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A Multifaceted Approach to Management and Homeland Security for the 21st Century

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A MULTIFACETED APPROACH TO MANAGEMENT AND HOMELAND
SECURITY FOR THE 21ST CENTURY

BY

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SUBMITTED IN PARTIAL FULFILLMENT OF
REQUIREMENTS FOR THE DEGREE OF MASTER OF
ARTS IN MANAGEMENT FOR PUBLIC SAFETY
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Abstract

This master's thesis is a compilation of "short stories" which share one common theme, the immediate and long-term protection, preservation and prosperity of my country, the United States of America. I embarked on this journey to obtain a Master of Arts in Management and Homeland Security because I am truly concerned about my children's future, the future of the United States of America, and the future of the world as a whole. On September 11, 2001, the world caught a glimpse of true evil and witnessed death and destruction as it was carried out by focused and motivated enemies.

I have dedicated my career to the protection and service of the community and for the last six years, I have trained, prepared and molded the law enforcement profession through training new and seasoned police and peace officers in and around Westchester County, New York. Terrorism is not limited to a single country or region of the world. It needs to be confronted, stopped, investigated, fought and prevented on a global scale, because if a terrorist(s) succeeds anywhere in the world, it is a failure for us all.

"All that is necessary for the triumph of evil is that good people do nothing."

Edmund Burke (1729-1797)

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This thesis is especially dedicated to my beautiful wife, Michelle, and my children, Vincent, Diana and Natalia. Without your love, tireless, selfless and unwavering support for me and this endeavor, I would have never succeeded. I owe you all a great deal of gratitude and I know you all made tremendous sacrifices as I struggled with time management and juggled between being a husband, father and police supervisor.

Additionally, I owe a tremendous thank you to my parents who most certainly played an integral role in building a strong foundation which supports the man I am today. I owe my patriotism, integrity, values and sense of family to my parents who insisted and taught me to always “fly high like an eagle.”

Finally, I would like to thank Dr. Joseph Ryan from Pace University whose gentle nudging and friendly support helped me decide to begin this eye opening, educational and satisfying journey at a time in my life when I craved a sense of academic and intellectual fulfillment.

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Chapter 1

School Based Terrorism Prevention and Mitigation

The purpose of this chapter is to recommend and initiate the development of a broad based plan used for the prevention and mitigation of school-based terrorism. This chapter can be used to craft a strategic memorandum specifically directed to the forty-three (43) police chiefs and police commissioners in Westchester County, New York, and the multiple Boards of Education throughout Westchester County. This chapter will address the following areas:

- *Background:* To include local, national and international threats, as well as historical incidents of school terrorism.
- *Education:* To include situational awareness and strategies for educators, school officials, parents and students.
- *Training:* To include current training standards and trends for law enforcement personnel, as well as the ongoing multi-disciplinary training and drills to include police, fire, emergency medical services, hospitals and utility providers.
- *Memorandums of understanding:* This will include basic agreements and expectations from numerous jurisdictions in and around Westchester County.

Background

According to the National Intelligence Estimate (NIE) of 2007, the United States (U.S.) homeland security will continue to face a persistent and evolving terrorist threat and the main threat will be linked to Islamic terrorist groups and cells. The NIE also indicates the U.S. is in a heightened threat environment and al-Qaeda is plotting to focus

their attacks on prominent political, economic and critical infrastructure targets with the goal of producing mass casualties (Office of the Director of National Intelligence, 2007). It is certainly possible for groups of well-trained terrorists to conduct a series of coordinated attacks in Westchester County schools.

I am a police sergeant with the Westchester County Police Department and have been a police officer for over twenty-two years. This strategy I am suggesting is designed for local authorities because the initial response to a school shooting incident, whether by a lone gunman or organized terrorists, will be the responsibility of local first responders. From my training and experience, I am cognizant of many targets, both soft and hard, that exist in Westchester County. Some of this training includes: Active Shooter Instructor Training from the National Tactical Officers Association, Law Enforcement Response to Weapons of Mass Destruction from the Department of Homeland Security, Tactical Supervisor Training from the Office for Domestic Preparedness and International Terrorism from the Federal Bureau of Investigation, National Academy.

Terrorist attacks in schools have occurred throughout the world. One of the most horrific and notable terrorist school attacks and sieges happened in Beslan, Russia, in September 2004. History illustrates that we are not immune to school violence and deadly attacks in this country. Some recent noteworthy and deadly attacks that have occurred in the United States are as follows:

- Columbine High School, Colorado (12 students killed, 1 teacher killed and 23 injured)
- Virginia Polytechnic Institute (32 killed and 20 injured)

- The Nickel Mines Amish School in Pennsylvania (5 students killed and 10 injured)

Westchester County is very diverse and has a population of approximately one-million residents. It is made up of large cities, villages and towns. The southern portion of Westchester County borders New York City and the mid-section is home to numerous corporate headquarters. There is also significant critical infrastructure throughout Westchester County including the following:

- Several large reservoirs and aqueducts
- The Kensico and Croton Gorge Dams
- The Indian Point Nuclear Power Plants
- Westchester County Airport
- Numerous transportation facilities and hubs (train and bus)
- Dozens of electrical sub-stations and gas lines

Significantly, Westchester's proximity to New York City and its history of terrorist attacks, current terrorist threat conditions and its international media-centricity, increase the likelihood of a terrorist attack in Westchester County.

There are 369 public and private schools with over 250,000 students in Westchester County (Schools in Westchester County, 2010). The United States Census Bureau affirms that 24.1% of the population in Westchester County is below the age of eighteen (United States Census Bureau: State and County Facts, 2010). Schools and children have high "symbolic value" and an attack will inevitably create panic, hysteria and a massive police response from multiple local, state and federal agencies.

Historically, in the U.S. a lone gunman has perpetrated most school shootings. There is also a very different type of school shooter that police, school administrators and parents should consider. This second type is a group of highly trained, highly motivated, well-equipped fanatics, who in an effort to create terror will take an entire school full of children and teachers hostage. They will likely torture, rape, beat and ultimately murder them, as they instill fear, chaos and panic in the minds and bodies of every American. This scenario happened in Beslan, Russia, and it can happen in Westchester County. In Beslan, as many as fifty (50) terrorists armed with bombs, rifles, rocket propelled grenades and a large cache of ammunition, assaulted and took over a Russian middle school on its first day of the school year. In the end, three days later, 330 were dead, including 172 children and 700 others wounded. Eleven men from Russia's elite military forces were also killed while responding to the siege (Giduck, 2005).

The possibility of a mass murder of school children by organized terrorists is real. The Republic of Turkey has had over 300 schools destroyed by terrorists, and numerous other nations have felt the impact of school massacres in their schools by terrorist organizations (Giduck, 2005). Additionally, al-Qaeda has publicly asserted their "right" to kill 2,000,000 American children, and videotapes seized in Afghanistan show terrorists training to takeover schools (Remsberg, 2000). Osama Bin Laden himself has stated, "children are noble targets" and "Russia is a preview for what we will do to America" (Wyllie, 2010).

In 1974, a devastating and horrific terrorist attack in Israel was carried out during the Ma'alot School Massacre. Twenty-one children were brutally murdered and this single act forced Israel to adapt and respond by placing armed security in every school,

every bus and on every field trip (Giduck, 2005). Although implementing similar practices and modeling ourselves after Israel's security efforts would be costly, a similar attack in the U.S. would disrupt our society unlike any other conventional attack. In determining the possibility of a threat, the best indicators include real-time actionable intelligence, historical precedence, stated or known intentions, demonstrated capabilities and confirmed information supporting likelihood (Shoemaker, 2008).

Education

Teachers, administrators and school personnel must receive formal training from their local police departments on how to deal with a school shooting. They must work with the police to develop protocols and strategies for handling mass emergency situations and then practice using these procedures. Every school practices fire drills, but few schools practice mass evacuations or lock down procedures.

School officials must establish lock down or shelter-in-place procedures and be prepared for immediate action in the event of a terrorist attack. Experts agree, we can no longer respond to every problem by sending children into parking lots or outdoor areas. If there were an intruder or gunman in the school, the safest response would be for a school administrator or member of law enforcement to announce "lockdown" via the public address system and initiate the lockdown procedure. This will require all to remain where they are. Teachers will quickly glance into the hall and direct any students or staff members into the room. Doors will be locked and blocked, windows will be covered and students will be placed against a wall so they cannot be seen. Lights and computers will be turned off, cell phones will be muted, everyone will remain silent and still until the

police arrive. This will be a different approach from traditional fire drills (Giduck, 2005). Again, this will require a collaborative effort between the school administration, teachers and the police. Significantly, students will likely follow the lead of teachers and school staff, so it is imperative to have a plan and practice this plan (United States Department of Homeland Security, 2008).

School officials must accept the role of providing detailed blueprints, diagrams, floor plans and videotaped walk-throughs of school buildings to local police in advance of an attack. In addition, schools should assemble and maintain “crisis kits” to include: radios, floor plans, staff/student rosters, first aid kits and flashlights. Also, police officers, emergency medical services, and anyone else who may respond must be welcome and encouraged to become familiar with the layout of every school (United States Department of Homeland Security, 2008).

School boards must provide funding for School Resource Officers because the presence of an armed officer is truly a deterrent. Since terrorists have a propensity to attack schools, then school boards need to consider arming and training willing and qualified teachers and school officials. Armed employees could alter plans, save lives and deny attackers complete control of a school. They could also prevent many from ending up as hostages facing the same fate as the children of Beslan (Giduck, 2005).

Communication channels must be established and functioning between law enforcement and schools. School officials should know whom to call directly in the event of an emergency. Additionally, radios should be available and protocols developed for school bus drivers. Buses are very attractive targets for capturing large numbers of

children and buses also provide an excellent mode of transportation for terrorists and their caches of weapons or explosives (Giduck, 2005).

Most experts agree that terror groups will spend a great deal of time conducting surveillance and gathering information concerning potential targets. This is the most critical time to interrupt or stop a terrorist attack. Counter-intelligence efforts need to look beyond just the suspicious person watching schools, buses or children. The police and school officials should establish procedures to identify persons requesting school records, blueprints, diagrams or security systems. Unauthorized or suspicious circumstances should be reported to local police and investigated immediately (Giduck, 2005).

Training

The Columbine High School incident in 1999 was the turning point for law enforcement across the nation. Afterwards, police officers, parents and the general public realized that setting up a perimeter, negotiating and waiting for tactical teams was a miserable failure when dealing with an on-going deadly force scenario. Police needed to respond with force and determination, hence the “active shooter” or “rapid response” plan was born (Remsberg, 2000).

A national trend throughout the law enforcement community has placed an emphasis on training and preparing first responding police officers for a potential active shooter. The primary goal is to limit the number of injuries or fatalities. First responding officers form ad-hoc “contact teams” consisting of three to four officers moving together, utilizing a “diamond” or “T” formation that will provide 360 degrees

of overlapping security or coverage. This contact team will proceed swiftly and aggressively towards the sounds of gunfire with their ultimate objective to stopping the threat. “Rescue teams” will then follow to rescue and evacuate victims. After Columbine, police learned they must be prepared to risk their own lives in order to save the lives of children. A terrorist attack is no different. Police cannot linger over the dead or injured. It is important to always move forward, staying in the battle, moving towards the sound of gunfire and engaging the shooters.

Active-shooter training is essential and it must be as realistic as possible. The use of “inter-active” training with simunitions {realistic & non-lethal, force-on-force training cartridges} or similar type marking cartridges is a costly, yet useful tool for increasing one’s physical, psychological and emotional response to close quarter combat. Police must train regularly in the schools and become familiar with their layouts and design. Multi-disciplinary training and full-scale drills must occur. Personnel from schools, police, fire, emergency medical providers, hospitals and utilities need to prepare, plan and train for such an event (Giduck, 2005).

Equipment will play a significant role in effectively handling an attack. Ammunition reserves will need to be readily available, because once this crisis begins there will be no turning back. Shotguns are considered by some to be obsolete technology and should be replaced with patrol rifles that are more accurate, capable of penetrating body armor and better designed for longer distances. We know from many other large-scale incidents that communications can be challenging. Inter-operable radios need to be available to all responding agencies. Personal tactical medical kits should be available to all responders because it may be necessary to perform first aid on oneself and partners. It

should be anticipated that all entry points to the school will have been wired with explosives and that improvised explosive devices may be found throughout the location. All first responders should have basic awareness training to recognize, identify and avoid explosive devices or ordnances.

Memorandums of Understanding

It is imperative that pre-planning, training and memorandums of understanding or inter-municipal agreements are established now. Mutual aid plans need to be in place prior to an event for the sharing of resources such as: helicopters, SWAT teams, explosive ordnance teams, explosive detection canines, investigators, vehicles, equipment and personnel. An active shooter or terrorist attack in a school will require significant labor and resources that will extend beyond the capabilities of any single organization in Westchester County. However, the sharing and pooling of resources might facilitate a successful resolution.

Recommendations for Westchester School Personnel

- Formal and continuous school attack training for first responders (police, fire, EMS), private partners and school officials.
- Further development and practice of protocols, strategies and tactics for large-scale incidents.
- Establishing and practicing lock down and evacuation procedures.
- Resolution to “be prepared”, i.e. to act in accordance with established emergency situation protocols to mitigate the emergency.

- Preparing in conjunction with the Department of Buildings, detailed blueprints, diagrams, floor plans and video-taped walk-throughs of school buildings.
- Crisis-kits: creation and site-designation.
- Create school resource officers with peace officer status and arms qualifications.
- Qualifying firearms and training to willing and qualified teachers and school officials.
- Communicating with other law enforcement agencies and providing radios to school bus drivers.
- Taking suspicious persons or anyone conducting surveillance seriously and immediately reporting to local police.
- Procedure to data mine County records to detect unauthorized or suspicious school records requests.

Recommendations for all Police Departments in Westchester County

- Train and prepare first responding police officers for an active shooter utilizing rapid deployment methods established by the National Tactical Officers Association.
- Conduct realistic hands on “inter-active” training using simunitions marking cartridges for stress inoculation.
- Train regularly in the schools and become familiar with their layouts and design.
- Obtain blueprints, floor plans, diagrams and video footage of each school in one’s jurisdiction.

- Collaborate and conduct multi-disciplinary training and full scale drills and/or exercises for personnel from schools, police, fire, emergency medical providers, hospitals and utilities.
- Vigorously investigate reports of suspicious activity or surveillance of schools because they may be pre-cursors to a school attack.
- Provide first responders with proper equipment and adequate training, such as:
 - Go-bags with extra ammunition, food and water
 - Patrol rifles
 - Body armor
 - Ballistic helmets and shields
 - Working radios
 - Personal tactical first-aid kits

Recommendations for Implementing Memorandums of Understanding

- Recognize that no single jurisdiction or agency can alone handle a school shooting or terrorist attack.
- Recognize that pre-planning, training and memorandums of understanding or inter-municipal agreements are established immediately.
- Establish mutual aid plans prior to an event for the sharing of essential resources, including personnel.

The U.S. Department of Education has warned all schools across the country to be on the look-out for people spying or conducting surveillance in their schools and buses. We will never be able to totally eliminate the possibility of terrorism or violence in our

schools. Even the use of armed guards, metal detectors, searches, camera systems and the locking of all doors and windows will never completely eliminate the possibility of an attack. The only way we can be thoroughly prepared to respond to school terrorism is to accept that terrorism is likely. School employees, police, fire and medical personnel, hospitals and utility workers need to formulate various plans for an immediate and specific response and then must train with these various plans and perfect all options and alternatives, before the day arrives when they will be needed (Kalk, 2008).

Finally, police nationwide need to adopt a mindset that follows the teachings of Lieutenant Colonel Dave Grossman who is an internationally recognized scholar, author, trainer, West Point psychology and military science professor and an Army Ranger. He is also one of the world's foremost experts in the field of human aggression and violent crime. He has combined his experiences to become the founder of a new field of scientific endeavor, termed "Killology". Lieutenant Colonel Dave Grossman recommends the following: Police need to fight DENIAL that a school attack can happen here. Police need to DETER attacks by having a strong presence in schools and to DETECT criminal plots before they occur. Police will need to DELAY access to students and lastly, if a school terror attack is initiated, police will need to respond and DESTROY the enemy, because failure is NOT an option (Wyllie, 2010).

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Chapter 2

Public Sector Management

Introduction

Management is a concept that is required and used in many different types of organizations. It is necessary in business, non-profits, and public or private sector organizations. I cannot think of any organization, large or small, that will succeed or accomplish its goals if management fails to accept the responsibilities and duties required for success. In this chapter, I will discuss the following concepts: management principles, the nature of organizations, management strategies during routine and exigent circumstances, individual and group dynamics, skills required for developing trust and effective communication and the art of disciplining subordinates while maintaining or improving performance.

Before we discuss the standard principles of management, there must be an understanding that government cannot be run or managed in the same manner as business. Government and business are fundamentally different; therefore the goals and objectives of leadership must be different. The goal of business is to produce a profit and the goal of government leadership is to be reelected. The stakeholders of these organizations are diverse and have very different interests. Government answers to taxpayers and special interest groups, while businesses answer to financiers or investors. Government is typically democratic and as a result very slow to react to change and cumbersome by design. One of the most significant dangers of government is the bureaucracy that accompanies most movement or decisions. Just because government cannot be run like a business does not mean it cannot be more entrepreneurial, like a

business. Most Americans insist on transparency and would not accept government making decisions behind closed doors. If this were to occur, it is agreed that democracy would suffer. The slow moving bureaucratic process could and should be replaced with leaner, more efficient, entrepreneurial practices and policies (Osborne & Gaebler, 1992).

Principles of Management

The basic and perhaps most productive definition of management is the effective use of people and/or resources to achieve the goals and objectives of an organization. As managers strive to achieve the desired goals, they will typically employ the following four principles of management; planning, organizing, influencing and controlling (Civil Air Patrol, 2006). These principles of management will inevitably be introduced into the management process because they are generally universal and utilized in all types of organizations. A homeland security manager tasked with assessing the operation may find it useful to assess and evaluate the organization from a 30,000-foot perspective. For an entity involved in preserving, protecting and maintaining homeland security, these four principles will be paramount to the success and accomplishment of very important and specific goals.

Planning is the actual process of determining the goals and objectives of the specific organization and deciding who will be involved in the process and how best to achieve the specified goals. Planning involves time, coordination, job knowledge and objective thinking. I have always believed and highly recommend including the personnel who will be tasked with carrying out the mission or operation in the planning process. If those involved in the planning, have a vested interest in the results, the planning will take

on new meaning. It is also fairly obvious that success cannot be achieved without careful and deliberate planning.

Organizing is the act of coordinating and ensuring that resources, personnel and assets are maintained and utilized effectively and efficiently. Organizing is a primary way managers activate their plans. The five steps in the organizational process are: reflecting on plans and objectives, determining major tasks or responsibilities, dividing major tasks into sub groups to identify details, allocating and obtaining resources and evaluating the results of the strategy (Civil Air Patrol, 2006).

Influencing is the process of guiding or navigating the acts of those involved in the operational performance of the mission. Another common way to think of influencing is motivating or leading. This is one of the most important roles of the manager and it involves people skills and a strong knowledge of employees. Knowing what will motivate or encourage your subordinates to perform to the best of their abilities and subsequently push the organization towards established goals is paramount to the overall effectiveness of the supervisor. If management does not connect with or understand the needs and wants of employees, it will be difficult and challenging to influence, motivate or lead them towards pre-determined goals and objectives.

Controlling is basically the process of navigating, directing and monitoring the attempted progress and ensuring that goals and objectives are being met by those tasked with carrying out the missions. For monitoring to occur, managers need to compare actual performance with established norms and measurements. The act of controlling requires managers to have the autonomy and authority to implement and initiate changes

if performance is failing to meet desired goals. Without authority to implement corrective actions or changes quickly and efficiently, time may be wasted and corrective responses will take longer to implement.

The organization that I will be addressing and analyzing for my homeland security strategy is the Westchester County Department of Public Safety, that is, the Westchester County Police Department. It was established in 1979 when the Westchester County Parkway Police merged with the Westchester County Sheriff's Department. Today the Department consists of approximately 275 sworn officers and is primarily responsible for patrolling four parkways in Westchester County, patrolling county parkland and county property such as the historic Playland Amusement Park, the Westchester County Airport and numerous Department of Social Service offices throughout the county. The County Police also has numerous specialized units that are available to police agencies in and around Westchester County. The following are some examples: General Investigations Unit, Pistol Licensing Unit, Narcotics Unit, Crime Analysis Unit, Westchester Intelligence Center, Forensic Investigations Unit, Ballistics Unit, High Technology Crime Unit, Warrant Fugitive Unit, Special Response Team, Aviation Unit, Marine Unit, Bomb Squad, K-9 Unit (bloodhounds, narcotics detection canines, explosive detection canines and patrol apprehension canines), Taxi and Limousine Licensing Unit, Office of Intelligence, Security and Counter Terrorism, Environmental Security Unit, Civil Unit, Stop-DWI Office, the Office of Professional Responsibility/Special Investigations Unit and the Westchester County Police Academy. The Department is also committed to participating in several task forces, such as; the Federal Bureau of Investigation Violent Felony Task Force, United States Marshall Task

Force and the Drug Enforcement Administration Task Force. The Commissioner and Deputy Commissioner are selected to serve at the pleasure of the Westchester County Executive, who is an elected official.

The Nature of Organizations

Professor Henry Mintzberg, an internationally renowned academic and author on business and management, developed five basic structural configurations or management models that are: the simple structure, machine bureaucracy, professional bureaucracy, divisionalized form, and adhocracy (Bolman & Deal, 2008). After examining each of the models, I have decided the divisionalized structure would be most appropriate for my strategy. Most large police departments utilize this model and it is one that I am most familiar. I believe the divisionalized structure will be the model of choice for any organization with multiple divisions, each having its own area of responsibility but sharing a common goal and responsibility to the organization as a whole. Divisionalized structures enjoy economies of scale, adequate resources and greater exposure to assets through the multiple divisions. It is incumbent on managers to resist the urge to pull away from the apex or try to avoid corporate controls or oversight. At the same time, the corporate office and its senior officers need to provide division managers with enough autonomy to get the job done and to oversee, without stifling division leader's creativity, accountability or authority. The lines of communication must be clear and unrestricted if this model is to be successful (Bolman & Deal, 2008).

As I discuss core functions of a police department, I can't help but think about the core functions of government. It is safe to say many people believe the core function of

government is to protect life, liberty and the pursuit of happiness. After all, these are the values on that this country was established. The core functions of most police departments are to “protect and serve” the citizens in the community. They enforce laws, respond to medical and other emergencies, investigate criminal activities, maintain civility and order, gather and analyze intelligence and deliver and sustain consistent training standards. Since 9/11, most police departments have accepted the added responsibility of emergency management as well as preventing and responding to terrorism.

The Westchester County Police has taken a proactive approach to homeland security. Every area of the department has been modified to include increased awareness training for all sworn members and civilians. Additionally, many have received training and have been outfitted with personal radiation detectors, civil disorder equipment and personal protective equipment. The department participates in the New York City Secure the City program and employs random “Hercules” patrols in and around critical infrastructure throughout Westchester County. The Hazardous Devices Unit (the Bomb Squad), Special Response Team, Marine Unit and Aviation Unit include members who are hazardous materials technicians and utilize specialized skills and equipment. Intelligence gathering and inter-department corroboration is crucial to keeping abreast of emerging trends and threats throughout the county and world. The department has members assigned to several task forces, participates in a countywide Critical Incident Response Team and aggressively pursues any complaints or investigations with a link or nexus to terrorism or homeland security. Visions are present in all organizations, big and small, business, sports and public service. The key to success within any organization is

that all employees or members share a similar vision and work in unison towards a common goal or result. This is why including employees in the planning process is crucial.

Energy propels us forward towards the shared vision. There are two types of energy; negative and positive. Negative energy occurs when people are threatened, scared or experience some types of pain, either psychological or physiological. The fight or flight syndrome will usually be present. People will comply and do what is necessary as long as the pain is present. As the pain inevitably lessens, so does the negative energy and resulting compliance. Positive energy is generated when people see something that really attracts and excites them. It will usually last longer than negative energy and is present as long as the positive image or reward is present (Hersey & Blanchard, 1988).

I believe negative energy is what motivated and fueled the creation of the current United States Department of Homeland Security (DHS). The American population certainly felt threatened, afraid and suffered some type of pain. When the choice was fight or flight, we decided to fight. Initially, all members of DHS shared a common vision and everyone including management was motivated. The energy generated was fierce and the vision was focused like a laser. As time moved on, the pain and fear has lessened, but not the threat. Has society and many of the important organizations lost their vision? Does the new presidential administration share the same concerns, energy and vision as the last? Without effective management or leadership, commitment towards goals will dissipate.

People, many of whom are out of work, are struggling to make ends meet, pay their bills. Many are questioning whether life, liberty and the pursuit of happiness are in jeopardy. In an effort to obtain the necessary broad perspective and see how Westchester County interacts with the rest of the country, I will look beyond the county. The DHS leadership needs to send clear signals to its employees. They must generate positive energy that will identify goals and create a shared vision that is focused and clear. If employees trust their leaders, they will be committed, self-motivated and productive. This positive energy and clear focus will help create a new image and perception from the American public that will eventually lead this country in the right direction. Positive energy, prior preparation and effective leadership will propel an organization through chaotic circumstances and periods of uncertainty. In difficult times, subordinates will look to their superiors for guidance and reassurance. Adequate and appropriate responses to dilemmas and problems by management will be responsible for the future success of most organizations.

Individual and Group Dynamics

Understanding the basic fundamentals and characteristics of individual and group dynamics is something all managers need to comprehend and appreciate. There exist distinct and unique problem-solving techniques which will differ from either an individual or group perspective. We all solve problems differently and we all see things differently and that is why working in a group can be so challenging and demanding. Individually, there are no competing values, perceptions, beliefs and desires. The downside to individual problem solving is the limitations of one's intelligence, experience, creativity, sense of urgency or perspectives. Working in a group can be

challenging primarily because there needs to be compromise, cooperation, sharing and a willingness to work with others. The advantages to working with a group are the wide and diverse sense of ideas, intelligence, experience, values and skills. Considering the complexity and the challenges presented to the DHS and the broad design and roles of the multiple divisions under the common umbrella of DHS, it is paramount to become proficient with the group problem solving process. These same strategies and techniques are essential for the Westchester County Police.

It is possible to characterize certain personality traits and utilize this information to predict future behavior of individuals. The Myers-Briggs Type Indicator (MBTI) uses four dimensions of personality to identify sixteen different personality types (Robbins & DeCunzo, 2008). Various personality traits and temperaments can be identified and through the implementation of various techniques, utilized to promote a greater sense of individual and group dynamics. There are many types of personalities; type A and type B, extroverts and introverts, to name a few. Logical and critical thinking lend themselves to solving problems requiring a scientific approach, while other problems may require creative or diverse methods. Over the years, I have used a rather simple approach to problem solving; storming, forming, norming and performing.

Another benefit afforded to the organization is the development of a cohesive and unified team with problem solving as the common goal. Individual development is another byproduct of integration. By working with others, individuals' strengths and weaknesses may be exposed thereby allowing them to work on areas of deficiency and capitalize on areas where they excel. Also, working in a group-based environment often leads individuals towards self-development, increased confidence, improved skills and

higher efficiency. Considering the issues facing DHS and other large and complicated agencies, it will be important for them to integrate multiple techniques and methods during the problem-solving process. It is possible that individual and specific goals and interests of certain groups may create a problem for management during a crisis or major event. In challenging moments, managers need to count on all employees to work together and move forward with a common organizational goal. This is not the time for individual interests or concerns, but a time for shared and integrated mindsets.

As a concept, management is often confused with leadership. These two words share a similar meaning and description, yet in practice they have very different applications. Both are equally important to the success of an organization. Management is the act of getting people to reach a desired set of goals or accomplishments. Leadership is also interested and concerned with the final goals or accomplishments, but effective leadership focuses on the people and is about the process of influencing or motivating those involved in the outcome. One key distinction between management and leadership is that we manage **things** and lead **people**. Things include physical assets, processes, and systems. People include customers, external partners, and people throughout our team or organization. When dealing with things, we talk about a way of **doing**. In the people realm, we're talking about a way of **being** (Clemmer, 2008). This clearly describes the inherent dependency and complementary nature between management and leadership: “Both management and leadership are needed to make teams and organizations successful. Trying to decide that which is more important is like trying to decide whether the right or left wing is more important to an airplane's flight. I'll take both please” (Clemmer, 2008).

Effective Communication

How do effective managers create an atmosphere where the lines of communication flow freely with a general feeling of trust between management and employees? There is no doubt that the core of all learning is communication. We receive information, we absorb and retain information and through self-expression, we speak, write and act. It is also true that communication is the basis for all human interaction though it is rarely an exact science. We communicate through both body language and spoken language nuanced through elements such as tone of voice. Effective communication occurs when the receiver interprets the sender's message in the way the sender intended it. Most communication occurs through body language and voice control. It is often not the content of the message, but the manner in that it is delivered that is important. We need to keep in mind that eyes, hands, facial expressions and posture all have a role in the way we deliver a message. In stressful, chaotic or unstable environments people need to be able to control motions of fear, anger, hostility or shock as they try to send and receive effective messages?

In an emergency, people depend on information for physical and emotional comfort. To be effective, emergency communications must be timely, accurate, and clearly stated. Studies show that during an emergency, information is as critically important to people as food or water. Not only can accurate information mean the difference between life and death, it can provide reassurance that response and recovery are truly underway (United States Department of Homeland Security, 2005). If official answers are not available, rumors and speculation will quickly fill the information vacuum. Once this occurs, management will be burdened not only with disseminating

correct information, but will also need to counter the misinformation that has already circulated. During an emergency, leaders must be aware that barriers may interfere and prohibit the flow of information. It is more difficult for people to hear messages during an emergency because of stress, change of routine, and lack of sleep.

As I reflect on my own communication abilities, I conclude that I am comfortable with most types of communication. I can speak with individuals, groups or large crowds and I can also communicate in writing. I believe I am generally sincere, honest and have the ability to be empathetic with people during confusing or emergency situations. I believe prior preparation is required before communication can be initiated during a crisis. Being able to communicate effectively is a necessary and vital part of the job of every municipal leader. Well-planned and well-executed communications, fully integrated into every stage of a crisis and emergency response, can help reduce deaths and suffering. Effective communication requires an understanding of the audience, the goal, the message, and the most effective way to achieve the desired outcome. It also requires acceptance and an understanding of the role of the communicator by the participants (United States Department of Homeland Security, 2005).

Communicating during a crisis requires relevant, transparent and useful information from a credible person who has the authority to relay the information and the ability to maintain a calm and controlled demeanor. It is important to remember that communicating during crises and emergencies is very different from communicating during normal conditions. During a crisis, emergency or unpredictable and unusual events and changes in plans and communications can and will occur. The challenges for leaders and their respective community may be extreme.

The Art of Discipline

There is no doubt that one of the most challenging and uncomfortable aspect for a manager is the administration of discipline. Dealing with difficult people in general can be challenging, nerve racking and time consuming. Many supervisors or managers choose the path of least resistance and ignore the problem or hope it will resolve itself. This technique rarely has the desired results. It may encourage additional violations from the initial individual and it may welcome others who may think it is now acceptable behavior. Failure to act may also cause confusion and frustration from other employees who usually notice the violation. When supervisors ignore a problem or violation, they are in essence giving tacit approval for future violations. Another point for managers to consider is their failure to act may in fact be a violation or a dereliction of duty, which will initiate a new dilemma complete with its own set of issues and/or punishments.

In situations when supervisors deem it necessary to administer discipline, employees should expect and receive fair and reasonable treatment. It should be swift, certain and appropriate for the employee and the offense. I believe the progressive model of discipline is helpful. Perhaps a first time offense may result in a verbal or written warning. Repeat offenses should move towards progressively more severe punishment. As always, it is recommended to “Praise employees in public and punish or chastise in private.”

In a situation when employees need to do a job or task that they really do not want to do, managers need to use open communication, have clear expectations and perhaps introduce some form of an incentive. An incentive is useful because when implemented,

the employees may become goal-driven and push themselves towards a better end product. In some instances recognition, praise or appreciation are all that is needed to motivate positive and productive behavior. Using Maslow's hierarchy of needs, special assignments or a form of personal responsibility may achieve a sense of belonging, self-confidence, self worth and self-actualization by encouraging employees to be actively involved in multiple aspects of the organization. When employees are involved with the preparation and planning of assignments, they tend to take pride in the delivery. There is a vested interest in the outcome when one's name or reputation is attached. This vested interest can be a useful tool for motivating the right employees.

In conclusion, I have addressed multiple priorities relating to successful management in a variety of organizational types. I have discussed management principles and strategies, the nature of organizations, individual and group dynamics, the importance of effective communication and motivating or disciplining employees. Effective management is important on many levels; however for a manager to truly have an impact on an organization and its people, managers should strive to not only manage, they should strive to LEAD.

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Chapter 3

Public Sector Strategic Planning & Budgeting

*Introduction*

The Westchester County Department of Public Safety or Westchester County Police Department (WCPD) has been in existence since July 1, 1979 when it was created through a merger between the Westchester County Parkway Police and the Westchester County Sheriff's Department. On January 1, 2011 the Westchester County Police Department merged with the Town of Ossining Police Department and is now responsible for delivering police services in the Town of Ossining. The former police officers from Ossining have made the transition and are currently employed by the Westchester County Police.

One of the most significant responsibilities municipal officials have is to plan beyond the municipality's immediate future and to put into place systems that will allow the community to thrive well into the future. Often, that need for long-term vision is

engulfed by the overwhelming needs of the present. Particularly, in times of an economic downturn, it is common for immediate needs to outweigh long term planning concerns due to the demands of day-to-day operations. Right now local governments have an immediate responsibility to taxpayers to provide services that preserve the high quality of life in the most cost-effective and efficient manner.

Town of Ossining officials realized several years ago that the cost associated with running a 17-member police department in an area where there is very little crime was using a disproportional amount of taxpayer resources. Additionally, throughout Westchester the high fixed costs of operating dozens of small police departments has become an unsustainable luxury and has increased the financial burden on property taxpayers. Expenses can be shared through consolidating office operations, supervision, dispatching, technology and resources, while reducing duplication.

The main responsibility of any local government is to provide for the health, safety, and welfare of its residents, and to provide a high level of professional policing. Thus far, the Town of Ossining and Westchester County Police arrangement has been a success for all involved and it is anticipated that other municipalities will follow this path to a better overall future for their citizens as well.

Considering the current economic environment and fiscal constraints, this chapter will represent a strategic plan which identifies eight (8) specific issues and addresses common sense strategies, performance goals, measurements and proposed budgets. With a watchful eye towards shrinking budgets and greater fiscal constraints, the following strategy is a realistic, responsible and achievable plan for the successful future of the

Department of Public Safety and its stakeholders. Upon examination, it will be apparent that the following suggestions and implementations should not and cannot be ignored.

Purpose, Scope and Methodology

Purpose

A strategic plan should be developed because a well defined, comprehensive, living strategic plan is essential for ensuring that the Department of Public Safety is prepared for a variety of challenges ahead. Westchester County is 450 square miles, bordered by New York City (NYC) to the south, the Hudson River to the west, the Long Island Sound and Connecticut to the east and Putnam County to the north. There are approximately one million residents in Westchester County, making it one of the most densely populated counties in the country. There are five (5) intrastate parkways, four (4) interstate highways, commuter and commercial railways, the Indian Point Nuclear Energy Plants, the Croton and Kensico Dams, the Croton, Catskill and Delaware Aqueducts that supply the majority of water to NYC, numerous reservoirs, one of the most active commercial airports in the country, a federal courthouse, and home to a large number of corporate headquarters. The potential for significant natural disasters such as flooding, hurricanes and tornadoes, as well as man-made disasters, requires the county to utilize an all-hazards approach to identifying, mitigating, planning, preparing, communicating, responding and recovering from a host of events.

Citation

The purpose of a strategy is to provide the reader with a clear, relevant and convincing statement as to why the plan is being developed (Rosell, 2007).

Scope

Although the issues, strategies, goals and performance measures will be addressed in detail in the appropriate sections of this strategy, it is appropriate to identify these issues as;

- Reduced budget for equipment and training
- Over-dependence on grant funding
- Over-dependence on funding for New York State parkway patrols
- Lack of a fixed community and anonymous identity
- Over-dependence / over-diversification of competent employees
- A current rotating schedule detrimental on many levels
- Blurred unity of command

The strategic goals described in this strategy are projected for three to five years.

Citation

The scope of a strategy is designed to provide the reader with an idea of the extent, or reach of the plan. It explains the meaning of the strategy, but falls short of assigning specific responsibilities. The scope should contain a timeframe relevant to the life of the strategy (Rosell, 2007).

Methodology

This strategy will implement formal and in-formal meetings and discussions with involved critical personnel and develop workable and realistic strategies to address the issues, identifying attainable and worthwhile goals and finally, implementing specific performance measures to verify success or failure.

Citation

Methodology is a documented approach for performing activities in a coherent, consistent, accountable and repeatable manner. It is also crucial that the strategy contains a mechanism for the measurement of performance (Rosell, 2007).

Mandates

- Contracted by The New York State Department of Transportation to provide uniformed police patrols of three parkways: Saw Mill River Parkway, Hutchinson River Parkway and Cross County Parkway in Westchester County. Also provide police patrols of the Bronx River Parkway, owned by Westchester County. Provide traffic control and enforcement, respond to disabled vehicles and accidents, selective enforcement (DWI, speed enforcement, seatbelt enforcement, cell phone usage and aggressive driving).
- Uniformed officer presence and response in Westchester County office buildings (Department of Health, Consumer Affairs, Child Support Unit, etc.) social service offices, parks, Playland Amusement Park, Westchester Community College, Westchester Medical Center, Westchester County Airport and other

county owned facilities such as sewage treatment plants, environmental facilities, cell phone towers, etc.

- Uniformed patrol and response for any police services within the Town of Cortlandt and the Town of Ossining.
- Zone 3 Police Training Academy for Westchester and Putnam counties, including the Basic Course for Police Officers and any in-service or continued learning for existing police officers throughout the zone.
- Office of Professional Responsibility and Special Investigations which conducts civilian complaint investigations, internal administrative investigations and any other sensitive or confidential investigation.
- Office of Intelligence, Security and Counter-Intelligence that collects, assesses and disseminates intelligence information, develops proactive and reactive strategies in response to intelligence/threat information, helps to protect key infrastructure and critical resources within Westchester County and coordinates activities between local, state and federal law enforcement and private industry.
- Environmental Security Unit that protects and safeguards the environment and natural resources within Westchester through active enforcement and public education.
- Detective Division available to any jurisdiction, by request; includes: General Investigation Unit, Forensic Unit, Ballistics Unit, Narcotics Unit, Warrant/Fugitive Unit, Crime Analysis Unit, Digital Evidence Unit and Pistol Permit Unit.

- Task Force agreements and partnerships: DEA, FBI Violent Crime, U.S. Marshall Violent Fugitive and District Attorney's Auto Theft Task Force.
- Surface Transportation Unit that provides uniformed and plain-clothed officers to the Liberty Lines Public Transportation System for deterrence and investigation of transportation related criminal activity.
- Communications Unit that acts as the nerve center and critical lifeline between officers in the field and County Police Headquarters, and also adept at coordinating police, fire, EMS and any other needs from the community.
- Special Operations Division handles and coordinates the Aviation Unit, Special Response Team, Hazardous Devices Unit, Canine teams, Marine Unit, Hostage Negotiations Unit, Explorer Post and mobile command vehicles.
- Office of Drug Prevention and Stop-DWI unit educates and develops programs designed to reduce alcohol and drug related accidents within the county.
- Sheriff's Office/Civil Bureau responsible for the service and execution of civil orders, judgments and mandates emanating from the State Supreme Court, the County Court and local courts throughout Westchester; also serves in an enforcement capacity for state and federal jurisdictions where service is required in Westchester.
- Taxi and Limousine Commission oversees and regulates the licensing of for-hire vehicles while ensuring safety and quality.
- Property Control Unit receives, maintains and disposes of all evidence and property recovered by the department.

- Records Unit is the main repository of police reports of all types and responsible for the processing, storage, retrieval and management of all police records.

Stakeholder Analysis

Citation

A stakeholder analysis is a valuable prelude to a mission statement because without identifying who the stakeholders are and what criteria they will use to judge an organization, there is little likelihood that the organization will know what it should do to satisfy those stakeholders. It is also well known that in public and non-profit organizations, the key to success is the satisfaction of key stakeholders. A basic stakeholder analysis technique consists of three steps: identifying exactly who the stakeholders are, specifying criteria the stakeholders will utilize to assess the organization's performance, and finally how the organization performs against the stakeholder's criteria (Bryson, 2004).

Stakeholders for the Westchester County Police Department;

- Citizens of Westchester County
 - Citizens of the Town of Cortlandt
 - Citizens of the Town of Ossining
- Employees for the Westchester County Police
- Commuters (motoring public) traveling in and through Westchester County
- Employees for Westchester County
- Unions
- Suppliers for the WCPD

- Municipalities and courts within the county
- Law makers/legislators
- Law Enforcement agencies in and around Westchester County
- Businesses/workers employed within Westchester County
- Patrons who utilize parks, pools and recreational facilities within the County
- Travelers flying in/out of the Westchester County Airport

Performance Assessment Criteria

- Civilian complaints
- Arrests/summonses
- Criminal investigations
- Civil investigations
- Pistol Permit investigations
- Assists to municipalities
- Special Operation Division activities
- Drug/Alcohol presentations
- Training courses conducted
- Driving simulator/public relations details
- Operation Safe Child events
- Taxi and Limousine Commission activities
- Records handled and processed

Organizational Performance

The most effective technique for identifying and displaying the performance of the Westchester County Police Department is through the use of monthly, quarterly and yearly reports that contain graphs, statistics and percentage comparisons. Additionally, an annual report will be produced and made available to all stakeholders (print and electronic).

Citation

The development of effective organizational performance measurements are essential for a police department operating in today's climate of transparency, efficiency and constant scrutiny. It is not enough to simply measure what an organization does, results must also be measured. Trying to measure results in police work is complex, but if done properly it will link the outcomes or results with the strategic plan on how well the organization achieves its goals. In addition to satisfying the needs of stakeholders, police agencies today are competing for significant funding available through federal or state grants, so performance measures need to be succinct, reliable and easily understood (LePere, 2009).

Vision Statement

The Westchester County Department of Public Safety was created on July 1, 1979 by a merger between the Westchester County Parkway Police and the Westchester County Sheriff's Department. Since that time, the Department has provided primary police coverage for Westchester's parkways, parks, buildings and facilities. Since inception, the Department has also provided specialized police services to neighboring

jurisdictions. Such specialized services include, but are not limited to: bomb, forensic and ballistic technicians, aviation, marine and special response teams, investigative support and major case investigators.

The current economy, high taxes, cries for downsizing and consolidation of government services has created an uncertain and unfamiliar landscape. Effective January 1, 2011, the Town of Ossining disbanded its police department and merged with the Department of Public Safety. The fabric and future of the organization is changing and many are closely watching and monitoring the success of this merger. The vision of the agency is to continue to satisfy current mandates and stakeholders while inviting and welcoming any other municipality or jurisdiction with future mergers or cooperative agreements. The future for law enforcement is to deliver reliable, affordable and professional policing to society. Exorbitant costs and ever-increasing taxes will necessitate the disbanding of these small town police departments because the luxury of individual and home town police forces has become unsustainable and too expensive for many municipalities throughout Westchester County and beyond. The infrastructure, resources, expertise, experience and commitment of the Westchester County Department of Public Safety puts it in a perfect position to facilitate additional mergers and increased areas of responsibility.

Citation

Knowing the difference between what should never change and what should be open for change is critical for any organization. It is helpful to utilize a yin/yang analogy in understanding this concept. The core ideology is what we stand for and why we exist (yin) and the envisioned future as what we aspire to become, achieve or create as

something that will require change and progress to attain (yang). Core ideology is the glue that holds an organization together and these values need to be constant, even in difficult times. Core ideology consists of core values and core purpose. Core values are an essential set of guiding principles having intrinsic value to those in the organization. Core purpose is the organization's reason for being. It consists of ideals or the soul of the organization (Collins & Porras, 1996).

The Envisioned Future consists of two parts: a long-term bold or daring goal and detailed descriptions of what it will take to get there. Collins and Porras (1996) state: "Visionary companies will utilize BHAG's or Big, Hairy, Audacious, Goals." A true BHAG will energize, excite, motivate and engage people. It is tangible, has a clear ending point and will ultimately stimulate progress. A BHAG is a clearly articulated goal reachable in 10 to 30 years. Collins and Porras capture the meaning in this quote: "think of the core purpose as the star on the horizon to be chased forever, the BHAG is the mountain to be climbed. Once you have reached the summit, you move on to the other mountains."

Mission Statement

The Westchester County Department of Public Safety is committed to ensuring the safety, and security of all those who live, work and recreate in our county. Toward that end, we will remain vigilant in:

1. Policing parkways, county property and any other areas of responsibility
2. Serving as an ever-present resource for local law enforcement

3. Remaining at the forefront in protecting citizens and critical infrastructure from acts of domestic and international terrorism

The department will endeavor to achieve these goals through professionalism, quality training, and a shared commitment of common sense, respect and integrity.

Note: Although the WCPD has police powers throughout the county, actively policing areas outside of its specific jurisdiction or area of responsibility is neither advisable nor legal. Those areas are policed by the local police departments and active policing within those areas would be a violation of the Westchester County charter, create redundant and overlapping police services, create friction, distrust and resistance from these local police agencies.

Citation

I believe it is necessary define or at least differentiate between vision and mission. Yogi Berra's quote from Bryson (1996) is a short yet powerful statement: "You've got to be very careful if you don't know where you are going, because you might not get there." It means without a sense of purpose we are literally lost. A mission provides an organization and its people that common purpose. Ideally, a mission should include socially meaningful criteria, taking into consideration the public image, morals and ethics, geographic domain and expectations of growth and profitability. A mission should accurately explain why the organization exists and what it hopes to achieve (Radtke, 1998).

An organization's vision will include its mission, but in greater depth. A vision will capture the long-term picture of what the organization wants to become. It must be

inspirational, memorable and mirror the desires of those with a shared interest. It must be well known by all involved, such as employees, members and stakeholders. Simply stated, “A vision of success can have little effect if organizational members are kept in the dark about it” (Bryson, 2004).

Internal and External Situational Analysis (SWOT)

An organization’s strengths and weaknesses are two descriptors that require an analysis from within. To contrast strengths and weaknesses from their counterpart external factors, opportunities and threats, it is safe to say that determining strengths and weaknesses is a more challenging process. It requires introspection and honesty, a task not always accomplished.

In determining strengths it may be useful to divide this concept into three categories: products, people and performance.

- Products refer to relevant resources including patents, production systems or manner of operation.
- People refer to the employees, both skilled and unskilled, as well as their morale, dedication and cohesion.
- Performance refers to what the organization does, how it is viewed by outsiders and whether the organizations can adapt and overcome obstacles.

Weaknesses may be more difficult to admit and even harder to address. Effective strategies begin with the identification of weaknesses. It is important not to finger-point, but to determine the root causes and attack long standing problems. Some examples of common weaknesses are: areas needing improvement, lack of certain skills and

resources, lack of funding, lack of innovative ideas and failure to have a competitive edge.

Strengths

- Employees
 - Education: many possess bachelor or master degrees, several are attorneys
 - High morale and commitment
 - High degree of professionalism
- Training
 - Commitment to training
 - Progressive and cutting edge
 - Technology: firearms training simulator, driving simulator, simunitions and inter-active training
- Adaptability and flexibility (i.e. mergers and new venues)
- NYS accredited law enforcement agency
- Physical assets
 - Helicopters
 - Boats
 - Canines
 - Armored personnel carrier and assorted SWAT team equipment
 - Bomb containment system and assorted equipment
 - Training equipment
 - Technical equipment

- Buildings and radio infrastructure
- Diversified: numerous specialized units
 - Patrol
 - Training Unit
 - Special Operations Unit
 - SWAT
 - Marine
 - Aviation
 - Canine
 - Bomb Squad
 - Detective bureau
 - General Investigations Unit
 - Narcotics Unit
 - Warrant Fugitive Unit
 - Pistol Permit Unit
 - Crime Analysis Unit (Westchester Intelligence Center)
 - Forensic Investigation Unit
 - Crime Scene
 - Ballistics
 - Computer Crime, digital evidence
 - Task Forces
 - DEA Task Force
 - U.S. Marshall Fugitive Task Force

- FBI Violent Felon Task Force
- Joint Terrorism Task Force
- Civil Bureau
- Stop-DWI Unit

Weaknesses

- Budget: tax based and dependent on Board of Legislators
- Dependence on grants for funding and equipment
- Dependence on parkway patrol funding from NYS
- Lack of fixed community traditional police departments
- Over diversification
- Rotating schedule for patrol officers
- Blurred unity of command due to numerous assignments for some personnel

It is essential for an organization to recognize its strengths, to maintain them, build upon them and use them as leverage. It is also equally important to understand and acknowledge weaknesses with the goal of correcting, changing and eliminating those weaknesses.

Opportunities

The current economic environment has presented some very interesting and exciting opportunities to the department. With municipalities suffering from reduced cash flow, taxpayer tea parties and a general belief that government needs to be smaller and less expensive, police departments throughout the country are closing their doors or being

taken over as governments try to reduce expenses. Some current opportunities for WCPD are as follows:

- Mergers with other smaller police departments
- Mergers with the Westchester County Department of Emergency Services
- Providing unified in-service training for required topics to police departments throughout Westchester
- Training initiatives to train all police officers in the use of the Taser and patrol rifle
- Equipping all police cars with dash-mounted camera systems and mobile laptops allowing for the preparation of tickets, and accident/incident reports
- Use of a Global Positioning System (GPS) for vehicles to assist with more effective dispatching
- Obtaining more License Plate Readers
- Use and training for personal radiation detectors and a standardization of weapons of mass destruction training

Threats

With external threats, the biggest issue is money and the struggling economy. Police departments are typically not moneymakers, with the exception of tickets, fines and the collection of judgments by the Civil Division. They are also only a small portion of most municipalities' budgets. The following are external threats:

- Budget cuts

- Loss of NYS funding for parkway patrols
- Keeping equipment and vehicles longer and beyond their useful lifespan to save money
- Manpower cuts and failure to hire new officers
- Lack of support from community for mergers, equipment purchases and other endeavors
- Changing laws or initiatives to hinder police or furthering procedural constraints

Identification of Issues, Strategies, Goals, Performance Indicators and Budgets

Issue #1: Reduced budget for equipment and vehicles.

Strategy: Improved upkeep and maintenance of vehicles and department equipment with an emphasis towards longevity.

Goal: Extend useful lifespan of vehicles and equipment.

1. Assign vehicles and equipment to limited number of officers who are held accountable and responsible for their maintenance and upkeep through daily and more extensive monthly inspection reports.
2. Establish realistic criteria for the replacement of vehicles and equipment.
3. Moving and recycling or retrofitting vehicles within the department for maximum vehicle usage. (ex., patrol vehicles accumulate mileage quicker than other units, therefore upon reaching 75,000 miles, vehicles can be repainted and retrofitted for ancillary units such as the detective bureau, civil bureau, etc.)

Performance indicators: Increase lifespan of vehicles and equipment (quarterly)

Budget/Resource: This issue concerns reduced budgets for vehicles and equipment, so there is no increase in funding, but there are three specific concepts that can prolong and increase the life expectancy of these resources.

Issue #2: Reduced budget for non-essential training.

Strategy: Increase non-formal roll call training to supplement more costly formal classroom sessions.

Goal: Reduce training costs.

1. Have Video Production Unit (VPU) produce in-house training videos to be played during roll call.
2. Distribute formal training bulletins to be covered during roll call.
3. Provide immediate supervisors (sergeants) with relevant and useful daily training ideas and objectives.

Performance indicators: Increased number of videos, training bulletins and daily training concepts monthly.

Budget/Resource: this issue concerns reducing costs, so there are no expected increases or expenses. The equipment for the Video Production Unit is already owned and set-up. Since there is no one currently assigned to the VPU, an officer with prior experience in making videos and utilizing the equipment (currently there are two officers) can be temporarily assigned on a part-time basis, when manpower allows for the production of the in-house training videos. The training bulletins can be prepared by members of the Police Academy during their normal course of business and supervisors can prepare training concepts that are relevant and applicable to their individual squads and present this material during roll call training.

Issue #3: Overdependence on grants for funding

Strategy: Search and identify alternate sources of revenue and funding.

Goals: Increase amount of external funding from traditional budget.

1. Monitor budget for opportunities to reduce costs.
2. Aggressively pursue outside sources of funding through implementation of surcharges from tickets, arrests and fines.
3. Assign a competent person to seek funding from grants and other government programs.

Performance indicators: Reduce costs and increase outside finding from various locations quarterly.

Budget/Resource: Since budgets are limited, we must locate other means of funding.

Meetings and an open dialogue with county legislators need to be established so laws can be written that allow for the collection of surcharges to the Department from tickets and arrests. Currently, only the jurisdiction where the offense occurred and New York State receive fines and surcharges. Assign a competent officer who can work part-time to write applications for and seek funding through federal and state grant programs. This will not require additional employees, but rather the reallocation of the workload among current employees.

Issue #4: Dependence on funding from NYS for parkway patrols.

Strategy: Maintain existing funding for patrol of parkways in Westchester County.

Goals: Increase reporting that documents and substantiates the need for continued WCPD parkway patrols.

1. Take reports of all accidents, regardless of damage, injury or otherwise.

2. Continue aggressive driving corridors with an eye towards accident reduction.
3. Record all accidents, incidents, calls for service, summonses and arrests.
4. Aggressively enforce dangerous driving, i.e., DWI, road-rage, speed contest and reckless/aggressive driving.

Performance indicators: Post monthly results by officer and squad.

Budget/Resource: The department receives funding from NYS for the patrol of NYS owned parkways. Initiatives must be implemented to ensure the funding is maintained.

Currently, statistics are kept for all work performed and services provided so if the above goals are implemented there should be no increase in expenses.

Issue #5: Lack of fixed community base and visibility.

Strategy: Augment community involvement and illustrate the benefits of the department to stakeholders.

Goals: Increase activities that foster positive relations with public and inform public of positive and effective activities.

1. Increase police explorer programs.
2. Increase citizen police academy.
3. Increase operation safe-watch that photographs and fingerprints children and infants.
4. Increase child seat installations and inspection program
5. Create mailers to stakeholders informing them of events, programs, initiatives, safety tips and community information.
6. Employ public information officer who has relationships with local media and actively publicize anything that portrays the department in a positive light.

Performance indicators: Record and post all numbers and percentages of changes quarterly.

Budget/Resource: The first four goals are already being funded, so increasing the numbers should not have a major effect on the cost of the programs. Goal #5 can be successfully accomplished by working with the Westchester County print shop to keep costs to a minimum; \$5,000 is proposed for the first year. The position in goal #6 is already funded and operational, so increasing interactions and contacts with media should not require additional funding.

Issue #6: Over-diversification of competent employees.

Strategy: Address over-diversification of limited numbers of officers.

Goal: Increase number of officers who possess specialized skills through in-house training and reward system.

1. Acquire or maintain specialized training for more officers.
2. Create a career path or professional development program.
3. Cross-train officers and encourage participation.
4. Enhance department's award recognition program.

Performance indicators: Track training and awards issued annually.

Budget/Resource: Since training is already budgeted for, it should not increase the budget by spreading the training to additional people. The purpose is to bring more officers into the loop and reduce the burden on the already assigned officers. Goals 2, 3 and 4 should not have any adverse effect on the budget because they target motivational purposes and if implemented, will increase morale and productivity.

Issue #7: Current rotating schedule is detrimental to morale, health and well being of officers.

Strategy: Request for volunteers to participate in a panel to design a steady, healthier and more conducive work chart.

Goal: Implement a new steady work chart.

1. Ensure research is conducted to demonstrate the relevance, benefits and necessity relating to a steady work chart.
2. Implement a new steady schedule on a trial basis and require feedback from all involved.
3. Evaluate feedback and make modifications if required.

Performance indicators: Initially monitor feedback and overall usefulness of new work chart weekly. As time passes and when there are no immediate problems, track officer absences, productivity, injuries and automobile accidents to correlate and link to the work schedule.

Budget/Resource: The research will be conducted by using volunteers so there will be no expense during this stage. The implementation of a new work chart should not require any additional costs since officers will have to work the required number of days or hours per week.

Issue #8: Blurred unity of command for many officers.

Strategy: Develop protocols and training procedures to educate supervisors and officers with multiple bosses and diverse job functions.

Goal: Change the mindset of supervisors and officers who are involved in different jobs and multiple responsibilities that often lead to conflict and a blurred unity of command.

1. Stress the importance of working together and goals of the entire police department during annual in-service training.
2. Improve the exchange of information within the department both laterally and through the chain of command.
3. Cross train officers to expand the number of qualified members to handle specialized job functions.

Performance indicators: Identify members who have received this awareness training and officers who have received the cross training annually.

Budget/Resource: Since training is already budgeted for and currently being conducted, this should not require any additional funding. Stressing the importance of working together and improving the flow of communication are cultural changes that will not cost anything.

Strategy for Implementation

The presentation of this strategic plan will be made in-person during a formal, yet comfortable, monthly staff meeting attended by departmental unit heads, commanders and chiefs. I, Sergeant Vincent Antonecchia, will be tasked with conducting the presentation. I have an intimate understanding and overall knowledge of the issues, strategies and goals and can present this plan with a high degree of confidence and comfort required for public speaking. Additionally, during my employment in the preceding twenty-two years, I have gained the respect, trust and credibility of my peers and supervisors. This positive reputation will gain the attention and interest of the people being addressed.

I will provide handout material to include the plan and examples of the performance measures and utilize a detailed power point presentation to supplement and emphasize the key concepts included in the plan. The overall emphasis of the presentation will be to reference the current economic state and the overbearing pressures to reduce spending while convincing the decision makers that this strategy is realistic, responsible and achievable. I will need to do more than sell the ideas, but rather market the entire strategy in such a way that supervisors believe they cannot afford NOT to follow or adopt the suggestions in the strategy.

Citation

Effective communication is not always present and certain safeguards need to be implemented to ensure that it is occurring. Annette Simmons (2001) points out in her book, *The Story Factor*, that listening is not a passive task; it requires effort and involvement on the part of all involved. Simmons reminds us that less than 15% of what is said is actually heard and the remainder of the message comes from several non-verbal cues such as gestures, hands, facial expressions, body language, tones, posture, timing and pause and sincerity. Often times it is not the message that is resented, but the manner in that it is relayed.

Trust can be created, destroyed, restored, leveraged and utilized as a strategic advantage. Credibility is directly related to trust and the four facets of credibility are integrity, intent, capabilities and results. The metaphor of the tree with its roots, trunk, branches and leaves is a simple and useful way to describe in detail the four core fundamentals of credibility (Covey, 2006).

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Chapter 4

U.S. Constitution and Ethical Issues

In the Preamble to the United States Constitution, our Founding Fathers wrote about justice, domestic tranquility, common defense, welfare and security. Consider how progressive these concepts were back in 1787 when the Constitution was adopted. If we consider the state of this new nation more than two-hundred years ago, we see citizens who had just fled their homeland and were seeking a better, safer, and happier way of life. These pilgrims, pioneers, refugees and adventure seekers packed up their families with limited personal belongings, boarded boats and sailed into the great unknown, seeking a new life for themselves and their children.

They created a government that could be trusted to meet the most basic needs of all citizens. They allowed a certain amount of power, but at the same time were very cautious and cognizant of giving too much power to this new government. They built in safeguards, limitations, checks, balances and a separation of power between those making laws and those enforcing laws. The Constitution created three branches of federal government, the legislature or Congress, the executive branch or Office of the President and the judicial branch headed by the Supreme Court. They understood the ramifications of making one person too powerful and they enacted rules and limitations to prevent it from happening here in America. The third amendment states, “No soldier shall be quartered in any house without the consent of the owner.” Obviously this was a problem and of great concern more than two-hundred years ago.

How much of the Constitution is still relevant today? I believe all of it is still relevant and the concepts and values contained within need to be respected and preserved well into the future. I believe there is a fine line to preserving individual privacy and maintaining the safety and security of the nation. It has been said by many that the Constitution is a living document, meaning it is constantly changing and evolving to suit the needs and requirements of the times. One of the greatest challenges for the future will be to maintain the integrity and original spirit of the Constitution while taking into consideration the threats and uncertainty directed towards our rights.

We can keep the balance if we don't jump to conclusions with limited information about current threats and events. We must fight the urge to overreact based on emotions rather than intelligence, reasoning and prudent thinking. Immediately following the 9/11 attacks on America, many believed we should discard individual Constitutional rights in favor of a more secure homeland. Perhaps instinctual or internal mechanisms of survival and dominance were triggered, but we must accept and realize that sometimes strength and fitness do not only describe one's physical being but can also be used to describe one's mental capacities, resiliency and ability to overcome obstacles without sacrificing values or principles. So it is here that I believe we must proceed. We need to do everything in our power to fight our enemies and prevent future attacks and we must walk this fine line without trampling on the core values on that this great country was founded.

The Bill of Rights

The Bill of Rights is officially the first ten amendments to the Constitution and it was initially discussed during the first Congress under the new Constitution during their meeting in New York in 1789. The legislatures of several states were uneasy and requested a number of amendments be added to the Constitution because they believed the Constitution was not clear enough in protecting certain rights of the people, such as the freedom of speech, freedom to bear arms, freedom of religion and the right to trial by jury. Many indicated they would not support the Constitution if these rights were not addressed in it. So the leaders of the First Congress, including James Madison, the principal architect of the Constitution itself, decided to support the addition of certain amendments that would address these concerns, in order to build more confidence in the Constitution from the general population (Revolutionary War and Beyond, 2010).

The 1st Amendment protects our freedom of religion, speech and press, as well as the rights to assemble and petition the government. I feel many Americans take our freedom of religion for granted. There are wars being fought in other parts of the world over the right to freely practice religion (Studies, N. C. F. C., 2005).

The 2nd Amendment protects the right to bear arms. I believe what this signifies, but with restrictions and oversight. I believe there needs to be some more standardization throughout the country when it comes to gun permits and licenses. Right now, each state and their many counties have their own individual rules and regulations and it gets extremely confusing and cumbersome (Studies, N. C. F. C., 2005).

The 3rd Amendment prohibits the forced quartering of soldiers in homes of residents. This may not appear to be an issue in today's world; however, this gives us a glimpse of relevant issues at the time of its implementation (Studies, N. C. F. C., 2005).

The 4th Amendment is a crucial for police and probably one of the biggest generators of complaints or allegations of police misconduct. It is very confusing and riddled with exceptions or special instances. There is also disparity between federal and state rules and regulations (Studies, N. C. F. C., 2005).

The 5th Amendment sets up rules for indictment, due process and defends against self-incrimination and double jeopardy. The police do not make the rules, but need to operate within the established parameters concerning indictments and due process (Studies, N. C. F. C., 2005).

The 6th Amendment is another important one with far reaching impacts. Again, this is an area where police need to play by the rules that are established. It wasn't until I worked in a Narcotics Unit as a detective that I saw the issue of a speedy trial. When we arrested someone who was willing to provide useful information and work off their charges, we had to coordinate a proffer with the District Attorney's office and defense counsel. During this meeting, the defendant had to sign a waiver to a speedy trial since the case was to be put on hold until the person could provide useful information. People also have the right to know who is accusing them of wrongdoing and to confront the accuser in court. We know that if we can't afford an attorney, one will be provided at no cost (Studies, N. C. F. C., 2005).

The 8th Amendment defends against excessive fines and excessive bail, as well as cruel and unusual punishment. Again, these are clear and defined parameters that police must operate within. I cannot set bail of \$5,000 just because I don't like someone arrested for a misdemeanor. There is a specific pre-determined scale from that bail can be set depending on the offense (Studies, N. C. F. C., 2005).

The 9th Amendment is often overlooked and yet its purpose is clear. The Bill of Rights mentions certain rights that are protected from government interference. The Founding Fathers realized they could not possibly identify every natural right that needed protection, so they delegated certain powers to the government and spelled them out in the Constitution. Any right not enumerated in the Constitution is still retained by the people. In essence, there are rights people have that are not specifically listed in the Constitution (Studies, N. C. F. C., 2005).

The 10th Amendment is yet another example of the sign of the times and the concerns about a federal government that was too strong and powerful. The federal government was designed to be a government of limited or enumerated powers. Therefore, any powers not specifically listed are reserved for the states. The idea of a central government far away from their homes dictating their individual daily lives was troubling, so they tried to develop a system in that the states retained as much power as possible (Studies, N. C. F. C., 2005).

Terrorists in Civilian Courts

What is the most appropriate venue to try suspected terrorists? I do not believe non-American terror suspects should be afforded the same rights as American citizens.

They should not be tried in a civilian court by a jury of their peers. Can the jury actually be composed of people who are their peers? I don't believe most American civilians can comprehend or even process the complexities involved with such a task as sitting on a jury hearing a case of such magnitude. I believe Guantanamo Bay detainee Ahmed Khalfan Ghailani should have been tried as a war criminal and people on the jury should have had some expertise or considerable knowledge about terrorism and the war on terror. Whatever their inadequacies, I believe the jury did their best with the information they were provided.

The defense portrayed the suspect as a poor, young, innocent boy who was manipulated and basically used as a pawn for the real terrorists. I don't accept their representation because at some point he was Osama Bin Laden's bodyguard, which indicates he was someone who was fully culpable of his actions (Weiser, 2011). The prosecution's main witness testimony was thrown out because investigators learned about the witness while utilizing torturous interrogation techniques on Ghailani (Weiser, 2010). The very word torture is subjective. I also believe civilians may have a very different understanding of what actually constitutes torture. I am in no way advocating the use of torture. However, during war, there may be tactics that could be misconstrued or misinterpreted by some. In the end he was convicted and could spend the rest of his life in jail. His defense attorneys tried unsuccessfully to have all the charges dismissed because of the alleged torture. The judge denied their request and ultimately the government declared that it would not use anything he said while in custody, thereby ensuring his due process.

This concept raises the controversial issue of whether or not illegal aliens, foreign-born terrorists or anyone other than an American citizen or legal immigrant has due process as described in the 5th and 14th Amendments, or has any other Constitutional protections and safeguards. While many people have argued that “We the people of the United States” refers only to legal citizens, the Supreme Court has consistently disagreed. In cases such as *Yick Wo v. Hopkins* (1886) and *Plyler v. Doe* (1982) the Supreme Court concluded that all persons within the territory of the United States shall be afforded the privileges of equal protection regardless of race, color, or nationality and regardless whether they entered the country legally or not. While illegal aliens do not enjoy all of the rights granted to citizens by the Constitution, specifically the rights to vote or possess firearms, the courts have ruled that, while they are within the borders of the United States, illegal aliens are granted the same fundamental, undeniable Constitutional rights granted to all Americans (Longley, 2011).

Constitutional Safeguards and Terrorists

Hady Hassan Omar, of Middle Eastern descent, overstayed a work permit, was on his second marriage to an American woman, possessed a driver’s license, and had accumulated thirteen credit cards. Not only did he fit the profile established for members of sleeper cells, he had purchased an airline ticket from the very same computer terminal one-half hour after Mohammed Atta purchased his ticket, for his seat on the plane that he hijacked. This was a clue and absolutely needed to be investigated. He was taken into custody, questioned by FBI agents, held for seventy-three days without charges and allegedly subjected to torturous treatment (Brzezinski, 2002).

It is imperative to take into context the timeframe for these actions. This occurred September 12, 2001, one day after 9/11. Our government and its law enforcement officers were working day and night to figure out what happened, who was involved and more importantly, to prevent another series of deadly attacks. Omar claims he was kept in solitary confinement, prevented from speaking with his family or an attorney, fed a non-specific menu and subjected to cruel and degrading treatment that pushed him to the verge of suicide (Brzezinski, 2002). I don't believe the treatment described falls into the category of cruel and degrading, and it definitely doesn't describe torture. Repressive regimes around the world would laugh at such allegations of mistreatment.

The key issue is how far America can go to protect itself, both at home and abroad. This is a very delicate balancing act and the subject of significant controversy in society, academia and the law enforcement community. Some believe we need to be a kinder and gentler country and we should set the standards for the rest of the world. This sounds good in the classroom and academia, but in the real world this will just not work. I am not advocating torture techniques, but I hardly consider anything that Omar was subjected to as torture or cruel and inhumane. Professor Ruth Wedgwood of Yale, states, "Human rights norms recognize that in times of grave emergency, governments can take steps that are different from peacetime so long as they are strictly necessary and proportional" (Brzezinski, 2002). The question that needs to be asked is whether we were at war on September 12, 2001. Although war was not officially declared, for all intents and purposes, we were at war and needed to do everything and anything to protect ourselves and to track down those responsible. There are even exceptions to the 4th Amendment when it comes to emergencies or exigent circumstances.

Confidential Information vs. Government Transparency

What is classified information and do we really need it? This concept is actually quite old and dates back to ancient Greek and Roman times. Even in this age of transparent government, certain information needs to be protected and kept confidential. The article “War on Secrecy, Truth’s Consequences” indicates that in the past few years, governments have designated much information as secret and the number of new secrets in the U.S. has risen sharply at 75%. In addition, the number of people in the U.S. being provided access to classified information has also risen sharply (Calabresi, 2010). I have noticed since 9/11 that many in law enforcement have been investigated and provided with restricted access or special clearance. This new trend has created an atmosphere of haves and have-nots; some haves wear this label as a badge of honor. Supreme Court Justice Potter Stewart said in 1971, “When everything is classified, then nothing is classified” (Calabresi, 2010).

As long as governments have been classifying information, there have been those trying to access the information. There are numerous infamous incidents of people passing on privileged or classified information. People have even infiltrated or penetrated organizations such as the United States Armed Services, with the only goal of accessing sensitive or classified information.

Julian Paul Assange is an Australian publisher, journalist, software developer and Internet activist. He is also the founder, spokesperson, and editor in chief of Wikileaks, a whistleblower website and conduit for worldwide news leaks with the states purpose of creating open and transparent governments. From November 2009 through April 2010,

United States Army Private First Class Bradley Manning downloaded tens of thousands of unauthorized computer records and forwarded them to Assange (Calabresi, 2010).

Is Julian Assange guilty of anything? Yes, although he did not steal the information, he knowingly possesses stolen property, i.e. records and information. Ethically and morally I believe he has crossed the line of journalistic integrity. He is facing criminal charges in Sweden regarding sexual allegations involving two women (Calabresi, 2010). For him to threaten the dissemination of classified, top secret, sensitive or embarrassing information regarding any potential charges being brought against him is extortion. It is illegal and he should be charged. If one person gets killed as a result of this leaked information, Assange should also be arrested and held responsible.

Additionally, PFC Bradley Manning is a member of the United States Army and has sworn to protect and uphold the laws of this country. There are many professions or jobs in which employees are provided with or have access to confidential or classified information. The United States military is no exception. For Manning to knowingly and willfully download classified information that he had access to due to his position and then distribute or disseminate to anyone not holding clearance, is illegal and wrong. He should be charged with whatever federal laws he violated and be considered a spy.

To prevent situations like this from occurring in the future, only a few people should be designated to work with this type information. When thousands of people are getting top-secret clearance, the chances of information being leaked skyrockets. I know we would all like more transparency within our government, but when it comes to

protecting the lives of Americans and providing safety and protection of our national security, some things should be kept private.

Immigration and Securing our Borders

The current immigration debate occurring in the United States is sensitive, political and one that conjures up great emotions and controversy. No one would disagree that immigration has played a major role in American history, identity and culture. Arizona's tough new law against illegal immigration has divided this country and caused people to take sides. Change is desperately needed with the current system of immigration and loosely secured borders. It has been discovered that our borders are not only permitting people such as day laborers seeking employment to enter, but they have become conduits for organized terrorists and radical extremists whose motives are far more sinister.

It is imperative that our country develops a strategy and plan for the securing our borders, protecting our freedoms and at the same time maintaining our history and identity as the “land of opportunity” and a melting pot of many cultures. Border states are struggling to deal with the tremendous influx of illegal aliens entering their communities. The burden placed on municipal resources is becoming unmanageable. Schools, health care, law enforcement and medical services are being squeezed beyond recognition. Fingers are being pointed and sides are being taken. Pinal County Arizona Sheriff Paul Babeu is furious at the federal government and told CNS News that rather than help law enforcement in Arizona stop the hundreds of thousands of people who come into the United States illegally, the federal government is targeting the state and its law

enforcement personnel. “What’s very troubling is the fact that at a time when we in law enforcement and our state need help from the federal government, instead of sending help they put up billboard-size signs warning our citizens to stay out of the desert in my county because of dangerous drug and human smuggling and weapons and bandits and all these other things and then, behind that, they drag us into court with the ACLU,” Babeu said. The sheriff was referring to the lawsuits filed by the American Civil Liberties Union and the U.S. Department of Justice challenging the state’s new immigration law (Starr, 2010).

Arizona and other states have taken the position that they will do what the federal government is not willing or capable of doing to save their respective communities. They are passing legislation and enforcing laws already on the books that will treat people who are here illegally as criminals. The position many argue is that there already is a process for entering the U.S. legally. It needs to be enforced so people follow those rules and become productive workers, visitors, or citizens.

Conversely, the opponents to stricter immigration laws also have a valid argument. Many claim the problem is not reaching epidemic proportions and has simply been demonized by some politicians seeking votes. While most people agree that some type of immigration reform is necessary, civil libertarians believe we must not criminalize those here illegally nor trample on individual’s human rights. One argument often heard is that illegal immigrants come to the States and perform many jobs that our citizens are not willing to do thereby keeping the United States economy functioning. Although they do not pay income tax, they are paying sales tax through the purchase of goods and services, service taxes and sometimes payroll taxes.

Another argument against strict enforcement is the U.S. is currently spending billions of dollars on our borders and thousands of people are still getting into our country. Additional funding would simply be wasting more money towards something that cannot be stopped. The American Civil Liberties Union is concerned with human rights violations. Many attempting entry into the U.S. die while crossing large parcels of desert. Others are victimized by criminal gangs or exploited by having to pay large sums of money for safe passage across the border.

The main issue in dispute over Arizona's new law is the provision that would require an officer to make a reasonable attempt to determine the immigration status of a person stopped, detained or arrested if there is reasonable suspicion the person is in the country illegally. Opponents feel it could lead to wide spread racial profiling and assumptions based on someone's ethnicity, culture or appearance. Opponents also claim the new law has had a negative impact on some businesses, rental properties and local economy in locations with large numbers of illegal or undocumented aliens. Many have fled or left the area due to fears of enforcement (Riccardi, 2010).

We as a nation must concern ourselves with the state of our economy, security of our homeland and its residents and our ability to perform and prosper as a leader in the global community. At the same time, we need to balance the rights of individuals with the rights of the nation as we face economic shortfalls and overpopulation. This very sensitive issue must be addressed nationally and needs to be standardized across the country. Any policies or laws on a state level will create division, confusion and chaos as people try to decipher each individual state's interpretation. It is a national problem that

needs to be addressed on a national level. This is one area where autonomy or individuality cannot be tolerated.

Sovereign Citizens

In the year 2010, Americans have witnessed a growing trend of anti-government sentiment spreading throughout the country. It has ranged from anti-incumbent elections and initiatives to tea-party movements. Questioning the status quo and seeking better and more effective forms of government are healthy and productive actions. However, there is a growing and extreme anti-government movement with both militias and the sovereign citizen (SC) movement. Militias have grown from about 50 groups in 2008 to about 200 groups in 2010. The Southern Poverty Law Center estimates the national number of sovereign citizens to be about 300,000 strong, yet they attract far less attention than the militias. The sovereign citizens typically don't formally organize and as a result they often fly below the radar (Potok, 2010).

Occasionally, the SC movement gets the attention of mainstream media. In 1996 and 1997, the Montana Freeman and the Republic of Texas drew tremendous attention as they engaged in shootouts and lengthy standoffs with law enforcement and the government. Most recently in May 2010, two West Memphis police officers were gunned during a traffic stop. Forty-five year old influential and radical sovereign citizen, Jerry Kane, was outside of his vehicle when he began arguing with officers. His 16 year old son and dedicated disciple of his father's extreme theories exited the vehicle with an AK-47 and assassinated the two unsuspecting officers. About 90 minutes later, law enforcement located the Kane's vehicle, a second shootout ensued in that the Chittenden

County Sherriff and his chief deputy were wounded, and the father and son both killed (Potok, 2010).

Today, the basic SC ideology believes there are two forms of government, the illegitimate government that everyone thinks is genuine and the original government that existed before a conspiracy infiltrated it. SC's or Constitutionalists, as they call themselves, believe the illegitimate government enslaved and tricked people into a special class of citizenry, citizens of the United States. They believe people were tricked through the offering of privileges such as driver licenses and Social Security cards, which were actually hidden contracts with the government through that Americans unknowingly gave away their sovereignty. The result of the SC ideology is that its followers believe the government, police and judicial system have no jurisdiction over them (Potok, 2010).

The current economy and growing anti-government movements have provided a perfect equation for the proliferation of the SC movement. There are, however, three specific personality types who are consistently drawn to the movement: people who are financially stressed people who are angry at the government, especially government regulations, and con artists or people who want something for nothing.

Typical SC tactics include paper terrorism consisting of bogus liens, involuntary bankruptcy filings, counterfeit or fraudulent documents, fictitious financial instruments, fictitious law enforcement entities, fictitious nations or tribes, frauds/scams, mortgage/foreclosure schemes, threats of takeovers and violence.

There have been several cases in Westchester County in that individuals have claimed "sovereign citizen" status, so this is not just a problem for states like Texas and

Montana. The bottom line is they are absolutely a threat to our country and its inhabitants. They can exercise their rights as the Constitution ensures; however they do not have the right to ignore laws, policies, requirements, taxes or government sanctions. Fortunately, in America, the Constitution and its safeguards apply equally to all. People cannot pick and choose what laws will apply to them and what laws will not.

Free Speech and Gun Control

The 1st Amendment guarantees free speech, but where does free speech cross over to words of incitement, inflammation or provocation? Can and should politicians, the media or other public speakers be held personally liable for the actions of others when violence occurs that some say stem from their words? Yes, if someone specifically preaches violence, then they have crossed the line, but merely voicing opinions, no matter how offensive or unpopular, needs to be protected by the 1st Amendment.

The 2nd Amendment continues to be effective and the Supreme Court affirmed this in 2008. I believe the question relates more to what is reasonable gun control vs. unreasonable, unrealistic or oppressive gun control. Gun control is and will continue to be a significant topic in America. There obviously needs to be laws regulating gun ownership and possession, but it should be left in the hands of individual states. As with other controversial issues, there needs to be a balance between protecting gun rights for law-abiding citizens and protecting children and innocents, while keeping guns away from criminals or the mentally ill. The debate gets more complicated when we factor in handguns, rifles, shotguns and assault weapons. Where does the right to bear arms begin and where does it end?

Should restrictions be federal or state sanctioned? I believe there should be definite federal standards that should be universal throughout the country. These standards should include, at the very least, a background check to include a criminal history, mental illness and citizenship of anyone attempting to purchase a gun. I also believe a course on gun safety should be required for all owners, along with a proficiency performance test. We require it for obtaining a driver license, why not for a gun permit? After federal requirements are met, then it should be left up to individual states to decide what additional standards should be incorporated.

Michael Grunwald (2010) indicates that Arizona recently passed a law allowing citizens to carry concealed weapons without a permit. I think this is the wrong direction for any state to take; there needs to be some oversight and control. As the *New York Times* article states, “Once you get out of the Northeast, guns are a part of daily life” (Nagourney and Steinhauer, 2011). Much of America is rural and many young people learn to shoot guns by the time they leave grammar school. Guns are not the problem, it is the people obtaining and using the guns illegally that are the problem.

The other issue I see is feel-good legislation. The creation of so-called no-gun zones around members of Congress is a waste of time, money and energy (Cox, 2011). Someone intent on shooting a member of Congress will not be dissuaded from the goal by a law prohibiting gun possession within 1,000 feet of a politician. Specific states should enforce their own policies and procedures, but they should at the very least require criminal and mental illness background checks, a safe gun owner’s course and perhaps a proficiency examination. An argument that is often heard is that if guns are outlawed for citizens, then only outlaws will have guns. There is some validity to that statement. In

fact, many shootings have been interrupted or stopped by licensed and law-abiding gun owners who were present and decided to take action.

The Constitution Today

It is tempting to dismiss the U.S. Constitution as an archaic, outdated and irrelevant document. Do we really need something written over two hundred years ago dictating to us what we can and cannot do? The purpose of the Constitution was to provide a general foundation and framework upon that a new government could be built. The framers' mindset and intention during the writing was not to address every minute detail, but to keep the document general and relatively simple. They were not trying to solve all the issues and they realized it needed to be flexible, adaptable and timeless. A primary concern was the separation of power between the executive, legislative and judicial branches whose powers of government needed to be limited.

The Constitution has successfully remained intact without too much controversy. As it was being written, the framers knew there would come a time when changes were needed. They specifically created an amendment process that was difficult but not impossible, because they did not want to make any change too easy.

Society and the American culture have changed incredibly in the last two centuries and yet the Constitution is still relevant and alive today. In the late nineteenth and early twentieth century, because of the transformation of America by industrialization, urbanization, and other factors, big corporations became very powerful. The level of corruption rose to unprecedented heights. Big business bought, influenced

and sold governments. The balance needed to be restored by strengthening government, by increasing regulation, and other measures.

Although today, while many of the ideologies of the left and cultural elite maintain this outdated picture of the wealthy capitalist and greedy corporation running wild, the situation is different. Today, many believe it is the federal government that has become too powerful and has implemented regulations that are too tight, imposed taxes that are too high and driven the structure of a free society out of balance. In our era, it is the federal government that must be reined in and the margin of individual liberty widened. The freedoms as spelled out in the Bill of Rights and the limitations on government as dictated in the Constitution are as important today as they have ever been. As we have learned, homeland security is paramount for the continued success and survival of our nation. However, without the Constitution and its limitations on government, could we ever truly have homeland security? Now more than ever, there needs to be a balance between rights, freedoms and safety.

The needs of the time correspond to the circumstances of the time. This is a perfect example of the living, fluid and dynamic nature of the Constitution. It provides a brilliantly adaptable structure and keeps it current and alive. The plan laid out two hundred years ago, if properly cared for, respected and kept in balance, can allow this great country to prosper and succeed for many years to come.

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Chapter 5

Public Sector Policy Analysis

Part I - A Practical Breakdown of the Evaluation Process, Techniques and Methodologies

The concept of conducting program evaluations is not new; however, as funding from a variety of traditional and non-traditional sources lessens, and budgets diminish in these difficult economic times, the overall value and importance of conducting program evaluations may increase dramatically. Program evaluations can include a wide variety of methods to evaluate many aspects of programs in non-profit, for-profit, government and non-government organizations. There are numerous designs, methods, techniques and applications used during the analysis and evaluation process. Organizations can utilize existing personnel or employ the services of professional evaluators. An important message that needs to be heard is evaluations need not be complicated and personnel do not have to be experts in these topics to carry out a useful program evaluation. The 20-80 rule applies here: 20% of effort generates 80% of the needed results. It is better to do what might turn out to be an average effort at evaluation than to do no evaluation at all (McNamara, 2010). Sometimes simplicity will bring about the desired results. In contrast, bringing in a professional evaluation consultant is costly and, if poorly done, may generate information that is impractical, irrelevant or complicated.

First, it is important to identify precisely what a program evaluation consists of and why it should be part of the management process. Typically, organizations work from their mission or vision statements to identify overall goals that must be reached to

accomplish their mission. In non-profits, each of these goals often becomes a program from that services are provided. In a for-profit organization, a program is often a one-time effort to produce a new product or line of products or to maintain an existing product line. In today's climate, government agencies are being scrutinized at levels never before seen. Elected or appointed leaders are facing tough decisions concerning the continuance of programs and are being asked to justify expenditures. Stakeholders and constituents are demanding increased value and performance of organization and evaluations are critical to satisfying their demands and justifying the program existence.

A program evaluation is the process of carefully collecting information about a program or some aspect of a program in order to make necessary decisions about it. Program evaluations can include many techniques: needs assessments, accreditation, cost/benefit analysis, effectiveness, efficiency, formative and summative processes, goal-based process and outcomes. The type of evaluation will be determined by what managers want to learn about the program. A typical program evaluation can help leaders or decision-makers in the following areas;

- Understand, verify or increase the impact of products or services on customers or clients. Too often, service providers for-profit and non-profit rely on their own instincts and passions to conclude what their customers or clients really need and whether the products or services are providing what is needed. Over time, these organizations find themselves guessing about what would be a good product or service or they engage in trial and error about how new products or services could be delivered.

- Improve delivery mechanisms to be more efficient and less costly. Often products or service deliveries become inefficient and more costly than they need to be. An evaluation can identify program strengths and weaknesses for improvement.
- Confirm that the organization is doing what it started out to do. Typically, plans about how to deliver services end up changing substantially as those plans are implemented. Evaluations can verify that the programs are truly operating as initially intended and if goals are being met or not.
- Produce data or verify results that can be used for public relations and promoting services in the community.
- Produce valid comparisons between programs to decide that should be retained in the face of pending budget cuts or that programs should be eliminated.
- Fully examine and describe effective programs merely for the purpose of duplication elsewhere (McNamara, 2010).

Often management wants to know everything about their products, services or programs, but limited resources tend to force managers into prioritizing what they need to know to make current and real time decisions. The program evaluation planning should begin before the program is actually in place and ideally should occur when the programs are being designed (Wholey, Hatry, & Newcomer, 2010). Management should know what questions need answering and what information needs gathering before any major decisions are completed. Management needs to consider the following key questions when designing a program evaluation;

- What is the purpose of the evaluation? What needs to be decided as a result of the evaluation?
- Who are the audiences for the information from the evaluation, e.g., customers, bankers, funders, board, management, staff, customers, clients, citizens, etc.
- What kinds of information are needed to make the decision necessary to make and/or enlighten intended audiences, e.g., strengths and weaknesses of the product or program, benefits to customers or stakeholders (outcomes) or how the product or program failed and why?
- From what sources should the information be collected, e.g., employees, customers, clients, motorists, citizens, etc.?
- How can that information be collected in a reasonable fashion, e.g., questionnaires, interviews, examining documentation, observing customers or employees, conducting focus groups among customers or employees, etc?
- When is the information needed?
- What resources are available to collect the information? (McNamara, 2010)

An evaluability assessment (EA) is meant to determine if programs are ready for future assessments; it should also assist stakeholders in deciding on realistic program goals, evaluation criteria and uses of the information obtained during the evaluation. The EA should not be difficult but should help with determining whether the program is ready to be evaluated. The EA process is divided into six steps;

1. It should involve intended users.

2. It should clarify the program design: namely inputs, outputs, activities and outcomes.
3. It should explore the program reality.
4. It should assess the plausibility of the program.
5. It should address needed changes to program design.
6. It should determine what the focus of the evaluation will be centered on and what options exist for the intended use of the information gathered.

In the end, the benefit of the EA is to direct managers in obtaining performance measures that will serve a useful purpose and direction for the improvement of existing programs (Wholey, Hatry, & Newcomer, 2010).

Performance measurement is something that is probably being done on many levels, in various types of organizations somewhat regularly and its importance is apparent since it is critical for providing useful feedback regarding these programs. Performance measures focus on outcomes, cost effectiveness, outputs, efficiency, quality and customer satisfaction. Management needs to know how its organization is doing with respect to these specific areas. Are they meeting the needs of stakeholders? Are they doing things in the most efficient and cost effective manner? Are customers or clients satisfied with service and quality or do they need to address certain issues? These measurements need to be meaningful, understandable, reliable and valid if they are to provide any sense of worth to the decision makers who will be interpreting the data and perhaps implementing changes (Wholey, Hatry, & Newcomer, 2010).

For the purpose of the evaluation of the Westchester County Police Department, I will track arrests, summonses, accidents, cases investigated, cases cleared, civilian

complaints and incidents. Performance measurements are fairly easy to obtain, compare and analyze, but I believe only relevant data should be collected for activities that are important and need to be measured. Sometimes too much information becomes overbearing and burdensome and collecting useless information just for the sake of collecting is certainly wasteful to the organization and its stakeholders.

A random controlled trial is another tool used for measuring an intervention's effect by randomly assigning individuals or groups of individuals to an intervention group or a control group. An intervention group is a group that is being tested or exposed to the test product, a new drug, a new method or whatever is being evaluated vs. the control group that is not exposed. The key here is the random placement or assignment of individuals into the intervention group that will theoretically allow for the assessment of whether the intervention itself, as opposed to other factors, causes the observed outcomes (Wholey, Hatry, & Newcomer, 2010).

Case studies are a form of research used to look at individuals, a small group of participants, or a group as a whole and they typically fall into three categories: exploratory, descriptive and explanatory. Researchers collect data about participants using participant and direct observations, interviews, protocols, tests, examinations of records, and collections of writing samples. A case study is typically a form of qualitative descriptive research that looks intensely at an individual or small participant pool and draws conclusions only about that participant or group and only in that specific context. The researchers conducting the case study do not focus on the discovery of a universal, generalizable truth, nor do they typically look for cause-effect relationships; instead, emphasis is placed on exploration and description (Wholey, Hatry, & Newcomer, 2010).

Unlike quantitative methods of research, such as a survey, that focus on the questions of who, what, where, how much, and how many, case studies are the preferred strategy when questions of how and why are asked. In addition, unlike more specifically directed experiments, case studies seek a holistic understanding of the event or situation in question using inductive reasoning, from specific to more general terms.

Most advocates of the case study point out that case studies produce much more detailed information than statistical analysis. Advocates also hold that while statistical methods might be able to deal with situations where behavior is homogeneous and routine, case studies are needed to deal with creativity, innovation, and context. There are some who may argue that case studies are difficult to generalize from because of inherent subjectivity and because they are based on qualitative subjective data, generalizable only to a particular context (Wholey, Hatry, & Newcomer, 2010).

The recruitment of participants is often considered one of the most difficult parts of the research process and is undoubtedly integral to the effectiveness of randomized clinical trials. In addition to recruitment, there are inherent problems and obstacles with participant retention. Another concern is enrolling appropriate participants for the specificity of the study. Common target population criteria are age, gender, race, ethnicity, residence location, physical and mental health and income. It is critical to reduce bias and unnecessary influences. Another concern revolves around whether or not to provide incentives. Some common examples are money, charitable donations and tangible giveaways, like products. Incentives may be critical to increasing cooperation rates of participants and the improvement of data quality, but they can be costly and offset the representative nature of the sample (Wholey, Hatry, & Newcomer, 2010).

Multisite evaluations involve examining a program or policy in two or more locations. Obviously, the more sites involved will require additional staff, resources and funding. A benefit to a multisite evaluation is increasing the degree of data collected and possibly accelerating the development of knowledge and conclusions. An important decision in the design will be whether or not to collect data uniformly or specific to each site. When data is obtained uniformly across all sites, then collecting and analyzing the data will be simpler. If it is collected uniformly, a common protocol must be developed (Wholey, Hatry, & Newcomer, 2010).

Surveys are a useful tool for eliciting information from stakeholders. There are numerous types of surveys: phone, mail, in-person and web-based. Each method has pros and cons and different costs associated with it. One of the initial questions to be asked is who will be targeted and how. Next is the survey layout and design of the questions. Will the responses be based on open-ended questions or rely on a range of answers from 1 to 10. Recruiting and training the interviewers is a critical component to the collection of useful and unbiased data. It is imperative that the interviewers use appropriate language and do not influence the subjects or misinterpret the responses (Wholey, Hatry, & Newcomer, 2010).

Data collection in the field is the heart of conducting evaluations. This is where the evaluators move away from their desks and computers and mobilize into the arena where business is conducted, for the purpose of examining operations and the delivery of services. It is crucial for evaluators to be prepared when they begin. There should be an identified purpose of the field work and this should dictate how the fieldwork is designed. As with any data collection, it is the quality of what is collected that is more important

than the quantity. One of the real challenges is to resist collecting too much data that can lead to overwhelming resources and bogging down the analysis process. There should be clear, simple and straightforward goals that support and maintain objectivity. To facilitate a smooth collection process, pre-planning with site administrators can ensure required materials are ready for examination and pick-up during the visit. Finally, the last phase before the actual site visit should include training of the evaluators conducting the examinations.

The semi-structured interview (SSI) is a blend of various techniques used for collecting data. Focus groups limit the number of participants and are time consuming, while surveys may reach large numbers of samples, but don't allow for redirection or clarification. The key to the SSI is the abilities and training of the interviewers. As with other instruments, prior preparation is essential for the smooth delivery of the interview. Interviewers need to consider how to memorialize or document the answers. The taking of notes and actual recording during the interview may prohibit the free flow of thoughts and openness of the participant, but if too much information is provided, key answers may get lost or forgotten by the interviewer. A checklist may assist during the interview for the recording of critical or essential data (Wholey, Hatry, & Newcomer, 2010).

There is no doubt that the process of evaluating qualitative data is challenging. In surveys with an emphasis or reliance on having participants select predetermined answers, the evaluation and interpretation of the findings will be easier. However, the open-ended or qualitative type questions reveal a different type of answer that may offer greater insight and usefulness. The process of reading and making sense of these written answers is demanding, but the success of capturing valuable insight and information may

offset the lengthy process of interpretation. Qualitative data can certainly provide deep insight into the minds of the participants and may go well beyond typical pre-determined answers in a standard survey.

During the evaluation of quantitative data, it may be helpful to utilize statistics to explain or describe the results. A key concern during the interpretation process is knowing ahead of time if the data is derived from a true population or a sample of the population. If a sample is used, evaluators must generalize or utilize inferential statistics and ensure the sample is a true representation of the entire population. It is important to try to capture the highest confidence level possible. Summaries and report findings should be kept simple and clear and avoid using abbreviations, symbols and acronyms. As noted previously, statistics can be influenced, manipulated and falsely displayed. The goal is to present true, accurate and clear results with little room for false interpretations and findings.

Part II Evaluation of the Westchester County Police Department

Executive Summary

The Westchester County Department of Public Safety or Westchester County Police Department (WCPD) has been in existence since July 1, 1979 when it was created through a merger between the Westchester County Parkway Police and the Westchester County Sheriff's Department. Most recently, on January 1, 2011 the Westchester County Police Department merged with the Town of Ossining Police Department and is now responsible for delivering police services in the Town of Ossining. The former police

officers from Ossining have made the transition and are currently employed by the Westchester County Police.

One of the most significant responsibilities municipal officials have is to evaluate existing programs and to implement changes, if necessary and plan beyond the municipality's immediate future. Often, that need for long-term vision is engulfed by the overwhelming needs of the present. Particularly, in times of an economic downturn, it is common for immediate needs to outweigh long term planning concerns due to the demands of day-to-day operations. Today local governments have an immediate responsibility to taxpayers to provide services that preserve the high quality of life in the most cost-effective and efficient manner.

The main responsibility of any local government is to provide for the health, safety, and welfare of its residents, and to provide a high level of professional policing. Thus far, the Town of Ossining and Westchester County Police merger has been a success for all involved and it is anticipated that other municipalities will follow this path to a better overall future for their citizens as well. It is highly recommended that data from 2011 be incorporated into a useful evaluation to determine the financial impact and overall success or failure to stakeholders regarding the precedent-setting merger between the Westchester County Police Department and the Town of Ossining Police Department. Realistically, it has only been five months since the merger and therefore it is too soon to conduct a thorough and fair evaluation and analysis of the merger.

Considering the current economic environment and fiscal constraints, this evaluation illustrates that effective programs, cost saving strategies and common sense

methods of increasing production and decreasing expenses are possible. Due to the unavailability of data from 2010, data from 2008 and 2009 were primarily used during this evaluation process.

My strategic plan dealt with eight specific issues that I believe need to be addressed by my current employer, the Westchester County Police Department. I identified apparent issues and developed specific and pragmatic goals that would be worthy of implementation. In an effort to be as realistic as possible, I considered the current state of the economy and difficult financial shortfalls of many municipalities, including Westchester County. The general theme that I utilized was to do more with less. I approached each issue with a zero cost theme and tried to demonstrate the benefits and usefulness if the plan was implemented. A stakeholder analysis is a valuable tool for evaluators because without identifying who the stakeholders are and what criteria they will use to judge an organization, there is little likelihood that the organization will know what it should do to satisfy those stakeholders. It is well known that in public and non-profit organizations, the key to success is the satisfaction of key stakeholders. A basic stakeholder analysis technique consists of three steps: identifying who the stakeholders are, specifying criteria the stakeholders will utilize to assess the organization's performance and finally judging how the organization performs against the stakeholder's criteria (Bryson, 2004). The following is a radial chart that clearly identifies the most significant stakeholders for the Westchester County Police Department:

Stakeholders for the Westchester County Department of
Public Safety



The development of effective organizational performance measurements is essential for a police department operating in today's climate of transparency, efficiency and constant scrutiny. It is not enough simply to measure what an organization does, but to also measure what the results are. Trying to measure results in police work is complex, but if done properly it will link the outcomes or results with the strategic plan and goals. In addition to satisfying the needs of stakeholders, police agencies today are competing for significant funding available through federal or state grants; for these, performance measures need to be succinct, reliable and easily understood (LePere, Developing Performance Based Management Best Practices, 2009).

The most effective technique for identifying and displaying the performance of the WCPD is through the use of monthly, quarterly and yearly reports that contain raw data and statistics. Additionally, an annual report will be produced and made available to all stakeholders. The following is a list of measureable quantitative data that will be used to conduct the performance evaluation of the Westchester County Police Department.

Performance Assessment Criteria:

- Civilian complaints
- Arrests
- Summonses
- Criminal Investigations
- Civil investigations
- Pistol permit Investigations
- Assists to municipalities
- Special Operation Division activities
- Drug/alcohol presentations
- Training courses conducted

- Driving simulator/public relations details
- Operation Safe Child events
- Taxi & Limousine Commission activities
- Records handled and processed

Organizational Performance

The following charts and tables contain a variety of data routinely collected within the Westchester County Police Department. I have obtained the data from various sources, including but not limited to the Records Division, the respective units themselves and the 2009 Annual Report. Following each display of numbers, I will evaluate, interpret and explain any noteworthy increases, decreases and anomalies.

Civilian Complaint Cases

	2008	2009	% Change per Year
Total New Cases Opened	29	35	21%
Use of Force	6	4	-33%
Racial Profiling	1	4	300%
Courtesy	9	14	56%
Arrest/Search & Seizure	7	3	-57%
Driving Complaints	1	3	200%
Property Evidence	3	0	-100%
Performance/Other	2	7	250%

The above data is collected, analyzed and acted upon by the Office of Professional Responsibility and Special Investigations under the immediate direction of the Police Commissioner. The office is continually collecting and evaluating statistical information to ensure professionalism and identify patterns of misconduct, inappropriate behavior and training issues. The total number of complaints rose from 29 to 35, but an important fact is the number of contacts with the public rose from 85,275 in 2008 to 91,433 in 2009. This increase does not indicate a significant concern since the ratio of complaints vs. public contacts is still relatively low.

Total Arrests Department Wide

Arrests Dept. Wide	2008	2009	Net Change	% Change
Felony	806	877	71	8.8%
Misdemeanor	1,337	1,463	126	9.4%
Violation	126	122	-4	-3.2%
Infraction	65	94	29	44.6%

Summonses

	2008	2009	Net Change	% Change
Field Appearance Tickets (FAT)	3,428	2,589	-839	-24.5%
Traffic (STI) Infractions	25,448	26,198	750	2.9%
TLC Offenses	3,638	3,394	-244	-6.7%
Marine Unit	61	75	14	23%

Overall there was a notable increase in arrests and summonses from 2008 to 2009. There has been a tremendous initiative to streamline the arrest process and related paperwork through the use of technology and simplification. Much of the arrest processing procedure has been computerized, that reduces redundancy and inefficiency while decreasing processing time. Similarly, many patrol vehicles have been outfitted with laptop computers, high speed modems and portable printers, which has significantly decreased the time needed to complete summonses. Additionally, the Department implemented WestStat as part of its management evaluation and performance review process. This is modeled after the New York City's very successful and nationally recognized program, CompStat. This helps identify any trends or patterns as they occur and provides supervisors with the opportunity to reallocate personnel or resources to specific areas, times and days of the week.

2009 General Investigation Unit Criminal investigations and Arrest Activity

Total Criminal Investigations	1,118
Westchester County Jail	121
Westchester Medical Center	103
Welfare Fraud Investigations	36
Sex Crime Investigations	31
Outside Agency Requests	35
Arrests	226
Suspects Criminally Processed	733
Search Warrants Executed	31

The General Investigation Unit investigates criminal conduct on county owned property and areas of responsibility. It also provides assistance to any external organizations requesting assistance in areas such as sex crimes, financial investigations, cold cases or homicide investigations, enterprise corruption or any major case investigations.

2009 Activity for Forensics Investigations Unit

Ballistics Unit	Cases 346	Cold Hits from IBIS 45	Firearms Examined 255
Latent Print/Crime Scene	Cases 990	Countywide arrests processed through RICI System 18,741	Crime Scenes Processed 97

The Forensics Investigation Unit specializes in providing expert testimony and analysis in various disciplines including crime scenes, ballistics, digital evidence, and finger print analysis. It is accredited with the New York State Commission on Forensic Science, the American Society of Crime Lab Direct and the Laboratory Accreditation Board.

2009 Narcotics Unit Drug Seizures

Powder Cocaine 9,905 grams	Crack Cocaine 1,820 grams	Marijuana 159,995 grams	Illegal Pharmaceuticals 2,143
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The Narcotics Unit consists of detectives and undercover officers who investigate illegal drug manufacturing, distribution and sales within Westchester County and beyond. They work closely with local police departments, the Drug Enforcement Administration and the Bureau of Alcohol, Tobacco and Firearms.

2009 Warrant Fugitive Unit Activity

Cases 661	Total Arrests 379	Prisoner Transports 177	Extradition Trips 21	Warrants Cleared 560
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The Warrant Fugitive Unit is tasked with locating and apprehending individuals wanted on Westchester County Criminal Court, local courts and Family Court. In addition to apprehending violators, they transport and pick-up prisoners arrested in other states and jurisdictions.

Pistol Permit Licensing Unit

Activity	2008	2009	Net Change	% Change
Original Applications	517	796	279	54%
Amended Applications	180	337	157	87%
Revocation Orders	6	25	19	316%
Show Cause Orders	4	9	5	125%
Home Inspections	66	176	110	167%
Weapons Secured	1,516	2,147	631	42%
Co. Atty. Referrals	165	149	-16	-9.7%
Criminal Records Inquiries.	6,100	13,932	7,832	128%

The Pistol Licensing Unit investigates and processes applicants for concealed carry pistol permits, gunsmith and dealer licenses. In 2009, they seized 869 delinquent license cases and secured 2,112 firearms. The significant increases in applications, home inspections, records inquiries and seizures have been handled competently and professionally due in part to the new streamlined and highly efficient computerized tracking and application process.

Civil Unit Activity

Type	2008	2009	Change	% Change
Total Cases	10,307	11,390	1,083	10.5%

Summonses	1,864	2,025	161	8.6%
Judgments	8,424	9,345	921	11%
Seizures	19	20	1	5.3%

Civil Unit Monetary Collections

Type	2008	2009	Change	% Change
Cash Receipts	10,541,321	10,847,456	306,135	2.9%
Fees	1,054,969	1,116,217	61,248	5.8%
Disbursements	10,648,553	10,828,336	179,783	1.7%

The Civil Unit is responsible for the service and execution of civil orders, judgments and court-ordered mandates, such as income and property executions, service and enforcement of family court orders, processing and service of summonses, complaints, subpoenas, and petitions, civil arrests and the enforcement of seizure orders and warrants of eviction.

Taxi & Limousine Commission Activity

Type	2008	2009	Change	% Change
Total Applications	5,059	5,347	288	5.7%
Base Station Inspections	308	276	32	10.3%
Consumer Complaints	3	11	8	266%
Summonses	3,608	3,405	-203	-5.6%
Total Fines Collected	\$221,074	\$277,253	56179	25.4%

The Westchester County Taxi and Limousine Commission oversee licenses and regulate the for-hire transportation industry in Westchester County. Police officers enforce TLC rules and laws while conducting inspections of base stations, performing safety and conformance checks, investigating consumer complaints, facilitating applicant screening and processing. Upon evaluating the figures, it is clear to see that applications have increased, as well as fees and fines collected. Summonses have decreased by 5.6%; however manpower has decreased and been reallocated to handle the increase in applications.

Crime Analysis Unit Activity for 2009

Counter-Terrorism Investigations	87
Law Enforcement Bulletins	1,049
Sex Offenders Managed	227
Investigative Assists to Locals	541
Parolees Monitored	383
Computer Crime Cases	65
Other Investigations	282

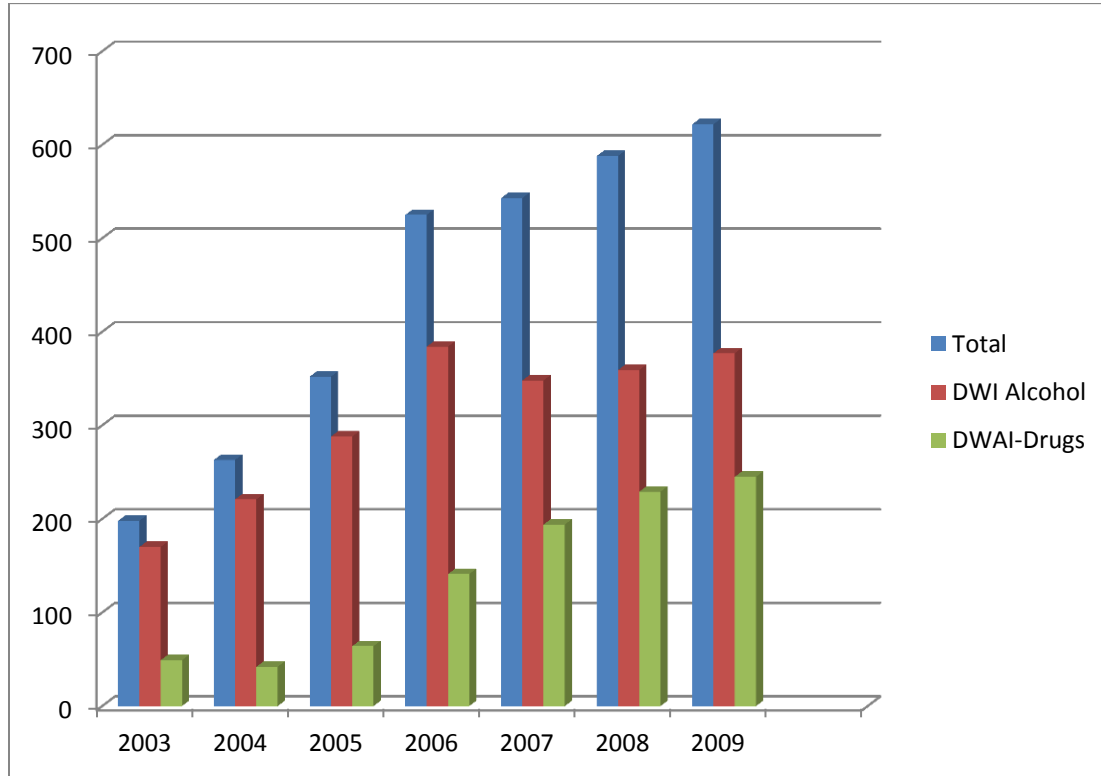
The Crime Analysis Unit (CAU) is part of the Westchester County Intelligence Center that is the central information repository and analysis center for over 100 local, state and federal law enforcement agencies in and around Westchester County. CAU is instrumental in distributing information, identifying patterns and analyzing criminal information. They network with the private sector, hold monthly meetings, liaison between many agencies and engage in various types of specific investigations, such as terrorism, computer crime and sex offenders etc.

Police Academy Training Activity for 2009

Overall Courses	330
Overall Student Count	17,000
Firing Range Students	2,680

The Westchester County Police Academy serves police and peace officers throughout Westchester and Putnam Counties in recruiting entry level, in-service and continuing education. During 2009, approximately 55 different types of courses were offered. The total student count was over 17,000 of that 2,680 were students in the newly built 18-port indoor, climate controlled firing range.

DWI & DWAI Related Arrests from 2003-2009



The Westchester County Special Traffic Options Programs for Driving While Intoxicated (STOP-DWI) develops programs and strategies aimed at reducing drug and alcohol related accidents and fatalities. In 2009, county, state and local police officers made over 5,000 DWI/DWAI arrests and the County Police made 620 of these arrests, passing the 2008 record number of 588 arrests. The graph above clearly indicates a growing number of DWI/DWAI arrests for the County Police from 2004. In that year, the entire arrest procedure was revamped, computerized and streamlined to expedite the processing of alleged drunk or drugged drivers. Additionally, the Department has increased the number of officers who have received advanced Standardized Field Sobriety Testing used in the detection of impaired or drunk drivers. This training is now standard for all police officers throughout New York State. These new initiatives

clearly demonstrate that a willingness to increase training, provide state of the art technology and processing methods will certainly increase arrests.

Often times an agency or organization routinely collects tremendous amounts of information and data in the normal course of business. What happens with this information after it is collected depends on management and past practices. If analyzing this information will yield useful results, then it will be worth the time, money and resources to collect, analyze and implement change. Strictly from a financial standpoint, it makes fiscal sense to use pre-existing data rather than to expend resources on gathering it. The Westchester County Police Department collects data from a variety of sources. It is crucial for agencies to strive to develop useful and practical applications for the analysis and interpretation of all this data. There are times when data is irrelevant and sometimes collected just for the sake of collecting. It is important for supervisors to think outside of the box and continue to evaluate the need and relevance for data collection. While quantitative data analysis is important, it should be augmented by other data sources like community feedback from residents and merchants. Qualitative information should be obtained: possible sources of valuable information can come from formal surveys, neighborhood or community meetings, informal interviews and door-to-door interaction for the purpose of obtaining perception and priorities (Chandek, 2010).

Governments, non-governmental organizations, non-profit and for-profit entities can benefit through effective utilization, interpretation and implementation of realistic and relevant program evaluations. However, the process cannot end with the evaluation conclusions. If there is any indication that improvements can be implemented, then by all means they need to be acted upon. For too many years, money has been wasted on

useless, ineffective, overpriced and wasteful government programs. Today, taxpayers are overburdened, concerned and angry. They are demanding accountability, transparency and value from their elected officials and their representative governments. No longer is the status quo acceptable; citizens, stakeholders and stockholders are watching and closely scrutinizing where and how their money is spent. The path may not be easy and there certainly will be challenges involving evaluations, especially in organizations where evaluations have never been utilized. Management will need to be on board and effective supervisors and managers may need to sell the idea or offer incentives. The development of key indicators across the board and the creation of performance partnerships will go a long way towards the changes. Evaluations are simply a tool that can satisfy concerned parties by increasing transparency, strengthening accountability and improving performance (Wholey, Hatry, & Newcomer, 2010).

Once the importance of evaluation is recognized, then the time and effort should be directed towards either training personnel or selecting qualified outside evaluators. For the findings to be accepted and referenced there needs to be strict quality control guidelines in place and adherence to ethical issues. There also needs to be a close and watchful eye on spending, because if the costs outweigh the benefits, the program risks being scrapped or devalued.

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Chapter 6

Comparative Governments:

*An In-depth Analysis of Pakistan**History of Pakistan*

The country of Pakistan is officially called the Islamic Republic of Pakistan and it is a sovereign state in South Asia. On its southern border, it has a 650 mile coastline along the Arabian Sea and the Gulf of Oman. It is bordered by Afghanistan and Iran to the west and India to the east. China sits in the far north east and Tajikistan is relatively close but separated by the Wakhan Corridor. Pakistan is strategically situated between the important regions of south Asia, central Asia and the Middle East (Demographics of Pakistan, 2011).

Pakistan has historical roots dating back more than 4,500 years when a highly developed civilization flourished in the Indus Valley. Modern day excavations at Harappa, Mohenjo-daro and Kot Diji have unearthed significant evidence indicating an advanced civilization existed in ancient times. Sometime around 1,500 B.C. the Aryans conquered this region and slowly pushed the Hindu inhabitants east, towards the Ganges Valley. Later, around the 5th century, the Persians occupied the northern regions. The Greeks entered the area around 327 B.C., under Alexander of Macedonia and spread quickly. In 712 A.D. the Arabs, led by Mohammed Bin Qasim, landed somewhere near what is now Karachi and ruled the lower half of Pakistan for two hundred years. During this time Islam took root and influenced the life, culture and traditions of the inhabitants of the region (U.S. Department of State, 2010).

From the 10th century A.D., a systematic conquest of Indo-Pakistan led by the Muslims from Central Asia began and lasted up to 18th century A.D., when the British colonized the sub-continent and ruled there for nearly 200 years and for 100 years over what is now Pakistan. The Muslim revival began towards the end of the last century when Sir Syed Ahmed Khan, a renowned leader and educator, launched a movement for an intellectual renaissance of the Indian Muslims. In 1930, the well-known poet/philosopher, Dr. Mohammed Iqbal conceived the idea of a separate state for the Muslims of the sub-continent, and in 1940, the All-India Muslim League adopted the famous Pakistan Resolution (Gateway to the Government of Pakistan, 2011).

After seven years of struggle, under the leadership of Quaid-e-Azam Mohammed Ali Jinnah, on August 14, 1947, Pakistan declared its sovereignty and emerged on the world map as a separate country when the British Indian empire was partitioned into two independent countries, specifically, India and Pakistan. According to the 2011 census, the land area of consists of 307,300 square miles, including FATA (Federal Administered Tribal Areas) and FANA (Federal Administered Northern Areas) (U.S. Department of State, 2010).

Today, Pakistan is a democratic federal parliamentary republic consisting of four provinces; Sindh, Punjab, Khyber Pakhtun Khwa and Balochistan. It has the second largest Muslim population after Indonesia. Pakistan is considered a semi-industrialized nation and it is the 27th largest in the world in terms of purchasing power (Gateway to the Government of Pakistan, 2011). Since gaining independence, Pakistan's history has been characterized by periods of military rule, political instability and on-going conflicts with its neighbor India. Pakistan faces significant problems including terrorism, poverty,

illiteracy and corruption at all levels. Pakistan has the 7th largest standing armed force and is considered a major non-NATO ally of the United States (National Geographic Atlas of the World, Eighth Edition).

Demographics

According to census figures from 2011, Pakistan's population currently stands at nearly 187 million inhabitants and it is ranked 6th in the world for population size (Demographics of Pakistan, 2011). Between 1990 and 2003 Pakistan saw dramatic social changes that led to rapid urbanization and the emergence of huge crowded cities. Pakistan sustained its historical lead as the second most urbanized nation in southern Asia with city dwellers making up 36% of its population. Additionally, 50% of Pakistanis now reside in towns of 5,000 people or more. Pakistan is also a multi-cultural and multi-ethnic society, having one of the largest refugee populations in the world. In 1850, the British started developing Karachi as a major port for trade and commerce. Large number immigrants from India and elsewhere migrated to the developing city of Karachi. However, after Pakistan's independence in 1947, most of these Hindu immigrants migrated back to India. Today, there are approximately 1.7 million refugees from Afghanistan remaining in Pakistan, mostly in the Pashtun Regions (Demographics of Pakistan, 2011).

History of Terrorism

Currently and historically, Pakistan plays a critical, yet highly controversial role in the global war on terror. The country is a U.S. ally in the war, but is often accused of

supporting Taliban and Al-Qaeda initiatives in its northern provinces. Pakistan's nuclear ambitions have also been the subject of great concern and insecurity for many.

Pre-1980

In the late 1960s, the Pakistani government faced a rebellion over resources and political power. The Bangladesh Liberation War changed the dynamics of the country and led to allegations of harsh treatment of Hindus and Muslims in East Pakistan. Bangladeshi authorities controversially claim that three million people were killed and approximately eight to ten million people fled the country to seek safety in India (Bangladesh War of Independence, 2010).

1990's

During the 1990's, Pakistan served as the primary incubator of the Taliban, a faction of the Afghan Mujahedeen who took refuge in Pakistan during the Soviet-Afghan war. Pakistan and Saudi Arabia are the only two countries that maintained diplomatic ties with the Taliban regime from 1996 to 2001 (Zalman, 2011).

On October 12, 1999 a non-violent and bloodless coup led to the ouster of Prime Minister Nawaz Sharif and his government. The military-controlled government stated its intention to restructure the political and electoral systems. On October 14, 1999, General Pervez Musharraf declared a state of emergency and issued the Provisional Constitutional Order (PCO), which suspended the federal and provincial parliaments, the constitution and designated Musharraf as Chief Executive. Musharraf appointed an eight-member National Security Council to function as Pakistan's supreme governing body, with mixed

military and civilian appointees and a civilian cabinet. On May 12, 2000, Pakistan's Supreme Court unanimously validated the October 1999 coup and granted Musharraf executive and legislative authority for three additional years. On June 20, 2001, Musharraf named himself as president and was sworn in (Zalman, 2011).

2001: Pakistan Joins the Global War on Terror

After the World Trade Center and the Pentagon were attacked on September 11, 2001, President Musharraf pledged absolute cooperation with the United States in counter-terrorism efforts and became an ally of the U.S. in the global war on terror. Pakistan assisted in locating and shutting down terrorist training camps within Pakistan's borders, cracked down on extremist groups, allowed the U.S. use of their airfields and publicly withdrew support for the Taliban regime. Outwardly supporting the U.S. was politically dangerous to Musharraf since most Pakistanis do not necessarily agree with the U.S. "According to a Gallup poll of Pakistanis in urban areas, 83 percent sympathize with the Taliban rather than the U.S. and 82 percent consider Osama bin Laden a holy warrior, not a terrorist, although 64 percent also believe the attack on the U.S. was an act of terrorism" (de Bellaigue, 2001).

2002: More Counter-Terrorism with Minimal Results

Musharraf again condemned terrorism and promised to reduce support for madrasas (religious schools suspected of inculcating extreme views). He also outlawed a number of militant Pakistani groups, turned over Al-Qaeda members to the U.S. and impounded terrorist assets. Terrorist attacks against the West continued to rise. In March, a grenade thrown into a church killed five and in May, a car bomb in Karachi killed 14.

In June, a bombing with links to al-Qaeda was detonated near the U.S. Consulate killing 12. There were also several attacks in Kashmir that were attributed to the Pakistan-based Lashkar e Tayyiba terror group (Zalman, 2011).

2003: Pakistan's Support of the Taliban Increases

Musharraf cooperated with the U.S. to achieve objectives of the war on terror; President George W. Bush linked U.S. and Pakistan goals. In July, Bush declared: "Both the United States and Pakistan are threatened by global terror, and we're determined to defeat it. Since the September 11th attacks, Pakistan has apprehended more than five-hundred al-Qaeda and Taliban terrorists." However, the U.S. presence in Pakistan, coupled with the invasion in Iraq, fostered increased anti-Americanism. Taliban members who fled Afghanistan and al-Qaeda operatives were reportedly "re-Talibanizing" Pakistan, despite Pakistani disavowals (Zalman, 2011).

2004-2005: U.S. Aborted Plan to Capture Al Qaeda Leaders

Terrorist attacks continued against Western interests while the long standing Pakistani Indian territorial standoff continued. U.S. and Pakistan joint counter-terrorism efforts in military and law enforcement continued, but the U.S. said that Pakistan had not done enough to combat al-Qaeda and the Taliban. Fearing irreparable damage to the delicate U.S./ Pakistani relationship, the U.S. government eliminated a plan to attack and capture top al-Qaeda members in Pakistan's tribal territory. Pakistan was viewed as a strategic ally of the United States in its efforts to rid the region of Taliban and al-Qaeda terrorists. However, Musharraf came under criticism in the West and Kabul for not doing enough to secure its border with Afghanistan, rein in Islamic extremists who use Pakistan

as a safe haven, and curb the influence of the country's military and intelligence services. President Musharraf's regime received huge amounts in U.S. aid since September 11, 2001, as well as \$900 million in military aid and debt forgiveness. In exchange, Pakistan claimed it killed or captured hundreds of Taliban and al-Qaeda leaders, including the March 2003 arrest of Khalid Sheikh Mohammed, the alleged mastermind of the 9/11 attacks. "Pakistan has picked up more al-Qaeda [members] and been more instrumental in killing insurgents than any other ally in the war on terror," says David Smith, a former U.S. Army attaché twice assigned to Islamabad. "Musharraf has done a lot for us, at a great danger to himself and his political position in Pakistan." Between 70,000 and 80,000 Pakistani troops patrol the porous 1,500-mile border with Afghanistan. At the time, U.S. officials believed al-Qaeda's top two leaders, Osama bin Laden and Ayman al-Zawahiri, were stationed in this frontier region, indicating the Pakistani government's lax control over the border (Beehner, 2006).

2006-2007: Pressures on Musharraf Increases

Since the U.S. decided to abandon plans to target top members of al-Qaeda, the terrorists continued with their attacks and the Taliban and al-Qaeda gathered strength and support in Pakistan's tribal areas. The tension between the U.S. and the Pakistani government continued and anti-Americanism began to surface throughout Pakistan.

2008: Musharraf Departs and Militants Become Focus of U.S. War on Terror

President Musharraf resigned largely under pressure from the United States, although there was substantial local influence. His resignation was a signal of his perceived failure to stop the violent activities of extremists in the northwest provinces

that border Afghanistan. Civilian rule replaced Musharraf's military government and on March 25, 2008, Yousaf Raza Gilani took the oath of office and was sworn in as Prime Minister of Pakistan (Patterson, 2010).

Security Threats

In the preceding decade, the security forces, armed forces and law enforcement in Pakistan suffered greatly from various terror groups. The Pakistani army struggled to deprive terrorists of their safe havens as terrorists targeted innocent civilians in every part of the country to undermine Pakistan's democracy and rule of law. Innocent men, women, and children have been killed in markets, schools and mosques. Thousands of Pakistani soldiers have given their lives to protect Pakistani citizens everywhere against those extremists who threaten them.

U.S. Military Support to Pakistan

There is no doubt the U.S./Pakistani partnership needs strengthening since it is essential to addressing key global and regional challenges, and the Pakistan military will need to play a key role in the world's fight against terrorism. The U.S. has pledged financial support and since 2001, the United States has given more than \$12 billion to Pakistan in security assistance and Coalition Support Fund reimbursements. The U.S. continues to expand training efforts with the Pakistani military and conducts "train the trainer" programs. U.S. trainers are working with Pakistani soldiers in courses of small unit tactics training, night vision goggle training and combat medical training. In southern Pakistan, there is an emphasis on counter narcotics team training with the Special Service Group (Navy) including military free-fall parachute training and small unit tactics. With

the Maritime Security Agency, the U.S. is conducting training on safe boat operations. Additionally, the U.S. has invited many Pakistani military personnel to train alongside U.S. soldiers in the United States (Patterson, 2010).

Over the years, many American officers have directly benefitted from the experiences of Pakistani soldiers who have extensive backgrounds in counter-insurgency tactics and other combat training. Pakistani and U.S. military members must work together to combat terrorism. This relationship was not developed overnight, but through years of mutual commitment while learning from one another and training together to build a strong security partnership based on mutual trust and respect (Patterson, 2010).

Regional Challenges

Pakistan's strategic location in south Asia plays a vital role in the realization of stability throughout the region and it illustrates the importance of developing and strengthening Pakistan's capacity to target the terror groups that pose the greatest threat to both countries.

Without security and stability in the region, the enormous potential for collaboration between south and central Asia will remain unrealized. Pakistan understands this, and it is evident in its policy toward Afghanistan. Pakistan has made a strategic choice to support Afghanistan's stability and build trust and closer ties with the government of President Karzai.

The recent negotiations on the Afghanistan-Pakistan transit trade agreement represent the most significant achievement between both countries in nearly 50 years. It

illustrates that both countries understand they share a common enemy in the Taliban and a shared goal and vision for peace and stability in the border regions.

Because our partnership with Pakistan is linked to our efforts in Afghanistan, it is critical that we continue to work together to disrupt and dismantle al-Qaeda in both countries. The U.S. is also interested in facilitating progress toward a normal relationship between Pakistan and India. A renewed Pakistan and India relationship depends on honest, sincere and frequent engagement from both sides. India is an emerging global consumer and a supplier that will drive regional and global economic growth. The elimination of barriers to trade and commerce between India and Pakistan will only mean a brighter and more prosperous future for both countries (Patterson, 2010).

New Direction of the U.S/Pakistan Partnership

Last March, Secretary Clinton and Foreign Minister Qureshi launched the U.S./Pakistan Strategic Dialogue to create 13 working groups each focused on issues important to Pakistan, such as promoting market access and economic growth, strengthening the energy sector for the Pakistani people, improving education and healthcare, and more. Additionally, in response to the July 2010 flood disaster, the United States has pledged funding through the \$7.5 billion Kerry-Lugar-Berman legislation that addresses health, water, agriculture, infrastructure, finance, local government and education projects necessary for recovery and reconstruction. The U.S. funded Signature Energy Program for Pakistan is another example of how the U.S. is helping Pakistan meet its energy needs through increasing electricity production and promoting the more efficient usage of electricity (Patterson, 2010).

A worthwhile strategy for the stabilization of Pakistan is to develop military assistance in tandem so that young Pakistanis not only have opportunities but alternatives to radicalization. Sharing the benefits of Pakistan's economic growth among all its citizens are strong defenses against the dangerous forces of extremist ideology and militancy. Through education, development assistance, security programs and support for democratic governance, the United States is working to help Pakistan achieve its long-term goals. Military cooperation and security issues are important components of the U.S./Pakistan bilateral relationship. The U.S. government has been looking for new modes of cooperation, new capacities to improve the lives of the people of Pakistan, and new ways to bridge the trust gap between the countries. To better meet the challenges ahead, the United States understands that we must not rely solely on military cooperation between our countries (Patterson, 2010).

*Strategy Proposal for Employees of the Westchester County Police Department Assigned
to Pakistan*

United States Department of State

The President and Congress have constitutional responsibilities for U.S. foreign policy. Within the executive branch, the Department of State is the lead U.S. foreign affairs agency, and the current Secretary of State, Hillary Clinton, is the President's principal foreign policy adviser. The Department strives to advance U.S. objectives and interests through developing and implementing the President's foreign policy. It also provides an array of important services to U.S. citizens and to foreigners seeking to visit or immigrate to the U.S.

The Department of State provides for all foreign affairs activities, foreign assistance programs and strategies for countering international crime, foreign military training programs as well as maintaining U.S. leadership, which promotes and protects the interests of our citizens by:

- Promoting peace and stability in regions of vital interest;
- Creating jobs at home by opening markets abroad;
- Helping developing nations establish stable economic environments that provide investment and export opportunities;
- Bringing nations together to address global problems such as cross-border pollution, the spread of communicable diseases, terrorism, nuclear smuggling, and humanitarian crises.
- Protecting and assisting U.S. citizens living or traveling abroad;
- Assisting U.S. businesses in the international marketplace;
- Keeping the public informed about U.S. foreign policy and relations with other countries and providing feedback from the public to administration officials ("U.S. Department of State," 2010).

Threat, Vulnerability and Consequences

Terrorism has three clear components: the threat to a target, the specific target's vulnerability to the threat and the consequences if the target were to be attacked. People and organizations represent threats when they have both the intent and the means to damage a target. Vulnerability can be measured as the probability that damage will occur, given the threat. Consequences are the magnitude and type of damage resulting, given a successful terrorist attack. Terrorism risk represents the expected consequences of attacks

taking into account the likelihood that attacks occur and that they are successful if attempted. Historically, manpower, personnel and intellectual assets have been targeted repeatedly in Pakistan and throughout the world. So history indicates there is a clear and present threat to human beings. Needless to say, humans are vulnerable to attack, whether from gun fire, suicide bombings, vehicles carrying improvised explosive devices or otherwise. The consequences are unfortunately subjective. Some will argue that certain people are expendable, but the short and long term implications for attacks on fellow employees, family and friends is fear, panic, demoralization, loss of focus, anger and instability (Willis, Morral, Kelly, & Medby, 2005).

The following steps are part of the strategic plan that will be implemented before and during any employee's relocation, temporary or longer, to an assignment to Pakistan. These recommendations are critical for the health, welfare and well being of the employee, the employer and the reputation of the U.S. and its people.

Training/Orientation

Before leaving the comfort and security of the United States, anyone being assigned overseas must attend a mandatory training/orientation program specifically designed and tailored for Pakistan. This training will address local customs, cultural differences, communication issues and any safety concerns or terrorism trends that may impact the employee or the experience overseas. This course will help the employee develop a sense of awareness and refine skills in cross-cultural observation, recognition and understanding of verbal and non-verbal forms of communication and identification or indoctrination of cultural behaviors and differences.

Facilities

United States embassies and American interests overseas serve as potential targets for those who seek to perform acts of violence against the United States, protest American foreign policies, take Americans hostage and/or kill Americans. From the storming and hostage taking at the U.S. embassy in Tehran in 1979, the deadly bombings at the U.S. embassies in Kenya in 1998, to the 2008 assault on the U.S. embassy in Yemen, incidents of international terrorism have been directed towards U.S. embassies, diplomatic personnel, employees, contractors and American assets. As a result, the first priority before sending employees into a terror state such as Pakistan, must be the safety and security of the employees. Beginning with the facilities, residences and government buildings where they will be living, recreating and working, these facilities should integrate safety, security and design excellence. They should avoid an official style, yet include stability, dignity, endurance and the stability of the American government (Nadel & Malecha, 2009).

Insurance and immunizations

Anyone being deployed overseas must have adequate health insurance coverage, including coverage for medical evacuation. Personnel will receive physical examinations by Department physicians and obtain any immunizations that might be needed. In the case of assignment to Pakistan, personnel will be immunized against malaria, dengue fever and Japanese encephalitis. If prescriptions are routinely taken, they will be prescribed to ensure there will be enough to last the duration of the assignment (Center for Disease Control, 2008).

Protecting Overseas Operations

Because of the obvious risks associated with terrorism and other threats, employees, supervisors and risk managers will need to become more involved in setting up and maintaining safe, secure and productive facilities. Indeed, cultural, environmental, political and labor concerns can prove problematic for U.S. agencies, especially law enforcement, operating overseas.

In response to these concerns, many risk managers involved with for-profit organizations that are responsible for protecting overseas projects, accept the risk and have found that the most effective response is to purchase insurance coverage offering protection against loss. This is certainly a worthwhile expense that will be justified to protect personnel, organization and assets. General insurance protections, as well as specialty types covering terrorism, kidnapping, ransom, extortion, sabotage, evacuation and repatriation, will be required of all involved members.

Insurance is not a panacea and offers only retrospective protection for damages caused by local or regional crises. Therefore, managers should ensure that proactive steps are taken to deal with any crisis that may arise, including complementing an insurance program with a comprehensive, integrated system of protection for contingency planning and a crisis intervention and management strategy (Mahoney, 2008).

The first step in protecting the organization is to ascertain the various threats that could conceivably arise and then to assign them low, medium and high threat designations. Naturally, each type of threat will require that a particular response and

possible solutions to the different types be worked out ahead of time, before a crisis situation arises.

Low Threats

Problems or situations that can be classified under the low threat designation include potential dangers to the community and its personnel. Perhaps the primary low threat risk involves the local community's perception of the organization. Threats to the Department's image, its goals or assets can emerge from a variety of sources. The risk manager must therefore ascertain that the public relations from the Department generates positive publicity and addresses any negative concerns the local community may hold about the Department.

Environmental and health issues must also be taken into consideration. Risk managers must ensure that the office and residential facilities are in good working. Additionally, many problems may arise from a perception of a lack of cultural sensitivity or disrespect towards traditions. These issues can have a major impact on the Department's ability to coexist or function in a foreign country. These situations can be minimized through pre-planning and the development of strategies aimed at preventing personnel from committing blunders of behavior and conduct (Mahoney, 2008).

Medium Threats

Medium threats are any actions or events that pose a serious danger to the Department's personnel, facilities, image, goals or means of success. The situations that constitute medium threats are numerous and varied. Among them are hostile infiltration

of labor, lock-ins, malicious violence, civil disturbances, sabotage, extortion, natural disasters, fraud (whether from suppliers or vendors), bombings, attacks against facilities, contamination and kidnapping. To deter these threats, supervisors must be proactive rather than reactive (Mahoney, 2008).

First, all employees and dependents will be mandated to receive a security awareness orientation including personal, residential and transportation safety briefings that will increase the awareness of potential dangers of each employee and his or her dependents.

Secondly, supervisors will work with the location's security director to formulate an action plan consisting of strategies that outline the steps to be taken in case any of these crises should occur. At the very least, the plan must contain provisions to address the following; intelligence capability, analysis of worst-case scenarios, threat assessments, visibility, value, and vulnerability.

The third provision involves media coverage that requires making one staff member actively responsible for public relations. Since the media can have either a benevolent or a damaging affect on the organization, careful planning and foresight are needed to maintain a positive image of the Department that can help prevent independent and potentially damaging press interviews.

Finally, a crisis management team should be established at the main headquarters to keep abreast of the local situations and to consider how emergency situations would be handled in times of crisis. The team will work together to solve problems and safeguard personnel and assets (Mahoney, 2008).

High Threats

High threats to the Department include a campaign by terrorists against the Department, the outbreak of civil war or an enemy attack. When the prospect of a high threat is imminent, supervisors can do a great deal to minimize losses. Prior planning and preparation is the key. A four-tiered alert plan that defines the steps to be worked out to in detail is absolutely essential.

Phase one, Alert, is precautionary in nature and serves to increase the security awareness of all personnel. During this phase, actions should be taken to ensure communications are functioning, emergency supplies are adequate and transportation support requirements are reviewed. In addition, supervisors need to ensure that emergency groups such as the crisis and incident management teams are functioning, personnel rosters are updated and all personnel are identified and their location verified (Mahoney, 2008)

Phase Two, Stand Fast, which occurs when conditions in the host country deteriorate to the point where, for the sake of safety, all personnel are required to remain in their quarters unless specifically assigned Alert status posts. In Stand Fast, the crisis management team becomes operational 24 hours a day (Mahoney, 2008).

Phase Three, Reduction of Presence, occurs when the U.S. Diplomatic Mission issues a warning of an impending national crisis. At the Reduction of Presence phase, the State Department will inform U.S. citizens of the desirability of relocating all but their most essential personnel. The crisis and incident management teams are now fully activated; these crisis teams must then decide whether an evacuation of dependents and

non-essential personnel is necessary. Liaison with U.S. diplomatic activities is increased, and records are prepared for evacuation or destruction on order; nonessential records are destroyed. The incident management team takes on an increasingly independent role in managing the crisis (Mahoney, 2008).

At Phase Four, Evacuation, the chief of the U.S. Diplomatic Mission declares an emergency situation. This declaration dictates the need to evacuate all U.S. personnel from the host country. At this critical phase, all personnel will be prepared for immediate evacuation. U.S. military aircraft capabilities may be used to supplement commercial charter services, and military emergency contingency plans may be executed for the protection of U.S. citizens.

Because of the potential dangers of operating or functioning overseas, the importance of preparing for any emergency or crisis cannot be overemphasized. Risk managers and supervisors should also realize that all emergency plans and procedures should be tested before they are needed; it would be too late to do so after a disaster strikes. With effective protections in place, the risk managers or supervisors will be in a position to ensure that the company is ready to respond to any emergency situation (Mahoney, 2008).

Common Sense Suggestions for employees

In addition to concerns about facilities, buildings, environmental issues, insurance and threat assessments, employees should follow some simple, yet very specific practices when assigned in Pakistan or any other overseas country.

1. Don't be an obvious foreigner.

Employees will most likely stand out no matter what they do, but they should make an effort to blend in as much as possible and respect local norms. T-shirts with police or law enforcement logos or flashy clothes should be avoided. Loud or boisterous behavior should also be kept to a minimum since it will advertise their presence in a negative way.

2. Leave jewelry at home.

This will help avoid becoming the victim of theft: reduce opportunity to reduce crime. Wear local, inexpensive jewelry if necessary.

3. Keep copies of the passport and hide the original.

Employees should carry three copies of their passport, keeping two in separate areas of baggage and carrying one. They should place the original in the safest place possible, perhaps a room safe. Passports are among the most desirable commodities in the world, and a police or government employee's passport will appear very attractive to a pickpocket or thief.

4. Listen to one's instincts.

Many have a sixth sense about getting alarmed or nervous in certain situations; there may be good reasons for it. Stop and calmly think for a few seconds: observe and assess the situation and decide on options are for getting to a safer place. Then make a decision and act.

5. Learn where the embassy or consulate offices are located.

Employees should be encouraged to check in with the American embassy upon arrival. Also upon arrival, there should be an orientation process regarding street

locations and critical infrastructure. Employees should learn two or three different routes for getting to important locations and need to consider public transportation services.

6. Read local English-language newspapers, if possible.

In addition to reading local media, the employer should provide employees with a weekly newsletter containing valuable information about terror threats, trends or current conditions or concerns.

7. Avoid unexpectedly amorous men and women.

Employees should be wary of people who approach and try to engage socially immediately upon arrival. Many times the motive is gaining a foreign passport, wallet. They may urge Americans to buy in local gift shops because Americans are generally perceived as wealthy.

8. Become aware of real security threats.

Before employees leave home or residence, they should conduct research on the political climate in Pakistan, whether there have been recent demonstrations against the American government and whether there might be groups who have expressed strong anti-American sentiment due to political or economic developments?

9. Control the things that can be controlled and don't panic.

Employees should be provided an emergency card with a list of contact information available 24 hours for: the equivalent of a 911 call abroad, a U.S. contact, insurance assistant information, an on-site contact, local medical care facility, local police contact, U.S. embassy or consulate information. Also, a list

of help statements translated into the local language will be helpful (Nance & Hughes, 2002).

Conclusion

Terrorism represents one of the more frightening threats facing U.S. government employees, contractors or employees of American agencies operating overseas: Terrorists, rebels, insurgents and revolutionaries tend to perceive the United States as a symbol of aggressive imperialistic capitalism, foreign exploitation and cultural insensitivity. For these reasons, it is imperative that any organization that operates or deploys employees overseas needs to be aware of anti-American sentiment and potentially hostile actions.

The recent killing of Osama bin Laden is especially worrisome and potentially damaging to the already strained U.S./Pakistani relations. One of the most disconcerting and controversial questions that will long be debated, is whether Pakistan's security services and government knew that Bin Laden was living in a custom-built fortress just 35 miles north of Pakistan's capital.

The killing of Osama bin Laden was certainly a high risk operation and although the lack of information-sharing with the Pakistanis may be construed as offensive or arrogant, the overall importance and significance of the operation and the security of the mission and the personnel involved far outweighed the potential risk of a security leak.

When questioned about their inability to uncover the location of Bin Laden, the Pakistani government has elected to claim ignorance rather than deceit. However, they

have pointed out that in 2003, they arrested Khalid Sheikh Mohammed, the senior al-Qaeda leader often described as the architect of the 9/11 attacks.

Undoubtedly, the United States cannot hunt and fight terrorist organizations throughout the world alone. We will need the cooperation, assistance and networking of other countries, governments and security and intelligence agencies. Although there may exist some questions or doubt concerning the degree of loyalty or cooperation towards the United States and its goals, Pakistan's role and partnership with the United States in the global war on terror will today remain more important than ever (Bremmer, 2011).

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Chapter 7

Intelligence Gathering Strategies for Homeland Security

Threat Assessment

To: Westchester County Police Chiefs, Police Commissioners, Security
Executives and Security Personnel

From: Vincent Antonecchia

Subject: Countering multiple simultaneous terrorist attacks and situational
awareness considerations for law enforcement and security personnel

Date: November 10, 2011

Executive Summary

“The Mumbai attacks illustrate the simplest of weapons can be quite deadly when combined with capability and intent. This type of attack reminds us that terrorists with large agendas and little money can use rudimentary weapons to maximize their impact and it again raises the question of whether a similar attack could happen in Seattle or San Diego, Miami or Manhattan.” Robert Mueller, Director of the FBI, speech at the Council on Foreign Relations (News4U, 2010).

The threat of an international terrorist attack or multiple simultaneous attacks against America must not be taken lightly by law enforcement and security professionals. The November 2008 coordinated attacks in Mumbai, India have been identified as India’s 9/11. The attack lasted sixty hours during that 172 people were killed and hundreds more injured. Mumbai was targeted because it is identified as India’s business and entertainment capital and it represents a “prosperous symbol of modern day India” (Rabasa, Blackwill, & Chalk, 2009). Among the multiple sites attacked in Mumbai were two luxury hotels, the Taj Mahal Palace and the Oberoi-Trident, the main railway terminal, a Jewish cultural center, a café frequented by foreigners, a movie theater, the police station and two hospitals. Six American citizens were among the 26 foreigners reported dead; Indian officials have concluded that there were only ten (10) attackers (Kronstadt, 2008).

The U.S. Intelligence Community Worldwide Threat Assessment of 2011 indicates that we are no longer facing a single dominant threat, but we are facing numerous and interconnected threats with many faces and from many directions. So connecting the dots is important if we are to turn the unknown into the known, but the number of the dots that need to be connected before the message can be decoded will

inevitably be determined by the quality, quantity and timeliness of their collection, accompanied by some luck (Clapper, 2011).

“For the Army of the Righteous (LeT), it was a test run for future operations, not just in India but perhaps elsewhere. Their method of attack could easily be adapted for any American city. No hijacked airliners or sophisticated weaponry, just ten young men with mobile phones and assault rifles, programmed to kill and die on command” (Reed, 2010).

This threat assessment will address known and unknown threats, identify primary intelligence consumers and describe any security implications derived from the 2008 Mumbai attacks and similar style attacks worldwide. It will also discuss challenges, capabilities and limitations of the United States intelligence community and how it relates to homeland security.

Primary Intelligence Consumers: This threat assessment is designed and intended for local, county and state police throughout Westchester County, as well as security personnel responsible for potential targets situated in Westchester County. The concept is to provide awareness level and first responder training for law enforcement and security of soft targets. The following list identifies types of targets specifically vulnerable to a Mumbai-style or active shooter attack; it is not all-inclusive: hotels, theaters, cafés, religious centers, malls, markets, hospitals, amusement centers, sports arenas, bars, nightclubs can be vulnerable.

The Department of Homeland Security (DHS) has identified in their Homeland Security Council Report of 2004 state, tribal and local police agencies as well as private

sectors that are consumers of accurate, timely, and actionable intelligence (Randol, 2009). Realistically and practically, the roles of producers and consumers are overlapping, inter-connected and inter-twined. For Homeland Security Intelligence (HSINT) to be successful, there must be collaboration, cooperation and networking among all aspects of the intelligence community. Agencies and individuals need to look beyond their domain or silo. Law enforcement on all levels, first responders, the private sector and non-governmental organizations are typically identified as consumers of intelligence, but they are producers of HSINT as well.

Known threats: Terrorism has increasingly evolved into an effective strategic weapon used as a force multiplier for smaller, less powerful organizations. Traditionally, terrorists rarely thought beyond their attacks. However, the masterminds of the Mumbai terrorist attacks displayed sophisticated strategic thinking with the selection of their targets and achieved their objectives of creating chaos and hysteria. They were able to bring a city of 20 million residents to a standstill and capture and hold the attention of the international community. All terrorist attacks are recruiting posters and as such, the Mumbai attackers established their terrorist credentials and now rival al-Qaeda in reputation (Rabasa, Blackwill, & Chalk, 2009).

Federal authorities are warning hotels in major U.S. cities to be extra vigilant after intelligence recently obtained in Somalia shows al-Qaeda was planning to launch a Mumbai-style attack on an upscale hotel in London, England. This intelligence came from computers and other materials collected from a checkpoint in Mogadishu where

Fazul Abdullah Mohammed, the Al Qaeda operative who masterminded the 1998 U.S. embassy bombings in East Africa, was killed in June, 2011 (Levine & Griffin, 2011).

U.S. and European officials stated in September 2010, that officials uncovered a plot to carry out coordinated commando or Mumbai-style attacks in Britain, France, Germany and possibly the United States. A senior U.S. official said that while there is a credible threat, no specific time or place is known. U.S. law enforcement officials say they have been told the terrorists were planning a series of commando raids on what were termed economic or soft targets in the countries. Pakistani militants killed 173 people with guns and grenades during the 2008 attacks in Mumbai (Levine & Griffin, 2011).

Unknown threats: An attack of this magnitude could not be developed overnight. It required months of training, planning, and on-site reconnaissance, as well as financing, acquisition of weapons, transportation and a support network to aid the fighters. After some conflicting initial information regarding the number of attackers, it was finally determined there were ten. Some of the biggest unknowns are how many others were involved as support cells. Operational security for such a large unit or grouping of cells is difficult to maintain and requires organization and discipline. Were there Indian insiders involved at some levels? Where did the attackers get the maps and detailed blueprints from? Was Pakistan's Inter-Services Intelligence (ISI) organization and the Pakistani government involved in some aspects of the operation? There were reports of control rooms" located in the hotels, possibly for weapons and ammunition caches. Who secured the rooms and stored equipment inside?

Lashkar-e-Taiba (LeT) and the 2008 Mumbai Attacks: The attacks in Mumbai were carried out by Lashkar-e-Taiba (LeT) (Army of the Good, Army of the Pure or Army of the Righteous), one of the largest, oldest and most active militant Jihadi terrorist organizations in south Asia; it operates mainly from neighboring Pakistan. LeT is designated as a Foreign Terrorist Organization (FTO) by the Secretary of State. FTO designations play a critical role in the fight against terrorism and are an effective means of curtailing support for terrorist activities and pressuring groups to get out of the terrorism business (U.S. Department of State, Office of the Coordinator for Counterterrorism, 2011). LeT has attacked civilian and military targets in India and its goal is to introduce an Islamist state in south Asia and to liberate Muslims living in Kashmir, India. LeT is identified as a terrorist organization and has been banned by India, Pakistan, the European Union, Australia, the United Kingdom and the United States. Despite its long and bloody history, LeT only began generating worldwide attention outside of south Asia after the successful Mumbai attacks (Tankel, 2011).

In 1984, Zaki-ur Rehman Lakhvi, who is currently on trial in Pakistan for his role in the Mumbai attacks, formed a small group of Ahl-e-Hadith Muslims from Pakistan to wage jihad against Soviet troops in Afghanistan. They follow the Salafist ideology, meaning they believe Muslims must return to a pure form of Islam, and they advocate following the Prophet Muhammad in all areas of life. In 1986 Lakhvi merged his organization with Jamaat-ul-Dawa (JuD) forming LeT's parent organization, the Markaz al-Dawa- wal-Irshad (Center for Preaching and Guidance). The group had 17 original members, with Abdullah Azzam the most famous. Azzam was Osama bin Laden's first

mentor and the man most responsible for the huge influx of foreign fighters into Afghanistan during the 1980's (Tankel, 2011).

The November 2008 attacks in Mumbai that lasted 60 hours brought a prosperous and thriving city of twenty million to a standstill. The news media acted as unwitting participants by broadcasting every detail and they brought worldwide attention to the terrorists' cause. The ten attackers were Pakistani males in their twenties divided into four mobile teams. They came by sea after hijacking an Indian fishing boat and murdering the crew. This allowed them to avoid checkpoints and the Indian flag on the vessel helped them to blend in. They were highly trained, heavily armed and well coordinated. Multiple teams attacked several locations, combining armed assaults, carjackings, drive-by shootings, explosions, targeted killings, building takeovers, barricades, arson and taking hostages. The multiple attacks at various locations prevented authorities from developing any idea of the severity and hindered any sort of an effective response (Rabasa, Blackwill, & Chalk, 2009).

An analysis into the LeT 2008 Mumbai attacks reveals numerous distinct characteristics of the organization's modus operandi;

- The organization prefers to attack multiple targets simultaneously using different terrorist teams, rather than select a single attack site. This requires precision and careful coordination and is designed to create a chaotic atmosphere. It is also a preferred technique of al-Qaeda.

- LeT chooses to attack major cities since they are target-rich environments and allow attackers to blend in or proceed undetected until the initiation of the attacks.
- The chosen targets are public locations and are typically crowded with civilians, with transportation facilities, markets, religious sites, hospitals and hotels. The inclusion of holy sites and hospitals indicates that LeT has no moral or ethical concerns regarding the selection of targets.
- The terrorist attacks are typically meant to kill a significant number of random Indian civilians. However, in Mumbai, foreign, Israeli and Jewish victims were targeted.
- The terrorist teams are armed with small arms, hand grenades and explosives since they are highly reliable, accessible and effective.
- Generally, LeT does not incorporate the use of suicide bombs or attacks. The success of the Mumbai attacks has proven to India and the world that LeT can utilize surgical precision during the execution of its attacks without resorting to suicide bombings.
- The extreme coordination, commando style and compartmentalized tactics indicate that LeT is utilizing highly trained military-grade terror teams as opposed to ordinary terrorists.
- LeT used advanced modern technology before and during the attacks to carry out their mission including but not limited to Voice over Internet Protocol (VoIP)
- The success of the Mumbai attacks and the intense worldwide media coverage will motivate and energize LeT and other terror organizations to continue with

similar attacks in crowded cities, occupied by foreigners and tourists (Tankel, 2011).

India's Response: The response or lack of an effective response from the Indian government certainly facilitated and contributed to the large scale success of the LeT attacks. Some specific failures are:

- Indian intelligence officials failed to act after receiving prior warnings from their sources as well as the U.S. that an attack was probable. It highlights the universal dilemma of disseminating covert intelligence for actionable purposes. There appears to have been little coordination between the Research and Analysis Wing (R&AW), the Intelligence bureau and local police in Bombay.
- The access from the water illustrates how porous and vulnerable the coastline was to attackers. Again R&AW had information about a possible water-borne attack; the measures that were in place proved to be ineffective.
- Inadequate target-hardening allowed the terror groups to achieve their goals. The Railway Protection Force was lightly armed and lacked heavier firepower and training to counter a coordinated terrorist attack.
- Local police, the Anti-Terrorism Squad (ATS) and the military's elite National Security Guard (NSG) were hampered by the multiple attack locations, were too slow to respond and lacked an effective and coordinated response. Responders also lacked adequate counterterrorism training and equipment.

- There was very little, if any communication or coordination between police, military, fire and emergency services, problems that could have been solved through the implementation of even a rudimentary Incident Command System.
- Hostage rescue teams were functioning without any sort of an operational plan. There was no coordination with other responders, they lacked a layout of the locations and were hampered by darkness and a lack of equipment like night vision or thermal imaging (Rabasa, Blackwill, & Chalk, 2009).

Pre-2008 Mumbai Attacks by LeT: The horrific and well executed 2008 Mumbai attacks was not the first time LeT has been implicated in terrorist activity. LeT has been active since 1993. It is the military wing of the well-funded Pakistani Islamist organization Markaz-ad-Dawa-wal-Irshad, which was founded in 1989 and recruited volunteers to fight alongside the Taliban. During the 1990s, experts say LeT received instruction and funding from Pakistan's intelligence agency, the Inter-Services Intelligence (ISI). Until it was banned in Pakistan in 2002, LeT claimed responsibility for numerous attacks, including an attack on the army barracks at Delhi's Red Fort in 2000, killing three people; a January 2001 attack on Srinagar airport that killed five Indians; and an attack in April 2002 against Indian border security forces that left at least four dead. India blamed the LeT for the December 2001 attack on the Indian Parliament in New Delhi, and mobilized some 700,000 troops along the Pakistan border, threatening war unless Islamabad ended all cross-border infiltration of Islamic militants. LeT is also suspected of involvement in the December 2001 attack of New Delhi's Parliament and the February 2007 blast of a train running between India and Pakistan (Bajoria, 2010).

Mumbai has been the site of previous LeT attacks due to the appeal of large-scale devastation and the symbolism the city represents. In 1993 there were multiple well-coordinated vehicle-borne improvised explosive devices (VBIED) throughout the city, specifically targeting the stock exchange, government offices and banks. In 2003 there was the bomb attack on a commuter train during rush hour and in 2006 there was another series of well-coordinated improvised explosive devices (IED) on seven different trains in Mumbai (NYPD Shield, 2008).

Lessons learned and implications for Westchester County: Could a Mumbai -style attack happen in the United States? It could happen in the U.S. and it could happen right here in Westchester County. Terrorism has increasingly become an effective strategic weapon and terrorists have demonstrated a willingness to utilize innovative, simple tactics and low-tech weapon systems. The 2008 attacks in Mumbai exemplify how a relatively small number of armed attackers can carry out a well-coordinated series of deadly attacks against high profile soft, iconic and symbolic targets, while creating a chaotic and confusing environment that paralyzes police, military and first responders. The 2008 attacks in Mumbai illustrate intelligence failures, inadequate counterterrorism training and equipment of local police, flawed hostage-rescue plans and poor strategic communications and information management (Jenkins, 2009).

Local, county, state and federal police agencies need to strive to make members aware of potential threats and continue to communicate and network through counter-terrorism zone meetings, intelligence centers and task forces. Additionally, since hotels, transportation centers, religious facilities, cultural centers and other iconic and symbolic soft targets are being specifically targeted throughout the world, police and security

personnel from these facilities should maintain a working relationship, understand and know each other's capabilities and limitations and conduct realistic training that incorporates all levels of first responders, including but not limited to police, security, fire, emergency medical services and utilities.

The crucial component of this multi-pronged response is the security provided at potential targets locations. The New York City Police Department provides the following suggestions with specific procedures, systems and training for addressing active shooters.

Procedures

- Conduct realistic security assessment to determine vulnerability
- Identify multiple evacuation routes and practice evacuations.
- Designate shelter locations with thick walls, solid doors with locks, minimal interior windows, first-aid emergency kits, communication devices, and alarms.
- Designate a point-of-contact person with knowledge of the facility's security procedures and floor plan to liaise with police and other emergency agencies in the event of an attack.
- Incorporate active shooter drills into the organization's emergency preparedness plans.
- Vary security guard patrols and patterns of operation.
- Limit access to blueprints, floor plans, and other sensitive documents, while allowing access to these by law enforcement during an emergency.
- Establish a central command station for building security.

Systems

- Install credential-based access control systems that provide accurate attendance reporting, limit unauthorized entry, and do not impede emergency egress.
- Install closed-circuit television systems that provide domain awareness of the entire facility and its perimeter; ensure it is viewable from a central command station.
- Install communications infrastructure that allows for facility-wide, real-time messaging.
- Install elevator systems controlled from a central command station.

Training

- Train building occupants on response options for an active shooter situation.
- Train occupants in proper evacuation routes and conduct drills.
- Train occupants to hide, if evacuating is not possible.
- Train occupants to take action, if neither evacuating nor seeking shelter is possible.
- Train building occupants to call 911 as soon as it is safe to do so.
- Train building occupants on how to respond when law enforcement arrives on scene:

These three methods, awareness, information sharing and training, characterize the emerging American approach to preventing or mitigating a Mumbai-style attack on U.S. soil. At sea, and in jurisdictions big and small, the basic methods for preventing and responding to a Mumbai-style attack are the same: remain aware by enlisting everyday citizens as eyes and ears; equip and train the lowest-ranking law enforcement personnel

for basic military-style combat; and boost cooperation among private citizens and all levels of government. Finally, don't count on sweeping technological solutions (Axe, 2009).

“We need to go back to basics,” NYPD Commissioner Ray Kelly said, “strengthen our defense on every front; stay sharp, well-trained, well-equipped, and constantly vigilant” (Axe, 2009).

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Chapter 8

International Human Rights

Introduction

This paper represents a personalized perspective on the correlation and direct relationship between what initially may appear to be unrelated and autonomous concepts. It is based on my personal and individual perspectives and thoughts and will describe how the concepts of universal human rights, civil liberties, international law, foreign policy, democratization and globalization directly relate to and influence domestic American politics and homeland security.

What is Homeland Security?

This is a question asked repeatedly in many forums, whether social, political, legal or professional. It is, however, not a term easily defined, and one would be hard pressed to find a single, clear, complete and all-inclusive definition that would satisfy the needs of all. Is homeland security a program, a goal, an agency, a discipline, or an administrative activity? Does it relate to terrorism, emergency management, all hazards or does it involve something completely different; or is it a combination of them all? Does homeland security mean the same to different cities and municipalities throughout the United States? I believe the definition of homeland security needs to encompass the needs of our nation well beyond just terrorism. It needs to reflect an all-hazards approach, while including natural disasters and catastrophes. To craft what I believe is a working and useful definition of Homeland Security, I have taken what the 2007 National Strategy

for Homeland Security identified as a definition and simply added concepts that includes natural or man-made disasters. My definition is as follows;

Homeland security is a concerted national effort to prevent and disrupt terrorist attacks in the United States, reduce America's vulnerability to terrorism, minimize damage and facilitate recovery from attacks, protect against man-made and natural hazards and catastrophes and respond to and recover from any incidents that do occur.

Human Rights, Civil Rights and Civil Liberties

To discuss the concepts of human rights, civil rights and civil liberties, it is necessary to identify and define the following terms: human, rights and human rights. According to the Stanford Encyclopedia of Philosophy, human is defined as a member of the homo-sapiens species; a man, woman or child; a person. Rights are defined as things are entitled or allowed, freedoms that are guaranteed. Human rights are defined as the rights people have simply because they are human (Wenar, Fall 2011). Jack Donnelly describes universal human rights as equal rights since one is either a human or not. They are inalienable rights since one cannot stop being human no matter how bad one behaves or how horrendous or barbarically one is treated. The Office of the High Commissioner for Human Rights (OHCHR) defines human rights as:

Rights inherent to all human beings, whatever our nationality, place of residence, sex, national or ethnic origin, color, religion, language, or any other status. We are all equally entitled to our human rights without discrimination. These rights are all interrelated, interdependent and indivisible (United Nations Human Rights, 2011).

There is a subtle difference to note between "civil rights" and "civil liberties." The legal phrase known as "civil rights" has traditionally revolved around the basic right to be

free from unequal treatment based on certain protected characteristics (race, gender, disability, etc.) in settings such as employment and housing and the criminal justice setting (Thompson Reuters (Ed.), 2011). "Civil liberties" concern basic rights and freedoms that are guaranteed and identified either in the United States Bill of Rights and the Constitution or interpreted through the years by courts and lawmakers. Civil liberties include:

- Freedom of speech
- The right to privacy
- The right to be free from unreasonable searches of one's home
- The right to a fair court trial
- The right to marry and vote (Thompson Reuters (Ed.), 2011).

One way to consider the difference between "civil rights" and "civil liberties" is to look at 1) what right is affected, and 2) whose right is affected. For example, an employee does not have the legal right to a promotion, because it is not a guaranteed civil liberty. But, a female employee has the legal right to be free from discrimination in being considered for a promotion, which cannot legally be denied the promotion based on gender or race or disability, etc.

International Law

It is impossible to discuss international or universal human rights without discussing international law. The United Nations (UN) is an international organization founded in 1945 after the World War II by 51 countries who were committed to maintaining international peace and security, developing friendly relations among nations

and promoting social progress, better living standards and human rights. In 1948 the UN adopted the Universal Declaration of Human Rights (UNDHR) that represented the first global expression of rights to that human beings are inherently entitled. It consists of thirty articles that have been elaborated in subsequent international treaties, regional human rights instruments and national constitutions and laws (United Nations Human Rights, 2011).

International law is the term commonly used for referring to laws that govern the conduct of independent nations in their relationships with one another. It concerns primarily nations rather than private citizens (United Nations Human Rights, 2011). There are no mandates or requirements that force countries to interact with other countries, so how do we impose international law or even enforce violations when they occur? The closest entity resembling a human rights regime is the UN, in that membership is totally voluntary. Human rights are profoundly a national, not international issue and government is also national, not global. States are the principal violators of human rights and as a result, the probable success of international action is limited. Additionally, the likelihood of international enforcement is complicated and reduced since human rights are often perceived as a moral issue and violations are often by the states themselves, thus the incentives for other states to become involved are low (Donnelly, 2003)

The following are the four main sources of international law: bilateral treaties or agreements, multi-lateral treaties or conventions, customary international law and universal norms. What makes this issue of universal human rights so difficult is the fact

that in today's world, it is impossible to identify global norms. It is difficult to establish norms within the United States as well as throughout the world (Bederman, 2010)?

Once we have attempted to identify sources and specific applications of international laws, the next appropriate or relevant questions are who will or who should enforce these global laws. Essentially, if there is no mechanism of enforcement, there cannot be an expectation for states to follow these laws other than by voluntary compliance. The following are six possible techniques for the enforcement of international human rights and norms:

1. Universal jurisdiction: any state could enforce violations
2. Referral to the United Nations
3. Prosecution by the International Court of Justice (ICJ)
4. UN Human Rights Committee
5. National courts
6. Individual actions by states against other states (UNODC & Terrorism Prevention, 2011)

Realistically, the number of nations in a position politically or financially to addressing another nation regarding the alleged abuse of its citizens is very small. This is why the problem needs to be addressed from an organization or a unified body of countries working together. The implications need to be certain and powerful. Typically, the only choice beyond voicing moral concerns is eliminating or reducing aid or trade through embargos. Unfortunately, these actions have negative results towards the general welfare of the nation's people who probably are the ones most in need of the aid and

supplies. If the U.S., in a show of disapproval, were to cut off the distribution of aid to a country accused of perpetuating human rights abuses against its citizens, the people most in need of the aid, would then be denied access, in essence, being victimized twice.

Over the past decades the world has become smaller as many nations have opened their borders, allowing people to move freely from nation to nation. Regarding human rights violations, many times the violators are non-governmental organizations, multinational corporations and non-state funded terrorist groups. It is difficult if not impossible to effectively and fairly enforce human rights violations against these individuals or groups. As far as these are concerned, should the responsibility of enforcement be from the nation where they are based or the nation where the actions are conducted? What if they are not based in any specific nation? Without solid and specific answers, enforcement and punishment becomes difficult, improbable and even impossible.

Group Rights, Genocide and Crimes against Humanity

Thus far, I have discussed individual rights and liberties, human rights and the ability and responsibility of the international community when there are apparent violations of these rights. Now I will discuss group rights and atrocities, such as genocide and human trafficking directed towards specific groups of people. Rafael Lemkin believes the crime of genocide should be recognized as a conspiracy to exterminate national, religious or racial groups by attacking life, liberty or property of members of such groups merely because of their affiliation (Fein, 2007).

I believe when we examine the factors that contribute to genocide it would be inappropriate if we fail to consider group rights. Genocide Watch, an international alliance to end genocide, details eight non-linear steps that are part of a larger process that ultimately leads to genocide. The eight steps are classification, symbolization, dehumanization, organization, polarization, preparation, extermination and denial. The first step, classification, distinguishes people into “us and them” by ethnicity, race, religion, or nationality, for example, German and Jew, Hutu and Tutsi (Stanton, 1998). This distinct classification of groups of people specifically creates division and fosters ethnic or racial prejudice and certainly goes against the promotion of tolerance and understanding. Since genocide specifically targets national, ethnic, racial, or religious groups, we need to consider the rights of the groups when we speak of human rights, especially when we see the brutal and deliberate killings that occurred in Bosnia, Rwanda and Kosovo. There have been times when the international community has become involved and there have been instances when they have been slow or failed to intervene to stop or prevent genocide.

Human trafficking is another atrocity aimed towards specific groups because of their weakness and vulnerability for abuse. Trafficking in persons is a form of organized crime and a serious human rights violation. It is a complex crime that takes different forms in different parts of the world. It is easily adaptable to shifting circumstances of supply and demand, as well as differing criminal justice capacities in countries of origin, transit and destination. It often targets situations, such as countries in conflict or crisis, where the institutions are weak. It looks for those who are vulnerable, such as migrants,

internally displaced persons, refugees, ethnic minorities, women and children (Stanton, 1998).

Civil societies are encouraged to provide health, social and legal assistance, for example, providing victims who have been trafficked with comprehensive HIV/AIDS prevention and care services and assistance in reintegration, particularly with a view to avoiding re-trafficking. Source and destination countries are also encouraged to review their policies with the view to providing people who have been trafficked with the best possible services. Laws countering stigma and discrimination against people living with HIV/AIDS, especially victims of human trafficking should be strengthened. This is a critical step to prevent those victims of human trafficking from being victimized again by society and the medical community.

Foreign Policy and Human Rights

The best protection for human rights is an argument for morality. It is clear and certain that we and our global neighbors should protect human rights because it is the right thing to do and because it is the standard we set for ourselves as minimum criteria for our humanity. Since there is no obligation to protect human rights and often there are states not interested in doing the right thing based on morality, we must explore some other models used in the formation of foreign policies. There are three different models or types when it comes to human rights issues and governments. The realist view is the oldest and it speaks of power. States are only concerned with increasing their own powers, size and wealth at the expense of other states. This view is somewhat selfish, but it is close to primal instincts. I consider this the caveman model. The statist or legalist

model is based on the theory of sovereignty that grants a state exclusive jurisdiction over its own territory, resources and people. This means the state can pursue its own agenda even at the expense of its own people as long as these actions remain within its own borders. Any foreign policy that attempts to deal with human rights issues in an area under this type of policy would inevitably be overstepping its authority and infringing on the sovereignty of this nation where the offenses are occurring. This model holds that what happens behind closed doors is nobody else's business. In the pluralist model the emphasis is placed on the states having the ability to express their own beliefs and system of government. Under this model there is a basic understanding that each state has the right of self-expression and inevitably there will be different cultures that develop their own way of life. The problem with this belief is the difficulty with creating human rights norms across all cultures (Donnelly, 2006).

There is not a "one size fits all" approach that will satisfy all of the needs of the United States. There will come a time when we should act alone and other times when it would be prudent and wise to engage in a multilateral initiative. It seems that in many of our discussions we go back in history and return to the founding of our nation. President George Washington warned in his farewell address that the U.S. should steer clear of permanent alliances with any portion of the foreign world (Addicott, 2008). Many years later, opponents to this practice refer to it as isolationism. Advocates of unilateralism argue that the U.S. should not be subject to or dictated to by other states, especially when it comes to foreign policy or national security (Donnelly, 2006).

The United States has a strong foundation built on ideals and values supportive of human rights, and foreign policy should be based on a combination of moral, historical,

political, strategic and national interest concerns. Many other countries have been established and their identities created by opposing human rights violations and many states actively fight for preservation of human rights. However, the world is not ready to place human rights as a first priority above all other national interests, so sometimes these human rights will be sacrificed to other interests and values. This is not to say these decisions come without asking a price of the offending nation. Some examples are: a reduction or elimination of aid, financial or otherwise; symbolic actions such as suspending cultural or sporting events like the Olympics; recalling ambassadors; issuing verbal sanctions actively opposing such actions (Donnelly, 2006).

Democratization

The United States, its allies and the rest of the civilized world need to emphasize democracy as an option worth fighting for, or not simply because of the political repercussions, but because of the positive results that are brought about in a democratic society. Democracy and human rights are distinct yet interrelated concepts, with democracy referring to government by the people, and human rights referring to universal rights that apply to all individuals in all societies (Norman, 2005). The primary indicator of democracy is the presence of popular elections. It is achieved through regular competitive elections according to universal secret ballots that ensure voters a choice of candidates and policies and gives them the opportunity to dismiss politicians who no longer command their confidence.

Democracy is valued today because in many instances, it has provided a path to international peace. When we compare democracy to some of the other alternatives such

as dictatorships, fascism and communism, it is easy to see that the potential for increased awareness and practice of human rights and peace are greater with democracy. History has shown, and many scholars agree, that democracy will encourage free elections as well as support civil and political liberties. Democracy is based on compromise, accommodation, bargaining and partnerships, so it makes sense that violations of life integrity will diminish in a democratic society. Human rights and democracy have historically been viewed parallel concepts. There is a need to establish interdependence between democracy and human rights and this is especially crucial in emerging democracies. In these cases, in that the development and reform of democratic institutions is starting to take place, it is imperative to ensure that such institutions are built on foundations of both human rights and democracy if they are to be sustainable (Fein, 2007).

Democracy has unequivocal benefits both internally and externally to states with this form of government. There will come a time when outside pressure or interest for the future of another state towards democratization can and will have a positive result. Democracy promotion is usually viewed to be motivated by a sense of enlightened self-interest, and many will also argue that promoting democracy is a moral duty. Democratic countries, including the U.S., believe that developing liberal self-government is a moral prerogative of modern nations because democratic systems provide a safeguard against human rights abuses. Also, democracy is associated with prosperity or human development that theoretically will establish friendly allies, global markets and increased security throughout the region. So, when we combine morality and self-interest, I believe outside pressure can lead to positive change.

After 9/11, promoting democracy took on a new urgency and rationale. Many believe terrorism is a byproduct of autocratic regimes; the populations of authoritarian societies such as Iraq and Afghanistan were finding consolation or comfort through radical ideologies and violent acts. President George W. Bush and many others believed that bringing democracy to the world was a critical component of the international security strategy. Pressure applied by external influences and interests for the promotion of democracy can be indirect or direct, hard or soft.

Despite the positive byproducts of democracy, there are a variety of forms and there is certainly not a one-size-fits-all recipe. Democracy is not exclusive to the West and superpowers. The U.S. needs to be cautious and avoid imposing our models of democracy on other societies. I believe the best way to promote democracy is to encourage, educate and provide support in developing democracies. Superpowers should also be cautious about pursuing their own national interests under the guise of democracy in order to prevent the association of democracy with western imperialism. At the same time, local advocates of democracy in other nations should be sought out and relied upon to consider how their social mechanisms, values, and contexts can support culturally sustainable democracies. In addition, hypocrisy, whether real or perceived, is tremendously damaging to efforts designed to promote democracy. I have been saying for many years that perception is reality, and this is no exception. It is generally thought that those promoting peace and democracy must keep their own democratic houses in order as well as mitigate, or at least be transparent about, ulterior motives and possible conflicts of interest (Fein, 2007).

Globalization

Globalization is the process of interaction and integration among people, companies, and governments from different nations. It is a process driven by international trade and investment, currently facilitated by information and transportation technology. Today the ripple effects are being noticed in the environment, on culture, political systems, increased economic development and on the human well-being of societies around the globe. A by-product of trade is the transfer of ideas, identities and cultures. Today, technology has enabled greater and quicker connections between local and global markets.

This current wave of globalization has been driven by policies that have opened the economies of nations both domestically and internationally. Many governments have adopted free-market economic systems, vastly increasing their own productive potential and creating new opportunities for international trade and investment. Governments have also negotiated dramatic reductions in barriers to commerce and have established international agreements to promote trade in goods, services, and investments. Corporations have also taken advantage of new opportunities in foreign markets by building foreign factories and establishing production and marketing arrangements with foreign partners.

Besides the positive changes brought about by globalization, there are negative effects and as a result, globalization is deeply controversial. Proponents of globalization argue that it allows poor countries and their citizens to develop economically and raise their standards of living, while opponents of globalization claim that the creation of an

unmonitored international free market has benefited multinational corporations in the Western world at the expense of local enterprises, local cultures, and contributed to an increase of human rights violations. There certainly are pros and cons associated with globalization and the key is to strike a balance between the benefits and costs (Donnelly, 2006).

Globalization is inevitable and cannot be prevented. There will certainly be social changes, some positive and some negative. Some classes of people will prosper and some will suffer. Some economies will weaken while others are strengthened. A specific negative result is the lack of social interaction and a lack of obligation between those in power and those without power. An effective analogy often used to illustrate the negative ramifications of globalization compares multinational corporations to absentee landlords. The initial investment is made, but then there is little reinvested due to the exploitive nature of the relationship between the companies and the workforce. Additionally, opponents argue that globalization erodes the social, political and economic systems that in turn lead to diminished human rights. Supporters of this model believe that globalization will undermine positive development, not promote it. The theory supports the concept that the wealthy and powerful investors will exploit the poor and weak by providing menial jobs with low pay, no benefits and poor or unsafe working conditions. There will be very little investments in the local economy or infrastructure and when the resources or opportunities are gone, so too will the corporations, leaving behind a trail of destruction (Howard-Hassman, 2005).

A positive model addressing globalization describes it as the engine of development, thus developing the economy and increasing wealth, which will lead to

greater protection of human rights. This model follows the trickle-down theory of wealth creation. Regarding human rights, globalization opens up markets that support liberal economies, which lead to democracies, which in turn support human rights protections.

It is important to remember that democratization and globalization are slow moving. As a result, many of the third world countries being directly affected by globalization need time to evolve. These countries cannot be expected to conform or comply with the so-called standards of Western society. Globalization has removed barriers that divided states, caused distrust, amplified national identity and depended on personal or face-to-face business arrangements. The removal of these barriers has also identified and brought attention to human rights issues throughout the world. According to libertarians, globalization will help the entire world deal with crises like unemployment and poverty. It will help to raise the global economy and foster trust and respect for others' opinions. Globalization and democracy should go hand in hand (Howard-Hassman, 2005).

Conclusion

The United States, through a concerted national effort that galvanizes the strengths and capabilities of Federal, State, Local and Tribal governments; the private and non-profit sectors; and regions, communities and individual citizens – along with our partners in the international community – will work to achieve a secure Homeland that sustains our way of life as a free, prosperous and welcoming America (Homeland Security Council, 2007).

Homeland security is a concept, a philosophy and a mantra that we as a country, must embrace and consider in the present as well as the long term, regarding foreign

policies, civil rights and human rights. The United States must also remain cognizant that we are the greatest example and beacon of hope for democracy. As such, a tarnished image in the eyes of the rest of the world will indeed cause great harm to the cause of the promotion of democracy worldwide and compromise the security, future and power of the United States.

Human rights and liberal democracy are not merely complementary, rather they are interdependent. A democracy that is substantive as well as procedural cannot function without human rights, just as human rights, civil, political, economic, social, and cultural rights, cannot be ensured in the absence of democracy (Norman, 2005).

I believe the most effective and realistic approach towards protecting the homeland is through support and proliferation of democracy throughout the world. We will never be able to eliminate all threats, whether internal or external, which exist now and in the future for our homeland. We can however work with our allies and the international community to foster an increased awareness for respect and the fair application of human rights throughout the world. We can help to eliminate factors leading to the social, environmental and psychological influences that cause despicable conditions such as human rights violations of hunger, genocide, human trafficking, torture and radicalization. There is certainly a connection between the government that mistreats its own citizens and the nation that fosters aggression against its neighbors. Anthony Lake, the Executive Director of the United Nations Children's Fund (UNICEF) stated, "Democracies tend not to wage war on each other and they tend not to support terrorism – in fact, they don't" (Addicott, 2008). The new paradigm to stopping human rights atrocities, terrorist activities and war is a simple model. Democracies make better

neighbors, so it is in the best interest of the United States and the rest of the world to foster emerging democracies and to put pressure on non-democratic states to respect the rule of law in international relations. The more democracies there are in the world, the fewer potential adversaries we and the other democracies will have (Addicott, 2008).

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Chapter 9

Technology and Critical Infrastructure Protection

Introduction

The September 11, 2001 attacks against this nation demonstrated the ability, commitment and desire of America's enemies to disrupt our peace, tranquility and essentially, our way of life. In response to the attacks, government at all levels and the business and civil sectors began a critical partnership on a long and arduous journey that has become known as homeland security. In February 2003, President George W. Bush issued the National Strategy for the Physical Protection of Critical Infrastructures and Key Assets. This strategy was written to identify a clear set of national goals and objectives while outlining the guiding principles that will support America's efforts to secure the infrastructures and assets vital to our national security, governance, public health and safety, economy, and public confidence.

Homeland security is fundamentally different from the traditional term, *national security*. Homeland security is a collective effort and cannot be accomplished by the federal government alone. It requires a shared, unified and coordinated approach from the entire nation. To address the requirements of the National Strategy and to clearly meet the needs of strategic objectives, it became abundantly clear that efforts must be initiated to protect specific infrastructure and assets. Attacks on critical infrastructure could disrupt the direct functioning of key business and government activities, facilities, and systems, as well as have cascading effects throughout the nation's economy and society. In response to this deficiency, in December 2003, President George W. Bush released the

Homeland Security Presidential Directive 7 (HSPD-7) for the purpose of identifying, prioritizing and protecting critical infrastructure and key resources (CIKR). These critical infrastructures consist of the following sectors and key resources: agriculture and food, water, public health and healthcare, emergency services, the defense industrial base, information technology, telecommunications, energy, transportation systems, banking and finance, chemical, postal and shipping, national monuments and icons, dams, government facilities, commercial facilities, and nuclear reactors, materials and waste (Homeland Security Presidential Directive, 2003).

For this chapter, the critical infrastructure I have selected is the water sector and within this sector, the key assets are the Kensico Dam and Kensico Reservoir in Valhalla, NY. Our nation's water supply is critical because human beings typically cannot survive more than three to four days without clean fresh drinking water. The nation's water supply serves as one of our most vital natural resources. Potential threats to this resource include contamination, physical damage, cyber damage and/or destruction of critical components within the water system. There are approximately 160,000 public drinking water utilities and more than 16,000 wastewater utilities in the United States. About 84 percent of the U.S. population receives its potable water from these drinking water utilities. If attacks were targeted against these assets, the result could be large numbers of illnesses, casualties or denial of service that would also affect public health and economic vitality. Critical services such as firefighting, health care, hospital, and other dependent and interdependent sectors such as energy, transportation, and food and agriculture, would suffer from a denial of water. The Environmental Protection Agency (EPA) plays an important role in the security of the nation's water supply. Presidential Decision

Directive 63, issued in May 1998, designated the EPA as the lead agency for assuring the protection of the nation's water infrastructure (Environmental Protection Agency, 2007).

Some key components in the water sector are reservoirs, dams, wells, water towers, aquifers, aqueducts, pipelines, treatment facilities and pump stations. *The National Strategy for the Physical Protection of Critical Infrastructures and Key Assets of 2003* identified four specific areas of primary concern in the water sector: physical damage or destruction of critical assets, including the release of toxic chemicals, contamination of the water supply, cyber attack on information management or other electronic systems and interruption of services from another infrastructure (Office of the President, 2003).

This chapter will specifically address key assets and weaknesses or areas of vulnerability in the Kensico Dam and Reservoir. Utilizing industry standards for the identification, analysis and protection of key assets, I have determined that approximately \$8 million dollars should be allocated for the protection of the Kensico Dam and Reservoir.

Identification of Critical Assets

The Kensico Dam and Reservoir are essential to the fresh water supply for approximately nine million residents living in New York City (NYC) and Westchester County. The reservoir supplies approximately 85 percent of drinking water to Westchester County residents; approximately 90 percent of NYC's water supply flows through the Kensico Reservoir. The Kensico Dam is located about three miles north of the City of White Plains and about fifteen miles north of New York City (Foderaro,

2004). The dam and reservoir fall within the towns of Mount Pleasant and North Castle, but the dam and the reservoir are under the jurisdiction of the NYC Department of Environmental Protection (DEP). The park or plaza at the base of the dam is a Westchester County park, maintained and protected by Westchester County.

A report in December 1997, generated from a comprehensive risk assessment by NYC DEP Police Chief Michael Collins detailed specific facts related to the Kensico Dam. The dam is 3,300 feet long, 307 feet high and holds back approximately 30.6 billion gallons of water contained in the Kensico Reservoir that covers approximately 2,000 acres. The assessment detailed that if the Kensico Dam were to be breached, the City of White Plains would encounter water depths of seventy feet within the hour and about four and one-half feet in four to five hours (Witherspoon, 2002).

A breach or failure of the Kensico Dam would have catastrophic results on the local economy and most certainly affect the other critical infrastructures in Westchester County and beyond. Many lives would be lost, homes and businesses destroyed, roadways would be impassable, power sources destroyed, train services interrupted, public health jeopardized, banks and shopping centers destroyed, courts and government facilities inoperable and the psychological welfare of most residents severely damaged (Foderaro, 2004).

The most prolific and generally accepted theory regarding the protection of critical infrastructure and key assets is that it is unrealistic, impractical and not feasible to fully protect everything at all times. Most sectors and key assets are simply too complex and too large to be fully protected. This is exemplified most often when examining

complexity, size, layout, design and geography of most assets. Once managers and policy makers accept that they cannot protect everything at all times, the next decision is where resources should be channeled and money spent on the protection of these sectors and assets. A realistic and workable strategy must be created and implemented. A strategy should provide a roadmap for solving complex problems involving organizations, technologies and resource allocation within a challenging environment (Lewis, 2006).

Since 9/11, it has been widely accepted that the threats facing America are organized as a network and not in a traditional hierarchical command structure. In response to this non-traditional structure, the organizations and strategies designed to combat terrorism must also be organized as a network and network structures must be protected using strategies derived from network analysis. Any strategy geared towards protecting vast networks, like most critical infrastructure, cannot protect every part of the network equally within the sector. Rather, the emphasis of the strategy must be to protect the most critical nodes, namely the hubs. If we utilize the limited resources towards concentrating our efforts on protecting the hubs and not the spokes, then we increase our chances of protecting and securing the entire system or network (Lewis, 2006).

Network analysis is the first step in the Model-Based Vulnerability Analysis (MBVA) process and it is designed to identify all assets in the sector: roads, bridges, intersections, ports, ships, airplanes, airports, telecommunications centers, power lines, power stations, etc. This step also categorizes the assets: are they nodes or links in the sense of a network? How are they connected? What are the dominant components (Lewis, 2006)?

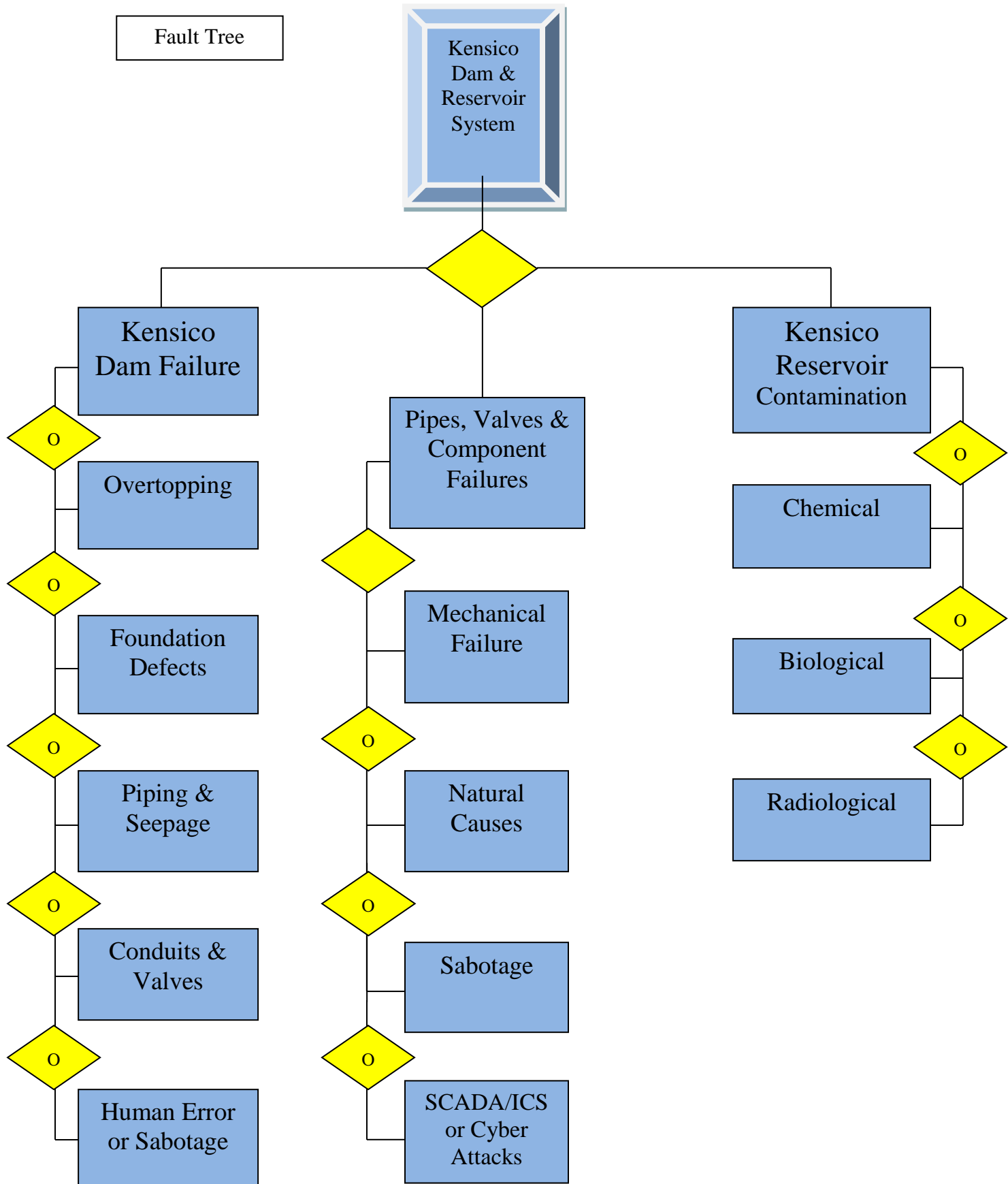
An analysis of the Kensico Dam and Reservoir revealed the following information: both the dam and the reservoir are critical nodes or hubs within the Catskill and Delaware water systems, with the reservoir serving as a receiving area for settling waters. The Catskill and Delaware aqueducts that supply water throughout lower Westchester and NYC serve as conduits from the dam and reservoir. Other assets associated with the pair are upper and lower valves, valve chambers, a discharge pipe and spillway. Lastly, the plaza at the base of the dam is a public park hosting numerous festivals and activities for residents, while the reservoir is stocked with fish for recreational fishermen (Natural Resources Defense Council, 1999).

All infrastructures and their accompanying facilities face a certain level of risk associated with various threats. These threats may be the result of natural events, accidents or intentional acts to cause damage and/or harm such as vandalism, sabotage or terrorism. Regardless of the nature of the threat, facility owners have a responsibility to limit or manage risks from these threats to the extent possible. An important step in the risk management process is to conduct a threat assessment that considers all threats for a specific facility or location. The assessment should examine any supporting information that may indicate the likelihood of occurrences for each of the threats. Some examples may be historical data, crime rates, criminal threats or the type of assets or activities at the facility (Lewis, 2006).

Once the credible threats are identified, a vulnerability analysis must be done that will consider the potential impact from an attack or specific failure at a facility or location. It is often said that “The analysis is perhaps the most important skill needed to practice critical infrastructure protection” (Lewis, 2006). Vulnerability is not the same as

risk. Vulnerability is a probability and risk is a measure of financial, causal or equipment risk. The best way of describing the relationship between vulnerability and risk is a simple analogy; one might be able to leave a backdoor safely unlocked (a vulnerability) in the suburbs, but one wouldn't do the same thing in Brooklyn. The unlocked door exposes the same vulnerability wherever the door is located, but the risk differs depending on the different threat environment. Reduced vulnerability always means reduced risk, but reducing the outcome risk does not always reduce the vulnerability (Lewis, 2006).

Fault Tree Analysis (FTA) is a method for discovering root causes of failures or potential failures. FTA then helps identify how to fix or prevent failures. It starts with a top-level event, like a power outage. It then works downward to evaluate the contributing faults, causes of these faults and how they may ultimately lead (or have led) to its occurrence. The fault tree diagram is used to identify countermeasures to eliminate the causes of failure. Laying out the diagram allows the problems to be visual, which theoretically should make it easier to identify and correct problems before they become failures (Lewis, 2006).



Event tree analysis is a systematic approach to reasoning about the consequences of events, and its purpose is to identify hazards in a system. It uses diagrams in the form of trees to lay out possibilities. This method ensures that all vulnerabilities are explored both individually and in combination. It also produces quantitative results regarding the vulnerabilities and their probability of occurring (Lewis, 2006).

Identification of Threats and Vulnerabilities

Despite the best efforts of engineers and architects to design long lasting and effective structures, dams and other geotechnical structures do fail at relatively constant rates. The use of risk analysis techniques are growing in popularity as a means of dealing with uncertainties in geotechnical performance. By conducting a risk analysis, engineers are forced to confront uncertainties directly and to use best estimates of site conditions and performance in predicting performances. Uncertainties are treated as quantifiable entities.

A dam is a barrier built across water for the purpose of holding back or controlling the flow of water. Some dams divert the flow of river water into a pipeline, canal, or channel. Others raise the level of inland waterways to make them navigable by ships and barges. Many dams harness the energy of falling water to generate electric power. Dams also hold water for drinking and crop irrigation, and provide flood control. Dams typically serve three main purposes: storage, diversion, or detention (Harrald, 2004).

The U.S. Army Corps of Engineers identifies five of the most common reasons dams fail:

1. Overtopping : 35% of all dam failures

Inadequate spillway design

Debris blockage in spillway

Settlement of dam crest

2. Foundation defects: 30% of all failures

Differential settlement

Sliding and slope instability

High uplift pressures and uncontrolled foundation seepage

3. Piping and seepage: 20% of all failures

Internal erosion

Seepage and erosion along hydraulic structures

Conduits or spillways, or leakage through animal burrows

Cracks in dam

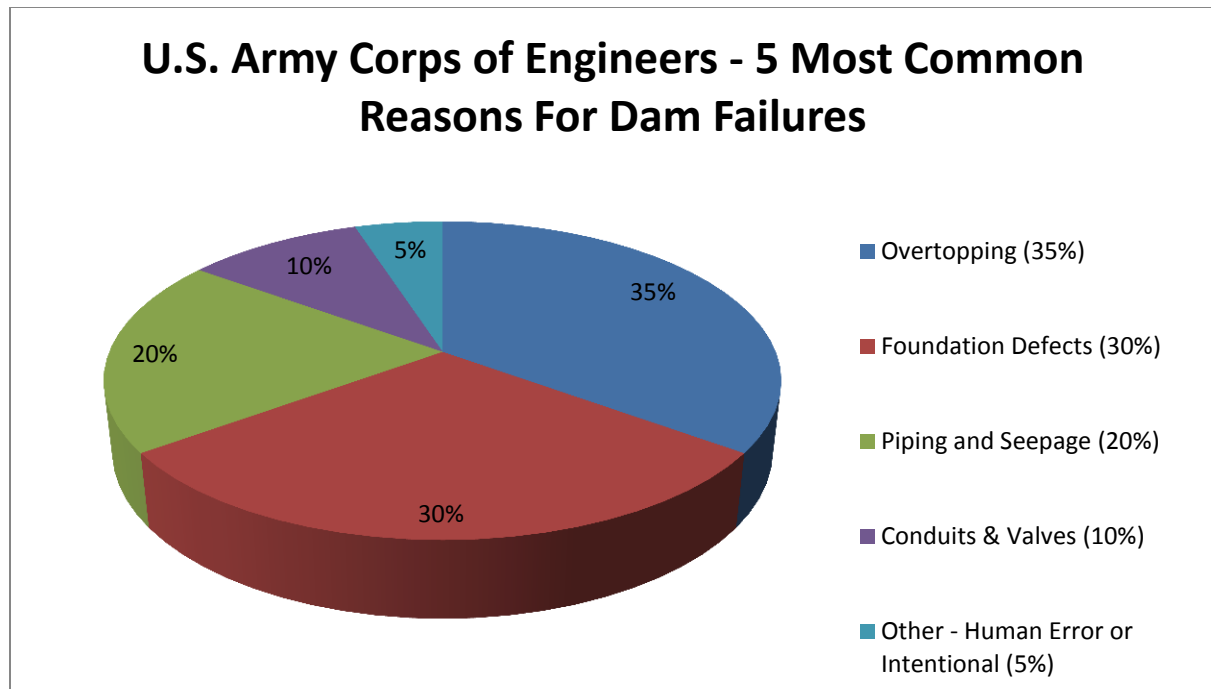
4. Conduits and valves: 10% of all failures

Piping of embankment material into conduit through joints or cracks

5. Other: 5% of all failures

Human error

Intentional acts of damage or terrorism (Harrald, 2004)



The water sector requires extensive monitoring of supply samples because of threats sustained from biological, chemical or radiological contamination. This sampling needs to be constant, consistent, timely and conducted from a reliable laboratory. The operation of the water sector depends heavily on outside sectors. The heaviest dependence is on the energy sector that powers pumps and treatment facilities through electricity, natural gas and other fuel sources. The transportation sector facilitates the delivery of chlorine and other substances that are provided from the chemical sector. The telecommunications sector is involved in the operational and monitoring process. Newer technology has created increasingly automated systems for the addition of chemicals, distribution of water and controls of remote locations (Environmental Protection Agency, 2007)

Like all critical infrastructures and key resources, the U.S. dam and reservoir infrastructure relies on technology, best practices and the national security environment

that continues to evolve over time. In order to maintain and ensure the continued reliability and integrity within the water sector, areas of concern and focus by owners and operators include: surveillance, detection, identification of site-related vulnerabilities such as access control, operational security, and cyber security measures, emergency response/prevention issues, and functionality issues governed by interdependencies with other infrastructure assets.

The dam sector comprises the assets, systems, networks, and functions related to dam projects, navigation locks, levees, hurricane barriers, mine tailings impoundments, and other similar water retention and/or control facilities. Dam projects are complex facilities that typically include water impoundment or control structures, reservoirs, spillways, outlet works, powerhouses, and canals or aqueducts. In some cases, navigation locks are also part of the dam project.

To address security issues related to dams, a partnership approach has been adopted involving federal, state, regional, territorial, local, or tribal government entities; private sector owners and operators and representative organizations; academic and professional entities; and certain not-for-profit and private volunteer organizations that share in the responsibility for protecting the nation's critical sector assets (Dam Sector Coordinating Council, 2007).

Countermeasures Designed to Protect Critical Nodes and Hubs

When it comes to protecting critical infrastructures and key assets, it is imperative to consider that assets need to be prioritized based on their criticality to the system because every asset cannot be protected at all times. The Kensico Dam and Reservoir are

considered critical nodes and hubs in the Catskill and Delaware water systems and certainly require a significant degree of protection and security measures to thwart and prevent failures, attacks, sabotage, damage and interruption of service.

The most vulnerable portion of the Kensico Dam is the top or upper portion because this is where the dam is the narrowest and susceptible to an improvised explosive device (IED) or vehicle-borne improvised explosive device (VBIED). To address this weakness, immediately following the attacks on September 11, 2011, the New York City Department of Environmental Protection closed the half mile portion of Westlake Drive that sits atop the Kensico Dam. This road must remain closed with high security (class 4) retractable barriers capable of stopping large vehicles traveling at high rates of speed. They must be retractable so heavy equipment and utility vehicles can be moved across the top of the dam when maintenance or repairs are necessary. In addition, the base of the dam needs to be protected from a VBIED attack by installing high security (class 4) permanent bollards or barriers designed to prevent vehicles from gaining access to the base of the dam. However, since chemical trucks need to access the interior of the dam from the Kensico Plaza side, the road providing access will require high security (class 4) with retractable barriers and a high security (class 2) vehicle-borne chemical, biological, radiological, nuclear and explosive (CBRNE) search and screening station for all vehicles entering the security area or making deliveries.

The entire dam, waterside and landside, including critical input pipes, output pipes, reservoir delivery systems, valve chambers, spillways, access points and waterways must be illuminated with security lighting and monitored from recordable high security (class 3) closed circuit television cameras with high resolution and infrared

capabilities, including pan, tilt and zoom. The doors accessing the interior of the dam at the base of the plaza side will be replaced with high security fortified steel doors and controlled with a high security (class 4) access control system and alarmed. The reservoir side of the dam must be protected with high security (class 3) waterside barriers designed to prevent watercraft, swimmers and divers from accessing this portion of the dam. The entire dam must be protected with high security (class 4) fencing and a high security (class 3) landside and waterside intrusion detection system designed to prevent anyone from accessing any portion or component of the dam. This vulnerability was highlighted on April 11, 1997, when graffiti vandals, suspended from the top, went undetected for three hours as they painted a 10-foot high by 4-foot wide statement on the face of the dam (Witherspoon, 2002).

In addition to the countermeasures mentioned above, there should be a minimum of four (4) high security (class 3) trained police officers on the site of the Kensico Dam at all times. They should be heavily armed and capable of defending the dam from an attack initiated with vehicles, watercraft or on foot. These officers should have infrared technology, night vision, mobile CBRNE detection devices, and a high security (class 3) asset-related communications network.

The reservoir and water holding areas need to be monitored for chemical, biological or radiological contamination with an early warning system in place. Most of the water supply threats received in the last several years involve the threatened release of a biological organism or toxin into a reservoir. For this method to be successful, namely to cause illness or death, a terrorist would have to overcome the dilution provided by the large volume of water in the reservoir, filtration and disinfection of the water. For some

organisms that require high doses of chemicals, this would be enough to cause illness. The contamination of a water storage tower would require less material to cause disease but would affect a much smaller area. Enhanced physical security of critical nodes in the network, such as water storage towers, and maintenance and monitoring of adequate chlorine levels would reduce this risk (Dick, 2002). The amount of hazardous industrial chemicals needed to contaminate the drinking water supply of the Kensico Reservoir is enormous, that is, truck loads. However, quality control procedures should be in place at water treatment facilities that involve monitoring, filtration and treatment of the water before it enters the distribution infrastructure. Also, only about 1% to 2% of the total water consumption is used for drinking and preparation of food. Contaminated sources can be isolated from the distribution infrastructure. Furthermore dilution, evaporation, and chemical and biological degradation will also lessen the impact of a pre-treatment assault (Dick, 2002).

Finally, the portion of the Kensico Dam and Reservoir system that utilize supervisory control and data acquisition (SCADA) systems or industrial control systems needs to be upgraded and protected from cyber-attacks or system failures. SCADA networks and the dependency on SCADA have grown as efficiency and productivity demands have increased. Radio signals, cellular phone lines, buried cables, satellite signals and the internet have allowed SCADA systems to become less expensive, quicker and more readily available to all facilities. A study conducted by the EPA in January 2005 revealed that many water SCADA systems were developed and built with little or no attention to security. Sadly, as technology has improved, many water utilities have spent little time and expense securing these systems. The advances in information

technology and improved efficiency have resulted in increased automation and interlinked infrastructures creating new vulnerabilities and weaknesses due to equipment failure, human error, weather or natural disasters and physical or cyber attacks. Some specific examples of SCADA vulnerabilities include:

- *Human*: corrupt, criminal or simple error.
- *Communications*: messages can be deleted, fabricated, changed, intercepted or blocked.
- *Hardware*: easily tampered with and dependent on power supply.
- *Physical*: vulnerable to theft or damage from intruders or employees.
- *Natural*: floods, tornadoes, hurricanes or earthquakes can damage equipment and connections.
- *Software*: poorly written and inadequately protected programs.

With regard to cyber-manipulation, there are a growing number of water supply systems that use SCADA systems and digital controls for pumps and treatment facilities. In addition, more water system operators are being given access to the internet via the SCADA systems local area network (LAN). Due to the increase in the dependency of this growing technology, water systems are more likely to encounter denial of service attacks, viruses, and other malicious programs, that could severely disrupt the operation of these systems. To counter this inherent vulnerability, the Kensico Dam and Reservoir system will have the ability to manually override any SCADA systems; a redundant operating system will be installed and maintained so operators have the capability to run the facility manually, without using these digital or electronic control systems.

Budget Allocation for the Protection of Assets

The approach taken in this chapter during this analysis contrasts sharply with the approach utilized in the Strategic Planning section (Chapter 3), during that the current economy and budget shortfalls were considered and incorporated into the overall plan. In this analysis, the suggested countermeasures, their expense and available budget have not been influenced by real world fiscal restraints. This budget has been prepared as if there is an unlimited amount of financial resources available for the protection of the Kensico Dam and Reservoir.

Countermeasure	Cost	Number	Total
High security (class 4) retractable barriers for road closure to Westlake Drive across top of the dam	\$150,000	2	\$300,000
High security (class 4) permanent bollards or barriers for installation around base of the dam	\$15,000	50	\$750,000
High security (class 4) retractable barriers for installation at base allowing for ingress/egress of delivery vehicles	\$150,000	2	\$300,000
Security lighting, including poles for all areas of dam	\$5,000	35	\$175,000
High security (class 3) closed circuit television cameras	\$2,000	30	\$60,000
Digital video recorders w/remote access and long term storage	\$12,000	4	\$48,000
High security (class 4) access control system and alarm for access door at base of dam	\$7,500	1	\$7,500

Countermeasure	Cost	Number	Total
Installation of highly fortified steel access door at base of dam	\$20,000	1	\$20,000
High security (class 3) waterside barriers	\$500,000	1	\$500,000
High security (class 4) fencing around entire dam	\$350,000	1	\$350,000
High security (class 3) landside and waterside intrusion detection system	\$500,000	1	\$500,000
4 high security (class 3) trained police officers on duty at all times (24 hours/day and 365 days/year) (salary + benefits + all expenses)	\$135,000 PER YEAR	18	\$2,430,000
High security (class 3) communication system with portable and base center capabilities	\$150,000	1	\$150,000
Four wheel drive all-terrain vehicles (ATV's) for perimeter patrols	\$8,500	3	\$25,500
Portable thermo-imaging cameras	\$10,000	2	\$20,000
Night vision goggles	\$3,500	4	\$14,000
Portable radiation detectors	\$2,500	4	\$10,000
Portable CBRN detectors and identifications devices	\$35,000	1	\$35,000
Hazardous material response suit w/SCBA capabilities	\$8,000	4	\$32,000
Detection system for chemical, biological & radiological contamination of reservoir/water holding areas	\$500,000	1	\$500,000

Countermeasure	Cost	Number	Total
Command center for police personnel equipped with wireless and remote access to all communication systems, surveillance cameras & monitoring equipment	\$350,000	1	\$350,000
SCADA technology improvements, manual override and redundant operating system	\$750,000	1	\$750,000
Installation and labor expenses of cameras, lighting, alarm systems, door access control systems, etc. (determined at 2X the cost of the equipment)	\$242,500	2X	\$485,000
Total Cost of Countermeasures			\$7,812,000

The above budget and suggested expenditures follow the ranked-order strategy because as previously indicated, we cannot protect everything. I believe it is imperative to protect the structure and integrity of the dam itself. I am not suggesting ignoring other sensitive or vulnerable components, but I believe the emphasis needs to be directed towards protecting the structure itself. We need to be concerned with mechanical components, pipes, contamination through storm water runoff, the environment and intentional acts of terrorism, but with careful monitoring and testing this can be controlled. The physical damage from a breach of the actual dam itself would be devastating on so many levels and across all sectors in society, so I will concentrate my efforts on bolstering the physical structure and increasing the security of the dam and its main components through trained police personnel, technology (cameras, motion detectors, monitoring equipment, etc.) and physical fortifications.

Conclusion

In this chapter, I have taken an in-depth look at the water sector, more specifically, the Kensico Dam and Reservoir system. Model-based vulnerability assessments have identified key assets, vulnerabilities, weaknesses and critical nodes/hubs. Specific recommendations have been suggested based on their potential impact towards bolstering and strengthening security and reducing vulnerabilities. The suggested countermeasures and their overall emphasis have been designed to prevent structural, mechanical or component damage, complete failure or any interruption of water service from acts of terrorism, human error or sabotage. The expenditures, at almost eight million dollars (\$8,000,000) should be approved and budgeted because any damage, failure or interruption of service will have a far reaching impact and devastating results throughout society. The complexity and interconnection of the water sector has increased dramatically in the digital age. While these advances carry many benefits, they have also heightened security risks surrounding life's most essential element, water.

The Department of Homeland Security (DHS), coordinating with the Federal Bureau of Investigation (FBI) and other U.S. intelligence community elements, are responsible for sharing critical infrastructure threat-related information with the water sector and its many operators and partners. The dissemination of important and relevant security information, such as physical and cyber threats, vulnerabilities, incidents, protective measures, and best practices, among federal, state, local, tribal, and territorial governments is a critical component of protection and resilience. Water sector partners are responsible for collaborating to improve information sharing and tools. Through web sites, partner updates, e-mail trees, web-casts, and other mechanisms, the sector is able to

share unclassified security-related information. Information sharing and communications are vital to CIKR activities, but a significant challenge still exists regarding sharing both sensitive and non-sensitive information. Water sector partners recognize the need to continue to improve information sharing capabilities that are explicitly linked to critical infrastructure resilience goals and governance.

I believe the road ahead involves a wide array of activities that will align with the priorities and correspond with the goals set in the water sector specific plan. Protecting this nation from terrorism and sector specific damage will require strong relationships between water sector utility owners and operators, DHS, and federal, state, and local law enforcement to increase communication and enhance the sharing of threat and security information. We must also look beyond the water sector and seek to implement cross-sector communication, coordination and information sharing because of the tendency for cross-sector and critical infrastructure interdependencies. As noted, water utilities are dependent on electricity, telecommunication and transportation to treat and distribute water. At the same time, water is required and necessary to support firefighting, agriculture and food, public health and healthcare, emergency services, the defense industrial base, information technology, telecommunications, energy, transportation systems, banking and finance, chemical, postal and shipping (Water Sector Coordinating Council Cyber Security Working Group, 2008).

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Chapter 10

Multi-disciplinary Approaches to Homeland Security

Introduction

As the effects of natural disasters and man-made mayhem appear to becoming more prevalent, wide-spread and far-reaching, society is actively looking for answers to successfully handle these types of incidents. Government alone cannot and should not be the sole response to scenarios that impact all of society. All levels of government must realize their inherent limitations and capabilities while simultaneously searching for more efficient and cost effective solutions. Government leaders can no longer assume there is a simple, one-dimensional response to dealing with disaster. How effectively government at every level engages with and leverages the resources of other segments of society will determine how successful the nation's response will be.

Following the terrorist attacks of September 11, 2001, Congress passed the Homeland Security Act of 2002 that created the Department of Homeland Security (DHS) to better coordinate among the different federal agencies that deal with law enforcement, disaster preparedness, recovery, border protection and civil defense. In March 2003, the Federal Emergency Management Agency (FEMA), which had already been in existence for over two-hundred years, was absorbed under the umbrella of DHS. FEMA's mission is as follows:

To support our citizens and first responders to ensure that as a nation we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards. (FEMA, 2011)

The Quadrennial Homeland Security Review (QHSR, 2010) defines the homeland security enterprise as “the collective efforts and shared responsibilities of federal, state, local, tribal, territorial, nongovernmental, and private-sector partners charged with the protection of America from terrorism, natural disasters, and a variety of other threats and vulnerabilities” (United States Department of Homeland Security, 2010).

Government organizations are often characterized as inflexible, cumbersome, too large, unwieldy, and in some cases, obsolete. The hierarchical design of many governments is based on the Industrial Age models that are not compatible with today’s contemporary concepts of agility, adaptability and complexity. Hierarchies are likely to fail in the complex adaptive environments of the Information Age (Alberts & Hayes, 2003). Today’s challenges negate previously held assumptions of predictability, order and certainty, and require flexibility and adaptability. Alberts and Hayes considered the problem of organizational hierarchies in the complex adaptive environment of the Information Age:

Industrial Age organizations are, by their very nature, anything but agile. Agile organizations must be able to meet unexpected challenges, to accomplish tasks in new ways, and to learn to accomplish new tasks. Agile organizations cannot be stymied when confronted by uncertainty or fall apart when some of their capabilities are interrupted or degraded. Agile organizations need to be able to tolerate (even embrace) disruptive innovation. Agile organizations depend upon the ability of individual members and organizational entities to get the information that they need to make sense of a situation and to combine and recombine as needed to ensure coherent responses. (Alberts & Hayes, 2003)

So, if we as a nation are to move forward and attempt to fulfill the mission statement of FEMA, we must rethink and redesign the hierarchy of our traditional government organizations. One of the core fundamental strategies and guiding philosophies of FEMA is to support and promote the concept of the whole community, a concept that is a FEMA-driven mindset that declares that government can no longer handle disaster management challenges on its own. Governments at all levels must engage and leverage all available resources to successfully respond to our nation's challenges. The whole community approach includes three key concepts:

1. Understanding and meeting the needs of the entire affected community.
2. Engaging all aspects of the community (public, private and civic).
3. Strengthening the assets, institutions and processes that need to work together in an emergency management situation (FEMA, 2011).

Similar in concept to the whole community, is the megacommunity. Both communities reference the need to problem solve disaster planning and response challenges with a collaborative approach. The megacommunity concept is gaining momentum, especially in today's economic and uncertain climate. The megacommunity is not simply large communities, or whole communities of people, but communities of organizations whose members and leaders have deliberately come together, across national, organizational and sector boundaries for the purpose of achieving goals that cannot be met alone. A megacommunity goes beyond the public/private partnership. It encompasses all three sectors: government, business and the civil sector equally, with no one in particular dominating the environment (Gerencser, Van Lee, Napolitano & Kelly, 2008).

A megacommunity is a public sphere in that organizations and people deliberately join together around a compelling issue of mutual importance, following a set of practices and principles that will make it easier for them to achieve results. Like a business environment, a megacommunity contains organizations that sometimes compete and sometimes collaborate. It is not strictly a business arrangement or a public–private partnership, which are typically alliances focused on a relatively narrow purpose. A megacommunity is a larger ongoing sphere of interest, where governments, corporations, non-governmental organizations and others intersect over time. The participants remain interdependent because their common interest compels them to work together, even though they might not see or describe their mutual problem or situation in the same way (Gerencser, Van Lee & Napolitano, 2006).

A megacommunity approach to homeland security requires that all governments including local, state and federal agencies need to work together when it comes to preventing, mitigating and responding to incidents. Relationships must be developed and fostered between the government, private and civic sectors. Some examples of non-governmental organizations are as follows: utilities, public transportation, the media, hardware stores, big-box stores, medical facilities, contractors, chemical providers, storage facilities, volunteer groups, community emergency response teams, faith based or religious organizations and community shelters.

It is crucial for members within a megacommunity to understand that no one discipline should own the strategy. Each is interconnected to the others so sole responsibility or ownership does not lie with one particular sector. Inevitably, there will be a dynamic tension that adds to the strength of the collaboration. The challenge will

come into play when the leaders need to channel this tension and fuel cross-sector dialogue and cooperation. Although the whole community and the megacommunity are slightly different, they are both focused around very similar ideologies. Each incorporates multiple players from governments, public and civic sectors. Each emphasizes coordination, cooperation and connectivity to accomplish similar goals. The megacommunity, however, discourages hierarchies because they do not allow for the easy exchange of knowledge and do not inspire trust; therefore, no one person should be in charge. Networks within and throughout the megacommunity can and do provide a conduit for sharing, communicating and working together and they allow for crossing defined lines between sectors and illustrate how no single leader makes decisions in a vacuum and no single entity has more or less influence over the others. “No one possesses the title of CEO of the megacommunity” (Gerencser et al., 2008).

Globalization and the Megacommunity

Should the megacommunity stop at national borders and interests, or is it appropriate, acceptable and recommended that the megacommunity may, when necessary, cross clearly delineated boundaries and oceans? Should the megacommunity strive to successfully handle concerns, interests and dilemmas that go well beyond national interests, but clearly affect all?

I believe the megacommunity can and should come in many sizes. It is certainly necessary and recommended that we as a nation, promote national interests and homeland security as a primary concern. However, at the same time, concurrently or simultaneously, Americans are part of a much bigger community, the world community or the ultimate megacommunity. What this means is there are issues or problems that

cannot be rectified or solved by any single country or region of the world. The top ten issues or concerns affecting the world today are as follows:

1. Individual abuse of humans by humans: the verbal, physical, mental/psychological, sexual, gender, financial, spiritual, medical and other abuses.
2. Genocide: the systematic and deliberate killing of large groups based on culture, race, ethnicity, political affiliation, etc.
3. Economic manipulation and false shortages of commodities: manipulating markets and commodities to create shortages that drive prices higher, increase sales and profits, but also lead to deaths of innocent people.
4. Unjust wars: although nations and people have the right to defend themselves, there have been many unjust, immoral and illegal wars over the course of history.
5. Oil and other energy sources: from exploration to drilling to processing and using, oil and other energy sources are the causes of many significant problems worldwide.
6. Overpopulation: the planet can only sustain a limited number of people worldwide.
7. Worldwide immigration: immigration is becoming a global problem with large groups of people moving from one nation into another all over the world, in search of better resources and better living conditions.
8. Consumerism and waste: in a disposable society purposeful and unnecessary waste is depleting the world's natural resources and is irreparable in many ecosystems.

9. Global warming: the alteration and in some cases, destruction of the world because of our customs, practices and industrialization.
10. Terrorism: in whatever form, is a very real and sustained worldwide concern (Inglish, 2009).

The preceding list is very real, relevant and quite frightening. More important is the fact that the problems are so significant and complex they cannot be addressed by any one country or segment of society. These dilemmas will need the full attention, commitment, resources and dedication from leaders everywhere. Many people in society, leaders of governments throughout the world, multinational corporations and NGO's no longer express as much confidence about the future as they once did. When they speak candidly, it often sounds as if they feel trapped in quicksand, unable to move forward easily. The challenges they face can no longer be solved by their government or organizations alone. We must all try to reach beyond the boundaries of our own government, corporation, or NGO because there is no clear pathway to success (Gerencser et al., 2006).

The root cause of the challenges confronting today's leaders is complexity. The growing density of links and connections among people, organizations, and issues throughout the world, has created a system of networks never before seen. Because people communicate so easily across national and organizational boundaries, the conventional managerial decision-making style in that a boss exercises decision-making rights or delegates them to subordinates is no longer adequate. Solutions require multi-organizational systems that are larger and more oriented to multilateral action than conventional cross-sector approaches are. In such systems, the most successful leaders

are not those with the best technical solutions, the most compelling vision, or the most commanding and charismatic style. The winners are those who understand how to intervene and influence others in a larger system that they do not control (Gerencser et al., 2006).

Initiating and Building a Megacommunity

How is a whole community or megacommunity started, initiated or built? The first step is recognizing the need for the existence of a shared approach and then communicating this need to the other components through effective communication and dialogue. This is typically the role of the initiator. I don't believe the initiator needs to come from a particular sector, but someone needs to kick it off. This person should have credibility to be taken seriously, personality to engage and keep others' attention, knowledge of the problem to emphasize the predicament and the need for improvement and the authority to facilitate improvements or make changes. This person needs to be able to sell the concept and offer direction, suggestions or ideas. Even before this idea is sold to the outside world, this leader or representative must ensure that the idea or concept has first been sold and accepted by the members of his/her organization. If the membership doesn't buy into the idea or concept, then the chance of getting it off the ground and succeeding through the involvement of other sectors is slim. Every organization is different and has its own unique culture, but if the informal leaders or those who are respected and perhaps have some influence with others don't understand and accept the idea, again the chance of success is minimal. Another critical step is to ensure transparency. There should be nothing secretive or hidden because it will only foster mistrust, resentment and fuel the conspiracy theories (Gerencser et al., 2008).

I see open and effective dialogue as a crucial piece of the megacommunity puzzle. I believe dialogue will be the glue or mortar that will bind multiple disciplines and agency representatives. A dialogue is obviously more involved and in-depth than a brief discussion. There are many attributes of dialogue that are essential in the building of a megacommunity. There is no emphasis on winning, but rather on learning, collaborating and working together. Judgments need to be suspended, assumptions identified, effective listening emphasized and appropriate questions asked. Dialogue, if conducted appropriately, should slow down the speed at that most groups speak by employing deeper levels of listening and reflection. Dialogue creates an open-ended atmosphere that allows the group to let go of the need for specific results. This will promote the more important and pressing issues to surface, thus forcing analysis. A dialogue also allows individuals to brainstorm in order to come to an agreement on the best ideas and strategies. Collaboration and compromise occur in this phase. Another important benefit of utilizing dialogue is that it can help create a community based culture of cooperation and shared leadership, moving groups from the dependency, competition and exclusion often found in hierarchical cultures to increased collaboration partnership and inclusion (Center for Whole Communities, Summer 2006).

To build a multi-sector or multidisciplinary community united to address one or more pressing global or local challenges, all involved must know their purpose and understand the group is a community of organizations, not individuals, and there is no single leader who controls the system or determines the course of action. The challenges facing the world today are significant: poverty, infectious disease, energy, the environment, global security/homeland security, natural resources and the economy, to

name a few. These challenges are too great and too complex to be addressed by a single organization, sector, or nation alone. In each of these cases, governments, the private sector, and civil society are learning together that the whole can be greater than the sum of the parts. In other words, joint involvement and teamwork by all sectors allows their strengths to be combined and increases the probability of creating and executing workable solutions (Gerencser et al., 2008).

Members in the community must learn to optimize opportunities as opposed to maximizing. This mindset will most likely require a change in individual and cultural thinking and practicing. Many organizations thrive in and promote a Darwinian mindset of survival of the fittest. This will not work in the megacommunity and participants must learn to strive for optimization, recognition or actualization of benefits for the larger system as a whole. The desired result is that the three sectors can create a system in that all participants' long term goals can be met. By pooling capabilities and optimizing the benefits of crisscrossing agendas, instead of maximizing their own individual agendas, the benefits to each can be sustained for a longer period of time (Gerencser et al., 2008).

Whatever the size and reach, all megacommunities typically have two things in common. The first is a connection to globalization. As technology has allowed the instantaneous transfer of money, images, ideas, and people around the world, local communities are neither constrained nor protected by the age-old boundaries of geography and demography. The megacommunity concept represents a movement toward sustainable globalization in that contact with the outside world, instead of draining jobs and making a local system vulnerable, strengthens long-term quality of life, economic vitality, and community health. The second common feature of

megacommunities is recognition of the changing nature of effective leadership.

Fortunately, the skills and techniques of megacommunity leadership appear to be transferable whether the scope of action is a city neighborhood, a regional watershed, a continent, or the globe. One can imagine a truly comprehensive leader's guide to megacommunity engagement emerging from these kinds of initiatives (Gerencser et al., 2006).

Leadership in a Megacommunity

At least four critical elements are universal to effective megacommunity leadership. They are not necessarily new, but their value is still very much appreciated. The key for a group of leaders creating a megacommunity is to build their capabilities in all four domains together.

1. Start with understanding: Why are we here and what problems are we dealing with? Why can't we solve them ourselves and what other organizations are affected by the same issues? What is the appropriate scale of this megacommunity? Have we involved enough of the necessary players and stakeholders for dealing with these issues? How do we all interact and how do their interests and actions affect one another? How do others see my organization and how will their perceptions of my organization affect the way they operate?
2. Exert strong leadership and presence: In business, government, and NGOs, it is important for a chief executive or agency representative to be outspoken and explicit. Each leader has a case to make to others and will have to explain and support the megacommunity's priorities to others within his or her organization.

Leaders of all three sectors must be able to stay the course and make a long unwavering commitment. Leaders must be prepared to view other sectors as potential resources and partners, instead of adversaries, and understand the growing permeability of boundaries between sectors.

3. Design and customize cross-sector engagement: The design of conversations depends on the culture and predisposition of each megacommunity. Specific events might include full-scale forums where all the participants come together for a day or two, full scale exercises or simulations in that people play out the ramifications of difficult decisions, or cascading dialogues during which small groups take on pieces of the puzzle. Agendas need to be both specific in content with every meeting having a specific theme and relatively unstructured in scope, with plenty of informal time in that people can speak openly. Meetings can't be conducted with the standard "packed-in" conference format of presentations and panel discussions because the primary purpose of the meetings is to build relationships and help participants develop the ability to work together. That ability will atrophy if people only hear each other's formal speeches. Conversations should be conducted among all levels of participating organizations, starting with the top leaders but including middle-rank managers and employees, who should be given the time to work on collaborative projects with their counterparts from other groups.

4. Launch experiments, learn from them, and collectively monitor progress: The final capability critical to megacommunity development concerns results. The initiators of a megacommunity need to develop their own model of effective

action. In an effective megacommunity endeavor, there is explicit agreement up front on what participants hope to accomplish, what they expect to see, and how they will judge success. A leader should ask his or her fellow leaders: if we do the right thing, what kinds of indicators might we expect to see? Will we see improvements in air or water quality? In revenues? In levels of community engagement? It is also very helpful, after an action, for participants to reflect together on the results and how they might have done better, and on the complementary ways that they can build one another's skill bases (Gerencser et al., 2006).

Speaking from personal experience, most of my interactions and experiences with leaders have occurred in a quasi-military organization, namely the police department. I have worked for tremendously inspiring and motivating leaders, as well as some complete failures. Some had positional power and some had personal power. I have always felt that those who had an understanding of the big picture or the overall system, whether internally or externally, were the more effective leaders. Leadership must evolve and adapt as the world and the boundaries of organizations change. Networking, sharing and working together vs. against are survival mechanisms that are necessary if certain organizations and their leaders are to remain viable in the future. I don't believe these qualities are inherent or required of all types of organizations, but certainly in a megacommunity environment they are instrumental. When it comes to leadership, there is not one style and a good leader knows when and how to use his powers through skillful interaction with employees or subordinates.

Homeland security is a challenge that can only be managed if there is a true spirit of cooperation, networking and togetherness. No single government, whether federal, state or local can handle the issues alone. This problem requires the participation from NGO's, corporations and civic groups. Each of these elements has traditionally utilized different types and styles of leadership. A megacommunity will require a different approach from leadership. A spirit of inclusiveness is first and probably the most important factor necessary if there is any hope for success. Cross sector or tri-sector engagement will not come easily for many traditional leaders who have always had a win-at-all-costs mindset. This is the most crucial part because many will need to reevaluate their strategies and game plans. After leaders learn to finesse their new community they will need to strive for effective and useful multi-directional communication, not two-way because the communication needs to flow up, down, left, right, internally and externally if it is to be considered useful. Technological knowledge and adaptability will also be required from not only leaders, but from all members of the megacommunity. Without these two qualities, anyone will easily be left behind as the entire community advances in the desired direction. Presence and passion, along with long term planning are required of any leader who wants to be more than a blip on the radar. Some people have more charisma and energy than others. I have always felt that the attitudes and behaviors of leaders will be contagious, whether they are positive or negative, so it is important to project and resonate an aura of commitment, confidence, integrity and a winning mindset.

Success can come in many shapes and sizes, but it is crucial that there be a system in place that can measure, evaluate and judge the results. Without these steps, there will be no mechanism in place to determine if the efforts are working, how well they are

working, where they are not working, where can improvements be made and what is not working, and why. I believe success or failure can and must be measured. It may be through qualitative or quantitative measurement, but participants, financiers, leaders and the community need to know if the efforts are yielding results or not. If a true megacommunity approach is to be utilized, then all parts of this community need to be involved with all phases. When we talk about tri-sector involvement, we need tri-sector engagement. Think of the three legged stool: if one leg is shorter there will be imbalance, if one leg is cut off, the stool will not stand. A true megacommunity requires all sectors to be involved if success is possible (Gerencser et al., 2006).

Conclusion

Today's strategic environment is defined by, among other characteristics, borderless and unconventional threats, global challenges, and long-term trends. In an age of increasing complexity and uncertainty, there are many forces of change, or drivers, reshaping our world. The most influential of these drivers appear to be from five key categories: society, technology, the environment, the economy and politics. Developing a broad and comprehensive understanding of these drivers of change will help to provide a foundation for knowing what the whole or megacommunity will need to do to address emerging challenges and take advantage of new opportunities. While these drivers are not the only potential forces of change, any one of them alone may challenge many existing policies and procedures (United States Department of Homeland Security, 2012).

It is important to understand that while each driver can be a catalyst for change by itself, much of its impact on how we live and work will come from intersections with

other drivers. Foresight and effective predictability tell us that the future will challenge us to be even more inventive in our thinking about the tools and solutions we will need to be successful. For one, we expect that the future operating environment will be characterized by more frequent emergency events, many of that will be simultaneous. Additionally, these events are likely to have more far-reaching impacts, because the world is more complex, networked, and interdependent. Combine this with aging infrastructure, potential supply-chain risks, and technological advancements, the environment becomes even more difficult to navigate. Thus, we will need to employ, and in some cases develop, new and improved models and tools, like the megacommunity, to successfully meet our critical missions.

Critical to the mission will be employing effective leadership from multiple sources and sectors. These leaders should be aligned with their strategies, operations and goals, and strive to build a community with a foundation of trust and collaboration. Partnerships will continue to be critical to the community. They will be essential in an environment of fiscal constraints and changing government roles and responsibilities. Finally, as the megacommunity gains momentum, members, partners and leaders must remember that it should not be a closed community turning its back on new members. Members should challenge themselves to be cooperative, welcoming and open to new members who share a common belief, mission or goal.

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Chapter 11

Introduction to Public Health

Introduction

In this chapter, I will explore events which are directly related to public health concerns, some of which were present before September 11, 2001 and some which have become significant challenges and concerns bringing forth the potential for large scale death and destruction. The following topics will be addressed: legal authorities and directives concerning public health, chemical, biological, radiological, nuclear and explosive events, medical surges, natural disasters, pandemics, food and water safety, medication and pharmaceuticals, technology and law enforcement's role and responsibilities during a public health emergency.

What is public health? Public health is the science of protecting and improving the health of communities through education, promotion of healthy lifestyles and research for the prevention of injuries and diseases. Typically, public health professionals are concerned with protecting the health of entire populations. This domain can be as small as local neighborhoods or as large as an entire country and beyond. The public health system within the United States is critical to our Nation's health and security. Public health preparedness prior to 9/11 focused on *responding* to natural disasters and *preventative* immunization programs. There was minimal funding devoted to public health preparedness efforts, education and outreach to the public and the healthcare community as compared homeland security (Landguth, 2005). After 9/11, many in this

country realized our vulnerabilities as new threats and possibilities evolved and the priorities of homeland security and public health took on a new meaning.

What is a public health emergency? From a national perspective, the formal declaration of a “public health emergency” enables federal agencies to prepare and mobilize the appropriate resources for their response to disasters and emergencies. Numerous hazards have the potential to cause the declaration of a public health emergency, including but not limited to: *chemical emergencies* (ricin, nerve agents), *bioterrorism* (anthrax), *radiation emergencies* (dirty bombs, nuclear blasts), *natural disasters/severe weather* (hurricanes, floods, earthquakes, tsunamis), *infectious disease outbreaks* and *pandemics* (severe acute respiratory syndrome, or “SARS”; 2009 H1N1 “swine” Flu) and *mass casualties* resulting from terrorist attacks and *bombings* (Morrozoff, Brito, Sandberg, & McFadden, 2010).

Legislation and Presidential Directives Which Address Public Health Concerns

After 9/11, numerous acts of legislation, presidential directives and executive orders were published which were specifically concerned about public health. I will address some of the more significant presidential directives.

On January 30, 2004 The White House released *Homeland Security Presidential Directive – 9* (HSPD 9) which was designed to establish a national policy to defend the agriculture and food system against terrorist attacks, major disasters, and other emergencies. There was an emphasis on developing early warning capabilities for the purpose of recognizing threats and vulnerabilities, enhancing the screening of domestic and imported products and enhancing a concerted and organized national response plan

when necessary. This directive also stressed *cooperation* between federal, state, local and private sector partners with planning, identifying threats and protecting crops, animals, food processing plants, factories, etc. from diseases, pathogens, attacks, poisoning, and pests (Homeland Security Presidential Directive – 9, 2004).

On April 28, 2004, President Bush issued *Homeland Security Presidential Directive – 10* (HSPD 10), also known as the Plan for Biodefense for the 21st Century which calls for healthcare to implement surveillance and response capabilities to combat the threat of terrorism. HSPD-10 summarized the vital aspects of our biodefense program and provided detailed instructions on how to continue strengthening the pillars of the biodefense program. These pillars of biodefense were divided into four sections, they are: *threat awareness, prevention & protection, surveillance & detection, and response & recovery*. The results of a comprehensive study of our capabilities provide a blueprint for our future biodefense program that fully integrates the sustained efforts of the national and homeland security, medical, public health, intelligence, diplomatic, and law enforcement communities (Homeland Security Presidential Directive – 10, 2004).

On February 7, 2007 the White House issued *Homeland Security Presidential Directive – 18* (HSPD 18) which was designed to develop medical counter-measures against weapons of mass destruction (WMD). This directive acknowledges that it is unrealistic and unfeasible to create and stockpile counter-measures against every possible threat. As such, specific threats which have the potential to be the most dangerous and disruptive to public health need to be identified and targeted through research, development and appropriate mitigation. The policy established in HSPD - 18 utilizes a two-tiered approach for development and acquisition of medical counter-measures. Tier I

emphasizes *focused development* of agent-specific medical counter-measures and tier II concerns the *development of a flexible capability* for new medical counter-measures without painstaking rigidity (Homeland Security Presidential Directive – 18 , 2007).

On February 12, 2007, President George W. Bush signed *Homeland Security Presidential Directive-19* (HSPD – 19) which addressed the threat of terrorist use of explosives and improvised explosive devices (IED's) in the U.S. This directive acknowledged the significance for potential incidents involving explosives due to our open and free society. This threat will be a major challenge because of the availability of potential IED materials and components, evolving tactics for deployment and the availability of instructions detailing their usage. These challenges are specifically addressed and hopefully mitigated by the directive's focus on a *layered security strategy*.

The layered security strategy is intended to *deter, prevent, and detect* terrorist use of explosives before threats become imminent and ensure that protection and response efforts effectively neutralize or mitigate attacks should they occur. HSPD-19 tasks the Department of Justice to develop a National Strategy for IED incidents and to produce an IED annex to the National Response Plan. HSPD-19 also directs the Department of Homeland Security (DHS) collaboration throughout this process (Homeland Security Presidential Directive - 19, 2007). Trying to detect explosives is a risky strategy since it assumes that someone has already made the bomb or has acquired the precursors for it. Unfortunately, successful attacks will inevitably occur and there must be plans in place for coordinated and adequate responses.

On October 18, 2007, the White House released *Homeland Security Presidential Directive 21* (HSPD-21) which established a national strategy for public health and medical preparedness. This directive was an important and worthwhile acknowledgement which initiated the development in national biodefense policy. It offered a clear strategic direction and specifically addressed national preparedness for catastrophic health events, which are defined as “any natural or manmade incident, including terrorism, that result in a number of ill or injured persons sufficient to overwhelm the capabilities of immediate local and regional emergency response and health care systems.” HSPD-21 specifically stressed the following objectives:

- Establishing a biosurveillance capability that can provide *early warning signs* of a biological attack or naturally occurring disease outbreak and can provide ongoing real-time information regarding an event as it unfolds.
- Initiating and developing *medical counter-measures* specifically designed to stockpile appropriate resources so communities can distribute and dispense counter-measures to their populations within 48 hours after a decision to do so.
- Transforming the national approach to health care in the context of a catastrophic health event and developing a disaster medical capability that can coordinate existing resources within all sectors which satisfy the needs of the entire population.
- Formulating a comprehensive plan for promoting community public health and medical preparedness to assist State and local authorities in building resilient communities (Homeland Security Presidential Directive - 21, 2007).

Chemical, Biological, Radiological, Nuclear and Explosive Preparedness (CBRNE)

A Chemical, Biological, Radiological or Nuclear (CBRN) event is theoretically an intentional release of a chemical, biological, radiological or nuclear substance for a criminal purpose. CBRN materials are materials that can cause harm and pose significant threats to public health. These materials can be used in weapons, disseminated with explosives or can be used as hazardous materials affecting food items and/or human and animal populations.

A CBRNE event certainly has the potential for causing mass casualties, loss of life, long term adverse effects and the creation of hazardous environments. Identifying the type(s) of materials used is difficult and creates different response requirements and limited response times for lifesaving activities and the need for immediate medical treatment of mass casualties. It also carries the need for specialized pharmaceuticals, technical detection equipment and timely, efficient and effective mass decontamination systems. Additionally, there is a need for trained, organized and properly equipped first responders. The scope of this type of event requires a coordinated National Incident Management System (NIMS) and Incident Command System (ICS) from within the entire spectrum of emergency service workers (Middlesex-London Health Unit, 2008).

Chemical Emergencies are categorized by their toxicity and effects. Chemicals may be used for civil, peaceful or hostile purposes. Chemical weapons are classified according to their degree of effect which includes incapacitating and lethal or route of entry (nerve, respiratory or blister agent). Chemical agents are often grouped by their effect to the body, i.e., *bio-toxins* (ricin), *vesicants* (mustard gas/blister agents), *blood*

(cyanide), *caustics or acids* (hydrofluoric acid), *lung irritants* (ammonia, chlorine), *incapacitating* (fentanyl), *anticoagulants* (super warfarin), *metals* (mercury), *nerve agents* (sarin), *organic solvents* (benzene), *riot control agents/tear gas* (chloroacetophenone (CN) and *vomiting agents* (adamsite) (Middlesex-London Health Unit, 2008).

Biological Emergencies are based on the action of infecting people with disease causing microorganisms and other reproducing genetic materials, viruses, infectious nucleic acids and proteins. They typically have the ability to multiply in the host over time, and are classified according to their taxonomy as fungi, bacteria or viruses. Biological weapons can also be characterized by features such as infectivity, virulence, lethality, incubation period, contiguousness and the mechanism of transmission and stability. Some of the most common characteristics of biological or bioterrorist agents are: mainly inhaled, but may be ingested or absorbed, particles typically remain suspended in air for hours, may be released silently with little or no immediate effects, person-to-person spread may occur from some agents, may be lethal or incapacitating and vaccines or antitoxins may exist for some agents (Middlesex-London Health Unit, 2008).

Biological agents are broken into three (3) separate categories and identified as follows:

Category A - High-priority agents which include organisms that pose a risk to national security because they can be easily disseminated or transmitted from person to person, result in high mortality rates and have the potential for major public health impact, might cause public panic and social disruption and require special action for public health

preparedness. Some common examples are: anthrax, plague, botulism, smallpox, viral hemorrhagic fevers and tularemia (Middlesex-London Health Unit, 2008).

Category B - Second highest priority agents which include those that are moderately easy to disseminate, result in moderate morbidity rates and low mortality rates and require specific enhancements for diagnostic and disease surveillance. Some common examples are: burcellosis, epsilon toxin of clostridium, salmonella species, escherichia coli, glanders, Q fever, ricin toxin from ricinus communis (castor beans), staphylococcal enterotoxin B and water safety threats (vibrio cholerae, cryptosporidium parvum) (Middlesex-London Health Unit, 2008).

Category C – The third highest priority agents include emerging pathogens that could be engineered for mass dissemination in the future because of availability, ease of production and dissemination and potential for high morbidity and mortality rates and major health impact. Some common examples of emerging infectious diseases are: nipah virus, hantavirus, tick-borne hemorrhagic fever viruses, tick-borne encephalitis viruses, yellow fever and tuberculosis (Middlesex-London Health Unit, 2008).

Radiation Emergencies by their very design are dynamic and varied in nature. They could involve the detonation of a dirty bomb, a transportation incident and sabotage of a nuclear facility or other storage location involving radioactive materials. Hazards could include internal or external contamination or injury due to blast trauma. Both ionizing and non-ionizing radiation can be harmful to organisms and can result in changes to the natural environment. Typically, ionizing radiation is far more harmful to living organisms per unit of energy deposited than non-ionizing radiation, since the ions

that are produced by ionizing radiation, even at low radiation powers, have the potential to cause DNA damage. Man-made sources of radioactive materials are used in medicine, in research, and in industry including nuclear power and industrial radiography. There are four types of ionizing radiation, they are:

- Alpha particles are heavy and highly charged. They cannot penetrate human skin and are hazardous only when inhaled, ingested, injected or absorbed through a wound.
- Beta particles interact less, travel further and penetrate more causing skin injury during prolonged exposure. They are hazardous when inhaled, ingested, injected or absorbed.
- Gamma rays and X-rays do not interact with atoms and will travel many meters in air and penetrate the human body causing organ damage, depending on the dose received.
- Neutron radiation is uncharged and highly damaging. It travels far while penetrating everything except thick layers of concrete and water. They are only produced in the early stages of a nuclear detonation or accident.

Nuclear Emergencies are an event or series of events, whether deliberate or accidental and lead to the release or potential release, into the environment of radioactive materials in sufficient quantity to warrant consideration of proactive actions. Radiological incidents may not be immediately recognized as such until the radioactive material is detected or the health effects of radiation exposure are manifested in the population and identified by the public health community. An act of nuclear or radiological terrorism

directed against a large population center within the United States, can have major consequences that can overwhelm the capabilities of many local, tribal, and/or state governments to respond, and may seriously challenge existing federal response capabilities. A nuclear detonation would cause a level of destruction and risk to health that would be a mega-disaster of national significance. An act or threat of nuclear or radiological terrorism will trigger concurrent activation of the Terrorism Law Enforcement and Investigation Annex (Nuclear/Radiological Incident Annex, 2008).

An incident involving the potential release of radioactivity may require implementation of protective measures, such as evacuation or shelter-in-place. State, tribal, and local governments have primary responsibility for implementing protective measures for the public. An expeditious federal response is required to mitigate the consequences of a nuclear/radiological incident. The Federal Government response to nuclear or radiological terrorist threats/incidents includes, but is not limited to, the following assumptions:

- The explosion of an improvised nuclear device or other weapon of mass destruction would be immediately understood as an event of national importance requiring local, state, and federal planners to work together. A response which has any chance of being successful must stress corroboration and cooperation between all disciplines and incorporate a nationalized and integrated Federal Government response.

- In the case of a nuclear terrorist attack, the plume may be dispersed over a large area over time, requiring response operations to be conducted over a multijurisdictional and/or multistate region.
- A terrorist attack may involve multiple incidents, and each location may require an incident response and a crime scene investigation simultaneously (Nuclear/Radiological Incident Annex, 2008).

Explosive Emergencies derive from anything that is made, manufactured or used to produce an explosion, detonation or pyrotechnic effect, and include anything designated to be an explosive. It typically does not include gases, organic peroxides or anything not specifically labeled to be an explosive by the regulations. However, destructive chemical reactions can produce sudden uncontrollable releases of energy, high temperatures and expanding high pressure gases (Middlesex-London Health Unit, 2008).

Terrorists have clearly demonstrated both the intent and capability to employ improvised explosive devices (IED's) throughout the world because they are such an effective tactic. Explosives have been used by the Irish Republican Army, insurgents in Iraq and Afghanistan, drug cartels in Colombia, Muslim extremists and many other terrorist and criminal organizations. Terrorist training manuals describe in great detail the process by which operatives can convert common chemicals into explosives and they describe how the average person can manufacture explosives with a limited knowledge of chemistry. It will take a joint effort at all levels of government to mitigate this threat to our homeland.

Medical Surges and Altered Standards of Care

Today, in the United States, hospitals and emergency health care systems are facing tremendous challenges. The constant threat of terrorism exists at a time when hospitals and emergency medical providers are challenged to manage the current volume of patients. As a society we must prepare for all sorts of incidents, whether natural, man-made, accidental or otherwise, but inevitably there will come a time when an incident or event will be too large, too complex or too widespread to effectively be handled with an acceptable level of *normal* or traditional care. There may come a time when healthcare, government or other essential services cannot provide a basic level of acceptable service, whatever that service may be. To mitigate these effects, I believe there must be a realistic, workable and well thought out plan that is compatible, applicable, flexible and tested.

In the event of a large event or incident which challenges the delivery of healthcare, the federal resources will eventually arrive to deliver funding, personnel, equipment, plans, structure and resources, but this will take time. During the interim, local first responders will be tasked with responding and holding things together. There will be significant challenges on so many levels. First responders (Police, fire & EMS), emergency managers, government, non-profits, utilities, partners, corporations, etc., will all be affected, much like the players in the megacommunity.

Challenges within the medical community will be realized during a large scale surge event. There are limits on the number of trained responders, doctors, nurses, technicians, ambulances, equipment and other resources. I think the most realistic solutions revolve around prior preparation and training. Mutual aid plans and

memorandums of understanding (MOU's) need to be established long before the incidents actually occur. Responders need realistic training with equipment and must participate in table top and full scale exercises which mimic a surge and place extreme demands on the entire medical community, including administration, personnel and all peripheral services.

Hospital emergency departments are already overburdened. For many reasons, the local emergency room (ER) has become the primary care physicians and clinics for many in society. I have witnessed too many times when people call 911 for an ambulance when there is absolutely no need. Some common examples are women having contractions, a fever, headache, stomach ache, etc. It is abusive and it creates a burden on the entire healthcare community. Introduce an extreme incident which causes a surge and the ER is easily backed up. Again, training and prior preparation are key to survival, but this must include everyone in the hospital network. Doctors, nurses, technicians, administration, housekeeping, maintenance, inventory, legal, security, etc., must all participate in realistic drills and mock exercises. Agreements must be established with suppliers, vendors, and anyone else that may be depended upon to assist the hospital as it carries out its mission of caring for sick and injured.

Certain drugs and pharmaceuticals will be in high demand during specific surge incidents. The types required will vary depending on the cause whether chemical, biological, radiological, nuclear or explosive. The Center for Disease (CDC) indicates the goal should be to treat 300 patients within 72 hours (Hunt, 2010). I believe there should be enough of the various drugs available in the inventory to treat at least 1,000 patients

within the first 72 hours. These drugs should be secured and inventoried in such a way that they are rotated and kept current and fresh. Additionally, there should be agreements with suppliers and vendors for the quick delivery during a surge operation.

Leadership will be tested and there must be established clear cut and delineated roles and responsibilities. In fact, if a mass casualty event were to occur it is vital that organization and structure are enforced in a hospital. A leader must be identified in order to ensure that operations run effectively to treat the mass influx of patients. Without this, medical services may deteriorate and adversely affect the number of casualties.

Hospitals, emergency medical providers, first responders and all other peripheral, yet critical, medical professionals and components of the healthcare system must participate in scheduled drills. The drills are conducted to identify issues or problems within the hospital's system as well as identify solutions on how to create and foster a more improved and efficient environment.

One of the most difficult challenges during a mass casualty event is the shifting of priorities and the altering of standard healthcare procedures and protocols. There is not a universal method or a simple solution to the dilemma. The problem is compounded with the ethical, medical, societal and legal issues that surface within the medical community. The CDC report on altered healthcare recommends the use of a triage system when deciding on treatment during a medical surge or mass casualty event (Hunt, 2010).

Natural Disasters

The short and long-term impacts from natural disasters are felt in developed and undeveloped countries throughout the world. Death, injuries, disabilities, illness, property damage, loss of critical infrastructure and interruption of essential services, i.e. medical services, telecommunications, electricity, water supply, sewage systems, food, transportation etc. are likely to be altered, terminated or destroyed. Earthquakes, volcanoes, tsunamis, floods, hurricanes and typhoons may be predicted and tracked allowing for preparation or they may be spontaneous and sudden forcing people to react without prior notice and preparedness. Interestingly, most natural disasters are not random. Earthquakes and volcanic eruptions occur along the fault lines between two tectonic plates on land or the ocean floor. The areas subject to seasonal floods, droughts, or tropical storms (cyclones, hurricanes or typhoons) are well known. Local populations, however, may not recognize the risks in these areas or in some cases choose to ignore them (Disease Control Priorities Project, 2007).

Hurricane Katrina was the most destructive natural disaster in U.S. history affecting nearly 93,000 square miles across 138 parishes and counties. Katrina's winds created a storm surge that crested up to twenty-seven feet high destroying homes, businesses, and property on the coast and for many miles inland. In excess of 300,000 homes were destroyed and Hurricane Katrina is America's first disaster, whether natural or man-made, to approach the \$100 billion damage mark. An estimated 1,330 people were killed and an alarming 2,096 were missing. Over 770,000 people were displaced and uprooted from their homes. After Katrina, President Bush ordered a full investigation into what went wrong and insisted that the lessons learned be implemented into practice

to reduce the chances of a reoccurrence. The investigation revealed seventeen specific lessons learned and critical challenges, they are:

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| 1. National Preparedness | 2. Integrated Use of Military Capabilities |
| 3. Communications | 4. Logistics and Evacuations |
| 5. Search and Rescue | 6. Public Safety and Security |
| 7. Public Health and Medical Support | 8. Human Services |
| 9. Mass Care and Housing | 10. Public Communications |
| 11. Critical Infrastructure and Impact Assessment | 12. Environmental and Debris Removal |
| 13. Foreign Assistance | 14. Non-Governmental Aid |
| 15. Training, Exercises, and Lessons Learned | 16. Homeland Security Professional |
| 17. Citizen and Community Preparedness | Development and Education |
- (The Federal Response to Hurricane Katrina: Lessons Learned, 2006)

It is imperative that all levels of government, society, non-governmental organizations, faith-based organizations, the private sector and the media learn from the mistakes of the past and strive to create partnerships while corroborating to become prepared to protect against, respond to, and recover from a wide range of catastrophic possibilities that are as varied as the imagination of a terrorist and as random as the weather.

Pandemics

An influenza (flu) pandemic is defined as a global outbreak that occurs when a new flu virus surfaces for which humans have little or no immunity and for which there is no vaccine. Officials estimate a pandemic flu may circle the globe in several waves, each of which could last for six to eight weeks (Luna, Brito, & Sanberg, 2007). Such an incident could affect millions of people worldwide, have a significant impact on social and economic structures, disrupt basic services, and greatly strain governmental and

medical resources. Many researchers believe it is only a matter of time until the next flu pandemic occurs, yet no one can predict the timing or severity of the next pandemic flu.

Is a pandemic flu really possible in today's age of medical advances and technology? Many may not realize that flu pandemics are not simply a theoretical threat. As recently as 1968–69, the “Hong Kong flu” caused 34,000 deaths in the United States. The worst flu pandemic in recent history was the “Spanish flu” of 1918–19, which killed as many as 50 million people worldwide, and 675,000 in the United States. Advance planning is critically important because it would almost certainly save countless lives. When a pandemic hits, and experts agree it *will* happen, we just don't know when, the overall goal of the entire nation will be to minimize its impact and *delay* its spread for as long as possible. The medical community will be working to produce a vaccine and other drugs, but it will take time. The more we can slow the spread of a pandemic, the fewer people will die while scientists are still working to develop the vaccine. We cannot afford to “wait and see,” and start thinking about a pandemic after it happens. We need to begin working on plans and preparations now (Luna, Brito, & Sanberg, 2007).

Today, law enforcement officials are challenged with balancing the daily responsibilities of maintaining public order and safety with the need for emergency preparedness, often with fewer resources than they have had in the past. As law enforcement executives spend more time thinking about shrinking budgets, increases in violent crime, the threat of terrorism, and other contemporary issues, the threat of an influenza pandemic may not be high on the list of planning priorities. However, a pandemic flu has the potential to cause more death, illness, and social and economic

disruption than most other threats faced by law enforcement (Luna, Brito, & Sanberg, 2007).

Because of this growing concern, countries around the world have taken a renewed interest in planning their response to a flu pandemic. In November 2005, the White House released National Strategy for Pandemic Influenza, and in May 2006, it released the Implementation Plan for the National Strategy for Pandemic Influenza. In February 2007, the U.S. Department of Health and Human Services and CDC released an interim pre-pandemic planning guidance document that discusses measures other than vaccination and drug treatment that might be useful for communities to implement during an influenza pandemic. Through these documents, federal officials outlined their role in planning for and responding to a pandemic flu. They also tasked state and local government officials, including law enforcement with developing their own plans that will prepare them to respond effectively in the event of a pandemic flu. Ultimately, if a pandemic influenza outbreak occurs in the U.S., it is essential that governmental entities at all levels continue to provide essential public safety services and maintain public order. Equally as critical is for all stakeholders in state and local law enforcement and public safety agencies, whose primary responsibility this is, be fully prepared to support public health efforts and to address the additional challenges they may face during such an outbreak (Luna, Brito, & Sanberg, 2007).

Food and Water Safety

For many years, the quality and safety of the U.S. food supply has been a significant public health concern. As a result the industry is governed by a highly

complex system stemming from 30 principal laws related to food safety that are administered by 15 agencies. The federal system is supplemented by the states, which have their own statutes, regulations, and agencies for regulating and inspecting the safety and quality of food products. The United States Department of Agriculture (USDA) and the Food and Drug Administration (FDA) have the biggest burden for ensuring the safety of the Nation's food supply. The USDA is responsible for the safety of meat, poultry, and some egg products. The FDA regulates all other foods, including whole (or shell) eggs, seafood, milk, grain products, and fruits and vegetables (Government Accounting Office, 2005).

Finally, after 9/11, the federal agencies began to address the potential for deliberate contamination of agriculture and food products and by executive order, President George Bush added the food industry to the list of critical infrastructure sectors that need protection from possible terrorist attacks. From this order, the Homeland Security Act of 2002 established the Department of Homeland Security which was to provide overall coordination on how to protect the U.S. food supply from deliberate contamination. The Public Health Security and Bioterrorism Preparedness and Response Act of 2002 also included numerous provisions to strengthen and enhance food safety and security (Government Accounting Office, 2005).

In 2004, HSPD-9 specifically addressed the dangers of intentional attacks and their possible effects to the health of America's economy and its people. It assigned federal agencies, namely DHS, FDA, USDA, HHS and the EPA, etc., to develop early warning systems, mitigation and screening procedures. It also called for the creation of

laboratories and systems for monitoring and tracking foods, animals, plants and water (Homeland Security Presidential Directive – 9, 2004).

The U.S. is not the only country struggling to protect the food supply. According to a report from the Government Accounting Office specifically conducted to examine options for overseeing the U.S. food supply, Canada, Denmark, Ireland, Germany, the Netherlands, New Zealand, and the United Kingdom all faced similar fragmentation and division of responsibilities in their systems. These seven countries have recently modified, consolidated and streamlined their entire protocols and established a single agency to lead food safety management or enforcement of food safety legislation (Government Accounting Office, 2005). These changes highlight the duplication, redundancy and lack of accountability existing today in the U.S. with the fifteen (15) federal agencies tasked with overseeing and monitoring the protection of this sector. I believe the U.S. could learn from these other countries and strive for better clarity of responsibilities, more timely and consistent inspection and enforcement, better efficiency, oversight, accountability and less duplication or overlap of inspections by multiple agencies tasked with similar objectives and bogged down by redundancy and bureaucracy.

Medication, Pharmaceutical and Drug Shortages

From a public health perspective, there exists a significant and justified concern regarding shortages of drugs whether real or fabricated by unscrupulous manufacturers or vendors. The obvious primary concern is for people who are dependent or require certain medications and may not have access to them. The secondary concern is basic “finance

101”, supply and demand. If supply is reduced, the demand will increase and along with demand, the price will increase. This is the area where artificial or manufacturer induced inventory reductions may hurt the consumer, but help the bottom line for suppliers.

Some of the most prevalent factors affecting insufficient supplies are: raw material supplies, manufacturing problems, unstable supply chains, natural disasters or “just in time” inventory systems designed to cut costs. Some of the most common effects from shortages are: delays in patient care or ethical dilemmas about who to treat, inadequate treatment, errors in treatment due to the use of unfamiliar, yet available drugs, increased costs to patients and health insurers and patients purchasing drugs from the “gray market”. The FDA is tasked with responding and alleviating shortages through monitoring supplies, enhancing inventories and resolving the underlying causes. The largest hurdle for the FDA is their lack of authority with requiring certain actions from manufacturers. They can offer assistance and provide guidance, but cannot force themselves into the manufacturing and distribution process (Government Accounting Office, 2011).

A Government Accounting Office study in 2011 regarding the H1N1 Influenza was initiated to address production delays for a vaccine, production technology and the process for initiating a study for specific vaccines. HHS is the federal agency responsible for leading and coordinating preparedness and medical response activities to public health emergencies. HHS does not conduct research and experimentation, themselves but, they are the primary department funding the research and development of influenza vaccines by entering into contracts with manufacturers and the private sector for the development of vaccines. Some have argued that the high costs associated with the

development of new seasonal and constantly changing vaccines, low demand and overly stringent regulatory constraints have prevented some manufacturers and labs from aggressively seeking solutions.

In an effort to minimize the occurrence and potential effects from drug shortages, the federal government should monitor the raw material suppliers and drug manufacturer's inventories, oversee the production process and be prepared to intervene with pre-packaged solutions when issues arise. Regarding the slow development of vaccines, I believe the FDA can offer incentives, whether monetary, contracts or otherwise to companies who conduct research and ultimately develop effective and safe vaccines. Additionally, the FDA, like most municipal and governmental agencies, needs to streamline the process of issuing contracts to legitimate organizations and reduce the overwhelming bureaucracy which ultimately hurts the consumer.

Innovation and Technology

The development and utilization of adequate and accessible resources, vaccines and medical counter-measures (MCM's) rely on the innovative and creative use of technology and science. Without new vaccines, protocols, procedures, technologies and MCM's, the overall well-being, preparedness and resiliency of the U.S. regarding public health issues and concerns, would be negatively impacted and drastically reduced. The National Strategy for Pandemic Influenza, and the Biomedical Advanced Research and Development Authority (BARDA) have emerged to support the development and acquisition of MCM's. We as a country need research and development which supports MCM's, including advanced development, stockpile acquisition, manufacturing surge

capacity, infrastructure building, and product innovation. These MCM's include vaccines, biological and small molecule therapeutics, antiviral drugs and antibiotics, diagnostics, respiratory devices, and other medical supplies. The makeup and design of the various skills and expertise of employees working for BARDA appears to be broad enough to "cover all bases" and address the needs. BARDA's staff includes experts in the fields of physical, chemical and biological sciences, engineering, clinical medicine, public health, product development, regulatory affairs, and program management (Biomedical Advanced Research and Development Authority, 2011).

Law Enforcement's Role During Public Health Emergencies

Public health emergencies pose specific and unique challenges for law enforcement, whether the threat is manmade (e.g., the anthrax terrorist attacks) or naturally occurring (e.g., flu pandemics). The specific strategies employed by police departments will vary depending on the cause and level of the threat, as will the potential risk to the responding officers. In a public health emergency, law enforcement will need to quickly evaluate the situation and coordinate its response with public health and medical officials. Depending on the threat, law enforcement's role may include enforcing public health orders (e.g., quarantines or travel restrictions), securing perimeters of contaminated areas, securing health care facilities, investigating scenes of suspected biological terrorism, controlling crowds and protecting national stockpiles of vaccines or other medicines (Richards, Rathbun, Brito, & Luna, 2006).

In a large-scale incident, such as a pandemic, law enforcement resources will quickly become overwhelmed, and law enforcement managers will have to balance their

resources and efforts between these new responsibilities and everyday calls for service. All of these activities may have to be accomplished with a greatly diminished workforce. Officers and their families may become infected and ill and some personnel may decide that the risk of continuing to report to work is just too great. A department's ability to respond effectively to any emergency, public health or otherwise, greatly depends on its preparedness, and this is directly linked to the law enforcement agency's planning and its partnerships.

Most law enforcement agencies nationwide use an *all-hazards* approach to emergency preparation because the benefit of developing an all-hazards plan is that it can be activated regardless of whether the public health emergency is intentional or naturally occurring. Also, an all-hazards plan provides a basis for better protection of officers from the risks that may arise in routine policing. By incorporating an all-hazards approach into routine activities, and developing the needed partnerships with key stakeholders now, a department can move seamlessly into higher states of readiness as risks change, rather than having to shift into an emergency mode that has different operating parameters than routine police work (Richards, Rathbun, Brito, & Luna, 2006).

Before and during any emergency operation, law enforcement agencies should strive to prepare the department, protect the officers and protect the community.

Preparing the Department

Prior preparation is critical and law enforcement should have in place, *before* a major outbreak of illness or chemical contamination occurs, is an all-hazards control plan, which encompasses every aspect of what must be done as soon as an event that

threatens major loss of life looms on the horizon. Both the National Incident Management System (NIMS) and the National Response Plan (NRP) have had a significant impact on how state and local entities are updating their emergency response plans. Equally important to planning is knowledge about the plan, so officers must receive training prior to an incident and become familiar with their responsibilities and roles during a critical incident.

In addition to prior preparation, departments need to consider *continuity of operations*, how to protect the department and ensure operational continuity with a potentially significantly reduced workforce. In planning for staff reductions, departments will have to reconsider the types of calls that usually require dispatching officers, identifying which responsibilities and functions receive priority, and how lower priority tasks will be handled. For example, departments may consider taking reports of property destruction or other property crimes over the phone or through the Internet or employees in quarantine may be able to work from home, taking incident reports over the telephone. Personnel performing functions that may be deemed nonessential during a public health incident (e.g., training and recruiting) may have to perform primary response tasks. Mutual aid agreements that provide for agency interoperability and increase staff understanding of specific challenges or hazards present in the workplace should be established in advance (Richards, Rathbun, Brito, & Luna, 2006).

Protecting the Officers

To prepare a law enforcement agency for any type of public health emergency, training and education about existing plans and expectations need to be a regular part of

the department's activities. Officers need basic education about infectious disease biology, modes of transmission, and routes of entry of communicable diseases.

Departments should also include during in-service training, a course in preventing on-the-job exposure to infectious diseases through basic precautionary measures and the proper use of personal protective equipment.

Protecting the Community

For many years, community-oriented policing and problem-solving initiatives have taken root throughout the country. The emphasis has been on building relationships which are now widely recognized as an essential component of law enforcement. Where these relationships already exist, it will be easy to work with community residents before a communicable disease outbreak. Law enforcement and community members can meet for open dialogue about plans, concerns, and strategies. Public health officials should consider teaming with law enforcement to address these groups. If these relationships do not already exist, departments must build bridges with their community now, because such bridges will greatly enhance all department efforts that involve the community and will ensure that the relationships necessary to support an effective and coordinated response to a public health emergency are in place (Richards, Rathbun, Brito, & Luna, 2006).

Conclusion

The challenges today for all first responders, especially law enforcement, are very different from those confronted years ago. As the challenges have changed, so too must the approaches taken to address and confront them. Before 9/11, law enforcement

agencies had different objectives and priorities. Their emphasis was mostly centered on preventing crime and responding to local emergencies. While public health emergencies are often not a police agency's primary concern, events over the past decade, such as: the Anthrax attacks of 2001, the severe acute respiratory syndrome (SARS) outbreak of 2003, the Indian Ocean earthquake and tsunami of 2004, Hurricane Katrina in 2005, the ongoing threat of an H5N1 Avian Flu, the recent H1N1 Swine Flu pandemic and the 2011 Japanese earthquake, tsunami and nuclear reactor disaster in Fukushima, to name a few, have both individually and collectively demonstrated the importance of ensuring public health issues are an emergency planning priority for all police departments.

Today, there is a need for partnerships, collaboration and networking among the multiple and varied types of responders. Planning efforts must include local, state, tribal, and federal governments, public health professionals and the private sector. Municipalities, first responders and all involved partners must accept and conform to the use of the Incident Command System, the National Incident Management System and unified command to their fullest extent. Through combining efforts, resources, training and experiences, first responders will benefit collectively. We owe it to ourselves, and more importantly to the communities we serve, to develop comprehensive response protocols which are realistic, well defined, adequate, practiced and appropriately financed.

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Conclusion

The 2006 National Strategy for Combating Terrorism states, “A government has no higher obligation than to protect the lives and livelihoods of its citizens.” I believe *homeland security* begins with *hometown security* which is required at all levels of society. Fighting terrorism means fighting asymmetrical and unidentified homegrown or international enemies. Hometown security begins with the thousands of local police departments throughout the United States. Who is better situated to notice, question and react when something or someone appears suspicious or out of place, than the local law enforcement officer? Fighting terrorism does not end here, this is merely the beginning. Together as a Nation, we need to create a culture of preparedness which is built upon unification, cooperation, corroboration and collaboration between all aspects of society. Everyone needs to share a sense of accountability, responsibility and inclusion. We need to build the megacommunity consisting of civilians, governments, law enforcement, first responders, public-private partnerships, non-government organization, non-profits, charitable and faith based organizations. In essence, we need to include all three sectors; government, business and the civic sectors.

As a Nation, we need to shift our priorities regarding terrorism away from a simple response to an emphasis on prevention, preparation, adaptability and flexibility. During this process, we need to be cognizant of individual and human rights, yet mindful of the creative, imaginative and insidious enemies we are battling. Our founding fathers quickly learned about the unity of effort and the multiplication of force. We must strive to learn from our mistakes and from incidents which occur throughout the world as we continue in this battle for self-preservation, we call homeland security.