MOUNTAIN-PLAINS CONSORTIUM

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Emergency Preparedness Handbook for Tribal Governments

PREPARE
DURING A DISASTER, IT IS TOO LATE TO PLAN

Emergency Preparedness Handbook for Tribal Governments

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Disclaimer

ABSTRACT

Many Native American tribal governments are lacking in emergency preparedness, a part of the emergency management cycle where planning for disasters happens. These governments need assistance planning for future disasters. Federal, and state governments, along with other agencies and organizations, have the knowledge and resources to help tribal governments develop emergency response plans.

This handbook is a resource to help tribes develop and implement an emergency preparedness plan for responding to natural and man-made disasters if and when they occur.

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

1. INTRODUCTION

1.1 What is the Problem

Responding to an emergency and properly protecting the public and property require considerable advanced planning. Not all emergencies can be handled solely by Native American tribal governments. Like other governments, tribes may need assistance in both emergency response and in planning for future disasters. Federal and state governments, along with others, have the knowledge and resources to help tribes develop emergency preparedness plans and execute those plans.

1.2 What is Emergency Management

The United Nations Office for Disaster Risk Reduction defines emergency management as the "organization and management of resources and responsibilities for dealing with all aspects of emergencies, in particular preparedness, response and rehabilitation. This is also known as disaster management" (*Terminology*, 2004).

Emergency management is used by all types of jurisdictions from the federal government to small towns and is separated into four phases (not counting the event/disaster) as illustrated in Figure 1.1. For the purpose of understanding the emergency management phases, this Handbook will start with the event. An event/disaster is where a natural disaster, such as a flood, or a man-made disaster, such as a train derailment, occurs. Response is the phase in which life saving measures occur along with attempts to stop the disaster, if possible. Response actions include evacuating people, giving medical aid, sandbagging along river banks, etc. Recovery is the phase following the disaster and where the focus shifts to clean-up and rebuilding. Mitigation is where the jurisdictions involved try to lessen the impact of future disasters' (e.g. moving structures farther back from rivers and placing them on higher ground that will not be prone to future flooding). Preparation is the phase where planning for future disasters occurs. In this phase,

Figure 1.1 Emergency Management Phases

decisions are made about how best to respond should a disaster occur. Each part of the cycle is important, but the preparedness phase is especially critical for identifying how response and recovery is handled in the future in order to lessen the impacts of disasters.
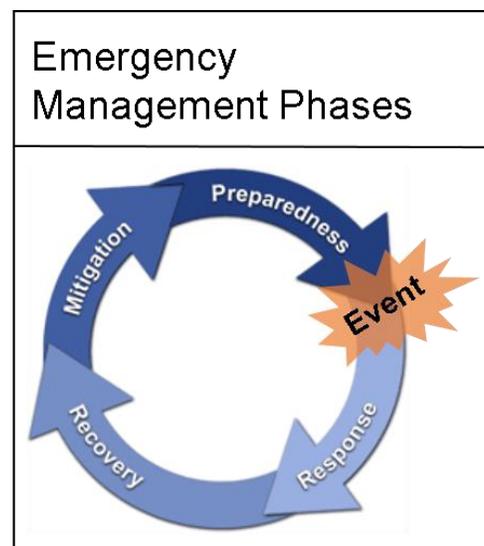
Because disasters happen infrequently and often unexpectedly, it is important that those tasked with responding to disasters are prepared to do so. This process of preparing can be described as a cycle as well. The Federal Emergency Management Agency (FEMA) defines the preparedness phase as "a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action in an effort to ensure effective coordination during incident

response." (*IS-700,* 2009). FEMA additionally states that planning "makes it possible to manage the entire life cycle of a potential crisis. Strategic and operational planning establishes priorities, identifies expected levels of performance and capability requirements, provides the standard for assessing capabilities and helps stakeholders learn their roles" (*IS-700*, 2009).

Planning is the backbone of emergency management. Without planning, responders cannot train or evaluate their actions and make corrective action before a disaster occurs. The preparedness cycle, like the rational planning process, is a continuous undertaking in which the overall goals are to save lives and reduce the effect of disasters.

1.3   Handbook Contents

The remaining sections of this Handbook present resources that are available to tribes that wish to develop an emergency preparedness plan, step-by-step instructions on how to develop a plan, and sample emergency preparedness plans. For the full list of acronyms used in this Handbook see Appendix A.
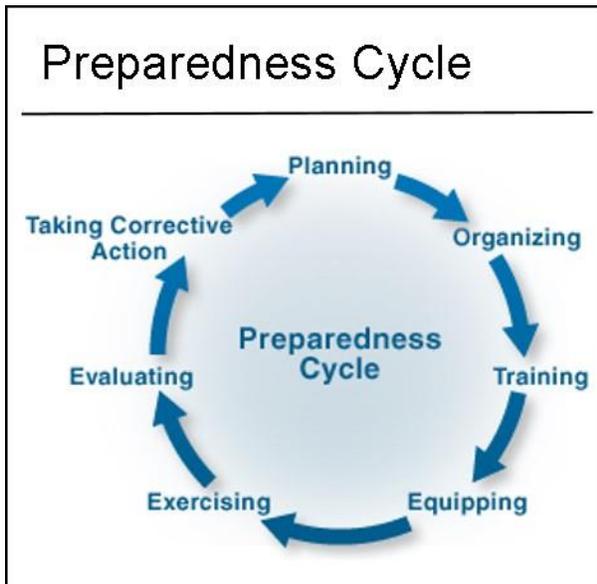
 Figure 2.1 Preparedness Cycle

2.   RESOURCES

2.1   Specific Tribal Issues

The development of this Handbook included a survey that was sent to tribes through the Tribal Technical Assistance Program (TTAP). Respondents were asked to identify specific issues or problems that they have encountered while planning or implementing their tribe's emergency management plan. Responses related primarily to a lack of knowledge and a lack of funding.

Following are sources of emergency preparedness-related information and training. A narrative description of each resource is provided to help tribal planners understand the processes involved in developing their tribe's emergency management plan.

The Federal Emergency Management Agency (FEMA) has a multitude of technical assistance toolkits and grant programs to help local and tribal governments with emergency preparedness efforts. Related grants address issues such as preparedness, firefighting, hazard mitigation, and disaster assistance. A full menu of FEMA's grants and services is available at www.fema.gov/grants.

Additional funding resources may be found at Grants.gov: www.grants.gov/web/grants/home.html.

Grants.Gov is an online database of grants available from federal agencies. Tribes may want to search for grants by accessing the search box in the upper right side of the site and entering keywords such as disaster, emergency, planning, recovery, or preparedness. The keyword search may also be filtered by using "Eligibility for Native American tribal governments" (federally recognized) and "Native American tribal organization" (other than federally recognized tribal governments).

In addition to the technical assistance and funding sources identified in the previous paragraphs, tribes may be able to access emergency preparedness and response information and funding from other federal and state agencies and non-governmental organizations (NGOs). Many of these potential resources are identified in the following subsections.

2.2   Working with State and Federal Governments

Depending in which state(s) tribal land is located in, tribes may want to consider if it is most effective to work through the state or go directly to the federal government for help with disaster response. When asking for outside help from either state(s) or federal governments, the tribe must first declare an emergency then make an emergency and major disaster declaration request. The federal government, through FEMA and/or other agencies, can assist with recovery as well as with preparedness for future disasters. For information on how to make emergency and major disaster declaration requests, access FEMA's Tribal Declaration and Disaster Assistance website at www.fema.gov/tribal-declaration-and-disaster-assistance-resources.

2.3   Federal Departments and Agencies

FEMA is perhaps the logical place to start for all things related to emergency management. FEMA can help with all four phases of the emergency management cycle, along with funding. Most of FEMA's information and training courses are available online at www.fema.gov/. This site includes two subset websites: Ready.Gov and FloodSmart.Gov. Ready.Gov, is a "national public service advertising (PSA) campaign designed to educate and empower Americans to prepare for and respond to emergencies including natural and man-made disasters" (*About Us*, 2013). The website is: www.ready.gov/. This website is a good information source for the general public and businesses. FloodSmart.Gov is a source for flood information and flood insurance; its website is www.floodsmart.gov/floodsmart/.

Other federal agencies have helpful information and funding for emergency management based on the agency's jurisdiction. For example, the Department of Transportation (DOT) has the Federal Highway Administration (FHWA) Emergency Relief Program. The program uses "the Highway Trust Fund [to assist with] the repair or reconstruction of Federal-aid highways and roads on Federal lands which have suffered serious damage as a result of (1) natural disasters or (2) catastrophic failures from an external cause" (*Description*, 2013). All of DOT's emergency management information (including preparedness, response, and recovery) is available at www.dot.gov/emergency.

Table 2.1 provides a partial listing of federal online resources related to emergency management and preparedness.

Table 2.1 Federal Online Resources for Emergency Management / Preparedness

Department or Agency	Type of source	Website	Comments
Grants.Gov	Funding	www.grants.gov/web/grants/home.html	Grants.Gov is an online database of grants available from different federal departments and agencies.
FEMA	Information	www.fema.gov/	FEMA's homepage
FEMA	Funding	www.fema.gov/grants	FEMA grants
FEMA	Funding	www.fema.gov/welcome-assistance-firefighters-grant-program	Assistance to Firefighters Grant Program
FEMA	Funding	www.fema.gov/media-library-data/20130726-1819-25045-2871/local_grant_writing_guide.pdf	FEMA's Grant Writing Guide
FEMA	Information	www.fema.gov/national-flood-insurance-program	National Flood Insurance Program
FEMA	Information	www.fema.gov/national-flood-insurance-program-flood-hazard-mapping	National Flood Insurance hazard mapping
FEMA	Information	www.fema.gov/state-offices-and-agencies-emergency-management	Contact information for all state emergency management offices and agencies
FEMA	Planning	www.fema.gov/planning-resources	Planning resource page
FEMA	Planning	www.training.fema.gov/EMIWeb/IS/IS235B/IS235B.pdf	FEMA's Emergency Planning Independent Study Course
FEMA	Planning	www.training.fema.gov/EMIWeb/emischool/EL361Toolkit/assets/FEMA_CPG101.pdf	FEMA's Developing and Maintaining Emergency Operations Plans Guide
FEMA	Training	www.training.fema.gov/IS/crslist.aspx?all=true	All of FEMA's online training through the Emergency Management Institute
FEMA	Training	www.fema.gov/pdf/emergency/nims/nims_training_program.pdf	FEMA's National Incident Management System (NIMS) training
FEMA / FloodSmart	Information	www.floodsmart.gov/floodsmart/	FEMA's FloodSmart.Gov homepage for flood information
FEMA / Ready	Information	www.ready.gov/	FEMA's program Ready.Gov homepage. Emergency preparedness information for general public and businesses
CDC	Information	www.emergency.cdc.gov/	Center for Disease Control and Prevention (CDC) emergency preparedness and response information

Department or Agency	Type of source	Website	Comments
CDC	Planning	www.emergency.cdc.gov/planning/	CDC emergency preparation and planning
CDC	Training	www.emergency.cdc.gov/training/	CDC emergency training and education
DOT	Information	www.dot.gov/	Department of Transportation (DOT) homepage
DOT	Information	www.dot.gov/emergency	DOT's emergency preparedness, response, and recovery information
DOT	Information	www.transit-safety.volpe.dot.gov/Emergency/Preparedness/	Federal Transit Administration emergency preparedness / emergency management information
EPA	Information	www.epa.gov/	Environmental Protection Agency (EPA) homepage
EPA	Information	www.epa.gov/emergencies/	EPA's Emergency management information
EPA	Information	water.epa.gov/action/emerprep/	EPA's Emergency preparedness for drinking water, septic systems, and emergency disinfection
FDA	Information	www.fda.gov/emergencypreparedness/default.htm	Food and Drug Administration (FDA) emergency preparedness and response information
FDA	Information	www.fda.gov/Drugs/EmergencyPreparedness/default.htm	FDA's disaster response based on type of disaster
HHS	Information	www.hhs.gov/	Health and Human Services (HHS) homepage
HHS	Information	www.phe.gov/about/oem/pages/default.aspx	Public Health Office of Emergency Management
HHS	Information	www.phe.gov/preparedness/Pages/default.aspx	Public Health emergency preparedness
HHS	Information	www.phe.gov/emergency/pages/default.aspx	Public Health emergency information
HUD	Information	portal.hud.gov/hudportal/HUD	Housing and Urban Development (HUD) homepage
HUD	Information	portal.hud.gov/hudportal/HUD?src=/info/disasterresources	HUD disaster resources
USDA	Information	www.usda.gov/wps/portal/usda/usdahome	Department of Agriculture (USDA) homepage

Department or Agency	Type of source	Website	Comments
USDA	Information	www.usda.gov/wps/portal/usda/usdahome?contentid=Emergency_Preparedness_and_Response.html	USDA's Emergency preparedness and response information
USDA	Planning	awic.nal.usda.gov/find-animal-emergency-and-disaster-planning-information	USDA's Animal emergency and disaster planning information
USDA / APHIS	Information	www.aphis.usda.gov/wps/portal/aphis/home/	Animal and Plant Health Inspection Service (APHIS) homepage
USDA / APHIS	Information	www.aphis.usda.gov/wps/portal/aphis/ourfocus/emergencyresponse	APHIS emergency response
USDA / APHIS	Information	www.aphis.usda.gov/wps/portal/aphis/ourfocus/emergencyresponse?1dmy&urile=wcm%3apath%3a%2Faphis_content_library%2Fsa_our_focus%2Fsa_emergency_response%2Fsa_esf11%2Fsa_resources	APHIS emergency resources
USDA / APHIS	Training	www.aphis.usda.gov/wps/portal/aphis/ourfocus/emergencyresponse?1dmy&urile=wcm%3apath%3a%2Faphis_content_library%2Fsa_our_focus%2Fsa_emergency_response%2Fsa_esf11%2Fsa_tools_and_training%2Fct_tools_train	APHIS tools and training

2.4   Tribal Specific Federal Programs

Some federal agencies have specific information or programs for tribal emergency preparedness, response, and recovery. Both FEMA and the Environmental Protection Agency (EPA) have emergency management information specifically for tribes. The Bureau of Indian Affairs (BIA) and Indian Health Service (IHS) provide services solely to Native Americans.

FEMA's tribal-specific website at www.fema.gov/fema-tribal-affairs and FEMA's program, Ready.Gov, is available at www.ready.gov/make-a-plan/indian-country. FEMA, through the Emergency Management Institute (EMI), has a tribal curriculum website at www.training.fema.gov/Tribal/descriptions.aspx. This website has EMI courses geared toward tribal governments ranging from two days to four days long. The website also has a link to a list of suggested FEMA online independent study (IS) courses for new tribal emergency managers at www.training.fema.gov/Tribal/suggested.aspx.

EPA information and websites for tribes is divided based on which EPA region the tribe is located in; EPA's regional map is at www.epa.gov/tribal/whereyoulive/regions.htm. EPA's Region 10 has a workbook titled *Guidance for Preparing Tribal Emergency Response Plans* online at www.ecy.wa.gov/epcra/guidanceforpreparingtribalerpsfinal.pdf.

The BIA provides services to tribes along with contracts, grants, and compacts based on the government-to-government relationship the federal government has with federally recognized tribes. Some of the services the BIA provides are "social services, natural resources management, economic development programs, law enforcement and detention services, disaster relief, and repair and maintenance of roads and bridges" (*What We Do*, 2014). BIA's homepage is www.bia.gov/ and a list of related services may be found at www.bia.gov/WhatWeDo/index.htm. The BIA's two main disaster response programs are the Emergency Management Division at www.bia.gov/WhoWeAre/BIA/OJS/asstdir/ojs-emd/index.htm and the Burned Area Emergency Response (e.g. wildfires) at www.bia.gov/nifc/fuels/burnarea/index.htm.

IHS is "an agency within the Department of Health and Human Services, responsible for providing federal health services to American Indians and Alaska Natives" (*Agency Overview*, 2014). IHS's homepage is www.ihs.gov/. Its emergency preparedness information is at www.ihs.gov/chr/index.cfm?module=prepare.

2.5   Tribal Organizations

Several tribal organizations assist tribal governments with emergency management. This support comes in many forms with most tribal organizations providing assistance with training and planning. The organizations also help foster collaboration among tribes and between tribes and federal and state agencies.

Table 2.2 provides a listing of tribal organizations that are resources for tribal emergency management and preparedness.

Table 2.2 Tribal Organizations

Organization	Website	Comments
Inter Tribal Council of Arizona	itcaonline.com/ itcaonline.com /?page_id=60	ITCA is a non-profit corporation that administers more than twenty federal, state and private grants and contracts in a variety of areas including health, research, and environmental quality. ITCA staff provides technical assistance, disseminates information and conducts trainings to help Tribal governments operate programs that comply with federal regulations and policies and protect the health and safety of tribal members. There are two programs to help tribes plan, prepare, and respond to emergency situations involving public health, hazardous materials, and other hazards.
Inter-Tribal Council of California	www.itccinc.org/ www.itccinc.org/ ctemhs.html	ITCC is a statewide association of more than 35 federally recognized tribes and tribal organizations. This non-profit organization was formed in 1968 to enhance the education, health, economic, cultural, and social status of all Native Americans in California. ITCC advocates and implements policies, programs and projects to strengthen sovereignty and improve the health and well-being of tribal communities. ITCC's California Tribal Emergency Management and Homeland Security Project is designed to include California Tribes in National Incident Management System compliance and general emergency and disaster preparedness efforts.
Inter-Tribal Emergency Management Coalition of Oklahoma	www.itemc.org/	ITEMC was developed in 2004 to address local, state and national all-hazards preparedness planning process in Oklahoma. ITEMC is comprised of Tribal Emergency Management agencies as well as other emergency response agencies, who share information and ideas on improving emergency response for member tribes. Participants include representatives from more than 22 Oklahoma tribes and from the Southwest Center for Public Health Preparedness, U.S. Attorney's Office, Oklahoma State Department of Health, Oklahoma Office of Homeland Security, and Oklahoma Department of Emergency Management.
iTribal Emergency Management Association	www.itema.org/	iTEMA promotes a collaborative, multi-disciplinary approach to prepare for, protect against, respond to, recover from, and mitigate against all hazards that impact tribal communities. iTEMA supports education, training and preparedness activities in a manner that promotes cooperation and equality for the whole community and works to develop partnerships with tribal, federal, state, and local agencies and organizations for the advancement of emergency management and services.
National Tribal Emergency Management Council	www.ntemc.org/	NTEMC is a newly founded organization bringing tribal emergency management organizations from around the nation together to share information and best practices and to discuss public safety/homeland security issues. It provides guidance and tools for member tribes to develop sustainable and all-hazard approaches to emergency management and homeland security through an approach that emphasizes both inter and intra jurisdictional cooperation to maximize resources in mutual aid, training, exercises, planning, and equipping by sharing information and best practices.
Northwest Tribal Emergency Management Council	www.nwtemc.org/	NWTEMC is a non-profit organization formed in 2004 as a consortium of tribes in the northwest region of the state of Washington to help tribes participate in homeland security and emergency management preparedness efforts. Currently the NWTEMC is composed of and serves tribes in Washington, Oregon, Idaho, and Alaska. Efforts are directed at information sharing and solidarity in dealing with homeland security/emergency management/public health issues as they pertain to Native nations.

3.   PLAN DEVELOPMENT

An excellent starting point for the authors of a tribal emergency management plan is Federal Emergency Management Agency's (FEMA) online Independent Study (IS) Emergency Planning course IS-235b: www.training.fema.gov/EMIWeb/IS/courseOverview.aspx?code=IS-235.b. This course helps create an awareness and understanding of underlying concepts such as the 1) National Incident Management System (NIMS) and Incident Command System (ICS), 2) possible threats to tribe and tribal land, and 3) required personnel and other resources.

3.1   National Incident Management System (NIMS) and Incident Command System (ICS)

Federal agencies, along with all states, are mandated by federal law to have a current comprehensive emergency management plan, also known as an emergency action plan or all-hazard plan. Additionally, FEMA mandated that all emergency management departments follow NIMS, in order to make it easier for outside resources to be integrated into local response and recovery following a disaster. "NIMS is a comprehensive, national approach to incident management, that provides the template for incident management, regardless of cause, size, location, or complexity and is applicable at all jurisdictional levels and across functional disciplines" (*IS-700*, 2009). This system is not a plan but it helps planners identify essential principles and concepts for emergency management.

Most emergency plans follow a basic outline which has the plan divided up into a base plan followed by appendices with more in-depth information. The base plan states who is responsible for the plan and who has responsibilities for disaster-related preparedness and response. The base plan also gives a short overview of the jurisdiction with information such as geographic location, population, and the jurisdiction's goals for disaster response. Appendices to the base plan are written based on either the disaster type or on the Emergency Support Function (ESF) number. FEMA established ESFs and all NIMS participants must use the same numbering system, where ESF-1 is transportation, ESF-2 is communications, etc. For the full list of ESFs see Appendix B or go to www.fema.gov/pdf/emergency/nrf/nrf-esf-intro.pdf. The appendices provide in-depth information on which agency or group will respond to a disaster and what their primary roles will be, e.g. traffic control, containment (for spills), etc. The appendix not only explains their roles for response but for the other three phases of emergency management: preparedness, recovery, and mitigation.

Plans need to be written in a way that works best for each jurisdiction, while making it easy for outside agencies and people to follow the plan. NIMS is the foundation for the Incident Command System (ICS) which is used by all outside agencies and jurisdictions for the command and management of personnel and resources. The ICS model, as seen in Figure 3, provides the organizational structure for the Incident Commander, Command Staff and General Staff, who are the top echelon in emergency management during a disaster.
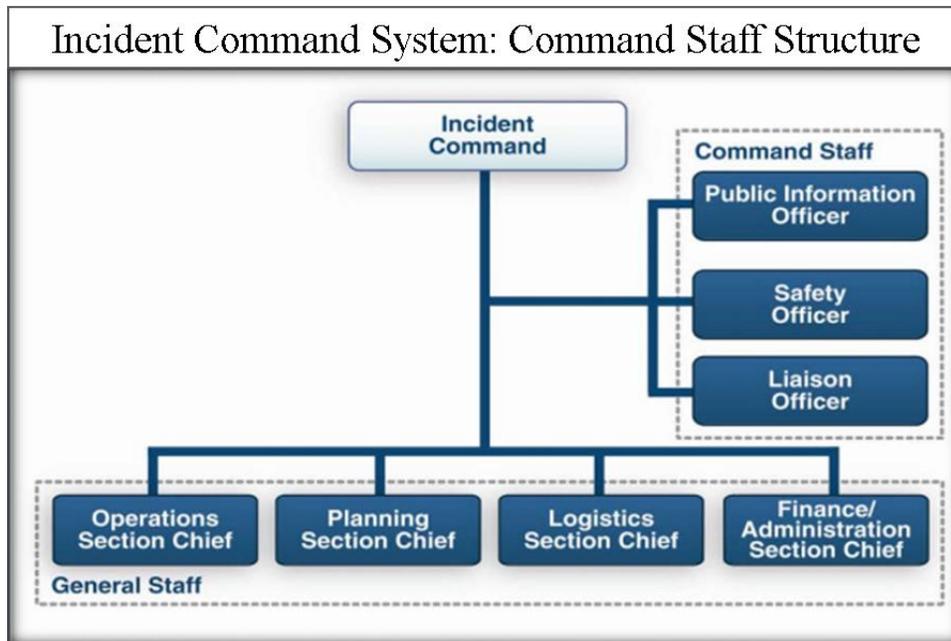
Figure 3.1 Incident Command System: Command Staff Structure

The Incident Command or Incident Commander has overall responsibility of the incident and sets the incident objectives, strategies, and priorities. An example of an Incident Commander is a station fire captain overseeing a house fire. If the fire grows the station fire captain could hand over the command to a battalion fire chief or keep command because the captain is up to speed on its operational and logistical status. Typically the first Incident Commander is one of the first responders to the incident; it is not until the incident grows in either scale and / or time that a new Incident Commander is brought on after being briefed by the outgoing Incident Commander. As Figure 3 illustrates, under the Incident Commander there are two groups of staff, the General Staff which oversees the Operations, Planning, Logistics, and Finance / Administration sections, and the Command Staff.

The Command Staff seen in Figure 3.1 reports and provides support to the Incident Commander. The Public Information Officer assembles accurate "information on the incident's cause, resources committed [to the incident], and other matters of general interest for both internal and external audiences" (*Unit Four*, 2013); they do this by interacting with other agencies, media, and the public. Then, with direction from the Incident Commander the Public Information Officer determines what information needs to be released to the public and what information needs to stay in-house. The Public Information Officer also monitors media and other external information to keep rumors under control and forwards any pertinent information to incident personnel such as the Planning Section and Incident Command. In large incidents the "Public Information Officer should participate in or lead the Joint Information Center in order to ensure consistency in the provision of information to the public" (*Unit Four*, 2013).

The Safety Officer advises "Incident Command on all matters relating to operation safety, including the health and safety of emergency responder personnel" (*Unit Four*, 2013). Though the Incident Commander has ultimate responsible for the safety of all personnel, the Safety Officer can stop or prevent any action that they deem unsafe during incident operations. The

11

Safety Officer also signs off on any medical plans and develops the Incident Safety Plan which establishes necessary procedures to ensure that safety measures are being implemented to keep incident personnel safe.

The Liaison Officer is "Incident Command's point of contact for representatives from other government agencies, non-governmental organizations (NGOs), and/or the private sector (with no jurisdiction or legal authority) to provide input on their organization's policies, resource availability, and other incident related matters" (*Unit Four*, 2013). An example of this is the Liaison Officer coordinating with the Red Cross, an NGO that opens shelters and donation sites for the affected area. To better coordinate with other agencies, the Liaison Officer maintains a list of representatives and their agencies that are assisting in incident-related operations. The Liaison Officer also helps coordinate inter-organizational contacts while identifying current or potential problems stemming from inter-organizational activity.
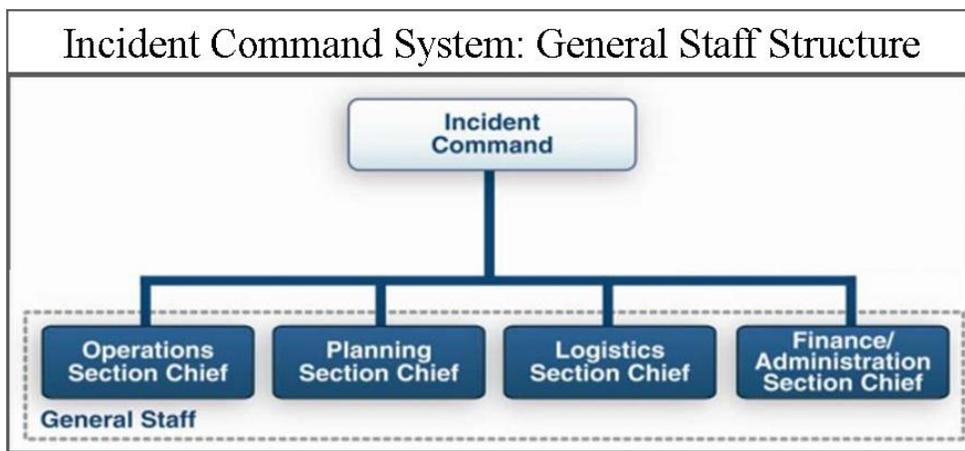
Figure 3.2 Incident Command System: General Staff Structure

The General Staff group seen in Figure 4 responds to or coordinates responses to the incident. The Operations Section Chief establishes the tactics and directs all operational resources. This is done by allocating resources, both personnel and equipment, to tasks that facilitate the achievement of the incident objectives set by Incident Command. An example of this is the sending of search and rescue teams to find victims in the affected area. The Planning Section, Logistics Section, and Finance/Administration Section are "activated as needed to support the incident response directed by the Operation Section" (*Unit Five*, 2013).

The Planning Section Chief oversees the information and documentation on the incident. According to FEMA's *Intro to ICS: General Staff Functions, Unit Five*, 2013, related tasks include:
1. Collecting, evaluating, and displaying incident intelligence and information,
2. Preparing and documenting Incident Action Plans,
3. Tracking resources assigned to the incident,
4. Maintaining incident documentation, and
5. Developing plans for demobilization.

The Logistics Section Chief oversees the coordination of services and support needed to achieve the incident objectives. The Logistics Section does this by "ordering, obtaining, maintaining, and accounting for essential personnel, equipment, and supplies" (*Unit Five*, 2013). Along with managing the resources (i.e. personnel and equipment), the Logistics Section also arranges food and medical services for responders while simultaneously providing facilities for response services and transportation to responders who need it (e.g. flying a search and rescue team into the affected area). The Logistics Section also provides communication resources such as handheld radios so the responders in the field can communicate with each other and with the General Staff.

The Finance/Administration Section Chief oversees the accrued cost of an incident. The Finance / Administration Section is only established when funding for the incident response comes from multiple sources. For example, if the incident is a large fire and the only responders are firefighters from the same department, Finance/Administration Section is not needed because all of the firefighters are already on a payroll. If however, the responders are from different departments or jurisdictions, a Finance/Administration Section can be established or the Incident Commander can manage the cost. When there is a Finance/Administration Section, it is tasked with cost analysis, negotiating and monitoring contracts, tracking reimbursements, compensation for property damage or injury, and timekeeping which helps track personnel for timesheets/payroll.

The following is a recap of FEMA's Incident Commander and General Staff responsibilities as discussed in the preceding pages:
- Incident Commander: sets the incident objectives, strategies, priorities and has overall responsibility for the incident; if there is no section chief, the Incident Commander does the job of that section chief until one is appointed.
- Operations: conducts operations to reach the incident objectives, establishes the tactics and directs all operational resources.
- Planning: supports the incident action planning process by tracking resources, collecting / analyzing information, and maintaining documentation.
- Logistics: provides resources and needed services to support the achievement of the incident objectives.
- Finance/Administration: monitors costs and provides accounting, procurement, time recording, and cost analyses.

3.2   Possible Threats

It is vital that the authors of a tribe's emergency response plan be aware of potential natural and man-made disasters that could happen in or around tribal land (floods, tornadoes, wildfires, train derailments, etc.) In addition to personal familiarity, authors may use Internet search engines (Bing, Google, etc.), to identify common natural disasters in a tribe's state or geographic area.

Another resource for potential disasters that might affect the tribe is to ask tribal elders about disasters that have happened in the past. These elders are also a good source for finding out how the tribe responded to the disaster. Flooding is the most common type of natural disaster and

most flooding is recurring in areas known as floodplains. Because of this, FEMA has a website that shows flood maps: msc.fema.gov/portal.

For man-made disasters such as hazardous waste spills, corresponding information must be collected based on facilities located on or near tribal land or on transportation routes used to move those materials.

Disaster preparedness and emergency response involve more than just tribal officials and staff. The development of emergency response plans should involve not only the tribe, but also private sector partners (e.g. manufacturers and transportation companies), state and county police, other emergency management entities, etc., to develop coordinated responses to disasters. For information on possible man-made threats such as terrorism, law enforcement at the state and federal level might be good resources.

General information on different types of disasters such as flood and drought is available from FEMA's Ready program at www.ready.gov/be-informed. For information specific to natural disasters, planners may want to research www.ready.gov/natural-disasters. Information on man-made disasters is available at www.ready.gov/terrorist-hazards.

3.3   Personnel and Resources

Preparing and executing responsive disaster preparedness plans requires knowledge of human, physical, and monetary resources. Plan authors must determine who and what will be needed to respond to a disaster. Training of related personnel is also necessary to assure that they fully understand their responsibilities and are capable of carrying out related functions. It is also a good idea to have tribal council members, tribal employees, and volunteers trained in NIMS and ICS, along with any specific training based on the possible threats to the tribe and tribal land. General rules for training include:

- Have at least four people trained for a particular job – not everyone will be able to make it to where they need to be at a given time.
- People can be cross-trained – every person involved should be capable of fulfilling two or three jobs.
- Community volunteers are a great source and should be included in local disaster response plans.
- Train more than twice a year to help people get better at their jobs and assure that they will remember their training.
- Know where people are coming from – with most tribal land being rural, be mindful of where people live and work. If a main road is impassible, how long would it take them to get to where they need to be?

There is a core group of people/professions who respond to most disasters (e.g. fire and police). Avoid giving those people additional duties during an emergency. However, planners need to coordinate with fire and police to find out what additional equipment they might need. Based on the possible threats to the tribe and tribal land, plans should examine what resources the tribe has and what resources the tribe might need from outside sources. Tribes do not have to own everything needed to respond to a disaster, but they do need to know where to get it.

Overall, when writing an emergency management plan, authors must remember that it takes time and coordination with other groups to write a good plan. Those who are writing the plan are not always the ones responding to a disaster, so writers must coordinate with responders to make the plan useable. The plan is the first step in the preparedness cycle and it must be used to not only improve responders' actions, but also to refine and enhance future plans.

4. PLANS AND PRODUCTS

4.1 Sample Emergency Preparedness Plans

Examining tribal and non-tribal emergency management plans that have already been written and approved, can help planners understand how to frame the plan and what to include. Emergency preparedness plan templates are available.

Other tribal plans are helpful because some address the unique tribal issues related to sovereignty and culture and are designed to work within a similar governmental framework. The Tribal Emergency Preparedness Planning Survey identified the Confederated Salish and Kootenai Tribes and the Squaxin Island Tribe as having good emergency management plans online.

The Confederated Salish and Kootenai Tribes' Emergency Operations Plan at www.cityofpolson.com/pdf/EOPdraft.pdf gives a situation overview with background information on the tribe and the reservation. The plan also lays out what actions the tribe will undertake for each phase of the emergency management cycle. The plan then lists the roles and responsibilities for the tribe, state and federal governments. After the basic plan there are three groups of annexes 1) Emergency Support Function (ESF) Annexes, 2) Support Annexes such as Continuity of Operations and Continuity of Government plans, and 3) Incident Annexes such as earthquake and severe weather.

Squaxin Island Tribe's Comprehensive Emergency Management Plan recognizes the tribe's sovereignty along with the tribe's limited resources. The plan's statement on sovereignty is:
> "As a sovereign nation, we have exercised our right to protect ourselves by applying
> the four phases of Emergency Management, but not in a traditional sense. Our focus is
> RECOVERY, which we achieve by applying Mitigation, Preparedness, and Response.
> We recognize the fact that if we do not RECOVER, we have failed." (*Squaxin,* 2010)

The tribe uses the plan to lay out the policies of the tribe along with the potential actions the tribe will take during a disaster. The plan also recognizes its partners in emergency management, some of whom are within the county where the reservation is located. The plan may be viewed at squaxinisland.org/government/departments/community-development/emergency-management/.

State plans may also be helpful because they show resources available to tribes in that state. California, Washington, and Wisconsin were identified in the survey as having good emergency management plans.

California's State Emergency Plan is written based on ESF, and is divided into three parts. Part 1 presents the basic plan, and states who is responsible for the plan and policies that the state uses to guide and support emergency management. Part 2 contains Functional Annexes where each of the ESFs roles and responsibilities are listed with the primary and supporting agencies involved. Part 3 contains appendices where addition plans and procedures are located. The plan is available online at www.calema.ca.gov/PlanningandPreparedness/Pages/State-Emergency-Plan.aspx

The state of Washington's Comprehensive Emergency Management Plan (CEMP) is written along the lines of California's with a basic plan followed by ESF annexes, but without the additional plans. The CEMP is available at www.emd.wa.gov/plans/plans_index.shtml, along with Washington's other emergency preparedness and response plans such as its Pandemic Preparedness Plan and its Volcanic Hazards Response Plan.

Wisconsin's Emergency Response Plan is also written to include a basic plan with each ESF having its own section. The plan also has annexes based on specific disasters such as a cyber-incident or pandemic influenza. The plan is available online at www.emergencymanagement.wi.gov/planning/WERP/default.asp.

4.2   Survey and Survey Results

Using the federally-recognized rational planning process, the first step for the development of this Handbook was to identify the problem. To do this, a survey was used to assess current tribal emergency management plans and programs and to identify the tribal needs or gaps in emergency preparedness planning and programs. The Tribal Emergency Preparedness Planning Survey was put online using Qualtrics Survey Software. Tribal input was then solicited via an email, sent to regional Tribal Technical Assistance Program (TTAP) offices. These regional offices were asked to distribute the survey by email to their tribal contacts. The survey asked that the responders be someone involved in emergency management or emergency response for their tribe. A copy of the questionnaire and corresponding responses are presented in Appendix C.

4.3   Handbook Distribution and Brochure

An electronic version of this Handbook will be available via the Internet on websites maintained by Upper Great Plains Transportation Institute and Eastern Washington University Urban and Regional Planning Program. With the cooperation of all regional TTAP offices, tribes will be directly notified regarding the availability of the Handbook.

A project brochure was also developed to help create an awareness of 1) what disaster preparedness is, 2) why tribes should have related plans, and 3) information on the Handbook so tribes have some information on how to get started. A copy of the project brochure is presented in Appendix D. A supply of brochures will be provided to each regional TTAP office. The brochures will also be made available for distribution at national tribal conferences in 2015.

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Figure Sources:

Figure 1.1 Emergency Management Phases – *Intro to Emergency Management* (2014) Retrieved from www.training.fema.gov/emiweb/EarthQuake/NEH0101220.htm

Figure 1.2 Preparedness Cycle – *Preparedness Overview* (2014) Retrieved from www.fema.gov/preparedness-0

Figure 3.1 Incident Command System: Command Staff Structure – *Intro to ICS: Course Overview, Unit One* (2013). Retrieved from training.fema.gov/EMIWeb/IS/IS100b/ Instructor%20Guide/01ICS100b_IG_October2013.pdf

Figure 3.2 Incident Command System: General Staff Structure – *Intro to ICS: Course Overview, Unit One* (2013). Retrieved from training.fema.gov/EMIWeb/IS/IS100b/ Instructor%20Guide/01ICS100b_IG_October2013.pdf

APPENDIX A. ACRONYM LIST

APHIS – Animal and Plant Health Inspection Service
BIA – Bureau of Indian Affairs
CDC – Center for Disease Control and Prevention
CEMP – Comprehensive Emergency Management Plan
DOT – US Department of Transportation
ECY – Washington State's Department of Ecology
EMI – Emergency Management Institute
ESF – Emergency Support Function
EPA – Environmental Protection Agency
FDA – Food and Drug Administration
FEMA – Federal Emergency Management Agency
FHWA – Federal Highway Administration
HHS – US Department of Health and Human Services
HUD – US Department of Housing and Urban Development
ICS – Incident Command System
IHS – Indian Health Service
IS – Independent Study
NGO – Non-Governmental Organizations
NIMS – National Incident Management System
PSA – Public Service Advertising
TTAP – Tribal Technical Assistance Program
USDA – US Department of Agriculture

APPENDIX B. EMERGENCY SUPPORT FUNCTION

This Table was taken from FEMA's Emergency Support Function Annexes: Introduction.
It is available online at www.fema.gov/pdf/emergency/nrf/nrf-esf-intro.pdf

Emergency Support Function (ESF)	Scope of ESF Responsibilities
ESF 1 – Transportation	• Aviation/airspace management and control • Transportation safety • Restoration/recovery of transportation infrastructure • Movement restrictions • Damage and impact assessment
ESF 2 – Communications	• Coordination with telecommunications and information technology industries • Restoration and repair of telecommunications infrastructure • Protection, restoration, and sustainment of national cyber and information technology resources • Oversight of communications within the federal incident management and response structures
ESF 3 – Public Works and Engineering	• Infrastructure protection and emergency repair • Infrastructure restoration • Engineering services and construction management • Emergency contracting support for life-saving and life-sustaining services
ESF 4 – Firefighting	• Coordination of Federal firefighting activities • Support to wildland, rural, and urban firefighting operations
ESF 5 – Emergency Management	• Coordination of incident management and response efforts • Issuance of mission assignments • Resource and human capital • Incident action planning • Financial management
ESF 6 – Mass Care, Emergency Assistance, Housing, and Human Services	• Mass care • Emergency assistance • Disaster housing • Human services
ESF 7 – Logistics Management and Resource Support	• Comprehensive, national incident logistics planning, management, and sustainment capability • Resource support (facility space, office equipment and supplies, contracting services, etc.)
ESF 8 – Public Health and Medical Services	• Public health • Medical • Mental health services • Mass fatality management
ESF 9 – Search and Rescue	• Life-saving assistance • Search and rescue operations
ESF 10 – Oil and Hazardous Materials Response	• Oil and hazardous materials (chemical, biological, radiological, etc.) response • Environmental short- and long-term cleanup
ESF 11 – Agriculture and natural Resources	• Nutrition assistance • Animal and plant disease and pest response • Food safety and security

Emergency Support Function (ESF)	Scope of ESF Responsibilities
	• Natural and cultural resources and historic properties protection and restoration • Safety and well-being of household pets
ESF 12 – Energy	• Energy infrastructure assessment, repair, and restoration • Energy industry utilities coordination • Energy forecast
ESF 13 – Public Safety and Security	• Facility and resource security • Security planning and technical resource assistance • Public safety and security support • Support to access, traffic, and crowd control
ESF 14 – Long-Term Community Recovery	• Social and economic community impact assessment • Long-term community recovery assistance to States, local governments, and the private sector • Analysis and review of mitigation program implementation
ESF 15 – External Affairs	• Emergency public information and protective action guidance • Media and community relations • Congressional and international affairs • Tribal and insular affairs

Source: FEMA. *Emergency Support Function Annexes: Introduction* (2008). Retrieved from www.fema.gov/pdf/emergency/nrf/nrf-esf-intro.pdf

APPENDIX C. SURVEY AND SURVEY RESULTS

Tribal Emergency Preparedness Planning Survey

Natural disasters are becoming more severe and more frequent. Because of this, federal and state governments are putting more resources and funding toward emergency management for local governments and Native American tribes. Currently there is a general lack of emergency management/preparedness planning being done by tribes. To address this shortcoming, North Dakota State University's Upper Great Plains Transportation Institute and Eastern Washington University conducted research to determine where and how tribal governments can get assistance related to emergency preparedness planning. The purpose of this research is to help close the gap in tribal government emergency management by developing resources, training, and a brochure on how tribes can take advantage of emergency management / preparedness planning.

A survey was conducted to assess current tribal emergency management plans and programs and to identify the tribal needs or gaps in emergency preparedness planning and programs. The survey instrument and related results are presented in this appendix.

Questions:

1. Which tribe do you represent / work for?

2. What possible threats / hazards could affect your tribe or tribal lands? Check all that apply.

   ___ Avalanche   ___ Flood   ___ Mass casualty   ___ Volcano

   ___ Drought   ___ Health crisis   ___ Terrorists   ___ Winter storm

   ___ Earthquake   ___ High winds   ___ Tornadoes   ___ Other

   ___ Fire   ___ Landslide   ___ Tsunami

3. Are you aware of the importance and purpose of a tribal emergency management plan?

4. Does your tribe have emergency management / preparedness personnel?

5. How many and is it their main job or an additional duty?

6. Does the tribe have a current emergency management plan?

   ____ Yes   ____ No   ____ Not sure

7. Has the tribe used any part of your emergency management plan?

8. Which parts?

9. What specific issues or problems have you had with planning or implementing the plan?

10. Do you have good examples of other emergency management plans?

11. Please name those

12. What information and resources does your tribe need to participate in emergency planning?

13. Has the tribe worked with Federal Emergency Management Agency (FEMA)?

14. What other agencies (federal, state, tribal, local) by name has the tribe worked with on emergency management?

15. Have you or anyone in the tribe worked on or at an emergency?

16. When and with whom? Please list the other agencies / offices and briefly describe the outcomes.

17. Does the tribe train or exercise for emergency management?

18. What type of training and with whom?

Survey Results:

The survey questionnaire was posted online using Qualtrics Survey Software. Tribal input was solicited via an email sent to regional Tribal Technical Assistance Program (TTAP) offices. These regional offices were asked to distribute the questionnaire by email to their tribal contacts. The survey asked that the responders be someone involved in emergency management or emergency response for their tribe. The survey generated 70 responses. A summary of responses follows. Text responses are not shown to protect the privacy of the responders.

Question 1's responses are grouped together based on which FEMA region the reservation is located in.

1. **Which tribe do you represent / work for?**

   Number of responses from:
   Regions I-IV: 2
   Region V: 15
   Regions VI-VII: 8
   Region VIII: 4
   Region IX: 19
   Region X: 19
   Unknown: 3
   Total: 70

Region	States Serving
Region I	CT, MA, ME, NH, RI, VT
Region II	NJ, NY, PR, USVI
Region III	DC, DE, MD, PA, VA, WV
Region IV	AL, FL, GA, KY, MS, NC, SC, TN
Region V	IL, IN, MI, MN, OH, WI
Region VI	AR, LA, NM, OK, TX
Region VII	IA, KS, MO, NE
Region VIII	CO, MT, ND, SD, UT, WY
Region IX	AZ, CA, HI, NV, GU, AS, CNMI, RMI, FM
Region X	AK, ID, OR, WA

Map source: www.fema.gov/regional-operations

2. What possible threats / hazards could affect your tribe or tribal lands? Check all that apply.

#	Answer	Bar	Response	%
1	Avalanche		5	7%
2	Drought		54	77%
3	Earthquake		40	57%
4	Fire		61	87%
5	Flood		59	84%
6	Health crisis		53	76%
7	High winds		59	84%
8	Landslide		22	31%
9	Mass casualty		41	59%
10	Terrorists		38	54%
11	Tornadoes		35	50%
12	Tsunami		8	11%
13	Volcano		8	11%
14	Winter storm		57	81%
15	Other		18	26%
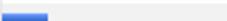
Statistic	Value
Min Value	1
Max Value	15
Total Responses	70

Responses to Question 2 illustrate that a wide array of disasters could affect tribes and tribal lands. Most of the "Other" responses where human-related hazards, thereby showing a growing awareness of disasters caused by humans.

3. Are you aware of the importance and purpose of a tribal emergency management plan?

#	Question	Yes	No	Not really	Total Responses	Mean
1	For Importance	68	0	2	70	1.06
2	For Purpose	60	0	4	64	1.13

Statistic	For Importance	For Purpose
Total Responses	70	64

Responses to Question 3 indicate that a super majority of the responding tribes understand not only the importance of, but also the purpose of, tribal emergency management.

4. Does your tribe have emergency management / preparedness personnel?

#	Answer	Bar	Response	%
1	Yes		56	80%
2	No		8	11%
3	Not sure		6	9%
	Total		70	

Statistic	Value
Total Responses	70

80% of the tribes that responded to Question 4 indicated that they have personnel that are responsible for emergency preparedness and related management.

5. How many and is it their main job or an additional duty?

Text Response

Statistic	Value
Total Responses	54

While responses to Question 4 indicated that many tribes have staff that have emergency management or preparedness responsibilities, responses to Question 5 revealed that most of these personnel also have other duties. Out of the 54 responders stating that they do have emergency management / preparedness personnel, only 10 stated that emergency management was their full-time duty.

6. Does the tribe have a current emergency management plan?

#	Answer	Bar	Response	%
1	Yes		41	64%
2	No		5	8%
3	Not sure		6	9%
4	Currently writing plan		8	13%
5	Other		4	6%
	Total		64	

Statistic	Value
Total Responses	64

Responses to Question 6 indicated that 64% of the responding tribes have a current emergency management plan. The remaining 36% do not have a plan or respondents indicated that they were not sure or that a plan is currently being drafted.

7. Has the tribe used any part of your emergency management plan?

#	Answer	Bar	Response	%
1	Yes		34	76%
2	No		11	24%
	Total		45	

Statistic	Value
Total Responses	45

Responses to Question 7 indicated that 34 of the responding tribes had used their emergency plans in the past and that 11 have never used their plan.

8. Which parts?

Text Response

Statistic	Value
Total Responses	33

Responses to Question 8 showed that the tribes that have used their emergency management plan have used multiple parts of the plan, with most of the plans being used for natural disasters such as flooding and wildland fires.

9. What specific issues or problems have you had with planning or implementing the plan?

Text Response

Statistic	Value
Total Responses	53

Responses to Question 9 related primarily to a lack of funding and / or knowledge of the emergency management planning. These responses underscore the rationale behind the preparation of this Handbook.

10. Do you have good examples of other emergency management plans?

#	Answer	Bar	Response	%
1	Yes		37	58%
2	No		27	42%
	Total		64	

Statistic	Value
Total Responses	64

Nearly 60% of the tribes that responded to Question 10 indicated that they were aware of/had access to other emergency management plans. This awareness and access should better-equip these planners to prepare comprehensive plans for their tribe, or to amend existing plans.

11. Please name those

Text Response

Statistic	Value
Total Responses	30

For Question 11 the responses were of other tribes, counties, and state plans, this included but was not limited to FEMA guides, the states of AZ, CA, OR, NV, TX, WA, and WI. Along with local county plans, and Confederated Salish and Kootenai Tribes Shoalwater Bay Tribe, Squaxin Island Tribe, and Quechan Reservation.

12. What information and resources does your tribe need to participate in emergency planning?

Text Response

Statistic	Value
Total Responses	49

Respondents to Question 12 feel that increased funding and basic underlying insights and knowledge related to the planning process are needed to further tribal emergency preparedness efforts

13. Has the tribe worked with the Federal Emergency Management Agency (FEMA)?

#	Answer	Bar	Response	%
1	Yes		52	84%
2	No		4	6%
3	Not sure		6	10%
4	Other		0	0%
	Total		62	

Statistic	Value
Total Responses	62

The vast majority of the tribes that responded to Question 13 (84%) indicated that they have worked with FEMA in the past. Some of this work may have related to emergency preparedness. In whatever capacity, responses do indicated that most respondents have had a working relationship with FEMA and are, therefore, at least somewhat familiar with the agency.

14. What other agencies (federal, state, tribal, local) by name has the tribe worked with on emergency management?

Text Response

Statistic	Value
Total Responses	58

Responses to Question 14 reveal that of the tribes that have worked with other agencies on emergency management, most have worked with local (city and county) jurisdictions and state agencies.

15. Have you or anyone in the tribe worked on or at an emergency?

#	Answer	Bar	Response	%
1	Yes		44	70%
2	No		4	6%
3	Not sure		15	24%
4	Other		0	0%
	Total		63	

Statistic	Value
Total Responses	63

Nearly 70% of the respondents to Question 15 indicated that they had direct experience working on or at an emergency. Related personal experiences should make these individuals more aware of the importance of related planning processes.

16. When and with whom? Please list the other agencies / offices and briefly describe the outcomes.

Text Response

Statistic	Value
Total Responses	39

Responses to Question 16 reiterated what respondents reported in response to Question 14 – most of the agencies that tribes have worked with on emergency planning are local. The outcomes include obtaining a higher level of preparedness for the tribe, and gaining better relationships with the county and cities that the tribes have worked with.

17. Does the tribe train or exercise for emergency management?

#	Answer	Bar	Response	%
1	Yes		40	65%
2	No		12	19%
3	Not sure		5	8%
4	Other		5	8%
	Total		62	

Statistic	Value
Total Responses	62

Nearly two-thirds of the respondents to Question 17 indicated that their tribe does conduct training exercises related to emergency preparedness.

APPENDIX D. HANDBOOK BROCHURE

Emergency Preparedness Handbook for Tribal Governments

PREPARE

Is Your Tribe Prepared to Respond to an Emergency?

- Chemical Spill
- Earthquake
- Fire
- Flood
- Health Crisis
- Tornado

This brochure and the Emergency Preparedness Handbook are a coordinated effort of the Upper Great Plains Transportation Institute at North Dakota State University and Eastern Washington University.

NDSU UPPER GREAT PLAINS TRANSPORTATION INSTITUTE

EASTERN WASHINGTON UNIVERSITY
start something **big**

Financial support for this project was provided by the Mountain-Plains Consortium (MPC), a part of the U.S. Department of Transportation's University Transportation Centers Program.

The MPC is administered by the Upper Great Plains Transportation Institute at North Dakota Sate University.

Potential Partners and Resources Identified in the Handbook

- Federal Emergency Management Agency (FEMA)
  www.fema.gov
- FEMA Tribal Affairs
  www.fema.gov/fema-tribal-affairs
- US Department of Transportation (DOT)
  www.dot.gov
- DOT Emergency Information and Programs
  www.dot.gov/emergency
- Environmental Protection Agency (EPA)
  www.epa.gov
- EPA emergency management information
  www.epa.gov/emergencies
- FloodSmart.Gov
  www.floodsmart.gov
- Ready.Gov
  www.ready.gov

See Handbook for a comprehensive list and related descriptions of federal departments and agencies along with tribal emergency management organizations.

What is Emergency Management?

"The organization and management of resources and responsibilities for dealing with all aspects of emergencies, in particular preparedness, response and rehabilitation." — United Nations Office for Disaster Risk Reduction

Responding to an emergency and properly protecting the public and property require considerable advanced planning. It is important to recognize that not all emergencies can be handled solely by Native American tribal governments. Like other governments, tribes may need assistance, including help planning for future disasters.

Federal and state governments, along with others, have the knowledge and resources to help tribes develop responsive emergency preparedness plans and to execute those plans should a disaster occur.

Emergency Preparedness Handbook for Tribal Governments

The Handbook will help tribal governments that lack knowledge or funding in emergency management by providing a list of resources for information, training, and funding. In addition, the handbook gives a basic explanation of resources needed by authors of emergency management plans.

For a copy of the Handbook contact:

EWU's Urban and Regional Planning
668 North Riverpoint Blvd, Suite A
Spokane, WA 99202

Phone: (509) 828-1205

Email: dwinchell@ewu.edu

Website: www.ugpti.org

Emergency Management Cycle

- Preparation: planning for disasters occurs, deciding how best to respond to disasters

- Event/incident: natural disaster or man-made disaster

- Response: lifesaving measures occur along with attempting to stop the disaster from continuing

- Recovery: disaster is over and the focus shifts to cleaning up and rebuilding

- Mitigation: juristictions involved try to lessen future disasters' impact

DURING A DISASTER, IT IS TOO LATE TO PLAN