Regional Collaboration & Tribal Partnerships

Non-Procedure Participant Guide

October 2008

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Regional Collaboration & Tribal Partnerships - Introduction

Purpose of the Course

The United States Congress recognizes the need for Federal programs that support regional collaboration. As the threats of terrorism increase and evolve and significant natural and man-made disasters continue to threaten our communities, the U.S. Government has expanded its efforts in addressing homeland security. The U.S. Department of Homeland Security/FEMA is supporting several major initiatives, this training being one of them, to improve the capabilities of the tribes, public safety personnel, governmental and non-governmental organizations, school and post-secondary education officials, medical professionals, community members, and tribal members in creating vigilant, prepared, and resilient communities with respect to homeland security. This course, developed by the Western Community Policing Institute (WCPI) and the National Native American Law Enforcement Association (NNALEA), is designed to provide initial awareness-level homeland training, which will be followed by continued training and support that builds community capacity in support of improving homeland security regionalization.

Course Development

This course was developed by the WCPI and NNALEA, to support DHS's increased focus on and philosophy for regional homeland security capabilities and preparedness. This course supports the Vision of the National Preparedness Guidelines, by providing a comprehensive, DHS-FEMA-certified training program, designed to create, expand, and sustain collaborative partnerships and regionalization initiatives to train, equip, and provide Tribal communities and their regional partners to prevent, protect against, respond to, and recover from all hazards in a way that balances risk with resources and need.

Homeland security is presented as an issue that requires the best efforts and collaboration of the whole community across state, local, and tribal boundaries, including the public and private sector. This foundational one-day awareness level course provides participants with the information and structure needed to begin the development of regional collaboration between multiple sectors, jurisdictions, regions, and states in building cooperative capabilities, by incorporating the unique considerations facing Tribal communities in homeland security.

This course is designed as a stand-alone curriculum that can be delivered "off-the-shelf." The course content is designed to be relevant to any all-hazards event; including terrorism and other events of national significance. Instructors are certified by the Western Community Policing Institute, following the established DHS guidelines for instructor certification.

Resources Utilized in Course Development

- Homeland Security Presidential Directives 5, 7, 8
- The National Strategy for Homeland Security
- The National Incident Management System
- The National Infrastructure Protection Plan
- The National Response Plan
- The National Preparedness Guidelines
- The National Response Framework
- Emergency Management Assistance Compact
- The Stafford Act PL 93-288
- Public Law (PL) 93-638
- Public Law (PL) 83-280
- Indian Country Border Security and tribal Interoperability Pilot Program
- Tribal Lands Homeland Security Report

Course Overview

This course is the initial installment in a series of courses designed to establish and expand homeland security regionalization through the building of both tribal and non-tribal partnerships and collaboration in regions across the United States. This particular course is designed as an introductory course. Each subsequent course thereafter will draw from the information gleaned from delivery of this course and will be tailored more specifically to the particular region in which that training was delivered, to enable participation in the establishment and expansion of a homeland security regionalization initiative within that region.

This course is comprised of six modules. After the introductory module, the tone for the course is set with opening scenarios that set the stage for homeland security regionalization. During the subsequent modules, participants examine and discuss the need for regionalization, background information about regionalization stakeholders, and the start-up procedures and policies recommended for a regionalization initiative. The concluding module provides final summary thoughts regarding regional homeland security collaboration.

This course will primarily utilize a lecture and discussion format. This is largely attributable to the introductory nature of the course and the course content. Subsequent courses in the series, however, will utilize a more "hands-on" and workshop-type approach.

Course Goal

This course is designed to provide participants with the foundational knowledge required to create, expand, and/or sustain regional homeland security collaboration initiatives.

Note: The information presented and the terminologies used in this course were correct at the time this course was developed.

Target Audience

Participant Profile

Typically, participants attending this course are community leaders, including tribal members and non-tribal individuals who come from the following types of organizations: offices of homeland security, public safety programs, governmental and non-governmental organizations, school and post-secondary education institutions, social service programs, tribal business entities, private sector corporations, and medical organizations.

Target Audience Needs

Members of the target audience are the front line of defense in preventing and deterring terrorist incidents and mitigating the effects of events of national and domestic significance. The ability of communities to create strong partnerships, enhanced networking capabilities, and organized community homeland security infrastructure are critical components in developing regional initiatives for securing our homeland. Creating these abilities allows communities to overcome, or minimize, the potentially disruptive and destabilizing effects that terrorism and other events of local, regional and national significance can have on a community.

Prerequisite Knowledge, Skills, and Abilities

In order to attend, participants from the following types of backgrounds should have the criteria defined below:

Public Safety Personnel

- Attendance endorsed by the appropriate agency training supervisor
- Be currently assigned and functioning in the community as patrol officers, investigators, fire safety personnel, line supervisors, middle-managers or executives, EMTs, 911 dispatchers, telecommunicators, and emergency managers
- Must possess a background and understanding of local community issues (i.e. crime and criminal activity, important local medical issues, important local safety issues, homeland security issues)
- Ability to share and/or implement recommendations or strategies presented in the course

Governmental/Non-Governmental Organization Representatives

- Endorsement by the appropriate supervisor or manager
- Current, active involvement in community related issues such as local/state/Federal officials, school, and education officials
- Background and understanding of local community issues (i.e. crime and criminal activity, homeland security issues)
- Ability to share and/or implement recommendations or strategies presented in the course

Community/Tribal Members

- Current, active involvement, or interest in becoming involved, in homeland security efforts of their community
- Background and understanding of local community issues (i.e. crime and criminal activity, education, and homeland security issues)
- Ability to share and/or implement recommendations or strategies presented in the course
- Be from a tribe, tribal business entity, or work in partnership with tribes

Lesson Plan

Lesson Plan		
1. Introductions	1.25 hours	8:00 AM – 9:15 AM
2. Opening Scenario	0.75 hours	9:30 AM – 10:15 AM
3. The Need for Regionalization	1.5 hours	10:30 AM – 12:00 PM
4. Regionalization Stakeholders	2.0 hours	1:15 PM – 3:15 PM
5. Regionalization Start-Up Procedures and Policies	0.75 hours	3:30 PM – 4:15 PM
6. Next Steps in Regionalization	0.75 hours	4:15 PM – 5:00 PM

Module 1- Administration Page

Duration
75 Minutes (1.25 Hours)   8:00 AM – 9:15 AM

Scope Statement
The scope of this module is to provide the participants with an introduction to the course providers and sponsor, an opportunity to introduce themselves to the other participants, and to provide an overview of the course, including background information, course layout, key points of interest and opportunity in the course, and the how this course fits into the regional collaboration training program. To set the stage for the remainder of the course, participants will also define regional collaboration and the need for Tribal partnerships in regional collaboration initiatives.

Terminal Learning Objectives (TLO)
At the conclusion of this module, participants will be able to explain how the topics covered in this course relate to Tribal partnerships and regional collaboration efforts in their area.

Enabling Learning Objectives (ELO)
At the conclusion of this module, participants will be able to:

1-1   Define "regional collaboration"

1-2   Define "region" for the purposes of regional collaboration initiatives

1-3   Relate the topics covered in this course to their roles in their community

Materials
- Participant Guide
- Resource Handbook
- Name cards, notepaper, pens/pencils
- Participant Worksheets

Instructor-to-Participant Ratio
1:20

Reference List
- Overviews of WCPI and NNALEA
- The National Preparedness Guidelines

Practical Exercise Statement

Participants will briefly introduce themselves to other course participants, which will help facilitate the participants' involvement in the interactive exercises and discussion questions set forth in the remainder of the course. Participants will also complete the course pre-test. At the close of this module – and all other modules, participants will reflect on what they have learned in this module, to identify possible "Next Steps" for creating, expanding, and sustaining homeland security regionalization initiatives within their region.

Assessment Strategy

Learning will be assessed in the course through an evaluation of the pre-test and a post-test, Participant Worksheets, and instructor observation. Participants will also self-assess their learning, as they complete the "Next Steps" reflective exercise at the close of each module.

Participant's Note:

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Module 1: Introductions

Welcome to *Regional Collaboration & Tribal Partnerships*, the first course in a training program designed to create, expand, and sustain homeland security regionalization initiatives across the country. This course, developed by the Western Community Policing Institute (WCPI) and the National Native American Law Enforcement Association (NNALEA) is designed to provide initial awareness-level training. Participants in this training serve as representatives for their community/region, by providing useful feedback regarding the issues, challenges, resources, and existing initiatives within their region. Based on participants' feedback, a subsequent workshop-based training will be delivered to each region. Finally, each region will have an opportunity to showcase their best practices and lessons learned at a national homeland security regionalization training symposium.

Terminal Learning Objectives (TLO)

At the conclusion of this module, participants will be able to explain how the topics covered in this course relate to Tribal partnerships and regional collaboration efforts in their area.

Enabling Learning Objectives (ELO)

At the conclusion of this module, participants will be able to:

1-1   Define "regional collaboration"

1-2   Define "region" for the purposes of regional collaboration initiatives

1-3   Relate the topics covered in this course to their roles in their community

1.1:   Background on WCPI and NNALEA

This course is supported by cooperative agreement administered by the U.S. Department of Homeland Security/FEMA.

The authors of this curriculum are Western Community Policing Institute (WCPI) and the National Native American Law Enforcement Association (NNALEA).

Background notables about WCPI

- Funded by the U.S. Department of Homeland Security/FEMA and the U.S. Department of Justice, COPS
- Delivered training since 1996
- Located on the campus of Western Oregon University
- Part of a national network of regional community policing institutes

Background notables about NNALEA

- Non-profit organization established in 1993
- Promotes and fosters mutual cooperation between Native American and non-Native American law enforcement officers, agents, personnel, their agencies, tribes, Federal and state agencies, private industry, and the public
- Holds annual training conferences to discuss issues of mutual concern
- Has produced several publications and reports that document the role that tribes play in homeland security

Participant Introductions Activity

- Name
- Organization
- Community
- Tribal Affiliation
- Your Role in Homeland Security

1.2:   Course Overview

1.2.1:   Course Background

In 2006, The Department of Homeland Security (DHS) identified the need for embracing partnerships across multiple sectors, jurisdictions, regions, and states in building capabilities cooperatively.   Based on years of experience in working with Tribal communities, WCPI and NNALEA partnered to develop and provide a comprehensive DHS-certified nation training program that addresses the unique challenges that Tribal communities face in developing the partnerships necessary for homeland security regionalization. This training program focuses on developing and engaging collaborative partnerships to establish formal working agreements and homeland security collaboration networks, with special focus on addressing vulnerable Tribal populations. This training program incorporates elements of a successful regionalization initiative model developed by NNALEA.

This course, *Regional Collaboration & Tribal Partnerships*, is the introductory course in a series of courses, which will provide tailored, specific guidance in designing, expanding, and sustaining homeland security regionalization through the building of both tribal and non-tribal collaborative partnerships across the United States. Building upon the material covered in the introductory course and the specific information gleaned from each training, a subsequent workshop-based course will be provided regionally. Based on participant responses, feedback, and information provided on the Participant Worksheets, these workshop-based courses will be tailored specifically to each region, which will enable more relevant, timely participation in the establishment and expansion of a homeland security regionalization initiative within each region.

Therefore, it is very important that you participate in the discussion questions, polls, and hypothetical's set forth throughout this course, as the information gathered from the discussion will be utilized in tailoring the homeland security regionalization workshop for your region which will comprise the next installment in the series of courses. Space is provided for you to record your notes for use in subsequent course installments.

1.2.2:   Course Goal

This course is designed to provide participants with the foundational knowledge required to create, expand, and/or sustain regional homeland security collaboration initiatives.

1.2.3:   Course Layout

This course is comprised of six modules. After the introductory module, the tone for the course is set with opening scenarios that set the stage for homeland security regionalization. During the subsequent modules, participants examine and discuss the need for regionalization, background information about regionalization stakeholders, and the start-up procedures and policies recommended for a regionalization initiative. The concluding module summarizes the fundamentals of homeland security regionalization initiatives and prepares participants for the next course in the series.

As this is an introductory course, it is inevitable that you might find some of the information in this course to be duplicative of information of which you already know. For instance, there is a section of this course that examines and discusses States. If you are a State employee, then you may find that section to be duplicative of information of which you already know. However, we ask that you be tolerant of the information being taught in that section, as there are most likely non-State employees (such as your Tribal neighbors) who are attending the class with you and who may find the information to be particularly insightful. After all, it is only through our attainment of insight about each other, that we can better enable ourselves to collaborate and partner together. Along those same lines, we ask that if you find that you have information more specific than that which is set forth in this course, then please share that information to the extent practicable during the discussion questions, polls and hypothetical's set forth in this course, as your information will undoubtedly be most insightful to the other participants.

Lastly, you will find that this course will primary utilize a lecture and discussion format. This is largely attributable to the introductory nature of the course and the information to be imparted therein. Subsequent installments in the series, however, will utilize a more "hands-on" and workshop-type approach.

1.3:   Pre-Test

Notes:

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1.4: Regional Collaboration Defined

The National Preparedness Guidelines states (2007, p. 12)

> Regional collaboration is critical to improving preparedness and achieving the tenets set forth in the Guidelines. As used in this document, a <u>"region" generally refers to a geographic area consisting of contiguous Federal, State, local, tribal, and territorial jurisdictions.</u> Major events often have regional impact; therefore, prevention, protection, response, and recovery missions require extensive regional collaboration. It is vital to enhance efforts by Federal, State, local, tribal, and territorial entities to communicate and coordinate with one another, the private sector, nongovernmental organizations, and individual citizens. The intent is to identify geographic regions that work best for achieving and sustaining coordinated capabilities and mutual aid agreements. Federal departments and agencies should foster those regional groupings through planning and Federal preparedness assistance. Formal arrangements among geographic regions will enable the Federal Government, working with States, territories, local, and tribal governments and other partners, to coordinate preparedness activities more effectively, spread costs, pool resources, disburse risk, and thereby increase the overall return on investment.

Discussion Question: How would you define "Regional Collaboration"?

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Regional Collaboration can be defined as working collaborative partnerships among all stakeholders within a region, including Federal, State, local, Tribal, and the public and private sector to communicate and coordinate with one another to achieve and sustain coordinated capabilities and preparedness activities effectively, spread costs, pool resources, disburse risk, and thereby increase that region's ability to prevent, protect against, respond to, and recover from all hazards in a way that balances risk with resources and need.

Discussion Question: How would you define "region" for the purposes of a regional collaboration initiative?

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Discussion Question: How will developing Tribal Partnerships and Homeland Security regionalization initiatives impact your role in your community/region?

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1.5: Module 1 Wrap Up

This module provided an introduction to the course providers and sponsor, an opportunity for participants to introduce themselves to the other participants, and an overview of the course, including background information, course layout, key points of interest and opportunity in the course, and the how this course fits into the regional collaboration training program. To set the stage for the remainder of the course, participants also defined regional collaboration and the need for Tribal partnerships in regional collaboration initiatives.

Can you:

1-1   Define "regional collaboration"?

1-2   Define "region" for the purposes of a regional collaboration initiative?

1-3   Relate the topics covered in this course to participants' roles in the community?

1.6: Next Steps

Based on what you have learned about this course and your role in this course, what potential "Next Steps" can you identify for creating, expanding, or sustaining a homeland security regionalization initiative in your community?

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Module 2- Administration Page

Duration

45 minutes (0.75 hours)   9:30 AM – 10:15 AM

Scope Statement

The scope of this module is to provide participants with a framework for regional collaboration and capabilities-based planning. Real-life examples (Opening Scenarios) of major events will be examined as a basis for understanding how a major event impacts multiple jurisdictions within a given region of the United States. "Threat", "hazard", "vulnerability", "asset value" (consequence), and "risk" will be defined, and participants will prioritize the risks in heir area. To help participants learn to "Think Regionally", the CAM 3C method (Capability Center, Cluster, and Contours), which they can use to define their region and the stakeholders involved in their initiative to meet target capabilities, will be presented.

Terminal Learning Objectives (TLO)

At the conclusion of this module, participants will be able to explain the need for regional collaboration as it relates to capabilities-based planning within their region.

Enabling Learning Objectives (ELO)

At the conclusion of this module, participants will be able to:

2-1   List the threats most likely to occur within their region

2-2   Define "capabilities-based" planning

2-3   Define a "Capability Center, Cluster, and Contour" and explain how the CAM 3C concept relates to regional collaboration

Materials

- Participant Guide
- Resource Handbook
- Participant Worksheets

Instructor-to-Participant Ratio

1:20

Reference List

- The National Preparedness Guidelines
- The National Preparedness Goal
- Homeland Security Institute - CAM3C approach
- Chertoff speech at George Washington University, March 16, 2005

Practical Exercise Statement

Participants will watch two media clips, which visually depict the regional impact of major events, engage in related large and small group discussion, complete an interactive exercise designed to encourage participants to "think regionally", and complete the first section of their Participant Worksheet. At the close of this module – and all other modules, participants will reflect on what they have learned in this module to identify possible "Next Steps" for creating, expanding, and sustaining homeland security regionalization initiatives within their region.

Assessment Strategy

Learning will be assessed in the course through an evaluation of the pre-test and a post-test, Participant Worksheets, and instructor observation. Participants will also self-assess their learning, as they complete the "Next Steps" reflective exercise at the close of each module.

Participant's Note:

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Module 2: Opening Scenario

History suggests that when the United States is confronted with a major natural disaster, man made disaster, or terrorist attack, that event usually occurs within and otherwise impacts multiple jurisdictions within a given region of the United States, as opposed to a single jurisdiction. The terrorist stacks of September 11, 2001 provide a real-life example of how major events that occur within a localized area can impact multiple jurisdictions and regions of the United States. The regional occurrence and resounding impact of these historical events clearly demonstrate the need for a regional approach to homeland security capabilities and preparedness.

In this module, we will briefly review the September 11th attacks on the World Trade Center and on the Pentagon, in the context of regionalization. We will then conclude this section with an interactive exercise designed to assist us in "thinking regionally" with regard to homeland security.

Terminal Learning Objectives (TLO)

At the conclusion of this module, participants will be able to explain the need for regional collaboration as it relates to capabilities-based planning within their region.

Enabling Learning Objectives (ELO)

At the conclusion of this module, participants will be able to:

2-1   Define capabilities-based planning

2-2   List the threats most likely to occur in your region

2-3   Define a "Capability Center, Cluster and Contour" and explain how the CAM 3C concept relates to regional collaboration

2.1:   September 11, 2001 Terrorist Attack Scenario

The September 11, 2001 terrorist attacks were major events that simultaneously occurred and otherwise impacted the northeast region of our homeland. On September 11, four commercial passenger jet airliners were hijacked by al Qaeda terrorists and used as improvised explosive devices. Two planes were crashed into the World Trade Center in New York. One plane was crashed into the Pentagon in Washington, D.C. And, the fourth plane crashed in rural Pennsylvania, as a group of heroic passengers took control of the plane. In these terrorist attacks, Al Qaeda terrorists departed on commercial aircrafts from multiple airports and carried-out terrorist acts in multiple states in the northeast region of our country. Yet, the impact of these attacks reached the entire nation and the entire world.

Media Clip of September 11 Pentagon Terrorist Attack

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Media Clip of September 11 World Trade Center Terrorist Attack

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As we have seen from these media clips, the September 11 terrorist attacks did not follow any state, local, or tribal jurisdictional boundary. Instead, they impacted the entire northeast region of our homeland.

Discussion Question: Why is it significant that these terrorist attacks impacted a region, as opposed to a single localized jurisdiction?

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This fact is significant because it demonstrates that terrorist attacks do not follow jurisdictional boundaries, and therefore we need to achieve homeland security preparedness on a regional level. That is, a region that has built partnerships amongst all Federal, state, local, tribal, and private stakeholders within that region is more prepared to seamlessly collaborate and communicate concerning the capabilities needed by that region to confront terrorist attacks such as those encountered on September 11, 2001. Notably, a number of the major events, such as the 9/11 terrorist attacks and Hurricane Katrina, have shown us the need for the development and maintenance of critical capabilities and collaboration on the elements that comprise critical capabilities, on a regional level.

2.2: Capability-Based Planning

Discussion Question: What is a "capability"?

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Discussion Question: What is a stakeholder?

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In 2007, The Department of Homeland Security released The National Preparedness Guidelines, which "establish a vision for national preparedness and provide a systematic approach for prioritizing preparedness efforts across the Nation" contains four critical elements, including the Key Capabilities-Based Planning tools and the Nation Preparedness Vision:

1. **The National Preparedness Vision** provides a concise statement of the core preparedness goal for the nation.
2. The fifteen **National Planning Scenarios** collectively depict the broad range of natural and man-made threats facing our nation and guide overall homeland security planning efforts at all levels of government and with the private sector. They form the basis for national planning, training, investments and exercises needed to prepare for emergencies of all types.
3. **The Universal Task List (UTL)** is a menu of some 1,600 unique tasks that can facilitate efforts to prevent, protect against, respond to and recover from the major events that are represented by the National Planning Scenarios. Although no single entity will perform every task, the UTL presents a common language and vocabulary that supports all efforts to coordinate national preparedness activities.
4. **The Target Capabilities List (TCL)** defines 37 specific capabilities that states and communities and the private sector should collectively develop in order to respond effectively to disasters.

The TCL was organized to help jurisdictions plan and prepare to address a variety of mass consequence events, by providing guidance on the plans, equipment, personnel, training, and exercised they would need to have to perform a specified set of tasks and where to obtain additional resources if necessary

Capabilities: the combination of plans, equipment, personnel, training, and exercises needed to prevent, protect, respond, and recover from mass consequence events.

Capabilities-Based Planning is an approach that helps balance the potential threat and magnitude of terrorist attacks, major disasters, and other emergencies with the resources required to prevent, respond to, and recover from them.

A basic tenet of capabilities-based planning is that jurisdictions cannot and should not maintain preparedness for every possible event, but should prioritize their needs within an economic framework and share resources with adjoining regions wherever possible.

Capabilities-Based Preparedness is defined as preparing, under uncertainty, to provide capabilities suitable for a wide range of challenges while working within an economic framework that necessitates prioritization and choice.   (National Preparedness Goal, 2007)

Stakeholder: An entity having a stake, or interest, in the success of an enterprise, business, movement, etc. An entity that is involved in or affected by a course of action.

2.3:   Interactive Exercise – "Thinking Regionally"

(Worksheet) Discussion Question: What are the homeland security threats most likely to occur in your region?

Discussion Question: How do you define "threat"?

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Threat: An indication, circumstance, or event with the potential to cause loss of or damage to an asset. An indication of possible violence, harm, or danger

Hazard: Something that is potentially dangerous or harmful, often the root cause of an unwanted outcome, including natural or man-made hazards

Vulnerability: A weakness that can be exploited by an aggressor to make an asset accessible to hazard damage.

Asset Value (Consequence): Degree of debilitating impact that would be caused by the incapacity or destruction of an asset (a resource of value requiring protection)

Risk = Asset Value x Threat x Vulnerability

Notes:

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In his first major address in March 2005, Secretary Chertoff said DHS actions should be dictated by risk, not by threats, even though threats capture the focus and imagination of the public and media. He stated:

> We must manage risk at the homeland security level. That means developing plans and allocating resources in a way that balances security and freedom when calculating risks and implementing protections. The most effective way, I believe, to apply this risk-based approach is by using the trio of threat, vulnerability, and consequence as a general module for assessing risk and deciding on the protective measure we undertake. Here, I inject a not of caution be cause the media and the public often focus principally on threats. Threats are important, but they should not be automatic instigators of action. A terrorist attack on the two-lane bridge down the street from my house is bad, but has a relatively low consequence compared to an attack on the Golden Gate Bridge. At the other end of the spectrum, even a remote threat to detonate a nuclear bob is a high-level priority because of the catastrophic effect.

(Worksheet) Discussion Question: What threat poses the greatest risk within your region?

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_____

In the first step of this exercise, you need to take a few moments and reflect upon the immediate jurisdictional boundary (i.e., city, county, or tribe) within which you reside. For purposes of this exercise, this jurisdictional boundary will be called your "capability center." Diagram 2.3.1 depicts a "capability center."

Capability Center

Diagram 2.3.1

Now with regard to your "capability center," think about the following questions:

Question: Have all of the Federal, state, local, tribal, and private stakeholders within my "capability center" built partnerships with each other?

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_____

Question: Have all of the Federal, state, local, tribal, and private stakeholders within my "capability center" shared with each other their respective homeland security preparedness capabilities?

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Question: Have all of the Federal, state, local, tribal, and private stakeholders within my "capability center" worked collaboratively to identify gaps in homeland security preparedness within our "capability center" (conducted a gap analysis)?

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Question: Do all of the Federal, state, local, tribal, and private stakeholders within my "capability center" collaborate and communicate?

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In order to achieve homeland security regionalization, your answers to these questions must ultimately be "yes."

Poll Question: Who believes that at the present time you can answer all of the above questions with a "yes," with regard to your "capability center"?

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In the second step of this exercise, you need to take a few moments and expand your "capability center" to include any regional jurisdictions (including states when applicable), counties and tribes that are closely clustered around your "capability center" – we will call this your "capability cluster." For purposes of this exercise, your "capability cluster" should include your "capability center" plus the regional jurisdictions (including states when applicable), cities, counties, and tribes that geographically adjoin your "capability center."
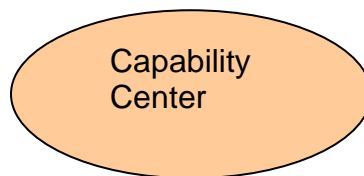

Diagram 2.3.2

Now with regard to your "capability cluster," think about the following questions:

Question: Have all of the Federal, state, local, tribal and private stakeholders within my "capability cluster" built partnerships with each other?
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_____

Question: Have all of the Federal, state, local, tribal, and private stakeholders within my "capability cluster" shared with each other their respective homeland security preparedness capabilities?
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_____

Question: Have all of the Federal, state, local, tribal and private stakeholders within my "capability cluster" worked collaborative to identify gaps in homeland security preparedness within our "capability center" (conducted a gap analysis)?
_____
_____
_____

Question: Do all of the Federal, state, local, tribal and private stakeholders within my "capability cluster" collaborate and communicate?

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In order to achieve homeland security regionalization, your answers to these questions must ultimately be "yes."

Poll Question: Who believes that at the present time you can answer all of the above questions with a "yes," with regard to your "capability cluster"?

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In the third step of this exercise you need to take a few moments and expand your "capability cluster" to include any region (including states when applicable), counties, and tribes that are closely clustered around the states, counties and tribes that comprise your "capability cluster" – we will call this your "capability contour." For purposes of this exercise, your "capability contour" should include your "capability cluster" plus the states, counties, and tribes that geographically adjoin your "capability cluster." Diagram 2.3.3 depicts a "capability contour."
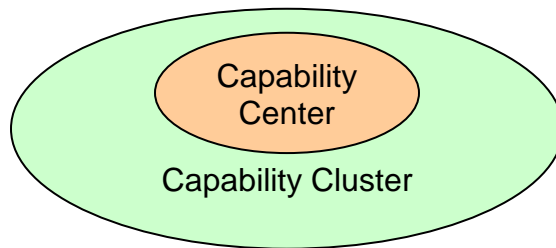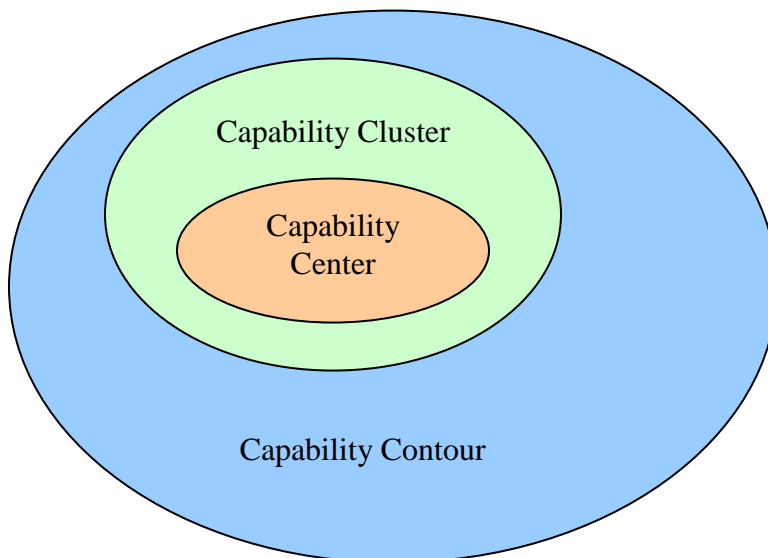

Diagram 2.3.3

Now, with regard to your "capability contour," think about the following questions:

Question: Have all of the Federal, state, local, tribal and private stakeholders within my "capability contour" built partnerships with each other?

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Question: Have all of the Federal, state, local, tribal, and private stakeholders within my "capability contour" shared with each other their respective homeland security preparedness capabilities?

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Question: Have all of the Federal, state, local, tribal and private stakeholders within my "capability cluster" worked collaborative to identify gaps in homeland security preparedness within our "capability center" (conducted a gap analysis)?

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Question: Do all of the Federal, state, local, tribal and private stakeholders within my "capability contour" collaborate and communicate?

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In order to achieve homeland security regionalization, your answers to these questions must ultimately be "yes."

Poll Question: Who believes that at the present time you can answer all of the above questions with a "yes," with regard to your "capability contour"?

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KEY NOTABLE: In order to achieve homeland security regionalization, your answers to all three Poll Questions must ultimately be "yes."

Most likely, you have found during this exercise that as you slide along the continuum from "capability center" to "capability cluster" to "capability contour," there is a drop-off in the number of partnerships, the extent of information sharing and analyses, and the frameworks for collaboration and communication among the Federal, state, local, tribal, and private stakeholders. You should note that this drop-off poses a gap to our homeland security preparedness because if a major event or hazard occurs, it will most likely impact not only your "capability center" but also your "capability cluster" and your "capability contour." Regionalization can eliminate this drop-off, and therefore, help eliminate any gaps in our homeland security preparedness.

The following modules will cover the general tenets of regionalization, background information on regional stakeholders, and the start-up procedures for regionalization.

After you have completed this course, you will be better prepared for the subsequent workshop-based courses that will be formatted to specifically meet the needs of your region – which will be based on your responses in this course. The workshop- based courses will provide hands-on training on how to further establish and expand the homeland security regionalization initiative for your region, through the use of a regionalization case-study.

2.4:   Module 2 Wrap-Up

Building upon the 9/11 scenario, this module presents the concept of "capabilities-based planning" and provides participants with the CAM 3C method (Capability Center, Cluster, and Contours), which they can use to define their region and the stakeholders involved in their initiative to meet target capabilities.

Can you:

2-1   Define capabilities-based planning?

2-2   List the threats most likely to occur in your region?

2-3   Define a "Capability Center, Cluster and Contour" and explain how this concept relates to regional collaboration?

2.5:   Next Steps

Based on what you have learned in this module about threats, risks, vulnerabilities, and capabilities-based planning, what potential "Next Steps" can you identify for creating, expanding, or sustaining a homeland security regionalization initiative in your community?"

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Module 3- Administration Page

Duration

90 Minutes (1.5 Hours)   10:30 AM – 12:00 PM

Scope Statement

The scope of this module is to provide participants with historical background information on homeland security policies and procedures and an overview of the general tenets of homeland security regionalization, to help them better understand the need for homeland security capabilities and preparedness regionalization, with an emphasis on identifying the homeland security interdependencies, vulnerabilities, and protective measures specific to their region. Doctrines and policies relevant to homeland security regionalization discussed in this module include The National Strategy for Homeland Security; Homeland Security Presidential Directives (HSPD) 5, 7, and 8; The National Preparedness Guidelines; The National Response Framework; The National Incident Management System; The Stafford Act (PL 93-288), and EMAC. Building upon this background information, participants utilize a hypothetical network failure to consider regional collaboration in regard to the concept of homeland security interdependencies, vulnerabilities, and protective incentives.

Terminal Learning Objectives (TLO)

At the conclusion of this module, participants will be able to explain the need for homeland security regionalization as it pertains to existing homeland security doctrines and policies and to the unique interdependencies, vulnerabilities, and protective incentives within their region..

Enabling Learning Objectives (ELO)

At the conclusion of this module, participants should be able to:

3-1   Identify the relevance of HSPD 5, 7,and 8, NIMS, The Stafford Act, and EMAC, in regard to homeland security regionalization initiatives

3-2   Identify the major elements of The National Preparedness Guidelines

3-3   Recognize the five response principles identified in The National Response Framework

3-4   List the homeland security interdependencies, vulnerabilities, and protective incentives within their region

3-5   Describe the need for homeland security regionalization

Materials

- Participant Guide
- Resource Handbook
- Name cards, notepaper, pens/pencils
- Participant Worksheets

Instructor-to-Participant Ratio
1:20

Reference List

- Keynote Address by Chertoff to 2006 G&T National Conference
- The National Strategy fro Homeland Security
- HSPD-5
- HSPD-7
- HSPD-8
- The National Preparedness Guidelines
- The National Response Framework
- The National Incident Management System (NIMS)
- The National Infrastructure Protection Plan (NIPP)
- The Stafford Act
- Emergency Management Assistance Compact (EMAC)
- Critical Foundations: Protecting America's Infrastructures, 1997
- Infrastructure Interdependencies and Homeland Security, 2005
- The Protected Critical Infrastructure Information (PCII)
- The Constellation/Automated Critical Asset Management System (C/ACAMS).
- CI/KR Asset Protection Technical Assistance Program (CAPTAP)
- Lesson Learned Information Sharing System (LLIS)

Practical Exercise Statement

Participants will engage in large and small group discussion and list state, local, and tribal homeland security doctrines or policies in their region and homeland security interdependencies, vulnerabilities, and protective incentives in response to hypothetical situation, sections 2 and 3 on the Participant Worksheet. At the close of this module – and all other modules – participants will reflect on what they have learning this module to identify possible "Next Steps" for creating, expanding, and sustaining homeland security regionalization initiatives within their region.

Assessment Strategy

Learning will be assessed in the course through an evaluation of the pre-test and a post-test, Participant Worksheets, and instructor observation. Participants will also self-assess their learning, as they complete the "Next Steps" reflective exercise at the close of each module.

Participant's Note:

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Module 3: The Need for Regionalization

In this module we will explore the need for homeland security regionalization. This module will focus upon identifying the interdependencies, vulnerabilities, and protective incentives within your region, with regard to homeland security regionalization. This module will provide an historical perspective on homeland security regionalization, through a brief review of major homeland security doctrines and polices and review of general tenets about homeland security regionalization.

Terminal Learning Objectives (TLO)

At the conclusion of this module, participants will be able to explain the need for homeland security regionalization as it pertains to existing homeland security doctrines and policies and to the unique interdependencies, vulnerabilities, and protective incentives within their region.

Enabling Learning Objectives (ELO)

At the conclusion of this module, participants should be able to:

3-1   Identify the relevance of HSPD 5, 7,and 8, NIMS, The Stafford Act, and EMAC, in regard to homeland security regionalization initiatives

3-2   Identify the major elements of The National Preparedness Guidelines

3-3   Recognize the five response principles identified in The National Response Framework

3-4   List the homeland security interdependencies, vulnerabilities, and protective incentives within their region

3-5   Describe the need for homeland security regionalization

3.1:   General Tenets About Homeland Security Regionalization

The Department of Homeland Security ("DHS") has increased its focus on homeland security capabilities and preparedness regionalization. The Secretary of Homeland Security, Michael Chertoff[1] (2006), has succinctly stated the rationale for this increased focus as follows:

> We know that threats don't comfortably come confined to the political line drawing that describes what falls within one political jurisdiction or another political jurisdiction. Threats are risk-based, and the consequences of threats are region-based. And that means we have to look regionally at what we [are] doing to deal with risk. And of course, that was vividly exhibited on September 11th and in Katrina, where the spill-over effect of an event in one jurisdiction was acutely felt in multiple other jurisdictions. So we've begun to look at regionalization as an important positive element in determining where we put money.

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[1] Keynote Address by Secretary of Homeland Security Michael Chertoff to the 2006 Grants & Training National Conference. Retrieved September 23, 2008 from the DHS website at http://www.dhs.gov/xnews/speeches/sp_1164738645429.shtm

It is clear from Secretary Chertoff's statement that there are two underlying reasons giving rise to the increased focus on regionalization. The first is that the occurrence of a major event such as a natural disaster, man-made disaster or terrorist attack is usually not jurisdiction specific. The second reason is that the consequences of a major event such as a natural disaster, man-made disaster, or terrorist attack are usually not jurisdiction specific.

Logic, therefore, dictates that as neither the occurrence nor consequences of a major event such as a natural disaster, man-made disaster, or terrorist attack is jurisdiction specific; then our capabilities and preparedness for such a major event should also not be jurisdiction specific. Instead, our capabilities and preparedness must be aligned across multiple jurisdictions. By achieving such an alignment, we are better prepared to prevent, protect against, respond to and/or recover from a major event such as a natural disaster, man-made disaster, or terrorist attack that strikes multiple jurisdictions. The achievement of this alignment is the achievement of regionalization.

Our mission, therefore, is to figure out how best to initiate this alignment in the regions within which we live and to then sustain and continually expand that alignment until one day in the not-so-distant future, this alignment is achieved across all jurisdictions in the United States. The following comment from Security Chertoff[2] (2006) provides us with invaluable insight into our mission:

> We all have to work together to protect our communities and our country, and we have to do it not by mandates from the top down but by networking from the bottom up, community by community, state by state, and throughout the Federal government. Effective preparedness requires teamwork across all levels of the government and society, and it requires joint planning, coordination, training and execution. We have to have a common approach, a coordinated approach, across all of the phases of what we have to do to create homeland security – prevention, protection, response and recovery.

From this comment, we learn that at the core of our regionalization mission are partnerships which we must build at our grass roots and then extend outward and upward. The social fundamentals that must drive the initiation of those partnerships were characterized by Secretary Chertoff with words and phrases such as:

- "Work Together"
- "Teamwork"
- "All Levels of Government and Society"
- "Joint Planning, Coordination, Training and Execution"
- "A Common Approach, A Coordinated Approach"

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[2] Keynote Address by Secretary of Homeland Security Michael Chertoff to the 2006 Grants & Training National Conference. Retrieved September 23, 2008 from the DHS website at http://www.dhs.gov/xnews/speeches/sp_1164738645429.shtm

Key Notable: By analogy, every stakeholder in a region must have an "understanding" about the capabilities and preparedness for that stakeholder's region. The only way for every stakeholder to attain that "understanding" is for all of them to be involved in the initiative. If, however, every stakeholder is not involved in the regionalization initiative, then not only will the non-involved stakeholders not have an "understanding" of the capabilities and preparedness for the region, but also the other stakeholders will not have a complete understanding of the capabilities and preparedness for the region because the information from the non-involved stakeholders will not be known by the other stakeholders. Such a lack of "understanding" translates into homeland security gaps.

Notes:

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Noticeably, these words and phrases consistently manifest the importance of involving all of the stakeholders in a region in a regionalization initiative for that region.

As a wise Native American proverb extols:

> Tell me . . . I will forget
> Show me . . . I will remember
> Involve me . . . I will understand

For the remainder of this training module, we will preview some of the specific doctrines and policies relevant to homeland security regionalization. An understanding of the existence and content of these doctrines and policies will better enable you to build partnerships with the other stakeholders in your region during the course of your regionalization initiative. We will conclude this module with a discussion about homeland security interdependencies, vulnerabilities and protection incentives. As with the doctrines and policies, an understanding of interdependencies, vulnerabilities and protection incentives will better enable you to build partnerships with the other stakeholders in your region during your regionalization initiative.

3.2:   Doctrines and Policies Relevant to Regionalization

In pursuing a regionalization initiative, it is important that you have an understanding about certain homeland security doctrines and policies that are particularly relevant to homeland security regionalization. Although it is not within the scope of this course to examine the specifics of all such doctrines and policies, we will overview a number of those doctrines and policies to help you attain an understanding of their existence and general contents. The doctrines and policies to be overviewed herein include:

- The National Strategy for Homeland Security
- Homeland Security Presidential Directive 5 (HSPD-5)
- Homeland Security Presidential Directive 7 (HSPD-7)
- Homeland Security Presidential Directive 8 (HSPD-8)
- The National Preparedness Guidelines
- The National Response Framework
- The National Incident Management System (NIMS)
- The National Infrastructure Protection Plan (NIPP)
- Stafford Act (PL 93-288)
- Emergency Management Assistance Compact (EMAC)

3.2.1:   The National Strategy for Homeland Security

The National Strategy for Homeland Security[3] was originally issued in July 2002 and was recently updated in October 2007 to fully integrate an all-hazards approach to homeland security. DHS has summarized The National Strategy for Homeland Security as follows:

The National Strategy for Homeland Security guides, organizes, and unifies our Nation's homeland security efforts. Homeland security is a responsibility shared across our entire Nation, and the Strategy provides a common framework for the following four goals:

- Prevent and disrupt terrorist attacks
- Protect the American people, our critical infrastructure, and key resources
- Respond to and recover from incidents that do occur
- Continue to strengthen the foundation to ensure our long-term success

This updated Strategy, which builds directly from the first National Strategy for Homeland Security issued in July 2002, reflects our increased understanding of the terrorist threats confronting the United States today incorporates lessons learned from exercises and real-world catastrophes – including Hurricane Katrina – and proposes new initiatives and approaches that will enable the Nation to achieve our homeland security objectives.

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[3] To view, visit DHS website at http://www.dhs.gov/xlibrary/assets/nat_strat_homelandsecurity_2007.pdf

The National Strategy for Homeland Security includes a number of initiatives and approaches. Among those initiatives and approaches include the following efforts to ensure long-term viability for the Strategy:

- Continuing to develop the discipline of risk management
- Developing a culture of preparedness
- Establishing and institutionalizing the nation's homeland security management system
- Developing state-of-the-art homeland security science and technology
- Developing a NIMS-based comprehensive approach to incident management at the Federal, state, local and tribal levels

3.2.2:   HSPD-5

Homeland Security Presidential Directive-5[4] (HSPD-5) is a directive that pertains to the management of domestic incidents. HSPD-5 identifies steps for improved coordination in response to incidents. It requires coordination between DHS and other Federal departments and agencies, as well as State, local, and tribal governments.

3.2.3:   HSPD-7

Homeland Security Presidential Directive -7[5] (HSPD-7) is a directive that establishes a national policy for identifying and prioritizing critical infrastructure and key resources, and for protecting them from terrorist attacks.

3.2.4   HSPD-8

Homeland Security Presidential Directive-8[6] (HSPD-8) called for a National Preparedness Goal to establish measurable priorities, targets, and a common approach to developing capabilities. The National Preparedness Goal utilizes 'Capabilities-based Planning' to "establish measurable priorities, targets, and a common approach to developing needed capabilities." HSPD-8 is the policy, the National Preparedness Goal is the doctrine that sets out how national preparedness is going to work, and the product of these two are the "target capabilities." HSPD-8 is a directive that pertains to national preparedness and establishes policies to strengthen preparedness capabilities of Federal, State, tribal and local entities. It also establishes mechanisms for improved delivery of Federal preparedness assistance to State, tribal and local governments.

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[4] Press Release HSPD-5. Retrieved September 25, 2008 from The White House website at
http://www.whitehouse.gov/news/releases/2003/02/20030228-9.html
[5] Press Release HSPD-7 Retrieved September 25, 2008 from the White House website at
http://www.whitehouse.gov/news/releases/2003/12/20031217-
[6] Press Release HSPD-8. Retrieved September 25, 2008 from The White House website at
http://www.whitehouse.gov/news/releases/2003/12/20031217-6.html

3.2.5:   The National Preparedness Guidelines

The National Preparedness Guidelines[7] (the "Guidelines") were published in 2007. The purposes of the Guidelines are to:

- Organize and synchronize national (including Federal, state, local, and tribal) efforts to strengthen national preparedness
- Guide national investments in national preparedness
- Incorporate lessons learned from past disasters into national preparedness priorities
- Facilitate a capability-based and risk-based investment planning process
- Establish readiness metrics to measure progress and a system for assessing the nation's overall preparedness capability to respond to major events, especially those involving acts of terrorism

The Guidelines consist of four critical elements. Those critical elements are as follows:

The National Preparedness Vision, which provides a concise statement of the core preparedness goal for the Nation.

1. The National Planning Scenarios, which depict a diverse set of high-consequence threat scenarios of both potential terrorist attacks and natural disasters. Collectively, the 15 scenarios are designed to focus contingency planning for homeland security preparedness work at all levels of government and with the private sector. The scenarios form the basis for coordinated Federal planning, training, exercises, and grant investments needed to prepare for emergencies of all types.

2. The Universal Task List (UTL), which is a menu of some 1,600 unique tasks that can facilitate efforts to prevent, protect against, respond to, and recover from the major events that are represented by the National Planning Scenarios. It presents a common vocabulary and identifies key tasks that support development of essential capabilities among organizations at all levels. Of course, no entity will perform every task.

3. The Target Capabilities List (TCL), which defines 37 specific capabilities that communities, the private sector, and all levels of government should collectively possess in order to respond effectively to disasters.

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[7] To view, visit DHS website at To view, go to DHS website at
http://www.dhs.gov/xlibrary/assets/National_Preparedness_Guidelines.pdf

As stated in the National Preparedness Guidelines (2007, p. 30):

> Capabilities-Based Preparedness is a way to make informed choices about how to manage the risk and reduce the impact posed by potential threats. It focuses decision making on building and maintaining capabilities to prevent and protect against challenges (e.g., intelligence analysis, critical infrastructure protection, etc.) and to respond and recover when events occur (e.g., onsite incident management, medical surge, emergency public information, and economic recovery). The process rests on a foundation of multi-disciplinary, cross-governmental, and regional collaboration to determine measurable capability targets, to assess current levels of capabilities, and to find ways to close the gaps. As entities make choices in preparedness programs and activities, they will be able to improve their own preparedness, focus available assistance on areas of greatest need, and collaborate with others using a common reference framework.

3.2.6:   The National Response Framework

On March 22, 2008, the National Response Framework[8] (the "Framework") replaced the National Response Plan. The Framework is a guide to how the nation conducts all-hazards incident response. It is built upon flexible, scalable and adaptable coordinating structures to align key roles and responsibilities across the nation. It is intended to capture specific authorities and best practices for managing incidents that range from the serious but purely local, to large-scale terrorist attacks or catastrophic natural disasters.

The Framework has been summarized by the Federal Emergency Management Agency ("FEMA") as follows:

> The Framework presents an overview of key response principles, roles, and structures that guide the national response. It describes how communities, States, the Federal Government and private-sector and nongovernmental partners apply these principles for a coordinated, effective national response. And, it describes special circumstances where the Federal Government exercises a larger role, including incidents where Federal interests are involved and catastrophic incidents where a State would require significant support. Its real value, however, is in how these elements come together and are implemented by first responders, decision-makers, and supporting entities to provide a unified national response.

> The Framework is written for senior elected and appointed leaders, such as Federal agency heads, State Governors, tribal leaders, mayors or city managers – those who have a responsibility to provide for effective incident management. At the same time, it informs emergency management practitioners, explaining the operating structures and tools used routinely by first responders and emergency managers at all levels of government.

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Moreover, the Framework identifies five response principles that should be incorporated into your homeland security regionalization initiative. Those principles are:

- **Engaged Partnership**: Leaders at all levels must communicate and actively support engaged partnerships by developing shared goals and aligning capabilities so that no one is overwhelmed in times of crisis.

- **tiered Response:** Incidents must be managed at the lowest possible jurisdictional level and supported by additional capabilities when needed.

- **Scalable, Flexible, and Adaptable Operational Capabilities**: As incidents change in size, scope, and complexity, the response must adapt to meet requirements. Given its flexibility and scalability, the National Response Framework is always in effect and elements can be implemented at any level and at any time.

- **Unity of Effort Through Unified Command**: Effective unified command is indispensable to response activities and requires a clear understanding of the roles and responsibilities of each participating organization.

- **Readiness To Act:** Effective response requires readiness to act balanced with an understanding of risk. From individuals, households, and communities to local, tribal, state, and Federal governments, national response depends on the instinct and ability to act.

Importantly, the response principles of the Framework and the Framework as a whole, specifically includes tribes. In an overview to the Framework, the importance of this inclusion of tribes has been summarized as follows:

> Tribal organizations respond to the same range of emergencies and disasters that other jurisdictions face. They may require assistance from neighboring jurisdictions under mutual aid agreements and may provide assistance as well. The United States recognizes Indian tribes as domestic independent nations under its protection and recognizes the right of Indian tribes to self-government. As such, tribes are responsible for coordinating tribal resources to address actual or potential incidents. When their resources are exhausted, tribal leaders seek assistance from States or even the Federal Government. Although Federal law mandates that the Federal Government deal with Indian tribes on a government-to-government basis, a tribe may opt to deal directly with State and local officials. However, in order to obtain Federal assistance, a State Governor must request a Presidential declaration on behalf of a tribe."

3.2.7:   The National Incident Management System

The National Incident Management System[9] ("NIMS") provides a consistent nationwide approach for Federal, state, local and tribal governments to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. The benefits of NIMS include the following:

- A unified approach to incident management
- Standard command and management structures
- An emphasis on preparedness, mutual aid and resource management

Central to NIMS is the Incident Command System ("ICS"). ICS is a standardized, on-scene, all-hazard incident management system. ICS allows its users to adopt an integrated organizational structure to match the needs and demands of large or multiple incidents without being hindered by jurisdictional boundaries. The system is designed to allow a variety of agencies and personnel to join rapidly into a unified management structure. ICS is designed to be inter-disciplinary and organizationally flexible. It is a plug and play system (in terms of people and modules). Thus, it is also a good system to manage non-emergency events like parades, fairs, and other types of mass gatherings.

3.2.8:   The National Infrastructure Protection Plan (NIPP)

The National Infrastructure Protection Plan[10] (NIPP) and supporting Sector-Specific Plans (SSPs) provide a coordinated approach to critical infrastructure and key resources (CIKR) protection roles and responsibilities for federal, state, local, tribal, and private sector security partners. The NIPP sets national priorities, goals, and requirements for effective distribution of funding and resources which will help ensure that our government, economy, and public services continue in the event of a terrorist attack or other disaster.

The plan is based on the following.

- Strong public-private partnerships which will foster relationships and facilitate coordination within and across CIKR sectors
- Robust multi-directional information sharing which will enhance the ability to assess risks, make prudent security investments, and take protective action
- Risk management framework establishing processes for combining consequence, vulnerability, and threat information to produce a comprehensive, systematic, and rational assessment of national or sector risk

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[9] Information retrieved September 24, 2008 from FEMA website at
http://www.fema.gov/pdf/emergency/nims/nims_doc_full.pdf
[10] Information retrieved September 25, 2008 from DHS website at www.dhs.gov/nipp

3.2.9:   Stafford Act

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288), as amended, describes the programs and processes by which the Federal government provides disaster and emergency assistance to State and local governments, Tribal nations, eligible non-profit organizations, and individuals affected by a declared major disaster or emergency. The Stafford Act provides for funding that flows-through the States. The Stafford Act covers all hazards, including natural disasters and events.

3.2.10:   EMAC

EMAC[11], the Emergency Management Assistance Compact, is a congressionally ratified organization that provides form and structure to interstate mutual aid. Through EMAC, a disaster impacted state can request and receive assistance from other member states quickly and efficiently, resolving two key issues upfront: liability and reimbursement.

EMAC is the first national disaster-relief compact since the Civil Defense and Disaster Compact of 1950 to be ratified by Congress. Administered by The National Emergency Management Association (NEMA), EMAC serves as the cornerstone of mutual aid.   Since being ratified by Congress and signed into law, in 1996, (Public Law 104-321), all 50 states, the District of Columbia, Puerto Rico, Guam, and the US Virgin Islands have enacted legislation to become members of EMAC.

Each year, one state is responsible for carrying out EMAC responsibilities. There is always a back-up state, in case the host state is incapacitated by disaster. The host responsibilities shift each year.

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[11] Information retrieved September 25, 2008 from the EMAC website at http://www.emacweb.org/

EMAC offers the following benefits:

- EMAC assistance may be more readily available than other resources.
- EMAC allows for a quick response to disasters using the unique human resources and expertise possessed by member states.
- EMAC offers state-to-state assistance during Governor declared state of emergencies: EMAC offers a responsive and straightforward system for states to send personnel and equipment to help disaster relief efforts in other states. When resources are overwhelmed, EMAC helps to fill the shortfalls.
- EMAC establishes a firm legal foundation: Once the conditions for providing assistance to a requesting state have been set, the terms constitute a legally binding contractual agreement that make affected states responsible for reimbursement. Responding states can rest assured that sending aid will not be a financial or legal burden and personnel sent are protected under workers compensation and liability provisions. The EMAC legislation solves the problems of liability and responsibilities of cost and allows for credentials to be honored across state lines.
- EMAC provides fast and flexible assistance: EMAC allows states to ask for whatever assistance they need for any type of emergency, from earthquakes to acts of terrorism. EMAC's simple procedures help states dispense with bureaucratic wrangling.
- EMAC can move resources other compacts can't - like medical resources.

(Worksheet) Discussion Question: Are there any specific State, local or Tribal homeland security doctrines or policies in your region?

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3.3:   Interdependencies, Vulnerabilities, and Protection Incentives

Interdependencies: Two or more jurisdictions, capabilities or sectors of critical infrastructure that are mutually dependent

Vulnerabilities: Any capability or preparedness weakness that can be exploited or that is susceptible to hazard damage

Protective Incentives: Motivating factors for implementing measures to safeguard the vulnerabilities that exist within interdependencies

The U.S. Power Grid System

In pursuing a regionalization initiative, it is imperative that you have an understanding about homeland security interdependencies, vulnerabilities and protection incentives – particularly with regard to the interdependencies, vulnerabilities and protection incentives that exist within your region. We will discuss each in turn.

3.3.1:   Interdependencies

Homeland security interdependencies exist whenever two or more jurisdictions, capabilities or sectors of critical infrastructure are mutually dependent upon each other. The importance of these interdependencies lies in the fact that logic dictates that if one fails, the other will also fail to some extent. For instance, with regard to critical infrastructure interdependencies, the President's Commission on Critical Infrastructure Protection[12] (1997) has explained as follows:

> Our national defense, economic prosperity, and quality of life have long depended on the essential services that underpin our society. These critical infrastructures—energy, banking and finance, transportation, vital human services, and telecommunications—must be viewed in a new context in the information age. The rapid proliferation and integration of telecommunications and computer systems have connected infrastructures to one another in a complex network of interdependence.

This interlinkage has created a new dimension of vulnerability, which, when combined with an emerging constellation of threats, poses unprecedented national risk.

Now think, for example, about the United States' electric power utility. Did you ever consider the homeland security interdependencies within that utility? Professor Yacov Haimes[13] (2005, p. 65) of the University of Virginia has explained the utility and its interdependencies as follows:

Consider the U.S. electric power utility, which is a large-scale, hierarchical, and interconnected system. At the national level, it consists of three main power grids: 1) the Eastern Interconnected System, covering the eastern two-thirds of the United States; 2) the Western Interconnected System, covering the southwest and areas west of the Rocky Mountains; and 3) the Texas Interconnected System, consisting mainly of Texas.

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[12] President's Commission on Critical Infrastructure (1997). Critical Foundations: Protecting America's Infrastructure. Retrieved September 25, 2008 at
www.ihs.gov/misc/links_gateway/download.cfm?doc_id=327&app_dir_id=4&doc_file=PCCIP_Report.pdf
[13] Haimes, Jacov (2005) Infrastructure Interdependencies and Homeland Security. Retrieved September 23, 2008 from:
http://www.healthsystem.virginia.edu/internet/ciag/conference/articles/s2006/haimes_infrastructure_interdependencies_and_homeland_security.pdf

At the network level, each network, as its name implies, is an interconnected system in itself, comprising numerous generators, distribution and control centers, transmission lines, converters, and other elements. Proper functioning of these interacting components is crucial to the continuous operation of the entire power system. In addition to its essential internal dependency, the U.S. power system is externally dependent upon other infrastructure systems, notably telecommunications, fuel supply, and transportation, to name a few.

From Professor Haimes explanation, it is apparent that the United States electric power utility is comprised of the following hierarchy.

- The overall system
- The three power grids that comprise the overall system
- Several networks within each power grid
- Numerous generators, distribution and control centers, transmission lines, converters, and other elements that comprise each network

Needless to say, if there is a failure at one level in the hierarchy, it will cause cascading failure effects across the other levels of the hierarchy.

Discussion Hypothetical: Let us take the United States electric utility example a step further by assuming that there are state, local and tribal stakeholders who all directly depend upon a given network within that system. Now suppose that that network fails. Who does this network failure impact?

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The answer to this hypothetical is not as simple as one might think. That is, this failure will not only impact the state, local and tribal stakeholders who all depend directly upon that network; but it may also impact on a lesser scale other state, local and tribal stakeholders who rely upon a network that is interlinked with the network that failed.

Now, for purposes of your regionalization initiative, you should be particularly concerned about your regional interdependencies – that is, the interdependencies that exist between the jurisdictions, capabilities or sectors of critical infrastructure located within your region.

(Worksheet) Discussion Question: What interdependencies for this region can you identify (i.e., in the region wherein the course is being administered)?

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3.3.2:   Vulnerabilities

Homeland security vulnerabilities are any capability or preparedness weaknesses that can be exploited by an aggressor, or in a non-terrorist threat environment, make an asset susceptible to hazard damage. Such vulnerabilities are a characteristic of the design, location, or operation of an asset, and may include such things as the following.

- Critical functions or systems that lack redundancy and if damaged would result in immediate organization disruption or loss of capacity
- Redundant systems feeding into a single critical node
- Critical components of redundant systems collocated
- Inadequate capacity or endurance in post-attack environment

Think back, for example, to the United States' electric power utility that we discussed in the context of interdependencies. The vulnerabilities in that system may include the following (among others).

- All of the points of interlinkage between the grids that comprise the system
- All of the points of interlinkage between the networks that comprise each grid
- All of the numerous elements that comprise each network

Needless to say, as there was a hierarchy to the interdependencies within the utility, there is also a hierarchy to the vulnerabilities. Moreover, in understanding homeland security vulnerabilities, it is important to not confuse the terms threats and vulnerabilities. A threat is something that can cause harm to life, health, property or the environment; whereas, a vulnerability is a deficit in capabilities or preparedness that can be damaged or destroyed.

For purposes of your regionalization initiative, you should be particularly concerned about the homeland security vulnerabilities that exist within your regional interdependencies.

(Worksheet) Discussion Question: What vulnerabilities exist within the interdependencies that have been identified for this region (i.e., in the region wherein the course is being administered)?

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_____
_____

3.3.3:   Protection Incentives

Homeland security protection incentives pertain to the motivating factors for implementing measures to safeguard the vulnerabilities that exist within interdependencies from major events such as natural disasters, man-made disasters or terrorist attacks. The assessment of protection incentives often entails risk management through the establishment of priorities. The following comments from Secretary Chertoff exemplify this management of risk at the homeland security level:

> A terrorist attack on the two-lane bridge down the street from my house is bad, but has a relatively low consequence compared to an attack on the Golden Gate Bridge. At the other end of the spectrum, even a remote threat to detonate a nuclear bomb is a high-level priority because of the catastrophic effect. Each threat must be weighed, therefore, along with consequence and vulnerabilities. As consequence increases, we respond according to the nature and credibility of the threat and any existing state of vulnerabilities.

Think back again, for example, to the United States' electric power utility that we discussed in the context of interdependencies and vulnerabilities. In terms of managing risk with regard to this utility, the risk inherent in an attack on the vulnerability concerning an interlinkage between the grids comprising the entire system has a higher level of priority than the risk inherent in an attack on the vulnerability concerning an individual generator in one of the individual networks comprising one of the grids in the system. As such, the incentive for protecting the vulnerability concerning the interlinkage between the grids is greater than the incentive for protecting the vulnerability concerning the individual generator; for the catastrophic effect resulting from a disaster or attack that takes out the interlinkage between the grids will be greater than the catastrophic effect from a disaster or attack that takes out the individual generator.

For purposes of your regionalization initiative, you should be particularly concerned about protecting the vulnerabilities that exist within your regional interdependencies and that have the highest risk of threat from a disaster or attack that would result in the greatest catastrophic effect to your region.

(Worksheet) Discussion Question: What protection incentives can you identify concerning the vulnerabilities that exist within the interdependencies that have been identified for this region (i.e., the region wherein the course is being administered)?

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3.4:   Programs Available to Assist in Regionalization

The Protected Critical Infrastructure Information (PCII)[14]

The Protected Critical Infrastructure Information (PCII) Program is an information-protection program that enhances information sharing between the private sector and the government. The Department of Homeland Security and other Federal, state and local analysts use PCII to:

- Analyze and secure critical infrastructure and protected systems
- Identify vulnerabilities and develop risk assessments
- Enhance recovery preparedness measures

The Constellation/Automated Critical Asset Management System (C/ACAMS)[15]

The Constellation/Automated Critical Asset Management System (C/ACAMS) is a Web-enabled information services portal that helps state and local governments build critical infrastructure/key resource (CIKR) protection programs in their local jurisdictions.

C/ACAMS provides a set of tools and resources that help law enforcement, public safety and emergency response personnel with the following.

- Collect and use CIKR asset data
- Assess CIKR asset vulnerabilities
- Develop all-hazards incident response and recovery plans
- Build public-private partnerships

Using C/ACAMS also provides state and local jurisdictions with a practical way to implement the National Infrastructure Protection Plan (NIPP), including the NIPP Risk Management Framework.

Key Features include the following.

- Programmable, role-based access
- Comprehensive CIKR asset inventory, inventory management and assessment tools
- Sector-specific protective measure recommendations for each Homeland Security Advisory System (HSAS) level
- Automatically generated standard and customized reports
- Built-in Asset Manager Questionnaires
- Built-in Buffer Zone Plan development tools
- Department-approved CIKR asset taxonomy classification tool
- Access to live and historical law enforcement and counter-terrorism news feeds

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[14] Retrieved September 18, 2008 from DHS website: Htp://www.dhs.gov/xinfoshare/programs/editorial_0404.shtm
[15] Retrieved September 19, 2008 from DHS website:
http://www.dhs.gov/xinfoshare/programs/gc_1190729724456.shtm

- Integrated robust mapping and geospatial functionality using the Integrated Common Analytical Viewer (iCAV)
- Comprehensive electronic CIKR reference document library
- Approved for Protected Critical Infrastructure Information (PCII) storage

CI/KR Asset Protection Technical Assistance Program (CAPTAP)[16]

The CIKR Asset Protection Technical Assistance Program (CAPTAP) is offered jointly by the Department of Homeland Security's Office of Infrastructure Protection (OIP) and the Federal Emergency Management Agency's National Preparedness Directorate (NPD) to assist state and local first responders, emergency managers and homeland security officials understand:

- The basic tenets of the National Infrastructure Protection Plan (NIPP)
- The value of a comprehensive state and local infrastructure protection program
- The steps required to develop and implement such a program

The CAPTAP curriculum also includes instruction on the use of the Constellation/Automated Critical Asset Management System (C/ACAMS) as a tool to support infrastructure protection programs. The CAPTAP is a 36-hour technical assistance (TA) service designed to foster an understanding of the processes and methodologies applied in developing and implementing infrastructure protection programs, as well as some resources available to state and local partners to build effective infrastructure protection programs. The CAPTAP service covers the following topics:

- Developing and implementing a infrastructure protection program
- Conducting infrastructure site assessments
- Using the Constellation and ACAMS tools

Lessons Learned Information Sharing System (LLIS)[17]

Protecting our nation against the threat of terrorism is an increasingly complex mission. Homeland security stakeholders, activities, exercises, and training programs are growing. Everyday, front-line responders at the local, state, and federal levels are creating new and innovative best practices to prevent, prepare for, respond to, and recover from acts of terrorism and other disasters. Exercises and real-world incidents have produced valuable lessons learned for emergency responders—lessons that are often obscured or glossed over in "official" after-action reports.

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[16] Retrieved September 22, 2008 from DHS website at:
http://www.dhs.gov/xinfoshare/programs/gc_1195679577314.shtm
[17] Retrieved from the LLIS factsheet: retrieved September 20, 2008 from
http://www.ojp.usdoj.gov/odp/docs/LLIS_FactSheet.pdf. LLIS website: www.llis.gov

To fill this critical gap, the National Memorial Institute for the Prevention of Terrorism (MIPT) in Oklahoma City, OK developed the Lessons Learned Information Sharing (LLIS.gov). LLIS.gov is a national on-line network of lessons learned and best practices designed to help emergency response providers and homeland security officials prevent, prepare for, respond to, and recover from all hazards, including terrorism. LLIS.gov will enhance national preparedness by allowing response professionals to tap into a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

Group Discussion: Based on what we have covered in this module, how would you explain the need for regionalization?

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3.5:   Module 3 Wrap-Up

This module provided an historical background on homeland security policies and procedures and an overview of the general tenets of homeland security regionalization, to help participants better understand the need for homeland security capabilities and preparedness regionalization, with an emphasis on identifying the homeland security interdependencies, vulnerabilities, and protective measures specific to their region. Doctrines and policies relevant to homeland security regionalization were discussed in this module including The National Strategy for Homeland Security; Homeland Security Presidential Directives (HSPD) 5, 7, and 8; The National Preparedness Guidelines; The National Response Framework; The National Incident Management System; The Stafford Act (PL 93-288), and EMAC. Building upon this information, participants utilized a hypothetical network failure to consider regional collaboration in regard to the concept of homeland security interdependencies, vulnerabilities, and protective incentives.

Can you:

3-1   Identify the relevance of HSPD 5, 7,and 8, NIMS, The Stafford Act, and EMAC, in regard to homeland security regionalization initiatives

3-2   Identify the major elements of The National Preparedness Guidelines

3-3   Recognize the five response principles identified in The National Response Framework

3-4   List the homeland security interdependencies, vulnerabilities, and protective incentives within their region

3-5   Describe the need for homeland security regionalization

3.6: Next Steps

Based on what you have learned in this module, what potential "Next Steps" can you identify for creating, expanding, or sustaining a homeland security regionalization initiative in your community?

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Module 4 Administration Page

Duration

120 Minutes (2 Hours)   1:15 PM – 3:15 PM

Scope Statement

The scope of this module is to provide participants with background information for working with the various types of stakeholders who may have an interest in a homeland security regionalization initiative, including Tribal and non-Tribal stakeholders. This module includes an overview of Public Laws 93-638 and 83-280 and insights about the decision making process of each type of stakeholder.

Terminal Learning Objectives (TLO)

At the conclusion of this module, participants will be able to identify the best practices, common pitfalls, and additional insights for working with various stakeholders**.**

Enabling Learning Objectives (ELO)

At the conclusion of this module, participants will be able to:

4-1   Recognize how PL93-638 relates to homeland security regionalization initiatives

4-2   Recognize how PL 83-280 relates to homeland security regionalization initiatives

4-3   List the Tribal stakeholders within their region and the best practices, common pitfalls, and additional insights for working with these stakeholders

4-4   List the non-Tribal stakeholders within their region and the best practices, common pitfalls, and additional insights for working with these stakeholders

Materials

- Participant Guide
- Resource Handbook
- Participant Worksheets

Instructor-to-Participant Ratio

1:20

Reference List

- Public Law 93-638 (PL-638
- Public Law 83-280 (PL-280)
- Public Law 280 and Law Enforcement in Indian Country – Research Priorities. USDDOJ, OJP, NIJ, December. 2005

Practical Exercise Statement

Participants will engage in large and small group discussion, brainstorm, and list best practices, common pitfalls to avoid, and tidbits about the decision making process of working with the Tribal, Federal, state, local, and private or non-governmental stakeholders within their region and record their findings in their Participant Guide. At the close of this module – and all other modules – participants will reflect on what they have learned in this module to identify possible "Next Steps" for creating, expanding, and sustaining homeland security regionalization initiatives within their region.

Assessment Strategy

Learning will be assessed in the course through an evaluation of the pre-test and a post-test, Participant Worksheets, and instructor observation. Participants will also self-assess their learning, as they complete the "Next Steps" reflective exercise at the close of each module.

Participant's Note:

Module 4: Introductions

There are a number of different types of stakeholders that are important to a homeland security regionalization initiative. For purposes of our training, these types of stakeholders will be broadly characterized as tribal stakeholders and non-tribal stakeholders. Tribal stakeholders are comprised of all Federally-recognized tribes; while non-tribal stakeholders are comprised of all Federal, state, and local governmental stakeholders, as well as private or non-governmental stakeholders. The characterization of stakeholders as tribal and non-tribal is reasonable given the unique sovereign status of the tribes that comprise the tribal stakeholders.

In organizing and in otherwise participating in a regionalization initiative, it is important to attain some background information on the various types of stakeholders, so that you are in a better position to communicate, collaborate, and cooperate with each type of stakeholder with an interest in your region. As such, during the remainder of this training module you will be provided with information, and be provided with discussion opportunities, pertaining to the various types of stakeholders in a regionalization initiative, with particular emphasis on recommended "best practices" for working with each type of stakeholder, "common pitfalls to avoid" in working with each type of stakeholder, and "tidbits" for understanding the decision-making process of each type of stakeholder. We will start with the tribal stakeholders, and conclude with the non-tribal stakeholders. As we learn about the "best practices," "common pitfalls to avoid," and "tidbits" for understanding the various stakeholders, you should pay particular attention to the recurrent recommendations concerning the importance that contact identification, communication, information and intelligence sharing, interactive drills and exercises, and time play in working with various types of stakeholders to establish a sustainable regionalization initiative.

Terminal Learning Objectives (TLO)

At the conclusion of this module, participants will be able to list the best practices, common pitfalls, and additional insights for working with various stakeholders.

Enabling Learning Objectives (ELO)

At the conclusion of this module, participants will be able to:

4-1   Recognize how PL93-638 relates to homeland security regionalization initiatives

4-2   Recognize how PL 83-280 relates to homeland security regionalization initiatives

4-3   List the Tribal stakeholders within their region and the best practices, common pitfalls, and additional insights for working with these stakeholders

4-4   List the non-Tribal stakeholders within their region and the best practices, common pitfalls, and additional insights for working with these stakeholders

4.1: Identifying Stakeholders

Stakeholder: An entity having a stake, or interest, in the success of an enterprise, business, movement, etc. An entity that is involved in or affected by a course of action.

In a homeland security regionalization initiative you will encounter a number of Tribal stakeholders who will be integral to the success of your homeland security regionalization initiative. Tribal stakeholders, for purposes of our training, include all Federally-recognized tribes that have an interest in a homeland security regionalization initiative. One of the most important attributes about Tribes is their respective sovereignty. That is, Tribes have a unique status in the United States, because each Tribe is a sovereign nation having the same legal rights of self-determination possessed by independent countries.

4.1.1: Public Law 93-638

In 1975, the Indian Self-Determination and Education Assistance Act, Public Law 93-638 ("PL 638"), was signed into law. "This landmark legislation recognized the primacy of the government-to-government relationship between the United States and sovereign tribal nations." This legislation provides the mechanism by which tribes may contract with the Federal government to perform functions in Indian country. Under PL 638, funds normally expended by the Federal government are provided to the contracting tribe to provide the contracted services. Tribes may contract for all or any portion of any service normally provided by the Federal government. Today, most law enforcement programs in Indian country are operated pursuant to a PL 638 Contract.

4.1.2: Public Law 83-280

PL 280 was a transfer of legal authority (jurisdiction) from the Federal government to state governments, which significantly changed the division of legal authority among Tribal, Federal, and State governments. Congress gave six states (five states initially - California, Minnesota, Nebraska, Oregon, and Wisconsin; and then Alaska upon statehood) extensive criminal and civil jurisdiction over Indian lands within the affected states (the so-called "mandatory states"). Public Law 280 also permitted the other states to acquire jurisdiction at their option. Public Law 280 has generally brought about the following.

- An increased role for state criminal justice systems in "Indian lands" (a term which is specifically defined in federal statutes)
- A significant diminution of the special federal criminal justice role (and a consequent diminishment of the special relationship between Indian Nations and the Federal government)
- Difficulties for individual Nations in their development of Tribal criminal justice systems
- An increased and undefined state role in civil related matters
- Consequently, Public Law 280 presents a series of important issues and concerns for Indian lands crime victims and for those involved in assisting these crime victims

It should be noted that the sovereign status of Tribes was not terminated by Public Law 83-280 ("PL 280"). PL 280 just shifted Federal jurisdiction over offenses involving Indians in Indian country in six States and gave other States an option to assume such jurisdiction. A subsequent amendment to PL 280 contained a retrocession provision, which enabled a State that had previously assumed jurisdiction over Tribes under PL 280 to return all or some of its jurisdiction to the Federal Government. PL 280 did not divest the Tribes of their inherent authority to enact and subsequently enforce tribal laws. (e.g., many Tribes in PL 280 states operate their own tribal police departments). According to a National Institute of Justice report (2005, p. ii), "Affected tribes and States have faced obstacles in complying with the statute, including jurisdictional uncertainty and insufficient funding for law enforcement."

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4.2:   Stakeholders Activity

In pursuing your regionalization initiative, it is important that you reach out to all stakeholders with a presence in your region, bearing in mind the sovereign status of Tribal stakeholders.

Representatives from several Tribal, Federal, State, Local, and private or non-governmental stakeholders were polled concerning the "best practices", "common pitfalls to avoid" and insights "Tidbits" that they would recommend for working with the stakeholders in a homeland security regionalization initiative. The recurrent recommendations from those stakeholders polled are set forth herein for our training purposes. It is important to note that the recommendations set forth herein are by no means an exhaustive list. After our review of these "best practices," though, you will have an opportunity to recommend any additional "best practices" for working with local stakeholders that you think would benefit your colleagues in this course in their respective pursuit of homeland security regionalization.

4.2.1:   Tribal Stakeholders

4.2.1.1:   Best Practices for Working with Tribal Stakeholders

It is a best practice when working with tribal stakeholders in a regionalization initiative to:

- Identify the contact person or persons with whom the tribal stakeholders are to communicate concerning regional homeland security preparedness matters. By knowing who to contact and how to contact them, the tribal stakeholders are placed in a better position to communicate with the other stakeholders in a regionalization initiative.

- Communicate regularly with each tribal stakeholder. Regular communications help to nurture and foster your relationships with the tribal stakeholder. In-person communications are especially helpful and productive. Notably, many tribal stakeholders only have limited capabilities for communicating electronically. If communicating electronically with a tribal stakeholder, then one must be cognizant, particularly in the early stages of the relationship, that written communications are sometimes misconstrued due to cultural, environmental, and/or historical differences. By having regular channels of communication with the tribal stakeholders within your region, the likelihood that your regionalization initiative will be a sustainable success are greatly increased.

- Share information and intelligence pertinent to homeland security matters. If you are unwilling to share your capabilities information and law enforcement intelligence with the tribal stakeholders in your region, then those tribal stakeholders will be less likely to share their information and intelligence with you.

- Always recognize that each tribal stakeholder is a sovereign government. Therefore, each tribal stakeholder in a regionalization initiative must be dealt with on a government-to-government basis. Failure to recognize the sovereignty of the tribal stakeholders in a regionalization initiative will cause the regionalization initiative to fail, as the tribal stakeholders will be unwilling to participate.

- Treat each tribal stakeholder with respect. Tribal stakeholders are just as important to any regionalization initiative as any non-tribal stakeholder participating in that initiative. Therefore, tribal stakeholders must be treated with the same respect with which non-tribal stakeholders are treated in a regionalization initiative.

- Provide them with an equal opportunity to host meetings and/or trainings concerning the regionalization initiative. In addition, non-tribal stakeholders in a regionalization initiative should be willing to participate in meetings and/or trainings that are hosted on tribal lands. This will in turn facilitate the willingness of tribal stakeholders to journey from their tribal lands for meetings and/or trainings hosted by non-tribal stakeholders in the regionalization initiative.

- Consider cross-jurisdiction deputization with those tribal stakeholders. For instance, it may be advantageous for certain officials of tribal stakeholders to be given certain jurisdictional rights outside of their tribal lands, in exchange for certain officials of non-tribal stakeholders being given certain jurisdictional rights inside tribal lands. Cross jurisdiction deputization promotes mutual cooperation, assistance, and collaboration between tribal stakeholders and non-tribal stakeholders in a regionalization initiative, particularly with regard to law enforcement.

- Provide the tribal stakeholders with advance notice of any meetings and/or trainings. Many tribal stakeholders have personnel and resource limitations, and therefore, they need sufficient notice to plan for their personnel to attend meetings and/or trainings, particularly if the meetings and/or trainings are being held at sites located outside of tribal lands.

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4.2.1.2:   Common Pitfalls to Avoid in Working with Tribal Stakeholders

Common pitfalls to avoid when working with tribal stakeholders in a regionalization initiative concern:

- The failure to include tribal stakeholders and to inform those tribal stakeholders of their importance in that initiative. It is important to include all of the tribal stakeholders in your region at the onset of a regionalization initiative, and to continue to include them throughout the duration of said initiative. Waiting until the middle of a regionalization initiative to include tribal stakeholders does not provide the tribal stakeholders with their due ownership in said initiative, and otherwise creates a gap in the homeland security preparedness of that region until the tribal stakeholders are included. In addition, it is important to inform tribal stakeholders of the important role that they play in homeland security preparedness within a region, so that no tribal stakeholder has a false sense of complacency with regard to homeland security.

- The failure to recognize tribal differences. If you have multiple tribes within your region, then it is important to remember that each tribe is distinct and unique. Each tribe will have its own government structure, culture, and tradition. As such, you should avoid assuming that all tribal stakeholders within your regionalization initiative are alike.

- Having a lack of sensitivity for tribal culture and tradition. Each tribal stakeholder within a regionalization initiative has its own culture and tradition, which it greatly values. Therefore, it is important to discover the culture and tradition of each tribal stakeholder in your region, and to be respectful of the same. If you can avoid being insensitive toward the culture and tradition of the tribal stakeholders in your region, then you will be better able to communicate with those tribal stakeholders.

- The failure to communicate with tribal stakeholders on a grass roots level. Communication barriers will undoubtedly arise if non-tribal stakeholders attempt to communicate with tribal stakeholders via overly elaborate language that is not native to the tribal stakeholders and that is not from a source that the tribal stakeholders trust.

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4.2.1.3: "Tidbits" about the Decision-Making Process of Tribal Stakeholders

In working with Tribal stakeholders in a regionalization initiative, it is important to remember:

- Tribal Governing Bodies Vary. Tribal stakeholders have different governing bodies. For instance, some tribal stakeholders may be governed by a tribal council, board, or business committee; while others may be governed by a single chairperson, governor or chief. Therefore, it is important to learn from the tribal stakeholders in your region about their respective governing bodies so that you will be better prepared to partner with them in your regionalization initiative.

- The decision making process within many tribal stakeholders often takes time. Many tribal stakeholders prefer to discuss and to give due consideration to matters before they grant their approval. Therefore, it is important to be patient when waiting for approval from a tribal stakeholder in a regionalization initiative.

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Learning Team Discussion Question: Who are the Tribal stakeholders within your region?

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Learning Team Discussion Question: What additional best practices can you identify for working with the Tribal stakeholders within your region?

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Learning Team Discussion Question: What additional common pitfalls to avoid in working with Tribal stakeholders can you identify?

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Learning Team Discussion Question: What additional insights can you identify about the decision making process of tribal stakeholders?

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4.2.2:   Non-Tribal Stakeholders

In a homeland security regionalization initiative you will encounter a number of different types of non-tribal stakeholders who will be integral to the success of your homeland security regionalization initiative. Non-tribal stakeholders, for purposes of our training, include all Federal, state, and local stakeholders, as well as any private or non-governmental stakeholders, that have an interest in a homeland security regionalization initiative. Each type of non-tribal stakeholder will be examined during the remainder of this session with emphasis on the "best practices" for working with each type of non-tribal stakeholder, "common pitfalls to avoid" in working with each type of stakeholder, and "tidbits" for understanding the decision-making process of each type of non-tribal stakeholder. This information is intended as a starting point for preparing you to better understand and work with the non-tribal stakeholders with whom you will need to work in your regionalization initiative. Once you have been equipped with this information, you should reach out to the non-tribal stakeholders in your regionalization initiative to learn more about their respective intricacies.

4.2.2.1:   Federal Stakeholders

The Federal stakeholders in a regionalization initiative are the Federal department and agency stakeholders that are part of our country's national government with a presence in your region. Needless to say, there are numerous Federal departments and agencies who may be important stakeholders in your homeland security regionalization initiative.

Undoubtedly, though, the Department of Homeland Security ("DHS") is at the forefront of the important Federal stakeholders for your homeland security regionalization initiative. In the wake of the September 11, 2001 terrorist attacks, DHS was created to organize and oversee our county's national preparedness and response plans.

Other Federal stakeholders who may be important stakeholders in your homeland security regionalization initiative include, but are not necessarily limited to the following:

- U.S. Bureau of Indian Affairs
- U.S. Drug Enforcement Administration
- Federal Bureau of Investigation
- Indian Health Service
- Bureau of Alcohol, Tobacco, Firearms, and Explosives
- Bureau of Land Management
- United States Food & Drug Administration
- Animal and Plant Health Inspection Service
- National Park Service
- U.S. Environmental Protection Agency
- U.S. Fish and Wildlife
- U.S. Centers for Disease Control
- U.S. Marshal Service

Note: A brief overview of DHS and of each of the above-referenced Federal stakeholders is attached as in the appendix of the Participant Guide.

In pursuing a regionalization initiative, it is important that you reach out to DHS and to each of the above-referenced Federal stakeholders, among others, who have a presence in your region.

4.2.2.2.1:   Best Practices for Working with Federal Stakeholders

It is a best practice when working with Federal stakeholders in a regionalization initiative to:

- Identify the contact person or persons within your state, county, tribe or organization with whom each regional Federal stakeholder should contact with regard to regional homeland security preparedness matters. The identities and contact information for that person or persons should then be disclosed to each regional Federal stakeholder. Where possible, it is advantageous to identify contacts who are not political appointees, as it is less likely that those contacts may change in the midst of a political upheaval within your state, county, tribe or organization. By knowing who to contact and how to contact them, the Federal stakeholders are placed in a better position to communicate with your state, county, tribe or organization on regional homeland security matters.

- Communicate regularly with each Federal stakeholder that has a presence in your region. Regular communications help to nurture and foster your state's, county's, tribe's or organization's relationship with that stakeholder. In-person communications are especially helpful and productive. Most Federal stakeholders, though, are also available to communicate electronically. By having regular channels of communication with the Federal stakeholders within your region, the likelihood that your regionalization initiative will be a sustainable success are greatly increased.

- Share information and intelligence pertinent to homeland security matters. If you are unwilling to share your capabilities information and law enforcement intelligence with the Federal stakeholders in your region, than the opportunities for collaboration with and assistance from those Federal stakeholders will be greatly compromised.

- Stay on top of homeland security information and initiatives. Information and initiatives promulgated by DHS continue to evolve, and therefore, you need to stay current on homeland security changes and developments. This will make you better prepared to work with your regional Federal stakeholders in keeping your region's homeland security initiative current.

- Actively in meetings, briefings, and practice exercises offered by the Federal stakeholders within your region. Participation in such meetings, briefings and exercises help to foster your relationships with the Federal stakeholders in your region, while making you better prepared to prevent, protect against, respond to, and recover from major events. In addition, team-building exercises help develop trust which is a prerequisite for a sustainable regionalization initiative.

- keep in mind that Federal stakeholders may have resources and capabilities to aid and assist the other stakeholders in your region on homeland security matters. It is important to understand that these resources and capabilities go beyond just funding resources. Therefore, you should inquire and investigate about the resources and capabilities that the Federal stakeholders within your region have available, and take advantage of the same. By taking advantage of such resources and capabilities, you will be one step closer to achieving a safe and secure region.

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4.2.2.2.2:   Common Pitfalls to Avoid in Working with Federal Stakeholders

Common pitfalls to avoid when working with Federal stakeholders in a regionalization initiative concern:

- Non-Federal stakeholders who are unwilling to interact with the Federal stakeholders with an open mind. In order for a regionalization initiative to be successful, you must be willing to deal with the Federal stakeholders within your region with an open mind, and a willingness to give those Federal stakeholders an opportunity to earn your trust concerning homeland security issues.

- Non-Federal stakeholders who fail to understand that Federal stakeholders have certain limitations on what they can do to assist with regional homeland security efforts. Those limitations are defined by enactments of Congress and the doctrines of the Department of Homeland Security, and not by the regional Federal stakeholders themselves. Unfortunately, a failure to understand that certain limitations exist often breeds unwarranted animosity between stakeholders in a region, which may in turn undermine the regionalization initiative.

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4.2.2.2.3: "Tidbits" about the Decision-Making Process of Federal Stakeholders

It is important to understand:

- The priorities of regional Federal stakeholders are largely dictated by Congress. Unfortunately, this sometimes leads to a discrepancy between more localized stakeholders and Federal stakeholders within a region. Having an understanding, though, from where the Federal priorities flow, will help suppress any animosity that might be bred from any such discrepancies. This may in turn facilitate a joint effort stemming from the grass roots up to inform Congress of priority changes that are needed to be made on a regional basis.

- Running issues up the Federal stakeholder chain-of-command often takes time, and therefore you need to be persistent and patient. There are many levels to the Federal chain-of-command. Often times, more localized stakeholders may not be aware that there are so many levels, as they are use to their respective smaller chains-of-command. Needless to say, the more levels of command through which an issue must be run, the more time it will take to get the Federal stakeholder's decision. Having an understanding, though, of the time involved will help you realize that if you are patient and persistent you should eventually have a decision.

- Given the recent natural disasters and terrorist attacks, such as Hurricane Katrina and the September 11, 2001 attacks reviewed in the Opening Scenarios section of this course, there are certain sensitivities within Federal stakeholders for making sure that homeland security issues are done right. Having this understanding should help garner your trust of the Federal stakeholders within your region with regard to homeland security issues.

- Local Federal agents are often rotated in and out of Federal stakeholder offices to help further develop those agents by providing them with diverse experiences and training, and not to undermine local relationships. As such, it is important to maintain regular contact with the Federal stakeholders within your region, and to request departing agents to initiate the communication between you and the replacement agent prior to the departing agent's actual departure.

- The interactive drills and exercises offered by regional Federal stakeholders are geared in part toward demonstrating the Federal decision making processes that occur during natural disasters or terrorist attacks. Therefore, by participating in such interactive drills and exercises, non-Federal stakeholders are enabled to develop a greater understanding of the Federal decision-making process.

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Learning Team Discussion Question: Who are the Federal stakeholders with a physical presence in your region?

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Learning Team Discussion Question: What additional best practices can you identify for working with the Federal stakeholders within your region?

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Learning Team Discussion Question: What additional common pitfalls to avoid in working with Tribal stakeholders can you identify?

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Learning Team Discussion Question: What additional insights can you identify about the decision making process of Federal stakeholders?

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4.2.2.3:   State Stakeholders

The state stakeholders in a regionalization initiative are the state governments and their respective departments and agencies who have a presence in your region. There are subtle differences from state to state concerning the departments and agencies that comprise a state government. All states, though, have a department dedicated to homeland security matters. These departments are more commonly known in some states as emergency management departments. These departments are a good starting point for identifying all of the other departments and agencies within a state that should be included as a stakeholder in a homeland security regionalization initiative.

In pursuing your regionalization initiative, it is important that you reach out to the homeland security and/or emergency management departments of each state with a presence in your region.

As you will see, there is some overlap between the recommendations for working with Federal stakeholders versus those for working with state stakeholders; particularly, those recommendations concerning contact identification, communication, information and intelligence sharing, interactive drills and exercises, and time. Such overlap further demonstrates the importance of these types of "best practices," "common pitfalls to avoid," and/or "tidbits" for understanding.

4.2.2.3.1: Best Practices for Working with State stakeholders

It is a best practice when working with state stakeholders in a regionalization initiative to:

- Identify the contact person or persons with whom the state stakeholders are to communicate concerning regional homeland security preparedness matters. By knowing who to contact and how to contact them, the state stakeholders are placed in a better position to communicate with the other stakeholders in a regionalization initiative.

- Communicate regularly with each state stakeholder. Regular communications help to nurture and foster your relationships with the state stakeholder. In-person communications are especially helpful and productive. Most state stakeholders, though, are also available to communicate electronically. By having regular channels of communication with the state stakeholders within your region, the likelihood that your regionalization initiative will be a sustainable success are greatly increased.

- Share information and intelligence pertinent to homeland security matters. If you are unwilling to share your capabilities information and law enforcement intelligence with the state stakeholders in your region, than the opportunities for collaboration with and assistance from those state stakeholders will be greatly compromised.

- Participate actively in meetings, briefings, and practice exercises offered by the state stakeholders within your region. Participation in such meetings, briefings and exercises help to foster your relationships with the state stakeholders in your region, while making you better prepared to prevent, protect against, respond to, and recover from major events. In addition, team-building exercises help develop trust which is a prerequisite for a sustainable regionalization initiative.

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4.2.2.3.2: Common Pitfalls to Avoid in Working with State stakeholders

Common pitfalls to avoid when working with state stakeholders in a regionalization initiative concern:

- Non-state stakeholders who are unwilling to interact with the state stakeholders with an open mind. In order for a regionalization initiative to be successful, you must be willing to deal with the state stakeholders within your region with an open mind, and a willingness to give those state stakeholders an opportunity to earn your trust concerning homeland security issues.

- Being influenced by rivalries. In order for a regionalization initiative to be successful, all rivalries must give way to reciprocal cooperation and respect.

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4.2.2.3.3: "Tidbits" about the Decision-Making Process of State stakeholders

It is important to understand:

- Many states have a community outreach representative. Oftentimes, the community outreach representative of a state can help guide you through the decision-making process for that representative's state. Therefore, it is important to develop a relationship with the community outreach representative for the state within whose geographical boundaries your county or tribal lands are located. It may also be advantageous to develop a relationship with the community outreach representative for any other state participating within your regionalization initiative, so that you have a better understanding of the decision-making process within each such state.

- Each state stakeholder has a homeland security department and/or agent designated to handle the homeland security matters within that state. This department and/or agent are some of the best points of contact when coordinating and communicating with a state stakeholder about a homeland security regionalization initiative.

- Most states have Weapons of Mass Destruction Civil Support Teams (WMD-CST). The WMD-CST's were established to deploy rapidly to assist a local incident commanders in determining the nature and extent of an attack or incident; provide expert technical advice on WMD response operations; and help identify and support the arrival of follow-on state and Federal military response assets. They are joint units and, as such, can consist of both Army National Guard and Air National Guard personnel, with some of these units commanded by Air National Guard lieutenant colonels.

- At present, homeland security funding for county stakeholders and tribal stakeholders in a regionalization initiative flows through the state stakeholders from the Department of Homeland Security. Therefore, it is very important that the county stakeholders and tribal stakeholders in a regionalization initiative each work with their respective state stakeholder concerning the Federal funding for the homeland security regionalization initiative.

- The decision making process within many state stakeholders often takes time. Not only are there certain levels to the decision-making process within any given state stakeholder, but politics and public policies often have an impact on the speed with which decisions are made. Therefore, it is important to be persistent and patient when waiting on a decision from a state stakeholder.

- The interactive drills and exercises offered by state stakeholders are geared in part toward demonstrating each state's decision making process that occurs during natural disasters or terrorist attacks. Therefore, by participating in such interactive drills and exercises, you will be able to develop a greater understanding of each state's decision-making process.

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Learning Team Discussion Question: Who are the State stakeholders in your region?

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Learning Team Discussion Question: What additional best practices can you identify for working with the State stakeholders within your region?

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Learning Team Discussion Question: What additional common pitfalls to avoid in working with State stakeholders can you identify?

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Learning Team Discussion Question: What additional insights can you identify about the decision making process of State stakeholders?

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4.2.2.4:   Local Stakeholders

The local stakeholders in a regionalization initiative are generally the counties and cities who have a presence in your region. Each such county or city has its own government, and that government may be comprised of any number of departments, agencies, boards, commissions, management districts or other governmental units. As with states, most counties and cities have a department dedicated to homeland security and/or emergency management matters. Such departments are a good starting point for identifying all of the other governmental units within a county or city that should be included as a local stakeholder in a homeland security regionalization initiative.

In pursuing your regionalization initiative, it is important that you reach out to the homeland security and/or emergency management departments of each city or county with a presence in your region.

As you will see, there is some overlap between the recommendations for working with Federal stakeholders versus those for working with state stakeholders versus those for working with local stakeholders; particularly, those recommendations concerning contact identification, communication, and information and intelligence sharing. Such overlap further demonstrates the importance of these types of "best practices," "common pitfalls to avoid," and/or "tidbits" for understanding.

4.2.2.4.1:   Best Practices for Working with Local Stakeholders

It is a best practice when working with local stakeholders in a regionalization initiative to:

- Identify the contact person or persons with whom the local stakeholders are to communicate concerning regional homeland security preparedness matters. By knowing who to contact and how to contact them, the local stakeholders are placed in a better position to communicate with the other stakeholders in a regionalization initiative.

- Communicate regularly with each local stakeholder. Regular communications help to nurture and foster your relationship with the local stakeholder. In-person communications are especially helpful and productive. Most local stakeholders, though, are also available to communicate electronically. If communicating electronically with a local stakeholder, then one must be cognizant, particularly in the early stages of the relationship, that written communications are sometimes misconstrued due to cultural, environmental, and/or historical differences. By having regular channels of communication with the local stakeholders within your region, the likelihood that your regionalization initiative will be a sustainable success are greatly increased.

- Share information and intelligence pertinent to homeland security matters. If you are unwilling to share your capabilities information and law enforcement intelligence with the local stakeholders in your region, then the opportunities for collaboration with and assistance from those local stakeholders will be greatly compromised.

- Help organize and actively participate in joint task forces. Joint task forces promote mutual aid, team building and partnerships. For example, Joint Terrorism Task Forces (JTTFs) have been formed by the FBI to maximize interagency cooperation and coordination to create cohesive units capable of addressing terrorism problems within the U.S.

- Realize the importance of community policing and the impact that it can have in making a region safer and more secure.

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4.2.2.4.2:   Common Pitfalls to Avoid in Working with Local Stakeholders

Common pitfalls to avoid when working with local stakeholders in a regionalization initiative concern:

- Being influenced by rivalries. In order for a regionalization initiative to be successful, all rivalries must give way to reciprocal cooperation and respect.

- Failing to realize that a local stakeholder's failure to regularly communicate and assist may be attributable to obstacles that limit the local stakeholders ability to interoperably communicate with other local and tribal stakeholders, as opposed to that local stakeholder's unwillingness to communicate and assist. Such obstacles may entail spectrum limitations, lack of frequencies, incompatible equipment, technology gaps, and service provider limitations, among others. By participating in a regionalization initiative, though, the local and tribal stakeholders within a region will be able to work together and pool their resources and capabilities in an attempt to eliminate any communication gaps.

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4.2.2.4.3:   "Tidbits" about the Decision-Making Process of Local Stakeholders

It is important to understand:

- Most local stakeholders have elected officials, councils or boards. Most of these elected officials, councils, and boards have certain procedures with which they must comply in reaching decisions. These procedures often take time, and at times, may involve politics and public policy. Therefore, it is important to be patient.

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Learning Team Discussion Question: Who are the local stakeholders in your region?

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Learning Team Discussion Question: What additional best practices can you identify for working with the local stakeholders within your region?

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Learning Team Discussion Question: What additional common pitfalls to avoid in working with local stakeholders can you identify?

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Learning Team Discussion Question: What additional insights can you identify about the decision making process of local stakeholders?

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4.2.2.5:   Private or Non-Governmental Stakeholders

The private or non-governmental stakeholders in a regionalization initiative pertain to any entity that is privately ran and/or not formally related to any Federal, state, local or tribal government. Private and non-governmental stakeholders come in a variety of forms. Examples of private or non-governmental stakeholders who may have an interest in a homeland security regionalization initiative include those entities administering this course – particularly, the National Native American Law Enforcement Association ("NNALEA"), Western Oregon University ("WOU"), and the Western Community Policing Institute ("WCPI"). Overviews of NNALEA, WOU and WCPI are attached as Appendix 9.3 to this Participant Guide. Other types of private or non-governmental stakeholders who may have an interest in a regionalization initiative include, but are not in any way limited to, the National Congress of American Indians, the American Red Cross, the National Sheriffs' Association, various Associations of Chiefs of Police, and various Law Enforcement Technology organizations. Such private or non-governmental stakeholders may be beneficial to your regionalization initiative, as they have certain field expertise and liaison capabilities. In addition, private organizations own approximately 80-85% of the critical infrastructure located within the geographical boundaries of the United States.

In pursuing your regionalization initiative, it is important that you reach out, in the early phases of your initiative, to private or non-governmental stakeholders.

4.2.2.5.1:   Best Practices for Working with Private or Non-Governmental Stakeholders

It is a best practice when working with private or non-governmental stakeholders in a regionalization initiative to:

- Identify the contact person or persons with whom the private or non-governmental stakeholders are to communicate concerning regional homeland security preparedness matters. By knowing who to contact and how to contact them, the private or non-governmental stakeholders are placed in a better position to communicate with the other stakeholders in a regionalization initiative.

- Communicate regularly with each private or non-governmental stakeholder. Regular communications help to nurture and foster your relationship with the private or non-governmental stakeholder. In-person communications are especially helpful and productive. Most private or non-governmental stakeholders, though, are also available to communicate electronically. By having regular channels of communication with the private or non-governmental stakeholders within your region, the likelihood that your regionalization initiative will be a sustainable success are greatly increased.

- Realize that private or non-governmental stakeholders often have established contacts with other stakeholders in a regionalization initiative, or otherwise, have the capabilities to establish those contacts. Therefore, it is often a best practice to utilize private or non-governmental stakeholders as liaisons for working with the other stakeholders in a regionalization initiative.

- Realize that private or non-governmental stakeholders are often repositories of information in the fields of their respective expertise. For instance, there are several private or non-governmental stakeholders who serve on advisory boards for the Department of Homeland Security. Such private or non-governmental stakeholders are particularly beneficial in a regionalization initiative.

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4.2.2.5.2:   Common Pitfalls to Avoid in Working with Private or Non-Governmental Stakeholders

Common pitfalls to avoid when working with local stakeholders in a regionalization initiative concern:

- Failing to realize that they must expend their own time and resources to participate in a regionalization initiative. A failure by the governmental stakeholders to realize the time and expense incurred by private or non-governmental stakeholders in a regionalization initiative can impose a hardship on the private or non-governmental stakeholder unless the governmental stakeholders provide grants or other funding to enable each private or non-governmental stakeholder to participate.

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4.2.2.5.3:   "Tidbits" about the Decision-Making Process of Private or Non-Governmental Stakeholders

It is important to understand:

- Private or non-governmental stakeholders are not as susceptible to political and public policy issues. Therefore, they are often viewed by the stakeholders within a regionalization initiative as a neutral facilitator.

- Private or non-governmental stakeholders are generally capable of making quick decisions. This is largely attributable to the fact that private or non-governmental stakeholders are not susceptible to the governmental processes and the statutory checks and balances inherent therein. Some private or non-governmental stakeholders do have boards of directors, though, who must pass resolutions before the private or non-governmental stakeholder can act.

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Learning Team Discussion Question: Who are the private or non-governmental stakeholders in your region?

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Learning Team Discussion Question: What additional best practices can you identify for working with the local stakeholders within your region?

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Learning Team Discussion Question: What additional common pitfalls to avoid in working with private or non-governmental stakeholders can you identify?

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Learning Team Discussion Question: What additional insights can you identify about the decision making process of private or non-governmental stakeholders?

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4.3:   Module 4 Wrap-Up

This module is provided background information for working with the various types of stakeholders who may have an interest in a homeland security regionalization initiative, including Tribal and non-Tribal stakeholders. This module included an overview of Public Laws 93-638 and 83-280 and insights about the decision making process of each type of stakeholder.

Can you:

4-1   Recognize how PL93-638 relates to homeland security regionalization initiatives

4-2   Recognize how PL 83-280 relates to homeland security regionalization initiatives

4-3   List the Tribal stakeholders within their region and the best practices, common pitfalls, and additional insights for working with these stakeholders

4-4   List the non-Tribal stakeholders within their region and the best practices, common pitfalls, and additional insights for working with these stakeholders

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4.4:   Next Steps

Based on what you have learned in this module, what potential "Next Steps" can you identify for creating, expanding, or sustaining a homeland security regionalization initiative in your community?

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Module 5- Administration Page

Duration

45 Minutes (0.75 Hours)   3:30 PM – 4:15 PM

Scope Statement

The scope of this module is to identify and detail the start-up procedures and policies that are necessary in a homeland security regionalization initiative, including the three primary foci for bringing together regional stakeholders and an overview of the CAM-3C approach regional homeland security capabilities and preparedness.

Terminal Learning Objectives (TLO)

At the conclusion of this module, participants will be able to define and/or describe regionalization start-up procedures and polices for establishing and/or expanding a regionalization initiative..

Enabling Learning Objectives (ELO)

At the conclusion of this module, participants will be able to:

5-1   Identify the three primary elements for bringing together regional stakeholders for homeland security regionalization initiatives

5-2   List critical infrastructure and resources within their region

5-3   Recognize the purpose and importance of a start-up procedures and policies, such as strategic plans, timelines, regional operating documents, and research assessment tools

Materials

- Participant Guide
- Resource Handbook
- Name cards, notepaper, pens/pencils
- Participant Worksheets

Instructor-to-Participant Ratio

1:20

Reference List

- Homeland Security Institute – CAM3C Approach
- Tribal Lands Homeland Security Report, NNALEA 2002
- Indian Country Border Security and Tribal Interoperability Pilot Program. The Importance of Tribes on the Frontlines of Border and Homeland Security, NNALEA 2006

Practical Exercise Statement

Participants will engage in large and small group discussion and define and/or describe regionalization start-up procedures and polices for establishing and/or expanding a regionalization initiative, including identification of local critical infrastructure, resources, and stakeholders, strategic planning, generating relevant documents, and identifying assessment tools. Participants will complete the final section of the Participant Worksheet. At the close of this module – and all other modules – participants will reflect on what they have learned in this module to identify possible "Next Steps" for creating, expanding, or sustaining homeland security regionalization initiatives within their region.

Assessment Strategy

Learning will be assessed in the course through an evaluation of the pre-test and a post-test, Participant Worksheets, and instructor observation. Participants will also self-assess their learning, as they complete the "Next Steps" reflective exercise at the close of each module.

Participant's Note:

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Module 5: Regionalization Start-Up Procedures and Policies

There are several primary procedures and policies that must be performed in establishing or expanding a regionalization initiative, including: (a) regional stakeholders must be brought together; (b) a unified regional strategic plan must be developed; (c) a timeline for achieving regionalization must be implemented; (d) regional operating documents must be prepared and executed; and (e) a research tool to assess regional capabilities and preparedness must be secured. We will learn about each of these primary procedures and policies during this training module.

Terminal Learning Objectives (TLO)

At the conclusion of this module, participants will be able to define and/or describe regionalization start-up procedures and polices for establishing and/or expanding a regionalization initiative.

Enabling Learning Objectives (ELO)

At the conclusion of this module, participants will be able to:

5-1   Identify the three primary elements for bringing together regional stakeholders for homeland security regionalization initiatives

5-2   List critical infrastructure and resources within their region

5-3   Recognize the purpose and importance of a start-up procedures and policies, such as strategic plans, timelines, regional operating documents, and research assessment tools

5.1:   Bringing Together Regional Stakeholders

There are three primary elements for bringing together regional stakeholders on a homeland security regionalization initiative.

1. The identification of the region within which partnerships between stakeholders need to be built.
2. The identification of the stakeholders within that region.
3. The garnering of participation from the stakeholders identified and having them build partnerships with each other.

We will discuss each of these elements in turn

5.1.1:   Region Identification

Any regionalization initiative must inherently start with the identification of a region within which partnerships between the stakeholders therein need to be built. This identification should not be limited to historic geographical or jurisdictional boundaries. Instead, your focus should be upon risk management principles, wherein combined action is needed to protect human life, critical infrastructure and key resources that are vulnerable to attack by major events and of which varying regional stakeholders are interdependent. Such critical infrastructure and key resources include but are not necessarily limited to the following.

- Power producing facilities
- Water treatment facilities
- Transmission systems and lines (i.e., communication, electric, and gas)
- Critical highways or routes
- Critical railways, railway stations, and switching yards
- Ports of entry
- Airports, air fields or landing strips
- Bus stations
- Significant waterways
- Significant dams
- Transportation critical bridges and tunnels
- Chemical industries or plants
- Armories
- Stadiums, civic auditoriums, fairgrounds, casinos, or arenas
- Medical facilities (i.e., hospitals and clinics)
- Food preparation facilities
- Severe weather target zones
- Emergency responder personnel and equipment (i.e., law enforcement, fire, and emergency medical)

(Worksheet) Discussion Question: What critical infrastructure and key resources are located in your region?

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One recommended approach to identifying regions within which partnerships need to be built has been devised by the Homeland Security Institute. That approach is called The Capability Aggregation Methodology – Center, Cluster, Contour (CAM-3C). Recall that we alluded to those terms in our "thinking regionally" exercise during the "Opening Scenario" portion of this course.

In utilizing a CAM-3C approach, your focus is directed toward a "capability center," a "capability cluster," and a "capability contour." For instance, your "capability center" would only include your internal sources of homeland security capabilities; your "capability cluster" would include your "capability center" plus mutual aid homeland security capabilities from other surrounding stakeholders; and your "capability contour" would include your "capability cluster" plus mutual aid homeland security capabilities from more distant surrounding stakeholders. Therefore, in a CAM-3C approach, the "capability center" is the least expansive, and the "capability contour" is the most expansive. You should also note that there may be multiple "capability centers" within a "capability cluster" and a "capability contour"; and likewise, there may be multiple "capability clusters" in a "capability contour."

Note: An illustration of a CAM-3C approach is attached to the Participant Guide as Appendix.

Recall that we generally alluded to such a "capability center," "capability cluster" and "capability contour" approach to regionalization in our Opening Scenarios session, wherein we learned to "think regionally."

Discussion Question: What are possible "capability centers," "capability clusters" and "capability contours" that may be interdependent upon critical infrastructure and key resources that we previously identified for your region?

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5.1.2:   Stakeholder Identification

Once you have identified the target region for your regionalization initiative, the next step is to identify the stakeholders that may have an interest in that region. You should recall from previous sections that there are two general types of stakeholders for a regionalization initiative – particularly, tribal and non-tribal stakeholders. Therefore, when identifying stakeholders in your region, it is important to include at the outset and for the duration of the regionalization initiative all tribal and non-tribal (Federal, regional, local, and private) stakeholders in your region.

Discussion Question: Who are the stakeholders that might have an interest in the critical infrastructure and key resources that we previously identified for your region?

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5.1.3:   Stakeholder Participation

After you have identified the stakeholders with an interest in your targeted region, the next step is to contact and communicate with those stakeholders. It is recommended that you contact the appropriate homeland security, public safety and/or emergency management leaders for each stakeholder, and that you be prepared to communicate to each stakeholder contacted about topics such as: homeland security regionalization generally; background information on the contemplated regionalization initiative; reasons warranting the contemplated regionalization initiative; and the participation and collaboration requested from each stakeholder for the contemplated regionalization initiative. It is also recommended that in communicating with each stakeholder contacted, you utilize the best practices for working with each type of stakeholder, and that you avoid the common pitfalls that were also discussed. In particular, it is recommended that you do the following.

- Consider using a private or non-governmental organization with expertise in developing regionalization initiatives as a liaison for contacting stakeholders with whom you do not have any prior contact
- Share information concerning the contemplated initiative and its importance to the homeland security capabilities and preparedness of your region
- Recognize the sovereignty of the tribal stakeholders and do not attempt to infringe upon that sovereignty with your contemplated regionalization initiative
- Schedule meetings and round-tables to discuss the contemplated regionalization initiative in more detail, and be cognizant of scheduling logistics such as notice and host sites
- Consider having your contemplated regionalization initiative placed on the agendas of pre-existing stakeholder meetings
- Resist letting rivalries, historical and demographic differences, and cultural barriers prevent you from reaching out to the stakeholders needed for a comprehensive regionalization initiative

Finally, it is worth mentioning that if you are not the stakeholder initiating the contact to rally stakeholder participation and collaboration for a contemplated regionalization initiative, and are instead a stakeholder that has been contacted by another stakeholder concerning that initiative; then you should be receptive to that contact and prepared to build that partnership opportunity. This will require you to approach that contact with an open mind, and a willingness to share and collaborate for the good of the region as a whole.

Discussion Question: What can you do to garner participation for a homeland security regionalization initiative from stakeholders in your region?

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Discussion Question: What types of things would increase the likelihood of your participating in a homeland security regionalization initiative if you were contacted to so participate?

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5.2:   Developing a Unified Regional Strategic Plan

If you know the enemy and know yourself, you need not fear the results of a hundred battles. Sun Tzu

Strategically, in your homeland security regionalization initiative the "enemy" is any natural disaster, man-made disaster, or terrorist related major event that could have a negative impact on your region. In order for the stakeholders in your regionalization initiative to know this "enemy," they must each understand the breadth of potential catastrophic events and the capabilities necessary to address these events.

Conversely, in your homeland security regionalization initiative the "yourself" pertains to your region as a whole. In order for the stakeholders in your regionalization initiative to know "yourself", they must each understand the homeland security capabilities and preparedness of the stakeholders, individually and in the aggregate, in your region.

If you keep these strategic fundamentals in mind in developing the strategic plan for your regionalization initiative, and if your regionalization initiative is successful in performing the strategic plan ultimately devised, then your region will not need to fear any major event that it may encounter.

With those strategic fundamentals in mind, let us now learn more about how to develop a strategic plan for your regionalization initiative. For purposes of this training, we will focus upon the general purposes and basic tenets of regional strategic plans.

Discussion Question: Is anyone aware of a unified strategic plan for this region that has been memorialized in writing and that includes both tribal and non-tribal stakeholders?

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5.2.1:   General Purposes

The purpose of your strategic plan for your homeland security regionalization initiative is to align the stakeholders and resources in your region with the homeland security capability and preparedness objectives for your region. Your strategic plan is the mechanism for setting priorities and allocating resources consistent with those priorities during the term of your regionalization initiative. The strategic plan should be a vision-driven process that is used to develop the future unified value of your regionalization initiative. It should strive to answer questions such as the following.

- What is the status of homeland security capabilities and preparedness in the Region?
- What are the goals and objectives of the stakeholders with regard to homeland security capabilities and preparedness in the region?
- How do the stakeholders intend to accomplish the goals and objectives set for the region?

Needless to say, in order for the strategic plan for your regionalization initiative to answer such questions, it must incorporate some anticipatory decision-making from the stakeholders participating in the regionalization initiative.

5.2.2:   Basic Tenets

Although there are not any tenets that are required to be included in the strategic plan that is developed for your homeland security regionalization initiative, there are certain recommended tenets to which the stakeholders in your regionalization initiative should give due consideration. The strategic plan for your homeland security regionalization initiative should:

- Have a comprehensive mission statement. This statement should define the basic purpose of your regionalization initiative with particular focus on the core homeland security capability and preparedness projects to be undertaken by the stakeholders participating in the initiative. In addition, the mission statement may also contain a statement of the vision of the regionalization initiative, including its core values and principles.
- Include one or more general goals or objectives. Each general goal or objective included in your strategic plan should be stated with sufficient precision to direct and guide the stakeholders toward the actions needed to fulfill the mission of the regionalization initiative. In addition, each general goal or objective should be defined in a manner that allows a future assessment to be made on whether that goal or objective was or is being achieved.
- Include the means and strategies that will be used to achieve the general goals and objectives established for the regionalization initiative. The means and strategies should include: operational processes; skills and cyber technologies; human-capital; funding; tangible equipment; and other resources.

- Identify the key factors that may significantly impact the achievement of the general goals and objectives established for the regionalization initiative. This identification should include all key factors, regardless of whether said factors are external or internal to your regionalization initiative. Key factors may be economic, demographic, social or environmental. In addition, the identification should indicate the link between the key factors and the particular goal or objective set forth in your strategic plan that you anticipate the key factor may affect.

- Develop a methodology for evaluating whether the goals and objectives set forth in the strategic plan have been achieved and how a region would know whether it has accomplished its objectives. On way of accomplishing this is a developing a methodology that focuses on objective measurement and systematic analysis. In addition, the strategic plan should specify how often the evaluations should be performed.

Key Notable: It is important to remember that once the stakeholders in your regionalization initiative have developed the strategic plan for the initiative, they must remember to periodically review, update and revise that plan.

5.3: Implementing a Timeline for Achieving Homeland Security Regionalization

The late President John F. Kennedy once stated that "[w]e must use time as a tool, not as a couch." Those words hold particularly true for your homeland security regionalization initiative. That is, the performance of your regionalization initiative will ultimately be measured by the time it takes to eliminate the homeland security capability and preparedness gaps in your region. If your regionalization initiative is not able to eliminate its gaps in a timely fashion, then those gaps may be exploited by a major event such as a natural disaster, a man-made disaster or a terrorist attack. Therefore, all of the stakeholders in your regionalization initiative must be cognizant of the importance of accomplishing the key planned or projected events, goals and objectives for your regionalization initiative in a timely fashion.

The best way for each stakeholder to understand the timetable expectations for the performance of the key planned or projected events, goals and objectives for a regionalization initiative is with a timeline. A timeline provides preparedness planning reference points on how prepared a region is today; performance points indicating how well a region is performing and achieving its goals and objectives toward the desired homeland security preparedness of the region; and an indicator of how long it will take to get to the desired public safety and emergency management level of homeland security preparedness for the region. A timeline also assists each stakeholder with the management of the time that each stakeholder has allotted for the regionalization initiative, and provides each stakeholder with advance notice of performance deadlines.

Discussion Question: Is anyone aware of any homeland security timelines that have been memorialized in writing for your region, and that include events, goals and objectives that are to be completed by both tribal and non-tribal stakeholders?

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It is recommended that your regionalization initiative's timeline for achieving homeland security regionalization contain, at a minimum, the following tenets.

- An identification of the planned or projected events for your regionalization initiative
- An identification of the stakeholders responsible for performing each planned or projected event for your regionalization initiative
- An identification of the initiation date for each planned or projected event for your regionalization initiative
- An identification of the completion date for each planned or projected event for your regionalization initiative

Key Notable: A homeland security regionalization timeline must be an evolving document that continually expands with the homeland security regionalization initiative.

Key Notable: In setting the initiation and completion dates for each planned or projected event for your regionalization initiative, you must take into consideration the time differential for each stakeholder's respective decision-making process.

Needless to say, if your initiation and completion dates are not realistic, then performance misunderstandings between the stakeholders are likely to ensue, which may undermine the overall success of your regionalization initiative.

Discussion Question: Are there any HS timelines that have been memorialized in writing in this region that include events, goals and objectives for both Tribal and non-Tribal stakeholders?

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5.4: Preparation and Execution of Regional Operating Documents

There are a number of documents that should be prepared and executed while organizing your homeland security regionalization initiative. These documents help establish a decision making framework that is agreed upon by the stakeholders in a regionalization initiative. Three of the most important initial documents to prepare and execute in a regionalization initiative are the Memorandum of Understanding, the Organizational Structure and Modus Operandi, and the Bylaws. We will now examine the purpose and recommended general tenets for each of these documents. We will also discuss some exemplar operating documents.

5.4.1: Memorandum of Understanding

The first of the three most important initial documents to prepare and execute in a regionalization initiative is the Memorandum of Understanding ("MOU").

Discussion Question: Is anyone aware of any homeland security MOUs that have been memorialized in writing for your region that include both tribal and non-tribal stakeholders?

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We will now examine the basic purpose of an MOU and the recommended general tenets for an MOU. We will also discuss an exemplar MOU.

5.4.1.1: Purpose

An MOU is the governance document in a homeland security regionalization initiative that voluntarily unites all tribal and non-tribal stakeholders that have agreed and consented to pursue and participate in a regionalization initiative. The MOU memorializes in writing the good faith intentions of each stakeholder by specifying the tenets upon which each stakeholder has agreed and consented to voluntarily unite. The MOU is to remain in effect for as long as the regionalization initiative is in operation, or otherwise, until the stakeholders in a regionalization initiative agree to cancel or modify the MOU in accordance with the other operating documents for that regionalization initiative.

5.4.1.2:   Recommended General Tenets

Although there are not any tenets that are required to be included in the MOU which is prepared and executed in your homeland security regionalization initiative, there are certain recommended tenets that the stakeholders in your regionalization initiative should give due consideration to including in their MOU. An MOU should:

- Identify each stakeholder that is agreeing to cooperate, support, collaborate, administer, perform, and otherwise work together in the regionalization initiative. As such, the MOU should identify every tribal and non-tribal stakeholder agreeing to the regionalization initiative. This tenet should also reference the fact that additional stakeholders may be included in the regionalization initiative by written addenda to the MOU.

- Set forth a general overview of the regionalization initiative contemplated by the stakeholders agreeing to cooperate, support, collaborate, administer, perform, and otherwise work together in the regionalization initiative. This overview should, at a minimum, include the following.

- A synopsis of the strategic plan for the regionalization initiative

- An identification of the stakeholders within the regionalization initiative who intend to submit grant applications for funding the regionalization initiative – notably these stakeholders should generally be the state stakeholders given the present flow-through structure for homeland security funding

- The agreement of each stakeholder that it will use its best efforts to participate and cooperate in the regionalization initiative

- An identification of any private or non-governmental stakeholder who has agreed to serve as a liaison in the regionalization initiative

- The agreement of any private or non-governmental stakeholder liaison to use its best efforts to coordinate and facilitate the regionalization initiative

- A catch-all agreement by all stakeholders in the regionalization initiative to cooperate, support, collaborate, administer, perform, and otherwise work together in the regionalization initiative

- Include an affirmation executed by each stakeholder, wherein each stakeholder verifies his authority and willingness to voluntarily enter into the MOU. The execution of an affirmation by each stakeholder is that stakeholder's active demonstration to each other stakeholder of its consent and good faith intent to pursue the regionalization initiative. Such affirmations have historically been used to demonstrate symbiotic pacts.

5.4.1.3:   Exemplar MOU

Note: An exemplar MOU that may be used in a regionalization initiative is included as an appendix in the Participant Guide.

Discussion Question: Is anyone aware of any homeland security MOUs that have been memorialized in writing for your region that include both tribal and non-tribal stakeholders?

_____
_____
_____

Discussion Question: Take a few minutes and review the exemplar MOU. What questions do you have about the exemplar MOU's purpose, content, or structure?

_____
_____
_____

MOU Activity

This Memorandum of Understanding ("MOU") is entered into on this ___ day of

_____, 2008, by the following stakeholders: and any other stakeholder who may

lawfully join from time to time as will be reflected by an assigned numbered signatory page that

will become an addendum to this MOU (collectively "the Stakeholders").

WITNESSTH

WHEREAS, the Stakeholders have devised the _____, which is an all-

hazard approach to Homeland Security with special emphasis on working together to achieve

the National Preparedness Goal in the mission areas of preparedness, prevention, response

and recovery, and targeted capabilities of, but not limited to: interoperable communications,

intelligence and information sharing, and critical infrastructure and key resource protection in the

Stakeholders' Region;

WHEREAS, the State of _____ intends to submit grant applications for funding from the

Department of Homeland Security and other funding sources for the implementation and

performance of the _____ in coordination with the State of _____, the State of

_____, and the State of _____ ;

WHEREAS, _____ and all other Federal stakeholders who

may lawfully join the _____ from time to time as will be reflected by an assigned

numbered signatory page that will become an addendum to this MOU, each agree to use their

respective best initiatives to fully participate and cooperate in the _____ should

funding be obtained from the Department of Homeland Security and other funding sources for

the _____;

WHEREAS, _____ and all other state stakeholders who may lawfully join the _____ from time to time as will be reflected by an assigned numbered signatory page that will become an addendum to this MOU, each agree to use their respective best initiatives to fully participate and cooperate in the _____ should funding be obtained from the Department of Homeland Security and other funding sources for the _____

WHEREAS, _____ and all other local stakeholders who may lawfully join the _____ from time to time as will be reflected by an assigned numbered signatory page that will become an addendum to this MOU, each agree to use their respective best initiatives to fully participate and cooperate in the _____ should funding be obtained from the Department of Homeland Security and other funding sources for the _____

WHEREAS, _____ and all other tribal stakeholders who may lawfully join the _____ from time to time as will be reflected by an assigned numbered signatory page that will become an addendum to this MOU, each agree to use their respective best initiatives to fully participate and cooperate in the _____ should funding be obtained from the Department of Homeland Security and other funding sources for the _____;

WHEREAS, the Stakeholders agree that _____ will serve as liaison for the _____ and will coordinate and facilitate meetings and conferences and act as the overall point of contact for the Stakeholders should funding be obtained from the Department of Homeland Security and other funding sources for the _____; and

WHEREAS, _____ agrees to use its best initiatives to serve as liaison and to coordinate and facilitate all _____ meetings and conferences and act as the overall point of contact for the Stakeholders should funding be obtained from the Department of Homeland Security and other funding sources for the _____ .

NOW, THEREFORE, the Stakeholders hereto, in consideration of the premises set forth above, agree and consent that they will each cooperate, support, collaborate, administer, perform, and otherwise work together in developing the _____, and in performing the _____ should funding be obtained from the Department of Homeland Security and other funding sources for the _____ .

Stakeholder Signature Page 1

By signing this Agreement you affirmatively state that you have the authority to sign this MOU on behalf of _____.

_____

Notes:

_____
_____
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_____
_____

5.4.2:   Organizational Structure and Modus Operandi

The second of the three most important initial documents to prepare and execute in a regionalization initiative is the Organizational Structure and Modus Operandi document.

Discussion Question: Is anyone aware of any homeland security Organizational Structure and Modus Operandi documents that have been memorialized in writing for your region that include both tribal and non-tribal stakeholders?

_____
_____
_____

We will now examine the basic purpose of an Organizational Structure and Modus Operandi document, and the recommended general tenets for it. We will also discuss an exemplar Organizational Structure and Modus Operandi document.

5.4.2.1:   Purpose

The Organizational Structure and Modus Operandi document is the governance document in a homeland security regionalization initiative that sets forth the participatory management structure for the regionalization initiative that has been agreed to by the stakeholders in the regionalization initiative. The document also sets forth the method with which the participatory management structure operates.

5.4.2.2:   Recommended General Tenets

Although there are not any tenets, per se, that are required to be included in the Organizational Structure and Modus Operandi document in your homeland security regionalization initiative, there are certain recommended tenets that the stakeholders in your regionalization initiative should give due consideration to including in their Organizational Structure and Modus Operandi document. An Organizational Structure and Modus Operandi document should:

Set forth the participatory management structure for your regionalization initiative. This tenet should include the following.

- An overview of the management structure for your regionalization initiative
- An identification of the primary organizations comprising the management structure for your regionalization initiative – it is recommended that at a minimum, your management structure include a management board (who functions as the ultimate decision making organization within your regionalization initiative), a management advisory committee (who functions as the management information advisors for the management board in your regionalization initiative), and a fiscal advisory committee (who functions as the fiscal information advisors for the management board in your regionalization initiative)
- An identification of the specialized working groups for your regionalization initiative (who will aid the primary organizations in the performance of their tasks in your regionalization initiative)

- An identification of the liaison for your regionalization initiative (who will be responsible for coordinating and facilitating certain activities within the management structure of your regionalization initiative
- Set forth the method with which the participatory management structure operates. This tenet should include the following.
- An overview of the method of operation for the management structure in your regionalization initiative
- An identification of the projects to be performed by the management structure in your regionalization initiative – it is recommended that these projects be capability-based projects identified based upon a homeland security gap analysis assessment derived from uniform research conducted on each stakeholder's respective homeland security capabilities and preparedness
- An identification of the tasks through which each project to be performed by the management structure in your regionalization initiative must pass
- An emphasis on a participatory management structure

Key Notable: The participatory management structure and its method of operation should emphasize a **TEAM** Approach, wherein **T**ogether **E**veryone **A**chieves **M**ore.

5.4.2.3: Exemplar Organizational Structure and Modus Operandi Document

Note: An exemplar Organizational and Modus Operandi document that may be used in a regionalization initiative is included as an appendix in the Participant Guide.

Discussion Question: Take a few minutes and review the exemplar Organizational and Modus Operandi document. What questions do you have about its purpose, content, or structure?

_____
_____
_____

5.4.3: Bylaws

The third of the three most important initial documents to prepare and execute in a regionalization initiative is the Bylaws document.

Discussion Question: Is anyone aware of any homeland security Bylaws that have been memorialized in writing for your region that include both tribal and non-tribal stakeholders?

_____
_____
_____

5.4.3.1: Purpose

The Bylaws document is the governance document in a homeland security regionalization initiative that sets forth the rules and guidelines adopted by the stakeholders in the regionalization initiative for dealing with routine matters. Such rules and guidelines help facilitate the efficient and orderly performance of the activities and projects contemplated by a regionalization initiative. The Bylaws also help memorialize the stakeholder's respective rights and expectations with regard to the overall governance of the regionalization initiative, which reduces the likelihood of future misunderstandings concerning the performance of a regionalization initiative.

5.4.3.2: Recommended General Tenets

Although there are not tenets, per se, that are required to be included in the Bylaws for your homeland security regionalization initiative, there are certain recommended tenets that the stakeholders in your regionalization initiative should give due consideration to including in their Bylaws. The Bylaws should:

- Specify the name of the regionalization initiative, and the geographical area of our country that it encompasses.
- Include a recitation of the authority from which the regionalization initiative operates. This usually includes reference to the MOU executed by the stakeholders in the regionalization initiative, as well as the Organizational Structure and Modus Operandi document.
- Include a statement of the mission of the regionalization initiative, and its corresponding purpose.
- Specify any restrictions germane to the activities and projects contemplated by the regionalization initiative.

- Designate the types of stakeholders who can be members in the regionalization initiative. It is recommended that all tribal and non-tribal stakeholders with an interest in a regionalization initiative be eligible for membership. Moreover, the Bylaws should designate the requirements for eligibility to serve as a member of a board, committee or group comprising the management structure of the regionalization initiative. The Bylaws should also specify the rights, responsibilities, and terms of service of board, committee and group members; as well as the procedures for terminating members, reinstating member, and filling member vacancies.

- Set forth the procedures for conducting meetings in a regionalization initiative. Those procedures should specify the requirements for the agendas, minutes, records, and notice to be given for the meetings. The procedures should also specify whether the meetings will be open to the public. In addition, The Bylaws should specify the stakeholder attendance requirements to constitute a quorum so that business can be transacted at any meeting conducted in a regionalization initiative.

- Set forth the voting procedures for voting at meetings conducted in a regionalization initiative, and the rights of each stakeholder to vote in the regionalization initiative. The Bylaws should also specify whether voting by proxy is permitted.

- Specify the fiscal management for the regionalization initiative, including the identification of the fiscal year for the regionalization initiative and the maintenance of fiscal records.

- Specify the procedure for amending, adding to or repealing the Bylaws of a regionalization initiative.

5.5:   Securing a Research Tool

A recommended start-up policy to adopt in the early stages of your regionalization initiative is a policy that provides that all of the stakeholders in your regionalization initiative have agreed to utilize the same research tool to gather their respective information pertaining to homeland security capabilities and preparedness. This policy should also provide that all stakeholders agree to share their respective information requested through that research tool. By using the same research tool, the information gathered by each stakeholder is compatible to each other stakeholder's information, thereby rendering all the information susceptible to uniform analyses and comparisons. When used in conjunction with a risk management model for your region, this data uniformity promotes the generation of homeland security resource capabilities and preparedness baselines, best practices and alerts for your region; and also provides the stakeholders with the ability to continually assess homeland security capability and preparedness gaps and measure the performance of the regionalization initiative in eliminating those gaps.

By way of illustration, suppose your regionalization initiative selects a resource capabilities and preparedness research tool and the tool is administered on all of the stakeholders in your region in Year One of the regionalization initiative. The information gathered through the tool is then analyzed with regard to homeland security baselines, best practices and alerts for the region as of Year One. Your management structure for the regionalization initiative then uses those baselines, best practices, and alerts to assess the homeland security capability and preparedness gaps for your region and the priorities for eliminating said gaps. Subsequently, in Year Three of your regionalization initiative, the research tool is again administered on all of the stakeholders in your region. As was done in Year One, the information gathered through the tool is analyzed with regard to homeland security baselines, best practices and alerts for the region as of Year Three.

Your management structure for the regionalization initiative then compares the baselines, best practices and alerts for Year One and Year Three, and therefore, has an objective means to measure the performance of the regionalization initiative in eliminating the homeland security capability and preparedness gaps for your region.

Key Notable: The research tool should be comprehensive, scientifically developed and peer-tested with regard to homeland security capabilities and Preparedness.

Those areas should include but not necessarily be limited to the following: Emergency Management; Law Enforcement; Border Security (if applicable); Detention; Emergency Medical; Public Works; Public Safety Communications and Interoperability; Critical Infrastructure; Environment; and Fire.

Discussion Question: Has anyone ever participated in a research tool that gathered information about homeland security capabilities and preparedness? If so, describe what you were able to learn from the information gathered by that tool?

_____
_____
_____

The National Native American Law Enforcement Association ("NNALEA") has developed a comprehensive, scientifically developed and peer-tested research tool that encompasses the areas set forth above. NNALEA, in conjunction with the Department of Homeland Security ("DHS") and the National Congress of American Indians ("NCAI") has already successfully administered a variation of this research tool on numerous stakeholders across the United States.

5.6:   Module 5 Wrap-Up

This module provided detailed the start-up procedures and policies that are necessary in a homeland security regionalization initiative, including the three primary reasons for bringing together regional stakeholders and overview information on the CAM-3C approach,

Can you:

5-1   Identify the three primary elements for bringing together regional stakeholders for homeland security regionalization initiatives

5-2   List critical infrastructure and resources within their region

5-3   Recognize the purpose and importance of a start-up procedures and policies, such as strategic plans, timelines, regional operating documents, and research assessment tools MOU in homeland security regionalization Initiative development

_____
_____
_____

5.7:   Next Steps

Based on what you have learned in this module, what potential "Next Steps" can you identify for creating, expanding, or sustaining a homeland security regionalization initiative in your community?

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Module 6- Administration Page

Duration

45 Minutes (0.75 Hours)   4:15 PM – 5:00 PM

Scope Statement

The scope of this module is to summarize the key fundamentals from this course and to provide participants with an overview of the "Next Steps" in homeland security regionalization initiatives, in context to the subsequent workshop-based courses build upon their responses in this course. Participants will also complete and submit the course post-test, evaluation, and participant worksheets.

Terminal Learning Objectives (TLO)

At the conclusion of this module, participants will be able to summarize the fundamentals of homeland security regionalization initiatives and recognize potential "Next Steps" in homeland security regionalization initiatives.

Enabling Learning Objectives (ELO)

At the conclusion of this module, participants will be able to:

6-1   Summarize what they learned in this course

6-2   Identify potential "Next Steps" in homeland security regionalization

Materials
- Participant Guide
- Resource Handbook
- Participant Worksheets

Instructor-to-Participant Ratio

1:20

Reference List

- FEMA Independent Study Program – recommended programs:
    - IS-650: Building Partnerships with Tribal Governments
    - IS-100: Introduction to Incident Command System
    - IS-208: Sate Disaster Management
    - IS-230: Principles of Emergency Management
    - IS-240: Leadership & Influence
    - IS-241: Decision Making and Problem Solving

- IS-242: Effective Communication
- IS-244: Developing and Managing Volunteers
- IS-288: The Role of Voluntary Agencies in Emergency Management
- IS-700: National Incident Management System (NIMS), An Introduction
- IS-701: NIMS Multiagency Coordination System
- IS-800.B: National Response Framework, An Introduction
- IS-860: Introduction to the National Infrastructure Protection Plan
- FEMA Emergency Management Institute Training
  - E580: Emergency Management Framework for Tribal Governments
  - E581: Emergency Management Operations for Tribal Governments
  - E344: Mitigation for Tribal Officials

Practical Exercise Statement

Participants will have an opportunity to discuss what they have learned in this course, in regard to the key fundamentals from this course. A video clip is presented to provide closure for the course. Participants will also complete the course post-test, evaluation, and submit the participant worksheets. At the close of this module, participants will reflect on what they have learned in this course to solidify possible "Next Steps" that they can take to their community for creating, expanding, and sustaining homeland security regionalization initiatives within their region.

Assessment Strategy

Learning will be assessed in the course through an evaluation of the pre-test and a post-test, Participant Worksheets, and instructor observation. Participants will also self-assess their learning, as they complete the "Next Steps" reflective exercise at the close of each module.

Participant's Note:

_____
_____
_____

Module 6: Next Steps in Regionalization

Terminal Learning Objectives (TLO)

At the conclusion of this module, participants will be able to summarize the fundamentals of homeland security regionalization initiatives and recognize potential "Next Steps" in homeland security regionalization initiatives.

Enabling Learning Objectives (ELO)

At the conclusion of this module, participants will be able to:

6-1   Summarize what they learned in this course

6-2   Identify potential "Next Steps" in homeland security regionalization

6.1:   Course Summary

In conclusion, Figure 6.1 summarizes the fundamentals of a regionalization initiative that we learned during this course and that you should keep in mind in pursuing a regionalization initiative in your region.

Reflections:

_____
_____
_____
_____
_____
_____
_____
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_____

6.2:   Potential "Next Steps" in Regionalization

Based on what you have learned throughout this course and on the "Next Steps" that you have identified in previous modules, what are the "Next Steps" that you can take in your community/region to create, expand, or sustain homeland security regionalization initiatives within your region?

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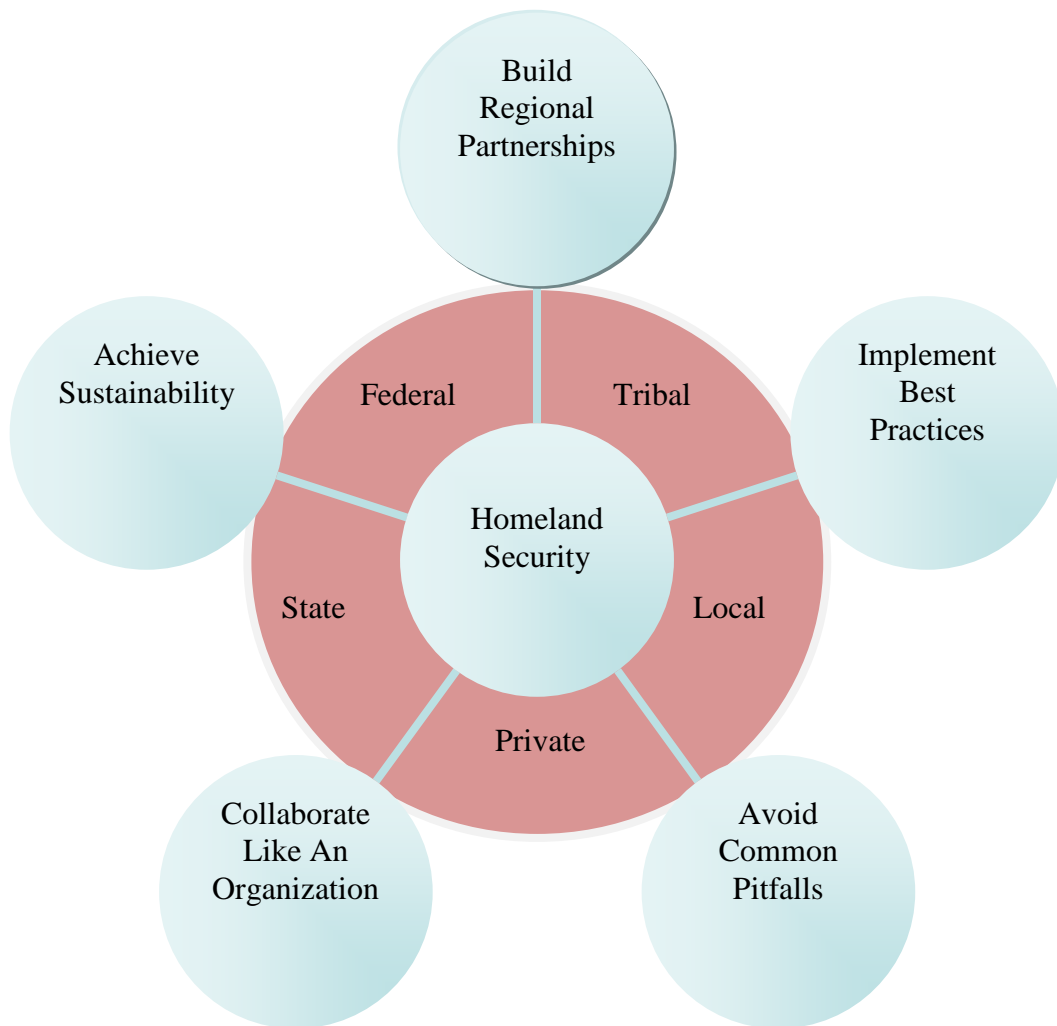
This course has been designed as the initial installment in a series of courses designed to establish and expand homeland security regionalization through the building of both tribal and non-tribal partnerships and collaboration in regions across the United States. The information gathered from this course – through Participant Worksheets and participants' comments – will be used to develop the follow-up workshop-based course, which will be delivered in your region.

To best prepare for the follow-up workshop-based course, participants are encouraged to utilize the "Next Steps" that they have identified in this course to fully research and develop the contact personnel, resources, etc. that would maximize the practical hands-on activities in the follow-up course.

The key areas covered in the follow-up workshop-based course include:
- Review of regionalization start-up procedures and policies
- The Prototypical Regionalization Case Study
  - Strategic plan and timeline development
  - Preparation and execution of Operating Documents
  - Project task performance
- Strategies for sustaining regionalization
  - Maintaining a strategic vision
  - Strategic evaluation and revision
  - Acclimation to change
  - Commitment to best practices

Video "They should not die in vain"

6.3:   Module 6 Wrap Up

This module summarized the key fundamentals from this course, to provided participants with an overview of the "Next Steps" in homeland security regionalization initiatives, in context to the subsequent workshop-based courses build upon their responses in this course.

Can you:

6-1   Summarize what they learned in this course?

6-2   Identify potential "Next Steps" in homeland security regionalization?

_____
_____
_____

6.4:   Post-Test

Appendix

Administrative Structure of the Department of Homeland Security

Department of Homeland Security. The Department of Homeland Security (DHS) is single integrated Homeland Security agency focused on protecting the American people and their homeland. The comprehensive national strategy seeks to develop a complementary system connecting all levels of government without duplicating effort. The Department includes entities such as the Transportation Security Administration, U.S. Customs and Border Protection, U.S. Citizenship and Immigration Services, U.S. Immigration Customs Enforcement, the U.S. Secret Service, the Federal Emergency Management Agency, and the U.S. Coast Guard. Several of these sub-agencies are discussed below.
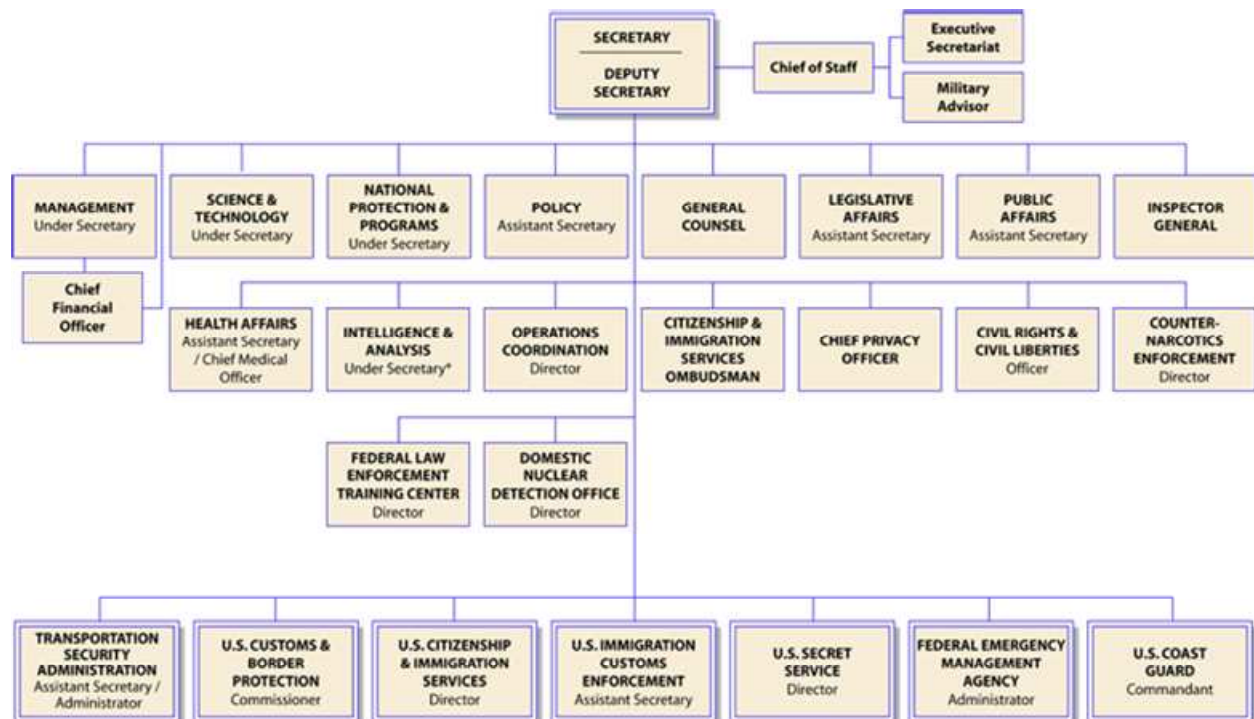
Source: http://www.dhs.gov/xabout/structure/editorial_0644.shtm

Department Components
- The Directorate for National Protection and Programs
- The Directorate for Science and Technology
- The Directorate for Management
- The Office of Policy
- The Office of Health Affairs
- The Office of Intelligence and Analysis
- The Office of Operations Coordination
- The Federal Law Enforcement Training Center
- The Domestic Nuclear Detection Office
- The Transportation Security Administration (TSA)
- United States Customs and Border Protection (CBP)
- United States Citizenship and Immigration Services
- United States Immigration and Customs Enforcement (ICE)
- The United States Coast Guard
- The Federal Emergency Management (FEMA)
- The United States Secret Service

Office of the Secretary
- The Privacy Office
- The office for Civil Rights and Civil Liberties
- The Office of Inspector General
- The Citizenship and Immigration Services Ombudsman
- The Office of Legislative Affairs
- The Office of the General Counsel
- Office of Counternarcotics Enforcement
- Office of Public Affairs
- Executive Secretariat
- Military Advisor's Office

Advisory Panels and Committees
- The Homeland Security Advisory Council
- The National Infrastructure Advisory Council
- The Homeland Security Science and Technology Advisory Committee.
- The Critical Infrastructure Partnership Advisory Council
- The Interagency Coordinating Council on Emergency Preparedness and Individuals
- Task Force on New Americans

Other Federal Agencies

U.S. Bureau of Indian Affairs (BIA). The Bureau of Indian Affairs (BIA) is responsible for the administration and management of 55.7 million acres of land held in trust by the United States for American Indians, Indian tribes, and Alaska Natives. There are 564 Federal recognized tribal governments in the United States. Developing forestlands, leasing assets on these lands, directing agricultural programs, protecting water and land rights, developing and maintaining infrastructure and economic development are all part of the agency's responsibility. In addition, the Bureau of Indian Affairs provides education services to approximately 48,000 Indian students.

U.S. Customs and Border Protection (CBP). The mission of the CBP is preventing terrorists and terrorist's weapons, including weapons of mass destruction, from entering the United States. CBP Agents patrol nearly 6,000 miles of international land border with Canada and Mexico and nearly 2,000 miles of coastal border. The CBP is also responsible for detecting and preventing the illegal entry of aliens into the United States controlling illegal immigration, and protecting America's ports while facilitating the flow of legal immigration and goods.

U.S. Drug Enforcement Administration (DEA). The DEA is a unit of the U.S. Department of Justice. Its mission is to enforce the controlled substances laws and regulations of the United States and to prosecute those organizations and principal members of organizations involved in the manufacture or distribution of controlled substances. They also recommend and support programs aimed at reducing the availability of illicit controlled substances on the domestic and international markets. They also coordinate with Federal, state and local law enforcement on mutual drug enforcement efforts and cooperative criminal investigations.

Federal Bureau of Investigation (FBI). The FBI's mission is to protect and defend the United States against terrorist and foreign intelligence threats, to uphold and enforce the criminal laws of the United States, and to provide leadership and criminal justice services to Federal, state, municipal, and international agencies and partners. The FBI priorities are to produce and use intelligence to protect the nation from terrorist, foreign intelligence, and cyber-based threats and to fight public corruption, violent crime, white-collar crime, protect civil rights, and bring to justice all others who violate the law.

U.S. Secret Service (USSS). The United States Secret Service protects the President and other high-level U.S. officials and foreign ambassadors. It also investigates counterfeiting and other financial crimes, including financial institution fraud, identity theft, computer fraud and computer-based attacks on our nation's financial, banking, and telecommunications infrastructure.

Indian Health Service (IHS). Indian Health Services (IHS) is an agency of within the Department of Health and Human Services that supplies a broad variety of health and emergency medical services to 1.5 million Native Americans and Alaska Natives. The IHS is part of the Public Health Service, which has 6,000 uniformed officers that are ready to deploy at any time, to any place, where they are required to alleviate public health emergencies. IHS is looking for tribes to develop tribal control of the emergency medical response capabilities on tribal lands. It is also working to improve state and tribal coordination.

Bureau of Alcohol, Tobacco, Firearms, and Explosives (ATF). ATF, and about 90 percent of its personnel, are moving from the Department of Treasury to the Department of Justice. This is part of the same government reorganization that created the Department of Homeland Security. "Explosives" has been added to the agency name, reflecting its long history in regulating explosives and investigating bombings. The agency will continue to use the ATF acronym. Five to six billion pounds of explosives are used lawfully in the United States each year. Regulating that volume is a huge task. ATF is the primary Federal agency responsible for responding to fires, bombings, and explosives incidents. Fighting terrorism is the number one priority of ATF. Due to their focus on regulating firearms and explosives, the ATF is an important part of the Federal effort to prevent terrorism and reduce violent crime.

Immigrations and Customs Enforcement (ICE). ICE is the largest investigative arm of the Department of Homeland Security. It is the predecessor of the Immigration and Nationalization service and Customs Enforcement agency. It is responsible for identifying and shutting down vulnerabilities on the nation's border, regulating immigration, exporting illegal immigrants, and monitoring economic, transportation and infrastructure security through intelligence analysis.

Bureau of Land Management (BLM). The Bureau of Land Management is part of the U.S. Department of the Interior. Its goal is to sustain the health, diversity, and productivity of 258 million acres of Federal land. The BLM manages these resources including energy and minerals; timber; forage; recreation; wild horse and burro herds; fish and wildlife habitat; wilderness areas; and archaeological, paleontological, and historical sites. It also oversees mineral leasing and mineral operations on Federal mineral estate underlying other state, private, or Federally-administered land, and manages most mineral operations on Indian lands. It also issues grazing permits on public lands, administers over 117,000 miles of fisheries habitat, and provides fire protection on public lands.

United States Food & Drug Administration(FDA). The Food and Drug Administration (FDA) is an agency of the United States Department of Health and Human Services. Its mission is to regulate the safety of foods, dietary supplements, drugs, vaccines, medical products, blood products, medical devices, and cosmetics. They are also responsible for speeding innovations to enhance the safety and effectiveness of these products through scientific research.

Animal and Plant Health Inspection Service (APHIS). The Animal and Plant Health inspection Service is part of the United States Department of Agriculture (USDA). Its mission is to protection protect the viability of American agricultural and natural resources by insuring their health and value. This includes protecting American agriculture from non-native or pest plants, animals, insects, and diseases. Aphis is also involved in working to prevent agricultural bioterrorism by regulating the use and transportation of agricultural and biological toxins.

National Park Service (NPS). The National Park Service is part of the United States Department of the Interior. Its mission is to conserve the nation's prized parks, national monuments, and historic properties and the resources and wildlife therein. These special areas also include national preserves, memorials, historic trails, heritage areas, recreation areas, wild and scenic rivers, lake and seashores, battlefields, and national cemeteries.

United States Coast Guard (USCG). The United States Coast Guard is one of the 7 uniformed branches of the United States. It mission is to protect the public, the environment, and U.S. economic interests by monitoring in the nation's ports and waterways, coastlines, international waters, and all other maritime regions. It enforces maritime law, provides mariner assistance, and performs maritime search and rescue operations.

U. S. Environmental Protection Agency (EPA). The mission of the EPA is to protect human health and the environment. Chemical attacks by terrorists may first present themselves as hazardous material incidents. EPA maintains a national counter-terrorism evidence response capability as well as a national environmental forensic center with expertise in radiological and chemical weapons of mass destruction. It also has emergency response programs, drinking water protection programs, and chemical industry regulatory functions that are vital to homeland security. EPA has a criminal enforcement program that focuses on prevention and training as well as the investigation of environment crimes. EPA maintains a smooth working relationship with Indian nations and tribes on a government to government basis. It has many grants and agreements with tribes and provides training, technical expertise and other assistance, as requested. The EPA believes that joint training and joint operations are essential before disasters occur.

U.S. Fish and Wildlife Service (FWS). The United States Fish and Wildlife Service is part of the United States Department of the Interior. Its mission is to manage and preserve wildlife and wildlife habitats in the United States. It accomplishes this mission by managing a national wildlife habitat system, a system of fish hatcheries, and the endangered species program. The Eagle feather program is also administered within this agency.

U.S. Centers for Disease Control (CDC). The CDC is housed under the Department of Health and Human Services and is the nation's foremost health protection agency. Its mission is to protect public health and public safety by providing health-related information to prevent and control infectious diseases, enhance environmental health, enhance occupational and safety and health, and provide health education. It often works through partnerships with state health departments and other organizations. Immunization programs to protect health are a special focus on the agency.

Transportation Security Administration (TSA). The Transportation Security Administration is part of the Department of Homeland security. It protects the Nation's transportation systems to ensure freedom of movement for people and commerce by providing passenger and baggage screening services in the nation's airports and other transportations systems. The TSA is a law enforcement agency that employs Federal security officers, explosive detection teams, Federal air marshals and trains flight crews on cockpit protection.

U.S. Marshal Service. The U.S. Marshal Service is the oldest Federal law enforcement agency. It is housed in the U.S. Department of Justice. The main duties of the agency include investigation and apprehension of Federal fugitives, protection of the Federal judiciary, the operation of the Witness Security Program (Witness Protection Program), transporting Federal prisoners, and seizing property acquired through illegal activity. U.S. Marshals are appointed in each of the 94 district court jurisdictions in the U.S.

NNALEA Overview

The National Native American Law Enforcement Association (NNALEA) was founded in 1993 in Washington, DC. The Association is a Public Service organization with several hundred members nationwide, including members in Alaska and Hawaii. NNALEA has a not-for-profit 501(C) 6 organization status with the IRS. The NNALEA membership is made up of women and men, law enforcement and non-law enforcement, Indian and non-Indian members. The membership represents most branches of law enforcement, inclusive of Tribal, Local, and State agencies as well as Federal agencies. Also, NNALEA members represent non-profit organizations, educational institutions, private industries, Tribal community leaders and others. The commonality of the Association membership is a desire to preserve, support and defend Tribal citizens, Tribal communities, local regions, the community of States and the Unites States of America.

The Mission of NNALEA is to promote and foster cooperation, collaboration, and partnerships between American Indian Law Enforcement Agencies/Officers/Personnel, Tribes, private industry and the public. NNALEA is a respected advocate for Indian Country law enforcement and its leadership testifies before Congress on a regular basis regarding a wide variety of Native American issues. NNALEA has a primary focus on training and technical assistance and has provided hundreds of academic and training scholarships and sponsorships. NNALEA provides a multimedia conduit for Tribal and non-Tribal communications nationwide. The Association is currently planning its 14th Annual National Training Conference scheduled November 14 - 16, 2006.

NNALEA's Executive Board oversees the activities of the Association and works diligently to achieve the objectives of the organization. NNALEA's objectives are:

- Provide media for the exchange of ideas and the new techniques used by both criminals and investigators.
- Conduct training seminars, conferences, and research into educational methods for the benefit of American Indians in law enforcement.
- Educate and update NNALEA's members and the public on current statute changes and the judicial decisions as they relate to law enforcement.
- Establish and maintain a network of communications and partnerships for Native American law enforcement agencies/officers/personnel.
- Provide technical and/or investigative assistance to NNALEA's members in the various aspects of law enforcement.
- Promote professional law enforcement presence in Tribal communities as well as non-Tribal communities.
- Provide support for Native American agencies/officers/personnel through the utilization of a national organization

NNALEA is headquartered in the Ronald Reagan Building, 1300 Pennsylvania Avenue, NW, Suite 700 Washington, DC 20004. NNALEA has Chapters in New Mexico, Oklahoma and Washington, DC. The inclusive, proactive approach of NNALEA has elevated the organization to a lead role in providing Indian Country with critical information and training that enables Tribal leadership and Tribal law enforcement professionals to become more informed regarding law enforcement issues, homeland security and community policing. NNALEA has achieved many accomplishments through partnerships and collaboration during its 14 year history. Listed below are some of those accomplishments:

- The Publication titled, "Tribal Lands Homeland Security Report";
- The development of the NNALEA Homeland Security Assessment Model;
- The Gang Resistance, Education and Training Pilot Program for Indian Country;
- The Tribal Border Security Pilot Program;
- The full cooperation of 40 of 41 eligible Tribes in a National Survey;
- The Regional Four Corners Homeland Security Coalition;
- The successful presentation of 13 Annual National Training Conferences; and
- The numerous presentations of testimony before many committees of the United States Congress on a variety of pressing Native American issues.

NNALEA is a unique culturally sensitive organization. Its allegiance to the Constitution of the United States of America, its respect of Tribal Sovereignty and its commitment to the advancement of Tribal citizens and Tribal communities garners Indian Country support, cooperation, partnership and collaboration on a wide variety of issues of national importance to Indian Country and the Nation. NNALEA is the only National Association whose primary focus is Indian Country Law Enforcement.

WCPI Overview

The mission of the Western Community Policing Institute is to improve the interaction and cooperation between police, community, and government to promote the development of community-based partnerships and problem solving to prevent crime, reduce the fear of crime, and enhance the quality of life throughout the region.

Western Community Policing Institute has developed, delivered, and provided cutting-edge training and technical assistance for a wide variety of topics, including Developing Community Police Teams, Community Policing Problem Solving, Crime Prevention Through Environmental Design (CPTED), Police Integrity, Domestic Violence Prevention, Clandestine Labs, Landlord Training, Methamphetamine Prevention, and Homeland Security training. The central core of all WCPI trainings is building ethical, collaborative problem-solving partnerships. Trainings include: building and sustaining effective and efficient problem-solving groups (teams), leadership development, emotional intelligence, problem-solving strategies, conflict resolution and communication with understanding.

Founded in 1996 as part of the Regional Community Policing Institute (RCPI) national network, WCPI is a training partner with the Department of Homeland Security/FEMA; Department of Justice COPS; and Department of Justice, Bureau of Justice Assistance. WCPI employs a highly qualified full-time staff that has extensive educational and professional backgrounds including PhD and Masters level education, and over 75 years of public safety experience. WCPI's staff includes experts in curriculum and program development, national program delivery, scheduling, logistics, and event planning, and law enforcement/public safety programs.

WCPI has provided problem-solving partnership and team building training to public safety agencies and communities across the United States, including training to over 3,000 Tribal members and representatives by providing TRGP and other training opportunities to over 200 tribes nationwide, including Alaska. Currently, WCPI is working on several Tribal-specific initiatives. WCPI has partnered with the National Native American Law Enforcement Association (NNALEA) to develop and deliver Tribal-focused homeland security regional collaboration training. Recently, WCPI developed a partnership with Tribal youth at the Chemawa Indian School, Salem, Oregon, and the Marion County Sheriff's Office to develop youth leadership skills by creating a Tribal-youth based Methamphetamine prevention training program.

As threats of terrorism increased and evolved and significant natural and man-made disasters continue to threaten our communities, WCPI saw the need to approach homeland security by improving the capabilities and collaboration of public safety personnel, governmental and non-governmental organizations, school and post-secondary education officials, medical professionals, tribal leaders, and community members. To respond to this need, in 2004, the Western Community Policing Institute (WCPI) was awarded a grant from the Department of Homeland Security Office of Grants and Training to develop a community-outreach approach to homeland security training that focuses on collaboration and the best efforts of the whole community, including the public and private sector. Through this, the WCPI developed Creating Vigilant, Prepared, and Resilient Communities for Homeland Security: An all-hazards approach to events of national significance, which was subsequently certified for national delivery (Course #AWR182) and The Leader's Role in Creating Vigilant, Prepared, and Resilient Communities (Course #AWR196).

In 2007, WCPI received an additional aware from DHS to develop homeland executive leadership training. This unique program, Scenario-Based Executive Leadership Training (SBELT), is currently in the development phase and is expected to undergo the certification process in late 2008.

Capabilities Aggregation Method (CAM 3C)
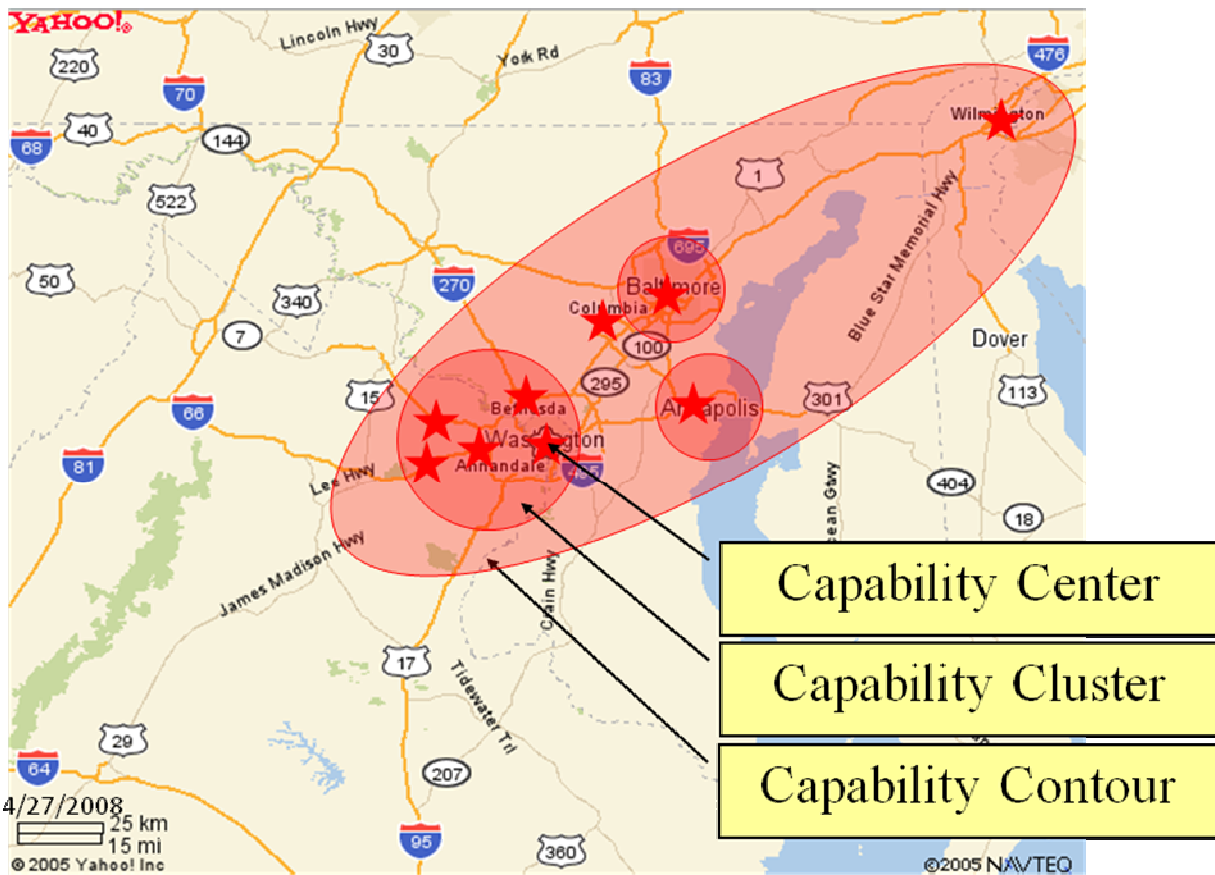
Source: Summary Of The Capability Aggregation Methodology—Center, Cluster, Contour (CAM-3C), Homeland Security Institute, 2005.

Exemplar Memorandum of Understanding (MOU)

This Memorandum of Understanding ("MOU") is entered into on this ___ day of _____, 2008 [Note: You should insert here the specific date for your MOU.], by the following stakeholders: [Note: You should insert here the identity of each stakeholder participating in your regionalization initiative.], and any other stakeholder who may lawfully join from time to time as will be reflected by an assigned numbered signatory page that will become an addendum to this MOU (collectively "the Stakeholders").

WITNESSTH

WHEREAS, the Stakeholders have devised the _____ [Note: You should insert here the identity of your regionalization initiative.], which is an all-hazard approach to Homeland Security with special emphasis on working together to achieve the National Preparedness Goal in the mission areas of preparedness, prevention, response and recovery, and targeted capabilities of, but not limited to: interoperable communications, intelligence and information sharing, and critical infrastructure and key resource protection in the Stakeholders' Region [Note: This is an example overview of a strategic plan for a regionalization initiative. You should tailor this overview to fit the strategic plan for your regionalization initiative.];

WHEREAS, the State of _____ [Note: You should insert here the state stakeholder in your regionalization initiative that intends to submit grant applications for funding the regionalization initiative. If there are multiple state stakeholders in your regionalization initiative, then you should repeat this paragraph for each state stakeholder.] intends to submit grant applications for funding from the Department of Homeland Security and other funding sources for the implementation and performance of the _____ [Note: You should insert here the identity of your regionalization initiative.] in coordination with the State of _____, the State of _____, and the State of _____ [Note: You should insert here the identity of all of the other state stakeholders who will also be submitting grant applications for funding your regionalization initiative. If there are no other state stakeholders, then you should delete the "in coordination" phrase.];

WHEREAS, _____ [Note: You should insert here the identity of every Federal stakeholder that agrees to participate in your regionalization initiative.] and all other Federal stakeholders who may lawfully join the _____ [Note: You should insert here the identity of your regionalization initiative.] from time to time as will be reflected by an assigned numbered signatory page that will become an addendum to this MOU, each agree to use their respective best initiatives to fully participate and cooperate in the _____ [Note: You should insert here the identity of your regionalization initiative.] should funding be obtained from the Department of Homeland Security and other funding sources for the _____ [Note: You should insert here the identity of your regionalization initiative.];

WHEREAS, _____ [Note: You should insert here the identity of every state stakeholder that agrees to participate in your regionalization initiative.] and all other state stakeholders who may lawfully join the _____ [Note: You should insert here the identity of your regionalization initiative.] from time to time as will be reflected by an assigned numbered signatory page that will become an addendum to this MOU, each agree to use their respective best initiatives to fully participate and cooperate in the _____ [Note: You should insert here the identity of your regionalization initiative.] should funding be obtained from the Department of Homeland Security and other funding sources for the _____ [Note: You should insert here the identity of your regionalization initiative.];

WHEREAS, _____ [Note: You should insert here the identity of every local stakeholder that agrees to participate in your regionalization initiative.] and all other local stakeholders who may lawfully join the _____ [Note: You should insert here the identity of your regionalization initiative.] from time to time as will be reflected by an assigned numbered signatory page that will become an addendum to this MOU, each agree to use their respective best initiatives to fully participate and cooperate in the _____ [Note: You should insert here the identity of your regionalization initiative.] should funding be obtained from the Department of Homeland Security and other funding sources for the _____ [Note: You should insert here the identity of your regionalization initiative.];

WHEREAS, _____ [Note: You should insert here the identity of every tribal stakeholder that agrees to participate in your regionalization initiative.] and all other tribal stakeholders who may lawfully join the _____ [Note: You should insert here the identity of your regionalization initiative.] from time to time as will be reflected by an assigned numbered signatory page that will become an addendum to this MOU, each agree to use their respective best initiatives to fully participate and cooperate in the _____ [Note: You should insert here the identity of your regionalization initiative.] should funding be obtained from the Department of Homeland Security and other funding sources for the _____ [Note: You should insert here the identity of your regionalization initiative.];

WHEREAS, the Stakeholders agree that _____ [Note: You should insert here the identity of the private or non-governmental organization that is to serve as liaison for your regionalization initiative. If there will be multiple private or non-governmental organizations serving as liaisons, then you should repeat this paragraph for each specific organization.] will serve as liaison for the _____ [Note: You should insert here the identity of your regionalization initiative.] and will coordinate and facilitate meetings and conferences and act as the overall point of contact for the Stakeholders should funding be obtained from the Department of Homeland Security and other funding sources for the _____ [Note: You should insert here the identity of your regionalization initiative.]; and

WHEREAS, _____ [Note: You should insert here the identity of the private or non-governmental stakeholder that has agreed to serve as a liaison for your regionalization initiative. If more than one organization has agreed to serve as liaison, then you should repeat this paragraph for each organization.] agrees to use its best initiatives to serve as liaison and to coordinate and facilitate all _____ [Note: You should insert here the identity of your regionalization initiative.] meetings and conferences and act as the overall point of contact for the Stakeholders should funding be obtained from the Department of Homeland Security and other funding sources for the _____ [Note: You should insert here the identity of your regionalization initiative].

NOW, THEREFORE, the Stakeholders hereto, in consideration of the premises set forth above, agree and consent that they will each cooperate, support, collaborate, administer, perform, and otherwise work together in developing the _____ [Note: You should insert here the identity of your regionalization initiative.], and in performing the _____ [Note: You should insert here the identity of your regionalization initiative.] should funding be obtained from the Department of Homeland Security and other funding sources for the _____ [Note: You should insert here the identity of your regionalization initiative.].

Stakeholder Signature Page 1

By signing this Agreement you affirmatively state that you have the authority to sign this MOU on behalf of _____. [Note: You should insert here the identity of the stakeholder on whose behalf the person signing this page is executing this Agreement.]

_____

[Note: You should insert here the following information: the name and title of the person signing this agreement, the identity of the stakeholder for whom the person is executing this agreement, and the date the person signed this agreement.]

[Note: You should repeat this Stakeholder Signature Page for each stakeholder in your regionalization initiative. As you repeat, you should number each Stakeholder Signature Page consecutively, starting with the Number 1.]

Exemplar Organizational Structure and Modus Operandi

[Note: This is an exemplar of an Organizational Structure and Modus Operandi document that might be used in a regionalization initiative. The hypothetical regionalization initiative in this document has been named the "XYZ REGION."]

I.   ORGANIZATIONAL STRUCTURE

      A.   Overview

The XYZ REGION utilizes an innovative participatory management structure. The XYZ REGION management structure is comprised of the following: (a) the Primary Organizations; (b) the Specialized Working Groups; and (c) the Liaison. Each is further specified below.

      B.   XYZ REGION Primary Organizations

The XYZ REGION Primary Organizations are: (a) the XYZ REGION Management Board; (b) the XYZ REGION Management Advisory Committee; and (c) the XYZ REGION Fiscal Advisory Committee. Each is further specified below.

            1.   XYZ REGION Management Board

The XYZ REGION Management Board shall be the ultimate decision making and management organization for the XYZ REGION. The Board shall consist of twelve directors comprising a representative sample of the Federal, state, local, and tribal stakeholders located within the XYZ REGION. Once assembled, the Board shall adopt a set of bylaws. The bylaws shall prescribe the operation and voting procedures, among other things, of the Board.

            2.   XYZ REGION Management Advisory Committee

The XYZ REGION Management Advisory Committee shall function as the management information system for the XYZ REGION Management Board. This Committee shall be comprised of representatives from each participating XYZ REGION stakeholder. Each representative shall be appointed by the respective state, local, or tribal stakeholder for whom each member represents. It is recommended that each member appointee be versed in homeland security issues. Once assembled, this Committee shall adopt a set of guidelines. These guidelines shall prescribe the operation and voting procedure of this Committee.

            3.   XYZ REGION Fiscal Advisory Committee

The XYZ REGION Fiscal Advisory Committee shall function as the fiscal information system for the XYZ REGION Management Board. This Committee shall be comprised of one representative from each of the state stakeholders participating in the XYZ REGION. It is recommended that each state's representative be that state's State Administrative Agency representative. Of note, only state stakeholders located within the XYZ REGION shall have representative members on the XYZ REGION Fiscal Advisory Committee, as per the current legislation and dictates of the Department of Homeland Security, Homeland Security funding to be used for the XYZ REGION is to be administered through the states. Once assembled, this Committee shall adopt a set of guidelines. These guidelines shall prescribe the operation and voting procedure of this Committee.

       C.   XYZ REGION Specialized Working Groups

The XYZ REGION Management Advisory Committee and the XYZ REGION Fiscal Advisory Committee may utilize Specialized Working Groups to aid them in the performance of their respective "Project Tasks" discussed in Section II below. Each Specialized Working Group shall be assembled by the XYZ REGION Liaison, and composed of Federal, state, local, tribal, and/or private or non-governmental stakeholders who have specialized expertise on particular issues pertinent to Homeland Security strategies.

       D.   XYZ REGION Liaison

The XYZ REGION Liaison shall be responsible for coordinating and facilitating the following within the XYZ REGION structure: (a) the operation and performance of each XYZ REGION Primary Organization; (b) the interaction between the XYZ REGION Primary Organizations; (c) the assembly and performance of the XYZ REGION Specialized Working Groups; (d) the interaction between the XYZ REGION Specialized Working Groups and the XYZ REGION Primary Organizations; and (e) the interaction of the XYZ REGION Management Board with the Department of Homeland Security. The XYZ REGION Liaison shall be a private or non-governmental organization with liaison expertise.

II.   XYZ REGION MODUS OPERANDI

       A.   Overview

The premise of the Modus Operandi for the XYZ REGION is TEAM -- Together Everyone Achieves More. As such, in the XYZ REGION the XYZ REGION Federal, state, local, tribal and private or non-governmental stakeholders shall work together in teams within the XYZ REGION management structure to perform several "Project Tasks" in pursuit of homeland security gap analysis and gap elimination in the XYZ REGION. The XYZ REGION Liaison shall coordinate and facilitate the performance of these "Project Tasks" in accordance with the management structure established for the XYZ REGION. The XYZ REGION "Project Tasks" are discussed in more detail below.

       B.   XYZ REGION "Project Tasks"

             Project Task 1 – Identification of Capability-Based Projects for the XYZ REGION

"Project Task 1" includes the identification of the capability-based projects needed to be performed within the XYZ REGION. These tasks are identified based upon a gap analysis assessment derived from uniform research conducted on each stakeholder's respective homeland security capabilities and preparedness.

             Project Task 2 -- Information Gathering, Findings/Recommendations Preparation, and Proposal Development by the XYZ REGION Management Advisory Committee

"Project Task 2" includes information gathering, finding and recommendations preparation, and proposal development for each of the capability-based projects identified for the XYZ REGION. "Project Task 2" for each capability based project identified shall be performed by the XYZ REGION Management Advisory Committee. The XYZ REGION Liaison shall coordinate and facilitate the operation and performance of the XYZ REGION Management Advisory Committee for the "Project Task 2." In addition, the XYZ REGION Management Advisory Committee shall have Specialized Working Groups assembled by the XYZ REGION Liaison to provide the Committee with specialized information the Committee needs for the preparation of its findings and recommendations, and for the development of its proposal.

Project Task 3 -- XYZ REGION Management Advisory Committee Presentations

"Project Task 3" includes presentations to be made by the XYZ REGION Management Advisory Committee to the XYZ REGION Management Board. These presentations shall pertain to the information gathered, the findings and recommendations prepared, and the proposals developed by the XYZ REGION Management Advisory Committee for each capability based project identified for the XYZ REGION. The XYZ REGION Liaison shall coordinate and facilitate the presentations between the XYZ REGION Management Advisory Committee and the XYZ REGION Management Board.

Project Task 4 -- XYZ REGION Management Board's Deliberations and Initial Resolutions

"Project Task 4" includes deliberations to be performed by the XYZ REGION Management Board, and initial resolutions to be issued by the XYZ REGION Management Board. More particularly, the Board shall deliberate on the information, findings, recommendations, and proposals presented to it by the XYZ REGION Management Advisory Committee. Thereafter, the Board shall vote and issue its initial resolutions on the proposals presented by the XYZ REGION Management Advisory Committee. With regard to each proposal presented, the Board shall issue one of the following three initial resolutions: (a) a "Preliminary Approval Resolution" ("PAR"); (b) an "Additional Advisement Resolution" ("AAR"); or (c) a "Denial Resolution" ("DR").

If the XYZ REGION Management Board issues a PAR with regard to a proposal of the XYZ REGION Management Advisory Committee, then the proposal is submitted to the XYZ REGION Fiscal Advisory Committee for its findings and recommendations regarding the fiscal feasibility of the proposal.

If the XYZ REGION Management Board issues an AAR with regard to a proposal of the XYZ REGION Management Advisory Committee, then the proposal is returned to the XYZ REGION Management Advisory Committee for performance by said Committee of additional "Project Task 2" work, which may thereafter parlay into additional "Project Task 3" work on said proposal.

If the XYZ REGION Management Board issues a DR with regard to a proposal of the XYZ REGION Management Advisory Committee, then the proposal is extinguished.

Project Task 5 -- Fiscal Feasibility Findings and Recommendations of the XYZ REGION Fiscal Advisory Committee

"Project Task 5" includes fiscal feasibility findings and recommendations to be prepared by the XYZ REGION Fiscal Advisory Committee. "Project Task 5" is performed on XYZ REGION Management Advisory Committee proposals on which the XYZ REGION Management Board has issued a PAR. The XYZ REGION Liaison shall coordinate and facilitate the operation and performance of the XYZ REGION Fiscal Advisory Committee for the "Project Task 5" work. In addition, the XYZ REGION Fiscal Advisory Committee may have Specialized Working Groups assembled by the XYZ REGION Liaison to provide the Committee with specialized information that the Committee needs for the preparation of its findings and recommendations. The interaction between the assembled Specialized Working Groups and the XYZ REGION Fiscal Advisory Committee shall be coordinated and facilitated by the XYZ REGION Liaison.

Project Task 6 -- XYZ REGION Fiscal Advisory Committee Presentations

"Project Task 6" includes presentations to be made by the XYZ REGION Fiscal Advisory Committee to the XYZ REGION Management Board. These presentations shall pertain to the findings and recommendations prepared by the XYZ REGION Fiscal Advisory Committee on the fiscal feasibility of proposals on which the XYZ REGION Management Board issued a PAR. The XYZ REGION Liaison shall coordinate and facilitate the presentations between the XYZ REGION Fiscal Advisory Committee and the XYZ REGION Management Board.

Project Task 7 -- XYZ REGION Management Board's Deliberations and Final Resolutions

"Project Task 7" includes deliberations to be performed by the XYZ REGION Management Board, and final resolutions to be issued by the XYZ REGION Management Board. The Board shall deliberate on the findings and recommendations presented to it by the XYZ REGION Fiscal Advisory Committee pertaining to the proposals on which the Board previously issued a PAR. Thereafter, the Board shall vote and issue its final resolutions on the proposals. With regard to each proposal, the Board shall issue one of the following two final resolutions: (a) "Final Approval Resolution" ("FAR"); or (b) "Denial Resolution" ("DR").

When the XYZ REGION Management Board issues a FAR with regard to a proposal, then the proposal shall be implemented into the XYZ REGION. Of note, when a proposal is issued a FAR, the proposal may be in the form drafted by the XYZ REGION Management Advisory Committee or it may have modifications based upon fiscal feasibility. Any such modifications must be set forth in the FAR issued for the proposal by the XYZ REGION Management Board.

If the XYZ REGION Management Board issues a DR with regard to a proposal, then the proposal is extinguished.

Project Task 8 -- Implementation of Proposals Issued a FAR

"Project Task 8" includes implementation of proposals that have been issued a FAR by the XYZ REGION Management Board. The procedure for the actual implementation into the XYZ REGION of a given proposal shall be set forth in the proposal itself with any modifications thereto being identified in the FAR by the Board. The XYZ REGION Management Advisory Committee and the XYZ REGION Fiscal Advisory Committee shall provide oversight assistance for the XYZ REGION Management Board with regard to the implementation of each proposal issued a FAR. The XYZ REGION Liaison shall facilitate the implementation, and coordinate and facilitate the oversight assistance between the Board and the Committees.

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Website Links

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Emergency Management Assistance Compact (EMAC) www.emacweb.org
Federal Emergency Management Agency (FEMA) www.fema.gov/
Lessons Learned Information Sharing (LLIS) https://www.llis.dhs.gov/index.do
National Native American Law Enforcement Association (NNALEA) www.nnalea.org/
National Response Framework Resource Center http://www.fema.gov/emergency/nrf/
Western Community Policing Institute (WCPI) www.westernrcpi.com/
Western Oregon University (WOU) www.wou.edu/