# Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>About the Editors</td>
<td>xvii</td>
</tr>
<tr>
<td>About the Contributors</td>
<td>xxi</td>
</tr>
<tr>
<td>Preface</td>
<td>xxix</td>
</tr>
<tr>
<td>Introduction and Overview</td>
<td>xxxi</td>
</tr>
</tbody>
</table>

## Part I: The Legal Structure of Emergency Management                  | 1   |

### Chapter 1: Catastrophic Events, the Law, and Federalism            | 3   |
*Ernest B. Abbott, Alan D. Cohn, Wendy Huff Ellard, and Otto Hetzel*

- The Source of Authority: Federalism and the Balance of Authority in Emergency, Disaster, and Catastrophic Events | 6   |
- Issues of Federalism: Case Study—The National Response Framework and National Incident Management System | 14  |
- Authority to Respond in Emergencies Needs to Be Clarified through Plans, Procedures, and Protocols, and by Holding Exercises to Examine Its Scope | 18  |

### Chapter 2: The Role of the Military and National Guard in Disaster Response | 25  |
*Michael Greenberger and Katarzyna Fertala*

- Overview of the Posse Comitatus Act                                      | 28  |
- Statutory Exceptions to the Posse Comitatus Act                           | 30  |
  - Insurrection Act                                                        | 31  |
  - Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1974 | 33  |
  - Comprehensive Environmental Response, Compensation, and Liability Act   | 33  |
- Other Statutory Exceptions                                               | 34  |
- Constitutional Issues Related to the Posse Comitatus Act and Its Exceptions | 35  |
  - Insurrection Clause                                                    | 36  |
  - Guarantee Clause                                                        | 37  |
  - Commerce Clause                                                         | 37  |
  - Necessary and Proper Clause                                             | 39  |
  - Spending Clause                                                         | 40  |
- Conclusion                                                               | 41  |
Chapter 3: The National Response Framework and NIMS
H. Quinton Lucie
Evolution of the National Response Framework
The Whole Community
A Framework, not a Plan
Purpose
Relationship to the National Incident Management System and the Incident Command System
The Framework Chapters and Annexes
Core Capabilities
Roles and Responsibilities of the Whole Community
Coordinating Structures
Emergency Support Functions (ESFs)
The Future of the NRF

Chapter 4: Marshalling Resources
Alan D. Cohn
Introduction
The Need for Intergovernmental Cooperation
The Imperatives for Intergovernmental Cooperation
Homeland Security Presidential Directive 5 and the National Incident Management System
Intergovernmental Agreements for Emergency Preparedness and Response
Primary Legal Issues for Mutual Aid Agreements
Practice Recommendations for Mutual Aid Agreements
Other Emergency Preparedness and Response Agreements
Other Forms of Regional Coordination
Interstate Regional Coordination
Task Forces and Regional Response Teams
Relationships between Local Governments and Regional Teams
Task Force and Team Authority
Workers' Compensation Issues
Liability to Third Parties
Practice Recommendations
Conclusion
<table>
<thead>
<tr>
<th>Contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chapter 5: The Private Sector in Emergency Preparedness and Response</td>
</tr>
<tr>
<td>Jim Williams</td>
</tr>
<tr>
<td>Introduction</td>
</tr>
<tr>
<td>Business Continuity</td>
</tr>
<tr>
<td>Overview</td>
</tr>
<tr>
<td>Keeping It Simple and Comprehensible</td>
</tr>
<tr>
<td>Implementation</td>
</tr>
<tr>
<td>Success Story</td>
</tr>
<tr>
<td>Conclusion</td>
</tr>
<tr>
<td>Emergency Management</td>
</tr>
<tr>
<td>Overview</td>
</tr>
<tr>
<td>Inside a Private Sector Company during the Joplin Tornado</td>
</tr>
<tr>
<td>Establishing the Program</td>
</tr>
<tr>
<td>Private Sector Emergency Managers</td>
</tr>
<tr>
<td>Internal Communications</td>
</tr>
<tr>
<td>Public–Private Partnerships</td>
</tr>
<tr>
<td>FEMA</td>
</tr>
<tr>
<td>Private Sector Perspective of Public–Private Partnerships</td>
</tr>
<tr>
<td>Models</td>
</tr>
<tr>
<td>Direct</td>
</tr>
<tr>
<td>Indirect</td>
</tr>
<tr>
<td>Hybrid</td>
</tr>
<tr>
<td>Focused</td>
</tr>
<tr>
<td>Challenges and Opportunities in Emergency Management</td>
</tr>
<tr>
<td>Rules, Regulations, and Memorandum of Understanding</td>
</tr>
<tr>
<td>Language</td>
</tr>
<tr>
<td>Organizational Structure</td>
</tr>
<tr>
<td>Categorizing Businesses</td>
</tr>
<tr>
<td>Perception</td>
</tr>
<tr>
<td>Expectations</td>
</tr>
<tr>
<td>Capabilities</td>
</tr>
<tr>
<td>Needs of the Private Sector</td>
</tr>
<tr>
<td>Information Sharing</td>
</tr>
<tr>
<td>Power</td>
</tr>
<tr>
<td>Access</td>
</tr>
<tr>
<td>Communication</td>
</tr>
<tr>
<td>Collaboration</td>
</tr>
<tr>
<td>Success Stories: It’s All about Building Relationships</td>
</tr>
<tr>
<td>Emergency Management Training and Education</td>
</tr>
<tr>
<td>Conclusion</td>
</tr>
</tbody>
</table>
Chapter 6: Public Disclosure of Information by Emergency Services Agencies: The Pendulum Swings

David Zocchetti and Jessica Kirschbraun

Introduction ........................................................................................................................................ 129
Where We Have Been .................................................................................................................. 130
Swinging Back Again ....................................................................................................................... 133
Still Swinging .................................................................................................................................. 141
Judicial Developments ..................................................................................................................... 145
Changing Precedent ......................................................................................................................... 147
An Approach to Advising Clients Regarding Homeland Security
  Information Disclosure ..................................................................................................................... 150
Conclusion ......................................................................................................................................... 151

Part II: Building Physical and Financial Resilience: Hazard Mitigation

Chapter 7: Hazard Mitigation Planning: Developing Disaster Resilience

Dwight H. Merriam

Think Planning 101 ........................................................................................................................ 161
Considerations at the Start of a Planning Process ........................................................................ 161
  Is This the Proper Level of Government? .................................................................................... 161
  Is Your Community Ready to Begin Disaster Mitigation Planning? ........................................ 162
  Is There Support for Hazard Mitigation Planning? .................................................................... 164
  Are There Impediments to Disaster Mitigation Planning? ......................................................... 165
What Are the Risks? ......................................................................................................................... 165
  What Resources Do We Have for Support? ................................................................................ 168
What Are Our Alternatives? And How Do We Prioritize Them? .................................................. 171
How Do We Implement Our Plan? ................................................................................................ 179
Implementation: What Works and What Fails .............................................................................. 179
References ......................................................................................................................................... 180

Suggested Additional Reading on Land Use Planning for Survivability and Sustainability .............. 180
Suggested Additional Reading on Land Use in the Post-9/11 Era .................................................... 181

Chapter 8: Building for Disaster Resilience: Funding Options for Communities

Jo Ann Howard and Erin Capps

Available Funding Sources ............................................................................................................. 187
  Hazard Mitigation Assistance Grants ............................................................................................ 187
  Mitigation as Part of FEMA Public Assistance Program Funding ............................................. 192
Contents

406 Eligibility ................................................................. 194
U.S. Department of Housing and Urban Development (HUD) .......... 195
Federal Highway Administration Emergency Relief Program (FHWA ER) .... 197

Combining Funding Sources. ......................................................... 198
404 and 406 Mitigation ................................................................. 198
Combining Funding to Meet Nonfederal Share .................................. 199

Issues and Common Pitfalls .......................................................... 204
Duplication of Benefits ................................................................. 204
Documentation/Auditing ................................................................. 205
Procurement ............................................................... 206

Recommendations for Leveraging Funding Sources .......................... 207

Chapter 9: A Concise Primer on the Structure of and Challenges Facing the National Flood Insurance Program ......................... 209
Jordan Fried
Congressional Purpose ................................................................. 211
Floodplain Management and State and Local Participation ................. 212
The Carrots and the Sticks ................................................................. 213
Floodplain Management ................................................................. 214
Risk Identification ............................................................... 215
Flood Insurance ............................................................... 217
Standard Flood Insurance Policies (SFIPs) .......................................... 217
Rate Setting: Actuarial and Subsidized Rates ...................................... 218
Sale of Policies and Payment of Claims ........................................... 219
Challenges and Opportunities .......................................................... 219
Challenges .............................................................. 220
Opportunities .............................................................. 221
Conclusion ................................................................. 223


Chapter 10: Cybersecurity: Protecting the Nation's Critical Infrastructure ...... 227
Lucy L. Thomson
Potential Catastrophic Effects of Cyber Attacks on Critical Infrastructure ................................................................. 229
Cybersecurity Is the Weakest Link in Preparedness .......................... 229
Sensitive Data and Critical Infrastructure at Risk ............................. 230
State and Local Governments Collect Volumes of Personal and Business Data ................................................................. 230
Critical Infrastructure ................................................................. 232
Industrial Control Systems ................................................................. 232
x  Contents

Stark Realities—Threats to Sensitive Data and Critical Infrastructure .................. 234
  Changing Nature of the Global Threat .............................................................. 234
  Threats to Critical Infrastructure ................................................................. 237
  Breaches of Government Information Systems ............................................. 241
  Not Only Personal Data Are at Risk—The Threat to Proprietary Information ....... 246
  Risk Factors—The Changing Nature of Industrial Control Systems .................. 247
  Incidents Involving Critical Infrastructure ..................................................... 247
  Malicious Insiders ......................................................................................... 248
  Hacker Attacks ................................................................................................. 251

Comprehensive Information Security Programs ............................................. 254
  The Need for Risk-Based Assessment ............................................................ 255
  Cyber Response Plans .................................................................................... 256
  DHS Emergency Services Sector Cyber Risk Assessment ............................ 258
  Key Findings ..................................................................................................... 259

Legal Issues ........................................................................................................ 263
  Laws, Policies, and Initiatives to Address Cybersecurity Threats and Risks ........ 263
  Multi-State Information Sharing and Analysis Center (MS-ISAC) .................... 264
  Emergency Management and Response—Information Sharing and Analysis Center (EMR-ISAC) ................................................................. 264
  Industrial Control Systems Cyber Emergency Response Team (ICS-CERT) ........ 265
  DHS Strategic Plan for Fiscal Years (FY) 2014–2018 ........................................ 265
  Cybersecurity Is a Top Priority for the Nation’s Governors ............................ 266
  Frameworks, Standards, and Best Practices .................................................... 267
  Defining “Reasonable Security” ........................................................................ 269
  Principles for Effective Cybersecurity: Insurance Regulatory Guidance ............ 272

Appendix ............................................................................................................... 272
  NAIC Principles for Effective Cybersecurity: Insurance Regulatory Guidance .... 272

Chapter 11: Public Health Emergencies ......................................................... 275

Ted Lotchin

Introduction ......................................................................................................... 277

Historical Context of U.S. Public Health Law ................................................. 278
  An “All-Hazards” Approach to Public Health Emergency Response Planning .... 280
  Organization and Scope of Public Health Emergency Law .............................. 281
  Three Types of State and Local Public Health Control Laws ......................... 282
  Public Health Emergency Declarations ......................................................... 283

Protection of Persons ......................................................................................... 286
  Evolution of Traditional Emergency Powers over Persons ........................... 286
  Constitutional Boundaries with Respect to Protection of Persons .................. 290
Contents

Management of Property ............................................................ 295
  Due Process Protections for Private Property ................................. 296
  Practical Considerations for Governmental Actions Regarding Property 297
Evolving Considerations in Public Health Preparedness Planning ............... 298
  Emergency Preparedness for Hospitals and Health Care Facilities .......... 298
  Privacy Concerns ..................................................................... 301
  International Considerations .................................................. 303
  Legal Protections for Volunteers ............................................... 304

Chapter 12: State and Local Governments and Immigration Laws .............. 307

Seth M.M. Stodder

State and Local Enforcement of the Federal Immigration Laws—Sometimes in Conjunction with the Federal Government, and Sometimes Not, and Sometimes Not at All ........ 312
  Authority of State and Local Governments to Enforce Criminal Violations of the Federal Immigration Laws—Easy Case—YES .................................................. 312
  Authority of State and Local Governments to Enforce Civil Violations of the Federal Immigration Laws—NO in the Wake of Arizona v. United States .......... 314
  Authority of State and Local Governments to Inquire as to Immigration Status of Arrestees or Check with ICE— Probably YES in the Wake of Arizona v. United States .......................... 316

Federal–State–Local Partnerships to Enforce the Immigration Laws and Secure the Borders .............................................................................. 318
  INA section 287(g) .................................................................... 318
  Border Enforcement Task Forces and Operation Stonegarden ............... 320
  Immigration Emergency Situations ............................................ 320

  State and Local Efforts to Limit or Ban Enforcement of the Federal Immigration Laws—“Sanctuary” Cities and “Non-Cooperation” with Federal Immigration Enforcement ........................................ 322
  Efforts to Compel State and Local Governments to Cooperate in Enforcing Federal Immigration Laws ................................................ 325

State and Local Laws or Policies Dealing with Aliens ............................. 328
  Basic Principles of Federal Preemption with Regard to State or Local Laws Dealing with Aliens—Passenger Cases, De Canas v. Bica .................................................. 329
  Restricting Undocumented Access to Public Education—Equal Protection and Plyler v. Doe ........................................................ 331
  Restricting Access to Benefits—Proposition 187 and the LULAC Litigation ........ 332
Federal Legislation on Benefits Denial—PRWORA and IIRIRA .................. 336
Laws Regulating Employers Hiring Undocumented Aliens—De Canas v. Bica and
Chamber of Commerce v. Whiting .................................................. 337
Imposing State Law Penalties for Violations of Federal Immigration Law—
Arizona v. United States ............................................................... 339
Summary ...................................................................................... 340

Part IV: Legal Issues in Response and Recovery
from Major Disaster Events ......................................................... 343

Chapter 13: Representing States, Tribes, and Local Governments
Before, During, and After a Presidentially Declared Disaster ............... 345
Erin J. Greten and Ernest B. Abbott
Legal Authority ............................................................................ 348
Disaster Response and Recovery Frameworks .................................. 349
Requesting an Emergency or Major Disaster Declaration under the Stafford Act .................. 350
How to Request a Declaration ...................................................... 354
How a Declaration Request Is Processed and Issued ......................... 355
The Public Assistance Program ..................................................... 357
How to Apply .................................................................................. 358
Steps for Determining Eligibility ..................................................... 359
Who Can Apply: The Entity .............................................................. 360
What Property Is Eligible: The Facility ............................................. 362
What FEMA Will Reimburse: The Work .......................................... 365
How Much Is Eligible: The Costs ..................................................... 373
Other Considerations under the Public Assistance Program ............ 380
Environmental and Historic Preservation Requirements .................. 385
The Community Disaster Loan Program ........................................... 388
The Fire Management Assistance Grant Program ............................ 389
The Individuals and Households Program (IHP) ................................. 391
Housing Assistance ........................................................................ 392
Other Needs Assistance .................................................................. 393
The Application Process ................................................................ 394
Duplication of Benefits and Insurance Requirements ..................... 395
Specific IHP Considerations for States, Tribes, and Local Governments .......... 395
Other Individual Assistance Programs ........................................... 400
Hazard Mitigation Assistance ......................................................... 400
How to Apply .................................................................................. 401
HMA Considerations for States, Tribes, and Local Governments ....... 402
Hazard Mitigation Grant Program (HMGP) ...................................... 403
Flood Mitigation Assistance (FMA) ........................................... 405
Pre-disaster Mitigation Grants (PDM) ........................................ 406
Closeout, Audits, the Inspector General, and Recovery of Funds .......... 407
Appeals, Arbitration, and Judicial Review .................................. 409
Public Assistance .................................................................. 410
Individuals and Households Program ..................................... 411
Hazard Mitigation Assistance .................................................. 412
Conclusion ........................................................................... 412

Chapter 14: Emergency Management and Vulnerable Populations ........ 415
Angelyn Spaulding Flowers
Introduction ........................................................................ 417
Disability and the Integration Mandate ..................................... 419
Selected Cross-Cutting Issues .................................................. 428
Participation in the Emergency Planning Process .................. 429
Communication .................................................................... 431
Special Needs Registries ...................................................... 433
Community Evacuation and Transportation .......................... 436
Service Animals ................................................................... 439
Emergency Shelter Programs .............................................. 442
Conclusion ........................................................................... 448

Chapter 15: Donations and Volunteer Management ...................... 451
Brenda M. Bergeron
First Rule of Donations Management: Encourage Monetary Contributions ...... 453
Managing Donated Goods ...................................................... 454
Managing Volunteers: Spontaneous Volunteers ...................... 456
Managing Volunteers: Trained Volunteer Forces ..................... 457
Conclusion ........................................................................... 459

Chapter 16: Continuity of the Judiciary ........................................ 461
George B. Huff Jr., Esquire
Essential Elements of Continuity of Operations Plans ................. 466
Essential Functions .............................................................. 466
Orders of Succession ........................................................... 466
Delegations of Authority ....................................................... 467
Continuity Facilities ............................................................ 467
Continuity Communications .................................................. 467
Essential Records Management ............................................ 467
Human Resources ............................................................... 468
### CONTENTS

- Tests, Training, and Exercises .................................................. 468
- Devolution of Control and Direction ........................................... 469
- Reconstitution ............................................................................. 469
- Business Continuity Strategy in the Judiciary .............................. 469
- Court Security and Facilities Security .......................................... 470
- Emergency Management ............................................................. 472
- Emergency Response in the Judiciary ......................................... 473
- Lessons of Hurricane Sandy ...................................................... 475
- Federal Courts Implement Business Continuity Strategies .......... 476

### Chapter 17: Preservation of the Right to Vote after Disaster Events .... 479

*Benjamin E. Griffith*

- Introduction .................................................................................. 481
- Emergency Remedial Directives in Absence of Comprehensive Planning .......................... 482
- Insufficiency of Ad Hoc Remedial Measures .................................. 483
- The New York and New Jersey Experiences ................................... 485
- What We Have Learned ................................................................ 486
- Presidential Commission: Widespread Disruption of the Electoral Process .................. 487
- Components of an Effective and Comprehensive Election Day Disaster Plan .............. 487
- Focus on Strictly Local Effects ...................................................... 487
- EAC's Contingency Disaster Planning .......................................... 488
- Coordination of Continuity of Operations Plans ................................ 488
- Contingency Planning for Countywide Events ................................ 488
- Contingency Planning for Internal Operations ................................ 489
- CRS Report on Postponement and Rescheduling of Elections .............. 489
- State Legislation Authorizing Postponement or Rescheduling of Elections .................. 490
- ABA Standing Committee on Election Law's Dialogues on Election Reform .......... 491
- The Louisiana Case Study: Early Voting Helpful When Crisis Hits ....................... 492
- Putting Early Voting on Steroids ................................................. 492
- Disaster Resilience: A National Imperative .................................... 493
- Effective and Practical Resilience Efforts ....................................... 493
- Resolution 113A to the ABA House of Delegates ............................ 494

  - Minimum Requirements for Disaster Contingency Plans to Preserve
    the Election Process .................................................................. 494
  - Effect of Disasters on Every Aspect of Voting ................................. 495
  - Current State Practices for Emergency Planning .............................. 497
  - Comparison of New York's and New Jersey's Responses .................. 497
  - Voting-Related Directives ......................................................... 498
  - Easing of Voting Restrictions .................................................... 498
Contents

E-mail Voting, Extended Deadlines for Mail-in Ballots, and Notice of Polling Place Changes .................................................. 498
Provisional Ballots at Any Polling Place for Displaced Voters ................. 499
Relocated Polling Places and Mobile Polling Places ........................................ 499
New York’s Emergency Measures .............................................................. 499
Displaced Voter Confusion and Insufficient Provisional Ballots .................... 500
Disenfranchisement from Lack of Advance Planning .................................. 500
Conclusion ........................................................................................................ 501

Chapter 18: Managing Emergency Evacuations ........................................ 503
Angelyn Spaulding Flowers and Otto J. Hetzel
Evacuation Orders ....................................................................................... 506
Duty of Care .................................................................................................. 509
Pets Act .......................................................................................................... 510
Transportation .............................................................................................. 511
Sheltering ....................................................................................................... 514
Conclusion ....................................................................................................... 514

Appendix ......................................................................................................... 517

Index ............................................................................................................... 549