290	\$1,836,134
Rhode Island	-	\$227,592	\$232,330	\$258,145	\$718,067
South Carolina	\$250,000	\$227,592	\$232,330	\$258,145	\$968,067
South Dakota	-	-	-	-	-
Tennessee	\$1,450,000	\$910,368	\$929,320	\$1,032,581	\$4,322,269
Texas	\$4,840,610	\$2,958,696	\$3,020,290	\$3,355,887	\$14,175,483
Utah	\$400,000	\$227,592	\$232,330	\$258,145	\$1,118,067
Vermont	-	-	-	-	-
Virginia	\$2,729,606	\$1,365,552	\$1,393,980	\$1,548,871	\$7,038,009
Washington	\$800,000	\$682,776	\$696,990	\$774,435	\$2,954,201
West Virginia	-	-	-	-	-
Wisconsin	\$800,000	\$455,184	\$464,660	\$516,290	\$2,236,134
Wyoming	-	-	-	-	-
TOTALS	\$46,281,496	\$28,221,408	\$28,808,920	\$32,010,000	\$135,321,824

Source: FY 2007 Homeland Security Grant Program, U.S. Department of Homeland Security

Note: Additional grants—generally smaller—not included in the Table above, also were awarded to several U.S. territories and protectorates and will account for any discrepancies reflected in the totals in the last row.

Part II

Public Safety: Border Security and Public Health Preparedness

Introduction

There are myriad threats posed to the United States everyday, including, but not limited to, weather-related disasters such as hurricanes and floods; other natural disasters, such as earthquakes; energy-related disasters, such as blackouts and nuclear power plant disasters; and terrorist threats of many varieties. Disaster preparedness is an essential aspect of homeland security. However, the strategies by which this security is achieved are complicated.

The role of the federal government in relation to the states remains paramount, but there is an urgent need for this role to be clear and well articulated in order for security to be actualized. Likewise, the role played by local governments, and the interface between state and local governments, must be equally well understood and orchestrated. There is a great deal of concern among state officials that the United States has failed to reach such a level of coordination and planning in many critical areas, particularly in the realms of border security and the ability to respond to public health needs in the event of an emergency.

Border Security

Border security is a major aspect of homeland security and public safety. The terrorist attacks of September 11, 2001, along with increased drug trafficking and illegal immigration, have

prompted a drive to tighten U.S. border security. Due to evidence that many of the hijackers on September 11, 2001, had lived within the country illegally, renting apartments and receiving flying instruction in the United States, changes in border controls were seen as imperative.

Out of response to this, in 2004 the DHS contracted with Accenture, a global consulting firm, to set up a system for electronically screening foreign travelers entering the United States. The program, the United States Visitor and Immigrant Status Indicator Technology (US-VISIT), was a \$10 billion endeavor with the goal of establishing a “virtual border” that replaces the outdated and ineffective computer programs that were used by border officials before this time. The program currently is operational.

When fully implemented, the program will monitor crossings into the United States, including along the 7,500

miles of Mexican and Canadian borders, which include 300 air, land and sea ports. At these ports of entry, approximately 11.2 million trucks, 2.2 million cars, and 500 million individuals cross into the country every year. Of these individuals, about 330 million are non-citizens.¹ The goal of the program is to coordinate face- and voice-recognition systems, as well as fingerprint readers, among all U.S. embassies and consulates, so that personal information of foreign visitors can be screened to determine if they pose terrorist or criminal threats. The program also has expanded the use of border-crossing cards, which already were being used by Mexicans who regularly visit or work in the United States. However, to incorporate the use of these cards into the current system, US-VISIT has requested an additional \$51 million for new technology alone.

Despite the intricate and heavily funded programs like US-VISIT, confidence in the effectiveness of border security remains diffident. Recent studies, such as the one conducted by Lawrence M. Wein, professor of management science in the Graduate School of Business at Stanford University, have concluded that the current security programs are sub-par in their ability to stop potential threats to U.S. homeland security. In testimony before Congress in September 2004, Professor Wein spoke about the inefficiencies in current border security programs, stating: “The currently implemented strategy has only a 53 percent chance of detecting a terrorist at a U.S. point of entry,” a revelation that spurred extensive concern. Such

critiques of the federal government in regard to border security have hinged on the lack of effectiveness of such programs, particularly given the expensive public-private partnerships that these programs maintain. However, the federal government maintains that these partnerships are essential to the existence of a proficient, effective border-screening curriculum.

In general, the HSGP has expended approximately \$11.6 billion in funds between fiscal years 2002 and 2007, but this amount has decreased in recent years, despite heightened threats and increasing federal homeland security requirements on state governments. In addition, each state has created its own office to address homeland security and emergency management needs to more adequately utilize federal fund-

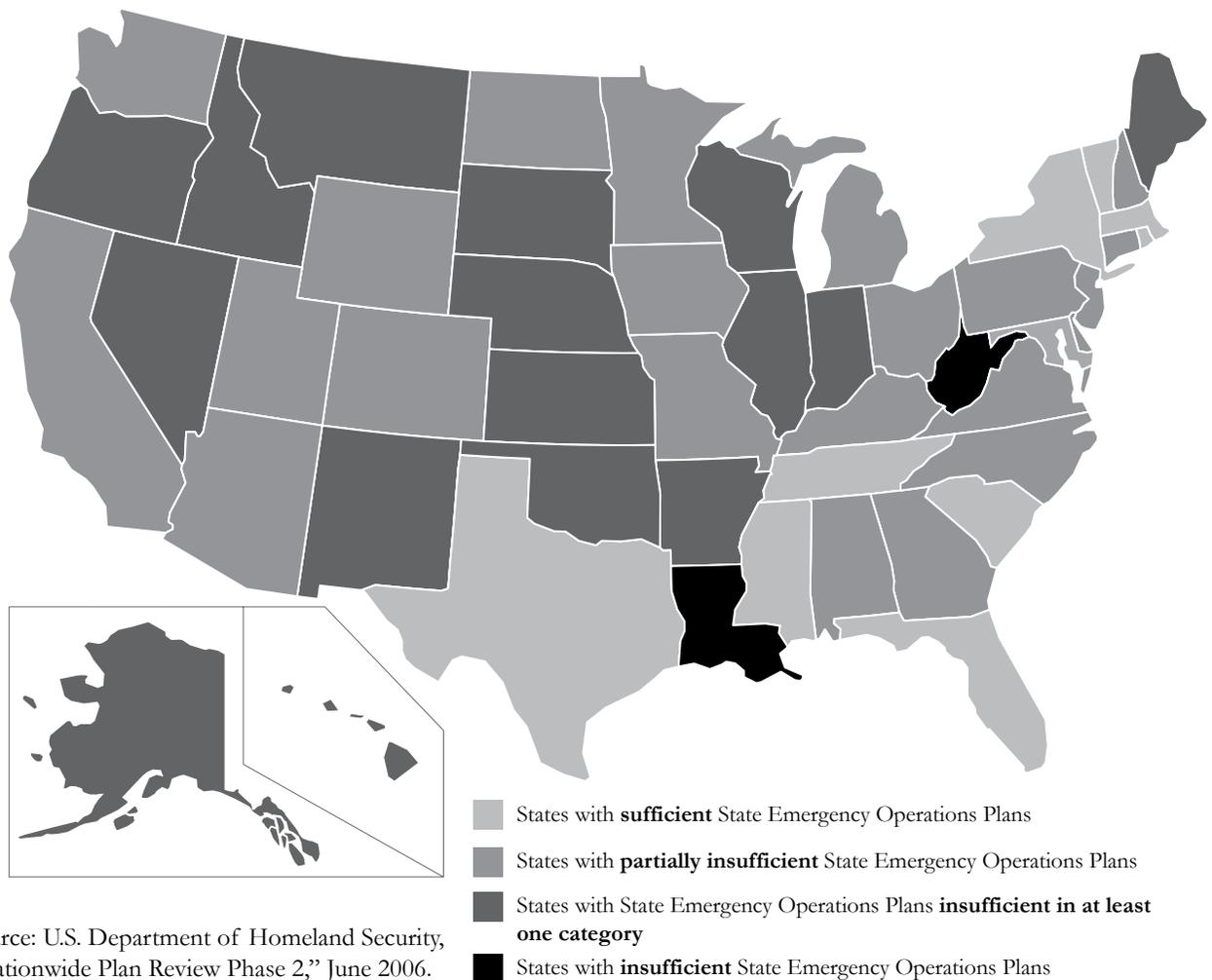
ing and implement programs that protect its citizens from natural disasters and terrorist threats. Alabama was the first state in the nation to create its own cabinet-level homeland security department, which was created by the state Legislature. Since its inception in 2002, Alabama's department has administered \$71 million in federally appropriated homeland security grants.

The Office of State and Local Government Coordination and Preparedness at DHS is the federal government's lead agency responsible for preparing the nation for terrorism. Its primary goal is to assist state and local governments, as well as regional and tribal authorities, in preventing, deterring and responding to terrorist acts. The agency provides funding, training, equipment and technical assistance

to first responders. Along with state and local authorities, the agency brings together experts from governmental, private and non-profit sectors. Finally, it attempts to integrate state preparedness programs into a national system so that homeland security can be coordinated throughout the nation.

In recent years, the federal government has implemented stricter standards for state and local homeland security programs. During the latter half of 2006, DHS called for the "fundamental modernization" of disaster plans, the first time such an action has been taken since the Cold War. Most importantly, DHS required the coordination of state and municipal programs with federal initiatives. This was largely in response to two reports by DHS in 2006 on the status of disaster

Figure 2» National Plan Review State Emergency Preparedness



Source: U.S. Department of Homeland Security, "Nationwide Plan Review Phase 2," June 2006.

preparedness in the states. Required by the 2006 *Department of Homeland Security Appropriations Act*, the “Nationwide Plan Review Phase 1” report and the “Nationwide Plan Review Phase 2” report were released in February and June of that year, respectively. Phase 1 assessed the status of catastrophic planning in all 50 states, as well as six U.S. territories and 75 of the largest urban areas in the nation. The report asked participants to identify existing Emergency Operations Plans (EOP), explain when these plans were last updated and exercised, and assess for themselves the effectiveness of these plans. Phase 2 was designed to validate the responses received in Phase 1 and determine the requirements for on-site planning assistance for each state, territory or municipality. These reports currently are the most comprehensive assessment of EOPs in regard to planning for calamitous events. In total, the reports assessed nearly 2,800 emergency operations plans, and involved more than 1,000 emergency managers and homeland security officials.

In general, the Nationwide Plan Review reports found that the overall level of preparedness across the nation is “insufficient.” Each participating state, territory or municipality was assessed on a scale of “sufficient,” “partially sufficient,” or “not sufficient” in their ability to manage a catastrophic event. The reports found that while most areas of the country are prepared to handle regular emergencies or disaster situations, it also demonstrated that almost all levels of government required improvement in their EOPs for catastrophic events, such as terrorist attacks or severe weather emergencies.

Approximately 20 percent of all state emergency management operations plans, and only 10 percent of all municipal emergency management operations plans, were considered to be “sufficient” to address an imminent natural disaster or terrorist attack. The 10 states with sufficient emergency operations plans were: Florida, Maryland, Massachusetts, Mississippi, New York, Rhode Island, South Carolina,

Tennessee, Texas and Vermont. Florida, a state which frequently endures severe hurricanes, was ranked the highest of any state with high tallies in all 10 categories. South Carolina also performed very well, gaining sufficient ratings in nine of 10 categories. Most state programs were considered to be “partially sufficient” overall, and many had at least one area in which they were rated “insufficient.” Moreover, both Louisiana and West Virginia were rated overall as “not sufficient,” particularly distressing given the storm damage and mining disasters in the two states in recent years.

The reports found the programs of 29 of the 75 major U.S. cities to be “not sufficient” in at least one area.² Both Washington, D.C., and New York City received mixed reviews. New York City received a “partially sufficient” rating for inadequacies in the areas of mass care, communications, and basic direction and control. Washington, D.C., which rated “not sufficient,” received the same critiques as that of New York City, but was considered to have deficient health and medical plans as well.

It should be noted that the reports evaluated only the plans of the participating areas, not, for instance, their ability to implement these plans. In other words, the reports evaluated the plans that were “on paper” in each state and city, not how effectively these plans were carried out in each state or city.

Generally, the reports found that states and cities in hurricane zones tend to be better prepared for emergencies than other regions. Also, the most common shortfall among states and cities was a lack of a stabilized, efficient command structure by which governments could successfully react to a major disaster. Other major flaws included: the inability to sufficiently care for the sick, elderly, disabled and others with special needs; lack of proper communication with the general public, particularly in regard to the ability to convey timely emergency information or instructions; and the incapacity to accommodate large groups of evacuees into a state

or city. Also, two-thirds of states and cities were found to be lacking in basic backup plans for situations when principal coordinators, equipment or facilities are incapacitated during an emergency. Furthermore, the reports found a significant deficiency in plans to communicate with “custodial” institutions, such as hospitals, schools, prisons, and nursing homes.

In a review of these analyses of state and municipal programs, DHS noted in their initial conclusions, which were released immediately following the circulation of the second phase of the Nationwide Plan Review, that “the majority of the nation’s current emergency operations plans and planning processes cannot be characterized as fully sufficient to manage catastrophic events as defined in the National Response Plan.”³ Further, DHS went on to insist that “planning products, processes, tools, and technologies should be developed to facilitate a common nationwide approach to catastrophic planning in accordance with the National Preparedness Goal’s National Priority to Strengthen Planning and Citizen Preparedness Capabilities.”⁴

Given the severity of the breaches in homeland security in recent years—from September 11, 2001, to the devastation wrought by Hurricanes Katrina and Rita along the Gulf Coast, to failures in infrastructure, such as the bridge collapse in Minnesota—and given the billions of dollars in federal grants disbursed to cities and states since the 2001 terrorist attacks for the purpose of improving preparations for catastrophes, the inadequate levels of preparedness in many states and regions is cause for concern among lawmakers and other state officials. In addition, of the \$4.1 billion in federal homeland security grants awarded to states in the last two years, a greater percentage (10 percent to 15 percent) has gone to planning. Although states are doing everything possible with the funds they have been afforded, the plans and programs in place are insufficient at this time.

Public Health Preparedness

A range of health-related dangers threaten the American public today. In the aftermath of Hurricane Katrina, and with heightened concerns about the potential for pandemic influenza outbreaks, the spread of foodborne pathogens, and the propagation of drug-resistant viruses and bacteria led to increased awareness of the comprehensive needs of the nation's public health preparedness systems. In December 2006, the U.S. Congress addressed some of these concerns when it updated and reauthorized the *Public Health Security and Bioterrorism Act*, appropriately altering the name of the legislation to the *Pandemic and All-Hazards Preparedness Act* (PAHPA). This piece of legislation was meant to fine-tune HHS preparedness and response activities. The Act established within HHS a new assistant secretary for Preparedness and Response; created authorities for a number of programs, including the advanced development and acquisitions of medical countermeasures; and called for the establishment of a quadrennial National Health Security Strategy. The overall purpose of PAHPA is to improve the nation's public health, medical preparedness and response capabilities for "deliberate, accidental or natural" emergencies.⁵

In addition, the federal government has issued a number of other directives geared toward improving public health emergency preparedness, including Homeland Security Presidential Directive/HSPD 21, which was released in October 2007. It establishes a National Strategy for Public Health and Medical Preparedness. Such planning is very important, but the question becomes: how effective are these programs in accomplishing what they are intended to achieve, and is adequate funding being appropriated in order to sufficiently carry out these plans?

Since bioterrorism and random outbreaks of natural diseases are difficult to anticipate and contain, health emergencies pose some of the greatest

threats to U.S. homeland security. In December 2007, the Trust for America's Health, a non-profit, nonpartisan organization dedicated to making disease prevention and public health awareness a national priority, issued a comprehensive report, *Ready Or Not? Protecting the Public's Health From Diseases, Disasters, and Bioterrorism*. The study was an effort to examine the progress that is being made to improve the nation's ability to respond to health threats, and to highlight enduring vulnerabilities within state and federal health and disaster preparedness systems. The report evaluates states on 10 preparedness indicators, including: distribution of stockpiles, biosurveillance, health-care volunteer liability protection, emergency preparedness drills, public health progress, and funding commitment. Such evaluations are important because, at this time, the federal government does not release evaluations on the progress of health preparedness to the public.

The threat of pandemic influenza, for instance, creates remarkable potential demand on the U.S. healthcare system. It has been estimated by HHS that with the outbreak of a pandemic, an additional 865,000 to 9.9 million individuals could require hospitalization, with as many as 45 million outpatients.

The report also found significant improvements in many areas among states. In fact, overall state scores have risen from prior years, indicating the higher priority state and local health departments are placing on public health preparedness, regardless of funding.⁶ Among the states, seven had perfect scores: Kentucky, Illinois, Nebraska, New Jersey, Pennsylvania, Tennessee, and Virginia. Arkansas, Iowa, Mississippi, Nevada, Wisconsin and Wyoming were among states that scored the lowest. Innovative programs developed by the states are the genesis of such success. While the report praises state efforts, it also encourages the federal government to increase public health and disaster preparedness funding. It also calls for the expansion of HHS efforts to improve

such things as hospital surge capacity and hospital and community preparedness for public health emergencies.

The report concludes that upon the approval of President Bush's fiscal year 2008 budget, "federal funding for state and local [disaster] preparedness will have declined by 25 percent in [three] years."⁷ Some of the most significant and alarming findings of the report are: almost 50 percent of all states fail to provide sufficient legal protection from liability for healthcare workers volunteering during a crisis; 13 states fail to meet the minimum threshold for Medical Reserve Corp volunteers for every 100,000 citizens; 12 states lack disease surveillance systems coordinated with the U.S. Centers for Disease Control and Prevention's (CDC) National Electronic Disease Surveillance System; 10 states lack sufficient plans for distributing vaccines, antidotes, and other medical supplies received from the Strategic National Stockpile (SNS) during a state of emergency; seven states have failed to purchase any portion of the federally subsidized antivirals, nor have they purchased unsubsidized antivirals on their own; and six states cut their public health budgets during the fiscal year 2005-06 and fiscal year 2006-07 time periods.⁸

Perhaps most importantly, states have experienced a diminution of funds from federal programs in recent years throughout program and funding categories. For example, although the threat of bioterrorism remains a serious concern for states, federal funding has fallen significantly just in the last year. For such programs, states receive funds through bioterrorism and public health "cooperative agreement" grants distributed by the CDC and the Office of the Assistant Secretary for Preparedness and Response at HHS. Table 7 demonstrates these changes in funds appropriated to states from fiscal year 2006 to fiscal year 2007. On average, there was an 8.4 percent drop in funding, with some states, such as New Hampshire and Maine, experiencing a more than 13.5 percent drop in funding.

Table 7» CDC and ASPR Preparedness Grants by State

Bioterrorism Funding By Source and Year

State	FY 2006			FY 2007			% Change FY 06 - FY07
	CDC	HRSA*	Total	CDC	HRSA*	Total	
Alabama	\$11,332,546	\$7,154,927	\$18,487,476	\$10,228,439	\$6,330,289	\$16,558,728	-10.4%
Alaska	\$5,176,673	\$1,458,182	\$6,634,855	\$5,015,000	\$1,349,441	\$6,364,441	-4.1%
Arizona	\$15,468,991	\$8,753,827	\$24,222,818	\$14,284,449	\$8,317,173	\$22,601,622	-6.7%
Arkansas	\$8,513,998	\$4,531,309	\$13,045,307	\$7,533,981	\$4,063,403	\$11,597,384	-11.1%
California	\$54,396,954	\$38,325,286	\$92,722,240	\$52,023,574	\$34,106,620	\$86,130,194	-7.1%
Colorado	\$12,343,549	\$7,221,888	\$19,565,437	\$11,234,142	\$6,525,958	\$17,760,100	-9.2%
Connecticut	\$9,872,607	\$5,651,890	\$15,524,497	\$9,112,072	\$4,943,121	\$14,055,193	-9.5%
Delaware	\$5,511,936	\$1,709,476	\$7,221,412	\$5,000,000	\$1,737,218	\$6,737,218	-6.7%
Washington, D.C.	\$6,702,385	\$1,823,510	\$8,525,895	\$9,129,492	\$1,581,970	\$10,711,462	25.6%
Florida	\$34,945,845	\$25,638,227	\$60,584,072	\$33,289,391	\$23,432,938	\$56,722,329	-6.4%
Georgia	\$19,557,241	\$13,330,420	\$32,887,661	\$18,230,415	\$12,370,869	\$30,601,284	-7.0%
Hawaii	\$6,130,741	\$2,345,600	\$8,476,341	\$5,296,353	\$2,129,653	\$7,426,006	-12.4%
Idaho	\$6,389,623	\$2,521,506	\$8,911,129	\$5,539,853	\$2,359,069	\$7,798,922	-12.5%
Illinois	\$20,613,241	\$14,951,481	\$35,564,722	\$19,245,542	\$13,163,842	\$32,409,384	-8.9%
Indiana	\$14,502,083	\$9,660,723	\$24,162,806	\$13,406,349	\$8,503,785	\$21,910,134	-9.3%
Iowa	\$8,810,613	\$4,846,845	\$13,657,458	\$7,832,164	\$4,280,453	\$12,113,617	-11.3%
Kansas	\$8,724,480	\$4,525,854	\$13,250,334	\$7,709,812	\$,004,077	\$11,713,889	-11.6%
Kentucky	\$10,860,671	\$6,585,429	\$17,446,100	\$9,905,373	\$5,832,130	\$15,737,503	-9.8%
Louisiana	\$11,478,386	\$7,139,266	\$18,617,652	\$10,536,471	\$5,935,695	\$16,472,166	-11.5%
Maine	\$6,321,437	\$2,434,432	\$8,755,869	\$5,381,949	\$2,175,388	\$7,557,337	-13.7%
Maryland	\$13,970,053	\$8,645,984	\$22,616,037	\$12,815,412	\$7,619,177	\$20,434,589	-9.6%
Massachusetts	\$15,512,606	\$9,983,770	\$25,496,376	\$14,418,081	\$8,660,567	\$23,078,648	-9.5%
Michigan	\$23,221,202	\$15,395,465	\$38,616,667	\$21,555,319	\$13,298,463	\$34,853,782	-9.7%
Minnesota	\$13,134,147	\$7,983,328	\$21,117,475	\$12,587,653	\$7,050,445	\$19,638,098	-7.0%
Mississippi	\$8,738,914	\$4,759,591	\$13,498,505	\$7,797,260	\$,189,754	\$11,987,014	-11.2%
Missouri	\$14,402,196	\$8,951,388	\$23,353,584	\$13,236,793	\$7,906,932	\$21,143,725	-9.5%
Montana	\$5,616,551	\$1,856,928	\$7,473,479	\$5,026,488	\$1,697,530	\$6,724,018	-10.0%
Nebraska	\$6,897,069	\$3,067,393	\$9,964,462	\$5,966,406	\$2,741,751	\$8,708,157	-12.6%
Nevada	\$8,660,838	\$3,818,014	\$12,478,852	\$7,662,442	\$3,663,636	\$11,326,078	-9.2%
New Hampshire	\$6,252,371	\$2,404,444	\$8,656,815	\$5,308,479	\$2,166,921	\$7,475,400	-13.6%
New Jersey	\$18,894,214	\$13,269,518	\$32,163,732	\$17,584,884	\$11,560,312	\$29,145,196	-9.4%
New Mexico	\$8,351,763	\$3,276,757	\$11,628,520	\$7,249,926	\$2,977,887	\$10,227,813	-12.0%
New York	\$24,409,091	\$16,937,704	\$41,346,795	\$22,935,076	\$14,561,258	\$37,496,334	-9.3%
North Carolina	\$17,877,794	\$12,948,887	\$30,826,681	\$16,570,173	\$11,727,581	\$28,297,754	-8.2%
North Dakota	\$5,147,111	\$1,435,800	\$6,582,911	\$5,028,972	\$1,306,102	\$6,335,074	-3.8%
Ohio	\$24,190,050	\$17,397,207	\$41,587,257	\$22,745,252	\$15,050,914	\$37,796,166	-9.1%
Oklahoma	\$9,732,169	\$5,681,308	\$15,413,477	\$8,871,195	\$5,037,444	\$13,908,639	-9.8%
Oregon	\$10,251,502	\$5,767,951	\$16,019,453	\$9,192,614	\$5,191,530	\$14,384,144	-10.2%
Pennsylvania	\$26,235,793	\$18,776,677	\$45,012,470	\$24,743,362	\$16,271,242	\$41,014,604	-8.9%
Rhode Island	\$5,981,291	\$2,089,651	\$8,070,942	\$5,048,931	\$1,853,432	\$6,902,363	-14.5%
South Carolina	\$10,852,835	\$6,632,258	\$17,485,093	\$9,972,754	\$5,978,140	\$15,950,894	-8.8%
South Dakota	\$5,339,585	\$1,630,322	\$6,969,907	\$5,000,000	\$1,491,255	\$6,491,255	-6.9%
Tennessee	\$13,759,228	\$9,138,647	\$22,897,875	\$13,009,292	\$8,155,520	\$21,164,812	-7.6%
Texas	\$46,595,417	\$33,177,278	\$79,772,695	\$44,570,881	\$30,301,320	\$74,872,201	-6.1%
Utah	\$8,023,438	\$3,978,558	\$12,001,996	\$7,174,066	\$3,732,769	\$10,906,835	-9.1%
Vermont	\$5,144,876	\$1,415,048	\$6,559,924	\$5,039,717	\$1,290,942	\$6,330,659	-3.5%
Virginia	\$18,466,632	\$11,387,068	\$29,853,700	\$17,109,122	\$10,189,048	\$27,298,170	-8.6%
Washington	\$15,353,518	\$9,562,647	\$24,916,165	\$14,168,202	\$8,608,090	\$22,776,292	-8.6%
West Virginia	\$6,994,949	\$3,176,132	\$10,171,081	\$6,026,051	\$2,805,313	\$8,831,364	-13.2%
Wisconsin	\$13,246,911	\$8,588,953	\$21,835,864	\$12,667,934	\$7,544,102	\$20,212,036	-7.4%
Wyoming	\$4,917,055	\$1,241,982	\$6,159,037	\$5,000,000	\$1,152,882	\$6,152,882	-0.1%
Totals	\$693,825,172	\$424,986,736	\$1,118,811,908	\$645,917,558	\$378,925,351	\$1,024,842,909	-8.4%

Source: Trust for America's Health, 2007

* The 2006 *Pandemic and All-Hazards Preparedness Act* transferred oversight of the grant program from the Health Resources and Services Administration to the Office of the Assistant Secretary for Preparedness and Response, both under HHS.

To further illustrate the dire nature of these circumstances, a recent study by the Institute of Medicine of the National Academies indicates that wait times in hospitals, particularly emergency rooms, have increased dramatically between 1997 and 2004. Patients in 2004, the study shows, waited approximately 36 percent longer than they did in 1997 for a given procedure. Even more disturbing, patients waiting for treatment in emergency rooms for ailments such as heart attacks or strokes waited more than twice as long in 2004 than they did in 1997.⁹ This trend is a symptom of the United States' lack of preparedness for emergency situations. Any difficulties in servicing regular pro-

cedures in emergency rooms will only be exacerbated by the appearance of hundreds or thousands of victims of a terrorist strike or other emergency.

It is imperative the federal and state emergency management agencies create and install emergency preparedness mechanisms before a catastrophe occurs, rather than during a time of crisis. There must be a plan to handle the increased demand and reliance on government agencies during major emergencies. A public survey of more than 1,000 adults found that six years after the September 11, 2001, attacks and two years after Hurricane Katrina, 54 percent of Americans believe the United States is not as safe as before

September 11, 2001, and 60 percent do not believe their communities are prepared to respond to natural disasters.

If this public sentiment is any indication of the inadequacies in homeland security in the United States, it behooves the federal government to evaluate and discuss with state and local governments, such as those of major metropolitan areas, what responsibilities fall under their purview, and which should be placed on state and local governments themselves. Furthermore, if states are required to develop and operate programs upon which the livelihoods of their citizens depend, then these programs must be adequately funded and supported.

Part III

State Programs

Innovative Programs

In an attempt to offset inadequacies in federal funding for homeland security programs, states have developed a variety of programs that effectively carry out responsibilities related to public safety, disaster preparedness and emergency management. These attempts to negate the deficiencies that arise out of insufficient funding are inventive, resourceful and, in many cases, unique to a particular state. For instance, Florida has a very inclusive funding strategy, taking a strong regionalized approach in the planning process for all projects.

Any issue or project receiving federal dollars is vetted and prioritized through this process. Officials in New Mexico indicated that a major endeavor of the state Department of Homeland Security and Emergency Management (DHSEM) has been to concentrate efforts to fund equipment and training for specialty teams throughout the state. Other states contributed additional responses, which are summarized here.

California

The state Governor's Office created the Emergency Operations Executive Council in 2006. This leadership group coordinates the budget and legislative priorities related to emergency management in the state. Also, two bond initiatives recently have been passed to increase funding for port and transit security. Specifically, a bond was passed for \$100 million in state funds for port and maritime security, and a bond was passed for \$1 billion for transit system

safety throughout the state, including buses, rail, trucks and airports.

Illinois

The Illinois Terrorism Task Force (ITTF), which was established by Executive Order of the Governor, is a permanent advisory body to the governor with the mission of developing and implementing the statewide homeland security strategy. The ITTF currently includes more than 70 agencies, organizations and associations that represent various public safety disciplines, as well as every region of the state. Members of ITTF consider domestic preparedness and response to major catastrophic events a priority of the highest magnitude and, to that end, maintain an all-hazard approach to preparedness. ITTF continues to build upon a strong foundation of established working partnerships among federal, state, and local entities; private and non-governmental partners; and the general public to facilitate coordination of resources.

Jointly, the 15 committees, sub-committees and working groups of the task force, through the integration of ideas and actions among subject-matter experts, work toward cooperative preparedness, prevention, protection, response and recovery goals and objectives; the standardization of equipment and response protocols; and the sharing of finite resources in the attempt to build Illinois' capacity to protect the lives and property of its citizens.

In addition to these objectives, ITTF is responsible for senior management and annual budget development of the federal HSGP. From 1999 to 2005, members of ITTF met on a monthly basis. In 2005, the membership voted to change the meeting schedule to bi-monthly, with the committee chairs meeting in the other months. Also, ITTF produces an annual report on the status of homeland security programs and funding in the state.

Since its inception, ITTF has been instrumental in the development of the following innovative homeland security preparedness activities:

- » Beginning in 2003, Illinois made the issuance of Personal Protective Equipment (PPE) to first responders throughout the state a priority. Federal terrorism money was allocated and distribution began. More than 70,000 first responders in Illinois have received this life-saving equipment.
- » Through the efforts of the ITTF, the Illinois Sheriff's Association and the Illinois Association of Chiefs of Police, the state developed its first statewide mutual aid law enforcement system, the Illinois Law Enforcement Alarm System (ILEAS). The system makes thousands of police officers throughout

the state available for a coordinated mutual aid response anywhere in the state. More than 90 percent of the law enforcement officers in Illinois are represented by ILEAS. Coupled with the Mutual Aid Box Alarm System (MABAS), Illinois Public Health Mutual Aid System, and Illinois Emergency Management Mutual Aid System, Illinois has one of the most resilient and effective first-responder, mutual-aid response capabilities in the country.

- » Illinois successfully completed Top Officials Exercise Series II (TOPOFF II), the Congressionally-mandated national terrorism exercise, in May 2003. The Illinois scenario included the release of a biological agent in the greater Chicago area; receipt, breakdown and distribution of the CDC's Strategic National Stockpile, which consists of medicine and medical supplies designed to protect Americans during a public health emergency severe enough to render local supplies inadequate; use of the state Weapons of Mass Destruction (WMD) teams to address the threat of a terrorist cell; and use of the fire mutual aid response to a building collapse. Preparation for TOPOFF II allowed Illinois to be one of only two states in the nation to receive the CDC's highest rating for being capable of effectively receiving and distributing the Strategic National Stockpile.
- » Illinois, in collaboration with the city of Chicago and Cook County, conducted the highly successful Illinois FluEx 2006 exercise. The exercise focused on key emergency responder coordination, critical decision making and the integration of state and local assets during a public health emergency and simultaneous terrorist incident. It also validated preparedness efforts that occurred following the state's participation in the May 2003 TOPOFF II exercise.
- » Illinois implemented the Emergency Management Network (EMNet) satellite-based information and warning system to ensure the state's

ability to rapidly share secure information throughout the state. This system was successfully utilized during the notification of the tornadoes that impacted the city of Springfield in 2006.

- » Illinois secured a \$9.3 million federal grant to build a new state-of-the-art State Emergency Operations Center (SEOC). The competitive award, which came from a nationwide appropriation of \$50 million, was the second largest in the country. The new SEOC opened in October 2006.
- » Illinois began developing a partnership with the Chicago Police Department to expand across the state the Illinois Citizen and Law Enforcement Analysis and Reporting system (I-CLEAR) to disseminate criminal justice data to police officers throughout the state. This system enables the state's law enforcement officers to access various intelligence databases through mobile computers.
- » Illinois implemented a statewide plan to upgrade the ability of first responders, emergency management, public health officials and hospitals to communicate during a disaster. Projects implemented as part of this effort include the procurement of on-scene interoperability systems, such as the Illinois Transportable Emergency Communications Systems and Unified Command Trailers. Illinois also distributed a digital Very High Frequency (VHF) radio to every police and fire agency that requested one. More than 200 hospitals also received Medical Emergency Radio System of Illinois (MERCIS) radios, a system primarily used for hospital-to-hospital communication. As part of the interoperability plan, Illinois offered a Starcom 21 control station, which uses high-speed microwave links that allow voice radio transmissions to travel from one end of the state to the other, or mobile radios to every police, fire, emergency management, public health agency and dispatch center throughout the state. Starcom

21 is being implemented statewide and is open to all government agencies in Illinois. The system offers the possibility of interoperability among all of the public safety disciplines. More than 2,400 public safety agencies received a Starcom 21 unit through this project.

Illinois also noted that the state maintains various goals supporting the National Preparedness Goal, which serve as the basis of past and current preparedness activities. These include preparing first responders, healthcare providers, the general population and critical infrastructure for catastrophic events.

Iowa

Partnering and careful investments are the two major strategies Iowa employs in order to optimize federal grant funding. Such policies have yielded the development of a number of programs for the state:

- » Recognizing the need to plan and coordinate a response to a foreign-animal disease threat, the state participates in the Multi-State Agriculture Consortium (MSAC), with Kansas and Nebraska. The MSAC allows representatives from these states, all with a strong agriculture segment in their economies, to develop quick-response teams, as well as to share response and recovery plans.
- » Even before it was mandated by DHS, Iowa aggressively moved to develop and fund a regional approach within the state. For the past three years, the state distributed funds to six regions rather than to individual counties or local communities. While this idea was met with a great deal of initial skepticism, responders and others involved with emergency management now have a better understanding of the need to prepare and equip personnel beyond county boundaries.
- » One of the guiding principles in the state has been to build on existing strengths. This approach was identified even before September 11, 2001, when "terrorism" dollars were limited and came from the U.S.

Department of Justice (DOJ). The state has held that philosophy and used homeland security dollars to build specialty teams that provide statewide coverage. These teams are involved in supplementing and increasing the capability of already strong local teams.

Kansas

From the inception of what is now called the federal HSGP in federal fiscal year 1999, the state provided funds directly to each of its 105 counties. This allowed for the development of many baseline capabilities that did not exist throughout the state regarding response to a WMD or other terrorist event. Officials recognized that effectively dealing with a terrorist act requires specialized equipment provided to highly trained first responders. It also was noted that it was neither practical nor necessary to develop the same capability in every county. For that reason, and to address dwindling federal preparedness funds, in early 2004, the Adjutant General and Homeland Security Director Tod Bunting, along with Kansas Highway Patrol Superintendent and State Administrative Agent William Seck, initiated conversations with the Legislature regarding the “regionalization of homeland security.” The decision was made in the fall of 2005 to begin the process of regionalization.

In January 2006, the first meeting of the state’s seven homeland security regional councils was held in Wichita. A basic capability assessment related to national priorities was conducted. This appraisal identified response gaps within each region. Federal fiscal year 2006 was the first time the state provided funds to the homeland security regions and their governing councils. The councils were then given complete latitude in using grant funds to address needs in the region. The entire 80 percent of pass-through funds from the federal SHSP and the LETPP were awarded to the state’s homeland security regions in federal fiscal year 2007. This shift has forced the state to adopt a completely different mindset. The maturation process has enabled coun-

cil members to recognize the merits and benefits of this construct while simultaneously strengthening relationships, increasing capabilities and maximizing the use of federal funds. In light of this modification, Kansas has established the following individual initiatives to enhance state capabilities:

- » Vulnerability Assessment Team (VAT) – This is a specialized team comprising former military personnel. It is funded by DHS dollars to conduct assessments for federally identified critical infrastructure sites in Kansas. The program’s success has been recognized by DHS. The team currently is undertaking vulnerability assessments of schools and hospitals.
- » Communications Assessment Team (CAT) – This team is funded by DHS and comprises communications specialists and personnel from the state and private sector. The goal of CAT is to assess interoperability throughout the state, develop a common communications system and develop a strategic and financial plan for statewide emergency communications.
- » Regional Coordinators – Seven regional coordinators throughout Kansas conduct outreach and development in accordance with the National Incident Management System (NIMS) requirements.
- » Eisenhower Training Center – This program was initiated by the Office of the Adjutant General and offers crisis scenario planning to police and fire personnel, state agency officials, county emergency managers, and National Guard members. This program is vital to the training of such employees, particularly because the state depends on 85 percent volunteerism in these areas.
- » “Crisis City” Program – This program, also coordinated by the Office of the Adjutant General, is located on 36,000 acres and is the site for air and ground training. The program involves providing emergency response entities from a variety of disciplines a forum for learning to work together. This allows

the Office of the Adjutant General to determine how to integrate the needs of emergency management responders, public safety and the National Guard, into realistic training and exercise facilities.

Michigan

The state has completed organizational development for a regional homeland security structure, including multi-discipline, multi-jurisdictional boards and associated committees in each of the state’s seven homeland security regions and the federal UASI regional board. Support for these regional boards includes Emergency Management and Homeland Security Division (EMHSD) district coordinators, and technical assistance from EMHSD staff. This structure allows for better leveraging of funding sources and elimination of duplicative preparedness expenditures within the regions.

The first few years of HSGP funding were geared toward addressing equipment expenditures. Since that time, grant funds largely have been used for planning an organizational framework in order to support regionalization and assessment of the state’s overall preparedness. The state has created a Senior Advisory Committee (SAC) along with 23 work groups that represent 10 disciplines, non-government and government agencies that are responsible for preparedness and response. The SAC makes recommendations on specific issues including strategy development and prioritization of grant investment.

Minnesota

The state has 87 counties that are organized into six homeland security and emergency management regions. Each region is served by a representative. Minnesota has developed a Joint Power Agreement (JPA) allowing the Metropolitan Region Homeland Security Emergency Management Board (MRHSEMB) to incorporate all 10 Minnesota metro region counties, along with the cities of Minneapolis and St. Paul, under one umbrella of cooperation. Enacted by resolutions from each member’s governmental

entity, the MRHSEMB has elected a board of directors to govern the JPA. The MRHSEMB works collaboratively on joint equipment procurement, training, development of training standards, exercise development and execution, and distribution of emergency response equipment throughout the regions. This program has been so successful that the other five regions in the state implemented similar agreements, all of which were in place by June 30, 2007.

Minnesota's preparedness picture also can be assessed by examining the state's capabilities, risks and threats. Minnesota participated in the DHS Pilot Capability Assessment to determine preparedness across all 37 target capabilities. The assessment serves as a gap analysis tool and assists in prioritizing investments and grant allocations. The state is continuously identifying risks by evaluating the quality of critical infrastructure and other resources within the six state homeland security and emergency management regions. This allows them to prioritize grant initiatives that will most efficiently reduce identified vulnerabilities.

This task of identifying the state's greatest threats is accomplished through the Intelligence Communications Enterprise for Information-Sharing and Exchange (ICEFISHX), a partnership of Minnesota, North Dakota, and South Dakota law enforcement agencies. This is an Internet-based intelligence sharing initiative, whereby an alert network is used to collect and disseminate information relating to terrorist operations and other criminal activities to law enforcement, government agencies and the private sector within the tri-state area. The program also produces and disseminates intelligence products, conducts training, and establishes and maintains liaisons with state and local law enforcement officers and agencies operating in this area. It also involves a partnership with the Federal Bureau of Investigation (FBI). In addition, grant funds support several data sharing initiatives, including an automated fingerprint identification network, which also services the three states.

Development and implementation of the Minnesota Agriculture Emergency Response System (MAERS) is another strategy that allows the state to better prepare for and respond to a terrorist attack or other catastrophic event. This initiative involves collaboration of the private sector, as well as state and federal governments. Components of the system include: Incident Command System training; Food, Crop and Livestock Response Plan training; Minnesota Agriculture Rapid Response Education and Preparedness Network; and the Agriculture Commodity Disposal Siting Project. The goal of MAERS is to reduce the effects of an attack on food, farm or agriculture industries, particularly regarding potential to cause illness, fear, panic, and loss of public confidence in a safe food supply evoked by such an attack.

In addition to these statewide programs, several regional or local homeland security and emergency management programs exist in the state:

- » The federal UASI grant funding has designed an all-hazards campaign to educate the citizens of the Twin Cities in emergency response. The project is based on previous hazard analyses. Included in this project are programs for persons with limited English proficiency. The intent is to create an environment whereby all citizens know how to evacuate and protect themselves in the event of a disaster. The project is being conducted in cooperation with a statewide initiative to ensure consistent and coordinated messaging of hazard information that supports individual and family preparedness.
- » The Minneapolis-St. Paul MMRS has a formal committee consisting of several multi-agency, disciplinary and jurisdictional partnerships. Currently, the committee is developing, implementing and testing several projects, such as the *Emergency Community and Health Outreach, Cities Readiness Initiative*, multilingual safety, preparedness and health awareness campaigns, pharmaceutical caches, and large-scale training and exercises for testing

and improving preparedness and response efforts.

Minnesota currently is in the third phase of building infrastructure to support a statewide communications system. The initial phase includes providing interoperable communications equipment to jurisdictions in vulnerable areas of the state. The state is continuing to upgrade old analog and build new digital communications systems. The 2007 Minnesota Legislature appropriated \$186 million to the state Department of Public Safety to complete this project, which will allow efficient communication among various disciplines during an incident.

The entire organizational structure supports a continuous review cycle. The Senior Advisory Committee and workgroups annually update the State Homeland Security Strategy, which helps the state evaluate grant and preparedness priorities.

North Carolina

North Carolina's primary method for dealing with the dwindling federal funding situation has been to make the allocation of federal HSGP funds a competitive process. This process was initiated in fiscal year 2004, although at that time it was only partially competitive. Funds were allocated using a fully competitive process during the federal fiscal year 2005 grant cycle. The 2005 HSGP competitive process focused on funding three critical statewide efforts: interoperable communications; enhancement of regional response teams (HazMat, State Medical Assistance Teams, and Urban Search and Rescue Teams); and improvement of regional exercise and training activities. The funding of these three critical areas requires the state to allocate federal dollars toward projects that would have the most impact. The nationwide competitive process initiated by the federal government for the federal fiscal year 2006 HSGP cycle required the state to further prioritize its homeland security grant program.

Using its State Homeland Security Strategy as its starting point, North Carolina focuses on projects within the following 12 investment justification areas:

- » Enhancement of medical surge and mass prophylaxis capabilities;
- » Enrichment of regional CBRNE response capabilities;
- » Development of critical infrastructure and resource protection capabilities;
- » Multi-state enhancement of fusion center capabilities;
- » Strengthened multi-state and regional interoperable communications;
- » Enhancement of food, animal and plant safety;
- » Improvements to community preparedness and participation programs;
- » Further development of evacuation and sheltering capabilities;
- » Expansion of the statewide training and exercise programs;
- » Enhancement of urban search and rescue capabilities;
- » Upgrading law enforcement response to improvised explosive devices; and
- » Increased information-sharing capabilities.

North Dakota

North Dakota has established the Anchor Capability Working Group, which comprises personnel from various response disciplines, such as fire, law, emergency medical, public health, public works, emergency management, private health, and city and county governments. This group provides the response expertise to the North Dakota Department of Emergency Services (DES). The Working Group has ranked the disciplines in the state by capability, based on the DHS capability definitions of awareness, perfor-

mance defensive, performance offensive, and technical abilities. The Working Group also established a baseline equipment list which is used to distribute equipment funding based on a “regional capability.”

Federal fiscal year 2007 funding has been allocated to implement four regional planning districts. These planning districts will target equipment, planning, exercise, and training funding to establish a statewide regional response network for the purpose of responding to CBRNE incidents. The network will be governed overall by an executive homeland security policy group, comprising county representatives, as well as representatives from the North Dakota Civil Support Team and DES. This policy group will work to assure uniform policy is implemented on a regional level and assure interoperability of emergency procedures, equipment, and protocol. The group is the final approval body for all regional equipment purchases. Also, each region has an advisory committee comprising designated representatives from various response disciplines and from each county within the region. The advisory committee offers guidance to a regional staff member and makes recommendations for equipment, exercise, and training allocations on a regional level.

Each region has a designated staff position to fulfill planning, training, and exercise components for regional efforts such as coordination of the advisory committee meetings, establishment of Standard Operating Procedures, mutual aid development, and exercise facilitation.

Homeland Security/ Emergency Management Budgets in the States

A central component of the survey involved ascertaining the legislative appropriations in states to meet homeland security/emergency management expenditures. Efforts were made to secure this information for fiscal years 2002 through 2007, though in certain instances, states provided this information for additional years and, in other instances, provided this information for fewer years. The level of interaction between the state budget office and the homeland security/emergency management offices in formulating the annual budget also was sought. Finally, the survey attempted to elicit information from the states on whether their state budget offices were alerted to any innovative programs that might have been introduced by their homeland security/emergency management office that were both cost efficient and effective.

Responses provided by a sampling of the states are presented in the following section.

California

There is continuous interaction among the Governor’s Office of Emergency Services (OES), Office of Homeland Security (OHS) and the state’s department of finance over a 10-month period in formulating and preparing the annual budget of OES/OHS for submission to the California General Assembly.

For the period fiscal years 2002 through 2007, California appropriated nearly \$1.5 billion to meet an assortment of emergency management and homeland security expenditures. As in the case of several other states, the initial years after the September 11, 2001, attacks resulted in a significant expansion of the state’s emergency management and homeland security appropriations. Fiscal year 2004 saw the sharpest spike in appropriations to \$331.4 million. Table 8 presents this information

Table 8» Office of Emergency Services and Office of Homeland Security Budgets (CA)			
Fiscal Year	Amount	Total for Year	Type of Program
2002	\$24,831,000		SHGP
	\$10,599,798	\$35,430,798	EMPG
2003	\$62,202,490		UASI
	\$164,279,000		HSGP
	\$9,932,877		EMPG
	\$3,161,773	\$239,576,140	EMPG PT II
2004	\$133,964,000		SHSGP
	\$39,752,000		LETTP
	\$2,783,000		CCP
	\$141,672,927		UASI
	\$13,769,593	\$331,941,520	EMPG
2005	\$84,613,815		SHSGP
	\$148,278,663		UASI
	\$30,768,660		LETTP
	\$1,074,172		CCP
	\$13,790,111		EMPG
	\$4,096,656		MMRSP
	\$19,792,000		TSGP
	\$12,950,000	\$315,364,077	BZPP
2006	\$47,580,000		SHSP
	\$136,290,000		UASI
	\$42,370,000		LETTP
	\$1,528,665		CCP
	\$4,181,940		MMR
	\$19,122,397		TSGP
	\$5,835,000		BZPP
	\$6,597,100		CHEM BZPP
	\$4,093,714	\$267,598,816	EMPG
2007	\$55,850,000		HSGP
	\$140,710,000		UASI
	\$4,695,000		BZPP
	\$20,934,801		TSGP
	\$709,295		TSGP
	\$85,000		Stonegarden
	\$4,646,613		MMRSP
	\$15,390,351		EMPG
	\$1,158,080		CCP
\$39,880,000	\$284,059,140	LETTP	
	Grand Total	\$1,473,970,491	

Source: Office of Emergency Services and Office of Homeland Security

along with the DHS-specified program that was funded.

Delaware

The state does not have a separate homeland security budget and the state's Homeland Security Advisor falls under the Delaware Department of Safety and Homeland Security. In addition, the state's Emergency Management Agency also falls under the same department. While the Department discusses any budget increases with the state Budget Office, Delaware indicated that the department has only received modest increases in the six years. Table 9 presents the operating funds received by the state's Emergency Management Agency for the period of fiscal year 2002 through 2008.

Table 9» Emergency Management Agency Budgets (DE)	
Fiscal Year	Amount
2002	\$499,100
2003	\$525,800
2004	\$525,800
2005	\$534,700
2006	\$647,300
2007	\$691,000
2008	\$728,500

Source: Emergency Management Agency

Florida

All requests for federal funding are approved by Florida's Domestic Security Oversight Council and then submitted to the governor's office to be added to the state budget. This request is then either approved or denied by the Legislature's House and Senate appropriation committees. Table 10 provides information on the disbursement of funds under the different homeland security/emergency management categories.

As indicated in the Florida budget, there was a huge increase in funds (2,205 percent) between fiscal years 2002 and 2003, the year after the September 11, 2001, attacks. While the level of increase declined in the ensuing years, including a decline in funding between

Table 10» Division of Emergency Management Budgets (FL)					
Year	Funding Category	Amount		Total	Percent Change
2002	EMPG	\$4,865,017		\$4,865,017	
2003	Part I	\$23,654,000			
	Part II	\$62,655,000			
	UASI	\$18,959,558			
	EMPG	\$6,870,000		\$112,138,558	2,205%
2004	SHSGP	\$92,182,000			
	UASI	\$38,558,368			
	EMPG	\$7,324,359		\$138,064,727	23%
2005	SHSGP	\$94,040,028	Note 1		
	Transit Security	\$2,700,000			
	BZPP	\$4,850,000			
	EMPG	\$7,244,714		\$108,834,742	-21%
2006	SHSGP	\$100,122,080	Note 2		
	Transit Security	\$1,701,000			
	BZPP	\$1,776,140			
	EMPG	\$7,404,214		\$111,003,434	2%
2007	SHSGP	\$84,742,600	Note 3		
	Transit Security	\$4,703,106			
	Transit Supplement	\$650,555			
	BZPP	\$2,310,000			
	UASI Non-Profit	\$2,040,266			
	PSIC	\$42,888,266			
	EMPG	\$8,085,409			
	EMPG Supplement	\$2,083,868		\$147,504,070	33%
2002-2007 Total				\$622,410,548	

Source: Division of Emergency Management

Note 1 = includes \$30,885,716 for UASI; Note 2 = includes \$53,470,000 for UASI; Note 3 = includes \$38,670,000 for UASI

fiscal years 2004 and 2005, there were still funding increases. In total for the period, fiscal years 2002 through 2007, the funding level amounted to \$622.4 million.

Georgia

While the Governor's Office of Homeland Security (GOHS) was created in 2003, the agency received its first funding appropriation in fiscal year 2005. In laying out the budget process in the state, GOHS noted that it submits a budget request to the Governor's Office of Planning and Budget each year for review. Meetings by the GOHS also are held to further discuss

details on the budget request with the governor's budget staff. Then, the request is forwarded to the General Assembly for consideration and appropriation. The director of the GOHS is a cabinet level position. Table 11 reflects the budget numbers provided for fiscal years 2002 to 2008.

Illinois

The interaction between the Illinois Emergency Management Agency (IEMA) and the Governor's Office of Management and Budget is reported to be ongoing and continuous, particularly during the formulation of the agency's annual budget. The budget for

Table 11» Governor's Office of Homeland Security Budget (GA)	
Year	Amount
FY 2002	\$0
FY 2003	\$0
FY 2004	\$0
FY 2005	\$673,074
FY 2006	\$664,597
FY 2007	\$505,669
FY 2008	\$534,850

Source: Governor's Office of Homeland Security

IEMA for each fiscal year is included in the Governor's Annual Budget Message, which is then debated and voted on through the legislative process of the General Assembly. Prior to the Governor's Annual Budget Message, IEMA's director and the state Office of Management and Budget discuss the priorities related to requesting state funds and expending federal funds in the homeland security and emergency management areas in the state.

Indiana

In April 2005, the state combined its Emergency Management Agency with

Table 12» Illinois Emergency Management Agency Budgets (IL)		
Year	Appropriated	Expended
2002	\$185.3 million	\$47,100,000
2003	\$268.4 million	\$61,500,000
2004	\$398.1 million	\$58,400,000
2005	\$479.5 million	\$103,600,000
2006	\$646.4 million	\$139,500,000
2007	\$476.3 million	\$151,100,000
2008	\$475.4 million	\$154,100,000 (estimated)

Source: Illinois Emergency Management Agency

Table 13» Emergency Management Agency Budgets (IN)	
Year	Amount
2002	\$128,131
2003	\$116,500
2004	\$106,208
2005 (until April 2005)	\$106,208

Source: Indiana Emergency Management Agency

four other state agencies and created the Indiana Department of Homeland Security (IDHS). Since this reorganization, expenses related to emergency management in the state have not been budgeted as a separate department within IDHS. For the time period that it stood as an independent agency, Indiana's Emergency Management Agency budget is reflected in Table 13.

The Indiana State Budget Agency provides guidance and assistance when IDHS prepares its annual bud-

gets, along with responding to routine agency concerns arising during daily operations. In addition, IDHS regularly corresponds and communicates to the Indiana State Budget Agency any new initiatives or programs.

Kansas

Kansas' budgets for emergency management (referred to below as the category EMPG) and homeland security (referred to below as the category HLS) experienced a surge (75 percent)

Table 14» Emergency Management-Homeland Security Budgets (KS)			
Category	Year and Amount	Percent of Total	Percent Changes, By Category and Year-to-Year
2003			
EMPG	\$2,243,560	100%	
HLS	N/A		
Total	\$2,243,560		
2004			
EMPG	\$2,291,729	58%	2%
HLS	\$1,626,017	41%	N/A
Total	\$3,919,750		75%
2005			
EMPG	\$2,266,809	67%	-1%
HLS	\$1,125,825	33%	-31%
Total	\$3,394,639		-13%
2006			
EMPG	\$2,316,715	59%	2%
HLS	\$1,594,224	41%	42%
Total	\$3,912,945		15%
2007			
EMPG	\$2,529,855	59%	9%
HLS	\$1,783,621	41%	12%
Total	\$4,315,483		10%
2008			
EMPG	\$2,000,000	69%	-21%
HLS	\$893,450	31%	-50%
Total	\$2,895,458		-33%
2003-2008			
EMPG Totals	\$13,648,668	66%	
HLS Totals	\$7,023,137	34%	
Grand Total	\$20,671,805		

Source: Emergency Management-Homeland Security

Note: The EMPG and HLS values for years 2003 through 2008 do not add up to the sub-total for each year

in fiscal year 2004 when compared to fiscal year 2003. The budgeted amounts for these two categories declined in subsequent years, except for the 10 percent increase in fiscal year 2007 compared to fiscal year 2006. Table 14 provides insight into the percent changes in the two categories, emergency management and homeland security, for the period under review. Finally, the table denotes the relative importance of these two categories as a percent of total spending; in all the review years, the emergency management category amounted to about two-thirds of the total budget expended by the state.

The state's Division of Budget, according to the information provided, plays no role in formulating the emergency management and homeland security budgets. Rather, the budget is created as a result of interaction between the state Administrative Agency [Kansas Highway Patrol] and the Kansas Division of Emergency Management (KDEM). The latter relies on guidelines imposed by the federal DHS and the investment strategies developed by the regional councils in Kansas.

In terms of alerting the Division of Budget about any innovative programs at KDEM, the state indicated that there was no process to do so unless there was a request for an increase in funds. However, the Division of Budget is alerted if there is a new homeland security program that results in KDEM receiving new funds.

Michigan

Michigan's State Budget Office reviews major expenditures and approves contracts related to the activities of the Michigan State Police's Emergency Management and Homeland Security Division (EMHSD). Based on the information provided by the state, the following amounts represent the agency's budgets for fiscal years 2002 through 2007. The agency saw the sharpest increase in fiscal year 2003, a jump of 698 percent from nearly \$9 million to \$71.5 million. After a second increase in the next year (fiscal year 2004) by 7 percent, Michigan's homeland security/emergency management budget declined in the next three fiscal years.

Table 15» Emergency Management and Homeland Security Division Budgets (MI)

Fiscal Year	Amount	Percent Change
2002	\$8,958,000	--
2003	\$71,511,843	698%
2004	\$76,355,245	7%
2005	\$59,199,451	-22%
2006	\$46,898,876	-21%
2007	\$39,237,379	-16%

Source: Emergency Management and Homeland Security Division

Minnesota

In Minnesota, the Division of Homeland Security and Emergency Management (HSEM) operates under the jurisdiction of the Department of Public Safety. The director and assistant director of HSEM work closely with the Commissioner of the Department of Public Safety, Department of Administration and the Office of the Governor to determine annual budgets and other programmatic measures. Table 16 provides detail on budgets for the past six fiscal years. Based on these figures, Minnesota saw a tremendous surge in its HSEM budget in fiscal year 2003 (from \$5.6 million to \$36.7 million). While this growth level tapered off in the next year (fiscal year 2004), the budgeted amount actually declined in the subsequent two fiscal years (fiscal years 2005 and 2006) and then expanded in fiscal year 2007.

Nebraska

Nebraska's Emergency Management Agency budget for fiscal year 2007 was \$3.4 million. The agency had seen an increase of about 5 percent every year for the past few years according to the information provided by the state. Since the governor's budget office oversees the total program, it is integrated into the overall decision-making process.

Table 16» Division of Homeland Security and Emergency Management Budgets (MN)

Fiscal Year	Amount	Percent Change
2002	\$5,631,000	--
2003	\$36,766,000	553%
2004	\$59,256,609	61%
2005	\$34,799,047	-41%
2006	\$14,477,399	-58%
2007	\$20,504,423	42%

Source: Division of Homeland Security and Emergency Management

ing process. Nebraska indicated that it was difficult to initiate "innovative programs" using federal funds since the state was uncertain about future levels of financial support from the federal government. A further factor hindering the introduction of innovative programs is the fact that Nebraska operates on biennial budgets. Since the Nebraska Legislature does not meet every year, implementing an innovative program using federal funds that requires matching state funds results in the program being delayed until the Legislature convenes (very often the next year). Consequently, authorization for these additional state funds could not be obtained.

New Mexico

State appropriations for the New Mexico Department of Homeland Security and Emergency Management (DHSEM) are indicated in Table 17.

As illustrated by the table, the early years after the September 11, 2001, attacks saw an increase in the legislative appropriations for homeland security/emergency management expenditures in New Mexico, including sizable increases in fiscal years 2002 and 2003. These amounts began to decline after fiscal year 2005, dropping from a high of \$24.9 million in fiscal year 2004 to

nearly \$7 million in fiscal year 2007. However, when compared with the \$1.3 million appropriation in fiscal year 2000, the appropriations for the last seven years appear sizable.

In terms of the process, New Mexico indicated that the state budget office provides instructions to all the agencies, including homeland security/emergency management, regarding their annual budget requests. These instructions require the agencies to forecast and include possible federal fund awards in accordance with grant awards and extensions. The state's Department of Finance & Administration and the legislative Finance Committee then schedule meetings with the individual agencies once their annual budget request is submitted. The state indicated that questions have been raised about the dwindling federal DHS grant awards and their potential impact on state programs. In submitting its annual budget request, DHSEM submits a program overview of its operations including details on key programs, primary services provided, current service levels, major issues, accomplishments, changes included in the base budget request and base budget increase justification.

Table 17» Department of Homeland Security and Emergency Management Budgets (NM)		
Fiscal Year	Amount	Percent Change
2000	\$1,257,000	-
2002	\$3,574,000	184%
2003 (I)	\$6,401,000	79%
2003 (II)	\$16,956,000	165%
2004	\$24,946,000	47%
2005	\$18,726,716	-25%
2006	\$8,270,273	-56%
2007	\$6,973,253	-16%
Total	\$87,104,242	

Source: Department of Homeland Security and Emergency Management

North Carolina

According to the state's Division of Emergency Management (NCEM), Table 18 provides details on the homeland security/emergency management budgets for fiscal years 2002 to 2007.

North Carolina's homeland security/emergency management budgets saw a huge leap in the aftermath of the September 11, 2001, attacks with a 536 percent increase between fiscal years 2002 and 2003. There was

another increase between fiscal years 2003 and 2004 (26 percent) and, in the following two fiscal years, the budget levels declined by 23 percent and 25 percent, respectively. Finally, between fiscal years 2006 and 2007, there was an increase of 58 percent when the annual budgets increased from \$35.6 million to \$56.2 million.

According to the information provided, the North Carolina Office of State Budget and Management was not

Table 18» Division of Emergency Management Budgets (NC)			
Year	Amounts	Total for Year	Details
FY 2002	\$7,706,000	\$7,706,000	
FY 2003			
Part I	\$13,000,000		
Part II	\$36,000,000	\$49,000,000	
FY 2004			
HSGP	\$54,524,000		
UASI	\$7,361,266	\$61,885,266	
FY 2005			
HSGP	\$42,121,230		
EMPG	\$4,260,009		
BZPP	\$1,250,000	\$47,631,239	
FY 2006			
HSGP	\$30,861,786		
EMPG	\$4,353,797		
BZPP	\$378,000	\$35,593,583	
FY 2007			
HSGP	\$25,255,644		
BZPP	\$770,000		
TSGP	\$429,685		NC Ferry System
TSGP	\$578,788		Charlotte Area Transit System
TSGP	\$1,007,751		Supplemental
EMPG	\$4,754,351		
EMPG	\$1,225,348		Supplemental
PSIC	\$22,130,199	\$55,572,978 (Note)	Public Safety Interoperable Communications
Grand Total		\$257,967,854	

Source: Division of Emergency Management

Note: The individual program amounts listed for fiscal year 2007 do not add up to the sub-total indicated in the response. In fact, they add up to \$56,151,766.

involved with the allocation of HSGP funds even though it was involved in the certification of all state homeland security budgets.

North Dakota

While North Dakota operates on a biennial budget, information contained in the response provided by the state’s Department of Emergency Services (DES) demonstrates that until the most recent biennium, federal and special funds constituted a bulk of the funds expended on homeland security/emergency service issues.

As indicated in Table 19, the state portion has been rising, from 1 percent of the total amount in the 1999-2001 and 2001-2003 biennial budget years to 4 percent in the 2003-2005 period, 8 percent in the 2005-2007 period and, finally, to 15 percent in the 2007-2009 period. Even in dollar terms, the state portion increased in each of the four review periods with the largest increase occurring between the 2003-2005 and 2005-2007 biennial periods (274 percent). In terms of the federal and special fund sources, there were increases in two of the four review periods with declines in the remaining two periods. Finally, in terms of total funding changes, including funding from both state and federal/special sources, North Dakota saw increases in two of the four years. The drop in total funding in the final and current review period (2007-2009) was only 13 percent, due to the state’s increase in funding levels by 57 percent from the prior period; federal and special fund sources declined by 19 percent during this time.

Leveraging Additional Federal Funds

In a period of scarce and dwindling resources, and with state governments facing an increasing number of high expenditure categories, one objective of the inquiry was to determine whether any of the states had made specific attempts to leverage additional federal funds through matching grants and other mechanisms. The responses were varied, though a number of states—Georgia, North Dakota, Kansas, Nebraska—indicated they had not initiated efforts to leverage additional federal funds through a state-funded matching grants program. However, Michigan responded that even though it had not initiated any specific programs to leverage additional federal funds from matching grant programs, a DHS grant under the Public Safety Interoperable Communications program (PSIC) provided an opportunity for the state to secure funds to support interoperable communications projects. Florida indicated that even though the state had not been involved with matching grant programs in prior years, in fiscal year 2007, two DHS grants received under the PSIC and UASI programs will require matching state funds. Wisconsin noted that the state was unaware of the possibility of leveraging additional federal funds through matching state homeland security funds. Colorado indicated that the state’s regional approach leverages all federal homeland security funds; in addition, Colorado secures matching PSIC grant monies from DHS.

Iowa noted that although the state has not leveraged additional federal dollars with matching state funds, the state has made a concerted effort to coordinate the activities of Iowa’s different state agencies to ensure the optimal use of the federal funds received. For instance, the state’s Homeland Security and Emergency Management Department (HSEMD) began regular contact with the Iowa Department of Public Health in the aftermath of the September 11, 2001, attacks. Consequently, the state has been able to closely coordinate—and avoid duplication of efforts—the use of federal funds received from the CDC for various public health and hospital projects, particularly with the use of HSGP funds, which are used more often on the emergency response side.

According to New Jersey officials, the state had lobbied to secure additional federal funds through matching state dollars, while Minnesota indicated that the state supported applications to the Infrastructure Protection Program (IPP) of DHS.

More detailed responses were provided by a number of states. These are encapsulated below.

California

Although the state did not secure additional federal dollars by proffering matching state funds in fiscal years 2002, 2003, 2005 and 2006, the state did secure \$1 million in additional federal funds from DHS’ Information Technology and Evaluation Program (ITEP) in fiscal year 2004 by providing matching state funds. Similarly, in fiscal year 2007, the state provided matching

Table 19» Department of Emergency Services Budgets (ND)								
Biennium	General Fund			Federal/Special Funds			Total	Percent Change
	Amount	Percent of Total	Percent Change	Amount	Percent of Total	Percent Change		
1999-2001	\$924,090	1%		\$65,230,947	99%		\$66,155,037	
2001-2003	\$963,160	1%	4%	\$69,870,828	99%	7%	\$70,833,988	7%
2003-2005	\$1,369,035	4%	42%	\$37,217,141	96%	-47%	\$38,586,176	-46%
2005-2007	\$5,115,672	8%	274%	\$57,870,280	92%	55%	\$62,985,952	63%
2007-2009	\$8,031,945	15%	57%	\$46,891,559	85%	-19%	\$54,923,504	-13%

Source: Department of Emergency Services

funds to secure \$94,034,510 in federal funds for its PSIC program.

Delaware

The state participates in all eligible federal matching grant programs including the Port Security Grant Program (PSGP), Emergency Management Performance Grant (EMPG) and the Public Safety Interoperability Communications program. Local emergency responders in the state utilize fire and law enforcement grants to enhance their operations and preparedness. Based on funds secured under the PSIC grant process, the state has incorporated the 700 MHz spectrum to the state's communications system in three years. Also, the information provided by Delaware indicated that PSGP funds received in fiscal year 2007 enabled the state to enhance its fire response capabilities throughout one of the largest and most traveled port areas in the country.

Indiana

The Indiana Department of Homeland Security (IDHS) has established partnerships with the Indiana National Guard, the U.S. Department of Defense and various private sector entities to develop and promote the Muscatatuck Urban Training Center (MUTC). The MUTC is a 1,000-acre site managed by the Indiana National Guard that has evolved into a full-immersion, contemporary-urban training environment consisting of a 180-acre reservoir and extensive urban infrastructure. Furthermore, the IDHS has a partnership with the Indiana State Department of Health (ISDH) to leverage federal funding for the ISDH toward variety of initiatives including training, exercises and equipment purchases.

New Mexico

The state's Department of Homeland Security and Emergency Management (DHSEM) applied for and received funds from the federal DHS for the implementation of the PSIC program. While this award totaled \$8.2 million, it required a 20 percent match from non-federal sources.

North Carolina

According to North Carolina's Division of Emergency Management's (NCEM) Homeland Security Branch (HSB), there are two state agencies that have leveraged additional federal funds to augment the state's overall homeland security program. First, the North Carolina Office of Emergency Medical Services currently is using fiscal year 2006 and fiscal year 2007 HSGP, along with the Health Resources and Services Administration and CDC funds, to enhance state homeland security projects. Second, the State Highway Patrol currently is leveraging fiscal year 2007 PSIC grant funds, matching funds from local jurisdictions, to assist in the build-out of the statewide interoperable communication system, known as the Voice Interoperable Plan for Emergency Responders (VIPER). In this connection, the state is seeking matching funds from local jurisdictions to provide a match for the purchase of interoperable communications devices so that the additional PSIC funds maybe secured.

State Spending of Federal Homeland Security Funds

In recent years, there has been some discussion about the fact that certain states have failed to fully expend the funds they received for diverse homeland security programs from the federal DHS. The ways in which these federal grant funds are appropriated and spent in states varies greatly. In some instances, the spending periods for these funds have become restrictive for states; thus, states have had to alter the methods in which funds are appropriated and spent. Several states indicated that they have appropriated and spent all grant funds for federal fiscal years 2003 through 2007. These are California, Iowa, Michigan, Montana, North Dakota, and New Jersey. Various states, including Kansas and Nebraska, have appropriated, but not spent, all funds for these four years. Details regarding state spending are examined in this section.

Delaware

Delaware has not spent all the funds received from federal fiscal year 2004 to the current grant year. Some of the reasons for not spending the funds include cost savings from effective procurement methods causing reallocations; critical infrastructure evaluation, project development, and contractual constraints; procurement lead time on specialized equipment manufacturing; and changes in technology or potential threat causing project reevaluation. The state concludes that its focus is on efficiency of expenditures, rather than on timeliness.

Florida

Grants for four of the five past federal fiscal years are still open and these funds are currently unspent. The state spent all of the federal fiscal year 2003 UASI funds and returned \$16,244.07 from Part I and \$883,445 from Part II of that year. The 2004 and 2005 hurricanes brought the program to a near standstill.

Illinois

Illinois has expended all of the federal fiscal years 2003 and 2004 homeland security funds. All federal fiscal years 2005 through 2007 funds, while not entirely spent, have been appropriated. Illinois expects to expend the balance of these funds by the conclusion of the federal performance period.

Indiana

The state has spent all federal fiscal years 2003 and 2004 homeland security grant funds. The performance period for federal fiscal years 2005, 2006 and 2007 is still active, and the state continues to expend those funds in accordance with all applicable rules and guidance documents. In order to spend the funds with great care and stewardship, the state has worked to ensure those funds enhance preparedness and response efforts within the state. Because these grants typically have a 36-month performance period, the state has endeavored to create sustainable, long-term projects and maintain realistic and attainable performance goals.

Kansas

Kansas has appropriated all of the funds awarded to it since federal fiscal year 2003. To date, there are funds that remain to be spent from federal fiscal years 2004 through 2007. However, all of these funds have been legally obligated to a sub-recipient via contract. Additionally, the project periods, including extensions, for each of these grant years is still open, which allows sub-recipients to continue making obligations and expenditures.

Minnesota

Approximately \$750,000 in federal grant money has not been spent since 2003, even though these unexpended funds have been dedicated to homeland security exercise projects. Local units of government were unable to spend all of this money because of the severe restrictions on the use of the funds. Federal fiscal year 2004 grant funds were fully spent with the exception of \$2,700.

New Mexico

The majority of the available balance in the 2003 award lies within the homeland security exercise category. The state has not spent all of these funds; however, New Mexico is in the process of expending the vast majority of this grant in order to close out the award. For grant years 2003 and 2004, the state waited for several months for extension requests to be granted. The waiting period severely restricted the ability of sub-recipients to expend the funds. Regarding the 2005 award, sub-recipients did not begin to significantly spend down the sub-awards until federal fiscal year 2006. Also, the New Mexico Department of Homeland Security and Emergency Management (DHSEM) transitioned from procuring goods to reimbursing jurisdictions for their expenditures.

North Carolina

North Carolina has spent nearly 99 percent of the funds for federal fiscal year 2003 and expects an extension that will allow the remaining funds to be spent by the end of 2007. According

to the state response, additional time is needed to spend the money for the following reasons:

- » Equipment items are on back order due to vendor delays;
- » Local and state agency procurement procedures make it difficult to quickly expend the grant funds;
- » The state property office delayed the approval of site locations for interoperable communication towers in federal fiscal years 2004 and 2005; and
- » The federal DHS delayed the approval of tower heights for interoperable communication towers in federal fiscal year 2005.

Wisconsin

Wisconsin indicated that all funds from fiscal years 2003 and 2004 grants were closed out and spent; fiscal year 2005 grant money will be spent this year; fiscal year 2006 funds will be spent by 2009; and fiscal year 2007 funds will be spent by 2010. Wisconsin noted that it endeavors to spend funds in a timely manner, while undertaking the proper planning and organizational efforts necessary to spend the money most effectively.

Spending Federal Dollars Efficiently and Effectively

Given the enormous budget constraints faced by the federal government, there is a huge premium placed on states spending DHS funds efficiently and effectively. Information provided by states indicated that all the states deployed great care to ensure that maximum utility was generated from the funds. For instance, New Mexico noted that all DHS funds were expended in accordance with the applicable grant guidelines as well as the authorized equipment list. New Mexico indicated that all funds awarded to local jurisdictions, tribal entities and state agencies in the state were designed to meet DHS goals and objectives. New Jersey noted that the federal funds had strengthened its ability to respond to

threats, while Georgia stressed that all grant monies received by the state had been used effectively and efficiently. Florida indicated that the state evaluated the effectiveness of each federally funded program annually during the state's capabilities assessment.

The following sections provide additional details from the states in terms of the specific measures they have enacted to ensure that the federal funds allocated are spent efficiently and effectively. While each state approached this question differently, it is possible to glean how the states made great efforts to ensure that these scarce and diminishing resources were spent in the optimal possible way.

California

The state pays a great deal of attention to ensure that the federal funds are fully utilized. For instance, California deployed a portion of the federal funds to create greater access to and utilization of all available communication technologies for sharing information during disasters. Specifically, the state used these funds for equipment and contracts to enhance the following communications systems: Operational Area Satellite Information System, the state's satellite-based communications system as a back up for its public telephone network in fiscal years 2004 and 2005; the Response Information Management System, the state's information-sharing and resources tasking database deployed during disasters, also in fiscal years 2004 and 2005; and Gateways, the state's disparate radio communications network that sets up a dedicated frequency for all first responders in a disaster in fiscal years 2005 to 2007.

The state's Office of Emergency Services (OES) also used federal funds to maintain and manage the Standardized Emergency Management System (SEMS) and update the state's emergency plan. The OES also works to maintain NIMS compliance by providing state and local agencies with guidance, workshops, and training. The OES also used federal funds to incorporate disabled individuals, as well as

livestock and pets, in the SEMS by providing public awareness and pursuing public/private partnerships.

Given the requirement that every state and local agency in California that receives federal funds to enhance homeland security goals within the state must be NIMS compliant, these state and local agencies deploy a portion of their funds on various NIMS compliance efforts, such as planning, training, exercises and equipment purchases. Since a part of these federal funds must be spent on training, OES' California Specialized Training Institute provides specialized training, including responding to hazard disasters and operating equipment for handling hazardous material disasters, to these state and local agencies to meet that requirement.

Colorado

In ensuring that the state expends federal homeland security funds efficiently and effectively, Colorado's homeland security regions perform a capability assessment annually to determine gaps within 37 pre-identified areas. Based on the statewide average of these assessments, specific gaps are then identified. Capability funding is prioritized by state officials in collaboration with the state's nine all-hazard homeland security regions. A risk assessment at the local level from each region also is collected and included as required data for the determination of funding levels. These factors are taken into consideration before funding decisions are made by the state's Homeland Security Program's Senior Advisory Committee, based on recommendations from the Grant Review Committee.

Delaware

The state utilizes allocated federal dollars efficiently and effectively through the concentrated efforts of a single jurisdiction, the state. This method, used each year since fiscal year 2002, focuses on the development of regional response capabilities in the state's three counties and in Wilmington (the state's major city) and working with local government officials to ensure critical infrastructure protection.

Illinois

The state strives to provide a system of centralized coordination and communication among various federal, state and local governments to prevent, protect, respond and recover from major events. By applying the principles of a unified command structure and adopting a systems-based approach to preparedness, Illinois has been able to maximize the use of these finite federal homeland security funds by building on current capabilities and programs.

Indiana

Beginning in federal fiscal year 2003, the primary focus of DHS supplemental homeland security funding awards to local jurisdictions shifted from one that was based on population to one based on risk. As a result, Indiana shifted its allocation criteria to local governments as well to include other risk factors, of which population was one of several factors in the funding equation. According to the state's response, "this progressive method of allocation made Indiana a leader and pioneer in its allocation methodology."

However, as funding levels dwindled in subsequent years, Indiana further shifted its allocation process away from a risk-based county-by-county allocation to a homeland security district-based allocation. The state was divided into 10 homeland security districts with regionalization being established as a primary goal within the Indiana Strategy for Homeland Security. Consequently, starting in federal fiscal year 2006, the state's primary allocation criteria to local jurisdictions were based on the relative importance of the different homeland security districts. While this allocation methodology required district-wide, multi-disciplinary and multi-jurisdictional collaboration and planning, Indiana is able to greatly advance regional preparedness efforts throughout the state and leverage maximum federal awards.

Iowa

Each homeland security grant program in Iowa is required to have an administrative plan which serves as a

mechanism for scheduling the use of time and resources over the life of each grant project. The plan provides a programmatic and administrative framework for conducting activities within grant terms and conditions. The administrative section covers the practical aspects of what and when tasks need to be completed, and serves as an action plan to help the Iowa Homeland Security and Emergency Management Division (HSEMD) select sub-grantees, manage its award budget, monitor sub-awards, and provide effective technical assistance and training. Policies and procedures contain checks and balances, so that different individuals at different stages of the process share responsibility for the prudent use of funds.

Iowa's HSEMD established internal controls based on the American Institute for Certified Public Accountant's definitions and requirements for government-wide administrative requirements and cost principles. Thus, HSEMD establishes internal controls and a chart of accounts, along with ensuring compliance with the *Cash Management Improvement Act* and sound business processes. In addition, HSEMD enforces procedures to minimize federal cash on hand, monitors expenditures on an accrual basis and tracks expenditures in both the financial and program budgets. This comprehensive system ensures that only approved costs are charged to federal grants, documentation for all grant-related expenditures—broken down by award type—is readily available, and the completion of government-required financial reporting forms.

Iowa also encourages the use of performance-based work plans and performance-oriented objectives, as well as the identification of the implemented provisions. For every project, HSEMD defines the vision, goals, and objectives of the project and how it will fit into an overall effort to integrate regional, state, and local plans/strategies with the federal vision. The fact that Iowa requires performance-based work plans makes it easier to obtain information that is directly attributable to the grant funds. It also is possible

to identify which activities were supported, the amount of federal funds allocated to each activity and, in most instances, the results grantees achieved with federal funds. Both HSEMD and sub-grantees are held accountable for meeting specified performance-related expectations.

The state uses competitive sourcing to ensure that taxpayer dollars are used efficiently and effectively each year. This method is used to compare the costs and overall value of commercial services among private sector and federal government providers, and providers are selected based on which entity can deliver the best services for taxpayers.

Kansas

The effectiveness with which the state continues to deploy federal homeland security funds was maximized with the establishment of regions in the state. Furthermore, the efficient use of these federal funds is accomplished through a somewhat unique financial management approach. Specifically, using management and administration funds received under the federal HSGP, Kansas contracted a fiscal agent for each of the state's homeland security regions. The fiscal agent of each region is entrusted with making all purchases on behalf of the region and required to comply with grant program guidance and all applicable federal circulars and rules pertaining to the use of these federal funds. This process allows other officials in the region to focus on identifying and closing capability gaps, rather than being hampered by procurement, payments and bidding requirements.

The state also has utilized DHS funds to enhance response and training capabilities, carry out simulation and training exercises, and make equipment purchases. The distribution of funds to carry out these tasks was based on a threat assessment of 17 Critical Infrastructure and Key Resources (CI/KR) sites by DHS.

Michigan

The state had pursued a regional format in structuring its homeland

security effort and noted that state-wide participation in the Pilot Target Capabilities Assessment has provided it with the structure and data to efficiently and effectively direct state and local spending toward identified gaps in preparedness. The Target Capabilities List describes and sets targets for the capabilities required to achieve the four homeland security mission areas: Prevent, Protect, Respond, and Recover.¹

Minnesota

The state's Homeland Security Exercise and Evaluation Program (HSEEP) reviews each investment and assesses performance through evaluation and exercises that test efficiency and effectiveness. In addition, the response noted that real-time events, such as the I-35W bridge collapse, floods in southeastern Minnesota and the Northern and Carlos Avery wild fires, provide policymakers with accurate information on the state's emergency preparedness level and whether the state has been effectively and efficiently deploying its federal funds. Participation in the Pilot Target Capabilities Assessment in different parts of the state also helps decision-makers identify strategies to accomplish state-wide preparedness.

Nebraska

Federal homeland security funds have enabled the state to build 10 local, state-supported, hazardous material and weapons of mass destruction response teams; establish and equip a state emergency response team; maintain uniform Local Emergency Operations Plans across every jurisdiction in the state; and, finally, write, implement and work toward the completion of an interoperable communications system that builds upon state and local systems.

North Carolina

The state noted it was effectively spending federal homeland security funds to enhance its capabilities and address projects identified as top priorities for the state. Beginning in federal fiscal year 2004, the year the federal HSGP grant awards were decided by a competitive process, North Carolina prioritized its funding process.

Cooperation Between the States

One of the developments of the spate of both human-related and natural disasters in recent years is the fact that states increasingly are entering into formal and non-formal arrangements to assist each other during times of crisis. While the history of state mutual aid goes back decades to the aftermath of World War II, it was only in 1992, when Hurricane Andrew devastated Florida, that it became apparent assistance from the federal government alone would be insufficient and that states would need to secure support from one another in order to respond adequately to various emergencies.² In response to this urgent need, the Southern Legislative Conference (SLC) and the Southern Governors' Association (SGA), both operating under The Council of State Governments (CSG), coordinated with Virginia's Department of Emergency Services to develop a state-to-state mutual aid agreement. This agreement, termed the Southern Regional Emergency Management Assistance Compact (SREMAC), was adopted in 1993. Then, in January 1995, SGA voted to expand the membership of the SREMAC to any state or territory in the Union that wished to join. The broader agreement resulted in the creation of the Emergency Management Assistance Compact (EMAC). Since being ratified by Congress and signed into law, in 1996, (Public Law 104-321), 50 states, the District of Columbia, Puerto Rico, Guam, and the U.S. Virgin Islands have enacted legislation to become members of EMAC.

Notwithstanding the crucial role played by EMAC in harnessing the resources of multiple states in providing assistance to a state stricken by either a natural or human-related disaster, there has been a great deal of interest among states in combining their efforts in preparing for mutual homeland security concerns on a regional basis. Consequently, a number of states have entered into agreements to enhance intelligence and information integration with the establishment of fusion centers. A central priority of

states in the post-September 11, 2001, environment, assisted with funds from the federal DHS, has revolved around establishing intelligence fusion centers, i.e., central locations where local, state and federal officials can harness their combined and coordinated resources for receiving, integrating and analyzing information and intelligence.³ Consequently, a concerted effort has been made across the country to set up these cooperative fusion centers. The following section describes some of the measures currently in place.

Colorado

In order to evaluate and improve radio communications interoperability during an emergency, state government leadership in Colorado, Arizona, New Mexico and Utah established the Four Corners Project. (The Four Corners is the only place in the United States where four states—Arizona, New Mexico, Utah, and Colorado—meet in one place. The tribal entities in the four states also have struggled for years to communicate effectively during emergencies. This project will assess and make recommendations on the radio communication systems in each state and the tribal lands, and initiate measures to improve interoperability. The four states received additional DHS funding in 2007 to begin this project.

Delaware

In fiscal year 2007, Delaware applied for HSGP funds to develop a regional evacuation and catastrophic planning consortium designed with funds and input from FEMA Region III and the surrounding states. Although this application did not secure any additional DHS funds, the program still garnered the interest of FEMA Region III. Delaware is optimistic that the program will qualify for HSGP funds in the future.

Florida

Florida participates, with several other states in the Southern region, in the *Southern Shield Initiative* (Georgia, Florida, Kentucky, North Carolina, South Carolina and Tennessee). The state places a high degree of impor-

tance on establishing and enhancing multi-state collaboration and considers it a critical investment in Florida's domestic security strategy, given the fact that potential security events are likely to impact more than one state/locale. This collaborative effort involves sharing and disseminating essential information to all law enforcement agencies and agencies involved in domestic security prevention, preparedness and response. In fiscal year 2007, Florida participated with six other states that applied for HSGP funding for a multi-state program.

Indiana

The state has partnerships with three adjoining states (Ohio, Michigan and Illinois) for interoperable communications and mutual aid. Additional homeland security funding from DHS in fiscal year 2007, under the HSGP, were secured as a result of these partnerships. The state also took the initiative on planning a regional homeland security meeting for related officials. Funding for this meeting was provided by FEMA's Region V.

Iowa

A high degree of importance is placed on entering into partnerships with other states for collaboration on enhancing homeland security and stretching all possible funding options. One of the ways the state accomplishes this is by being the primary driver of the Multi-State Agriculture Consortium (MSAC). Iowa recognizes the importance of planning and coordinating a comprehensive response to foreign animal diseases that extends beyond its borders. Since MSAC has representatives from neighboring states and other states that have a dominant agricultural component in their economies, developing quick response teams and sharing response and recovery plans remain a major benefit for the states involved.

Additional strategies used to enter into partnerships with states to enhance homeland security concerns include the following measures:

» Iowa has participated in three regional transportation security meetings. The initial meeting was

in Iowa with eight states attending; the second meeting was in Wisconsin (with states as far as Michigan attending); and the third meeting was in Illinois, which included states extending to Ohio. While the primary focus of the discussions revolved around highway transportation security, the presence of officials from the DHS Transportation Security Administration enabled detailed discussions on overall transportation security.

» Iowa has been closely involved in working with the Tri-State HazMat Group comprising Minnesota, Wisconsin and Iowa. In conjunction with this group, the three states convened a Tri-State Infrastructure Protection Summit and a multi-state Ag-Terror workshop.

» In northwest Iowa, there continues to be close coordination between Iowa, Nebraska and South Dakota—driven both at the local level and at the state level—on a number of homeland security related issues. In addition, Illinois and Iowa collaborate closely in the Quad Cities market, which includes Davenport and Bettendorf on the Iowa side, and Rock Island and Moline on the Illinois side of the Mississippi River.

Kansas

Although Kansas does not have any UASI cities, its border with Missouri results in the sharing of UASI funds that the metropolitan area of Kansas City, Missouri, receives. Kansas City, Missouri, has received UASI funds from DHS under funds set aside for the nation's largest population centers. Given the expansive geographical area covered by Kansas City, Missouri, officials in Missouri have shared UASI funds with three counties in Kansas (Johnson, Wyandotte and Leavenworth). This partnership has enabled each state to maximize its capabilities individually, along with developing the capabilities shared by the metropolitan areas as a whole. In this effort, the two states have appointed a number of committees to address areas such as training, planning, exercises and

interoperable communications that include officials from both states. Significantly, even though Kansas is not an actual recipient of these funds, the decisions made by these committees include input from the Kansas representatives.

Kansas recently entered into an agreement with the Multi-State Partnership for Security in Agriculture (MSP). The MSP is a 12-state consortium (Illinois, Iowa, Kansas, Kentucky, Minnesota, Missouri, Nebraska, North Dakota, Ohio, Oklahoma, South Dakota, and Wisconsin) organized in August 2003 with the objective of strengthening state agriculture emergency preparations and response.

Kansas also is a member of the Mid-America Regional Council (MARC) that serves as the association of city and county governments and the metropolitan planning organization for the bi-state Kansas City region. The MARC seeks to build a stronger regional community through cooperation, leadership and planning designed to enhance the effectiveness of local government.

The state also belongs to the following regional alliances that facilitate greater cooperation on the homeland security front:

- » Four Corners Emergency Management (Kansas, Oklahoma, Arkansas, Missouri)
- » Five States Peace Officers Association (Kansas, Oklahoma, Texas, New Mexico, Colorado)
- » Mid-America Alliance Wide Open Spaces Group (FEMA Region VII and VIII states)

As a result of Kansas' involvement in these regional alliances, additional federal funds were provided to the state. Along with the three Kansas counties that border Kansas City, Missouri, the metropolitan area that directly benefited from funds provided to that city, Kansas also requested and secured funding for MSP.

Michigan

In fiscal year 2006, Michigan applied for DHS funds to coordinate multi-state activities across a variety of state investments; however, due to

other funding priorities, this request for funds was not approved. In fiscal year 2007, the need for multi-state coordination was re-evaluated and deemed a priority. Consequently, Indiana, Michigan and Ohio will now synchronize their planning efforts in a major emergency to improve the effectiveness of cross-border emergency responses. This effort will include the coordination of specialized teams and interoperable communications under pre-established agreements and protocols, thus improving response time for all border jurisdictions. These cross-border arrangements will significantly curtail the gaps between the exhaustion of local resources and the arrival of state coordinated and/or federal resources.

Minnesota

The state has mutual aid agreements with Canada and neighboring states. (The North Dakota section highlighted Minnesota's arrangement with that state.) In addition, Minnesota is part of EMAC and has a state EMAC representative. In 2007, HSGP funded several multi-state programs for information-sharing, agricultural initiatives and interoperable communications with Canada. The state is exploring the possibility of establishing a multi-state evacuation plan in 2008.

Nebraska

The state is involved in multi-state consortiums for agriculture and public health preparedness and response. Even though the agriculture consortium received some initial seed money through the state of Iowa, officials noted that in successive years, including fiscal year 2007, the consortium was "penalized with no additional funds" appropriated toward its functions.

New Jersey

The state has worked on evacuation plans and on different strategies to leverage increased UASI funds with New York and Pennsylvania.

New Mexico

The following summarizes examples of the state's cooperation with neighboring states.

- » New Mexico has several direct, ongoing projects with Texas associated with comprehensive border safety and security programs, mostly involving information exchange. These programs include *Operation Lonestar*, *Operation Wrangler* and *Operation Border Star*;
- » The four southern border states (California, Arizona, New Mexico and Texas) all participate in *Operation Stonegarden*. In fiscal year 2007, DHS provided a supplemental award to enhance information-sharing and interoperability initiatives among these four states;
- » The Region 4 Corners (R4C) initiative (New Mexico, Colorado, Arizona and Utah) seeks better information integration, especially with regard to tribal interests in the area. R4C-related investment justifications were approved but no specific funding has been allocated even though there is a federal mandate to have money spent on initiatives of this nature; and
- » New Mexico also coordinates closely with the Intelligence Fusion Centers and Emergency Operations Centers in neighboring states.

North Carolina

North Carolina has entered into partnerships with other states on at least two occasions. First, the State Bureau of Investigation (SBI), the state agency with primary responsibility for the state's fusion center, known as the Information-sharing and Analysis Center (ISAAC), participates in the *Southern Shield Initiative*. Under this program, the SBI collaborated with Georgia, Florida, Kentucky, South Carolina, and Tennessee to establish a regional fusion center network to facilitate the timely exchange of homeland security intelligence. In fiscal year 2007, this regional project was identified as a multi-state investment and subsequently received HSGP funding.

Second, the State Highway Patrol (SHP) is the state agency with primary responsibility for the implementation of the state's interoperable communications solution, the Voice Interoperable Plan for Emergency Responders

(VIPER). In coordination with the Charlotte, North Carolina, UASI region and the South Carolina Law Enforcement Division, the SHP is establishing connectivity nodes to ensure that 800 MHz communications between the two states and the Charlotte urban area are fully functional and compatible with one another. (There also are discussions in progress over establishing interconnectivity with Virginia.) Just as with the SBI's *Southern Shield Initiative*, this project also received federal funding as a multi-state investment in the fiscal year 2007 HSGP.

North Dakota

North Dakota has taken a very active stance in regard to interstate cooperation, and fiscal year 2007 DHS funding was allocated to enhance intelligence and information integration of fusion centers in North Dakota, South Dakota, Montana and Minnesota by establishing the North Central Regional Fusion Center Information-sharing System. The collective mission of the System is the creation of a collaborative communication environment supplemented with web-based mechanisms for sharing intelligence and information. Specifically, the System seeks to:

- » Ensure the coordination of fusion center intelligence and information communication in the four states;
- » Develop a four-state governance structure for the North Central Regional Fusion Center Information-sharing System;
- » Acquire and integrate in a timely fashion common intelligence-sharing tools, WebEOC (a software system that allows information to be shared by multiple users at a time) and special events information; and
- » Establish common intelligence and information protocols.

In addition, North Dakota reports that fiscal year 2007 funding from DHS provided for a shared software system—the Critical Infrastructure Analysis System—between North Dakota and South Dakota to measure risk and vulnerability of critical infrastructure and key resources. This System will allow the two states to collect, catalog, and

conduct assessments, and the information shared through this arrangement dovetails perfectly with activities of the North Central Regional Fusion Center Information-sharing System. North Dakota officials also note that it moves the states toward a risk management model that prioritizes resources while allowing both states to take a strategic view of investments, align capabilities based on risk levels and make investments based on quantified gaps in necessary capabilities. This System also will allow the two states to survey and assess security and vulnerabilities at all sites and to analyze risks based on information about threats/hazards, CI/KR and people. In sum, this System will enable officials in the two states to better set priorities, align capabilities, justify investments, and allocate dollars in accordance with the risk profile of the two states.

Wisconsin

The state belongs to the Multi-State Agriculture Consortium, which enabled the state to secure additional funding from DHS in fiscal year 2007. Wisconsin also participates in cross-border regional response teams and works with neighboring states on mass evacuation plans, Mutual Aid Box Alarm System and information-sharing.

Public-Private Partnerships

Selling or leasing state assets by entering into public-private partnerships has emerged as a feasible option for many policymakers. The state assets in question include highways, lotteries, student loan portfolios, parking meters, state-run liquor stores, naming rights for transit stations and sports stadiums, commuter railroads, airports, bridges, and advertising space on bus shelters, newsstands and garbage cans. In light of the fact that raising taxes to fund an increasing number of transportation and other essential projects remains politically volatile, policymakers continue to pursue a range of alternate funding mechanisms to generate revenue. Consequently, public-private partnerships, especially in the transpor-

tation sector, have emerged quickly as a viable alternative.

As in many other areas of recent federal government funding programs, there is a great deal of interest in inviting the private sector to partner and collaborate with the public sector to carry out a range of essential tasks. Consequently, DHS, with its myriad funding programs, has included public-private partnerships as an important component of its outreach to the states. The following section examines nuances of these partnerships.

California

The Governor's Office of Emergency Services (OES) indicated a number of measures are in place to encourage public-private partnerships. For instance, SB 546 creates a voluntary program to integrate the private sector in emergency preparedness, addresses the sharing of facilities and systems, and creates the Disaster Resistant Communities Account. Furthermore, the Governor's Executive Order S-04-06 forms the Emergency Partnership Advisory Workgroup, an entity designed to secure agreements with the private sector, increase surge capacity, and assist with business and economic recovery after a disaster. The state also highlighted in their response the Standardized Emergency Management System's (SEMS) Private Sector Specialist Committee, which addresses a number of private sector concerns. These concerns include complying with the NIMS requirements and the Emergency Operations Center Model, both cited as innovative tools in coordinating emergency responses.

Colorado

The state paved the way for establishing the Colorado Information Analysis Center (CIAC) as a public-private partnership to protect critical infrastructure and key resources, as well as promote information-sharing for the prevention of terrorist attacks. The CIAC, the state fusion center, is partially funded with homeland security grant funds, with the Colorado State Patrol (CSP) providing administrative support. The staff began operations

in 2005 with three full-time personnel from the CSP. Due to the collaborative partnerships the CIAC staff developed, it currently is staffed by a multi-jurisdictional team of local, regional, state and federal analysts from the law enforcement, fire service, emergency management and critical infrastructure sectors. The CIAC staff builds relationships with representatives of private industry and local first responders in order to obtain and share information. This results in a steady flow of information that is analyzed and forwarded to the appropriate parties. Some of the information is sent to the FBI's Joint Terrorism Task Force and to the DHS National Operations Center to help prevent terrorist acts.

Delaware

The state established public-private partnerships with local hospitals with funds secured under HSGP and, since fiscal year 2004, has received funding allocations for crucial protection measures and medical preparedness. Some of the state's most vital assets are housed within the private sector, and the state continues to work with private partners to solidify the critical infrastructure protection program.

Florida

Florida very recently created a messaging system (BusinessSafe) to alert various segments of the private sector in a timely manner about either a natural or human-related emergency and provide information related to critical assets, along with details about business safety and security, as well as training opportunities.

Georgia

The state has engaged numerous entities in the private sector in establishing a Business Operations Center to liaise with the business community during an emergency and/or disaster. In this connection, in both fiscal years 2006 and 2007, the state secured DHS funds (specifically, HSGP and UASI funds) to set up a non-governmental organization for this purpose. The state also partnered with other related groups to identify gaps and vulner-

abilities related to critical infrastructure issues. The state also has allocated funds to study vulnerabilities associated with Emergency Medical Services (EMS), given that some 80 percent of these EMS companies are privately owned.

Illinois

The state has established partnerships with members of the private sector to form the Private Sector Alliance Project and, thereby, promote a culture of information-sharing and partnership between public safety agencies and the private sector. This Project consists of two interdependent programs: Infrastructure Security Awareness (ISA) and the Mutual Aid Response Network (MARN).

» The ISA was designed to improve the resilience of Illinois' fight against terrorism. Using community policing initiatives, strategies, and tactics as its foundation, the ISA program incorporates security professionals for the detection and prevention of suspicious activities associated with terrorism and related criminal activities. To assist in this crucial mandate, ISA project members are entitled to exchange critical, need-to-know/right-to-know (i.e., official business) information as well as information obtained from the corporate security community. Delivery and communication of this information is facilitated through an Internet portal provided by the federal DHS termed the Homeland Security Information Network. Information on this Internet network portal is organized by the following categories: alerts, organized retail theft, situational awareness, document library, training calendar and calendar of events/anniversaries.

» Illinois recognizes the need to partner with the private sector community to help fill gaps in resources during emergency response and recovery. The newly established MARN is designed to leverage existing resources located within the private sector community to mitigate the impact of critical incidents, including natural disasters

and acts of terrorism. As a result of this project, Illinois is developing a clearinghouse of information detailing agreements with the private sector on the utilization of resources during a critical incident. Resources include details on facilities, equipment, transportation, medical supplies and power available or potentially available for assignment/allocation to support of emergency response activities.

Indiana

Indiana's Department of Homeland Security (IDHS) has several representatives that are members of InfraGard, a public-private partnership. Indiana is establishing a Special Interest Group on the InfraGard website for enhanced, secure public/private information-sharing. Indiana also is in the beginning stages of a partnership with the Business Executives for National Security (BENS) that will enhance public-private interactions and assist in the development of the state's critical infrastructure protection program.

Iowa

Developing partnerships with the private sector is an important priority of the state. In accordance with this objective, the Safeguard Iowa Partnership was formed with start-up seed money provided by the Iowa Business Council, representing 24 large corporations in the state. This partnership is designed to integrate private and public organizations more closely in preparing, responding and recovering from disasters.

Kansas

Kansas is an active member of the Business Executives for National Security (BENS), a national, nonpartisan organization of senior executives dedicated to enhancing national security by deploying the successful models of the private sector.

Michigan

Michigan's Homeland Security Advisory Council has representatives from the private sector and intends to use these contacts to leverage and

improve partnerships between the public and private sectors.

Minnesota

The state is establishing a Public-Private Coordination Action Team involving the representatives of 17 CI/KR sectors. This is a joint venture between the state's Division of Homeland Security and Emergency Management (HSEM) and Minnesota InfraGard, a private-public partnership. One of the major tasks of the joint venture is ensuring that an Incident Coordinator from InfraGard provides regular reports to the state emergency operations center. This will ensure the flow of information and coordination on key issues between the public and private sectors. The state's HSEM also will have two critical infrastructure planners that work closely with private industry in building partnerships. In addition, the state has a very active Citizen Corp, School Resource Center, and Senior Advisory Committee that focuses on enhancing the public-private partnerships.

Nebraska

Nebraska's lieutenant governor acts as the state's homeland security director and oversees the Nebraska Infrastructure Protection Council. This is a public-private consortium of businesses and private companies involved in the national IPP that meets four times a year and hosts an annual conference. The administration of the Council is supported by funds from the state's emergency management agency and the lieutenant governor's office. In addition, the Council meets for planning sessions and raises funds from the private sector for hosting the annual conference and other activities. Nebraska does not receive additional federal support for this purpose.

New Jersey

New Jersey has established a database with details on private assets that may be utilized during an emergency.

New Mexico

The state's All Source Intelligence Center (NMASIC) is working on the

mechanics to establish a private sector outreach program to work in concert with New Mexico's Critical Infrastructure Protection Program (CIPP). Specifically, NMASIC has developed an information-sharing system exclusively for the dissemination and retrieval of information related to the 17 CI/KR sectors, as defined by the federal DHS. Once the private sector outreach program is fully implemented, officials at these 17 CI/KR sites will have the ability to retrieve information related to the security of their facilities as well as provide information to the CIPP and NMASIC. While this outreach and information-sharing program will be free to the private sector, it will obligate the NMASIC and CIPP to spend time and resources developing relationships with the private sector entities, identifying the needs and requirements of these organizations, and providing relevant information.

The state also has signed a contract with Central New Mexico College to provide a course in WMD awareness level training to key officials in exchange for college credit.

North Carolina

The North Carolina Division of Emergency Management continues to develop public-private partnerships through communications and coordination with entities such as the North Carolina Retail Merchants Association, the North Carolina Association of Petroleum Distributors, and the Contingency Planners Association of the Carolinas. This effort is a critical aspect in emergency preparedness for the state, and remains a top priority.

North Dakota

The state's Division of Homeland Security maintains a specialized team that makes site assessment visits to critical private sector sites. During these assessments, a trained team appraises facilities for common vulnerabilities based on state and federal guidelines. The team also provides subject matter expertise to prevent loss or disruption of critical infrastructure, key assets and key resources as a result of terrorist actions, natural disasters or crimi-

nal activities. Since the results of the assessment are confidential and protected by state law, the results are provided only to the private sector entity concerned. Site assessment visits are conducted free of charge.

The state is one of only a handful that is in the process of full accreditation through the DHS for the Protected Critical Infrastructure Information (PCII) program. The National Protection and Programs Directorate (NPPD), part of DHS, is designed to encourage private industry to share its sensitive security-related business information with the federal government. PCII is an information protection tool that facilitates information-sharing between the government and the private sector, with federal, state and local analysts to ensure a more secure homeland. While its focus involves analyzing and securing critical infrastructure and protected systems; identifying vulnerabilities; developing risk assessments; and enhancing recovery preparedness measures, the information, once submitted (and if it satisfies the requirements of the federal *Homeland Security Act of 2002: Critical Infrastructure Information Act*), is protected from public disclosure.

The North Dakota Division of Homeland Security also worked with the private sector on the following measures:

- » Federal buffer Zone Protection Plans, a more in-depth version of a Site Assessment Visit that focuses on both on-site and off-site (buffer zone) prevention and response capabilities for both the facility owner and the local law enforcement agency;
- » Automated Trusted Information Exchange, a web-based information-sharing tool that provides a secure means to disseminate national security or terrorist threat information to law enforcement, first responders and private infrastructure owners;
- » *Fusion Center Newsletter: North Dakota Anti-Terrorism Summary*, a monthly (soon to be weekly) electronic product that highlights items of interest across the entire infrastructure spectrum;

- » *InfraGard*, a partnership between private industry and the U.S. government (represented by the FBI) developed to encourage the exchange of information by the government and the private sector; and
- » Public meetings and presentations on related topics.

Wisconsin

The state's first public-private partnership related to homeland security was established in 2004 and has not received any federal funds to support its efforts. The Southeast Wisconsin Homeland Security Partnership (SWHSP) brings together interested public and private sector organizations to identify mutual concerns, cost-effective policies and technology solutions for enhancing homeland security in the region. The group participated in a series of comprehensive exercises in downtown Milwaukee. Among the tasks they accomplished were spearheading an initiative to provide credentials to employees in the businesses, holding monthly meetings and hosting two conferences and one half-day training seminar. The SWHSP includes officials from General Electric, Northwest Mutual, Harley Davidson, Aurora Health, American Red Cross, state and county emergency management, police, fire and public health.

Prior to the formation of SWHSP, most public-private partnerships were law enforcement-oriented. In October 2005, Governor Doyle directed that public-private partnerships, using the SWHSP as a model, be initiated in the state's 11 other major metropolitan areas. Shortly after the governor's directive, the Wisconsin Office of Justice Assistance initiated a program for its implementation and, working in conjunction with officials in Iowa, Minnesota and other organizations, hosted a conference in the city of La Crosse. The Office of Justice Assistance is initially working on establishing SWHSP-type partnerships in five metropolitan areas in the state.

Interoperability

Due to the fact that states disperse grant funds to a large number of programs and offices, which each possess specific capabilities for carrying out homeland security objectives, interoperability—proper communication among and synchronization of programs within all state homeland security and emergency management agencies—is imperative for the successful achievement of these goals. For instance, the Nebraska Emergency Management Agency has indicated that its communications and interoperability functions, particularly in regard to first responders at disaster sites, are one of the great strengths of its program. Effective and efficient interoperable data communications, which includes coordination of disaster preparedness, mitigation, response and recovery information, exemplifies one aspect of the level of harmonization numerous agencies must attain in order to function together properly. The following reflects various programs that are particularly innovative in such achievement.

As will be shown in the individual state sections, communications is a large part of interoperability for state programs. Table 20 indicates state spending in the area of interoperable communications during federal fiscal year 2007, which totals almost \$1 billion for all 50 states.

California

The Governor's Office of Emergency Management (OEM) has attempted to maximize access and use of all available technologies for communications and information-sharing for disaster situations. Specifically, enhancing the effectiveness of several major programs has been a priority. The following developments are examples of the agency's efforts to enhance interoperability: installing the Operational Area Satellite Information System, which is the backup system for public telephone switches in the state; implementing the Response Information Management System, the state's

Table 20» PSIC Funding Allocations in FY 2007

Rank	State	Amount
1	California	\$94,034,510
2	Texas	\$65,069,247
3	New York	\$60,734,783
4	Florida	\$42,888,266
5	Illinois	\$36,414,263
6	Pennsylvania	\$34,190,555
7	New Jersey	\$30,806,646
8	Ohio	\$29,377,337
9	Georgia	\$25,311,354
10	Michigan	\$25,039,781
11	Virginia	\$25,012,521
12	Maryland	\$22,934,593
13	North Carolina	\$22,130,199
14	Massachusetts	\$21,191,988
15	Louisiana	\$19,672,287
16	Washington	\$19,180,347
17	Indiana	\$18,291,735
18	Arizona	\$17,713,050
19	Tennessee	\$17,540,752
20	Missouri	\$17,465,576
21	Kentucky	\$15,405,625
22	Wisconsin	\$15,367,216
23	Colorado	\$14,336,638
24	Minnesota	\$14,262,071
25	Alabama	\$13,585,399
26	South Carolina	\$13,499,308
27	Connecticut	\$12,999,879
28	Oregon	\$12,182,532
29	Nevada	\$12,042,417
30	Washington, D.C.	\$11,857,972
31	Oklahoma	\$11,684,183
32	Arkansas	\$11,169,402
33	Mississippi	\$10,989,345
34	Iowa	\$10,935,974
35	Kansas	\$10,667,169
36	Utah	\$10,353,261
37	Nebraska	\$8,582,108
38	West Virginia	\$8,429,484
39	New Mexico	\$8,288,725
40	Delaware	\$8,196,842
41	Hawaii	\$8,069,879
42	Maine	\$7,567,579
43	Rhode Island	\$7,365,694
44	Idaho	\$7,289,795
45	Alaska	\$7,250,345
46	North Dakota	\$7,052,490
47	South Dakota	\$6,549,691
48	Montana	\$6,549,685
49	New Hampshire	\$5,966,760
50	Wyoming	\$5,952,187
51	Vermont	\$4,476,761
	Total	\$968,385,000

Source: U.S. Department of Homeland Security

information-sharing and resources tasking database for disasters; and formulating the Gateways system, which provides disparate radio communications in order to have a dedicated frequency for all first responders during a disaster. These are examples of the movement toward more proficient interoperability in the state. California has continued to update these programs on a regular basis.

In addition, the OEM has worked to maintain compliance with the NIMS by providing state and local agencies with guidance, workshops, and training; incorporating programs for public awareness; as well as developing programs that assist disabled individuals, livestock, and pets during an emergency. Also, a large portion of federal funds is used for operations at the California Specialized Training Institute (CSTI) of the Office of Emergency Services OES), which provides specialized training for personnel throughout the state. The primary provider for all hazard disaster management training and exercises is CSTI.

Colorado

The Colorado Department of Public Safety has implemented a regional approach to awarding homeland security funding. The state is divided into nine all-hazard regions, and representatives from these regions meet to collectively determine each region's needs, particularly in regard to operations and equipment. Each region then submits one application per grant funding source. These applications are reviewed and scored by a Grant Review Committee (GRC), which is made up of regional and state representatives and subject-matter experts. The recommendations of the GRC then go to the Governor's Senior Advisory Committee for funding consideration. This approach reduces the number of grant applications in the state, while building collaboration across disciplines and jurisdictions. The result is a holistic approach to building regional capability with limited available funds. The process also encourages local entities to leverage local budgets for increasing overall capability. An added benefit is

accountability within the region, which eliminates inappropriate expenditures and builds positive relationships through multi-jurisdictional and multi-disciplinary programs.

Delaware

The Delaware Emergency Management Agency coordinates its state operations through a Working Group comprising representatives from state and local emergency responder divisions. The Working Group coordinates key state and local emergency responder units. Through this method of operations, the majority of procurement is handled through a state process that creates maximum purchasing power and maintains intrastate continuity of equipment and processes. Through the coordination of regional (county) specialized emergency response units, the state is able to maximize the impact of federal funds.

Georgia

The Governor's Office of Homeland Security (GOHS) operates the Georgia Interoperability Network, which has the primary responsibility of installing and maintaining technologies at Public Safety Answering Points to allow communication and coordination of emergency management exercises through fiber-optic cable connections. This allows sharing of information that may be a vital component of an appropriate and effective response to natural or terrorist disasters.

Illinois

Illinois indicated that it has invested more than \$68 million in the development of interoperable statewide deployable teams. According to the response, this provides a robust seven-layer interoperable statewide deployable response system to support local and regional incident response. Each team, represented by state and local law enforcement, emergency management, fire service and medical organizations, supports major events on a statewide basis. Illinois also continues to collaborate with the city of Chicago on the development and integration of the federal MMRS, which uses further

statewide deployable teams to ensure seamless interaction of response capabilities. These include:

- » State Weapons of Mass Destruction Teams (SWMDT) – Three SWMDT are located throughout the state and can respond to a terrorist incident within 60 to 90 minutes of notification. The SWMDT can provide many types of assistance during a disaster, including: scene stabilization; establishment of an inner perimeter; neutralization of any human threat; initial detection of hazardous materials; decontamination of victims, emergency responders, and all items moving from the “hot zone” to the “cold zone”; crime scene preservation; communication with the incident commander and the State Emergency Operations Center; advanced preparation for the Illinois National Guard Civil Support Team; and acting as a liaison with the Federal Bureau of Investigation.
- » Level-A HazMat Response Teams – These 42 fire service teams are trained and equipped to work in a “hot zone” to perform actions in response to a hazardous materials or WMD incident.
- » Technical Rescue Teams – These 39 teams have been established throughout the state and comprise firefighters with extensive training and equipment to perform high-angle, collapsed trench, and confined space rescue operations. Twenty-three teams currently exist that are fully trained and equipped; an additional 16 teams are in the build-up phase.
- » The Illinois Urban Search and Rescue Team (USAR) – This mechanism is located in the greater Chicago area and is trained to locate, rescue, and provide initial medical stabilization of victims trapped in confined spaces. The USAR has more than \$3 million dollars in specialized detection and heavy rescue equipment.
- » Law Enforcement WMD Special Response Teams – These nine teams have been developed as multi-jurisdictional and regionally

based groups, each consisting of 25 to 35 experienced special weapons and tactical officers. The teams are designed, trained and equipped to locate and solve any human-threat problem in a contaminated area; assist HazMat teams by enforcing decontamination procedures; establish and hold hard perimeters around contaminated areas; and assist specialized state and federal teams who may respond to an incident.

- » The Illinois Medical Emergency Response Team (IMERT) – This group is a volunteer organization for all levels of emergency medical personnel, as well as individuals with backgrounds in logistics, communications, safety, and information technologies. Their mission is to respond to and assist with emergency medical treatment at mass casualty incidents, in addition to coordinating educational programs to EMS participants in Illinois. Currently, there are 13 on-call teams with more than 1,400 members.

Iowa

The Iowa Homeland Security and Emergency Management Division (HSEMD) employs a system of checks and balances for its sub-grantees, which produces a system of interoperability among these agencies. All policies and procedures are subject to review by other sub-grantees to ensure that different entities at different stages of operation share responsibility for the prevention of, response to, and recovery from disasters. This is particularly true for funds allocation, for which the controls are based on the Institute for Certified Public Accountant's definitions and requirements for government-wide administrative cost principles.

State Performance Measures

In addition to developing exemplary homeland security programs and constructing effective, pertinent policies for these programs, states must investigate, monitor, and analyze to what extent these programs and policies are carried out throughout the state. This process involves critical self-awareness and scrutiny, but the proper functioning of homeland security and emergency management plans remains the primary measure of performance. States have developed innovative ways of ensuring a high quality of overall performance, and the details of their responses are described in this section.

California

The Governor's Office of Emergency Management (OEM) has developed Specialist Committees under the Standard Emergency Management System (SEMS), in order to comply with NIMS. California noted that such compliance is vital in order to qualify for federal preparedness funding, including homeland security funding. The Specialist Committees focus on the competence of training and exercise programs, personnel credentialing, resource management, corrective action, care and shelter, interoperability, mass evacuation, mitigation, private sector relations, public information, recovery, strategic planning, tribal governments, and volunteer services. The program was first implemented in federal fiscal year 2005.

Colorado

The Colorado Department of Public Safety, Preparedness and Security requires that all regions perform annual capability assessments to identify gaps within 37 capability areas. According to Colorado's response, these assessments are based on statewide averages and target specific shortfalls in performance. Risk data is collected at the local level from each region and is used to determine funding for programs. Capability funding is prioritized in collaboration with the nine homeland security regions in the state.

Delaware

The Delaware Emergency Management Agency has fully implemented the necessary performance requirements outlined within each grant program and has begun applying these standards to internal processes. Particularly in the last two years, the Agency has increased the number of performance measures that evaluate levels of preparedness. For instance, the Biannual Strategy Implementation Report assesses every six months the goals and achievements of the divisions within the agency regarding preparedness proficiency. In addition, the Agency indicated that internal performance assessment is an area in which the state would like to improve in the near future.

Florida

The state Division of Emergency Management annually assesses each office that receives federal grant funds. These evaluations determine to what level objectives were achieved by each division and, thus, reveal the state's capabilities in a variety of homeland security areas. In turn, these results are used to restructure the overall strategy of the state and to scrutinize the relevance of each project within that strategy. The Division annually reallocates funds for projects according to the state strategy for that given year (or eliminates projects, if necessary). The Division also has recognized that their capabilities, due largely to lack of funding in various areas, must be upgraded and improved. For instance, the state lacks a comprehensive plan for radiological and nuclear disaster prevention. This is predominantly attributable to the fact that there is no program in the state for attaining emerging technology or for improving and upgrading existing communications and data systems. This is a prime example of how lack of federal funds hinders the proper performance of the Division.

Collaboration at the local, regional and state levels during each step of the evaluative process has been the primary reason for Florida's success. Enhancement of regional team capabilities throughout the state for search

and rescue, bomb, Special Weapons and Tactics (SWAT), health and medical, hazardous materials and perimeter security has played a major role in moving the state forward, according to the information provided by the state.

Illinois

The Illinois Emergency Management Agency (IEMA) employs an all-hazards approach to performance in mitigation and response to any danger to which Illinois is vulnerable. The IEMA has developed effective emergency organizations, prepared emergency operations plans and procedures, and provided training and exercise assistance in order to fulfill its state performance goals.

Indiana

The Indiana Department of Homeland Security (IDHS) maintains an extensive evaluation program for emergency preparedness and homeland security operations. In 2005, the IDHS performed a comprehensive review of all executive branch agencies, requiring all programs in the state to complete an 18-question survey constructed by the Indiana Office of Management and Budget, which was used to assess efficiency in each division. The survey instrument, named *Program Results: An Outcome-Based Evaluation*, is a tool used to ascertain the effectiveness of state programs with the responsibility of administering services of the IDHS. All programs are evaluated independent of their funding sources, including the federal grant program, in order to fairly determine each program's effectiveness and to clearly articulate the necessary steps for improving efficiencies and developing sound and meaningful performance measurements. The criteria created by and for programs were as follows: results driven; customer focus; value to the program; and planning.

Iowa

Inter-agency cooperation plays a pivotal role in the state's homeland security initiatives. Also, the Iowa Homeland Security and Emergency Management Division (HSEMD) has

established a program for minimizing federal cash on hand in each division; tracking expenditures on an accrual basis; and tracking expenditures in both financial and program budgets. The program makes required federal reporting of fund distribution and interoperability within the HSEMD more efficient.

Kansas

Beginning with federal fiscal year 2007 HSGP, the Kansas Emergency Management-Homeland Security Office requires all sub-recipients of funding to complete evaluation plans that identify baseline capabilities prior to using funds, as well as the specific, measured progress made at the end of the project period as it relates to the Target Capabilities List and the Universal Task List.

Michigan

In 2007, the Michigan Emergency Management and Homeland Security Division (EMHSD) created a performance and reporting unit with a program planning and development section. The function of this unit is to provide monitoring and technical assistance to jurisdictions in order to properly align and track grant performance. These activities are assessed in light of national priorities, state priorities and federal HSGP and UASI investment expectations, as well as the Targeted Capabilities List.

Minnesota

The Minnesota Division of Homeland Security and Emergency Management (HSEM), along with its preparedness and response partners, annually reviews the State Homeland Security Strategy in an effort to continually improve performance within the state. These evaluations include an appraisal of program capabilities and progress of implementation of HSGP funds. The HSEM also issues after action reports, which provide performance information used to update the State Homeland Security Strategy and determine priorities for future grant funding allocations.

Nebraska

Since the initiation of the 2004 grant program, the Nebraska Emergency Management Agency has set performance benchmarks for all programs that access grant funds. The Agency articulates objectives for departments requesting funds, as well as necessary criteria for continued funding. For example, the Agency requires yearly updating of the Local Emergency Operations Plan, as well as a full-scale review every five years.

New Mexico

The New Mexico Department of Homeland Security and Emergency Management (DHSEM) structures performance assessment broadly around the number of federal guidelines exercises accomplished and the number of program and administrative team compliance visits conducted by administrative staff in a given year. According to New Mexico, all areas of the DHSEM that receive federal grant money are expected to increase these numbers yearly. For instance, from federal fiscal year 2008 to fiscal year 2009, the target number of federal guidelines exercises performed throughout the state increased from 19 to 22. These requirements are set by the DHSEM strategy plan for homeland security in the state.

North Carolina

In 2006, the North Carolina Division of Emergency Management (NCEM) began requiring all projects in the state funded by the federal HSGP to align with the State Homeland Security Strategy. The state noted that the program monitors and evaluates the goals, objectives and implementation procedures of these organizations. The information for such assessments is collected through surveys distributed by the program. Also, the NCEM's Homeland Security Branch (HSB) recently developed a revised HSGP Project Progress Report, which evaluates sub-grantees in the state to ensure that these projects are completed in an efficient manner. In addition, the HSB

began conducting program and capability reviews in federal fiscal year 2006 to review the levels of capability and effectiveness of the eight national priorities within the state. Finally, in January 2008, the state plans to integrate its Pilot Capability Assessment Program, which measures the overall progress of the state in reaching target capabilities.

Wisconsin

Wisconsin Emergency Management began capturing performance measures in its homeland security region in federal fiscal year 2006. This task is carried out through the state's e-grants online management system. The electronic reporting system sets targets for outputs and outcomes, and grantees report according to these standards.

Public Health

Cultivating programs that ensure public health is an important aspect of homeland security. Like other aspects of emergency management and homeland security, public health maintenance is an area where neglect can have immeasurable negative repercussions for communities and states. Therefore, the cost of proper resources and training for sustaining such programs has been particularly problematic for states. Inventive ways in which states' homeland security programs have been able to incorporate the services of public health agencies, in an attempt to combat this quandary, are detailed in this section. It should be noted that some of the state responses were less descriptive than others. For instance, Colorado indicated that the state's Department of Public Health and Environment (CDPHE) had integrated homeland security efforts to maximize public wellbeing within the state. Similarly, Florida noted that through inter-agency coordination and cooperation, as well as regional planning, training and exercising, public health capabilities in the state will continue to be enhanced. New Jersey documented that the state planned for pandemic events and incorporated these policies into its homeland security strategies.

California

Public health programs in the state have worked closely with homeland security at both the state and county levels to develop various projects:

- » The state has developed a mobile laboratory that is stationed at California's Department of Public Health's (CDPH) Richmond Campus to triage unknown laboratory samples before they are taken into a CDPH laboratory. This enables CDPH to avoid contaminating the laboratories with a highly contagious sample.
- » CDPH works closely with the BioWatch program, serves as chair of the Bay Area advisory group, works with the state's three BioWatch advisory groups on development of protocols for responding to positive samples, and develops risk communication messages for the public. These protocols have been used by the federal DHS.
- » Homeland security funds have been used widely to provide equipment for state public health laboratories and radiological assessment staff.
- » The local health officer is one of five persons who develops county plans for use of homeland security funds.

Delaware

The state public health initiatives are fully integrated within the objectives of the federal HSGP. Public health partners are members of the State Working Group and are a representative discipline within the grant. Also, public health funding concepts from CDC and Health Resources and Services Administration (HRSA) grants are integrated within homeland security strategy and planning. In addition, medical projects in the state utilize the maximum contributions of all three grant funds for effective capabilities.

Georgia

Grant recipients in the state participate in public health emergency planning in a variety of ways. First, the state's Public Health Department initiated its own planning efforts in concert with the federal HHS and

CDC efforts. Secondly, the Georgia Emergency Operations Plan and subordinate Local Emergency Operations Plans require planning, integration and coordination of all stakeholders under emergency support functions. Finally, eight regional All Hazards Councils consider public health issues in their planning.

Illinois

Under the leadership of the state director of Public Health, Illinois has formed a Bioterrorism Committee under the Illinois Terrorism Task Force (ITTF). The Committee's objective is to provide strategic policy and support for statewide bioterrorism preparedness, response, and recovery capabilities. The Committee is tasked with discussing multi-jurisdictional communication barriers, coordination issues, and planning and training needs to better prepare Illinois for an act of bioterrorism. Public health, medical response, emergency management, fire service and law enforcement professionals are invited to participate in the various subcommittees to provide a multi-jurisdictional forum to address public health and medical issues. Various major accomplishments directly resulting from the actions of the Bioterrorism Committee are noted:

- » Illinois has maintained the CDC Green Rating for the Strategic National Stockpile (SNS) planning since the inception of the program in 2003. As part of the SNS program, 100 percent of Illinois local health department SNS plans are being assessed and implemented.
- » The Illinois Department of Agriculture (IDOA) recruits and provides training to approximately 225 private veterinarians who have agreed to serve on the Illinois Veterinary Emergency Response Team (IVERT). The IVERT was developed to respond to foreign animal disease outbreaks, pet care issues during a disaster and other animal emergencies. Training and exercises are conducted on a regional and statewide basis, and IVERT members assist counties with local animal emergency planning.

- » The Illinois Medical Emergency Response Team (IMERT) has experienced tremendous growth in recent years, reaching a membership of 1,300 volunteer healthcare professionals and the ability to support 13 “on call” teams. These teams are available on a 24-hours basis and are prepared to respond to the assigned destination within four hours of notification. The IMERT utilizes a command structure similar to that of the federal public health sector to promote accountability and provide for clear delineation of responsibility.
- » The Illinois Nurses Volunteer Emergency Needs Team (INVENT) was established in response to local emergency management agency requests for additional nursing personnel. These teams support programs like IMERT in the event of a catastrophic emergency.
- » In federal fiscal year 2004, approximately \$961,000 was appropriated for the purchase of needed instrumentation for the analysis of chemical agents in environmental samples. These funds are distributed among laboratory workgroup members based on need.
- » The Bioterrorism Committee has developed the *Disaster Preparedness Exercises Addressing the Pediatric Population* booklet. This document emphasizes the importance of including children in disaster drills in order for organizations to better prepare for the needs associated with managing children during a disaster. Sample scenarios and triaging resources are contained in this booklet, which was finalized and made available in 2006.

Indiana

The Indiana Department of Homeland Security (IDHS) works closely with the Indiana State Department of Health (ISDH) and the state Board of Animal Health in developing emergency preparedness policies, according to information provided by the state. Examples of this partnership include the jointly developed operational plans for a suspicious substance and pan-

dem ic influenza outbreak. Coordination also is conducted through bi-weekly meetings of all homeland security stakeholder agencies.

Kansas

Kansas has taken an all inclusive approach to enhance its security efforts that concern preparing for health emergencies. This has included an exceptionally close relationship among the Kansas Department of Health and Environment (KDHE) and Kansas Division of Emergency Management (KDEM). Also, KDEM works closely with the Kansas Highway Patrol and the Adjutant General’s Department to manage the vast majority of homeland security grant funds coming into the state. For that reason, these three agencies make up a senior advisory group. Kansas recently completed a series of pandemic flu exercises involving these three partner agencies as well as participants representing multiple jurisdictions and disciplines. The state also has been working diligently to develop a three-year exercise strategy that addresses all potential threats to its citizens. In doing so, to further engage and involve the public health community, exercises currently are being developed that will include scenarios to ensure that all disciplines either meet exercise mandates or at least test specific capabilities of relevance to them. The KDHE compiled a guide, *Incident Specific Annex to the Kansas Response Plan*, as a basis for their response.

Michigan

Divisions within Michigan’s Homeland Security Regional Structure align with the Michigan Department of Community Health’s Bio-Terrorism Districts. The two groups share representation on their respective boards for the purpose of identifying and integrating public health with homeland security.

Minnesota

Minnesota Homeland Security and Emergency Management (HSEM) has a Senior Advisory Committee and 23 work groups. According to information provided by the state, the commis-

sioner of health is the co-chair of this group. One of the work groups examines and appraises the Committee on public health issues. The HSEM also works closely with Minnesota Medical and Rehabilitative Services and has a Pandemic Flu Planning branch.

Nebraska

Nebraska state and local public health agencies participate in emergency management planning, training and exercising programs. All requests for funds from the federal HRSA, CDC, and DHS must be approved by the state’s homeland security policy group and must support the state strategies.

New Mexico

The Department of Homeland Security and Emergency Management (DHSEM) has worked closely with the Department of Health’s Bureau of Health Emergency Management on several projects to more efficiently serve the state’s needs in this area. A few objectives of these projects include:

- » Investigating whether the two agencies can share training database systems for access to training records to avoid purchasing the same records twice;
- » Initiating steps for an exercise program that will incorporate hospital staff into a full-scale exercise; and
- » Collaborating the responsibilities of regional coordinators and local preparedness coordinators across the state.

North Carolina

The North Carolina Division of Emergency Management’s (NCEM) Homeland Security Branch (HSB) maintains a close working relationship with the public health sector in the state and integrates public health emergencies into homeland security planning and funding. North Carolina’s Office for Emergency Medical Services and the Division of Public Health were involved in the development of the State Homeland Security Strategy, and are active partners in the annual development of HSGP investment strategies and distribution justifications.

Several examples of funding for public health emergency preparedness include:

- » Purchasing 800 MHz interoperable communications radios with federal fiscal year 2003 Part II HSGP funds for the Public Health Surveillance Team;
- » Conducting a statewide pandemic influenza exercise in May 2006;
- » Creating a Mass Care Enhancement Plan for the elderly and special needs population using federal fiscal year 2006 HSGP funds;
- » Funding of programs carried out by the State Medical Assistance Teams (SMAT), funded by fiscal year 2003 HSGP, in federal fiscal years 2006 and 2007;
- » Using fiscal year 2006 HSGP funds to enhance mass prophylaxis capabilities by equipping SMAT with mobile pharmacy trailers to respond to mass casualty and catastrophic events; and
- » Financing a patient tracking and triage program, as well as an antiviral storage support program, with fiscal year 2007 grant program funds.

North Dakota

The North Dakota Division of Homeland Security's State Emergency Operations Plan (SEOP) consists of 11 categories that list lead and support agencies tasked with response to all-hazards and terrorism incidents. The categories are further broken down into three subdivisions: preparedness, response and recovery. The North Dakota Department of Health (NDDoH) and the Board of Animal Health share lead agency responsibilities in the infectious disease division. The NDDoH also has lead agency responsibilities in evacuation, sheltering, mass care, mass casualty, handling hazardous materials, and terrorism threat preparation, as well as support agency roles in the flood and severe storms divisions.

The SEOP Infectious Disease (Human Health) Annex is the most prominent of programs in displaying

the state's effort to integrate preparation for public health emergencies into the homeland security picture. Under unified command, state agencies tasked with lead agency responsibilities include the NDDoH, Department of Commerce, Division of Homeland Security, Department of Human Services, Highway Patrol, and Office of Management and Budget. Plans within this program provide direction to state agencies and local governments within the state in the following areas:

- » Prescribing public health preparedness activities for state, local and private entities;
- » Developing public safety resources;
- » Ensuring provisions for necessary social and mental health services; and
- » Maintaining critical civic and business infrastructure.

All agencies in North Dakota are directed to continue on-going planning, training and exercises to identify key triggers to escalation of response measures.

Wisconsin

Wisconsin has integrated preparing for public health emergencies into its homeland security program and activities. In 2003, Wisconsin Governor Jim Doyle created the Wisconsin Homeland Security Council. The state health officer was appointed as an original member to represent public health on the Council. The officer and staff regularly attend and brief council members on current public health concerns and activities in the state. Public health accomplishments are included in the annual preparedness report which is presented to the governor.

Wisconsin receives the bulk of its public health preparedness funding through two large federal cooperative agreements. One is for the purpose of public health preparedness from the CDC; the other is for the purpose of hospital preparedness and comes from the assistant secretary of Preparedness and Response in HHS. According to state officials, funding from these two grants has declined in recent years.

State Strengths and Weaknesses

States specified their program's greatest strengths, the areas in which improvement was needed, and which areas would benefit most from additional federal funding. Also, states indicated if there were areas of homeland security and emergency response that take precedence over other areas, in regard to funding. Montana, for instance, stressed that its greatest capability is its ability to conduct international counterintelligence services. New Jersey noted that one-stop shopping with the state's Homeland Security Branch is among its greatest capabilities, and that additional federal funding would most greatly benefit its communication needs. Other states submitted more detailed explanations of their strengths and weaknesses, which are explained in this section.

California

The Office of Emergency Services (OES) maintains the State Emergency Plan, which outlines the organizational structure for state management of the response to natural and manmade disasters. The Standardized Emergency Management System (SEMS) is used by other states and nations as a model. This system includes all natural and manmade disasters and incorporates the following:

- » Incident Command System – A field-level emergency response system based on management by objectives.
- » Multi/inter-agency coordination – Agencies working together to coordinate allocations of resources and emergency response activities.
- » Mutual aid – A system for obtaining additional emergency resources from non-affected jurisdictions.
- » Operational Area Concept – Counties and their subdivisions coordinate damage information, resource requests and emergency response. This infrastructure has been tested and proven to be effective in response to all-hazards, including terrorism. In recent years, SEMS

has been updated to include all the requirements mandated by the federal NIMS and DHS.

- » Mass Evacuation – The ability to move a large and demographically diverse group of people (250,000+) within a short time period (less than 12 hours) to a safe location within an adjoining county.
- » Interoperable Communications – The ability to have a statewide public safety voice and data radio communications system. California has more than 50,000 public safety employees involved with field operations. These responders regularly use mobile radio communications as the primary, and sometimes only, link to critical information and additional resources during routine and emergency operations.
- » Mass Sheltering – The ability to temporarily (3-10 days) feed, shelter and provide basic hygiene and medical support to those that are subject to a mass evacuation.
- » Special Needs Populations – The ability to identify, transport, and provide required medical or supportive care to people with physical, sensory, cognitive, linguistic, or economic limitations who must be evacuated or sheltered during a disaster.
- » Community Warnings – Twenty-four hours a day, 365 days a year, the warning controllers in the California State Warning Center (CSWC) are responsible for informing, communicating, alerting and notifying executive leadership of any natural or human caused emergency. Through multiple communication channels, the CSWC maintains constant communication with local, state, and federal communications centers to ensure that OES can quickly respond to any developing emergencies. Last year, CSWC staff handled nearly 100,000 calls, including reports of more than 8,000 hazardous materials spills.
- » Training – The ability to provide the latest techniques in disaster planning, response, recovery and management at little or no cost to all levels of government and first

responders. The training arm of the OES, the California Specialized Training Institute (CSTI) in San Luis Obispo, provides training programs for city, county, and state emergency services personnel.

Colorado

An area that requires additional funding and attention is the state's medical response services. Since the healthcare systems in Colorado are non-profit or privately owned, the limited DHS grant funds do not adequately fund the medical response capability in the state. The DHS funds go directly to government agencies, which typically do not operate or provide healthcare during a response to a large-scale disaster. According to state officials, a change in the current grant process to increase medical surge capacity not only in Colorado but throughout the nation would be advantageous. A focus on improving medical surge response would significantly lessen the impacts of a medical crisis. Additionally, it was noted that greater attention should be focused on the prevention component of medical capabilities.

Delaware

Some of Delaware's greatest capabilities are its statewide 800 MHz communications network for all emergency first responders; the in-state medical stockpile program augmenting the national program; and specialized emergency response teams (law enforcement, fire service, and emergency medical personnel).

The state indicated that it would benefit from improved catastrophic planning, enhanced detection capabilities through emerging technology in all fields, enhanced maritime response operations, and development and execution of life cycle management of outdated personal protection equipment.

Florida

Florida noted that its emphasis on regional collaboration is one of its greatest areas of strength, and also indicated that additional funding for assistance and support to make

regional and statewide fusion centers completely functional is needed. Florida has spent the majority of its funding in support of response capabilities, particularly during years following the September 11, 2001, attacks. The state is now focusing efforts on prevention and protection.

Georgia

Georgia documented that state agencies that respond to both urban and rural jurisdictions have fallen behind local development because of the 80 percent pass-through requirement. State agencies are willing to maintain enhanced capabilities, but available state resources are decreasing. Therefore, allocations are a small percentage of what is needed to build the enhancements that would come to the aid of local governments during emergencies and disasters. Currently, the state prioritizes maintenance of fusion centers (prevention); the Counter-Terrorism Task Force development (protection and deterrence); special-events planning (prevention, protection and deterrence); and interoperable communications (prevention, protection, response and recovery).

Illinois

Illinois' homeland security response strategy is largely based on the availability of statewide deployable teams. These include a nationally honored (Harvard University Innovations) state agency team capable of working in a "hot zone" to deal with all aspects of a WMD incident. In addition, more than 80 fire service teams are available to work in a "hot zone/warm zone," performing offensive actions in response to a CBRNE or WMD incident, as well as various levels of confined-space and structural collapse operations and extractions.

Illinois also has developed the following: an urban search and rescue team capable of locating, rescuing, and providing initial medical stabilization of victims trapped in confined spaces; nine law enforcement teams capable of operating as special response teams in a contaminated environment; emergency management teams capable of assist-

ing local units of governments manage the response to a disaster in compliance with the NIMS; and 12 volunteer medical teams capable of assisting emergency medical treatment at mass casualty incidents. In federal fiscal year 2006, Illinois initiated the training and equipping of law enforcement teams to provide security at major distribution sites, as well as any other significant crowd control problems related to homeland security. The state also equips and trains communications teams to provide mutual aid and emergency support with regard to dispatching aid and other forms of interoperable communication support during an emergency.

Illinois indicated that all homeland security and emergency management programs in the state would benefit from additional federal funding. The ability to continue adequately maintaining existing capabilities is contingent on such continued funding.

Interoperable communications, particularly the operation of the Starcom 21 700/800 MHz radio system, is one of the state's top priorities. The state has been able to offer one connection to every public safety agency in the state, but there is a need to at least double the 3,000 operational radios currently in use. Also, the state's intelligence fusion center, the Statewide Terrorism and Intelligence Center (STIC), is critical to prevention efforts. Illinois noted that they are committed to continuing such programs, but due to limited funding, many programs—particularly new ones—are at risk.

Indiana

One of Indiana's most established capabilities is the statewide 800 MHz interoperable communications system. Also, the Indiana Intelligence Fusion Center, the state's portable mortuary capability, district-based planning councils and task forces, and specialized teams are very effective in carrying out homeland security and emergency management objectives.

Interoperable communications—both voice and data—would benefit greatly from additional funding. Indiana has established a statewide 800

MHz infrastructure, but radios are needed to enable all responders statewide to access it. Data communication is becoming very important to emergency management, and Indiana's data-sharing efforts are expanding daily. The infrastructure, means to access it, and the establishment of a data-based common operating system statewide all are necessary for the state. Currently, there are efforts to further develop these programs.

Indiana's top priorities, as reflected in allocations for the 2007 HSGP funding, were voice interoperable communications; web-based interoperable communications and GPS; Indiana Intelligence Fusion Center; planning and training personnel; and critical infrastructure protection.

Iowa

Iowa maintains a very strong partnership between local emergency management and responders and those at the state level. There is an ongoing need to both sustain what already has been built while and improve efforts at the local, regional and state levels. Iowa indicated that additional funding is needed for all aspects of homeland security and emergency management in the state. Iowa also expressed the need to strengthen the state's emergency management baseline. In addition, there must be funding for human resources and the regional Emergency Management Planning Group.

Kansas

Kansas has benefited significantly from federal homeland security funds. The state has proven historically that its capabilities are magnified by its emergency personnel and the willingness of its citizens to assist in emergency situations. The Regional Homeland Security Council format has worked effectively in Kansas. Although many states have such regional councils, the structure of regionalization in Kansas is unique. For instance, in order to establish membership within each of the Councils, Kansas referred a list of eligible disciplines to DHS in order to receive grant funds. Based upon that list, professional organizations representing each discipline

appointed members within each of the regions for two-year terms. Care was taken to ensure that the Council membership spans multiple jurisdictions and disciplines. Each Council has a chairperson and is governed by a set of by-laws. The Councils are given complete latitude in determining needs in alignment with the federal State Homeland Security Program (SHSP). Additional noteworthy capabilities include regional homeland security coordinators; collaboration between the Kansas Highway Patrol, the adjutant general, and the Kansas Department of Health and Environment (KDHE), as well as coordination among other state agencies; and foreign animal disease threat planning.

In regard to how the state can improve its capabilities, Kansas noted that while significant progress toward providing interoperable communications for its first responders has been profound in recent years, more attention should be given to these operations. Federal funds from HSGP, other federal sources and state general fund dollars have been leveraged to improve this capability. However, communications infrastructure and subscriber equipment is very expensive. Cash-strapped local governments and state government would benefit tremendously from additional HSGP or other federal funds that could be used for this purpose.

Kansas also has made much progress in its efforts to share information and intelligence among its law enforcement community. However, there is much work remaining to tether the state's primary system, managed by the Kansas Bureau of Investigation, together with all law enforcement subscribers. Improvement is needed in the ability to fuse this information and develop intelligence provided by law enforcement agencies throughout the state. Tremendous value could be derived from additional funding that would pay for intelligence analysts to perform this time-consuming process.

Additional funding also would assist the state in further development of Incident Management Teams. As previously mentioned, recent disasters

in Kansas have proven the need for resources beyond those available within a particular jurisdiction or geographical location. Additionally, rather than trying to develop significant response capability everywhere, it is more practical to organize a limited number of highly trained and equipped personnel to deploy from an unaffected area to the scene of an emergency. This immediately increases the capability of the first responders on scene and contributes to the effective and efficient management of an emergency.

In addition, increased funding would allow for the following capabilities:

- » Improved ability to sustain a comprehensive local and state emergency management system. Currently, the state is unable to match federal funding;
- » Consistent training funds for responders of all disciplines and abilities to develop training venues closer to regions;
- » Increased staff for programs and capabilities; and
- » Enhanced incentives for volunteer responders.

Michigan

Michigan noted that one of its greatest strengths is its Regional Response Team structure. Also, regionalization efforts are adding to the development of all state capabilities. Additional funding would most benefit the areas of interoperable communications, responder health and safety, and citizen preparedness. Also, terrorism prevention through an information-sharing program supporting Michigan's fusion centers also would benefit from additional funds.

In recent years, the state has prioritized maintaining its all-hazards emergency management structure. The vast majority of counties in the state have part-time emergency management offices. However, due to inadequate funding, these offices are not fully prepared to respond and recover to disasters at this time.

Minnesota

Minnesota emphasized that the areas in which the state would most benefit

from additional funding are interoperable communications; information-sharing and intelligence; state response teams; training and exercises; non-governmental and public involvement; and critical infrastructure and key resource assessment. Currently, maintaining an all-hazards emergency management structure has taken precedence in the state.

Nebraska

The state documented that its greatest area of proficiency is its ability to implement interoperable communications at a disaster site for first responders, as well as hazardous material response. The state maintains that additional funding would most greatly benefit maintenance and state planning, as well as state training programs.

According to information provided by the state, Nebraska's priorities are to continue enhancing the statewide communications plan; strengthen planning, training and exercising; and continue to enhance weapons of mass destruction preparedness, as well as public health, planning and response.

New Mexico

Within a month and a half of the creation of the New Mexico All Source Intelligence Center (NMASIC), it began meeting the intelligence needs of the state's homeland security community, therefore making it one of the most important programs in the state. In this relatively short time period, the NMASIC has gained the approval of the Homeland Security State and Local Intelligence Community, an exclusive community that requires the in-depth assessment of emergency management and homeland security capabilities and resources. In addition, the NMASIC has drafted standard operating procedures, policies and protocols which meet or exceed federal requirements and established guidelines. It has begun the production of regular and timely intelligence products to support the needs of the greater homeland security community within New Mexico. Also, the NMASIC has established a state information-sharing system, which enables homeland security per-

sonnel across the state and across disciplines to access valuable intelligence information. All of these achievements are directly related to the intelligence priorities of the agencies within New Mexico.

Currently, the NMASIC is soliciting agencies across the state to participate in the program as core fusion partners. Within this program, agencies provide an individual on a part-time basis to work at the NMASIC in order to help meet the intelligence needs of their agency and the state. Among the greatest stumbling blocks to the accomplishment of this goal are the great distances (New Mexico is the fifth largest state in land mass) and the time requirements agencies must surmount in order to actively participate at NMASIC activities. Additional funding for the provision of travel, per diem, and backfill pay would enable more agencies to participate at the NMASIC, greatly enhancing the capabilities and understanding of local issues and concerns as well as meeting the intelligence needs of those respective agencies.

The NMASIC also has an Intelligence Liaison Officer (ILO) program, where agencies can nominate an employee to act as a conduit for information flowing between their agency and NMASIC. In addition, the ILO would participate in conducting vulnerability assessments within their jurisdiction. The NMASIC would like to institute an ILO certification program, by which ILOs can be certified to perform the functions mentioned above. Currently, the New Mexico Department of Homeland Security and Emergency Management (DHSEM) has an approved certification course by which the state can obtain contractors to provide the training to ILOs within New Mexico. This training will require a sizeable initial financial commitment, as well as a continued financial commitment for the training of new ILOs, and advanced training for current ILOs.

In order for the federal Infrastructure and Protection Program (IPP) to conduct vulnerability assessments on CI/KR across the state, special equipment, including threat assessment software, digital photography equipment,

mapping software, laser range finders, binoculars, and global positioning systems, are required. New Mexico has indicated that greater funding would enhance the state's ability to carry out these functions.

The DHSEM's statutory requirement to establish and regulate security policies for state facilities necessitates at least one security professional and an assistant. Currently, these security positions do not exist within DHSEM. Additional funding would allow these positions to be filled.

Finally, New Mexico has indicated that the following programs take priority in regard to funding: radiological and nuclear detection and prevention; citizen and community involvement; and the metropolitan medical response team.

North Carolina

Based on the 37 DHS Target Capabilities List, North Carolina's greatest areas of strength relative to homeland security are: search and rescue (Urban Search and Rescue Program); WMD and HazMat response and decontamination (Hazardous Material Regional Response Teams); medical disaster response capabilities (State Medical Assis-

tance Team); and interoperable communications.

The state indicated that greater funding would benefit the following programs: explosive device response operation, critical infrastructure protection, and interoperable communications. For North Carolina, interoperable communications has been identified as the primary priority for homeland security funding at this time.

North Dakota

North Dakota noted that communications is an area that would benefit from additional funding. Communications, exercise and training are the top priorities for the state at this time.

Wisconsin

Wisconsin documented that the state's greatest areas of strength lie in CBRNE response; the state's infrastructure protection; and public-private partnerships. The state's greatest challenge going forward is sustaining these programs. In addition, Wisconsin stated that interoperable communications is an area that would greatly benefit from additional funding. The state's greatest priorities at this time are interoperable communications, law enforcement

information-sharing, regional emergency response, catastrophic planning and citizen preparedness.

States' Most Important Concerns in Responding to Natural and Human-Related Emergencies

In an era of dwindling federal resources and increasingly constrained revenue inflows, states face enormous challenges in adequately meeting their homeland security needs, regardless of whether these emergencies stem from natural or human-related causes. Consequently, identifying at least the three most important concerns faced by states—as determined by emergency management and/or homeland security officials—in preparing for either natural or human-related emergencies will help policymakers in their deliberations and decisions related to appropriating scarce financial resources. The information presented on the following pages provides the three top concerns of the states that completed the survey instrument.

States' Concerns in Responding to Natural and Human-Related Emergencies		
State	Natural	Human-Related
California	<ol style="list-style-type: none"> 1) Mass evacuation. 2) Interoperable communications. 3) Mass sheltering. 4) Special needs populations. 5) Community warnings. 	<ol style="list-style-type: none"> 1) Identifying and reducing the vulnerability to human-made emergencies. 2) Increasing security for chemical and biological facilities, both fixed and mobile. 3) Coordinating between emergency managers and the intelligence community, how they interface with each other, and the role of non-government organizations.
Colorado*	<ol style="list-style-type: none"> 1) Caring for victims with an overwhelmed healthcare system. 2) Educating citizens on how to prepare for a catastrophic event; taking care of themselves, particularly during the initial 48 hours, remains vital; alerting citizens about emergencies in advance, particularly in rural areas. 3) Maintaining the ability to supply food and water to citizens in impacted areas. 	
Delaware	<ol style="list-style-type: none"> 1) Effective warning capabilities. 2) Effective evacuation plans and procedures. 3) Effective shelter management and operations. 	<ol style="list-style-type: none"> 1) Effective security and control. 2) Effective and efficient response forces. 3) Effective recovery plans and operations.

State	Natural	Human-Related
Florida	<ol style="list-style-type: none"> 1) Ensuring that the federal government does not treat each disaster as if it were Hurricane Katrina by requiring states to follow the same planning, training and exercises required for a Katrina-type response. 2) Focus on all-hazards instead of the new “disaster of the month” and provide funding accordingly. 3) Rewrite the entire national response framework and mold it into a useful national planning document incorporating the comments made by hundreds of local and state partners. 	<ol style="list-style-type: none"> 1) Preparation/planning for updating risk analysis and risk management plans. 2) Improve processes for sharing information/intelligence outside the law enforcement arena. The state has a limited number of personnel dedicated to gathering, screening, and processing all information available in response to a terrorism investigation. 3) Introduce a system to take advantage of emerging technological enhancements that would enhance existing communications and data systems. 4) Implement a statewide, comprehensive plan for radiological/nuclear prevention, including identifying necessary equipment and specifications.
Georgia	<ol style="list-style-type: none"> 1) Command, control and coordination among the federal, state and local governments. 2) Preventive and protective measures. 3) Collaborative planning. 	<ol style="list-style-type: none"> 1) Medical surge capacity. 2) Education on how “social distancing” slows the spread of many germs. 3) Sheltering.
Illinois	<ol style="list-style-type: none"> 1) Complete interoperable communications strategic plan. 2) Sustain/maintain statewide deployable teams. 3) Integrate and share federal, state and local intelligence. 	<ol style="list-style-type: none"> 1) Complete interoperable communications strategic plan. 2) Sustain/maintain statewide deployable teams. 3) Integrate and share federal, state and local intelligence.
Indiana	<ol style="list-style-type: none"> 1) Establish effective and redundant interoperable communication systems. 2) Develop an effective logistics/response supply system. 3) Secure professionally trained and adequate number of primary and backfill emergency response/management personnel. 	<ol style="list-style-type: none"> 1) Lack of adequate medical facilities, supplies, primary and backfill personnel. 2) Lack of effective and redundant interoperable communication systems. 3) Lack of adequate operational response plans and strategies.
Iowa	<ol style="list-style-type: none"> 1) Communication interoperability. 2) Appropriate planning. 3) Appropriate training. 	<ol style="list-style-type: none"> 1) Communication interoperability. 2) Appropriate planning. 3) Appropriate training.
Kansas*	<ol style="list-style-type: none"> 1) Interoperable communications: Although much progress has and is being made on this front, there remains a great deal of work to ensure that first responders from neighboring jurisdictions or regions can communicate with each other during a large-scale response. 2) Personnel resource sustenance: Kansas has recent experience (snow/ice storm in 2007; tornado in Greensburg; flooding in Southeastern Kansas) that required first responders beyond those available within the affected area. This concern involves not only a lack of first responders but the management of an emergency that covers a large area and/or includes a response that lasts for days or weeks. 3) Capability sustenance: Much progress has been made in Kansas since the September 11, 2001, attacks aided by the infusion of monies via the HSGP. However, sustaining the state’s current capabilities—secured through the use of federal funds—remains of utmost concern. 	

State	Natural	Human-Related
Michigan	<ul style="list-style-type: none"> 3) Enhanced interoperable communications and data sharing technologies. 2) Mass evacuation and mass care. 3) Disaster Logistics Management Plan. 	<ul style="list-style-type: none"> 1) Legislative and administrative modifications necessary for public health emergencies. 2) Development of employee tour of duty/family preparedness efforts under the State’s “Personal Preparedness is Professional Preparedness” initiative. 3) Adequate regional response structures.
Minnesota	<ul style="list-style-type: none"> 1) Communications. 2) Statewide resource management. 3) Strong local government emergency management structures. 	<ul style="list-style-type: none"> 1) Completing a statewide interoperable communications system that includes a public alert system. 2) Information technology. 3) Continuity of operations.
Nebraska	<ul style="list-style-type: none"> 1) Lack of funding to continue the EMPG program that provides support to local emergency management programs. 2) Unfunded mandates from the federal government that require the state to participate in training and integration programs to qualify for additional federal support. This also monopolizes the “volunteers” that comprise 95 percent of the state’s first responders. 3) Federal requirements for writing and maintaining plans to receive federal disaster assistance and the changing benchmarks to receive this federal support. An example would be the requirement for local jurisdictions to have approved hazard mitigation plans in order to receive federal assistance. 	<ul style="list-style-type: none"> 1) Dealing with unrealistic expectations from the public and their perception of what the state and federal government can and can not do during an emergency. 2) Dealing with the public’s lack of initiative to take any type of personal preparedness steps to either assist and/or protect themselves.
New Jersey	<ul style="list-style-type: none"> 1) Funding for personnel salaries. 2) Mitigation dollars to reduce terrorist threats. 3) Funding to increase interoperability. 	<ul style="list-style-type: none"> 1) Public awareness. 2) Long term shelter options. 3) Identification of special needs population.
New Mexico	<ul style="list-style-type: none"> 1) Prioritizing preparedness activities (planning, training and exercise) across hazard scenarios and on a functional/capability basis. For instance, should the state focus on Continuity of Operations (COOP), Recovery, Emergency Operations Center (EOC) or Mass Care in a fiscal shortage environment? 2) Maintaining existing personnel, technical and tactical resources. 3) Mitigation efforts will be difficult to prioritize in a shortage environment. 	<ul style="list-style-type: none"> 1) Prioritizing preparedness activities across hazard scenarios and on a functional/capability basis remains very challenging in an environment of limited funding. 2) Maintaining existing personnel, technical and tactical resources. 3) Difficult to sustain intelligence fusion, prevention, CI/KR, and operations/security activities.
North Carolina	<ul style="list-style-type: none"> 1) Interoperable communications. 2) Mass care, evacuation and sheltering. 3) Maintaining critical infrastructure lifelines. 	<ul style="list-style-type: none"> 1) Interoperable communications. 2) Adequate intelligence and information-sharing. 3) Mass care, evacuation and sheltering.
North Dakota	<ul style="list-style-type: none"> 1) Capability. 2) Interoperable communications. 3) Long-term sustainability. 	<ul style="list-style-type: none"> 1) Evacuation. 2) Sheltering. 3) Recovery.
Wisconsin	<ul style="list-style-type: none"> 1) Interoperable communications. 2) Sustaining existing programs. 3) Involving the private and non-profit sector. 	<ul style="list-style-type: none"> 1) Interoperable communications. 2) Sustaining existing programs. 3) Information-sharing.

* Kansas addresses its preparedness efforts from an all-hazards perspective based on the philosophy that there are key, critical capabilities that must be established to enable an effective response to any emergency, natural or human-related. Similarly, Colorado notes that the state’s concerns for both natural and human-related emergencies remain the same.



New Jersey State Police patrolling the Delaware River

Additional Information

In the survey, states were given the opportunity to describe other particularly relevant aspects of their homeland security and emergency management programs within their state that could not be categorized in other areas of the report. These responses are expressed in this section.

Colorado

The state noted that the Colorado State Patrol (CSP) provides administration for the state fusion center, the Colorado Information Analysis Center (CIAC). The CIAC began operations in 2005 with three full-time personnel from the CSP. Based on the collaborative partnerships, the CIAC currently is staffed by a multi-jurisdictional team of local, regional, state and federal analysts from the law enforcement, fire service, emergency management and critical infrastructure sectors. The CIAC staff is dedicated to building relationships with representatives of private

industry and local first responders in order to obtain and share information. The result is a steady flow of information that is analyzed and passed back to the appropriate parties. Some of the information is sent to the FBI's Joint Terrorism Task Force and to the DHS National Operations Center (NOC) to help prevent terrorist acts.

In July 2007, the Colorado Information Analysis Center launched a Terrorism Liaison Officer (TLO) program for law enforcement and first responder agencies. The program is available throughout Colorado to strengthen information-sharing and to enhance multi-jurisdictional partnerships. Sixty-two TLOs were certified in the inaugural class. The Colorado TLO program mirrors the Arizona Counter Terrorism Intelligence Center program and has been developed to provide a platform of local representatives to share information related to local and global terrorist and criminal threats. The TLO program creates an expansive, statewide network of personnel by linking local emergency

responders to federal and state assets, thus providing an effective and viable two-way flow of information.

A TLO is an identified person within a law enforcement, fire service or emergency management agency who is responsible for coordinating terrorist and other criminal intelligence information from their local agency to the CIAC. The information is shared with the FBI and DHS to ensure an inclusive and coordinated information-sharing architecture. The TLO Program promotes involvement of selected individuals working together with first responder and private sector representatives in a comprehensive prevention program. The program provides statewide intelligence architecture designed to share information and plan operations for local and global threats. Collection, analysis and dissemination of information is facilitated with Colorado's nine all-hazards regions, the CIAC, and federal agencies.

According to information provided by Colorado, the success of the state's TLO Program was recognized by the

DHS. The Colorado TLO curriculum was adopted by DHS and will be utilized to develop TLO Programs in other states. Prior to the 2008 Democratic National Convention, the CIAC will train and certify 120 additional TLOs in Colorado.

Another innovative Colorado State Patrol Program is the Rubicon Team, consisting of state troopers trained in assessing CI/KR. This program provides free assessments to stakeholders and recommends best-practice protection strategies. The relationships built through that process bring new partners to the CIAC for information-sharing. The program's success has resulted in a flood of inquires for the Rubicon Team to conduct infrastructure assessments across the state.

Michigan

In 2003, Michigan implemented its Safe School Initiative, providing grant funding to public school districts to assess their emergency preparedness and response capabilities in case of a CBRNE event. Schools were asked to complete a vulnerability assessment for each school building; add CBRNE elements to their school safety response plans; participate in a CBRNE tabletop and full-scale exercise with community emergency responders; and complete a needs-assessment worksheet documenting equipment and training items which address identified gaps and shortfalls.

Private and non-public schools were not part of the 2003 grant initiative, according to information provided by Michigan. In federal fiscal year 2007, the state built on these planning and

exercise activities by incorporating private and non-public schools into the Safe Schools Initiative. This generates the same level of security awareness as exists in public school buildings. In addition, the state seeks to establish an information-sharing program, which currently is non-existent for schools. By utilizing the Michigan Intelligence Operations Center (MIOC) as the central point of contact and verification of information, intelligence and threat analysis affecting schools can be identified and disseminated. Based upon feedback from school administrators during the previous 2003 grant, the state seeks to develop CBRNE awareness training programs for teachers and support staff, particularly regarding facilities, food service, substitutes and transportation.

Nebraska

Nebraska emphasized that due to funding limitations, maintaining a strong baseline program targeting founding principles is more advantageous than developing "new and innovative programs."

North Dakota

There is a move in North Dakota to upgrade the entire scope of public safety. The Interim Legislative Public Safety Committee has requested the adjutant general, as director of the Department of Emergency Services, to assemble a task force to identify the strategic structure and capability of emergency services in the state, inclusive of emergency response organizations, response protocols, interoperable communications, and emergency

management. Committee members also identified key groups, organizations, and associations within the state that would be represented in the task force. These are:

- » Division of Homeland Security
- » Division of State Radio
- » National Guard
- » Police Chiefs Association
- » Sheriffs Association
- » Fire Chiefs Association
- » Metro Chiefs Association
- » Emergency Medical Services Association
- » Healthcare Association
- » Emergency Management Association
- » 911 Association
- » Department of Emergency Services
- » Public Health Association

The task force was charged with the following responsibilities:

- » Recommending the future structure and capability requirements necessary to fulfill the state's emergency services needs through 2015;
- » Identifying gaps between the current state-of-emergency services and prioritized capabilities required in the future; and
- » Providing the Committee with recommended initiatives for consideration during the next legislative session, which will help bridge the organizational and capability gaps of emergency services in the state.

Task force recommendations include organizational changes, system upgrades, communication requirements, changes in processes or protocols, as well as changes in law that require consideration to ensure future viability and capability of emergency services in North Dakota.

Conclusion

Given the current national economic slowdown, coupled with increased obligations imposed by the federal government regarding state homeland security and emergency programs, the innovative efforts described in this report reflect the resilience and tenacity of states in fulfilling the responsibilities they have for their citizens.

While the federal HSGP fund allocations to states have been declining in recent years, the increase of expenditures for healthcare, education, corrections, and infrastructure will continue to restrict states in their abilities to ensure and maintain proper homeland security and emergency management programs. This is particularly distressful since, now more than ever, states play a pivotal role in preparing for and responding to disasters, natural or otherwise. While this report attempts to highlight the innovativeness of the states, it also attempts to accentuate the dire situation that has brought about the need for such improvisation. Currently, there exist a variety of threats that the United States faces everyday,

such as natural disasters, energy-related disturbances, and terrorist threats, many of which the nation is ill-prepared to handle. Correspondingly, the onus to protect against such upheavals has fallen upon individual states.

As a result, states have excelled in a variety of ways to prepare themselves for potential disaster. Programs have been developed that increase interoperability among sub-grantees, enhance performance measures, produce effective spending practices, leverage additional funding from federal sources, and prompt cooperation with neighboring states and among agencies within their borders. For instance, the Illinois Terrorism Task Force, which was created in order to develop and

implement a statewide homeland security strategy and includes more than 70 agencies, is an example of a comprehensive effort to integrate ideas, planning, and actions regarding homeland security and emergency management objectives into a common purpose and plan. This program has accomplished innumerable achievements throughout the state, including distributing equipment for emergency responders; coordinating responsibility for law enforcement personnel; integrating efforts to address the potential for terrorist attacks; implementing an information and warning system; securing additional federal funding for operations networks and centers; and initiating plans to upgrade the interoperability capacities of first responders, emergency management, public health officials and hospitals during an emergency. It is an example of an effective effort to coordinate planning and response, apportion responsibility, and collaborate efforts for achievable homeland security and emergency management goals in the state.

Other programs, such as those described by Kansas, have recognized the benefits of regionalization in their approach to homeland security. Kansas participates in a 12-state consortium that seeks to strengthen agriculture emergency preparedness and

response. Also, the state participates in the *Four Corners Emergency Management* program, which involves Arkansas, Missouri and Oklahoma; the Five States Peace Officers Association, which involves Colorado, New Mexico, Oklahoma, and Texas; and the Mid-America Alliance Wide Open Spaces Group, which includes Colorado, Iowa, Missouri, Montana, Nebraska, North Dakota, South Dakota, and Wyoming. Kansas' robust involvement with these regional coalitions has resulted in more proactive homeland security and emergency management planning and operation within the state, while leveraging increased federal funding for the state.

Another innovative program introduced in Kansas involves establishing "Crisis City," an area encompassing approximately 36,000 acres for air and ground training by emergency personnel. The driving force behind initiating Crisis City was to provide a variety of emergency response agencies the ability to work together in a cooperative spirit and, thus, determine how to integrate the needs of emergency management responders, public safety and the National Guard into realistic training

and exercise facilities. Eventually, the state will be in a position to lease the facility to other states and local governments for this purpose, a development that potentially would generate additional revenue for Kansas.

An important aspect of homeland security and emergency management planning is public health. North Carolina is an example of a state that effectively integrates public health measures into homeland security and emergency management planning. The state Division of Emergency Management's Homeland Security Branch works closely with the public health sector in the state to incorporate public health emergencies into its homeland security planning and funding. For instance, the state involves the public health sector in homeland security planning and the development of strategies for addressing potential emergencies. Also, adequate funding for public health in this regard remains a priority for the state. Furthermore, maintaining interoperable communications equipment; conducting statewide public health exercises; and developing and maintaining a sufficient antiviral storage support

program, all are major priorities for the state's homeland security program.

These are only a few examples of the many innovative efforts states are making relative to homeland security and emergency management today. No states maintained in their responses that these programs are faultless or sufficient in every regard. Certainly, in all states, there must be a concerted effort to continue improvements where possible, and to persist in developing innovative programs that begin to fulfill the necessary goals of effective homeland security. Unquestionably, these goals will not be fully reached without further federal aid for programs, a resource that continues to be dwindling, but states must endeavor to make the best use of the funds they are afforded. Although subsidies may be limited, potential for innovation is not. It is incumbent upon states to learn from each other, promote conversation among interstate agencies, and provide programming for the most vital areas of homeland security and emergency management, wherever and whenever possible.

Appendix

Survey Instrument

The Council of State Governments (CSG)
CSG's Southern Office, the Southern Legislative Conference (SLC)
Report on Innovative State Programs in Funding Homeland Security Needs

State revenue inflows have improved significantly in the last three fiscal years compared to the depths to which they plunged in the early years of this decade. Notwithstanding these increased revenues, states currently face, and will continue to face, a series of major expenditure categories in the coming years (healthcare, education, pensions, transportation and infrastructure) along with sizable expenses related to emergency preparedness, emergency management and homeland security in dealing with both natural and human-related disasters.

State policymakers, with governors at the helm, play a crucial role in preparing for and in responding to natural disasters (Hurricane Katrina), accidents (Minnesota Bridge Collapse) and other types of major emergencies (pandemic flu preparedness) and terrorist incidents (9/11 attacks). Specifically, governors and their staff are responsible for liaising with state and local government personnel in enacting a range of preventive measures and then coordinating the state's response to these emergencies and disasters. Not only are state and local personnel the first line of defense in preparing for and responding to these emergencies, they are also likely to be the officials spending the most amount of time at the scene of the emergency.

Since the September 11, 2001, attacks, the federal government has played a more active role in helping states and local governments prepare and respond to the myriad emergencies, mainly through the Homeland Security Grant Program (HSGP) operated by the federal Department of Homeland Security. According to federal data, total HSGP funding to the states between fiscal years 2002 and 2007 totaled \$11.6 billion with the annual breakdowns amounting to \$315.7 million in fiscal year 2002, \$2.7 billion in fiscal year 2003, \$2.9 billion in fiscal year 2004, \$2.3 billion in fiscal year 2005, \$1.7 billion in fiscal year 2006 and \$1.7 billion in fiscal year 2007. As evident from this information, federal funds to the states under the HSGP have decreased in the last few years despite the heightened threats and constantly increasing federal homeland security requirements on state and local governments.

In response to the dwindling federal homeland security funds, states have been forced to devise and implement a range of innovative programs to enhance their security and response capabilities. However, except for some anecdotal information, there is very little comprehensive information on these programs. More information on these innovative programs from certain states will be instructive to other states as they seek to maximize use from the federal homeland security grants awarded to them.

In order to gather the latest and most accurate information, The Council of State Governments' (CSG) Southern Office, the Southern Legislative Conference (SLC), intends to prepare a report with information obtained from states and by carrying out additional research. The state emergency management agencies will be a primary source of information for this report and once it is published, it will be made available to a range of public and private sector officials.

The lead researchers working on this project will be the following CSG staffers:

Mr. Sujit CanagaRetna and Mr. Jeremy Williams, both in CSG's Southern Office at 404/633-1866 (phone); 404-633-4896 (fax) and scanagaretna@csg.org and jlwilliams@csg.org.

A response by October 12, 2007, will be greatly appreciated. If you have any questions, please feel free to contact any one of the lead researchers for additional information.

Thank you for your assistance in this valuable research project.

The Council of State Governments (CSG)
CSG's Southern Office, the Southern Legislative Conference (SLC)
Report on Innovative State Programs in Funding Homeland Security Needs
Survey Questionnaire

Name: _____
Title: _____
State: _____
Contact Information:
- Address _____

- Phone _____
- Email _____

- I. Are there innovative programs initiated by your state between fiscal years 2002 and 2007 that you would like to identify as noteworthy strategies in dealing with the dwindling federal fund situation? Please provide as much detail as possible.
- II. Has your state made specific efforts to leverage additional federal funds with the homeland security matching grants program? If so, please provide details along with the relevant fiscal years involved.
- III. Has your state placed a great deal of emphasis on performance measures related to federal homeland security grant funds? If so, please provide additional information along with the fiscal years involved.
- IV. In what ways do you feel that these federal dollars are being spent efficiently and effectively? If so, please provide additional information along with the fiscal years involved.
- V. Has your state made an effort to integrate preparing for public health emergencies into the homeland security picture? If so, please provide details. Have efforts in this connection resulted in an increase in federal funds?
- VI. Has your state combined efforts with another state (or states) in dealing with mutual homeland security concerns on a regional basis? If so, please provide details. Have the regional alliances resulted in federal homeland security funds?
- VII. Are there any programs in your state that establish public-private partnerships to address homeland security issues? If so, please briefly describe the nature of the partnership, including any details of the obligations (financial and otherwise) that exist for each associate.
- VIII. Did your state spend all the federal homeland security funds in each of the last five fiscal years (fiscal years 2003 through 2007)? If not, can you please provide some details as to why these funds were not fully spent, such as the length of time taken to award homeland security contracts, the length of time taken to complete homeland security projects or any other reasons?
- IX. Please list your state's homeland security/emergency management budgets for each of the fiscal years 2002 through 2008? How much interaction is there between state budget office and your state's homeland security/emergency management offices in formulating annual budgets? For instance, is your state budget office informed about any innovative programs that might have been introduced by the homeland security/emergency management office?
- X.
 - (a) In an environment of dwindling federal homeland security funds, what would you list as your three most important concerns in preparing for natural emergencies?
 - (b) What would you list as your three most important concerns in preparing for human-related emergencies?
- XI. Relative to other states in your region, what would you say are your state's greatest capabilities in regards to homeland security?
 - (a) In what areas would your state most benefit from additional funding in regards to public safety and homeland security?
 - (b) Particularly, are there areas, including but not limited to urban security; homeland security strategies and equipment; terrorist prevention resources for law enforcement; local capabilities for medical response to disasters; and citizen and community involvement in disaster preparedness and response that would take precedence over others in regards to financial need in your state?
- XII. If you have any additional information related to innovative programs enacted by your state to deal with dwindling federal homeland security funds, please provide us details of these programs.

Acronyms

AFG	Assistance to Firefighters Grant Program	EMHSD	Emergency Management and Homeland Security Division (MI)
BENS	Business Executives for National Security	FBI	Federal Bureau of Investigation
BZPP	Buffer Zone Protection Program	FEMA	Federal Emergency Management Agency
CAT	Communications Assessment Team	FP&S	Fire Prevention and Safety Grants
CDC	U.S. Centers for Disease Control and Prevention	GOHS	Governor's Office of Homeland Security (GA)
CBRNE	Chemical, Biological, Radiological, Nuclear and Explosive Weapons	GDP	Gross Domestic Product
CDPH	California Department of Public Health	GRC	Grant Review Committee (CO)
CCP	Citizen Corps Program	HHS	U.S. Department of Health and Human Services
CDPHE	Colorado Department of Public Health and Environment	HSEM	Division of Homeland Security and Emergency Management (MN)
CIAC	Colorado Information Analysis Center	HSEEP	Homeland Security Exercise and Evaluation Program (MN)
CIPP	Critical Infrastructure Protection Program (NM)	HSEMD	Homeland Security and Emergency Management Department (IO)
CSG	The Council of State Governments	HSGP	Homeland Security Grant Program
CSP	Colorado State Patrol	ICEFISHX	Intelligence Communications Enterprise for Information Sharing and Exchange
CST	Civil Support Team (IL National Guard)	I-CLEAR	Illinois Citizen and Law Enforcement Analysis and Reporting
CTGP	Competitive Training Grant Program	IBSGP	Intercity Bus Security Grant Program
CSTI	California Specialized Training Institute	IDHS	Indiana Department of Homeland Security
CI/KR	Critical Infrastructure/Key Resources	IDOA	Illinois Department of Agriculture
DES	Department of Emergency Services (ND)	IEMA	Illinois Emergency Management Agency
DHS	U.S. Department of Homeland Security	ILEAS	Illinois Law Enforcement Alarm System
DHSEM	Department of Homeland Security and Emergency Management (NM)	ILO	Intelligence Liaison Officer (NM)
DOJ	U.S. Department of Justice	IMERT	Illinois Medical Emergency Response Team
EMAC	Emergency Management Assistance Compact	INVENT	Illinois Nurses Volunteer Emergency Needs Team
EMNet	Emergency Management Network		
EMPG	Emergency Management Performance Grant		

IPHMAS	Illinois Public Health Mutual Aid System	OES	Office of Emergency Services (CA)
IPP	Infrastructure Protection Program	OHS	Office of Homeland Security (CA)
ITAP	Information Technology and Evaluation Program (CA)	PAHPA	Pandemic and All-Hazards Preparedness Act
ITTF	Illinois Terrorism Task Force	PCII	Protected Critical Infrastructure Information
IVERT	Illinois Veterinary Emergency Response Team	PPE	Personal Protective Equipment
ISA	Infrastructure Security Awareness	PSGP	Port Security Grant Program
JPA	Joint Power Agreement	PSIC	Public Safety Interoperable Communications Program
KDEM	Kansas Division of Emergency Management	R4C	Region 4 Corners
KDHE	Kansas Department of Health and Environment	SAC	Senior Advisory Committee
LETTP	Law Enforcement Terrorism Prevention Program	SAFER	Staffing for Adequate Fire and Emergency Response Grants
MABAS	Mutual Aid Box Alarm System	SBI	State Bureau of Investigation (NC)
MARC	Mid-America Regional Council	SEMS	Standardized Emergency Management System
MAERS	Minnesota Agriculture Emergency Response System	SDPP	State Domestic Preparedness Program
MARN	Mutual Aid Response Network	SEOC	State Emergency Operations Center
MERCI	Medical Emergency Radio System of Illinois	SEOP	State Emergency Operations Plan (ND Division of Homeland Security)
MMRS	Metropolitan Medical Response System	SGA	Southern Governors' Association
MRHSEMB	Metropolitan Region Homeland Security Emergency Management Board	SHP	State Highway Patrol (NC)
MIOC	Michigan Intelligence Operations Center	SHSP	State Homeland Security Program
MSAC	Multi-State Agriculture Consortium	SLC	Southern Legislative Conference
MSP	Multi-State Partnership for Security in Agriculture	SMAT	State Medical Assistance Teams
MUTC	Muscatatuck Urban Training Center	SNS	Strategic National Stockpile
NCEM HSB	North Carolina Division of Emergency Management's Homeland Security Branch	SREMAC	Southern Regional Emergency Management Assistance Compact
NDDoH	North Dakota Department of Health	SWHSP	Southeast Wisconsin Homeland Security Partnership
NEMA	National Emergency Management Association	SWMDT	State Weapons of Mass Destruction Teams
NIMS	National Incident Management System	TLO	Terrorism Liaison Officer
NOC	National Operations Center	TOPOFF II	Top Officials Exercise Series II
NPPD	National Protection and Programs Directorate	TSGP	Transit Security Grant Program
NMASIC	New Mexico All Source Intelligence Center	TSP	Trucking Security Grant Program
ODP	U.S. Department of Justice, Office for Domestic Preparedness	UASI	Urban Area Security Initiative
		US-VISIT	United States Visitor and Immigrant Status Indicator Technology
		VAT	Vulnerability Assessment Team
		VHF	Very High Frequency
		VIPER	Voice Interoperable Plan for Emergency Responders
		WMD	Weapons of Mass Destruction

Endnotes

Introduction and Methodology

1. Given the nature of the issues discussed in this report, it includes references to vast numbers of federal and state government agencies and programs that often are referred to by an acronym. In order to avoid complicating the analysis of the report with a surfeit of agencies and programs spelling out complete names, but still ensuring that the analysis is lucid and not confusing, acronyms are included to the extent practical. For instance, any reference in the report to DHS refers to the federal Department of Homeland Security. Any reference to HSGP refers to the Homeland Security Grant Program, the primary program by which DHS provides funds to states and local governments.
2. This SLC/CSG report focuses on data for fiscal years 2002 through 2007. During the preparation of this report, on February 1, 2008, DHS announced the release of application guidance for 14 federal grant programs—fiscal year 2008 Preparedness Grants—whose collective purpose is to strengthen prevention, protection, response and recovery capabilities at all levels of government. Even though the analysis included in this SLC/CSG report does not include reference to the fiscal year 2008 grants, it is important to list the composition of the funds to be allocated to state and local governments under the latest funding allocations. Under the fiscal year 2008 grant allocations, DHS will provide funds under seven broad categories:
 - 1) Homeland Security Grant Program (HSGP)
 - 2) Infrastructure Protection Program (IPP)
 - 3) Emergency Management Performance Grants (EMPG)
 - 4) Operation Stonegarden Grants (OPSG)
 - 5) Regional Catastrophic Preparedness Grant Program (RCPGP)
 - 6) REAL ID Systems Integration and Data Verification Grant Program
 - 7) UASI Nonprofit Security Grant Program (NSGP)
- 1) *Homeland Security Grant Program (HSGP)*: Funds to be allocated under this program amount to \$1.69 billion and comprise the following four programs:
 - a) State Homeland Security Program (SHSP) -- \$862.9 million in funds to enhance state, territorial and local capabilities through planning, equipment, training and exercise activities.
 - b) Urban Areas Security Initiative (UASI) -- \$781.6 million to build capabilities in 60 high-threat, high-density urban areas across the country.
 - c) Metropolitan Medical Response System (MMRS) -- \$39.8 million to 124 MMRS jurisdictions to enhance mass casualty preparedness.
 - d) Citizen Corps Program (CCP) -- \$14.5 million to states and territories to engage citizens in community preparedness.
- 2) *Infrastructure Protection Program (IPP)*: Funds to be allocated under this program amount to \$852.4 million and comprise the following five programs:
 - a) Transit Security Grant Program (TSGP). \$388.6 million in funds to protect critical transit infrastructure from terrorism, including:
 - I. TSGP to intra-city systems – \$348.6 million to owners and operators of transit systems, which include intra-city bus, rail and ferry systems, focused on employee training, infrastructure protection (e.g. intrusion detection, hardening of tunnel ventilation and drainage systems) and deterrent activities like canine teams.
 - II. Inter-city Passenger Rail (Amtrak) – \$25 million to Amtrak to harden underground and underwater track and tunnels against Improvised Explosive Devices (IED) and train key employees in counterterrorism.
 - III. Freight Rail Security Grant Program (FRSGP) – \$15 million to target resources through security plans, vulnerability assessments and employee security awareness training.
 - b) Port Security Grant Program (PSGP) – \$388.6 million in funds to enhance access control and credentialing, protect against IED and other non-conventional attacks, and conduct disaster-response training.
 - c) Buffer Zone Protection Program (BZPP) –\$48.5 million in funds to safeguard critical infrastructure sites from terrorist surveillance or attacks with a focus on public-private partnership and fusion center coordination.
 - d) Trucking Security Program (TSP) – \$15.5 million in funds to identify and recruit highway professionals (carriers, drivers, first responders, highway workers) to actively participate in an anti-terrorism and security awareness program, as well as implement training programs and enable 24/7 call center support.
 - e) Intercity Bus Security Grant Program (IBSGP) – \$11.1 million in funds to prioritize vulnerability assessments, security plans and preparedness exercises.

- 3) *Emergency Management Performance Grants (EMPG)*: \$291.4 million to support state and local emergency management programs.
 - 4) *Operation Stonegarden Grants (OPSG)*: \$60 million to land border states to enhance law enforcement border security operations.
 - 5) *Regional Catastrophic Preparedness Grant Program (RCPGP)*: \$60 million to bolster catastrophic incident preparedness in designated UASI jurisdictions.
 - 6) *REAL ID Systems Integration and Data Verification Grant Program*: \$48.5 million to states for cooperative efforts to enhance the integrity and reliability of driver's licenses.
 - 7) *UASI Nonprofit Security Grant Program (NSGP)*: \$15 million to support target-hardening activities by non-profit organizations at high risk of an international terrorist attack.
3. See Appendix A.
 4. Although states responded to 12 questions, there are 13 sections in this part of the report. Upon viewing the state responses, interoperability information, data that was found throughout the report rather than being confined to one question response, was portioned into an individual section.

Part I

1. Unless otherwise specified, this section of the report draws on the following two main sources: U.S. Department of Homeland Security, "FY 2007 Homeland Security Grant Program," July 18, 2007 and Congressional Research Service (CRS), "Distribution of Homeland Security Grants in FY 2007 and P.L. 110-53, Implementing Recommendations of the 9/11 Commission Act, September 25, 2007.
2. Congressional Research Services (CRS), "Department of Homeland Security Grants to State and Local Governments: FY 2003 to FY 2006," Updated October 12, 2007, p. 2.

Part II

1. The White House, "Securing America's Borders Fact Sheet: Border Security," (January 25, 2002).
2. Albuquerque, Atlanta, Aurora, Austin, Buffalo, Columbus, Corpus Christi, Dallas, Detroit, Fort Worth, Indianapolis, Jersey City, Kansas City, Las Vegas, Lexington, Milwaukee, New Haven, New Orleans, Oklahoma City, Philadelphia, Pittsburg, Portland, Saint Paul, Seattle, Toledo, Tucson, Virginia Beach, Washington, and Wichita.
3. The U.S. Department of Homeland Security, "Fact Sheet: Nationwide Plan Review Initial Conclusions," (June 16, 2006).
4. *Ibid.*
5. The U.S. Department of Health and Human Services, "Pandemic and All-Hazards Preparedness Act (PAHPA)," <http://www.hhs.gov/aspr/ops/pahpa/index.html>.
6. Jeffrey Levi, et. al., *Trust For America's Health Ready Or Not? Protecting the Public's Health From Diseases, Disasters, and Bioterrorism*, (Washington, DC: December, 2007), pp1-3.
7. *Ibid.*
8. Jeffrey Levi, et. al., *Ready Or Not? Protecting the Public's Health From Diseases, Disasters, and Bioterrorism*, (Washington, DC: December, 2007), pp. 1-3.
9. Andrew P. Wilper, et. al., "Waits To See An Emergency Department Physician: U.S. Trends and Predictors, 1997-2004," (January, 2008), p. 5.

Part III

1. "Target Capabilities List: A companion to the National Preparedness Goal," U.S. Department of Homeland Security, August 2006, page iii.
2. Information on the evolution of the EMAC is extracted from <http://www.emacweb.org/>.
3. National Governors Association, "2007 State Homeland Security Directors Survey," December 18, 2007, p. 6.



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