

Local Government Emergency and Crisis Management:
The Significance of Intergovernmental Relations to Local Preparedness

Linda Kunath Paladino

Plan B Paper
In partial fulfillment of the
Master of Public Administration Degree

Central Michigan University
Department of Political Science
August 2006

TABLE OF CONTENTS

ACKNOWLEDGEMENTS	3
INTRODUCTION	4
Background Statement.....	4
LITERATURE REVIEW	8
Historical Context.....	13
Theoretical Context	20
METHODOLOGY	27
Purpose of Study.....	27
Problem Statement.....	27
Definition of Terms	28
Population/Sample.....	28
Data Collection Method(s)	29
Data Analysis Method(s).....	29
DISCUSSION/ANALYSIS OF FINDINGS.....	30
Data Analysis.....	30
Figure 1, ICMA Survey, Municipalities that have adopted NIMS	30
Table 1, Source of quality information	31
Figure 2 Participation/Funding/Budget Response Analysis	33
Table 2, Local Government collaboration - homeland security	34
Figure 3, ICMA survey, State and Federal government information & timeliness..	35
Figure 4, Quality of State and Federal information	37
Table 3, Challenges with Federal and State information.....	38
CONCLUSIONS	40
Recommendation.....	42
REFERENCES.....	44
APPENDICIES	49
Appendix A: Solicitation Letter, Informed Consent Form, Questionnaire	49
Appendix B: Interview Questions	53
Appendix C: ICMA, Homeland Security Survey 2005.....	54

ACKNOWLEDGEMENTS

The completion of this capstone project and degree are due to the remarkable encouragement and support from an incredible network of family, friends, and mentors.

Most importantly is my best friend and husband, Scott, who has gone above and beyond to support my pursuit of a Masters degree. Thank you for proofing all my papers, keeping the kids occupied and fixing dinners so I could attend class and meet deadlines. You provided never-ending faith in my talents and abilities. I love you - you are the best!

Megan Marie and Andrea Grace, you are the center of my life, I want only the best possible for you. Education and the pursuit of continual learning are yours to embrace, thank you for patience in allowing me the time to achieve this goal, now you have the opportunity to reach yours; I'm your number one fan.

Thanks to an awesome personal network for motivating and keeping me focused, including parents, Pat and Bob Kunath, sister Katey along with five siblings and their spouses, favorite Aunt Shari Fitzpatrick, Carolyn Paladino, and friend Elisa Utykanski.

A special thanks to all the Metro Detroit Cohort #1 (Southfield) classmates; I have grown both professionally and personally by hearing your unique perspectives on topics and sharing of challenges that you faced in pursuit of this degree; best wishes friends.

The guidance received from the CMU staff and faculty has been exceptional, especially from Dr. Lawrence Sych and advisor Dr. Rick Kurtz. Your academic commitment to the off campus MPA program is commendable and I am ever grateful for the empathy and needed encouragement you provided when life took an uncertain path.

INTRODUCTION

Background Statement

Disasters come in many forms including terrorist acts, natural catastrophes, biological threats, and technological risks. Often such events are remembered not only by the destruction that ensued but also by the response of government and its agencies. Government's preparation for response under a domestic catastrophe is essential to mitigating loss of life and property. Generally, citizens do not plan for disasters to strike their neighborhood, however expectation is for government to be accountable for an appropriate, efficient, and effective response when catastrophe does occur. In the United States a managed response to catastrophic events is shared by the many layers of government and their affiliations, "homeland security requires a coordinated national commitment with cooperation among all levels of government, the private sector, and individual citizens to be successful" (OMB Department of Homeland Security, 2006/2007, p. 132). The most critical response is the initial reaction by the affected local governmental unit as the incident's first responders. Intergovernmental relations is vital in these cases, the role of local government becomes the steering agent towards other agencies when a disaster occurs in terms of receiving the initial call for help, analyzing the situation for appropriate response, communicating the needs of the affected area, and coordinating necessary assistance. The essential bases for efficient and accountable local responses are the established relationships with other government agencies and private sector organizations.

The importance of intergovernmental relations is exemplified by two recent homeland security events in the United States where homeland security has been the

focus of national interest since the 9/11 disaster. When terrorist hijacked a series of planes that were purposely flown into the World Trade Center in New York, the Pentagon in Maryland, and the tragic crash into a Pennsylvania farm field, first responders to these incidents were local government police and fire agencies. Due to the overwhelming damage ensued by these crashes, continued response was requested and was provided by surrounding regional first responder agencies, state affiliates, federal intelligence and security agencies, and subsequently police, fire, and first responder agencies from other states. This tragedy exemplifies the role of local government in preparedness, disaster response and managing a crisis.

Hurricane Katrina exemplifies another security concern, one that is not troubled by terrorist action but by natural disaster. The warning events leading up to this disaster, lack of intergovernmental coordination, poorly executed evacuation plans for residents, and the subsequent rescue operations, all continue to be analyzed for what went wrong and where blame should be placed. Obvious problems that compounded the physical destruction caused by the hurricane were the lack of communication amongst agencies, the undue burden placed on an unprepared local government for such a predicated enormous disaster, the absence of coordinated disaster plans including established relationships amongst agency players and most importantly the silo positions taken by the numerous government agencies which prevented coordination efforts to occur. In terms of intergovernmental relations, what is the role of other government agencies and affiliations in assisting local government with emergency preparedness toward homeland security and how do these varying levels of government best coordinated in preparing for crisis situations.

Appropriate local government response requires consideration for the roles of each agency involved including local, county, region, state, federal, and private sector business as well as the coordinated focus towards a mutually beneficial big picture of why response systems are built and who they are to support. Understanding the big picture or overall mission preparedness and response is essential to disaster planning by local government. Success also relies upon the support of many players including politicians, administration, residents, and many other agencies in the regional area.

The overall goal is accountability to customers. How performance is measured and accomplished continues to challenge government. All levels and forms of government have been asked to improve accountability practices, particularly local government. This level of government is typically held to higher scrutiny because of its closeness to private sector entities. Such proximity stimulates a louder voice for action or response since it is nearest the government action center, such as public forums like council meetings, and has fewer layers of bureaucracy that could be barriers to answerability. Regionalizing efforts through coordinated aid pacts that emphasize managed training efforts, streamlined communication, and open resources continue to be an expectation of citizenry.

The purpose of this quantitative research study is to determine the significance of intergovernmental relations to local government's emergency and crisis management. There are two main objectives to the study. The first objective was to develop a better understanding of the role other government agencies play in assisting local government with emergency preparedness towards homeland security through utilization of a survey conducted by the International City/County Management Association (ICMA) and a

questionnaire created by the researcher, followed by interviews. The second objective was to explore, in greater depth, how these varying levels of government and agencies best coordinate in preparing for crisis situations.

Survey participant data was collected and analyzed to draw conclusions on the purpose of the research. The data analysis included survey-by-survey analyses covering the research objective.

LITERATURE REVIEW

The safety of citizens and property in the United States depends on government and its affiliates (Der Derian, 2005). This accountability for protection is under the umbrella of what is termed 'homeland security', which embodies the security functions of prevention, preparedness, response, and recovery (Thompson, 2002). In order to accomplish this homeland security functions federal government, state and local authorities and private sector are involved (Daalder & Destler, 2002). Maintaining effective protection of our homeland requires a need for government policy that encourages joint venture and collaboration (Armstrong, 2004).

Contingency plans are vital to organizations mitigating the effects of likely disasters (Robinson, 2005). The need for proper disaster preparedness involves attentive collaborative action by government, affiliated agencies, and private sector, including citizens. Their actions focus on mitigating activities that analyze the region for vulnerabilities, seek alternatives, and implement solutions (McEntire, Fuller, Johnston & Weber, 2002). These regularly reviewed strategic plans detail operational procedures, which are linked to activities like training programs, resource allocation, and simulation exercises (Paton & Jackson, 2002). The role of an emergency manager is to compile these needs and link action plans to the resources (Independent study, 2006).

Response and recovery actions to a disaster will reveal breakdowns that should have been addressed at the planning stages, including that of mobilization, personnel, or focus on the mission at hand (Schneider, 2005). Readdressing existing planning models after disaster strikes and modifying to incorporate improved operating, communication, and coordination techniques as well as scheduling practical training as prescribed by the

enhanced model is vital to mitigating loss during future events. In order to accomplish this review, consideration should be given to an analysis of the facts from many perspectives as “government cannot improve its ability to respond to disaster until relevant knowledge and experiences are integrated across the board” (Tuttle, Livingstone & Welch, 2006, p.78). Compiling emergency experiences as well as incorporating shared experiences into crisis training programs will enhance the course quality (Paton et al., 2002, p. 115). Each community can best address their needs and coordinate common needs with the regional area communities for a more cost effective and efficient approach to training (Daalder et al., 2002).

At the center of preparedness discussion is the question of who is going to fund homeland security initiatives. The dictated burden of preparedness compliance has been placed onto local communities as an unfunded mandate (Caruson & MacManus, 2005). Planning, staffing, training, accessing facilitative equipment, and communication capabilities are all demands of preparedness. A primary request for funding support has been for integrated communication systems, which permit a given contiguous area to communicate seamlessly during a crisis (Anonymous, 2003). Several communities in Florida have combined to create a regional network that shares law enforcement data, thus reducing cost and time (Sarkar, 2006). Competition is intense amongst communities for scarce homeland security funding and has stimulated public scrutiny that questioned the relative need verses the perceived threat risk (Associated Press, 2006). Regardless of fund availability or use, the common belief is that a community could never be prepared enough for a disaster and homeland security “money is scarce” (Jordan, 2006, p. 1).

The events of Hurricanes Katrina and Rita can be drawn upon to exemplify the need for such vigilance and coordinated effort, “meeting the challenges of homeland security will require significant changes in the way governments are organized and operate” (Wise & Nader, 2002, p. 44). “Since the hurricanes hit, Americans have asked whether local, state, and federal leaders were properly prepared” (McGinnis, 2005/2006, p. 60). The United States Government Accountability Office (GAO) published “Preliminary Observations” which discusses the “nation’s readiness and ability to respond to catastrophic disasters” (GAO Preliminary Observations, 2006, p. 1). In this document, importance was emphasized for strong communication lines amongst key players, timely activation of disaster plans, advance planning and training, and increasing capabilities were paramount to the study (GAO Preliminary Observations, 2006). Collaboration between governmental agencies, including the Department of Homeland Security, reveals enhancements are needed in that “it is clear from the surveys that a few key improvements by DHS -- the first being a closer working relationship with state and local governments -- could yield a long-term benefits not only for state and local sectors, but for larger national effort” (Burkhammer, 2006, p. 32). A consortium approach to homeland security will assist in breaking down barriers and improve services.

Another facet of effective preparedness is to have governmental units utilizing similar operating guidelines (Anderson, Compton, & Mason, 2004). By defining a problem in similar manners, using commonly shared terms, and having a consistent command structure stabilizes defense operations (Waugh, 2003). A decade ago, integrated crisis support systems (ICSS) were the facilitative system for communication and government linkage to each other as well as to private sector affiliations (Caro,

1999). The current standardized approach to event management was established by the federal government as the National Incident Management System (NIMS), which states “the objective of this system is to ensure that all various levels of government across the United States have the capability to work efficiently and effectively together using a single national comprehensive approach” (Anderson et al., 2004, p.3). NIMS are the backbone to consistent emergency operations when multiple jurisdictions respond to an emergency event and are “significant because it ensures that all of our nation’s first responders are working under the same plan, using the same nomenclature, and are receiving consistent training” (DHS Year in Review, 2006, p. 2). When the operational scope exceeds the first responder’s capabilities, additional resources are requested (Waugh & Sylves, 2002). Expanding on NIMS have been many supporting agencies of government operation, including the International City/County Management Association (ICMA). The ICMA is facilitating the creation of established networks to “coordinate and deploy resources quickly in the event of a disaster” (ICMA website, 2006, p. 1). Known resources will streamline and enhance response capabilities during a crisis.

A ‘CEO COM LINK’ system is also an evolving partnering that joins the business community with federal, state, and local governments (Armstrong, 2004). These joint ventures stimulate community protection as the overall mission and common link to those entities involved. Effective coordinated efforts towards homeland security include the private sector as an essential part of protecting American soil. “More than 85 percent of America’s critical infrastructure is owned or operated by the private sector, including the power grid, financial services, information services, airlines and railroads” (Armstrong, 2004, p. 11). These entities are not government owned or operated, but are vital to our

daily way of life. Recognizing this arrangement, acknowledges that the “America’s business community became de-facto ‘first responders’” (Armstrong, 2004, p. 11), when responding to catastrophic events like 9/11. In this case the airline traffic network was brought to a standstill, privately owned phone systems were used to transmit information, and local businesses pulled together to make arrangements for the unexpected.

In a contrasting view of why coordinated public efforts are often unsuccessful hinges on the lack of citizens involvement during the formulation of a solution. A silo position taken by an entity towards preparedness will prove unsuccessful, as the participation of others collectively is needed to successfully combat a crisis. The emergency management community has however embraced citizen involvement, which has increased since 9/11 as “Americans have looked for and found many opportunities to help in their communities” (DHS First Responder, 2006, p.1). Being part of a group results in a larger standing in the political arena because a collective voice is heard louder and able to influence others. Groups need not be formal and are about achieving a public purpose rather than solving problems (Stone, 2002). Their combined strength is seen as a strategic resource since “groups are important because decisions of the polis are collective” (Stone, 2002, p. 27). This is seen as following “public interest”. We can classify ourselves by the type and number of groups we belong to and influence to the decisions of policy makers.

A Citizen Corp “is a component of USA Freedom Corps, creates opportunities for individuals to volunteer to help their communities prepare for and respond to emergencies by bringing together local leaders, citizen volunteers and a network of first responder organizations” (DHS Fact Sheet, 2006, p. 1). Citizen Corp has evolved to bring

preparedness into the community and grant citizens capabilities to respond appropriately under disastrous conditions. Another example of citizen empowerment is the “Do 1 Thing Campaign” supported by the Michigan Department of State Police, Emergency Management Division. This campaign encourages individuals, families, and communities to prepare on a monthly basis for emergencies (Michigan State Police, 2006). The recent examples of Hurricanes Katrina and Rita demonstrate that the lack of investment in and commitment to citizen preparedness and participation contributed to the prolonged suffering of the individuals affected by the hurricanes and slowed response and recovery efforts. In addition, the response to these hurricanes highlighted the need for volunteers in order to meet the response demands of this catastrophic event (DHS Fact sheet, 2006). Increasing civic engagement strengthens government’s effectiveness (Kirlin & Kirlin, 2002) and is beneficial to the overall mission of homeland security.

Historical Context

In true federalism fashion, the United States Department of Homeland Security has defined itself as the lead director for protection, agency coordination, and policy formation. “Since 2001, the Administration has more than tripled spending devoted to non-defense homeland security; created the Department of Homeland Security by merging 22 separate agencies and programs into a cohesive department” (OMB Department of Homeland Security, 2006/2007, p. 131), which dramatically changed the role of disaster preparedness and response for the nation. The primary focus of creating a new federal department that would oversee homeland security operations was to combat terrorist actions. The federal, state, and local intergovernmental relations surrounding homeland security have been a concern since the birth of the national Department of

Homeland Security which reports directly to the President, is responsible for protecting United States homeland assets and oversees the operations of numerous federal agencies, such as the EPA and FEMA. Homeland security is a national Department that was created in rapid fashion, especially for the federal government, after the events of 9/11. Political federalism entrenched the national government to act decisively to prove to the American people that the government was concerned about securing its homeland. Both Democratic and Republican parties connected politically to nationally instill the need for a Department that had citizen's welfare and property as a guiding purpose. Candidate-centered politics had President Bush in the spotlight as the number one politician campaigning for the establishment of this Department. The President's popularity soared and he gained critical mass media endorsement to proceed with the formation of the Department of Homeland Security.

Prior to the events of September 11, 2001, the United States addressed catastrophic events in a silo manner. The federal agency that responded to a disaster depended upon the type of event that occurred, for a flood Federal Emergency Management Agency (FEMA) responded, a contamination required the Environmental Protection Agency (EPA), and a threat to public land sought the assistance of Department of the Interior (DOI). Ideally, by creating a combined agency all resources could be easily attained and readily used. Catastrophic events like 9/11 or hurricanes Katrina and Rita proved the need for an umbrella of agencies, as response required FEMA, EPA, DOI, the Coast Guard and a host of other agencies to address the crisis situations. The inefficiencies of this combination did not however, reveal itself until the hurricanes.

Local police and fire agencies respond in accordance to training protocol, professionally accepted practices, and in compliance with local ordinances and state guidelines. These systems are largely funded by these lower government levels and assigned to specific jurisdictions at the discretion of the state when provided for in a limited national program. The policies created by the new national Homeland Security Department instigated a national guideline for response which suddenly required a new, or often another, set of rules to be adhered to when responding and solicited state and local enforcement agencies to participate in these national program initiatives. The burden of training, funding the implementation of new guidelines, and participating in national projects has fallen to the states.

Homeland security calls for a strong focus on the role of planning for the unexpected. Preparedness means the readiness of first responders to react appropriately to the situation; the interconnectivity of the systems established at each government level; and the cooperative agreements, mutual aid pacts, between communities, and within the private sector. Preparedness involves four primary actions, which are cooperation, collaboration, coordination, and communication. A common belief or purpose instills cooperation, which is exemplified by a group of individuals that form a neighborhood watch program. The protection of property and safety of residents is the primary reason for this association. When the neighborhood watch group joins other watch groups, the local police and fire departments, and school districts to discuss emergency preparedness over an issue like residential flooding, collaborative efforts are being made. Coordination is the willingness to share resources (people, equipment, and knowledge) in a manner, which benefits all parties; a win/win situation is accomplished when all players

participate to accomplish a determined mission, even if for differing reasons. An essential action of preparedness that stimulates successful cooperation, collaboration, and coordination is communication. Common terminology, established relationships, and known procedures are all crucial elements of communicating the needs of a situation and understanding the role each individual or entity should play.

With these primary actions undertaken in advance, a disastrous event will likely be more effectively addressed. The primary responsibility for these actions is that of the community Emergency Manager. Citizen contact, public information officer, training coordinator, funding agent, and agency liaison all describe the array of duties encompassed by this Manger's role and what is entailed in homeland security preparedness activities.

The events of hurricane Katrina exemplify the breakdown in structure of the Department of Homeland Security, poor governance, and the importance of local government preparedness from a historical perspective. Many higher and lower level agencies were present with the intent of helping to manage social and political conflict. Higher level, federal agencies, included Federal Emergency Management Agency (FEMA), the National Guard, the newly formed Department of Homeland Security, Amtrak, and the executive office, President Bush. Lower level, state agencies/jurisdictions included Louisiana Governor Kathleen Babineaux Blanco, Jefferson Parish Emergency Management Coordinator Walter Maestri, and New Orleans Mayor Ray Nagin. Many agencies were involved in concern for the affected jurisdictions and appeared ready to take action. Each agency had a theoretically defined role in accomplishing the feat set before them. The resulting actions however were not united.

Multiple layers of government hindered most plans and finger pointing became commonplace rather than concentrating on the general and social welfare of the citizens. Perhaps expanding the service model to include private sector or non-government organization (NGO) assistance, responsiveness to citizen needs would likely have been accomplished. Instead, citizens remained isolated from their homes, in need of stable basic resources (food, shelter, and money) and no government level or permitted arm of government provided the much-needed assistance.

Federalism is the separation of powers between higher and lower levels of government. Each separate level of government has power to independently handle affairs and respond to the needs of the jurisdiction (Dye, 1990). Sometimes the jurisdiction's needs are separate from that of other government levels and sometimes they are similar. To effectuate change, levels of government focus attention on their jurisdiction's need (social or political). This change is most commonly seen from the top-down, from the federal government to the state and/or local government. A notable advantage of federalism example is that innovation was powerful at the "policy lab", state level. The state Governor implemented a contra flow traffic plan permitting a quicker exit for those evacuating and local emergency crews had rescue boats ready when federal contingency plans failed. The disadvantages of federalism however, proved the prevailing theme of the Katrina situation. The numerous layers of government hindered the progress of response to those in need. The city of New Orleans had a large minority low-income population, most without transportation of their own. Promised bus transportation to temporary shelters never materialized, leaving thousands stranded. Communications at higher levels of government were ineffective and brought on confusion between and

within the higher and lower levels. For example, the Department of Homeland Security reported to President Bush that New Orleans was secure when in fact several levees had broken. Days after the storm, the President made promises of the cavalry arriving to *save the day*, but the National Guard and army troops from other states were not actually ordered to act in the region until five days after the hurricane made landfall (Glasser & Grunwald, 2005).

In the aftermath of hurricane Katrina, federal officials including President Bush questioned the effectiveness of Governor Blanco managing the crisis and considered a takeover of the relief effort. “Local governments are protecting the information entrusted to them but admittedly would like some help from the federal government” (Burkhammer, 2006, p. 33). The necessary connection between the needs at the various levels of government comes about in the relationship between fiscal and political federalism. Fiscal federalism transfers funds from one level of government to another in order to bring about changes that will meet national goals. Fiscal federalism in this example was the national government persuasion of withholding funding in order to gain state compliance. Political federalism was the national government’s push to manage the crisis without input from state representatives.

The need for funding drives policy decision, which drives intergovernmental relations. Intergovernmental transfers dramatically influences how government has encouraged spending. The late 1960’s and early 1970’s exemplify this influence with, Presidents Johnson and Nixon social policy programs. During this time period there was a national goal to wipe out poverty, especially in large urban areas, so grants were largely used. Block grants provided states and local units of government the ability to focus

spending on job training and economic development in line with the national directive. The policy partners are the federal, state, and local levels of government. Coalitions are important to receiving federal funding in fighting for tax base and joint expenditures. Voice is the action of individuals taken in order to seek change (Hirschman, 1970). Collective interests define the community as a group whereby the public body becomes the voice that defines those interests to be resolved and influence the achievement of solutions to those communal needs. The City of New Orleans local government had a levee system that was insufficient in protecting this community; however this low-income region had a minimal voice in securing funding to improve the levees. Thus, the local preparedness for homeland security was jeopardized and left unattended. If a regional coalition had been formed to solicit federal funding to defray project costs, as well as benefit the health and welfare of this jurisdiction as the guiding objective and perhaps the devastating outcome would have been mitigated.

While the disaster was occurring, the local and state agencies alerted the public and offered alternatives to safety while the federal government took a wait and see approach. After the disaster struck, chaos ensued, and finger pointing toward intergovernmental relations became the prime topic of media (print, television, radio). Political federalism pushed the national government to reassign the top post in the Department of Homeland Security and fiscal federalism stimulated the continued funding of displaced residents as well as the clean-up and rebuilding efforts. President Bush and Governor Blanco appeared to be viewing the needs of the region in opposite manners and both were fast becoming rivals. The parties' conflict over competing policy issues could have proved beneficial to society in the middle ground of the political continuum, but

their current power struggle was a hindrance to the short-term needs. “It is time to recognize that the power configuration of the states-system is rapidly being subsumed by a heteropolar matrix, in which a wide range of different actors and technological drivers are producing profound global effects through interconnectivity” (Der Derian, 2005, p. 85).

Theoretical Context

The political role is a major actor in support given for administrative functions (budget, staffing, and training), regionalizing resources, as well as the coordination with other agencies; often turf wars surface over use of equipment, facilities, and personnel. The politics administration dichotomy illustrates the challenges of accomplishing a vaguely defined task, such as homeland security, with competing roles of essential players; the one that defines the policy and secures the funding with the one that defines the working plans and implements procedures.

Dual federalism describes the clear distinction of powers that the state and federal government have. A checks and balance system whereby each level is providing services that best address the region they know best, yet still remain accountable to the ‘people’. The American federation was formed with the national government being granted oversight in the areas of national defense, the post office, and roads. The states handled everything else, as provided for in the 10th amendment of the U.S. Constitution (Walker, 2000). As the United States government structure evolved, the national government assumed greater power as provided for in the vaguely worded ‘necessary and proper’ and ‘protect the general welfare’ clauses of the 10th amendment. This devolution of power crossed the lines of the former dual federalism relationship and has greatly strained

intergovernmental relations over power, money, and legal authority. The current National Conference of State Legislatures (NCSL) position challenges dual federalism over homeland security and raises questions about what level of government has the power to enact security requirements; to what degree; and, most importantly, what level of government is responsible for funding these activities (National Conference of State Legislatures, 2005). Homeland security is a classic dual federalism subject, considering that the protection of the United States is a fundamental national concern as creating a unified military was several hundred years ago. Lower levels of governments were better suited to manage affairs applicable to their jurisdiction, such as enforcing ordinances, property theft, and fire. State and local jurisdictions worked in a horizontal intergovernmental relationship. Joint ventures amongst surrounding communities which enabled collaborative purchases such as emergency 911 phone systems that can be accessed by multiple jurisdictions. Cooperative agreements like mutual aid packs for fire protection enhance a region's ability and capabilities in responding to an emergency scene. Monitoring gang activity or a police car pursuit was coordinated between local agencies, often with state assistance.

Under the traditional theory of public administration, Wilson and Hamilton believed the bureaucracy needed to be strengthened and hierarchical layers should be reduced (Kettl, 2002). The overall perspective of this theory emphasized accountability, efficiency, non-partisan, the science of public administration, and an effective administration - not a powerful one. Contracting government services is not a new concept, was done by the Roman's to enhance the security of their empire (Kettl, 2002). A more recent example is with the government of New Zealand, which underwent a

massive government restructuring in the late 1980's. Considered leaders of reform, through an aggressive effort this country's government sought clear outputs by providing professional managers flexibility to accomplish goals, financial rewards incentives when goals were met, and major use of privatization endeavors for as many services as possible. The United States subsequently promoted such government reform efforts with the issuance of the 1993 National Performance Review report. This report encouraged aggressive downsizing of the federal bureaucracy, employee empowerment, taking risks like the private sector, focusing on customer service, and was performance results driven (Kettl, 2002).

The book, *The Transformation of Governance* (Kettl, 2002), explored the history of public administration, government reform, and the ability of government to coordinate, collaborate, and achieve desired results under the governance model. The key to improving government is by not using the traditional models that have been slightly modified and given different names over the years (Hamiltonian, Wilsonian, New Performance Management), but to consider the global environment that affects and defines government's role and create a new model that embraces change. Federalism is not intergovernmental relations, rather competitions among governments can be a healthy condition of our democracy, as states are not suppose to be a legislative arm of the federal government, rather an equal and distinct role of our bureaucracy (Dye, 1990). The relationship between the federal and states arms of government are 'opposite and rival' interest that best respond to the needs of society (Dye, 1990).

The National Performance Review (NPR) has many of the characteristics of the Jeffersonian model that favored bottom-up management and employee empowerment to

be responsive to the needs of customers. NPR was reflective of the Wilsonian and Hamiltonian traditions that favored strengthening the bureaucracy and reducing the levels of hierarchy. The modest improvement in these models offered by the NPR was in arguing for Administrative competence and discretion in making decisions. The global environment is truly the new element of change that is not being addressed by other reform efforts. Technology and planning were two essential areas of focus in *Government Performance* (Ingraham, Joyce & Donahue, 2003) and are also representative of tools needed by public managers today to operate government in a progressive manner. This too was the mission of creating the Department of Homeland Security, a department that would be easily accessible and responsive to the needs of other governmental agencies and affiliations.

The vertical dimensions of federalism best describe the funding arrangements between federal programs granted to state agencies, which are then distributed on a discretionary basis to local jurisdictions. The Homeland Security Department is operating under the top-down model in issuing mandates for national protection to the lower government levels and expecting a response of compliance, whether federally funded or not. A Jurisdiction-Based model approach to security is when each region of the United States has a set of unique interests, actors and agencies with a distinct level of resources available to address them. For example, illegal immigration is a concern for Border States, but is not necessarily a problem for central states that have a security focus over nuclear power facilities. If this type of focus or funding arrangement were implemented as provided for in this model, the federal government would be just one player along with

the states in negotiating a process to define realistic national security goals using available resources.

In the Maslow's hierarchy of needs theory, people initially look to satisfy basic needs including food, water, and safety (Shafritz, Ott, & Jang, 2005). During hurricane Katrina, local official initiated to FEMA the request for basic supplies of water and ice. FEMA complied with the basic needs request, however did not send these items to the appropriate communities or shelters in the greatest need. The predicted region for the highest storm impact was Louisiana, however Alabama was said to have received five times the amount of water for distribution as Louisiana. For basic safety, temporary shelters were made available for New Orleans residents however most shelter capacities were grossly insufficient and government transportation to shelters with available beds was inadequate or never even provided. The basic needs of the most vulnerable population, estimated at tens of thousands, were left unsatisfied.

Government's job is not only to focus on service to customers, but providing services that will be valued by citizens (Kettl, 2002). Is government serving the needs of its customer? Is accountability being shown to taxpayers? Do outputs meet established goals? Is government's mission appropriate for the jurisdiction? Is the mission being followed? These are a few questions that are posed in anticipation of determining good governance. Gone are the days where government's purpose was relatively easily defined and whose outputs were only evaluated by the government monopoly itself. Citizen's needs have changed and so must government, but how to establish appropriate change and measure success is more the mode of operation continually puzzling government today. In today's every changing world, it is important for government to look beyond the

typical authoritative action of governing and to look towards governance. “Governance is a way of describing the links between government and its broader environment – political, social, and administrative. It is also a way of capturing the initiative that governments around the world deployed to shrink their size while struggling to meet their citizens’ demands” (Kettl, 2002, p.119). The governance concept includes a broader perspective of providing services to include many more contracting service options like with other government agencies such as mutual aid packs amongst neighboring municipal fire departments, with not-for-profit agencies in the case of the Red Cross for social services during an emergency, and with the private sector and non-government agencies (NGO) as is commonly done for excavation and disposal services during a disaster.

Appendix B lists the below six (6) general questions asked of participating Southeast Michigan emergency managers about the quality of information received from the state and federal governments. These questions are reflective of the probing done in this research project as a way to further discuss the topic of intergovernmental relations pertaining to local government preparedness for homeland security.

1. What do you consider to be quality information from your State?
2. What are some challenges in dealing with the State for homeland security related information?
3. How has information been commonly transmitted from the State?
4. What do you consider to be quality information from the Federal government?
5. What are some challenges in dealing with the Federal government for homeland security related information?

6. How has information been commonly transmitted from the Federal government?

Preparedness hinges on effectively utilizing information provided by other governmental agencies. Resource sharing and municipal cooperation stimulates accountable action by local communities. Municipalities may be able to retain or improve public services and save money by sharing costs, equipment, knowledge and manpower with other cities. The quality and frequency of these resources dictates the usefulness of the outcomes produced. Each level of government has an important role to play in emergency and crisis management. The services tendered by communities will either mitigate loss of property and life or permit catastrophic results, like those that occurred following hurricane Katrina. “Through collaborative partnerships, cities can maximize the efficiency of their limited resources and continue to provide quality services to their residents” (MSA, 2006, p. 2).

METHODOLOGY

Purpose of Study

The purpose of this quantitative research study was to determine the readiness of local government to act with other agencies under emergency and crisis situations. The secondary objective was to explore in greater depth how these varying levels of government best coordinated in preparing for crisis situations. National survey results from the 2005 International City/County Management Association (ICMA) Homeland Security survey, a limited distribution Southeast Michigan municipal survey, which included follow-up interviews by this researcher, are used. Empirical data is also gathered from scholarly journals, which pertain to local government preparedness, intergovernmental relations, collaborative efforts and private sector associations. This data assists in the review of local government view of its role, regionalizing preparedness efforts, and addressing communication efforts in implementing appropriate responses.

Problem Statement

The focus of this study was local governments in the United States with specific case review of five (5) municipalities in Southeast Michigan. Each of the case review communities has designated an emergency coordinator, is familiar with respective County government crisis response and State of Michigan homeland security efforts, are inner-ring communities of Detroit, serves a varying size of populations, from 17,000 to over 124,000 residents, and are nearly fully developed. As these communities continue to struggle with resources to fund, staff, and equip homeland security related events, regional cooperation and enhanced intergovernmental relation efforts has become the

primary tool for successful preparedness. Emergency managers of local communities have the critical role of developing and maintaining resources for such events and will benefit from a study about preparedness critically involving other levels of government.

Definition of Terms

For the purpose of clarity in use of trade terms, the following definitions are offered. First responder refers to the local governmental unit's police, firefighters, and emergency medical professionals that are America's first line of defense ((DHS) Department of Homeland Security, 2006/2007). Homeland security is the domestic preparedness for emergency and crisis management during a catastrophic event, which includes terrorist attack, natural disaster, biological threat, and technological catastrophe. An Emergency Manager is a "dedicated official across the country (who) have, for the most part, done very well planning for and responding to disasters of the scope and scale most common in the United States" (DHS Fact Sheet, 2006/2007, p. 1).

Population/Sample

The researcher, Master of Public Administration student Linda Kunath Paladino, focused on the intergovernmental relationships of five managers responsible for emergency management at one of Southeast Michigan's municipalities. Data was collected through a pre-interview questionnaire and face-to-face interviews. A survey from the International City/County Management Association (ICMA), titled Homeland Security 2005 see Appendix C, was utilized to analyze true data response to questions 1g-i, 2-3, and 9. The Homeland Security surveys were mailed in spring and summer 2005 to the Chief Administrative Officers of municipalities with populations 2,500 and over and

to the Chief Administrative Officers of counties with the council-administrator or council-elected executive form of government. Of the 7,968 municipalities and counties that received surveys, 2,786 local governments responded (35.0%)

Data Collection Method(s)

The researcher developed a pre-interview questionnaire see Appendix A, that was sent to the emergency managers at five (5) Michigan municipalities. The questionnaire asks respondents to comment on a series of questions about intergovernmental relations pertaining to homeland security. Face-to-face interviews were conducted with three participants, as determined by their responses to the questionnaire. A face-to-face interview was also conducted with the State of Michigan's past-President of the Emergency Management Association. Results from the questionnaire were used to customize questions for the follow-up interviews. The quality of information received from the state and federal governments was the foundation for discussion in the personal interviews. During the interviews, six (6) general questions were asked, to further clarify and expand upon responses to the questionnaire see Appendix B.

Data Analysis Method(s)

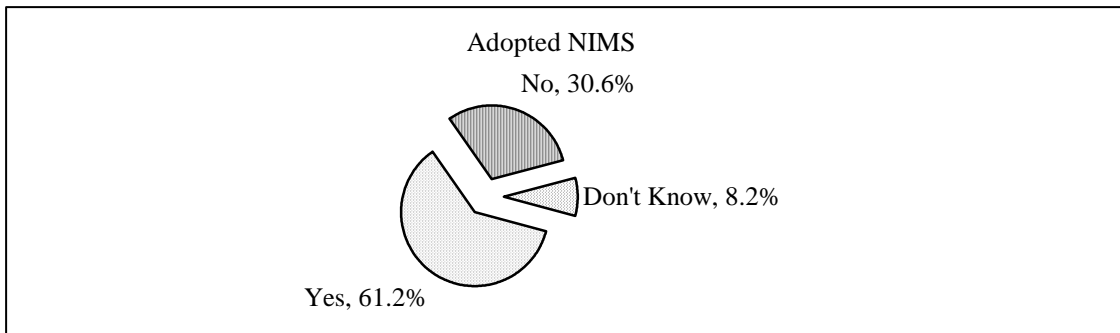
A data analysis will examine question-by-question responses to the survey. Nominal and ordinal scales are used to statistically evaluate response data and are illustrated in percentages and frequency counts.

DISCUSSION/ANALYSIS OF FINDINGS

Data Analysis

In accordance with established federal NIMS guidelines, municipalities are required to adopt NIMS standards for emergency and crisis management. Figure 1 below shows the responses to questions 1i of the ICMA Homeland Security survey, see Appendix C. Each response is identified by different patterns and the combined total percentage participant responses of Yes, No, or Don't Know is reflected in the pie chart. The 61.2% majority of participating municipalities have adopted NIMS, with the remaining 30.6% not adopting the system and 8.2% unsure of system status.

Figure 1, ICMA Survey, Municipalities that have adopted NIMS



Participants from four (4) Southeastern Michigan communities were asked what they considered quality info from the federal and state governments to be. Their responses are reflected in the below Table 1. The most frequently mentioned sources, by 75% of respondents, were the NIMS website, Michigan Department of State Police Emergency Management Division, and the respective county governments as providing quality information. The federal government DHS website was sighted by 25% of respondents as a source of quality information. The Michigan Department of State Police

was mentioned by 100% of respondents as the official federal government liaison of information and emergency management policy driver for all communities in the State of Michigan, while County government was sighted by 100% of participants as the easiest source of information. Most participants also expressed a desire to have a regional authority that was comprised of multiple contiguous counties to simply, efficiently, and effectively distribute information around the state.

Table 1, Source of quality information

Source	Frequency	Percentage	Official Source	Easiest Contact
NIMS	3	75%		
DHS	1	25%		
MI Dept of State Police	3	75%	100%	
County Government	3	75%		100%

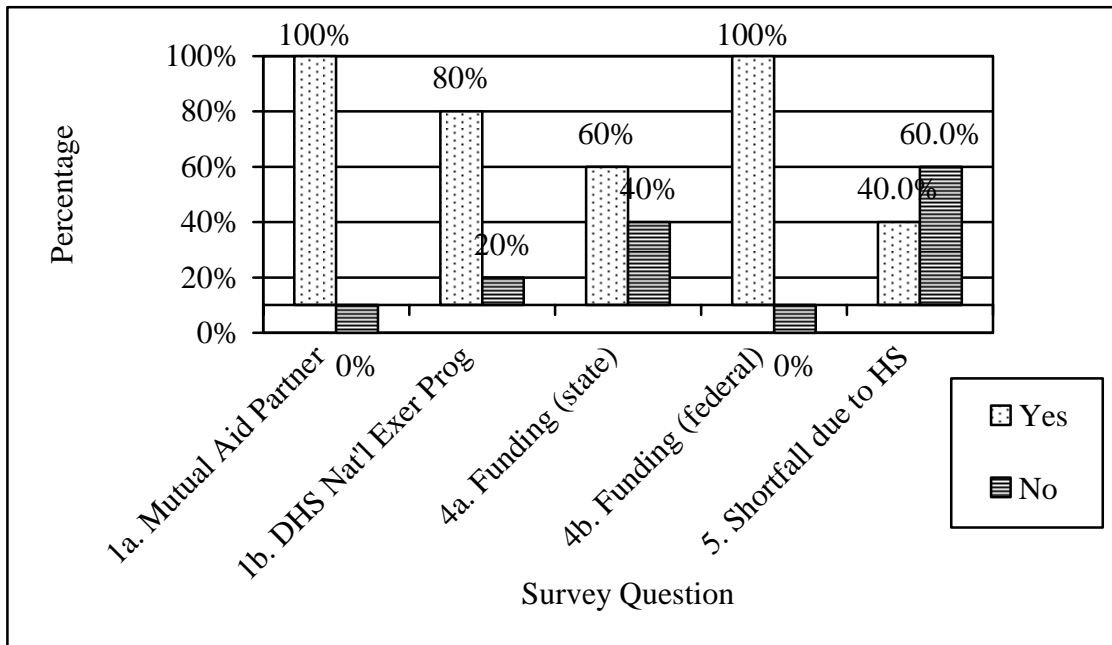
There appears to be a correlation between participation in NIMS standards and receipt of federal funding. States like control of fund disbursement as state governments desire distribution abilities and are not pleased with a direct funding flow; “in giving grants and attaching conditions to them, the federal government becomes an actor in the state political system” (O’Toole, p. 175). Under dual federalism, the state government manages its own affairs and equally important, federal government’s operations are separate from state’s management. When the federal government mandates compliance, the state’s political system is compromised. Homeland security is being viewed as a single-system, operated by the federal government, under the top-down model. The federalism conflict is that states have the financial burden, which is considered an un-

funded mandate. Local level government participation in homeland security activities streamlines current processes and enhances accountability to the people as another part of the checks and balances of shared powers of federalism. The more input that is derived from affected government jurisdictions, the more in tune the response will be with community needs, and the view of government will be more responsible.

Figure 2 below shows the responses to questions 1a, 1b, 4a, 4b, and 5 of the researcher's survey about participation with established programs, receipt of funding, and budget shortfall due to homeland security related activities, see Appendix B. Each question is identified in an abbreviated format on the X-axis and the Y-axis reflects the combined total percentage participant responses of Yes or No, which are identified by different patterns noted in the legend.

Participation with both mutual aid partners and the national exercise program had a high degree of response at 100% and 80%, respectively. 100% of participants acknowledged funding from the federal government, with only 60% of responding municipalities receiving state funding for homeland security related activities. Due to homeland security preparedness, including training actions, 60% of participants experienced budget shortfall last fiscal year.

Figure 2 Participation/Funding/Budget Response Analysis



* Each survey question reflects the percentage response, including zero

A realistic view needs to be taken of what government can accomplish best and what services can more efficiently and effectively be accomplished by the private sector. The advantages of privatizing include a better product or service being provided especially when the service is technical in nature and it would be too costly for government to duplicate, like surveying regions or that the private market has been successfully offering like disaster excavation services; potential reduced cost for the same service achieving a better return on investment for taxpayers; arms length control over the end product, which is especially helpful in situations where political influence can be challenging in administrative decision making or where validity of the results could be questioned such as a preparedness assessment; and for diminished liability since the vendor will assume both corporate and employee coverage liability. Disadvantages of privatization include lack of control over daily operations, which should be weighed heavily against the perceived advantages.

Participating municipalities were asked by ICMA to identify agencies that collaborated with the local government for homeland security issues, in question 2 of ICMA Homeland Security survey, see Appendix C. More recently, five Southeastern Michigan municipalities were also asked by this researcher to identify agencies that collaborated with their local government for homeland security issues, see Appendix B. In Table 2 below, each type of agency is listed and responses from ICMA and participating Southeast Michigan communities are listed in separate columns, each having the total percentage of answers associated with the agency indicated in the applicable row. The most frequently acknowledge collaborative effort being transpired was noted with other local government at 91.1% and 80%, respectively, followed by state government at 74.8% and 80%, respectively, and regional organizations at 60.4%. and 80%, respectively. DHS/FEMA collaboration was 53.6% for ICMA respondents and 60% for participating Southeast Michigan communities.

Table 2, Local Government collaboration - homeland security

Agency	ICMA Survey, Question 2	Participating Southeast Michigan communities
Other local government	91.1%	80.0%
Regional organizations	60.4%	80.0%
Local military installations	25.1%	60.0%
State government	74.8%	80.0%
Other State government	11.8%	20.0%
FBI/DOJ	41.8%	40.0%
DHS/FEMA	53.6%	60.0%
HHS	30.0%	20.0%
Department of Defense	12.9%	20.0%
Non-government organization	36.2%	20.0%
Other	10.5%	40.0%

Collaboration efforts by local governments towards homeland security are most commonly engaged with other local governments, followed by both regional and state

agencies. Alliance with the federal government is much less, “it is clear from the surveys that a few key improvements by DHS -- the first being a closer working relationship with state and local governments -- could yield a long-term benefits not only for state and local sectors, but for larger national effort” (Burkhammer, 2006, p. 32). Identifying a key contact person, such as an Emergency Manager, conducting training exercises, maintaining NIMS status along with recommended readiness, and continuing to develop, maintain, and enhance coordinated communications within the region as well as with affiliated agencies and higher levels of government are all essential preparedness features for local government. The highlight of preparedness is for intergovernmental relations to be an integral part of local government emergency and crisis management.

Figure 3, ICMA survey, State and Federal government information & timeliness

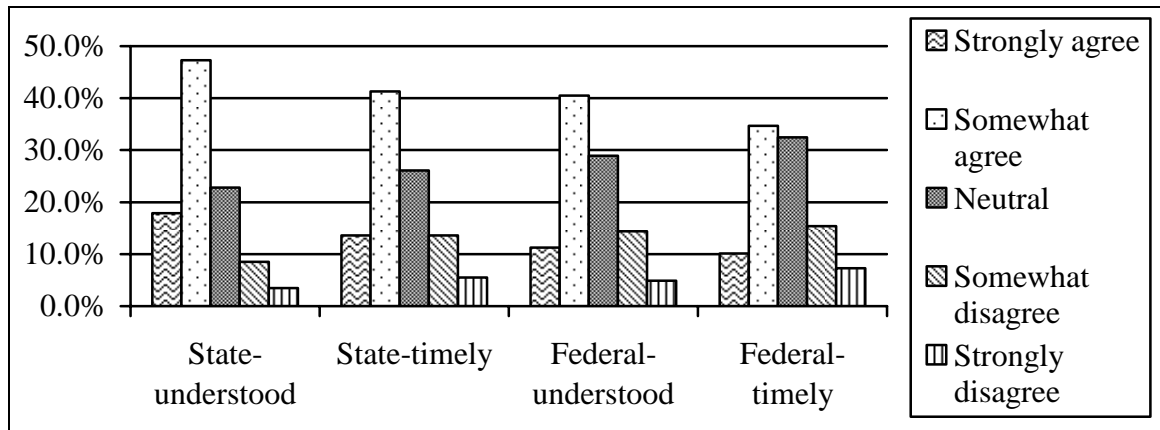


Figure 3 above shows the responses to questions 9 of the ICMA Homeland Security survey, see Appendix C. Each five-point Likert scale response is identified on the X-axis and the Y-axis reflects the combined total percentage participant responses to questions about the quality of State or Federal information or timeliness, which are identified by different patterns noted in the legend. 47.3% of respondents somewhat agree that their State provides quality information and 41.3% also somewhat agree that their

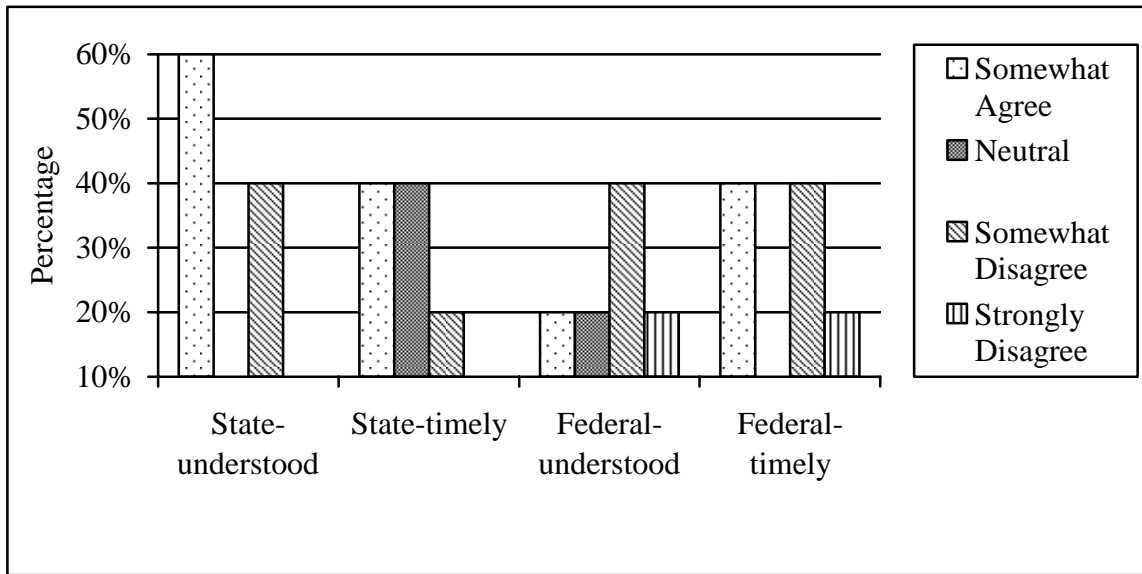
State is timely with information. As far as the federal government, only 40.5% of participants somewhat agree that quality information is being provided. Only 34.7% of participating municipalities somewhat agreeing that federal information is timely with 32.5% having a neutral response.

The federal government was established, primarily, to protect the states and nation as a whole. The resources available are immense compared to centuries ago, especially considering the judicial growth in support of a strong central government. For example, a law created around the time of the civil war gave the president the authority to federalize the National Guard and call out reservists for matters of civil unrest. During the event of Hurricane Katrina, there was pressure for the president to enact the guard to control the pilfering and looting. Basically the federal government has the power to dictate the actions of the Homeland Security Department without the advice, input, or direction of other government units. However, the government unit closest to the affected jurisdiction is closest to the people affected and should be able to respond in the most appropriate manner, as all participating Southeast Michigan communities felt their county government was the easiest information source. Joint operations are a reasonable expectation in tackling a large government problem, thus the Michigan Department of State Police Emergency Management Division is a logical liaison for federal information and policy formation for local governments.

Figure 4 below illustrates responses from this researcher's survey of five (5) Southeast Michigan communities about the quality of information from State and Federal sources. 60% of participants somewhat agree state information was easily understood, while only 20% somewhat agreed that federal information was easily understood.

Respondents both somewhat agreed and were neutral at 40% each about the timeliness of state information. For federal information, participants both somewhat agreed and somewhat disagreed at 40% each.

Figure 4, Quality of State and Federal information



To further analyze above Figure 4, participant in Southeast Michigan were asked about common transmission of homeland security information as well as the challenges of State and Federal information, which is noted in below Table 3. 100% of participants indicated federal information was periodically mailed and could be accessed and searched the Department of Homeland Security website. 100% of respondents affirmed State information was distributed more frequently through community Emergency Manager via internet e-mail, mailed in newsletter format and available by accessing and searching the Michigan Department of State Police Emergency Management Division website. Table 3, below, reveals the most frequently noted challenge to federal reports at by 100% of respondents was that the information was not timely to current events, such as the potential bird flu epidemic which was mention by 3 of the 4 participants. Other

challenges were each noted by 50% of respondents and were occurs infrequently, has dated content, and trend data not provided. Three (3) of the four (4) respondents also stated a challenge with state information was that trend data was not provided. Additional challenges noted by 50% of respondents about state emergency management information were the information was not timely to current events and the content was dated.

Table 3, Challenges with Federal and State information

Information Challenge	Federal		State	
	Frequency	Percentage	Frequency	Percentage
Occurs infrequently	2	50%	1	25%
Not timely to current events	4	100%	2	50%
Has dated content	2	50%	2	50%
Trend data not provided	2	50%	3	75%

The federal government continues to flex its muscles and operate in a Hamiltonian manner. Candidate-centered politics are operating through the media in a manner that was argued centuries ago. The benefits of a strong executive branch continue to be preached as a way to control the accountability and centralize the needs of the nation. However, the government was actually established under the Madison philosophy of checks and balances. Strong and separate arms of government operate through an executive, judicial, and legislative branch. These separate branches of government were to act as watchdogs of each other's actions, so as to be held accountable to the people. A strong executive government alone was argued to lead towards corruption. As this

government was established with a flexible constitution that has grown, changed, evolved over the centuries, so will the intergovernmental relationships entrenched in our system.

Intergovernmental relations include affiliations with other local, county, regional authorities, state, federal governments, as well as private sector businesses, and citizen groups at all levels. Each level or agency plays an important, even unique, role in emergency and crisis management. A preeminent system of coordination lies in utilizing each entity for the distinct purpose they were intended; “responsibility for homeland security is widely dispersed, not only within the federal government but also among state and local authorities and private sector” (Daalder et al., 2002, p. 17). Higher levels of government are vast in size and have abundant access to resources, State levels are adept at determining regional needs, tailoring policy to meet requirements, and streamlining processes, local agencies are closest to the voice of the people and able to best assess the situation, and private sector agencies often provide more efficient service processes since their motivation is for profit.

CONCLUSIONS

Emergency management and crisis preparedness at the local government level is critical to mitigating community loss of life and property. The essential basis for efficient and accountable local responses is the established relationships with other government agencies and private sector organizations. As communities continue to struggle with resources to fund, staff, and equip homeland security related events, regional cooperation and enhanced intergovernmental relations has become the primary tool for successful preparedness.

The purpose of this quantitative research study was to determine the significance of intergovernmental relations to local government's emergency and crisis management. This research revealed other government agencies and affiliates are an integral part of homeland security preparedness, without such associations, entities would not be adequately prepared and fail to provide necessary resources during a catastrophic event.

Financial motive

The relationship of these government entities is primarily driven by finances and often cultivated out of necessity. Standardized response operations mandate NIMS adoption and compliance in order to receive federal funding, coordinated activities requires cross jurisdictional communication capabilities which are costly and competitively funded, and the vast amount of resources potentially needed to address a catastrophe are likely attained regionally in order to save scarce local dollars. Federal funding for homeland security related activity has been widely dispersed, often for multiple jurisdiction needs like communication capabilities. State funding has been less

available and driven by assessed regional needs. The brunt of preparedness funding has been the burden of local communities; a trend that is likely to continue.

Importance of Coordination

The distinct role each government level offers, when coordinated appropriately, provides suitable information for preparedness activities and access to needed resources for action in times of crisis. Awareness information pertinent to local government's jurisdiction is found closest to the local level such as the county or regional authority. The state government level is the policy driver and often the pass-through funding agent. Overall direction is set by the state in compliance with federal guidelines; however assessed needs focus on regional areas within the state rather than specific communities. The further removed from the local level, the less timely or significant the information. Conceptual or theoretical resources are best found at the national level.

Emergency Manager Designation

The designated government coordinator, typically titled Emergency Manager, is responsible for coordinating emergency and crisis management. This includes assessing the jurisdiction's needs, organizing training, cultivating relationships with surrounding communities and other levels of government, and managing resources including affiliations with private sector service providers. Local first responder capabilities are tested in a crisis situation and the manager becomes the key to successful deployment for the community. Preparedness at the local level is vital to mitigating losses.

Flexibility

Emergencies and crisis situations happen, often when least expected. The United States' role in the protection of life and property has changed to meet the assessed

demands of its inhabitants through proper governance. A successful democracy can be defined by a Constitution that has survived over two hundred years with minimal amendments. An influential reason for this is that the United States' Constitution is defined as a living document, one that changes or evolves with the needs of its people; or its customers. Public administration in terms of intergovernmental relations should change or evolve in the same manner, especially in light of securing its homeland, "government cannot improve its ability to respond to disaster until relevant knowledge and experiences are integrated across the board" (Tuttle, Livingstone & Welch, 2006, p.78). Whether these efforts are defined as reform, improvement, or reinventing, the general concept is that the right service is provided to the right people or region at the right time. So as long as we move from the traditional form of government into the realization of governance, we'll be ok.

Recommendation

To continue reliance on first responder in the local government arena is logical, since this agency is the closest to the needs of the affected community and can best assess what immediate action is required as far as resources to fund, staff, and equip homeland security related events. However, beyond short-term considerations, higher levels of government critically need to be involved with solutions and funding. To expect successful outcomes would be foolish otherwise. Stronger networks of governmental units that are less bureaucratic (top-down) in nature, will provide enhanced contributory flexibility for all agencies, and will be true resources of regionalized efforts through coordinated aid pacts that emphasize managed training efforts, streamlined communication, and open resources are the primary solutions. Regional cooperation and

enhanced intergovernmental relations has become the primary tool for successful preparedness. There is a need for the creation of forums that address the concerns of local response organizations as well as joint ventures, which included public and private partnerships, focusing on homeland security preparedness planning and response activities. Funding support should be arranged for streamlined communication in regional and heavily populated areas. Finally, publication should emphasize enhanced awareness of citizen participation opportunities through organizations like local chapters of Citizen Corp and preparedness activity campaigns such as the “do 1 thing first” campaign in Michigan (Michigan State Police, 2006), which is useful for local communities to spread the preparedness word.

Future government reform should use the hurricane Katrina disaster to model improvement in responsibility for action and expected accountability by not only the people in the region, but for all customers of government. To truly enhance the current capabilities, effectiveness, efficiencies, and most importantly the accountability of local government preparedness for emergency management and crisis, further research is necessary.

REFERENCES

- Anderson, A. I., Compton, D., Mason, T. (2004, December). Managing in a dangerous world-the national incident management system. *Engineering Management Journal*, 16(4), 3-9.
- Anonymous. (2003, April). Illinois planning homeland security info system. *Industrial Engineer*, 35(4), 13.
- Armstrong, C. M. (2004, Spring). Homeland security: America's most critical public-private joint venture. *Mid-American Journal of Business*, 19(1), 11-12.
- Associated Press. (2006, July 3). Phoenix officials question federal cuts to fighting terrorism. *Journal Star.com*, Retrieved 07/17/06 from journalstar.com/articles/2006/07/03/nebraska/doc44a9372638eb3120425933.prt
- Burkhammer, L. (2006, March). The virtual enemy. *The American City & County*, 121(3), 32-36.
- Caro, D. H. J. (1999, Fall). Towards integrated crisis support of regional emergency networks. *Health Care Management Review*, 24(4), 7-19.
- Caruson, K., MacManus, S. A. (2005, Spring). Homeland security preparedness: Federal and state mandates and local government. *Spectrum*, 78(2), 25-28.
- Daalder, I. H., Destler, I. M. (2002, Summer). Behind America's front lines: Organizing to protect the homeland. *The Brookings Review*, 20(3), 17-19.
- Der Derian, J. (2005, Fall). National security: An accident waiting to happen. *Harvard International Review*, 27(3), 84-85.
- (DHS) Department of Homeland Security. (2006). United States of American Department of Homeland Security website. Retrieved 06/21/06 from dhs.gov

- DHS Fact Sheet. (2006). United States of America Department of Homeland Security Fact Sheet: Nationwide Plan Review and Fact Sheet: Nationwide Plan Review Initial Conclusions. Retrieved 06/21/06 from dhs.gov/dhspublic/display?theme=43&content=5695&print=true
- DHS First Responder. (2006). Homeland security: About first responders. United States of American Department of Homeland Security website. Retrieved 06/21/06 from dhs.gov/dhspublic/display?theme=63&content=237&print=true
- DHS Year in Review. (2006). United States of America Department of Homeland Security Fact Sheet: A better prepared America: A year in review. Retrieved 06/21/06 from dhs.gov/dhspublic/display?theme=14&content=3855&print=true
- Dye, T. R. (1990). *American federalism: Competition among governments*. Lexington Books
- Glasser, S. B., Grunwald, M. (2005, September 11). The steady buildup to a city's chaos. *Washington Post*. p. A01.
- Hirschman, A. O. (1970). *Exit, voice and loyalty: Responses to decline in firms*. The President and Fellows of Harvard University.
- GAO Preliminary Observations. (2006. March 8). United States Government Accountability Office (GAO) Preliminary observations regarding preparedness, response, and recovery. Retrieved 06/21/06 from gao.gov/cgi-bin/getrpt?GAO-06-442T
- ICMA Homeland Security Survey. (2005). International City/County Management Association (ICMA) Homeland Security Survey. Retrieved 05/17/06 from

icma.org/upload/bc/attach/%7B5F901D0C-9C2F-486C-8F15-
EB7E844DA8F1%7Dhomelandsecurity2005web.pdf

ICMA website. (2006). ICMA models collective leadership. International City/County Management Association (ICMA) website. Retrieved 05/25/06 from
icma.org/main/ns.asp?nsid=2382&mgtinsite=1&t=0

Independent study. (2006). National Incident Management System (NIMS): Independent study course "IS-00700". United States of American Department of Homeland Security website. Retrieved 05/22/06 from INDEPENDENT.Study@dhs.gov

Ingraham, P. W., Joyce, P. G., Donahue, A. K. (2003). *Government performance: Why management matters*. Baltimore and London: The Johns Hopkins University Press.

Jordan, L. J. (2006). Cities to get \$740M in anti-terror grants. *Associated Press*, Retrieved 05/31/06 from
news.yahoo.com/s/ap/20060531/ap_on_go_ot/cities_terrorism&printer=1;_ylt=A
k0

Kettl, D. F. (2002). *The transformation of governance*. Baltimore and London: The Johns Hopkins University Press.

Kirlin, J. J., Kirlin, M. K. (2002, September). Strengthening effective government-citizen connections through greater civic engagement. *Public Administration Review*, 62, 80-85.

McEntire, D. A., Fuller, C., Johnston, C. W., Weber, R. (2002, May/June). A comparison of disaster paradigms: The search for a holistic policy guide. *Public Administration Review*, 62(3), 267-281.

- McGinnis, P. (2005/2006, Winter). After Katrina, Americans hit the snooze button. *Public Manager*, 34(4), 60-61.
- Michigan Department of State Police. (2006, February 13). *Michigan Department of State Police Emergency Management Division Informational Letter*, 06-05.
- Michigan Suburbs Alliance. (2006, June 15). *Creating collaborative communities the workshop series: Police service collaboration how-to manual*. Michigan Suburbs Alliance website. Retrieved 07/17/06 from michigansubursalliance.org/pdf/PoliceHow_to.pdf
- National Conference of State Legislatures. (2004-2005). *2004-2005 Policies: Labor and workforce development committee*. National Conference of State Legislatures website. Retrieved 06/12/05 from ncsl.org/statefed/labor.htm
- OMB Department of Homeland Security. (2006/2007). United States of American Office of Management and Budget (OMB) website. Retrieved 06/28/06 from whitehouse.gov/omb/budget/fy2007/pdf/budget/dhs.pdf
- O'Toole, L. J. Jr. (2000). *American intergovernmental relations: Third edition*. Washington D.C.: CQ Press
- Paton, D., Jackson, D. (2002). Developing disaster management capability: An assessment center approach. *Disaster prevention and management*, 11(2), 115-122.
- Robinson, C. (2005, Spring). Preparing for the unexpected: Teamwork for troubled times. *The Journal for Quality and Participation*, 28(1), 26-29.
- Sarkar, D. (2006, May 8). Florida police make data-sharing progress. Retrieved 05/09/06 from fcw.com/article94280-05-05-06-Print&printLayout

- Schneider, S. K. (2005, September/October). Administrative breakdowns in the governmental response to hurricane Katrina. *Public Administration Review*, 65(5), 515-516.
- Shafritz, J. M., Ott, J. S., Jang, Y. S. (2005). *Classics of organization theory: Sixth edition*. California: Thomson Wadsworth.
- Stone, D. (2002). *Policy paradox, the art of political decision making: Revised edition*. New York: W. W. Norton & Company, Inc.
- Thompson, F. J. (2002, September). Homeland security: The state and local crucible. *Public Administration Review*, 62, 18-20.
- Tuttle, W. G. T., Livingstone, S., Welch, R. (2006, April 1). Crisis of contracting. *Government Executive*, 38(5), 78.
- Walker, D. B. (2000). *The rebirth of federalism: Second edition*. New York: Chatham House Publishers of Seven Bridges Press, LLC.
- Waugh, W. L. (2003, December). Terrorism, homeland security and the national emergency management network. *Public Organization Review*, 3(4), 373-385.
- Waugh, W. L., Sylves, R. T. (2002, September). Organizing the war on terrorism. *Public Administration Review*, 62, 145-148.
- Wise, C. R., Nader, R. (2002, September). Organizing the federal system for homeland security: Problems, issues, and dilemmas. *Public Administration Review*, 62, 44-52.

APPENDICIES

Appendix A: Solicitation Letter, Informed Consent Form, Questionnaire

Solicitation Letter Central Michigan University

July 5, 2006

Addressee

Dear ...,

My name is Linda Kunath Paladino and I am a graduate student at Central Michigan University completing my capstone project for a Master of Public Administration degree. As part of this project, I am conducting a study of the significance of intergovernmental relations pertaining to emergency and crisis management at the local government level.

To gather this data, I am asking for participation from those currently designated as the Emergency Manager at one of Southeast Michigan's municipalities. The study will include a brief six (6)-question survey, which is enclosed with this letter, and a fifteen (15) minute personal interview, to be arranged at your convenience. Your participation is completely confidential and your identity will not be revealed or cited in the final paper, which will be made available to all interested participants in the study.

After returning the enclosed questionnaire and consent form, you will be contacted to arrange the personal follow-up interview. A self-addressed stamped envelope has been provided for your convenience. During the interview, we will expound in greater detail on the quality of information received from other government agencies.

Thank you for your consideration of this request. I hope the results of this study will help provide a greater understanding of regional homeland security efforts.

Sincerely,

Linda Kunath Paladino
20825 Crowley Street
St. Clair Shores, MI 48081
586-777-1018
LKPaladino@gmail.com

Informed Consent Form

Central Michigan University

Project: “The significance of intergovernmental relations to local government emergency and crisis management”

Questions regarding this research project can be directed to:

Principal Researcher: Linda Kunath Paladino, Master of Public Administration
Candidate, 20825 Crowley Street, St. Clair Shores, MI 48081. Phone: 586-777-1018
e-mail: LKPaladino@gmail.com

Faculty Advisor: Rick S. Kurtz, Ph.D., 313C Anspach Hall, Central Michigan University,
Mt. Pleasant, MI 48859. Phone: (989) 774-3436
e-mail: RickSKurtz@cmich.edu

Project Description: The purpose of this quantitative research study is to determine the scope of involvement intergovernmental relations has to local government in emergency and crisis management. As communities continue to struggle with resources to fund, staff, and equip homeland security related events, regional cooperation and enhanced intergovernmental relations has become the primary tool for successful preparedness. Emergency managers of local communities have the critical role of developing and maintaining resources for such events and will benefit from insight as to the scope of involvement of other government agencies play in local government preparedness.

This study will collect data from five (5) individuals currently designated as emergency manager in a Southeast Michigan municipality. Your voluntary participation in this study involves completion of a six (6)-question survey and a personal, face-to-face interview. All questionnaires and interviewer notes will be available solely to the researcher of this study, Linda Kunath Paladino. Copies of the final report will be made available to interested parties.

Participant’s signature

Date

Questionnaire

Central Michigan University Graduate Student Survey about Local government preparedness for Emergency and Crisis Management

As part of the above research project, which focuses on intergovernmental relations, I am asking you to participate in a brief questionnaire about your local community's preparedness for managing a crisis or emergency situation.

The questionnaire, located on the following page, will require about fifteen (15) minutes or less to complete. There is no compensation for responding nor is there any known risk. Copies of the project will be provided to my Central Michigan University instructor. Participation is strictly voluntary and you may refuse to participate at any time.

If you chose to participate in this project, please answer all questions as honestly as possible, save your response under your community's name, and promptly return the completed questionnaire to me via e-mail attachment at lkpaladino@gmail.com.

If you have any questions or require additional information, please contact me at lkpaladino@gmail.com or (586) 777-1018, or instructor Dr. Rick S. Kurtz, MPA Program Director, Central Michigan University, (989) 774-3436 or RickSKurtz@cmich.edu.

Thank you for your time!

Questionnaire, Central Michigan University

1.	Since September 11 th 2001, has your local government: ("X" one)				
	a. Included mutual aid partners in emergency planning and preparedness activities?		YES		NO
	b. Participated in the Department of Homeland Security (DHS) National Exercise Program?		YES		NO
2.	Which of the following agencies/organizations does your local government collaborate with on homeland security issues? ("X" all applicable.)				
	a. Other local governments		g. DHS/FEMA		
	b. A regional organization, such as a regional planning agency		h. HHS (Health and Human Services)		
	c. Local military installations		i. DoD (Department of Defense)		
	d. Your state government		j. Non-governmental organizations		
	e. Other state governments		k. Other (please describe)		
	f. FBI/DOJ				
3.	Which do you consider to be the greatest potential threat to your local government? ("X" only one)				
	a. Terrorist threat to government buildings or installations				
	b. Terrorist threat to critical infrastructure				
	c. Terrorist threat to public health				
	d. Natural disasters				
	e. Other: (please describe)				
4.	Has your local government been awarded homeland security funding from: ("X" one)				
	a. The state government?		YES		NO
	b. The federal government?		YES		NO
5.	Has your municipality experienced budget shortfalls as a result of Homeland Security activities during the past two fiscal years (2003-2005)?				
			YES		NO
6.	Place an "X" in the box below that best describes the quality of the homeland security information you receive from the state and federal governments.				
	Quality of information	Strongly agree	Somewhat agree	Neutral	Somewhat disagree
	a. State information is easily understood				
	b. State information is timely				
	c. Federal information is easily understood				
	d. Federal information is timely				

Appendix B: Interview Questions

The following questions will be asked about the quality of information received from the state and federal governments as a way to further discuss the topic of intergovernmental relations pertaining to local government preparedness for homeland security. During the interviews, six (6) general questions will be asked to further clarify and expand upon responses to the questionnaire. The questions are as follows.

7. What do you consider to be quality information from your State?
8. What are some challenges in dealing with the State for homeland security related information?
9. How has information been commonly transmitted from the State?
10. What do you consider to be quality information from the Federal government?
11. What are some challenges in dealing with the Federal government for homeland security related information?
12. How has information been commonly transmitted from the Federal government?

Appendix C: ICMA, Homeland Security Survey 2005

(ICMA Homeland Security Survey, 2005, pp. 1-4)

Following is the survey text with the aggregate results shown next to each answer. Each answer represents the percentage reporting for that question, except where noted.

MANAGEMENT

1. Since September 11th 2001, has your local government undertaken any of the following homeland-security-related initiatives?

a. Conducted a homeland security-related risk assessment? 78.6 Yes 18.0 No 3.5 Don't know

1. If "yes," did it include an inventory of potential targets in your local government? 95.9 Yes 2.5 No 1.5 Don't know

b. Conducted a homeland-security related drill or exercise? 53.9 Yes 42.6 No 3.5 Don't know

c. Conducted disaster or emergency training for non-first responders, such as administrative staff? 54.9 Yes 41.3 No 3.9 Don't know

d. Included mutual aid partners in emergency planning and preparedness activities? 82.6 Yes 14.3 No 3.1 Don't know

e. Developed a comprehensive homeland-security-related plan or amended your existing emergency management plan? 60.4 Yes 34.2 No 5.4 Don't know

1. If "yes," are you willing to share your plan? 55.3 Yes 44.7 No (If "yes," please send it to ICMA with this survey.)

f. Developed local response plans based on changes to the Homeland Security Advisory System (color-codes based on threat assessment)? 35.9 Yes 58.3 No 5.8 Don't know

g. Hired/appointed a homeland security/emergency management manager to help coordinate federal/state/local security functions for your local government? 32.0 Yes 65.7 No 2.2 Don't know

h. Participated in the Department of Homeland Security (DHS) National Exercise Program? 23.9 Yes 66.8 No 9.3 Don't know

The National Exercise Program establishes the framework for exercise scheduling, design and evaluation for the exercises that are designed to test the response capabilities of the federal government and its state, local and tribal partners.

i. Adopted the National Incident Management System (NIMS)? 61.2 Yes 30.6 No 8.2 Don't know *NIMS is significant because it ensures that all of our nation's first responders are working under the same plan, using the same nomenclature, and are receiving consistent training.*

2. Which of the following agencies/organizations does your local government collaborate with on homeland security issues? (Check all applicable.)

- 91.1 a. Other local governments
- 60.4 b. A regional organization, such as a regional Planning agency
- 21.5 c. Local military installations
- 74.8 d. Your state government
- 11.8 e. Other state governments
- 53.6 g. DHS/FEMA
- 30.0 h. HHS (Health and Human Services)
- 12.9 i. DoD (Department of Defense)
- 36.2 j. Non-governmental organizations
- 10.5 k. Other
- 41.8 f. FBI/DOJ

3. Which do you consider to be the greatest potential threat to your local government? (Check only one.)

- 89.2 a. Terrorist threat to government buildings or installations
- 8.0 b. Terrorist threat to critical infrastructure
- 1.9 c. Terrorist threat to public health
- 0.8 d. Natural disasters
- 0.1 e. Other
- 0.0 f. None

BUDGET

4. Has your council (or other legislative body) requested and/or received federal or state funding for any of the following homeland- security-related programs and needs?

Program/need	Requested state funding		Been awarded state funding		Requested federal funding		Been awarded federal funding	
	Yes	No	Yes	No	Yes	No	Yes	No
a. Information security	11.3	88.7	8.5	91.5	12.5	87.5	11.4	88.6
b. Disaster response	39.6	60.4	39.5	60.5	40.7	59.3	40.6	59.4
c. Disaster mitigation/preparedness	43.2	56.8	38.2	61.8	37.7	62.3	35.7	64.3
d. Physical surveillance/security systems	23.3	76.7	19.5	80.5	25.0	75.0	22.5	77.5
e. Medical/public health surveillance systems	10.0	90.0	10.2	89.8	10.0	90.0	11.5	88.5
f. Drills and training exercises	35.6	64.4	37.7	62.3	32.1	67.9	33.5	66.5
g. Staffing	12.5	87.5	9.1	90.9	15.1	84.9	10.7	89.3
h. Equipment	60.0	40.0	55.5	44.5	61.9	38.1	58.6	41.4

i. Public education	17.6	82.4	18.3	81.7	18.9	81.1	19.5	80.5
j. Cyber security	4.9	95.1	3.3	96.7	5.7	94.3	5.0	95.0
k. Other	5.8	94.2	4.8	95.2	7.9	92.1	6.9	93.1

5. If your local government has been awarded funding from the state or federal government, what was the total amount for FY2004?

A. Amount awarded from state government \$167,819 Average

B. Amount awarded from federal government \$433,721 Average

6. Has your local government used its own funds (not from state or federal government) to pay for homeland security activities in any of the following areas? (*Check all applicable.*)

Program/need	Used own funds	
	<u>Yes</u>	<u>No</u>
a. Information security	42.7	57.3
b. Disaster response	59.9	40.1
c. Disaster mitigation/preparedness	64.0	36.0
d. Physical surveillance/security systems	43.0	57.0
e. Medical/public health surveillance systems	14.4	85.6
f. Drills and training exercises	62.8	37.2
g. Staffing	46.0	54.0
h. Equipment	66.1	33.9
i. Public education	44.6	55.4
j. Cyber security	26.0	74.0
k. Other	7.7	92.3

7. Has your municipality experienced budget shortfalls as a result of Homeland Security activities during the past two fiscal years (2002-2004)? 19.2 Yes 64.4 No 16.5 Don't know

8. Has your municipality experienced personnel reductions or layoffs in the following critical areas during the past two fiscal years? (2002-2004)?

Critical area	Personnel reductions/layoffs	
	<u>Yes</u>	<u>No</u>
a. Police	20.4	79.6
b. Fire	10.6	89.4
c. Emergency management/response	5.5	94.5
d. Emergency medical service	5.4	94.6
e. Public health	4.3	95.7
f. Public works	16.4	83.6
g. Public utilities	6.9	93.1
h. Other reductions relating to homeland security	2.4	97.6

SECURITY EDUCATION/AWARENESS AND TRAINING

9. Place a check in the box below that best describes the quality of the homeland security information you receive from the state and federal governments.

Quality of information	Strongly agree	Somewhat agree	Neutral	Somewhat disagree	Strongly disagree
a. The information I receive from the state government is easily understood	17.9	47.3	22.8	8.5	3.5
b. The information I receive from the state government is timely	13.6	41.3	26.1	13.6	5.5
c. The information I receive from the federal government is easily understood	11.3	40.5	28.9	14.4	4.9
d. The information I receive from the federal government is timely	10.1	34.7	32.5	15.4	7.3

10. Does your local government need training or technical assistance in the following areas?

Training/technical assistance content	Needed by the local government	
	<u>Yes</u>	<u>No</u>
a. Emergency planning, preparedness, response	71.2	28.8
b. Biohazard awareness/identification	70.5	29.5
c. Chemical, biological, radiological, nuclear, high-yield explosives attacks/responses	69.7	30.3
d. Critical Infrastructure Protection	72.7	27.3
e. Grant development and writing	66.9	33.1
f. Cyber security	65.5	34.5
g. Media communications	51.5	48.5
h. Coordination of volunteer efforts/donations	59.2	40.8
i. Other	34.7	65.3

11. What types of training methods does your local government staff prefer? (*Check all applicable.*)

- 84.2 a. Onsite training designed for your local government
- 34.8 b. Webcast/online training
- 61.5 c. Workshops held at several locations within the state so that staff from other local governments can attend
- 32.7 d. Regional training, so that staff in neighboring states can attend
- 50.2 e. Table top exercises
- 3.3 f. Other