

# Organizational Effectiveness Review

Indiana Department of Homeland Security

**Prepared for:**

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## About Witt O'Brien's

Witt O'Brien's is a global leader in preparedness, crisis management, and disaster response and recovery with the depth of experience and capability to provide services across the crisis and disaster life cycle. Witt O'Brien's is uniquely positioned to bring together policy architects and technical experts in public safety with leaders from all levels of government and private sector partners to forge solutions to emergency management challenges.

Witt O'Brien's brings a new approach to the crisis and disaster industry by combining extensive real world experience with innovative planning, training, exercise, and technology solutions focused on controlling the outcome.

## Disclosure

This report was produced at the request of the Executive Director of the Indiana Department of Homeland Security (IDHS). Witt O'Brien's and its predecessor company, Witt Associates, have performed services under contract with IDHS in the past, including providing assistance with Federal Emergency Management Agency (FEMA) Public Assistance and related programs; no one involved in providing those services was involved in this review.

In addition, the company conducted an independent assessment of the Indiana State Fair Structure Collapse in 2011-2012, which was funded through IDHS; the assessment included a review of relevant building and fire code law and practice at IDHS as well as other IDHS interaction with the State Fair. Subsequent to the assessment, the Indiana State Fair Commission retained the company to assist in the implementation of recommendations including working with IDHS on the development of a comprehensive emergency management plan; a portion of that engagement was also funded by IDHS.

# **Indiana Department of Homeland Security Organizational Effectiveness Review**

July 2013

## Acknowledgements

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## Table of Contents

<b>Executive Summary .....</b>	<b>1</b>
<b>1.0 Purpose and Scope .....</b>	<b>7</b>
1.1 Purpose.....	7
1.2 Scope .....	7
1.3 Methodology.....	7
<b>2.0 Overview of IDHS.....</b>	<b>9</b>
<b>3.0 Findings and Recommendations.....</b>	<b>12</b>
3.1 IDHS Strategic Direction.....	12
3.2 IDHS within Indiana State Government.....	14
3.3 Effectiveness in Addressing IDHS Mission .....	17
3.3.1 Collaboration and Coordination.....	19
3.3.2 Planning.....	21
3.3.3 Preparedness and Training.....	22
3.3.4 Protection and Mitigation .....	24
3.3.5 Response and Recovery .....	24
3.3.6 Fire and Building Safety.....	26
3.3.7 Assistance to Local Government Emergency Management and Homeland Security .....	27
3.4 IDHS Internal Structure .....	35
3.4.1 Planning and Assessment Division .....	37
3.4.2 Preparedness and Training Division.....	39
3.4.3 Response and Recovery Division.....	40
3.4.4 Field Services Division .....	41
3.4.5 Fire and Building Safety Division .....	45
3.5 Budget and Finance .....	47
3.5.1 Funding of IDHS .....	47
3.5.2 Budget Accountability .....	51

3.5.3	Grants Management Financial Processes.....	52
<b>4.0</b>	<b>Conclusion.....</b>	<b>55</b>
4.1	An Approach to Recommendations.....	55
4.1.1	Immediate Actions.....	55
4.1.2	Near-Term Actions ( <i>3-6 months</i> ).....	55
4.1.3	Intermediate Steps (6-12 months).....	55
4.1.4	Longer-Term Actions (12 months and beyond).....	56
4.2	Issues for Future Consideration.....	56
4.3	Use of this Report.....	57
4.4	Tracking and Reporting of Implementation Progress.....	57
<b>Appendices</b>	<b>.....</b>	<b>58</b>
Appendix A.	Executive Order 13-09.....	59
Appendix B.	Interviews Conducted.....	66
Appendix C.	Stakeholder Survey Instrument.....	67
Appendix D.	IDHS Organizational Analysis Survey Results.....	74
Appendix E.	State Public Safety Departments including Homeland Security and/or Emergency Management.....	121
Appendix F.	Intrastate Districts/Areas of State Homeland Security and Emergency Management Agencies.....	125
Appendix G.	Fee-based Funding Source Examples.....	127

## Executive Summary

These are challenging days for leaders of state homeland security and emergency management departments. Federal homeland security grant funding is declining while the impacts of natural disaster and human-caused threats, including terrorism, increase. Many states, including Indiana, are reassessing their approach to homeland security and emergency management.

In some states, governors and legislatures are addressing these challenges through consolidation of similar functions such as state police, National Guard, homeland security, emergency management, and others into a larger public safety department. A major objective of consolidation is to achieve financial efficiencies primarily by combining duplicative administrative functions. In some cases, another motivation may be improving coordination of response resources.

At any level of government – local, state, or federal –the most important function of homeland security and emergency management is coordination of diverse resources to prevent, prepare for, and respond to emergencies. In recognition of this, some states have chosen to either exclude homeland security and emergency management from the new public safety department or ensure that they retain direct reporting relationship to the governor. Louisiana has a Department of Public Safety and Corrections that includes state police, highway safety, office of motor vehicles, state fire marshal, and gaming control. However, the Governor’s Office of Homeland Security and Emergency Preparedness reports directly to the Governor.

The scope of this assessment is primarily focused on the efficiency and effectiveness of operations within the Indiana Department of Homeland Security (IDHS). As part of this review, leadership of the State Police, National Guard, and Department of Health were interviewed; these interviews focused on their role as stakeholders of IDHS. The scope did not include identification of potential benefits from consolidation of agencies; however, such an assessment is warranted and is recommended in this report.

Upon taking office in January 2013, Governor Mike Pence appointed John Hill as the Executive Director of IDHS. The Governor also issued Executive Order 13-09<sup>1</sup>, tasking state government agencies to name emergency management coordinators for their agencies and coordinate with IDHS and continuing the state’s Emergency Advisory Group and State Hazard Mitigation Council (See Appendix A).

Executive Director Hill initiated a review of the performance of the department and how it is viewed and perceived by its stakeholders and the general public. He initiated a listening tour with stakeholders throughout the state. He also engaged Witt O’Brien’s, a public safety consulting firm, to conduct an independent assessment of the department’s

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<sup>1</sup> Indiana Executive Order 13-09.

effectiveness and efficiency, including a survey of stakeholders. This report summarizes the findings and recommendations from that assessment.

IDHS was created by statute in 2005, combining the resources and responsibilities of multiple agencies, including the State Fire Marshal. IDHS has responsibility to coordinate with other state agencies to develop and maintain state-level disaster prevention, protection, mitigation, preparedness, response, and recovery capabilities. It also must work with local governments to assist them in building local capabilities across those same mission areas. Examples of specific functions for which IDHS is responsible include building inspections required by state code; fire safety; training of responders including fire, emergency medical services (EMS), and hazardous materials (hazmat) response; development and maintenance of multiple types of state disaster plans; administration of grant funds; and coordination of state response support to local jurisdictions during emergencies.

This review addresses IDHS' divisions, organization, programs, and processes, and the department's work in carrying out responsibilities under Indiana state law. Because of the nature of an organizational review, this review represents a snapshot in time based on information collected and reviewed over a three-month period from late March through late June 2013. It is noted that some background information and findings may be based on interview and survey responses influenced by former practice or policy. This review addresses organizational effectiveness and efficiency and does not address or reflect individual performance of staff.

The report is intended for use by IDHS and Indiana state government officials in improving the effectiveness and efficiency of services provided by IDHS. The review was conducted using structured interviews (40), document review, and a stakeholder survey (for additional information, see Section 1.3 Methodology).

The stakeholder survey indicated general stakeholder satisfaction with the efficiency and effectiveness of IDHS. Analysis of survey responses and narrative comments also suggest areas for improvement, which are noted throughout this report.

During the previous administration, conflicts between IDHS and key public safety agencies impeded IDHS' coordination role. Based on interviews, the appointment of the current Executive Director is a positive step toward removing those impediments. While the larger issue of consolidation of public safety agencies is assessed, progress can be made through Executive Director Hill's leadership in this coordination role, both in terms of strengthening relationships and establishing processes that support coordinated preparedness, information sharing, and response capabilities.

An overarching theme throughout this report is the need for strategic management and performance measurement across the responsibilities found within the department. There is substantial good work being done within IDHS, but cohesion and a sense of how the components work together – or should work together – often are missing. As suggested by its coordination role, the nature and mission of IDHS require that it maintain open lines of communication and collaborative processes with a myriad of partners at the local, state,

and federal levels. In his recent executive order, Governor Pence reaffirmed the IDHS mission of coordinating preparedness across state agencies and tasked all state agencies to fulfill their preparedness and response roles. In support of IDHS' coordination mission, the need to rebuild or reinvigorate communication and collaboration within the department and with partners and stakeholders is another key piece of this review's findings.

Key findings include:

*Strategic Management and Performance*

- IDHS currently lacks an inclusive strategic planning process and has not consistently used a strategic plan to guide program development, budgeting, and performance evaluation.
- Improved clarity of mission, cohesion, and coordination is needed across IDHS divisions to fulfill the department's mission, goals, and objectives.
- Partners and stakeholders report a weakness in overall planning capabilities and planning support to local jurisdictions.
- EMS certification, training, and support need to be strengthened to provide for quality EMS services throughout the state.

*Communication and Coordination*

- IDHS can improve its efficiency and effectiveness through improved internal coordination and communication.

*Organizational Structure*

- The Field Services Division includes aspects of other IDHS activities, so the roles of Field Services create confusion rather than clarity regarding the responsibilities of other divisions, including how IDHS divisions serve and work with local governments and local emergency management. This creates the potential for duplication and/or unmet needs if one division assumes the other is fulfilling the responsibility because roles are unclear.
- The Grants Management Section's organizational placement within the Planning and Assessment Division, as set out in state statute, distances financial and accounting aspects of grants management from financial management and accounting oversight within IDHS.
- Coordination between the planned state Fire Academy and the IDHS Preparedness and Training Division is needed to maximize efficient use of training resources and to provide for streamlined tracking of training needs, training offerings, and training records.

*District Programs*

- Updated guidance, outreach, and training is needed to guide the activities of district planning councils (DPCs), district planning oversight committees (DPOCs), and district task forces. Updated guidance, outreach, and training would also provide an opportunity to clarify objectives, roles, and processes.
- Communication and assistance from IDHS to local (i.e., county, primarily) governments has been diluted, or at least complicated, by IDHS' relationship with districts.
- The focus of district task forces on building out operational capabilities at the district

level may not be sustainable with reduced federal grant funding, and in some cases it creates conflict with the response responsibilities of local government. Continuing to train and engage stakeholders throughout the state can/will provide ongoing benefits without incurring significant additional equipment investment or maintenance costs.

#### *Budgeting and Accountability*

- As is the case in many states, stakeholder expectations for IDHS' services exceed existing funding for overall operations; however, the department's primary challenge is the efficient use of existing resources. Through development of an inclusive strategic planning process, the leadership of the department can identify key strategies and spell out measurable objectives/goals required to achieve those strategies. Realignment of existing resources to achieve those objectives then becomes clearer.
- Duplicated effort occurs in the financial piece of grant reporting between the statewide accounting system used in the finance office (Encompass) and the Indiana Grants Management System (IGMS) used in the Grants Management Section. The two systems are not integrated or compatible, which results in communication and workflow problems between grants management and the finance office.
- IDHS does not budget all dedicated funds throughout the department, which causes certain funds and divisions to exceed appropriation authority early in the fiscal year on a regular basis. This means that available funds may not be optimally budgeted and expended, even though there is no legal restriction on use of Fire and Building Safety Fund monies for IDHS operational expenses outside the Fire and Building Safety Division. The State Budget Agency must then be contacted to override the accounting system to enable payment of bills. Deficits are covered at the end of the year through transfer of funds fed by Fire and Building Safety Division revenue.
- Homeland security grant funds have sometimes been allocated in a manner that was not transparent or did not follow stated process and focused on build out of district capabilities rather than addressing local capability and preparedness needs.

Key areas of recommendations include:

#### *Strategic Management and Performance*

- Use strategic planning and performance measurement processes to improve cohesion and efficiency across IDHS divisions.
- Staff the Planning and Assessment Division and its director position with experienced emergency planners.

### *Collaboration and Coordination*

- Establish a process in collaboration with district coordinators and other IDHS divisions, as appropriate, to work with local jurisdictions on an ongoing basis on development and update of local plans (e.g. continuity, mitigation, critical infrastructure, response operations, recovery and others).
- Regularly engage state agencies in Emergency Support Function (ESF) meetings to support state-level preparedness and capability-based planning. Designate IDHS staff/positions to serve as liaisons for each state-level ESF.
- Develop and implement a stakeholder communication strategy that outlines types of communication and messaging to local government and non-governmental organization (NGO) stakeholders from all components of IDHS.

### *Organizational Structure*

- Realign the Executive Division to clarify reporting relationships, improve manageable span of control, and preserve direct reports from operational divisions and legal and finance components.
- Reorganize the existing Field Services Division (see [Figure 10](#)):
  - Move the district coordinator components of Field Services Division to a Field Services Branch within the Planning and Assessment Division.
  - Move chemical, biological, radiological, nuclear, and explosive (CBRNE) team, hazmat, and radiological components of the Field Services Division to the Fire and Building Safety Division.
  - Move EMS field coordination from the Field Services Division to the Fire and Building Safety Division and establish a Emergency Medical Services Branch within the Fire and Building Safety Division.
- Move EMS certification and regulation from the Preparedness and Training Division to a new Emergency Medical Services Branch within the Fire and Building Safety Division.
- Develop a sustainment strategy for optimal use and maintenance of resources and capabilities developed through the district program to date.
- Evaluate the implications of state code sections tasking the Preparedness and Training Division with training responsibilities for fire, emergency management, hazmat, EMS, and other response areas for planned scope and responsibilities of the state Fire Academy.

### *District Programs*

- Evaluate the optimal number of district task forces, considering the potential to consolidate equipment and supplies for district task forces and reducing the number of task forces to fewer than 10 with a goal of maximizing geographic usefulness, resource sharing, and staffing. Survey comments suggested three to five task forces would be an optimal number.
- Continue to provide Incident Command System (ICS) training and exercises, including Incident Management Assistance Team (IMAT)-position-specific training, accessible to jurisdictions and personnel in each district.
- Clarify in new district program guidance that district task forces are to support local government response needs and not supplant or usurp local responsibility or direction and control during an incident.

### *Budgeting and Accountability*

- Create expectation for division directors and other budget managers to stay within the division/program fiscal year budget and include evaluation of budget accountability in performance evaluation metrics.
- Move the accounting/financial functions of grants management to the finance office in the Executive Division within IDHS. Retain administrative aspects of the Grants Management Section in the Planning and Assessment Division.
- Use the state Encompass system for all financial accounting and reporting of grant financial activities, including those currently handled under IGMS; use IGMS only for administrative aspects of managing and reporting grant activity.
- Confirm that use of Fire and Building Safety Division fees for IDHS operating expenses is allowable based on state statutes and relevant Indiana legal opinions and court decisions and establish the department budget based on those revenues.
- Conduct analysis to determine the needed funding threshold for Fire and Building Safety Division to perform its statutory missions. Establish budgeting protocols that maintain that threshold while providing support for Indiana's other homeland security and emergency management programs.

Findings and recommendations in this review provide an analysis of effectiveness, organizational structure, and options for improvement. Findings and recommendations, along with supporting background, are found in Section 3 of the report. An overview of recommendations and suggestions for implementation are found in Section 4. For additional background, the stakeholder survey is found in Appendix C, and an analysis of survey results is in Appendix D.

# Indiana Department of Homeland Security (IDHS) Organizational Effectiveness Review

## 1.0 Purpose and Scope

### 1.1 Purpose

This document captures the findings of an independent review of the internal organization and effectiveness of the Indiana Department of Homeland Security (IDHS,) including “a comprehensive review of IDHS, looking to identify opportunities to improve organizational efficiency and effectiveness.”<sup>2</sup> The review focused on IDHS’ mission, activities, and organization, taking into consideration good practices from other states and the specific needs and circumstances of the State of Indiana and its local governments and residents. The report provides background, findings, and recommendations to improve IDHS’ effectiveness and efficiency. It is not policy but is intended to inform State of Indiana policy regarding its homeland security, emergency management, fire and building safety, emergency medical services (EMS), and related functions.

### 1.2 Scope

The scope of this review is IDHS, its divisions, programs, and processes, and its work in carrying out responsibilities under Indiana state law. By nature, this analysis represents a snapshot in that information was collected and reviewed over a three-month period from late March through late June 2013. This review addresses organizational effectiveness and efficiency and does not address or reflect individual performance of staff.

### 1.3 Methodology

The IDHS organizational review used a process evaluation and improvement approach based on document review and data collection through targeted interviews and a survey of emergency management and homeland security stakeholders. The methodology also included a review of IDHS and other state emergency management and homeland security organizations and processes through consideration of studies by the National Emergency Management Association (NEMA), National Governors Association (NGA), and others and review of agency web pages.

The project team conducted more than 40 interviews, including 14 IDHS personnel and 26 external partners and stakeholders from other state agencies, local government, and response disciplines. See Appendix B for a list of Indiana interviews conducted. The team also interviewed two directors from other states’ homeland security/emergency management departments regarding organization of homeland security and emergency management at the state level.

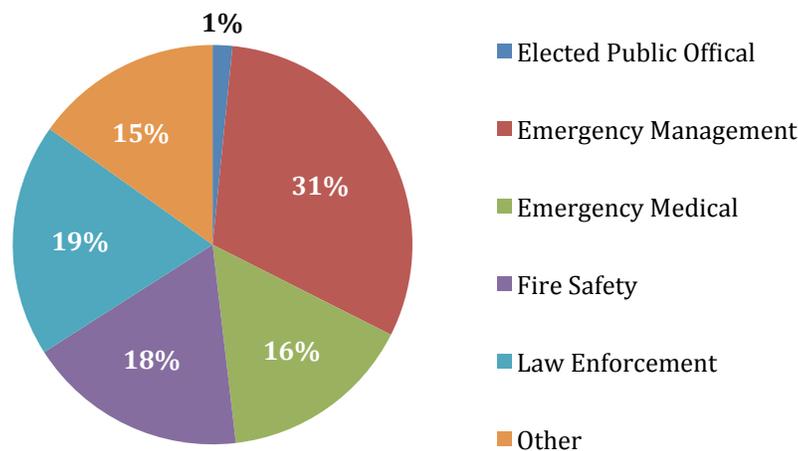
As part of this organizational analysis, IDHS distributed a survey prepared by Witt O’Brien’s to gather information from a broad set of stakeholders regarding the organizational effectiveness and efficiency of IDHS. The online survey included 21

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<sup>2</sup> IDHS and Witt Group Holdings Contract, Amendment #9, Exhibit E, Scope of Work.

questions and was made available to local emergency management agency directors, district task force members, EMS commission members, Local Emergency Planning Committees (LEPCs), and external stakeholder contact lists including Emergency Management Association of Indiana (EMAI) board members, and chemical, biological, radiological, nuclear, and explosive (CBRNE) response and Incident Management Assistance Team (IMAT) representatives. Almost 300 respondents (291 total) started the survey, and 226 respondents (78% of the total) finished the survey, which suggests a high level of interest among stakeholders in the work of IDHS.

The majority of survey respondents were county-level government employees (41%) and city-level government employees (36%). Respondents representing district/regional-level stakeholders were the next highest group of respondents, followed by state-level government, non-governmental organizations, and private corporations. Other respondents included representatives from public universities, volunteer fire departments, and the federal government.



**Figure 1. IDHS Survey Respondent Affiliation**

Almost half of the respondents (47%) associated themselves with emergency management. The rest of the respondents represented emergency medical services (24%), fire safety (27%), and law enforcement (29%). Six respondents (2% of total) were elected public officials. Other respondents included hospital, communications, military, and environmental-related occupations. Respondents were able to select more than one category in the answers.

Most survey questions used a scale with five options: either “very satisfied,” “satisfied,” “neither satisfied nor dissatisfied,” “dissatisfied,” or “very dissatisfied,” or on other questions, response options were: “strongly agree,” “agree,” “neither agree nor disagree,” “disagree,” or “strongly disagree,” depending on question content. Respondents also were given the option of “not applicable.” In this document, where analysis of survey results refers to positive responses, this indicates the number or percentage of “agree” and “strongly agree” or “satisfied” and “very satisfied” were added together. Where analysis

discusses negative responses, the number or percentage of “disagree” and “strongly disagree” or “dissatisfied” and “very dissatisfied” were added together. Although not necessarily quantitatively significant, where narrative comments add to the understanding of responses, they also are discussed in this report.

## 2.0 Overview of IDHS

IDHS provides state emergency management, fire and building safety, and homeland security functions. It is the state agency charged with developing and maintaining overall state-level preparedness for natural and human-caused emergencies and disasters across mission areas of mitigation, preparedness, response, and recovery, according to state statutes. Other guidance also incorporates aspects of protection in its role. IDHS’ responsibilities include working with local governments to assist them with preparedness efforts and to build response capabilities. This work requires coordination with state agencies that have related responsibilities, such as the Indiana State Police (ISP), which operates the Indiana Intelligence Fusion Center (IIFC), Indiana National Guard, and the Indiana State Department of Health (ISDH), which has responsibility for public health preparedness.

Homeland security and emergency management functions in state government are based on the responsibilities of government to protect lives and property. Emergency management can be defined as “the discipline and profession of applying science, technology, planning and management to deal with extreme events that can injure or kill large numbers of people, do extensive damage to property, and disrupt community life.”<sup>3</sup> The history of emergency management in the United States goes back to the need for fire protection and response when populations began congregating in cities during the Industrial Revolution and the first documented US federal assistance was in 1803 to a New Hampshire town after a devastating fire. While the role of the federal government in disaster assistance has grown, for example with the passage of the Robert T. Stafford Act in the 1980s and the Disaster Mitigation Act of 2000 (DMA2K), emergency and disaster response usually begin and end with local organizations and resources. State government assists when local resources are overwhelmed.

The definition of homeland security, a term that came into widespread use in the US after the terrorist attacks of 2001, is still evolving but represents efforts to protect the US from terrorism. The US Department of Homeland Security (DHS), created by Congress in 2002, incorporated a host of other agencies, including the Federal Emergency Management Agency (FEMA), US Coast Guard, and others. This organizational arrangement is not necessarily the case at the local and state level, although many states created a homeland security advisor, department, or office after US DHS was created.

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<sup>3</sup> Drabek, T. and Hoetmer, G. (1991) *Emergency Management: Principles and Practice for Local Government*. Washington, DC: International City County Management Association (ICMA).

The organizational location of homeland security and emergency management varies across state governments. Both modern emergency management and homeland security have roots in civil defense policies and practices in the Cold War era, during which states and most counties established offices of civil defense to prepare for nuclear attack. Over time, with the reduction in threat from Cold War adversaries and continuing experience with natural disasters such as flooding, hurricanes, and earthquakes, the federal government and state and local governments turned their attention to natural disasters. FEMA was created in 1979 to combine federal disaster assistance programs in one agency after a string of devastating hurricanes and other natural disasters. Experience with the large-scale damage of hurricanes led southeastern states to form a compact, or agreement, to provide assistance to each other; eventually this evolved into the Emergency Management Assistance Compact (EMAC), a national mutual aid system based on a multi-state agreement. EMAC assistance provides a means for states to assist each other in disasters, addressing reimbursement and liability issues in advance, without or in addition to federal assistance. After the shocking damage of the September 11, 2001, terrorist attacks, the US government focused more on terrorism prevention for several years. In 2005, Hurricane Katrina's impacts on the Gulf Coast and the problems in evacuation and response that surfaced at every level of government renewed a level of attention on all-hazards preparedness and led to a reworking of the National Response Plan (NRP) into the National Response Framework (NRF).

As part of post-9/11 policy, the US government provided state and local governments, especially urban areas, significant federal grant dollars for terrorism prevention, critical infrastructure protection, and preparedness. The first few years saw primarily investment in equipment, with later years providing greater flexibility and encouragement to spend grant funds on planning and coordination activities.

Indiana is subject to a range of natural and human-caused hazards. The 2008 Indiana Standard Hazard Mitigation Plan (SHMP) notes that the state is at risk for "earthquakes, floods, tornadoes/high winds, severe winter storms, and droughts/extreme heat. Other natural hazards, such as subsidence, landslide and wildfire are rare or localized that the risk to the state as a whole is difficult to assess."<sup>4</sup> The state is at risk for human-caused hazards including dam and levee failure, hazardous material releases including radiological release, transportation incidents, structural collapse, cyber and power failure, and acts of terrorism. The Indiana SHMP focuses on four hazards that IDHS and the Indiana State Hazard Mitigation Council (ISHMC) determined to pose the highest risk for the state: flooding and dam and levee safety; tornadoes and straight-line winds; earthquakes; and winter storms. The plan also addresses human-caused hazards but less fully.

The State of Indiana received 40 federal disaster declarations and 7 emergency declarations between 1954 and 2012. Most (30) of the disaster declarations were for severe storm or flooding events. Many of those also included tornado damage incidents.

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<sup>4</sup> IDHS (2008), Indiana Standard Hazard Mitigation Plan. Indianapolis, IN: Author.

The other major hazard for declarations was severe winter storm. Six of the emergency declarations (capped at \$5 million in federal assistance) were for winter storms; one was related to evacuation support for Hurricane Katrina in 2005.<sup>5</sup>

IDHS was created by the Indiana General Assembly in 2005, combining existing homeland security, emergency management, and state fire and building safety functions into one agency and renaming the department. IDHS includes four major divisions as identified in state law: Fire and Building Safety Division, Planning and Assessment Division, Preparedness and Training Division, and Response and Recovery Division, plus a Field Services Division created administratively in 2009. Administrative components in the Executive Division include the Executive Director's office with administrative staff and a chief of staff, human resources, legal services, media relations and public information, and finance office. IDHS' creation of district planning councils (DPCs) district planning oversight committees (DPOCs), and district task forces was part of a nationwide push to build catastrophic response capabilities through a surge in federal grant funds.

IDHS' mission is phrased differently in two places:

The Indiana Department of Homeland Security is a statutorily created agency charged with ensuring the common public safety purpose of mitigating against, preparing for, responding to, recovering from man-made and natural threats to people, property and the economy of the State of Indiana.

*(IDHS 2013 Strategic Plan)*

The Indiana Department of Homeland Security will provide statewide leadership, exemplary customer service, and subject matter expertise for the enhancement of public and private partnerships and the assurance of local, state and federal collaboration to continually develop Indiana's public safety capabilities for the wellbeing and protection of our citizens, property and economy.

*(IDHS web site, accessed June 2013)*

While the two mission statements are not in conflict, the second (from web site) expresses the department's mission in broad terms, noting leadership, capability development, and collaboration, while the statement from the strategic plan is phrased in more traditional emergency management terminology, using the four phases of mitigation, preparedness, response, and recovery.

Significant services are provided to the residents of Indiana by IDHS, including coordination of state-level disaster preparedness and fire and building safety-related

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<sup>5</sup> Federal Emergency Management Agency (FEMA) (n.d.) Disaster Declarations by State: Indiana. Retrieved from [http://www.fema.gov/disasters/grid/state-tribal-government/56?field\\_disaster\\_type\\_term\\_tid\\_1=All](http://www.fema.gov/disasters/grid/state-tribal-government/56?field_disaster_type_term_tid_1=All), June 25, 2013.

regulatory compliance. IDHS maintains the state’s Comprehensive Emergency Management Plan (CEMP) and the state Emergency Operations Center (EOC). The department employs 240 staff across six (including executive) divisions. Its Executive Director is appointed by and serves at the behest of the Governor. The department is organized using a traditional hierarchical structure, with five division directors reporting to the IDHS Executive Director. In 2010, IDHS pursued and was granted accreditation by the national Emergency Management Accreditation Program (EMAP). As noted in Governor Mike Pence’s Executive Order 13-09, IDHS, and specifically its Executive Director, has responsibility for coordinating emergency preparedness and response support across state agencies.

Survey results for this review indicate general satisfaction with IDHS’ performance while identifying areas that could be improved. In many cases, survey respondents note the quality work of IDHS personnel. With this acknowledgement, the following section discusses areas where organizational and policy actions are suggested to improve IDHS effectiveness and efficiency in carrying out its mission.

### 3.0 Findings and Recommendations

#### 3.1 IDHS Strategic Direction

**Background:** IDHS’ 2013 Strategic Plan was developed to align with the Governor’s Road Map for Indiana. The Strategic Plan was developed without significant internal or external stakeholder input, and many items included are short-term goals (e.g., July 2013) rather than longer term, strategic goals. While items listed within each strategy are not labeled as goals and objectives, they can be viewed as such. A clear strategic plan that is used by an organization provides the opportunity for divisions and program personnel to see their roles and responsibilities in context of the overarching department mission and goals. This supports both clarity of mission for each component and understanding of how roles of each component contribute to achievement of goals and objectives. Implementation of a strategic plan also can serve to clarify areas of responsibility as they relate to current goals and objectives and identify interdependencies and coordinate expectations among components within the organization. Establishing expectations and processes for coordination can improve efficiency and clarity of communication with stakeholders and partners.

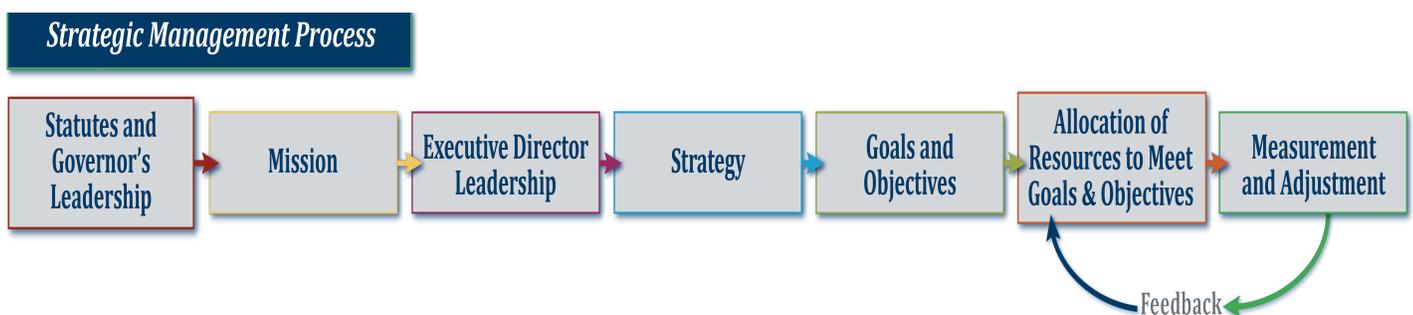


Figure 2. Strategic Management Process

State government strategic planning and implementation often follows a process that:

1. Identifies authorities and responsibilities from statutes, regulations, and leadership and direction from the governor
2. Clarifies the organization's mission
3. Through executive-level leadership and guidance, establishes strategic direction
4. Identifies goals and objectives within a strategic framework
5. Organizes available resources to achieve objectives and goals
6. Regularly measures progress and performance toward objectives and goals
7. Prompts adjustments to meet goals

Some interviews and survey comments indicated a lack of cohesion and coordination and a need for clearer direction across divisions and programs within IDHS. For example, to a survey question about the efficiency of IDHS, most respondents selected a positive or neutral answer (81%); however, narrative responses included common themes of IDHS divisions operating as silos, inconsistent messages to constituents, overlapping roles and responsibilities, and too many layers without appropriate chain of command. Interviews also noted a tendency among IDHS divisions to operate with minimal coordination.

Inclusion of the Fire and Building Safety Division in IDHS combines state safety regulatory and protection components with its emergency management and homeland security coordinating functions. Technical expertise within the Fire and Building Safety Division is relevant to other IDHS missions including earthquake resilience, flood mitigation, critical infrastructure protection, fire and hazmat response, and damage assessment. With the relatively recent formation of IDHS, there is a need to articulate how the components of IDHS work together.

**Finding 1:** IDHS currently lacks an inclusive strategic planning process and has not consistently used a strategic plan to guide program development, collaboration across divisions, budgeting, and performance evaluation.

**Recommendation 1a:** Establish a strategic plan implementation process that identifies work plans and performance measures for each division and program for how they will contribute to achievement of goals and objectives identified under strategies in the 2013 Strategic Plan.<sup>6</sup>

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<sup>6</sup> See Standard 3.1.1, *Emergency Management Standard by EMAP* (2010) and Standard 5.8.3, *National Fire Protection Association (NFPA) 1600, Standard on Disaster/Emergency Management and Business Continuity Programs* (2013).

**Recommendation 1b:** Tie office/program work plans and personnel performance reviews to progress toward achievement of strategic goals and objectives as identified in the IDHS strategic plan and implementation documents. Designate one or more management-level staff to track and report progress on programmatic benchmarks and performance objectives.

**Recommendation 1c:** In the future, implement a strategic planning process that incorporates input from internal and external constituencies and covers a multi-year period to provide a strategic basis for budgeting and programmatic development and assessment.

**Finding 2:** Improved clarity of mission, cohesion, and coordination is needed across IDHS divisions to fulfill the department’s mission, goals, and objectives.

**Recommendation 2a:** Establish through collaborative meetings with staff an executive policy or organizational plan<sup>7</sup> for IDHS that documents roles and responsibilities, interdependencies, and expectations and processes for coordination across divisions. Division or program and personnel performance evaluation processes should align with the expectations established in the IDHS organizational plan.

### 3.2 IDHS within Indiana State Government

**Background:** Indiana’s homeland security and emergency management organizational structure, which places emergency management and homeland security in one agency with an Executive Director that reports directly to the Governor, is an approach that currently is used in seven other states. According to 2012 survey data from NEMA, other states take different approaches:

- In seven states, emergency management is administratively housed within the governor’s office.
- In 12 states, emergency management is part of a broad department of public safety; components in the public safety departments vary across states. This number was 14 in 2007.
- Also in 12 states, although not necessarily the same states, homeland security is in a department of public safety.
- In 18 states, emergency management is part of the military department or the department overseen by the adjutant general.
- In 10 states, homeland security is in the military department.<sup>8</sup>

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<sup>7</sup> NFPA (2013).

<sup>8</sup> National Emergency Management Association (NEMA) (2012). *NEMA 2012 Biennial Report*. Lexington, KY: Author, and NEMA (2007). *Profile of State Emergency Management Directors and Their Agencies, Results of FY2007 Survey*. Lexington, KY: Author.

Although close coordination with the Indiana National Guard is important to fulfilling emergency management and homeland security missions, co-location or reporting to the Indiana National Guard or adjutant general is not required, based on the variety of structures seen in states throughout the nation. For example, after Hurricane Katrina, Louisiana moved its emergency management and homeland security functions from the military department to a separate Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP). In general, emergency management policy experts suggest strong benefits of an organizational structure that provides seamless access to the executive (governor) on an ongoing basis and especially during emergencies. According to the NEMA 2010 Biennial Report, in 7 of the 10 states with the most disaster declarations since 1953, the emergency management director reports directly to the Governor.<sup>9</sup> The NGA 2010 Governor's Guide to Homeland Security states that approximately half of state homeland security advisers were at the time in a cabinet-level position reporting directly to the governor.<sup>10</sup>

The Indiana Intelligence Fusion Center (IIFC), is responsible for collecting, evaluating, analyzing, and disseminating information and intelligence data related to terrorist activity. In addition to collecting information within their state, fusion centers serve as a secure point of contact for sensitive terrorism and crime investigation information from federal law enforcement and intelligence agencies. The fusion center was moved from IDHS to the ISP in 2010. The IDHS Executive Director serves on the IIFC executive committee; however, IDHS does not have a seat in the IIFC. While this is not necessary, based on federal guidance, a two-way liaison relationship or information sharing mechanism between the fusion center and the state EOC during incidents and with IDHS on an ongoing basis is needed.<sup>11</sup> This is at least partially addressed at an operational level through use of WebEOC in the fusion center. More than half of states manage the primary state information/intelligence fusion center under the authority of the state homeland security director/advisor. In 60% of states, the fusion center is the homeland security director's key means of information and intelligence sharing with US DHS.<sup>12</sup> Additional review is needed to determine if Indiana's current configuration and protocols are sufficient to support ongoing and incident-specific information sharing needs.

Some states have moved to create consolidated public safety departments to try to achieve economies of administration across law enforcement and other public safety functions that were previously part of separate departments (e.g., state

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<sup>9</sup> NEMA (2010). *NEMA 2010 Biennial Report*, Lexington, KY: Author.

<sup>10</sup> National Governors Association Center for Best Practices (2010). *A Governor's Guide to Homeland Security*. Washington, DC: Author.

<sup>11</sup> DHS/FEMA and US Department of Justice (2010). *Comprehensive Preparedness Guide 502. Considerations for Fusion Center and Emergency Operations Center Coordination*. Washington, DC: Authors.

<sup>12</sup> NGA (2009). *Issue Brief: 2008 Homeland Security Directors Survey*. Washington, DC: Author.

patrol, natural resources, fire marshal). For example, the legislative sponsor of Alabama's 2013 public safety reorganization projected \$35 million in savings annually from consolidation of law enforcement-related functions.<sup>13</sup> However, no independent research is identified providing cost-benefit analysis of this approach at the state level, possibly because of the variety of laws, individual programs and enforcement responsibilities, and restructuring that would be required in different states. Most analysis of public safety agency consolidation has addressed combining local fire and police agencies under one umbrella in an effort to achieve administrative efficiencies.<sup>14</sup> In many cases, national organizations of local fire departments have opposed such consolidation.

Alabama's new Law Enforcement Agency did not include the Alabama Emergency Management Agency, which remains a separate agency with the director reporting to the governor. In Alabama's public safety reorganization, the secretary of the Law Enforcement Agency is the state's homeland security advisor. In Louisiana, while a broad Department of Public Safety and Corrections includes state police, office of motor vehicles, gaming control board, the state corrections system, and the state fire marshal, the Louisiana GOHSEP remains a separate office that reports to the governor. Louisiana's intelligence fusion center is jointly managed by GOHSEP and the State Police. (See Appendix G for information on state public safety departments that include emergency management and homeland security.)

IDHS' Fire and Building Safety Division includes building and fire code enforcement and fire investigations responsibilities. Other departments in the state also have enforcement roles within their areas, including ISP, Department of Environmental Management, and others. If the state explores administrative efficiencies through consolidation of public safety agencies including IDHS and the ISP, one potential benefit would be to administratively reconnect the IIFC to the state's homeland security advisor - the IDHS Executive Director.

Placement of the state fire marshal and related code enforcement activities varies across states. In some states, these functions are part of a department of insurance, department of labor, department of commerce/industry, or department of public safety. In Indiana, inclusion of the Fire and Building Safety Division in IDHS combines state safety regulatory and protection components with emergency management and homeland security coordinating functions. This is not the case with other discipline-specific functions that are part of other agencies, such as public health preparedness in ISDH and the IIFC within ISP. IDHS' current

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<sup>13</sup> Cason, M. (2013). Bill to consolidate Alabama law enforcement agencies heading to governor. Al.com. Retrieved July 15, 2013, from [http://blog.al.com/wire/2013/03/bill\\_to\\_consolidate\\_alabama\\_la.html](http://blog.al.com/wire/2013/03/bill_to_consolidate_alabama_la.html).

<sup>14</sup> Morley, B., and Hadley, J. (2013) *FBI Law Enforcement Bulletin*, April 4, 2013. Retrieved June 21, 2013, from <http://www.fbi.gov/stats-services/publications/law-enforcement-bulletin/2013/April/perspective>, and Wilson, J., Weiss, A., and Grammich, C. (2012). Public Safety Consolidation: What is It? How Does it Work? *Be on the Lookout*, August 2012. Lansing, MI: USDOJ Office of Community Policing Services (COPS)/Michigan State University.

arrangement can strengthen the state homeland security and emergency management program in that the constituents and partners of the Fire and Building Safety Division are key stakeholders in mitigation, infrastructure protection, response, and recovery planning.

**Finding 3:** Indiana’s current agency arrangement regarding homeland security and emergency management functions is generally in alignment with practices nationally.

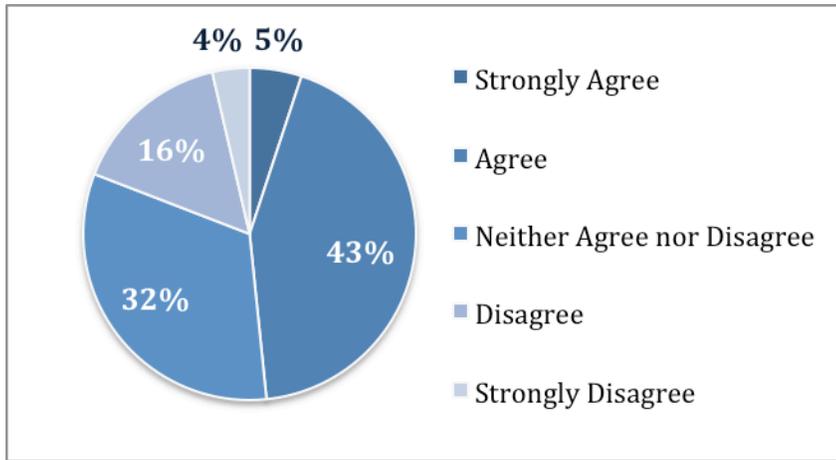
**Recommendation 3b:** Keep the Fire and Building Safety Division within IDHS to facilitate assistance to and coordinated preparedness with local fire, EMS, emergency management agency (EMA), hazardous material (hazmat) response, and related organizations and personnel at the local level throughout the state.

**Finding 4:** Given that IIFC provides key information support to the state EOC, clear written procedures, protocols, and liaison relationships are needed to provide seamless sharing of information between the IIFC and the state EOC, and between the state’s homeland security director (IDHS Executive Director) and US DHS.

**Recommendation 4a:** Establish, train, and exercise clear procedures and reliable and redundant means of communication for information sharing between the IIFC, the IDHS Executive Director, and the EOC, including liaison relationships appropriate to operating practices and security levels and regular reports to the IDHS Executive Director, to maintain situational awareness on an ongoing basis and during an incident.

### 3.3 Effectiveness in Addressing IDHS Mission

**Background:** Findings in this report indicate opportunities to improve performance and efficiency through improved communication and coordination and development of collaborative capacity across IDHS divisions and with IDHS partners and stakeholders. To realize these improvements, IDHS will need to implement an updated organizational structure, strategic direction and leadership, and performance-based measurement related to communication, coordination, and collaboration as priorities. Subsections below beginning with 3.3.1 address IDHS’ effectiveness related to responsibilities noted in state law (Indiana Code 10-14-1, et seq. and 10-15-1, et seq.) and IDHS mission statements (see Section 2.0 above): Collaboration and Coordination; Planning; Preparedness and Training; Response and Recovery; Fire and Building Safety; and Assistance to Local Governments.



**Figure 3. Survey Responses: IDHS operates efficiently.**

Broadly, most survey respondents indicated favorable or neutral impressions (48% positive; 32% neutral) of the efficiency of IDHS. Nineteen percent (53 of 277) registered a negative impression of IDHS’ operational efficiency. Most of the written comments associated with this question included criticisms (48 of 68).

A few respondents, the majority which represent local government, expressed that IDHS should adopt a support –rather than direct response – role during disasters and indicated that it was inefficient for the state to take a direct active role when the local level has primary responsibility for responding. Comments also noted concern about inefficient spending. An additional common comment was that staff turnover within IDHS has resulted in an overall lack of continuity, experience, and institutional knowledge.

Analysis by occupation and organization shows that respondents who identified themselves as representing county-level government were split on the question of IDHS efficiency, with almost a third neutral (34%), a third “agreeing”/”strongly agreeing” (40%), and a third “disagreeing”/ “strongly disagreeing” (27%). Approximately half (49%) of city-level government respondents “agreed” or “strongly agreed” that IDHS operates efficiently overall, and a third (35%) were neutral. Comments included responses on the need to reduce layers and silos in IDHS. A higher percentage of private sector respondents “agreed” or “strongly agreed,” with nearly three quarters (70%) of respondents selecting those options.

Less than half of respondents who identified themselves as coming from emergency management occupations “agreed” or “strongly agreed” (46%) that IDHS operates efficiently. Those in fire safety occupations did not have a strong positive response to this question, with no responses “strongly agreeing,” although half “agreed” (49%) that IDHS operates efficiently. Slightly more respondents from law enforcement (50%) and emergency medical (55%) agreed or strongly agreed.

Efficiency and effectiveness were addressed separately in the survey. Nearly three quarters of survey respondents (73%) either strongly agreed or agreed that IDHS is

effective at fulfilling its mission, and 12% of respondents believed that IDHS was not effective. Analyzing responses by organization type shows that three quarters of state-level government, district/regional-level government, county-level government, city-level government, and private sector respondents selected “agreeing” or “strongly agreeing.” Those who represented non-governmental organizations (NGOs) were split between neutral (32%), “agree” (37%), and “strongly agree” (32%).

Responses again suggested that IDHS has strayed from its mission by trying to be a response agency rather than a supporting agency to county and city government. As one respondent noted, “in the past IDHS has tried to become a first responder agency instead of a resource for the local agencies that truly are the first responders.”

### **3.3.1 Collaboration and Coordination**

**Background:** Public policy research has examined the concept that homeland security and emergency management functions are best viewed as a network. They require a significant degree of coordination across government components and sectors of society.<sup>15</sup> In an industry in which direction and control and a clear chain of command are important during response, it is noted that processes that institutionalize coordination and collaboration across departments and reporting structures are needed to facilitate preparedness across all mission areas (prevention, protection, mitigation, response, and recovery) and all agencies. While relationships and goodwill are important, the responsibility of government for public safety requires that coordination be a function of processes and established expectations rather than left to the temporary nature of personal relationships or individual initiative.

Based on IDHS’ mission, collaboration and coordination are vital to its effectiveness, as it relies on ongoing as well as urgent actions by numerous partners outside of IDHS. To fulfill this coordination role, IDHS needs to:

- Build strong partnerships. IDHS needs to continue to pursue partnerships with state leaders, local government, academia, the private sector, the public, and the media. These partnerships will bolster preparedness by establishing credibility, enabling collaboration, creating open paths of communication, and leveraging knowledge to assess risks, identify capabilities, and problem-solve during response.
- Infuse preparedness throughout state government. IDHS can build upon relationships and use clear and actionable plans and procedures to ensure that emergency preparedness is a priority in the operations of all state agencies.
- Use fiscal policy to meet goals. Part of IDHS’ responsibility is to be aware of state and federal fiscal policies so that the department can fully leverage

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<sup>15</sup> Wise, C. (2002). Organizing for Homeland Security. *Public Administration Review*, 62(2) 131-144.

available resources and achieve desired outcomes.

- Empower civil servants to work toward outcomes. It is important for IDHS leadership to inspire in IDHS employees and state and local partners the confidence, innovation, and passion needed to protect the state's residents.
- View residents as customers. Every decision should reflect the best interest of residents who have been or may be impacted by emergencies or disasters. Each stage of policy formation, resource allocation, and decision making must focus on the needs of constituents.

Interviews and survey results regarding IDHS' organization indicate overlapping and conflicting roles and responsibilities internally and inadequate communication both within IDHS and with local government constituencies. In the survey responses to the question about organizational efficiency, the most common theme across written comments involved internal information sharing and coordination. County-level representatives provided the majority of comments (40 of 68) on that question, commenting on the need to improve coordination within IDHS and communication/information sharing. Written comments regarding effectiveness in the survey offer similar concerns. Respondents expressed concern over the ineffectiveness of communication within IDHS and with external stakeholders.

**Finding 5:** IDHS can improve its efficiency and effectiveness through improved internal coordination and communication.

**Recommendation 5a:** Identify needs and expectations for communication among IDHS programs and personnel, considering interdependencies and opportunities for collaboration among divisions and programs. Establish communications processes and protocols that support those communication and collaboration needs.

**Finding 6:** The presence of the Fire and Building Safety Division within IDHS suggests latent opportunities for coordination of hazard identification and risk assessment; planning; critical infrastructure protection; training; and exercise across fire, EMS, and emergency management.

**Recommendation 6a:** Task the IDHS management team with reviewing IDHS as a network of related responsibilities and capabilities to identify unrecognized opportunities to leverage expertise and resources across divisions.

### 3.3.2 Planning

**Background:** IDHS has significant emergency planning responsibilities, including maintenance of the state CEMP and state hazard mitigation planning. Survey results and interviews indicate that planning capability, activity, and support to local governments is inadequate. In the survey, most respondents (42%) interacted with the Planning and Assessment Division only a few times a year. The rest of the respondents either never interacted (30%) or interacted monthly (21%). Few respondents interacted with the Planning and Assessment Division weekly or daily.

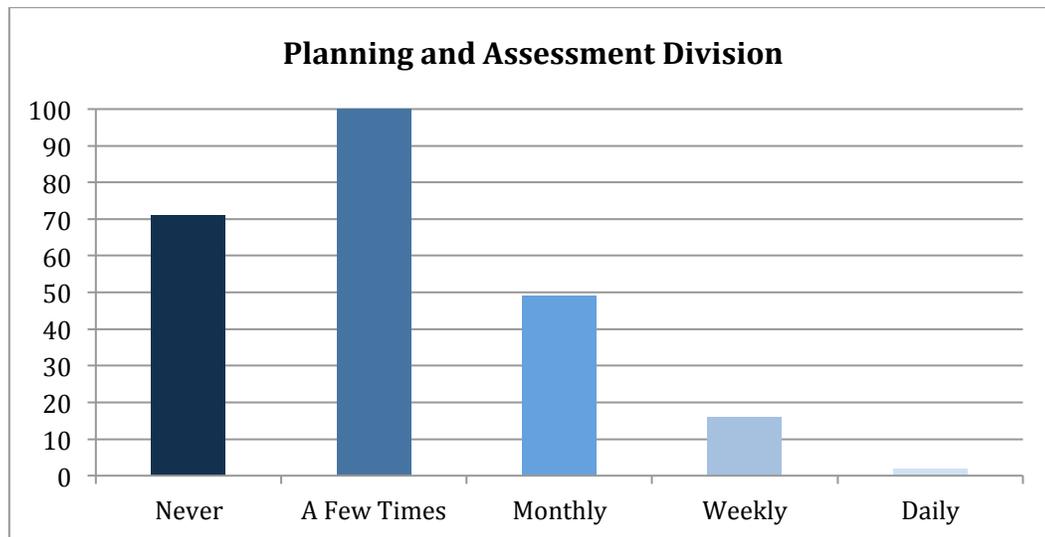


Figure 4. Respondents' Level of Interaction with Planning and Assessment Division

The Planning and Assessment Division handles most emergency planning activities within IDHS except that mitigation planning is handled by the Response and Recovery Division. IDHS requires good leadership of planning efforts to align them with and reinforce other aspects of the state emergency management and homeland security program. Thirty-nine percent of respondents indicated they were satisfied or very satisfied with day-to-day interactions with the Planning and Assessment Division. City-level government respondents deviated from the general survey results in that more respondents were neutral to the Planning and Assessment Division (35%) rather than satisfied. A third of the comments for this question originated from city-level employees. For example, one respondent commented that “in many cases we have no voice in the strategic planning of [I]DHS activities, training, and funding.” A county-level comment noted the need for an EMS planner within IDHS. An open-ended question in the survey yielded comments regarding the need for focus on local planning initiatives rather than district response capabilities.

Interviews reinforced findings from an after-action report from May-June 2008 flooding and severe weather event response that improved ongoing planning and coordination among states agencies is needed. IDHS is responsible for facilitating and sustaining state-level response planning and coordination. The Emergency

Support Function (ESF) structure in the state CEMP is designed to provide the framework for ongoing work in this area but is not being leveraged. In accordance with the CEMP and with Executive Order 13-09, all state agencies are expected to be prepared to carry out their key missions and their response support functions and so should engage in ongoing preparedness activities based on their areas of responsibility.

**Finding 7:** Partners and stakeholders report a weakness in overall planning capabilities and planning support to local jurisdictions.

**Recommendation 7a:** Hire a Planning and Assessment Division director who has strong experience in emergency planning and who has a record of leading collaborative planning processes.

**Recommendation 7b:** Staff the Planning and Assessment Division with experienced emergency planners.

**Recommendation 7c:** Establish a collaborative process including district coordinators and across IDHS divisions as appropriate to work with local jurisdictions on an ongoing basis on development and update of local plans (continuity, mitigation, critical infrastructure, response operations, recovery and others).

**Recommendation 7d:** Establish Planning and Assessment Division roles and responsibilities and require that division goals and objectives align with the IDHS Strategic Plan.

**Finding 8:** IDHS does not maximize use of ESFs as outlined in the state CEMP in its work to coordinate state-level capabilities or with district task forces, planning councils, local governments, etc. State ESFs do not convene on a regular basis to work on preparedness and to coordinate state capabilities to support local jurisdictions in response, which is a key purpose of the state CEMP and its ESF structure.<sup>16</sup>

**Recommendation 8a:** Regularly engage state agencies in ESF meetings to support state-level preparedness and capability-based planning. Designate IDHS staff/positions to serve as liaisons for each state-level ESF.

### 3.3.3 Preparedness and Training

**Background:** The Preparedness and Training Division handles exercise activities; training activities for fire, emergency management, and EMS; as well as EMS

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<sup>16</sup> Comprehensive Preparedness Guide 101, v. 2. FEMA, 2010.

compliance, regulation, and certification. The division posts an online training calendar and offers a Professional Emergency Manager (PEM) certification, which is an optional credential. Training ranked high among the items mentioned as one of the top three strengths of IDHS, with 69 mentions in a question asking about strengths. However, in other parts of the survey respondents expressed concern about weaknesses in EMS regulatory oversight, training, and support. Interviews indicated concerns about inadequacy of hazmat response training for local responders. Coordination of training across IDHS divisions and across disciplines is needed to provide integrated training opportunities, especially given plans for a state Fire Academy; tracking is also required to measure and strengthen capabilities and support local governments. Interviews with Indiana National Guard personnel suggested that collaboration on training and exercise plans and implementation could strengthen state preparedness and response capabilities.

Another key area of capabilities developed and supported by IDHS is EMS. Interviews and survey comments indicate the need to strengthen EMS. EMS activities include certification, training and regulatory oversight, and field coordination, the first three pieces of which are currently housed in the Preparedness and Training Division, with field coordination handled by the Field Services Division.

**Finding 9:** Additional IDHS support, specifically state-level training, is needed to provide for consistent and shareable local hazmat team capabilities across the state.

**Recommendation 9a:** The Preparedness and Training Division should collaborate with the Fire and Building Safety Division to leverage the capabilities of and share resources with the new Indiana state Fire Academy. The division and the academy should conduct regular review of training needs across disciplines, including hazmat awareness and response training.

**Finding 10:** Collaboration and coordination with the Indiana National Guard in multi-year training and exercise plan development process is not in place. Ongoing coordination is needed to strengthen interagency coordination across all mission areas, including response capabilities and resource planning.

**Recommendation 10a:** Establish expectation and responsibility for the Training and Preparedness Division to develop and maintain processes for ongoing coordination and collaboration with the Indiana National Guard regarding multi-year training and exercise plans. Conduct an annual training and capabilities conference with the Indiana National Guard to identify priorities, funding needs and opportunities, and potential capability gaps because of deployments.

**Finding 11:** EMS certification, training, and support need to be strengthened to provide for quality EMS services throughout the state.

**Recommendation 11a:** Work with the EMS Commission to identify strengths and weaknesses in current EMS training, support, and certification and recommend to the Executive Director goals and actions to improve the EMS program.

### 3.3.4 Protection and Mitigation

**Background:** Protection and mitigation roles of IDHS are spread across divisions. Response and Recovery staff are responsible for maintaining the state’s SHMP and working with local governments to produce their hazard mitigation plans in accordance with the Disaster Mitigation Act of 2000 (DMA2K). The state’s 2008 SHMP was approved by FEMA, and the plan is due for update. According to a 2012 FEMA web page report, most counties in Indiana had an approved hazard mitigation plan in 2012.<sup>17</sup>

Critical infrastructure protection is addressed by a section within the Planning and Assessment Division that also includes the department’s geographic information system (GIS) capabilities.

General responses about effectiveness are considered applicable where they apply to protection and mitigation as part of a division’s responsibilities. In a survey question regarding administration of recovery and post-disaster mitigation funding, more than half of respondents to whom the question was applicable selected “neither satisfied nor dissatisfied” (53%). For those who had an opinion other than a neutral one, many more were “satisfied” or “very satisfied” (39% combined) compared to “dissatisfied” or “very dissatisfied” (8%). Of the few comments, there were no clear themes, but one “dissatisfied” respondent commented that “the population ratio to cost/mitigation ratio is never optimal for us so everyone figures “why bother?”” Another “dissatisfied” respondent had communication problems with the mitigation branch of IDHS. There were no comments or concerns expressed specific to critical infrastructure protection or pre-disaster mitigation in interviews or the narrative response portions of the survey.

### 3.3.5 Response and Recovery

**Background:** The IDHS Response and Recovery Division is responsible for the state EOC, emergency communications, the state IMAT, hazard mitigation, and disaster recovery assistance programs. The division manages the state’s pre-

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<sup>17</sup> FEMA (2012). FEMA Mitigation Plan Status as of April 30, 2012. Retrieved from <http://www.fema.gov/sites/default/files/images/Nationwide%20Map%20with%20Region%20End%20of%20April%202012.jpg>.

disaster SHMP; coordination with the state Department of Natural Resources is required on floodplain management and monitoring of related mitigation activities.

The day-to-day role of the Response and Recovery Division is not widely known to or understood by external stakeholders, given that they may not interact with the division until they have an emergency that requires state assistance. Interviews indicated that information-sharing protocol and processes during an incident may not be clear to all local emergency management agencies. Interviews indicate that the role of the IDHS Response and Recovery Division is not well-integrated with IMAT activity at the district level, which is coordinated through the Field Services Division, with the Response and Recovery Division being more state EOC-focused.

However, in the survey, 65% of respondents who answered indicated they are “satisfied” or “very satisfied” with interactions with the Response and Recovery Division during disasters. An additional 25% were “neither satisfied nor dissatisfied,” leaving only 10% with negative responses regarding interaction with the division during disasters.

Regarding satisfaction with IDHS’ processes to provide disaster assistance, more than half (63%) of respondents indicated a favorable view (“satisfied” and “very satisfied”) of disaster assistance processes, and almost a third (29%) were neutral. Few respondents were “very dissatisfied,” but almost 10 times more respondents were “very satisfied” than were “very dissatisfied.” Of the 39 comments received for this question, almost half (20) were from respondents who responded “satisfied” or “very satisfied.” These respondents were mixed in their commendations and gave suggestions for improvement. Comments noted the success of the 2012 interstate and intrastate deployments and cited the need to decrease IDHS Field Services involvement at times. Other neutral and “dissatisfied” respondents suggested the need for communication improvements, as well as improving the speed of disaster assistance. Communications issues regarding recovery assistance and mitigation were noted in survey comments.

The district coordinator role, currently managed by the Field Services Division, could pose a potential bottleneck in the flow of information during an incident. Because local jurisdictions generally go through their respective district coordinator for information and to request support, there is uncertainty if this process also operates during an incident. In a multi-county incident, that coordinator could have multiple counties reporting to/communicating with him/her in an urgent fashion. Each district coordinator reports to a team leader.

IDHS is attempting to clarify this process. Based on recent guidance, local jurisdictions are expected to report to the state EOC using the incident information software used by emergency management throughout the state, WebEOC, or via phone or email to the IDHS watch desk.<sup>18</sup> Local governments need to be trained on

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<sup>18</sup> Critical Incident Reporting Requirements for County EMAs to the State EOC, February 2013.

WebEOC and encouraged to develop staff capability – not necessarily only from the emergency management agency/office – to use WebEOC to manage information locally and to communicate with the state EOC. Other state agencies also use WebEOC to maintain situational awareness, including the IIFC; however one interview indicated a hesitance of some state agencies to use WebEOC.

**Finding 12:** IDHS has the capability, through its EOC and WebEOC, to quickly gather and share incident information among 4,000 local and state emergency management and response agencies. During an incident, direct, expedited communication with the state EOC is needed rather than communication through a district coordinator.

**Recommendation 12a:** Ensure that incident reporting and situational awareness guidance and processes, including use of WebEOC, are communicated to all local emergency management agencies and other state agencies and are included in the agency multi-year training and exercise plan to improve clarity and comfort in using information management tools.

**Finding 13:** State response and incident management support has sometimes been heavy-handed, with stakeholders expressing concern that IDHS personnel have self-deployed and/or tried to usurp rather than support local control during an incident.

**Recommendation 13a:** Through guidance, procedures, and training, establish performance expectations that all state-level response assistance and incident management assistance is designed and implemented as support to local government response organizations rather than as on-scene command and control. Maintain state-level IMAT capabilities to support, not supplant, local Incident Command and/or EOC operations when requested.

**Finding 14:** Despite significant efforts to create IMATs at the district level, interviews noted inconsistent willingness or ability to implement the Incident Command System (ICS) among state agencies with response or response support roles.

**Recommendation 14a:** In support of state agency adherence to Executive Order 13-09, work with the Preparedness and Training Division to reinforcement expectations for, provide, and track participation in ICS training for state agency employees and incorporate ICS in state-level exercise evaluation.

### 3.3.6 Fire and Building Safety

**Background:** Responsibilities for fire investigations, building and fire code enforcement, elevator and amusement ride safety, boiler and pressure vessel safety, fireworks safety, and construction plan review for types of structures

specified in state statute are addressed by the Fire and Building Safety Division. The division has more regulatory responsibilities than other components of IDHS.

The Fire and Building Safety Division has seen an increase in project plans reviewed over the past several years as the economy recovers. For example, the first quarter of 2013 showed 2,056 projects released compared to 1,881 in the same period in 2012 (a 9% increase). Revenue from plan review also was up, from approximately \$910,000 in the first quarter of 2012 to \$1.06 million in the first quarter of 2013 (up 16%). Turnaround time for plan review is a concern for builders and developers and in the past has generated complaints; turnaround time for plan reviews was 13.8 days in the first quarter of 2013 compared to 10.0 days in the first quarter of 2012 and 13.3 days in the first quarter of 2011. An interview with the State Fire Marshal indicated the average time for plan reviews is down from 20-30 days several years ago.

A fair and credible construction plan review and permitting process that balances the safety interests of the state with the economic interests of developers and builders is vital. The Fire and Building Safety Commission makes decisions on code compliance and variance issues after review by the building law compliance officer. The current organization, which includes the building law compliance officer reporting to the State Fire Marshal within the IDHS Fire and Building Safety Division, provides a structure for balancing safety and business interests. Other state agencies also do construction plan review for facilities within their areas of responsibility (e.g., Department of Health, Department of Transportation). While this review did not examine plan review activities in departments other than IDHS, identification of ways to align practices and share resources regarding plan review may be an area for additional efficiencies for the state.

**Finding 15:** Plan review and permit fees from the Fire and Building Safety Division contribute funding that supports the rest of IDHS, a practice that could, if not managed based on agreed-upon objectives, undermine the Fire and Building Safety Division's ability to carry out statutory responsibilities.

**Recommendation 15a:** Conduct analysis to determine the needed funding threshold for Fire and Building Safety Division to perform its statutory missions. Establish budgeting protocols that maintain that threshold while providing support for Indiana's other homeland security and emergency management programs.

### 3.3.7 Assistance to Local Government Emergency Management and Homeland Security

**Background:** A key part of IDHS' mission involves assisting local (county and municipal) governments in preparing for and dealing with emergencies and disasters. Most of IDHS' programs have relevance or a level of interaction with county and city government agencies. Interviews and survey results indicate that IDHS can improve its efforts and effectiveness in assisting local governments. As

noted above, while 73% of survey respondents either strongly agreed or agreed that IDHS is effective at fulfilling its overall mission, survey comments conveyed concern that IDHS is trying to be operational rather than supporting local response operations. Comments in other sections noted confusion as to the role of district coordinators in supporting local emergency management.

A survey question regarding satisfaction with financial support to local governments found that most respondents were neither satisfied nor dissatisfied with financial support from IDHS, but they had many comments about it. A number of respondents who indicated dissatisfaction commented that monies should go to local governments rather than to district task forces. Among the areas most often mentioned for improvement in the IDHS survey was communication, including communication with local and district entities and the need to improve information flow processes. Another key area for improvement involves support to local governments. Respondents indicated that more guidance and focus is provided to the districts and recommended that there be a shift to include counties/local governments. The concern was also expressed that more funding should be available specifically for counties rather than funding solely to districts and district task forces. As one respondent noted, "The Taskforce concept, while beneficial in its own right, has overshadowed basic, local needs."

Regarding interactions with the Field Services Division, survey responses were mixed; there were more negative and more positive answers regarding regular interactions with the division and fewer neutral responses than regarding other divisions. On the survey question related to satisfaction with day-to-day interactions with each IDHS division, most respondents (67%) indicated they were "satisfied" or "very satisfied" with day-to-day interactions with the Field Services Division. Almost 14% of respondents answered "dissatisfied" or "very dissatisfied" with day-to-day interactions with the Field Services Division, which was slightly higher than negative perceptions of interactions with other divisions (which were each at less than 10%). This may be related to the fact that respondents have more interaction with the Field Services Division than with other divisions. Interviews indicated concern that Field Services' varied roles, particularly where they may be duplicative of activities of other divisions such as planning, training, and exercise, tend to confuse rather than enhance provision of service.

The process for grant funding allocation in recent years set the stage for the sense that counties were being left out of the system. Grant funding was based on a scoring process of proposals in which a proposal from a local government that did not have the support of or was not put forward by the relevant district automatically lost 20 points in the scoring process. In this way, local needs were funded much less often. While identifying opportunities to share resources regionally is a positive concept, there should also be provision for needs that have more specific local application, such as backup power generation for a critical public safety facility. IDHS intends in the next fiscal year to set aside a small amount (5%) of grant funds for local proposals, with a cap of \$10,000 per project.

**Finding 16:** Stakeholders have the perception that IDHS district programs have reduced financial and other support to local governments, rather than enhancing support to local governments, which was part of the intent of the district program. Communication and assistance from IDHS to local (i.e., county, primarily) governments has been diluted, or at least complicated, by IDHS' relationship with districts.

**Recommendation 16a:** Based on the mission of IDHS and stakeholder feedback, establish clear guidance that utilizes districts as a tool to deliver and enhance rather than a substitute for IDHS support of and coordination with local governments on a day-to-day preparedness basis.

**Finding 17:** Improvement is needed in communication with local governments.

**Recommendation 17a:** Develop and implement a stakeholder communication strategy that outlines types of communication and messaging to local government and NGO stakeholders from all components of IDHS, including key types of information, communication goals and objectives, communication frequency targets, and communication tools/mechanisms.

#### *3.3.7.1 District Structure and Programs*

**Background:** A 2005 white paper proposed the IDHS district planning council (DPC) structure, which was based on the existing 10 divisions already being used by Indiana homeland security and public health agencies. The initial proposal focused on DPCs and their potential for sharing of resources and information and stakeholder input on grant fund resource allocation. The white paper stated, "District Planning Councils are **not** *[emphasis in original]* the providers of service or emergency response," and included the possibility of district task forces, the need for which would be determined by each DPC.

Multiple states have implemented a regional, district, or area approach to structure work with local jurisdictions and facilitate stakeholder input on homeland security grant funding distribution. Indiana's district structure has slightly more districts or areas than other states' structures if analyzed on a per capita basis. IDHS' districts also have more extensive local stakeholder involvement and build out of operational capability than do most other state district/regional structures (See Appendix F).

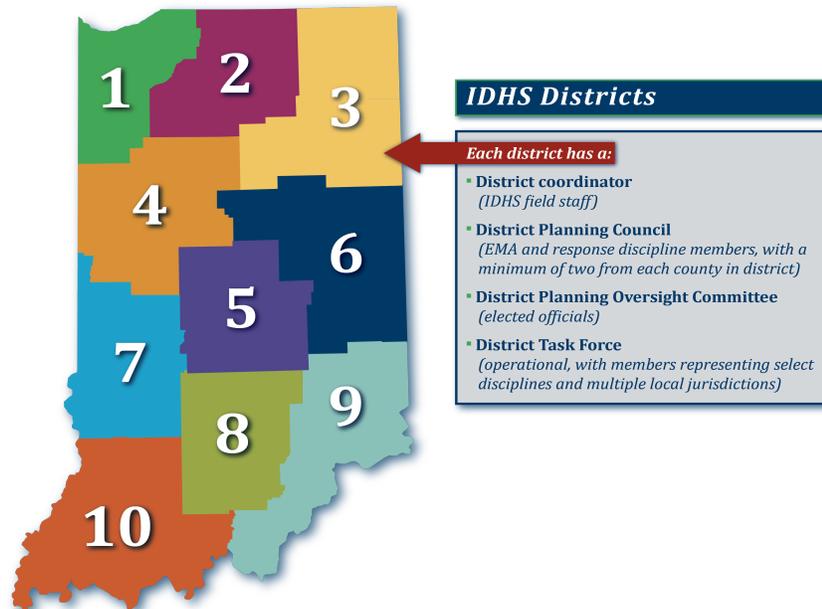


Figure 5. Indiana Homeland Security District Programs

Indiana’s current DPC, district planning oversight committee (DPOC), and district task force structure has established a system of stakeholder involvement that could be built upon and used as a system for ongoing training and preparedness. However, IDHS interviewees reported a lack of clarity regarding objectives and roles of DPCs, DPOCs, and district task forces. In some districts, activities among the district task forces, DPC, and DPOC are not well coordinated. Because the district programs were created by IDHS rather than by statute, the structure and mission of district programs can be adjusted and refined to more efficiently and effectively meet the needs of the state.

The concept for Indiana’s DPCs initially included partnership with ISDH<sup>19</sup> and heavy involvement of public health representatives in DPCs. As the roles of DPCs have evolved, however, DPCs and district task forces typically involve and focus on core activities of fire, emergency management, EMS, and law enforcement.

The last comprehensive guidance for the district task forces was issued in 2009; the guidance stated that “district level planning, training, and response is the number one priority for IDHS.” Since implementation, the district concept has been successful in engaging stakeholders in many of the 10 districts. However, stakeholder comments indicate concern that communication from IDHS and support to local (i.e., county, primarily) governments has been at least partially supplanted by IDHS’ focus on district activities. Based on the mission of IDHS

<sup>19</sup> See Homeland Security in Indiana, Recommendations for District Planning Councils, January 2005.

and stakeholder feedback, districts may be best utilized as a tool/mechanism to deliver and enhance rather than a substitute for IDHS support of and coordination with local governments on a day-to-day preparedness, basis.

**Finding 18:** New guidance, outreach, and training is needed to guide the evolution of purpose and activities of DPCs, DPOCs, and task forces, which also provides an opportunity to clarify objectives, roles, and processes.

**Recommendation 18a:** Establish and work with a stakeholder group that includes local emergency management and individuals who have been involved with DPCs to develop updated purpose, guidance, and training for DPCs, DPOCs, and task forces.

**Recommendation 18b:** Develop a sustainment strategy for optimal use and maintenance of resources and capabilities developed through the district program to date.

**Finding 19:** Current district task forces do not have consistent representation from public health and other key response players, such as public works, utilities, and other ESF representatives but focus on traditional response groups of fire, law enforcement, and EMS, in addition to emergency management.

**Recommendation 19a:** Align participation in district activities, particularly DPCs and task forces, with ESFs in the state CEMP to provide for representation across disciplines and capabilities needed in response.

#### *3.3.7.2 District Task Force Titles*

**Background:** District task force position titles of “district task force commander” and “deputy commander” could create confusion, as this is not consistent with and may be duplicative of the ICS position title “Incident Commander” during an incident. To the extent district task forces focus on developing deployable IMATs, this is potentially not National Incident Management System (NIMS)-compliant, as individual serving on the district task force have these titles on an ongoing basis and may not serve in an incident commander role when deployed as an IMAT.

**Finding 20:** Use of the term “commander” in position titles within district task forces cause the potential for confusion in that district task forces support IMATs, for which the ICS term of “incident commander” has a particular meaning.

**Recommendation 20a:** As part of the new guidance above, revise district task force titles to remove labels that could be in conflict with ICS positions.

### *3.3.7.3 District Task Forces*

**Background:** As with many states' homeland security organizations, IDHS' district structure and activities were initially driven at least partially by the need to divide federal homeland security grant funds in a way that increased capabilities throughout the state. The ongoing and expected future reduction in federal grant funding makes this initial intended role less relevant. Reductions in federal funds may increase the value and importance of districts in sustaining capabilities, particularly through coordinated planning, training and exercise, maximization of district and other intrastate mutual assistance agreements to enable seamless resource sharing, and alignment of plans. More than 30 survey respondents, in addition to 7 stakeholders interviewed, commented that the number of task forces should be reduced; in comments 3 to 5 task forces were the most frequently mentioned as the optimal number of task forces.

From 2007 through 2012, Indiana spent more than \$3.9 million in federal grant dollars for equipment for district task forces and related district capabilities. Another \$601,373 in federal grant monies was used for district task forces/local participation in exercises during the same period. Some additional funds (approximately \$235,000) not expended for exercises were used for district training purposes. Primary training activities are provided and/or coordinated through the Preparedness and Training Division. Separately, another \$3.2 million in federal grants was expended at the state level in planning, training, exercise, and equipment for district programs.<sup>20</sup> There is uncertainty regarding federal homeland security and emergency management grant program appropriations during the next few years, and at least some reductions are expected in federal funding.

District task force equipment purchased in prior years, such as communications equipment, cots, and mobile command units, has ongoing maintenance costs. Continuing to equip 10 district task forces could prove difficult to sustain with the reduction in federal grant funding.

Interviews and survey results include concerns about the manner in which grant funds have been allocated, although this could be a vestige of past practices. According to Field Services' documentation, district task forces received grant allocations totaling from \$347,141 (District 8) to \$612,155 (District 10) from 2007 through 2012. Federal grant funds were allocated to districts based on several factors including population, scores on an annual district assessment, and participation in state- or national-level exercises. Three or four districts are scheduled to participate in a state exercise each year, and district exercise expenditures cover costs of local and district task force

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<sup>20</sup> District Task Force Sustainment Costs, IDHS Field Services Division (no date).

personnel participation, including backfill to cover staff away from their post. In future years, funding to districts will be competitive.

**Finding 21:** The focus of district task forces on building out operational capabilities at the district level may not be sustainable with reduced federal grant funding and in some cases creates conflict with the response responsibilities of local government. Continuing to train and engage stakeholders on a district basis can/will provide ongoing benefits without incurring additional equipment investment or maintenance costs.

**Recommendation 21a:** Evaluate the optimal task force number considering the potential to consolidate equipment and supplies to reduce the number of task forces to fewer than 10 – perhaps three to five, geographically dispersed with shared responsibility among districts – with a goal of maximizing geographic usefulness, resource sharing, and staffing.

**Recommendation 21b:** Focus on building the knowledge and skill base of personnel and teams - rather than equipping self-sufficient task forces - throughout the state by providing ICS and EOC management training and exercise, including IMAT- and EOC-position-specific training, to jurisdictions and personnel in each district.

**Recommendation 21c:** Clarify in new district program guidance that task forces are to support local government response needs and not supplant or usurp local responsibility or direction and control during an incident.

**Finding 22:** Task force activities should be better coordinated with overall state procedures for support to local governments identified by the Response and Recovery Division rather than operated independently through the current Field Services Division.

**Recommendation 22a:** Develop a management and oversight policy for the task forces, integrating them as part of intrastate mutual aid and state provision of response assistance to local government. This process may continue to use district coordinator staffing but should align with Response and Recovery Division procedures and the state CEMP.

#### *3.3.7.4 District Administrator Funding*

**Background:** Districts have been allowed up to \$50,000 each year to pay for administrative support for district activities. Responsibilities for the district administrator were suggested by IDHS, but administrators were hired and managed by a jurisdiction or agency that is part of the district. IDHS maintains little to no oversight or control over performance of district administrators. For the next fiscal year, 7 out of 10 districts have requested administrator funding.

Interviews indicated inconsistency in responsibilities, performance, and payment of district administrators that has caused confusion among districts.

**Finding 23:** Use of district administrators, which are funded through grant funds but hired by a local jurisdiction in each district, are inconsistent and are not guided by procedures, common contract language, or accountability measures.

**Recommendation 23a:** End payments for district administrators or create a procedure, common performance agreement and job description, and evaluation metric for district administrators. If maintained, evaluate the payment amount to determine if a lesser amount would accomplish intended objectives.

#### *3.3.7.5 Emergency Management Performance Grants (EMPG) Assessment*

**Background:** Survey results regarding the Emergency Management Performance Grants (EMPG) assessment process, which is completed by local emergency management agencies that receive EMPG funds, illustrated a mix of opinions, from the assessment being busywork to it being a measure of accountability. Respondents were evenly divided on their impressions of the EMPG assessment process, with the most neutral (43%) and comparable numbers between those were “very dissatisfied” (7%) and “very satisfied” (8%). Slightly more were “satisfied” (24%) than “dissatisfied” (18%). One concern expressed across answers was that the process encourages quantity of plans rather than quality.

**Finding 24:** EMPG funds are allocated to local emergency management programs based on the annual EMPG assessment. The program assessment does not differentiate between agencies of differing staff sizes, population served, or risk and vulnerability.

**Recommendation 24a:** Develop and implement a tiered EMPG assessment that incorporates factors including county population (e.g., three population levels), achievement of key benchmarks, and other factors as appropriate.

#### *3.3.7.6 Grant Funding Allocation*

**Background:** Allocation of grant funds are a sensitive subject, generally, and past IDHS practices of bypassing scoring process results and allocating grants equally across districts or jurisdictions seems to have contributed to a sense of unfairness in the process. Survey respondents suggested a grant rating system and recommended that grants be performance-based grants, rewarding counties and districts that meet standards and that have been active participants rather than distributing grant amounts equally regardless of commitment level. Almost a third (35%) provided a neutral response to a question regarding satisfaction with allocation of grant funds. The percentage of

respondents who had negative viewpoints toward the allocation of grant funds was identical to those with positive viewpoints, including those who felt strongly one way or another. Nearly a quarter (26%) rated themselves “dissatisfied” or “satisfied” with the allocation of funding, and seven percent of respondents felt either “very dissatisfied” or “very satisfied.”

Comments included the need to have funding allocated by performance. As one respondent commented, “Once again seen too many times where districts don't follow the funding guidance get the same funding as those who go the extra mile and follow.” Another theme that emerged across satisfaction levels was the request to have more funding allocated to locals instead of focusing on funding only the districts. “Dissatisfied” and “very dissatisfied” respondents’ comments included issues of favoritism and uneven distribution between urban and rural communities and large counties and small counties. One respondent suggested that allocation also is needed for volunteer organizations. It should be noted that it is expected that, in general, when addressing funding support, stakeholders will identify the need for additional money for their programs.

Allocations have been structured in a way that favors investment in district capabilities rather than in local capabilities, although investments made through districts go to local agencies that participate in district activities. Some local stakeholders have indicated that not having a representative on the district task force can mean a local jurisdiction has more difficulty in getting funding.

**Finding 25:** Homeland security grant funds have sometimes been allocated in a manner that was not transparent or did not follow stated process and focused on build out of district capabilities rather than addressing local capability and preparedness needs.

**Recommendation 25a:** Implement and maintain a fair and transparent process for allocating homeland security and related grant funding that considers value of the proposed investment to local or regional capabilities and preparedness as well as performance of the proposing agency. Include a factor that balances the interests of small- and large-population counties.

### 3.4 IDHS Internal Structure

IDHS currently has five operational divisions plus an Executive Division that includes executive leadership and administrative components. To preserve direct access for legal and financial offices and to provide for manageable span of control in terms of reporting relationships to the Executive Director, this review recommends minor reorganization of the Executive Division. The realignment includes the Legal Services, Finance Office, Administrative Office/Chief of Staff, and each of the division directors reporting to the Executive Director. The

Administrative Office would include Human Resources, Information Technology (moved from the Planning and Assessment Division), Media Relations, and Special Projects. This reorganization will require strong management and communication by the chief of staff or administrative officer. It is recommended that Information Technology be moved to the Executive Division in recognition of its cross-cutting impact across all divisions. See Figure 6 below for a possible revised configuration for the Executive Division. A yellow highlight indicates a move from another division.

**Finding 26:** Reorganization of the Executive Division is needed to clarify reporting relationships, improve manageable span of control, and preserve direct reports from operational divisions and legal and finance components.

**Recommendation 26a:** Realign the Executive Division so that Human Resources, Information Technology, Media Relations, and Special Projects report as part of the Administrative Office. Administrative Office/Chief of Staff, Finance, Legal Services, and division directors report to the Executive Director.

*Proposed Revised IDHS Organizational Chart, Executive Division*

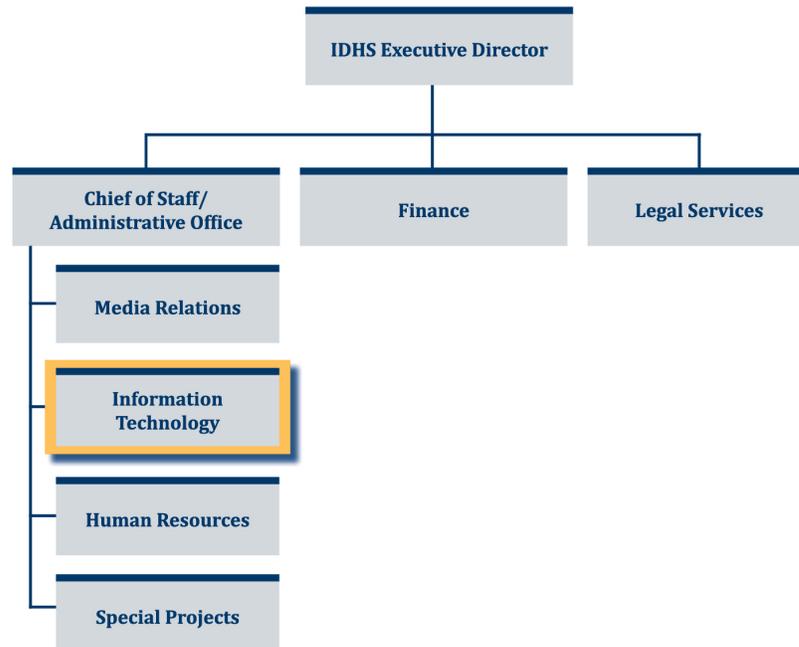


Figure 6. Proposed Executive Division Organization

The following subsections address findings and recommendations regarding organizational divisions and specific programs within IDHS.

### 3.4.1 Planning and Assessment Division

**Background:** The IDHS Planning and Assessment Division, for which the division chief position is vacant, needs strong capabilities and leadership to coordinate state-level emergency planning and provide guidance and assistance to local government disaster planning efforts. In addition to the Planning Branch, the division includes the Policy Development and Research Branch, which includes the Grants Management Section, and an Information Technology (IT) Branch.

The division includes IDHS' GIS capabilities and has the lead on critical infrastructure protection for the state, including populating and maintaining Indiana's entries of critical infrastructure in the federal Automated Critical Asset Management System (ACAMS). ACAMS is used for criticality and vulnerability analysis to support critical infrastructure protection planning and to provide critical infrastructure data to US DHS as needed.

While state law establishes that the Planning and Assessment Division will disburse federal and state homeland security money,<sup>21</sup> this should not preclude accounting aspects of grants management being handled by the finance office. Some states, such as Louisiana, handle all homeland security and emergency management grants management functions in a grants management division or office that reports to the director. This can enhance efficiency and visibility on fiscal status, given that grants impact all components of the organization. For Indiana, moving all of the Grants Management Section to the Executive Division or to its own division would require a statutory revision by the Legislature and is recommended for future consideration. See [Figure 7](#) below for a possible revised organizational chart for the Planning and Assessment Division. A yellow highlight indicates a move from another division.

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<sup>21</sup> Indiana Code §10-19-4-2(3).

**Proposed Revised IDHS Organizational Chart, Division Level**

**Planning and Assessment Division**

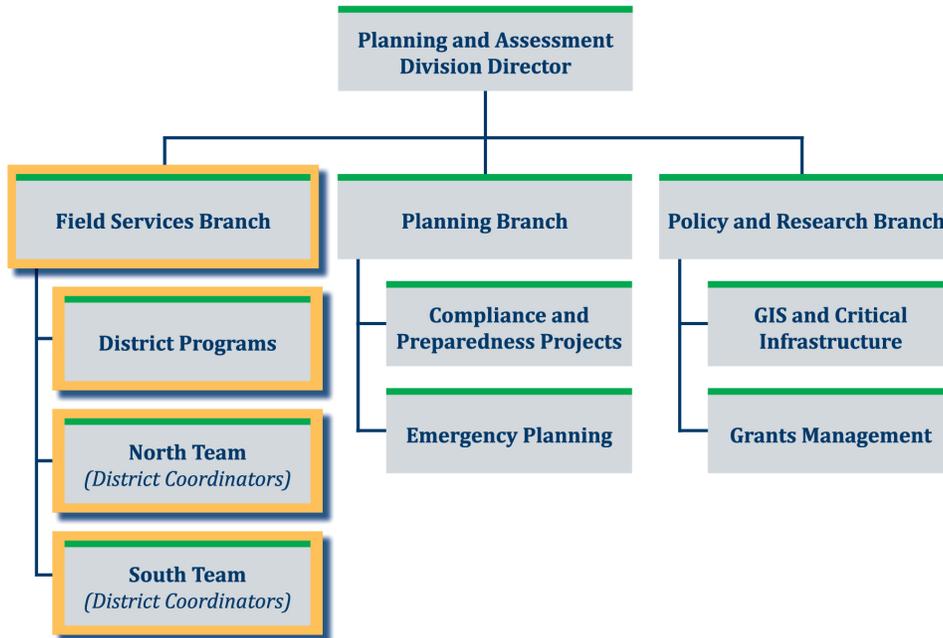


Figure 7. Proposed Planning and Assessment Division Organization

**Finding 27:** The Grants Management Section’s current organizational placement within the Planning and Assessment Division distances financial and accounting aspects of grants management from financial management and accounting oversight within IDHS.

**Recommendation 27a:** Work with the finance office to transfer responsibility for financial aspects of grants management to the finance office. (See also Recommendation 47a.)

**Recommendation 27b:** Fill open Planning and Assessment Division positions with experienced individuals with training and expertise in the areas of responsibility. Given the importance and variety of activities within the division, ensure that division director has strong leadership and management skills.

### 3.4.2 Preparedness and Training Division

**Background:** The Preparedness and Training Division handles exercise activities, training activities for fire, emergency management, hazardous material response, and EMS, as well as EMS compliance, regulation, and certification. State statute gives the division the responsibility for all training for the department. The director position was vacant at the time of this review. Coordination of training across IDHS disciplines is needed, as will be coordination with the planned state Fire Academy.

Interviews and survey comments indicate the need to strengthen EMS, with suggestions for moving it to the Fire and Building Safety Division or to ISDH. EMS activities include certification, training, and regulatory oversight, and field coordination, the first three pieces of which are currently housed in the Preparedness and Training Division, with field coordination handled by the Field Services Division.

**Finding 28:** EMS certification, training, and support needs to be strengthened through a coordinated EMS program.

**Recommendation 28a:** Move EMS certification, regulatory, and support components from the Preparedness and Training Division to the Fire and Building Safety Division and establish an Emergency Medical Services Branch within the Fire and Building Safety Division.

With the recommendation above and as indicated in [Figure 8](#) below, EMS training would remain in the Preparedness and Training Division, given current statutory language while EMS certification components would move to the Fire and Building Services Division.

**Proposed Revised IDHS Organizational Chart, Division Level**

**Preparedness and Training Division**



Figure 8. Proposed Preparedness and Training Division Organization

**3.4.3 Response and Recovery Division**

**Background:** The Response and Recovery Division includes Response, which includes the state EOC and EOC operations chief and watch officer staffing, logistics, and communications, and Recovery, which includes personnel responsible for managing public assistance, individual assistance, and mitigation programs as well as the State Disaster Relief Fund (SDRF).

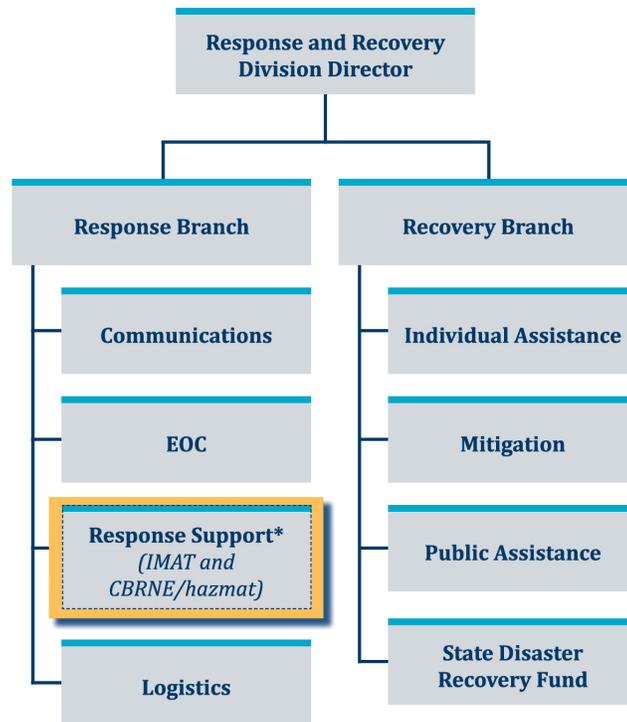
Survey results indicate satisfaction with organization of and interaction with the Response and Recovery Division. It is likely that jurisdictions that have not had a significant emergency or disaster have had minimal or no contact with the division. Interviews indicate the need for greater clarity of role and process of the division and coordination with the state IMAT and district IMATs, which currently operate as part of the Field Services Division.

**Finding 29:** A disconnect exists between state- and district-level IMATs, which are intended to support local response incident management needs, and the state’s Response and Recovery Division.

**Recommendation 29a:** Determine optimal organizational placement and management of IMAT activities to provide for integration in overall state response support to local governments. Consider integrating state and district IMAT activities in the Response and Recovery Division.

*Proposed Revised IDHS Organizational Chart, Division Level*

*Response and Recovery Division*



*\* In place during incidents; may include personnel from other divisions.*

**Figure 9. Proposed Response and Recovery Division Organization**

**3.4.4 Field Services Division**

**Background:** The state homeland security statute does not establish a Field Services Division. The IDHS Field Services Division was created administratively in 2009 to fill a perceived need for coordination with the 10 districts, particularly the DPCs, DPOCs, and district task forces, and with local governments. As of 2013, the Field Services Division coordinates IDHS activities related to DPCs, DPOCs, and district task forces. The division includes district coordinators, CBRNE and hazmat response, and EMS field coordination.

IDHS divided the state into 10 geographical districts before the creation of the Field Services Division. The district structure is intended to enhance administrative,

emergency response, and coordination capabilities throughout the state. There are two distinct aspects of district activities discussed in this review: 1) district and area coordinators, which are IDHS staff for the 10 districts; and 2) the district program - a structure of DPCs, DPOCs, and district task forces, which involve local responders and elected officials in each respective district (See Subsection 3.3.6.1 above for additional discussion of district programs).

Each of Indiana's 10 districts is staffed by a district coordinator. District coordinators are managed by two team leaders (north and south). Before the establishment of the current 10 districts, IDHS used other subdivisions, variously including a south, north, and central configuration (three regions) and a quadrant system (four regions).

The responsibilities of the Field Services Division are vast, and in fact, mirror responsibilities of the other individual divisions, including planning, training, exercise, and response support to local governments. A challenge is presented in that the role of the Field Services Division has evolved in a way that duplicates responsibilities of other divisions. According to the Field Services web page, "Field Services staff will provide guidance and direction in support of local government (to include emergency responders) for technical assistance 'subject matter expertise,' in support of their efforts in planning, training, exercise, and response."<sup>22</sup> The IDHS web site notes that district coordinators also assist local governments with damage assessment and paperwork post-disaster. District coordinators are provided laptop computers and can send photos, location coordinates, and narrative statements to the state EOC from their computers.

Survey respondents indicated a positive (59%) or neutral (31%) perception of the IDHS organization as it relates to the Field Services Division, which was similar to response breakdowns for the other divisions. Negative perceptions regarding organization related to the Field Services Division were slightly higher, however, than for the other four divisions, at 10.5% compared to 6% or less for the other divisions.

Some local stakeholders express appreciation for the presence of IDHS throughout the state that is available through the district coordinators, which report to Field Services. District coordinators had been previously administratively managed as part of other divisions. The reorganization also moved the CBRNE team and EMS field coordination under the Field Services Division. The CBRNE Section provides assistance to emergency response agencies within Indiana regarding preparedness, response, mitigation, and recovery from an incident involving a CBRNE or hazmat incident. The move of CBRNE to Field Services was included in 2009 as part of efforts to coordinate with districts to build response capabilities.

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<sup>22</sup> IDHS, <http://www.in.gov/dhs/3308.htm>. Retrieved June 6, 2013.

The role of Field Services with regard to planning assistance to local governments is not well defined. Field Services' efforts are largely focused on staffing DPC, DPOC, and district task force activities, and some stakeholders have noted that district coordinators need to focus on assisting local governments rather than on district programs. To the degree that the Field Services Division was created to enhance or streamline coordination with local governments, this objective has not been met. While local emergency management is represented on each DPC, district task forces, which have become an active component in some districts, do not include representation of all local EMAs in the district. District coordinators in many cases provide information and serve as the key point of contact with IDHS for local EMAs. In the best circumstances, they refer local EMAs and other stakeholders to the appropriate staff within IDHS, but this expectation or process does not seem to be documented.

A key benefit of district coordinators is ongoing planning and preparedness work with local government emergency management and response organizations. To both emphasize the planning and preparedness role and provide for integrated information and services to local governments, the district coordinator component of IDHS could be integrated with the Planning and Assessment Division. While district coordinators also interact with local governments in training and exercises and during incidents, this review indicates the biggest need for coordination between district coordinators and planning activities. During an incident, district coordinators as well as other personnel likely have response reporting structures that may differ from the reporting structure during day-to-day operations.

**Finding 30:** The Field Services Division includes CBRNE, radiological preparedness, and EMS programs. These previously have been and could appropriately be part of the Fire and Building Safety Division, given its fire services components.

**Recommendation 30a:** Move CBRNE, radiological preparedness and response, and EMS activities from the Field Services Division to the Fire and Building Safety Division.

**Finding 31:** Field Services includes components of other IDHS activities, so the roles of Field Services create confusion rather than clarity regarding the responsibilities of other divisions, including how IDHS divisions serve and work with local governments and local emergency management. This creates the potential for duplication and/or unmet needs if one division assumes the other is fulfilling the responsibility because roles are unclear. This includes a lack of clarity regarding the roles and responsibilities of the Planning and Assessment Division and the Field Services Division in providing advice and expertise in support of local emergency planning.

**Recommendation 31a:** Redistribute components of the Field Services Division to move the remaining component of the Field Services Division, namely the district coordinator structure, as an office under the Planning and Assessment Division. Manage field services in the context of overall planning, support to local governments, and programmatic assessment.

**Finding 32:** No job descriptions were available for district coordinators. IDHS needs to formalize and focus district coordinator job descriptions.

**Recommendation 32a:** Establish a clear position description for the role of IDHS district coordinator.

**Recommendation 32b:** Clarify in job descriptions, procedures, and performance evaluations that district coordinators' role in an incident is to support local government response and not supplant or usurp local responsibility or direction and control.

#### 3.4.4.1 EMS

**Background:** Currently, EMS field coordination is part of the Field Services Division while EMS training and certification is under the Preparedness and Training Division. One of the common themes in responses to the open-ended question at the end of the survey was the need for EMS to be strengthened. Respondents suggested that EMS be moved to its own division and have its own director or that it be transferred to ISDH to "ensure better medical supervision." There was consensus that EMS in IDHS was too limited and needed to be better supported.

**Finding 33:** EMS certification and regulation needs focus and strengthening to ensure continued quality and consistency in EMS services.

**Recommendation 33a:** Move EMS components to the Fire and Building Safety Division and ensure staffing includes appropriate expertise for communication with EMS organizations and personnel as well as implementation of EMS guidance, evaluation, certification, and state-level oversight.

See [Figure 10](#) below for a proposed revised organizational chart at the department level. A yellow highlight indicates a move among divisions.

**Proposed Revised IDHS Organizational Chart, Department Level**

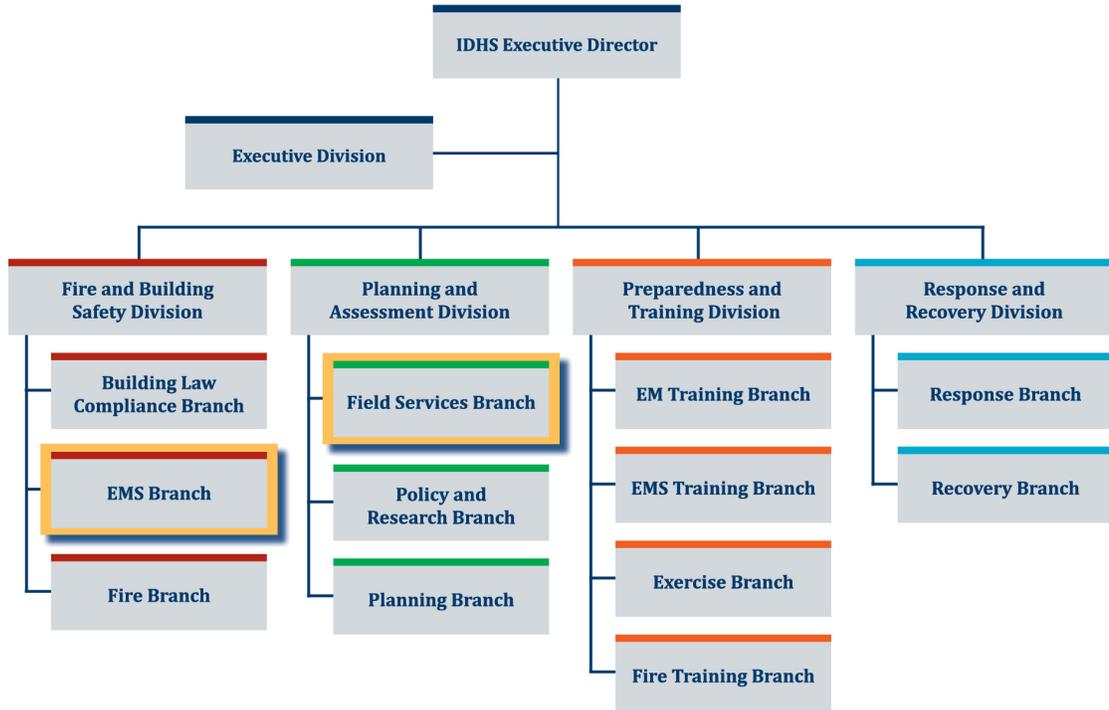


Figure 10. Proposed IDHS Organizational Chart, Department Level

**3.4.5 Fire and Building Safety Division**

**Background:** The Fire and Building Safety Division includes: the State Fire Marshal, who is the director of the division; Building Law Compliance; Building and Fire Code Enforcement, which includes Plan Review, Elevators and Amusement Rides, Boiler and Pressure Vessels sections; Fire/EMS Information Services; Public Education and Outreach; and Fire Investigations Section. The Fire and Building Safety Division is the largest division in IDHS in terms of personnel.

A limited review of other states that do state-level compliance reviews house this function in a Department of Labor and Industry (Minnesota, Montana, and Pennsylvania); a Fire Prevention Division in the Department of Commerce and Insurance (Tennessee); a Division of State Fire Marshal in the Department of Commerce (Ohio); the Department of Housing and Community Development (Virginia); an Office of the Fire Marshal in the Department of Public Safety and Corrections (Louisiana); and a Public Protection Cabinet (Kentucky). Their responsibilities and types of review and compliance activities vary. While housing fire and building code compliance with the homeland security/emergency management agency may not be universal, it makes sense in a number of ways, including similar constituencies of local response organizations and responders and opportunities for coordination and sharing of expertise related to protection,

mitigation, and response. With improved coordination across IDHS divisions, common objectives and needs can be more efficiently and effectively addressed.

Multiple components within IDHS have training needs, including fire, EMS, hazmat response, and emergency management. Training for three out of four of those areas are addressed in the Fire and Building Safety Division. The division has been authorized and will receive state funding to establish a state Fire Academy. However, current state law (Indiana Code 10-10-9-1, et seq.) states that the IDHS Division of Preparedness and Training is responsible for the training program for firefighting; emergency management; environmental management; fire or building inspection; EMS; and other public safety or homeland security activity the division may determine is needed.

**Finding 34:** Disciplines represented within IDHS have varied training needs and constituencies and because responsibility for the training program across IDHS disciplines is tasked, in statute, to the Preparedness and Training Division, coordination between the planned state Fire Academy and the IDHS Preparedness and Training Division is needed to maximize efficient use of training resources and to provide for streamlined tracking of training needs, training offerings, and training records.

**Recommendation 34a:** As the state Fire Academy is established under the auspices of the Fire and Building Safety Division, explore and establish mechanisms to coordinate, support, and provide training programs for IDHS disciplines and functions other than fire, including EMS, CBRNE and hazmat response, incident management, and emergency management.

**Recommendation 34b:** Determine implications of the planned state Fire Academy on IDHS organization and coordination given that state statute gives the Preparedness and Training Division responsibility for fire, EMS, hazmat response, and emergency management training.

**Recommendation 34c:** Depending on the desired scope of the new Fire Academy - that is, facility only or entire program - determine whether revision to state statute is needed to reflect changed responsibilities for training.

See [Figure 11](#) for a proposed organizational chart for the Fire and Building Safety Division. A yellow highlight indicates a move from another division.

**Proposed Revised IDHS Organizational Chart, Division Level**

**Fire and Building Safety Division**

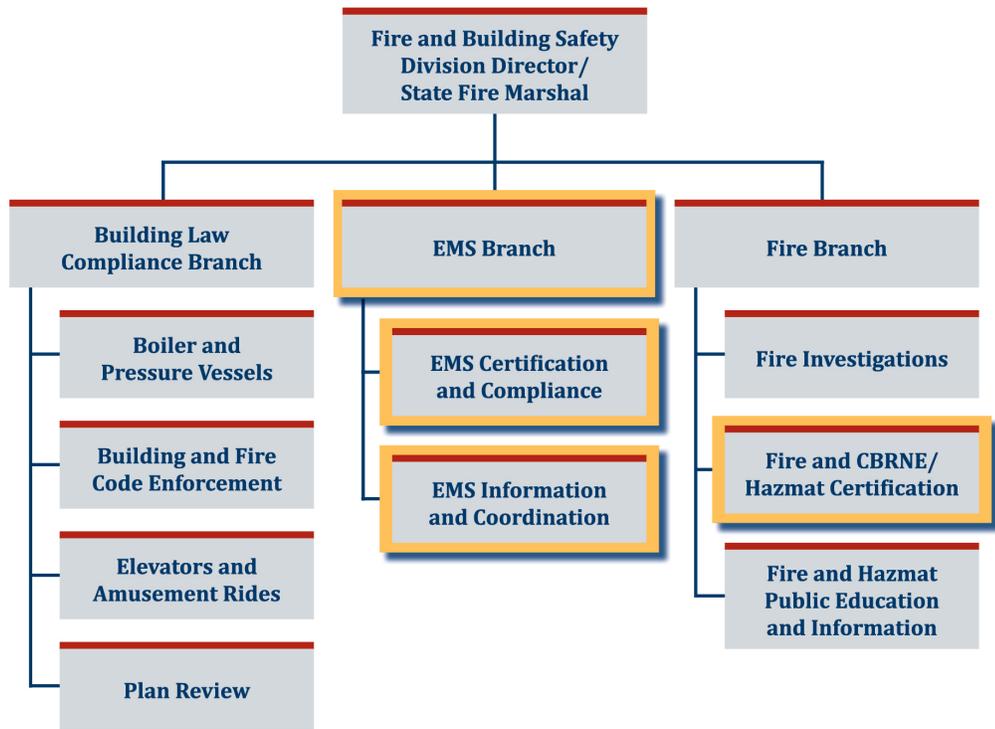


Figure 11. Proposed Fire and Building Safety Division Organization

**3.5 Budget and Finance**

**3.5.1 Funding of IDHS**

**Background:** The IDHS budget is supported by federal grants, compliance fees collected for building and fire code compliance, and to a limited degree, state appropriations. IDHS operations are primarily funded through two sources: the Fire and Building Services Fund (32%) and federal grants (49%). Most states provide a least some state general fund appropriations for their homeland security and emergency management functions. The use of the Fire and Building Services Fund for non-fire and building safety regulation functions was implicitly authorized under the 2005 act creating IDHS in that Indiana Code §22-12-6-1 lists “the department” (rather than the division) in a list of what will be supported by fees deposited in the Fire and Building Services Fund.

Approximately 81% of \$13.4 million Fire and Building Services Fund revenues come from three sources:

- Fire insurance tax
- Plan review fees

- Elevator inspection fees

Based on current personnel salaries, approximately 46% of the Fire and Building Safety Fund revenue spent on salary and benefits goes to divisions other than the Fire and Building Safety Division.

Although use of Fire and Building Safety Fund revenues for broader IDHS operational costs is authorized by statute, there is concern that those who pay fees related to fire and building safety assume that those resources are primarily funding fire and building safety-related activities. The average processing time for plan review has decreased in recent years; they could potentially decrease further if additional resources were dedicated to this purpose. Regarding plan reviews, shorter processing times could have a positive impact on state economic development.

Federal grant funding has decreased substantially from almost \$50 million in fiscal years 2008 and 2009 (about 70% of IDHS budget) to \$19.9 million in fiscal years 2012 and 2013 (about 55% of IDHS budget).

Fiscal year	FY2007-08	FY2008-09	FY2009-10	FY2010-11	FY2011-12	FY2012-13
Federal grants <sup>23</sup>	\$49,514,736	\$48,382,351	\$43,647,124	\$43,647,134	\$19,913,422	\$19,913,422

**Table 1. Decrease in Federal Grant Funds, 2007-2013**

Dedicated funds have become a larger percentage of the IDHS budget over the same period (about 27% to 45%).<sup>24</sup> With the newly created \$10 million school safety program, IDHS' budget includes approximately 49% federal grant revenue, 32% dedicated state (fee) revenue, and 19% state appropriations, the last of which is for the state school safety program. Most states' emergency management and homeland security functions rely heavily on federal grant funds for operating costs, complemented to a greater or lesser degree by state general funds. Federal preparedness grants received by IDHS include funds from EMPG and Homeland Security Grant Program (HSGP), which includes several types of grants. Other federal grant programs provide mitigation planning and post-disaster recovery and mitigation funds. While there is no set requirement for the percentage of EMPG funds that must go to local governments, for certain HSGP funds, at least 80% of grant funds must go to local government sub-grantees. Pre-disaster mitigation planning and project funding is available through the Pre-Disaster Mitigation Program, Flood Mitigation Assistance, and related programs, with mitigation project funding awarded on federal planning and project criteria. Availability of

<sup>23</sup> Includes all federal grant funds, not only State Homeland Security Grant/preparedness funds. From Agency (Budget) Summary(ies), retrieved from [www.in.gov/sba](http://www.in.gov/sba), June 30, 2013.

<sup>24</sup> State Budget Agency Expenditure Summary-All Funds by Agency.

monies for disaster response and recovery are dependent on a federal emergency or disaster declaration.

Few states have fee revenue dedicated to support the emergency management or homeland security department, as Indiana does. Florida's insurance policy premium, which supports state and local emergency management, is a rare example. After Hurricane Andrew in 1992, the Florida Legislature passed a law that places a small annual surcharge (\$2 to \$4) on residential and commercial property insurance policies (See detail in Appendix G). The surcharge funds state and local emergency management in Florida.

This report makes several recommendations for functional organizational changes; these changes are designed to improve the allocation of existing resources. As described earlier in the report, through the development of an inclusive strategic planning process, the leadership of the department can identify key strategies and spell out measurable goals and objectives to achieve those strategies. Continual realignment of existing resources to achieve those objective then becomes much clearer.

Indiana has a State Disaster Relief Fund that can provide individual and public sector recovery assistance post-disaster for incidents that are damaging but that are not federally declared disasters. The program is structured to cover uninsured losses. The fund is supported by revenues from general appropriations and fees from a public safety fee on fireworks (however, the first \$2 million goes to public safety training fund). Eligibility determinations and payment processing for this fund is handled by IDHS.<sup>25</sup>

**Finding 35:** Indiana's fire insurance policy surcharge, authorized under Indiana Code §22-12-6-5, which partially funds the state's fire and building services fund, is a similar approach to Florida's insurance premium surcharge for emergency management, although its legislative history is different and the broad purposes for which it is being used are less clearly stated.

**Recommendation 35a:** Conduct analysis to determine needed funding threshold for Fire and Building Safety Division to perform its statutory missions. Establish budgeting protocols that maintain that threshold while providing support for Indiana's homeland security and emergency management programs.

**Finding 36:** The use of Fire and Building Safety Fund for IDHS operations may have become unbalanced with too much of non-Fire and Building Safety staff dependent on the fund.

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<sup>25</sup> Indiana Code §10-14-4 and 290 Indiana Administrative Code 1-1-0.5, et seq.

**Recommendation 36a:** Indiana should consider increasing the proportion of the Fire and Building Safety Fund that goes to Fire and Building Safety Division operations. This can be accomplished, in part, by realigning resources currently assigned to Field Services such as CBRNE protection to the Fire and Building Safety Division (as recommended elsewhere in this report).

**Finding 37:** Federal homeland security grant dollars to states have been reduced and are likely to continue to decline, which may create the need for reallocation of resources and addition of new sources of funding to balance the uncertainty related to federal grant funding.

**Recommendation 37a:** To sustain key homeland security and emergency management functions recently funded by federal homeland security grants, Indiana could consider reinstating limited funding through the state's General Fund. Alternatively, the state could consider funding such functions through an additional fee on insurance premiums as is done in Florida.

**Finding 38:** The State Disaster Relief Trust Fund has been depleted and requires appropriation of state dollars to provide for post-disaster assistance to individuals and households and to repair and rebuild public sector infrastructure when a disaster causes significant damage but no federal disaster declaration is granted.

**Recommendation 38a:** To support the economic resilience of Indiana communities, seek and secure state appropriations to rebuild the State Disaster Relief Fund to the \$2.5 million level.

**Finding 39:** While IDHS operations would benefit from additional state funding, it can enhance support for operations through efficient use of existing resources.

**Recommendation 39a:** Align budget and staffing with the department's strategic goals and objectives to improve effective use of available resources.

**Finding 40:** A portion of EMPG funds support IDHS activities, including the Field Services Division. Indiana provides approximately 40% of EMPG funding it receives to local jurisdictions, on average, compared to the national average of 47.4% (NEMA 2013).

**Recommendation 40a:** Examine use of EMPG funds for Field Services activities to determine the appropriate allocation of EMPG to district activities, local emergency management, and for state-level IDHS.

**Finding 41:** IDHS has the authority to collect fees for EMS certification but has not utilized this statutory authority.

**Recommendation 41a:** Work with the EMS Commission to develop a process to determine fair and appropriate fees for EMS certification and create and promulgate regulations to implement and collect EMS certification fees.

**Finding 42:** The average salary at IDHS is \$39,819.

**Recommendation 42a:** Although the average IDHS salary for Indiana may be sufficient given a relatively low cost of living in Indianapolis, IDHS should consider whether increased salary is needed for key leadership positions, such as the Planning and Assessment Division director, to attract required talent and expertise.

### 3.5.2 Budget Accountability

**Background:** The IDHS budget is prepared and submitted every two years to the State Budget Agency by the IDHS finance office. The state uses a July 1 to June 30 fiscal year. On a regular basis, IDHS divisions exceed their budgeted spending authority several months before the end of the fiscal year.

**Finding 43:** IDHS managers have not in the recent past been held accountable for adherence to their respective division, program, or project budgets, which has resulted in regular budget overruns.

**Recommendation 43a:** Create expectation for division directors and other managers to stay within the division/program fiscal year budget and include evaluation of budget accountability in performance evaluation metrics.

**Finding 44:** IDHS has not been allocating all dedicated funds across its divisions, which causes certain funds and divisions to exceed appropriation authority early in the fiscal year on a regular basis. The State Budget Agency must then be contacted to override the accounting system to enable payment of bills. Deficits are covered at the end of the year through transfer of funds fed by Fire and Building Safety Division revenue.

**Recommendation 44a:** Budget IDHS funds department-wide utilizing available resources. This will involve acknowledging that building and fire safety fee revenue is used for broader IDHS operations and budgeting realistically on that basis.

### 3.5.3 Grants Management Financial Processes

**Background:** Grants management activities for preparedness grants are administratively housed in the Planning and Assessment Division, while IDHS accounting and other financial activities are in the finance office. The finance office handles financial aspects of mitigation, response, and recovery grants. The finance office is responsible for working with and submitting reports to the State Budget Agency. Because of incompatible software systems and lack of control over grants management staff, the finance office does not have oversight of accounting practices related to grants management. In addition to invoicing for payment of and tracking grant expenditures, grants management determines grant applicant eligibility, monitors grant compliance, and records grant-purchased equipment. Another key component of grants management is interaction with sub-grantees, which are primarily local government agencies, regarding grant information, applications, status, compliance, and reporting. The Grants Management Section uses an internally developed program, IGMS, for its activities; state accounting, payment processing, and other financial management is handled by the finance office using the state PeopleSoft-based accounting system, Encompass. IGMS was developed internally to address financial aspects of grants management at a time when there was insufficient understanding within IDHS of the potential access to and benefits of the Encompass grants module.

IGMS includes an asset inventory component; at the time of this review, not all counties or entities that receive grant funds have entered information regarding their equipment and supplies that were purchased with grant funds. Neither the Grants Management Section nor the Field Services Division maintains an overall inventory of resources available in the districts.

The Grants Management Section within the Planning and Assessment Division interacts regularly with grant recipients throughout the state as they manage eligibility, applications, compliance, and payment of federal grant monies to sub-grantees. Survey respondents were positive regarding their interactions with IDHS' grants management functions, which is consistent with a survey the office conducted in 2011. In the 2011 grants management-conducted survey, more than 95% of respondents agreed or strongly agreed that grants management staff addressed their needs in an efficient manner (out of 88 responses). External stakeholders express appreciation for and describe a positive, responsive working relationship with the IDHS Grants Management Section.

Grants management requires a high level of detail, documentation, and attention to both local governments/stakeholder needs and to the accountability measures established by the funding entity, including appropriate expenditure of funds. A

2013 US DHS Office of Inspector General (OIG) report identified several areas of improvement for IDHS management of FEMA grants, including:

- IDHS did not obligate grant funds within 45 days of receiving FEMA grant awards;
- State and Indianapolis homeland security strategy documents needed to define measurable performance targets;
- Sub-grantees did not manage grant-funded equipment inventories according to federal regulations or IDHS guidance.

In a May 2013 letter to FEMA, IDHS outlined its corrective actions for items identified in the OIG report. The letter noted the new IDHS strategic plan, which includes milestones. It noted that grant award letters have gone to sub-grantees within the 45-day requirement for FY2010, FY2011, and FY2012 Homeland Security Grant Program (HSGP) grants. The letter also described efforts to collect and compile equipment inventories from local jurisdictions; as of April 15, 2013, 82 of 92 counties had submitted equipment inventories, according to the letter.

**Finding 45:** IGMS includes an inventory module to track items purchased with federal grant funds. Fifty-five of 92 counties have input information into the inventory module of IGMS.

**Recommendation 45a:** Institutionalize processes and procedures that maintain compliance with administrative requirements for federal grant programs, including time periods for communications and obligation of funds, alignment with measurable objectives, and inventory of equipment and materials purchased with grant funds.

**Finding 46:** Funding allocation across districts has been perceived as unbalanced in instances where less active or less populated districts receive the same funding as more active and/or more heavily populated districts.

**Recommendation 46a:** Implement and maintain a fair and transparent process for allocating homeland security and related grant funding that considers value of the proposed investment to local or regional capabilities and preparedness as well as performance of the proposing agency. Include a factor that balances the interests of small- and large-population counties.

**Finding 47:** The finance office of IDHS should, but does not, have complete accountability for the finances of IDHS because most of the grants are handled within grants management, which is under the Planning and Assessment Division, separate and apart from the finance office.

**Recommendation 47a:** Move the accounting/financial functions of the Grants Management Section to the finance office within IDHS and establish a finance office/grants management working group to minimize duplication of financial/accounting information in IGMS and Encompass and duplication of personnel actions. *(See also Recommendation 26a above.)*

**Finding 48:** Duplicated effort occurs in financial aspects of grant reporting between the statewide system used in the finance office (Encompass) and IGMS used in the Grants Management Section. The two systems are not integrated or compatible, which results in communication and workflow problems between grants management and the finance office.

**Recommendation 48a:** Use the state Encompass system for all financial accounting and reporting of grant activities. Consider implementing the Encompass grants module rather than IGMS. Use IGMS for limited administrative aspects of managing and reporting grant activity or until staff is fully trained in use of the Encompass grant module and a smooth transition to the Encompass grant module is complete.

**Finding 49:** Most, but not all, grants are in IGMS. Financial aspects of response, recovery, and fire grants are managed by the finance office using Encompass. This causes confusion both internally (within IDHS) and externally (sub-grantees).

**Recommendation 49b:** Incorporate all grants into one system, preferably the Encompass grant module.

**Finding 50:** IDHS does not have a complete inventory of the status of equipment and supplies that have been purchased with federal and state dollars as part of district programs.

**Recommendation 50a:** To support sharing of resources during significant incidents and to provide for accountability, require all grant recipients to provide information and regular updates regarding the location (agency and physical location) and operational status of equipment and supplies purchased with federal or state funds. Develop strategy to collect this information and build an inventory that includes past year investments.

## 4.0 Conclusion

### 4.1 An Approach to Recommendations

This Organizational Effectiveness Review offers 50 recommendations, most, if not all, of which can be implemented through action internal to IDHS. Suggestions below offer areas for focus of implementation actions in the short-term, those that are intermediate in timing, and those that will require long-term action.

#### 4.1.1 Immediate Actions

- Reorganize Field Services Division to other divisions as described in recommendations
- Establish work plans based on strategic goals and objectives
- Affirm role of IDHS as supporting local government agencies rather than assuming authority during incidents
- Clarify roles and responsibilities and performance accountability, including budget accountability, across IDHS divisions, including responsibilities of district coordinators
- Hire planning chief with extensive experience and expertise in disaster planning and in implementing inclusive planning processes
- Establish ESF meeting schedule across state agencies
- Develop sustainment strategy for district activities and issue new guidance, focusing district activities on “shoulders-up” investments - training and exercise - rather than equipment purchases and on assistance to local governments

#### 4.1.2 Near-Term Actions (3-6 months)

- Implement updated district program guidance
- Initiate finance working group to determine alignment in use of Encompass and IGMS systems to minimize duplication, with all financial information being maintained in the Encompass system
- Develop communications plan to improve consistency of communications from all IDHS divisions to various constituencies
- Review state statutes and plans for state Fire Academy to determine if statutory revision is needed to fulfill fire training plans. Consider whether to establish Fire Academy as multi-disciplinary training facility with Preparedness and Training Division providing content and management (no legislative change needed) or whether to move fire training responsibility to the Fire Academy, which would suggest the need for revision of state code<sup>26</sup>

#### 4.1.3 Intermediate Steps (6-12 months)

- Develop and implement a transparent grant allocation process that both aligns with IDHS priorities and offers local governments fair access to

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<sup>26</sup> See Indiana Code §10-19-5-2 and Indiana Code §10-19-9.

grant opportunities

#### **4.1.4 Longer-Term Actions (12 months and beyond)**

- Implement inclusive strategic planning process
- Develop coordination strategy between Preparedness and Training Division and new state Fire Academy
- Develop and maintain inventory of resources purchased through grant funds

#### **4.2 Issues for Future Consideration**

In a review such as this, it is not uncommon for issues to surface that are not part of the scope of the engagement. Nonetheless, it is appropriate to identify them for potential further study:

- As part of this review, interviews were conducted with the leaders of other state agencies focused on public safety including ISP, the National Guard, and ISDH. These interviews focused on their roles as stakeholders of IDHS in its state preparedness and response missions. As noted in this report, some other states have combined the resources of multiple agencies involved in public safety into a new Public Safety Department to realign valuable but constrained resources and seek efficiencies primarily through reduction of duplicate administrative functions. The Governor may consider an analysis of the costs and benefits, including implications for performance and cost savings, of developing a broad public safety agency in Indiana.
- Separate from the first item above, the state should carefully consider methods to better coordinate homeland security, emergency management, and public health functions at the state, district, and local levels. This review indicated that Indiana falls behind other states in this area.
- IDHS personnel and others spend a significant amount of time staffing a myriad of task forces and committees established over time. Although each group was created for legitimate purposes, the state should consider evaluation and potential consolidation or, in some cases, termination, of these bodies.
- If other components are added to or combined with IDHS, it is expected that a position separate from the Executive Director would be needed to serve as emergency management coordinator because of the broad scope and executive responsibilities likely in such a department.

- The state should consider the potential need for state general funding to support emergency management and homeland security activities apart from and in addition to currently available fee revenue.
- IDHS should explore timing and support for revision of the state homeland security and emergency management statutes to improve flexibility and fit in alignment of tasks across IDHS divisions.

#### **4.3 Use of this Report**

This report is intended for the internal use of IDHS and Indiana state government. Its findings and recommendations do not connote a lack of preparedness or accountability on the part of any component of IDHS.

Findings and recommendations from this review should be used to reorganize and refocus IDHS components and capabilities to better serve the state of Indiana. Recommendations can be implemented in whole or in part. Implementation of some may impact status of other issues.

#### **4.4 Tracking and Reporting of Implementation Progress**

It is recommended that the Executive Director establish an implementation working group to advise him and work on implementation of selected actions. Implementation will include a schedule of actions and due dates, identification of steps needed and responsibilities, and tracking and regular reporting of progress.

## Appendices

Appendix A Executive Order 13-09

Appendix B Interviews Conducted

Appendix C Stakeholder Survey Instrument

Appendix D IDHS Organizational Analysis Survey Results

Appendix E State Public Safety Departments including Homeland Security and Emergency Management

Appendix F Intrastate Regions/District Examples

Appendix G Fee-based Funding Source Examples

# INDIANA GENERAL ASSEMBLY

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STATE OF INDIANA  
EXECUTIVE  
DEPARTMENT  
INDIANAPOLIS

**EXECUTIVE ORDER: 13-09**

**FOR: CONTINUING THE GOVERNOR'S EMERGENCY ADVISORY GROUP**

TO ALL WHOM THESE PRESENTS MAY COME, GREETINGS.

**WHEREAS**, [IC 10-19-2-1](#) established the Indiana Department of Homeland Security (IDHS);

**WHEREAS**, [IC 10-14-3](#) provides for emergency management under the IDHS and requires the IDHS to develop a state emergency operations plan;

**WHEREAS**, the State, its political subdivisions and citizens are subject to natural disasters on a regular basis including, but not limited to, floods, tornadoes, severe winter storms, earthquakes, and droughts;

**WHEREAS**, the State, its political subdivisions, and citizens are subject to disasters caused by humans or technology including, but not limited to, hazardous material spills, widespread contamination, explosions, fires, major power failures, transportation accidents, and acts of terrorism;

**WHEREAS**, the State, its political subdivisions, and citizens could be subject to disasters and emergencies related to our national security, including military attack and terrorist activity;

**WHEREAS**, in order to protect the public health, welfare, and safety and preserve the lives and property of the people of this State from such emergencies and disasters, the

IDHS, under the provisions of [IC 10-14-2-4](#), is charged with the responsibility for coordinating the State's comprehensive emergency management program under the direction of the Governor; and

**WHEREAS**, it is appropriate and necessary to confirm, establish and clarify the duties and responsibilities of all state agencies in order that a comprehensive emergency management program can be successfully implemented.

**NOW, THEREFORE, I, Michael R. Pence**, by virtue of the authority vested in me as Governor of the State of Indiana, do hereby order that:

1. The Governor's Emergency Advisory Group is reestablished and continued. The Governor's Emergency Advisory Group is composed of the following members:

- a. Superintendent of the Indiana State Police Department;
- b. Commissioner of the Indiana Department of Environmental Management;
- c. Commissioner of the Indiana Department of Transportation;
- d. Director of the Department of Natural Resources;
- e. State Fire Marshal;
- f. Indiana Adjutant General;
- g. Director of the IDHS;
- h. Commissioner of the Indiana State Department of Health;
- i. Director of the Indiana Counterterrorism and Security Council; and j. Governor's Liaison for Public Safety Issues.

2. The Director of the IDHS shall act as chairperson of the Emergency Advisory Group. Each member of the Emergency Advisory Group may designate a deputy to serve as an alternate in the event that the principal member is unavailable to participate in meetings of the Emergency Advisory Group.

3. The Director of the IDHS shall reestablish and continue the Indiana

State Hazard Mitigation Council. a.

The Council shall:

- i. Assist in the development, maintenance, and implementation of a state hazard mitigation plan;
- ii. Assist in the development, maintenance and implementation of guidance and informational materials to support hazard mitigation efforts of local and state government and private entities;

iii. Solicit, review and identify hazard mitigation projects for funding under section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, P.L. 93-288, as amended, and sections

553 and 554 of the National Flood Insurance Reform Act, P.L. 103-325; and

iv. Foster and promote, where appropriate, hazard mitigation principles and practices within local and state government and the general public.

b. The Governor, with the advice of the IDHS, shall appoint members to serve on the Council. Each member of the Council shall serve without compensation or reimbursement for expenses, except that each member of the Council who is a state employee is entitled to reimbursement from his or her employing agency for travel expenses and other expenses actually incurred in connection with the member's duties as provided in state policies and procedures.

c. The Director of the IDHS shall serve as chairperson of the Council.

4. In accordance with [IC 10-14-3-9](#) and [IC 10-14-3-19](#), the Director of the IDHS shall create and establish mobile support units to reinforce emergency management and disaster organizations in stricken areas and with due consideration of the plans of the federal government and of other states.

5. Whenever the Director of the IDHS exercises his or her authority under [IC 10-14](#), he or she shall be authorized to use and allocate the services, facilities, equipment, personnel, and resources of any state agency, on the Governor's behalf, as reasonably necessary in the preparation for, response to or recovery from any emergency or disaster situation that threatens, or has occurred in, this State. Upon the Director of IDHS' request for such assistance from a state agency, all officers of that agency shall cooperate to the fullest extent possible. This authority to use and allocate state agency resources extends to their use before a formal declaration of a State Disaster Emergency, as provided for under [IC 10-14-3-12](#), and is subject to the Governor's subsequent approval. The cost of providing such services, facilities, equipment, personnel, and resources shall be borne by the providing state agency, unless otherwise notified that federal and/or other state funding reimbursement is determined to be available or other payment arrangements are made.

6. In order to expedite emergency response and recovery operations, one or more state agencies may be designated as lead agencies by the Director of the IDHS for various portions of the overall state response and recovery efforts. All actions of such designated lead state agencies shall be coordinated with, and through, the Director of IDHS. Additionally, state agencies may be required to participate in the training, exercising and actual deployment of mobile support teams.

7. Each agency of state government shall report any threatened or actual occurrences of natural, technological, human-caused, or national security emergencies that may require the resources of more than one agency of state government to the Director of the IDHS by the fastest means available. In the event of a threatened or actual occurrence of an

emergency or disaster, the Director of the IDHS shall consult with the Governor, or with the Governor's Chief of Staff in the Governor's absence, as soon as possible.

8. In the event of a threatened or actual occurrence of an emergency or disaster, and upon the request of the Director of the IDHS, each agency of state government shall promptly require the agency's designated emergency management coordinator or designee to monitor and analyze information and participate as its representative in performing all tasks relating to the State's response to the incident

9. In accordance with [IC 10-14-3-9](#), the IDHS shall ensure that the State's Emergency Operations Plan and all accompanying annexes, appendices and standard operation procedures are kept current. Additionally, these plans and procedures are to be developed in coordination with similar plans and procedures developed by the federal government. In order to accomplish these tasks, all state agencies shall assist in the development, preparation, and revision of the portions of these plans and procedures that relate to each individual agency's mission, responsibility and capability.

10. Upon the request of the Director of the IDHS, all state agencies shall participate to the fullest extent possible in emergency management training programs, as well as in exercises of the comprehensive emergency management system, or portions thereof.

11. Each state agency shall develop and keep current a continuity of operations plan to ensure that its essential functions are performed during any emergency or situation that may disrupt normal operation. This plan shall be developed and maintained consistent with the guidelines of, and in cooperation with, the IDHS and shall be submitted to the IDHS and the Governor. Each agency emergency management coordinator shall participate in plan reviews, training and exercises organized by the IDHS and shall conduct internal training and exercises of appropriate agency employees to ensure that the plan can be implemented with little or no notice.

12. The United States Department of Homeland Security has adopted a National Incident Management System that establishes standardized incident management processes, protocols, and procedures that all responders -- Federal, state, tribal, and local -- will use to coordinate and conduct response actions. Said National Incident Management System is hereby reestablished and continued as the state standard for incident management.

13. In order to assist the IDHS in carrying out its responsibilities, the following state agencies shall immediately designate one or more senior officials to act as the agency's emergency management coordinator for all emergency and disaster matters and shall submit the name of the coordinator to the Director of the IDHS:

- a. Alcohol and Tobacco Commission created by [IC 7.1-2-1-1](#);
- b. Budget Agency created by [IC 4-12-1-3](#);
- c. Bureau of Motor Vehicles created by [IC 9-14-1-1](#);
- d. Civil Rights Commission created by [IC 22-9-1-4](#);
- e. Commission on Public Records created by [IC 5-15-5.1-3](#);

- f. Counterterrorism and Security Council created by [IC 10-19-8](#);
- g. Department of Correction created by [IC 11-8-2-1](#);
- h. Department of Education created by [IC 20-19-3-1](#);
- i. Department of Environmental Management created by [IC 13-13-1-1](#);
- j. Department of Financial Institutions created by [IC 28-11-1-1](#);
- k. Department of Insurance created by [IC 27-1-1-1](#);
- l. Department of Labor created by [IC 22-1-1-1](#);
- m. Department of Local Government Finance created by [IC 6-1.1-30-1.1](#);
- n. Department of Natural Resources created by [IC 14-9-1-1](#);
- o. Department of State Revenue created by [IC 6-8.1-2-1](#);
- p. Department of Workforce Development created by [IC 22-4.1-2-1](#);
- q. Governor's Council for People with Disabilities created by [IC 4-23-29-7](#);
- r. Indiana Department of Administration created by [IC 4-13-1-2](#); s. Indiana Department of Transportation created by [IC 8-23-2-1](#); t. Indiana Gaming Commission created by [IC 4-33-3-1](#);
- u. Indiana Grain Buyers and Warehouse Licensing Agency created by [IC 26-3-7-1](#);
- v. Indiana Housing and Community Development Authority created by [IC 5-20-1-3](#);
- w. Indiana Port Commission created by [IC 8-10-1-3](#);
- x. Indiana Professional Licensing Agency created by [IC 25-1-6-3](#); y. Indiana State Board of Animal Health created by [IC 15-17-3-1](#); z. Indiana Utility Regulatory Commission created by [IC 8-1-1-2](#); aa. Law Enforcement Training Board created by [IC 5-2-1-3](#);
- bb. Military Department of the State created by [IC 10-16-2-1](#);
- cc. Office of Attorney General created by [IC 4-6-1-2](#);
- dd. Office of Auditor of State created by Article VI, Section 1 of the Indiana Constitution;

- ee. Office of the Secretary of Family and Social Services created by [IC 12-8-1.5-1](#);
- ff. Office of Secretary of State created by Article VI, Section 1 of the Indiana Constitution;
- gg. Office of Treasurer of State created by Article VI, Section 1 of the Indiana Constitution;
- hh. Office of Utility Consumer Counselor created by [IC 8-1-1.1-2](#); ii. Division of Professional Standards created by [IC 20-28-2-1.5](#); jj. State Board of Accounts created by [IC 5-11-1-1](#);
- kk. State Department of Health created by [IC 16-19-1-1](#);
- ll. Indiana Finance Authority created by [IC 4-4-11-4](#);
- mm. State Police Department created by [IC 10-11-2-4](#); and nn. Worker's Compensation Board created by [IC 22-3-1-1](#).

14. All state agencies, departments, commissions, bureaus, institutions and other authorities in state government shall cooperate to the fullest extent possible with this Executive Order.

**IN TESTIMONY WHEREOF**, I, Michael R. Pence, have hereunto set my hand and caused to be affixed the Great Seal of the State of Indiana on this 14th day of January 2013.

Michael R. Pence  
Governor of Indiana

SEAL

ATTEST: Connie Lawson  
Secretary of State

*Posted: 02/06/2013 by Legislative Services Agency*

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## Appendix B. Indiana Interviews Conducted

<i>Name</i>	<i>Agency</i>
Bernie Beier	Allen County EMA
William (Bill) Brown	Fire Chief of Brownsburg/Indiana Task Force 1
Randy Collins	IDHS (Field Services)
Gary Coons	City of Indianapolis Division of Homeland Security
Arvin Copeland	IDHS (Response and Recovery)
Lee Christensen	Indiana State Department of Health
Andy Cummings	State Budget Agency
John Erickson	IDHS (Executive Division, Media Relations)
Mike Garvey	IDHS (Executive Division, Chief of Staff/Training)
Chris Gilbert	American Red Cross
Jim Greeson	IDHS (Fire and Building Safety/Fire Marshal)
(Col.) Jerry Hadley	National Guard
David Hannum	Fire and Building Safety Commission
(Executive Director) John Hill	IDHS (Executive Division)
Chad Hilton	Indiana State Police
Carlie Hopper	Indiana Builders Association
Jennifer House	Indiana State Department of Health
Gerri Husband	IDHS (Field Services)
Amy Lindsey	IDHS (Preparedness and Training Division - Training)
Mark Livingston	IDHS (Field Services)
Megan Luke	IDHS (Preparedness and Training Division - Exercises)
Erica McDaniel	IDHS (Planning and Assessment Division)
(Lt.) Jay Nawrocki	Indiana State Police
(Governor) Mike Pence	Governor's Office
Pam Pontones	Indiana State Department of Health
Leah Raider	State Budget Agency
(Lt. Col.) Brent Richards	National Guard
Russ Shirley	Porter County EMA/District 1 Task Force
Danny Sink	Indiana Fire Alliance/City of Goshen Fire Department
Mara Snyder	IDHS (Executive Division, Legal and Code Services)
Jennifer Tobey	Elkhart County EMA
Christina Trexler	Governor's Office (Public Safety Policy)
Lee Turpen	Indiana EMS Commission
(Adjutant General) Martin Umbarger	National Guard
Rick Wajda	Indiana Builders Association
Leann Walton	IDHS (Executive Division, CFO)
(Capt.) Brad Weaver	Indiana State Police
(Col.) Ronald Westfall	National Guard
Rachel Woodall	IDHS (Executive Division, Planning and Grants)
(Senator) Thomas Wyss	Indiana State Senate District 15

## Appendix C. Stakeholder Survey Instrument



### INDIANA DEPARTMENT OF HOMELAND SECURITY 2013 Program Survey

#### INTRODUCTION:

The Indiana Department of Homeland Security (IDHS) strives to provide leadership for a safe and secure Indiana. As such, IDHS recently contracted with a private firm, Witt O'Brien's, to conduct an independent assessment of the effectiveness and efficiency of IDHS. This survey is one key component of that assessment. The purpose of this survey is to get the perspective of external stakeholders on IDHS' performance. The information collected will be incorporated into a report that IDHS will use to improve its operations.

You are receiving this survey because you are a representative for a key IDHS stakeholder. The survey has 21 questions and should take less than 30 minutes. Please answer all questions as completely as possible based on your opinions and current experiences at the district and local levels. In particular, PLEASE PROVIDE US COMMENTS AND RECOMMENDATIONS that expand on your survey answers. Individual responses will not be linked to you or revealed to IDHS.

In advance, thank you for your time and thoughtful responses. If you would like to follow-up further with us, please contact Phillip Webber at [pwebber@wittobriens.com](mailto:pwebber@wittobriens.com).

#### ABOUT WITT O'BRIEN'S:

Witt O'Brien's, LLC ("Witt O'Brien's"), a public safety and crisis management consulting firm based in Washington DC with consultants located throughout the country, was officially formed on January 1, 2013, combining Witt Associates and O'Brien's Response Management. Witt O'Brien's is built upon James Lee Witt's more than 25 years of leadership and experience in public service, including eight years as the Director of the Federal Emergency Management Agency (FEMA). In that capacity, Mr. Witt is credited with helping FEMA become an internationally lauded all-hazards disaster management agency.

#### 1. Which best describe(s) the organization(s) you represent? Mark all that apply.

Governmental: State Level

Governmental: District/Regional Level

Governmental: County Level

Governmental: City Level

Private Corporation

Non-governmental Organization

Other (please specify)

#### 2. Which best describe(s) your current occupation(s)? Mark all that apply.

Elected Public Official

Emergency Management

Emergency Medical Services

Fire Safety

Law Enforcement

Other (please specify)

**3. The official IDHS mission is to provide statewide leadership, exemplary customer service, and subject matter expertise for the enhancement of public and private partnerships and the assurance of local, state and federal collaboration to continually develop Indiana's public safety capabilities for the wellbeing and protection of its citizens, property and economy. Overall, IDHS is effective at fulfilling this mission.**

Strongly Disagree

Disagree

Neither Agree nor  
Disagree

Agree

Strongly Agree

Comments and Recommendations:

**4. Overall, IDHS operates efficiently.**

Strongly Disagree

Disagree

Neither Agree nor  
Disagree

Agree

Strongly Agree

Comments and Recommendations:

**5. How often did you interact with the following IDHS divisions over the last year?**

Never

A Few Times

Monthly

Weekly

Daily

Fire and Building Safety  
Division

Response and Recovery  
Division

Preparedness and  
Training Division

Planning and  
Assessment Division

Field Services Division

Comments and Recommendations:

**6. How satisfied are you regarding your day-to-day interactions with the following IDHS divisions?**

	Very Dissatisfied	Dissatisfied	Neither Satisfied nor Dissatisfied	Satisfied	Very Satisfied	N/A
Fire and Building Safety Division						
Response and Recovery Division						
Preparedness and Training Division						
Planning and Assessment Division						
Field Services Division						

Comments and Recommendations:

**7. How satisfied are you regarding your interactions with the following IDHS divisions during disasters?**

	Very Dissatisfied	Dissatisfied	Neither Satisfied nor Dissatisfied	Satisfied	Very Satisfied	N/A
Fire and Building Safety Division						
Response and Recovery Division						
Preparedness and Training Division						
Planning and Assessment Division						
Field Services Division						

Comments and Recommendations:

**8. The organization of the following divisions within IDHS is appropriate given the Department's**

**mission.**

Strongly Disagree      Disagree      Neither Agree nor Disagree      Agree      Strongly Agree

- Fire and Building Safety Division
- Response and Recovery Division
- Preparedness and Training Division
- Planning and Assessment Division
- Field Services Division

Comments and Recommendations:

**9. The organization of the following entities is appropriate for disaster preparedness and response in Indiana.**

Strongly Disagree      Disagree      Neither Agree nor Disagree      Agree      Strongly Agree

- State Emergency Operations Center
- District Coordinators
- District Planning Councils
- Response Task Forces

Comments and Recommendations:

**10. How satisfied are you with the financial support IDHS currently provides?**

Very Dissatisfied      Dissatisfied      Neither Satisfied nor Dissatisfied      Satisfied      Very Satisfied

Comments and Recommendations:

**11. How satisfied are you with the amount of information/guidance provided by IDHS on available funding sources?**

Very Dissatisfied      Dissatisfied      Neither Satisfied nor Dissatisfied      Satisfied      Very Satisfied      N/A

Comments and Recommendations:

**12. How satisfied are you with the processes for applying for grants through IDHS?**

Very Dissatisfied      Dissatisfied      Neither Satisfied nor Dissatisfied      Satisfied      Very Satisfied      N/A

Comments and Recommendations:

**13. How satisfied are you with IDHS' allocation of grant funds?**

Very Dissatisfied      Dissatisfied      Neither Satisfied nor Dissatisfied      Satisfied      Very Satisfied      N/A

Comments and Recommendations:

**14. How satisfied are you with the level of grant management assistance provided by IDHS?**

Very Dissatisfied      Dissatisfied      Neither Satisfied nor Dissatisfied      Satisfied      Very Satisfied      N/A

Comments and Recommendations:

**15. More specifically, how satisfied are you with the Emergency Management Performance Grant (EMPG) Assessment process?**

Very Dissatisfied      Dissatisfied      Neither Satisfied nor Dissatisfied      Satisfied      Very Satisfied      N/A

Comments and Recommendations:

**16. How satisfied are you with IDHS' processes for providing disaster assistance?**

Very Dissatisfied    Dissatisfied    Neither Satisfied nor Dissatisfied    Satisfied    Very Satisfied    N/A

Comments and Recommendations:

**17. How satisfied are you with how IDHS administers disaster funding?**

Very Dissatisfied    Dissatisfied    Neither Satisfied nor Dissatisfied    Satisfied    Very Satisfied    N/A

Comments and Recommendations:

**18. How satisfied are you with how IDHS administers recovery funding (e.g. Public Assistance and Hazard Mitigation Grant Program funds)?**

Very Dissatisfied    Dissatisfied    Neither Satisfied nor Dissatisfied    Satisfied    Very Satisfied    N/A

Comments and Recommendations:

**19. What are the top three strengths of IDHS?**

Strength #1

Strength #2

Strength #3

**20. What are your top three recommendations for IDHS improvements?**

Recommendation #1

#1

Recommendation #2

#2

Recommendation #3

#3

**21. Is there anything else that you would like to tell us or that we need to know?**

Done

**Indiana Department of Homeland Security  
Organizational Analysis Survey Results**

**Prepared for:**

Executive Director John Hill  
Indiana Department of Homeland Security  
Indiana Government Center South  
302 W. Washington St., Room E208  
Indianapolis, Indiana 46204

**July 2013**

# Survey Results Table of Contents

I.	Introduction .....	77
II.	Question Analysis.....	78
	Question 1. <i>Which best describe(s) the organization(s) you represent?</i> .....	78
	Question 2. <i>Which best describe(s) your current occupation(s)?</i> .....	79
	Question 3. <i>IDHS is effective at fulfilling its mission.</i> .....	80
	Question 4. <i>Overall, IDHS operates efficiently.</i> .....	81
	Question 5. <i>How often did you interact with the following IDHS divisions over the last year?</i> .....	83
	Question 6. <i>How satisfied are you regarding your day-to-day interactions with the following IDHS divisions?</i> .....	87
	Question 7. <i>How satisfied are you regarding your interactions with the following IDHS divisions during disasters?</i> .....	91
	Question 8. <i>The organization of the following divisions within IDHS is appropriate given the Department’s mission.</i> .....	95
	Question 9. <i>The organization of the following entities is appropriate for disaster preparedness and response in Indiana.</i> .....	100
	Question 10. <i>How satisfied are you with the financial support IDHS currently provides?</i> .....	103
	Question 11. <i>How satisfied are you with the amount of information/guidance provided by IDHS on available funding sources?</i> .....	104
	Question 12. <i>How satisfied are you with the processes for applying for grants through IDHS?</i> .....	106
	Question 13. <i>How satisfied are you with IDHS’ allocation of grant funds?</i> .....	107
	Question 14. <i>How satisfied are you with the level of grant management assistance provided by IDHS?</i> .....	108
	Question 15. <i>More specifically, how satisfied are you with the Emergency Management Performance Grant (EMPG) Assessment process?</i> .....	109
	Question 16. <i>How satisfied are you with IDHS’ processes for providing disaster assistance?</i> .....	110

Question 17. *How satisfied are you with how IDHS administers disaster funding?* .....111

Question 18. *How satisfied are you with how IDHS administers recovery funding?*.....112

Question 19. *What are the top three strengths of IDHS?*.....113

Question 20. *What are your top three recommendations for IDHS  
improvements?*.....116

Question 21. *Is there anything else that you would like to tell us or that we need to know?*  
.....118

III. Overview of Comments ..... 119

# I. Introduction

## A. Background

The Indiana Department of Homeland Security (IDHS) hired Witt O'Brien's to provide an impartial analysis of the IDHS organizational structure, efficiency, and effectiveness including level and type of funding mechanisms. As part of the information gathering used to develop findings and recommendations, IDHS released a survey created by Witt O'Brien's as a way to further obtain information from stakeholders. The online survey included 21 questions and respondents were given approximately a week to complete the survey. The questions ranged from opinions on effectiveness, satisfaction levels, and open ended questions for strengths of IDHS and suggestions for improvement.

The survey was distributed via email by IDHS based on contact lists provided by IDHS containing contacts for local emergency management agency directors, district task forces, EMS commission members, Local Emergency Planning Council (LEPC) members, and Field Services' External Stakeholder contact lists including Emergency Management Association of Indiana (EMAI) Board Members, chemical, biological, radiological, nuclear, and explosive (CBRNE), and Incident Management Assistance Team (IMAT).

Nearly 300 respondents (291 total) started the survey, and out of those 226 respondents (78% of the total) finished the survey.

## B. Methodology

Respondents were asked a series of 21 questions, which included background questions, general questions about IDHS and its mission, division-level questions, funding questions, and free response questions about IDHS strengths, recommendations, and final thoughts. Respondents were asked about their satisfaction levels and levels of agreement based on a scale, and were also given opportunities to provide text responses in addition to their multiple choice selections. The responses were not tied to the identities of respondents, and percentages were rounded to the nearest whole number.

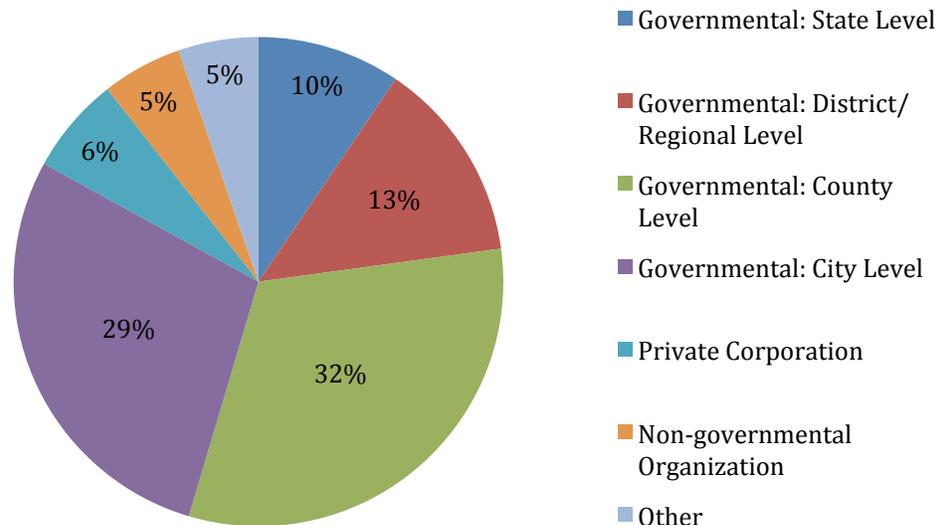
The analysis provided in this review is a high level interpretation of the data intended to allow voices from across the state to be heard in the organizational analysis of IDHS.

The body of this report provides analysis of results gleaned from the survey.

## II. Question Analysis

### Question 1:

*Which best describe(s) the organization(s) you represent? Mark all that apply.*

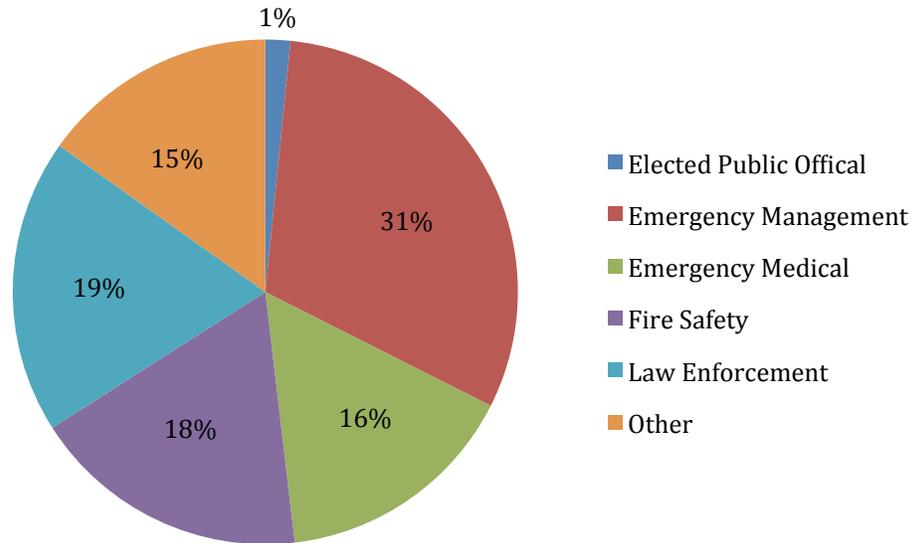


*Question 1 Analysis:* The first question posed in this survey was a general background question asking for the respondents' organizations for demographic understanding. Responses of this survey were not to be tied to identities of respondents, so the background questions were on a very basic level. Respondents could choose all the responses that applied to them, and were not limited to one selection.

Based on answers to the first question, the majority of responses received were from county level government employees (32%) and city level government employees (29%), who each comprised nearly a third of respondents. Respondents representing District/Regional level government were the next highest group of respondents (13%), followed by state level government (10%), non-governmental organizations (5%), and private corporations (6%). Other respondents (5%) included representatives from public universities, volunteer fire departments, and the federal government.

## Question 2:

Which best describe(s) your current occupation(s)? Mark all that apply.

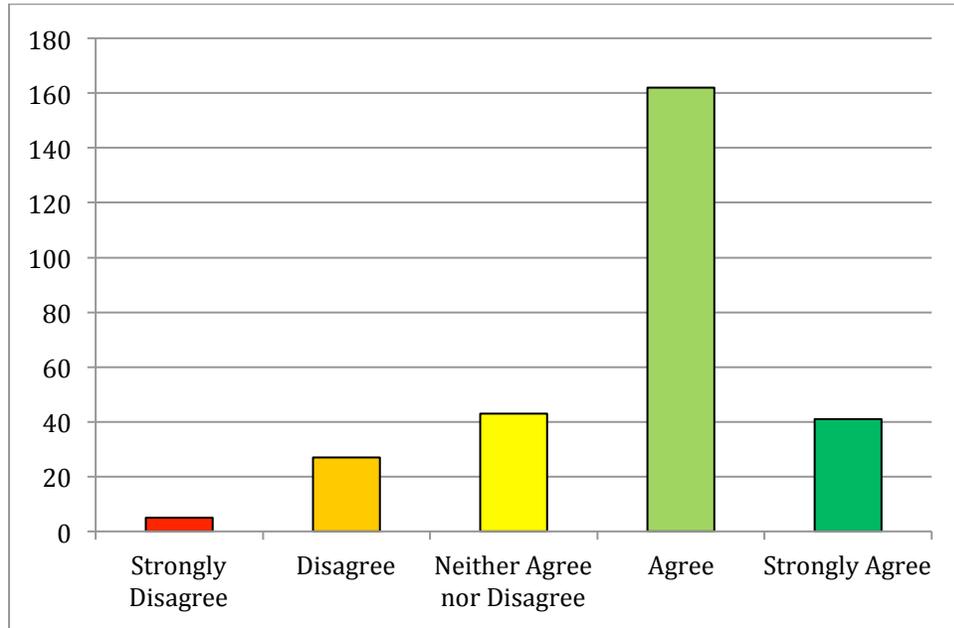


*Question 2 Analysis:* Question 2 was the second of two background questions, and it asked respondents to best describe their current occupation(s). Respondents could choose all the responses that applied to them, and were not limited to one selection.

When asked to describe current occupations, nearly a third of the respondents (31%) associated themselves with emergency management. The rest of the respondents were fairly evenly split between emergency medical services (16%), fire safety (18%), and law enforcement (19%). Only six respondents (1% of total) identified themselves as elected public officials, and “other” (15%) respondents included hospital, communications, military, and environmental related occupations. Those who checked “other” also included positions that could be characterized within the five given categories but chose to categorize themselves as “other” (such as fire-rescue, urban search and rescue, mental health responder, and disaster preparedness liaison). Because respondents could select all the responses that applied to them, there were many overlapping occupations. Based on some responses, participants may not have noticed the “current” timeframe in the question and instead included past occupations as well.

### Question 3:

*The official IDHS mission is to provide statewide leadership, exemplary customer service, and subject matter expertise for the enhancement of public and private partnerships and the assurance of local, state and federal collaboration to continually develop Indiana’s public safety capabilities for the wellbeing and protection of its citizens, property and economy. Overall, IDHS is effective at fulfilling this mission.*



**Answered: 278**

**Skipped: 13**

**Comments: 65**

*Question 3 Analysis:* Nearly three quarters of survey respondents (73%) either strongly agreed or agreed that IDHS is effective at fulfilling its official mission, and 12% of respondents believed that IDHS was not effective. Breaking down respondents by organization revealed similar results, with nearly three quarters of state-level government, district/regional level government, county level government, city level government, and private sector respondents “agreeing” or “strongly agreeing.” Those who represented NGOs were split between neutral (32%), “agree” (37%), and “strongly agree” (32%).

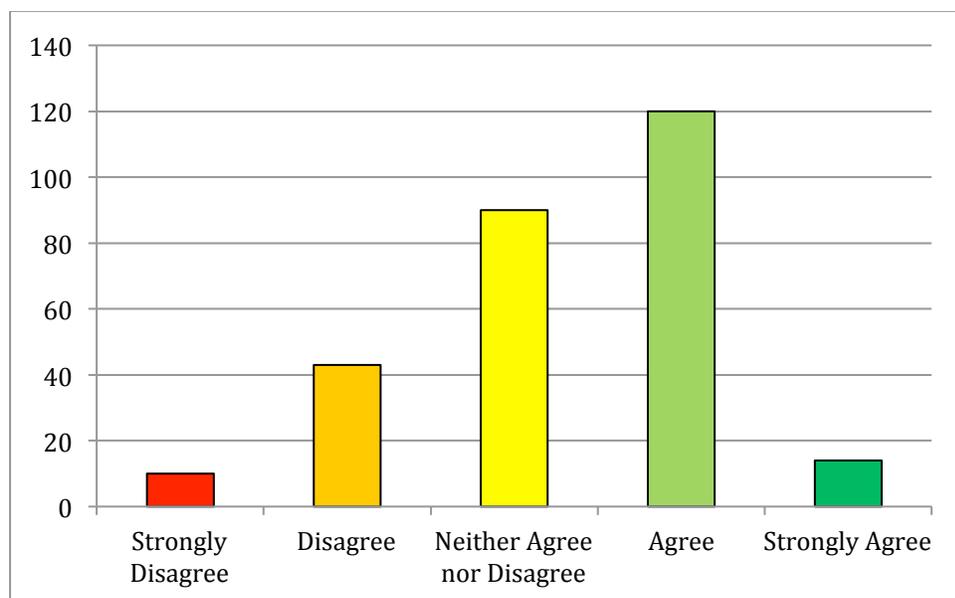
However, when prompted for written responses, the majority of written responses commented on areas for improvement rather than praise. Respondents expressed concern over the ineffectiveness of communication within IDHS and with external stakeholders. Also, respondents noted that IDHS was straying from its mission by trying to be a response agency rather than a supporting agency to the local and county governments. As one respondent noted, “in the past IDHS has tried to become a first responder agency instead of a resource for the local agencies that truly are the first responders.” In addition, there were mixed reactions to IDHS fulfilling its mission to locals; some respondents suggested that smaller counties

and localities were treated unfairly, whereas larger counties commented on all counties having an equal vote in the district concept regardless of size and population, which should instead be based on other factors.

Nearly half of the comments of this question came from those who identified themselves as county-level government, with mixed opinions on the role of districts and the district task forces. Comments varied between those praising IDHS having a strong relationship and partner with them and those who believed IDHS was more a responder than a resource, and also could improve by being more inclusive of smaller counties.

#### **Question 4:**

*Overall, IDHS operates efficiently.*



**Answered: 277**

**Skipped: 14**

**Comments: 68**

*Question 4 Analysis:* This question gauges the respondents' perceptions regarding the operational efficiency of IDHS. The question requires respondents to determine their own definition of efficiency when answering, so results basically represent general impressions. Interestingly enough, more comments were provided for this question than all but one other question—indicating there was a lot of interest and opinions on the topic. This may also be due to the fact that it was one of the first questions in the survey.

Overall, most responses indicated agreeable or neutral impressions (224 of 277)—with neutral indicating respondents either did not have enough information/experience to answer the question (this is supported by a few comments), did not have a strong opinion, or had an equal mix of positive and

negative perceptions. Thirteen of 68 comments left included positive feedback. Positive comments included satisfaction with district-level IDHS entities, satisfaction with disaster responses, and satisfaction with a particular IDHS division. Communications with IDHS were positive for a few respondents, as well.

Still, quite a few respondents (53 of 277) registered a negative impression of IDHS' operational efficiency. And not surprisingly, most of the written comments included criticisms (48 of 68). The most common theme of the written comments involved internal information-sharing/coordination. The perception of multiple respondents is that IDHS operates in silos and needs to improve internal information exchange. According to the respondents, this leads to duplicated efforts (redundant paperwork, tasks, and communications), conflicting activities, inconsistent messages, and incorrect versions of data being used. Information exchange between IDHS and the local level was also cited as being problematic for some respondents—particularly access to information and misinformation. Others felt that organizational structures were inefficient and criticized various district entities, overlapping roles and responsibilities, a lack of chain-of-command, or “too many layers.”

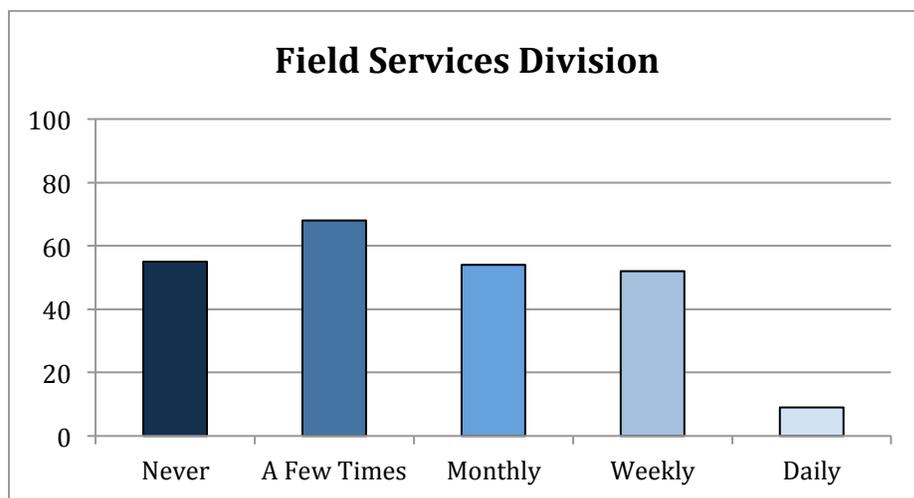
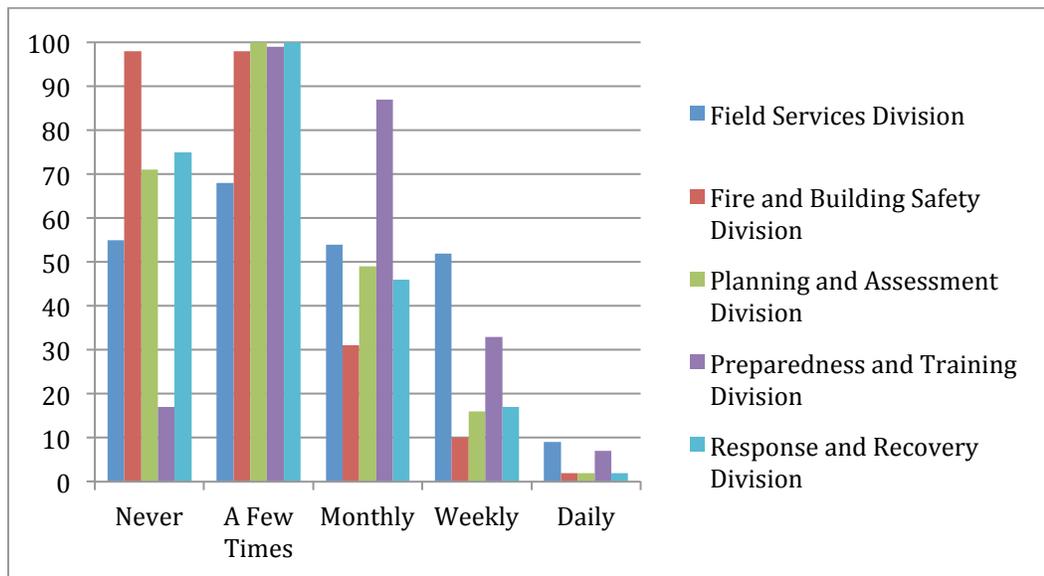
Additionally, some respondents felt that overhead costs, various travel expenditures, or state projects were wasteful expenditures, while others felt that current administrative procedures/paperwork should be streamlined. Also, a few respondents expressed that IDHS should adopt more of a support role during disasters—indicating that it was inefficient for the State to take such an active role when the local level should have primary responsibility for responding. Finally, a common comment was that staff turnover within IDHS is resulting in inefficiencies, due to an overall lack of continuity, experience, and institutional knowledge among employees.

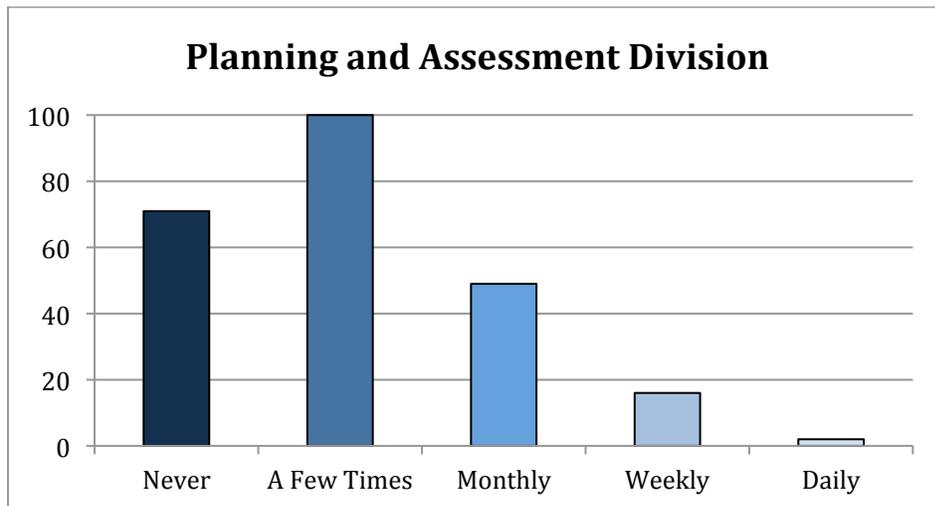
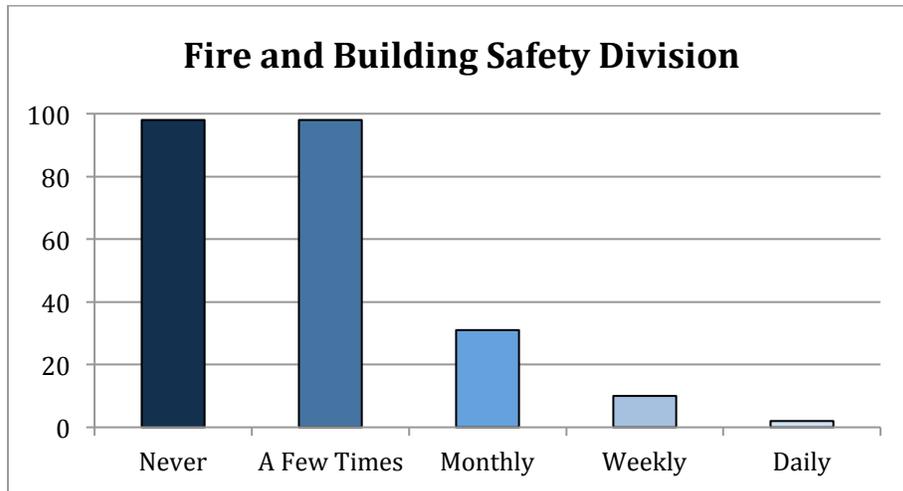
Breaking the survey down by occupation and organization, respondents who identified themselves as county-level government were split on this question, with nearly a third neutral (34%), a third “agreeing”/ “strongly agreeing” (40%) and a third “disagreeing”/ “strongly disagreeing” (27%). County level government respondents also provided the majority of comments (40 of 68), commenting on the need to improve coordination within IDHS and communication/information sharing. Approximately half (49%) of city-level government respondents “agreed” or “strongly agreed” that IDHS operates efficiently overall, and a third (35%) were neutral. Comments included responses on the need to reduce layers and silos in IDHS. A higher percentage of private-sector respondents “agreed” or “strongly agreed,” with nearly three quarter (70%) of respondents selecting those options.

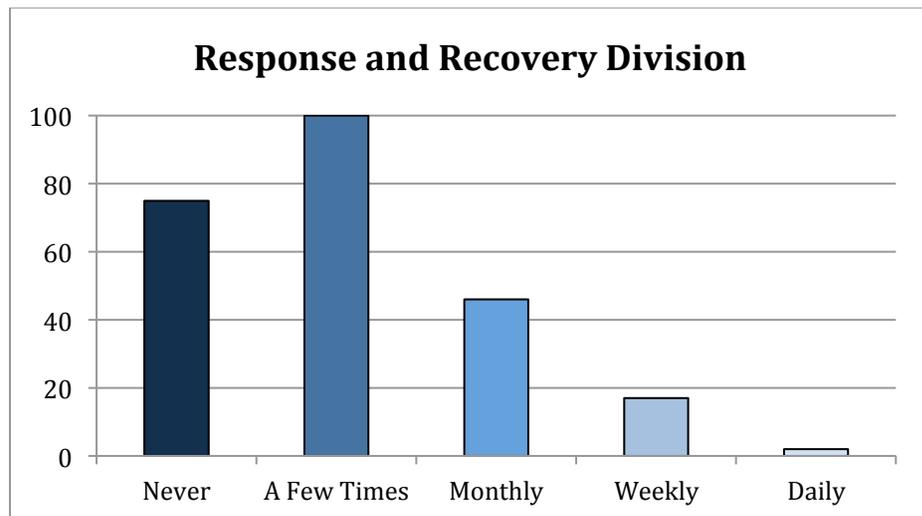
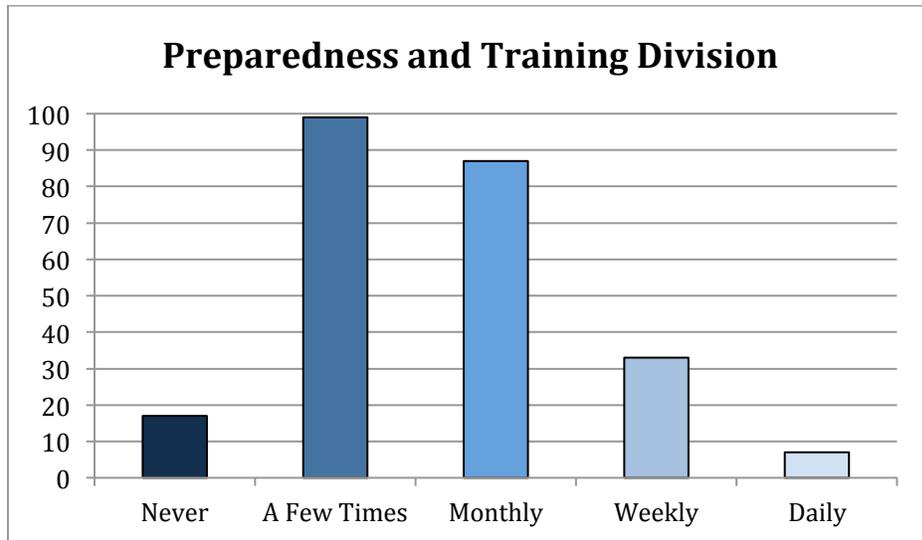
Nearly half of respondents who identified themselves as having emergency management occupations “agreed” or “strongly agreed” (46%), with similar results for law enforcement (50%) and emergency medical (55%). Those in fire safety occupations did not have a strong positive response to this question, with no responses “strongly agreeing,” although half “agreed” (49%), indicating agreement that IDHS operates efficiently.

**Question 5:**

*How often did you interact with the following IDHS divisions over the last year?*







**Answered: 249**

**Skipped: 42**

**Comments: 23**

*Question 5 Analysis:* Respondents were asked how frequently they interacted with specific IDHS divisions (Field Services, Fire and Building Safety, Planning and Assessment, Preparedness and Training, and Response and Recovery) in the last year.

Across all divisions, the smallest interaction with the divisions reported was daily, with fewer than 10 respondents (of the 249 responses) interacting on a daily basis within each division. Three of the divisions (Fire and Building Safety, Response and Recovery, and Planning and Assessment) each only had two respondents indicate that they interacted with them daily.

Most respondents interacted with the five divisions a few times a year, which was not surprising for the Response and Recovery Division since interactions can mainly be based on incidents occurring. More surprising was the indication that most respondents only interacted with the Planning and Assessment and Preparedness and Training Divisions a few times a year or on a monthly basis.

Looking within each division specifically, respondents indicated that most of their interactions with the Fire and Building Safety Division were either a few times a year, or never. A little more than 10% of interacted monthly, and even fewer interacted weekly.

With the Response and Recovery Division, nearly half (42%) interacted with the division a few times a year, followed by no interactions at all, and then monthly interactions. Only 7% interacted weekly with the Response and Recovery Division, and less than 1% interacted daily.

Respondents interacted with the Preparedness and Training Division mainly a few times a year and monthly (40% and 36% respectively). More respondents interacted with the division weekly than never.

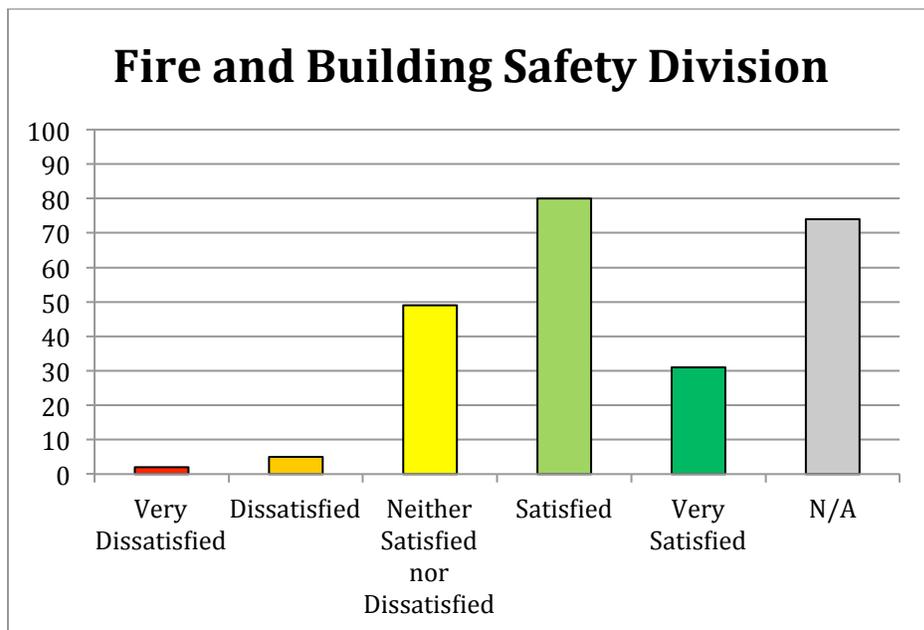
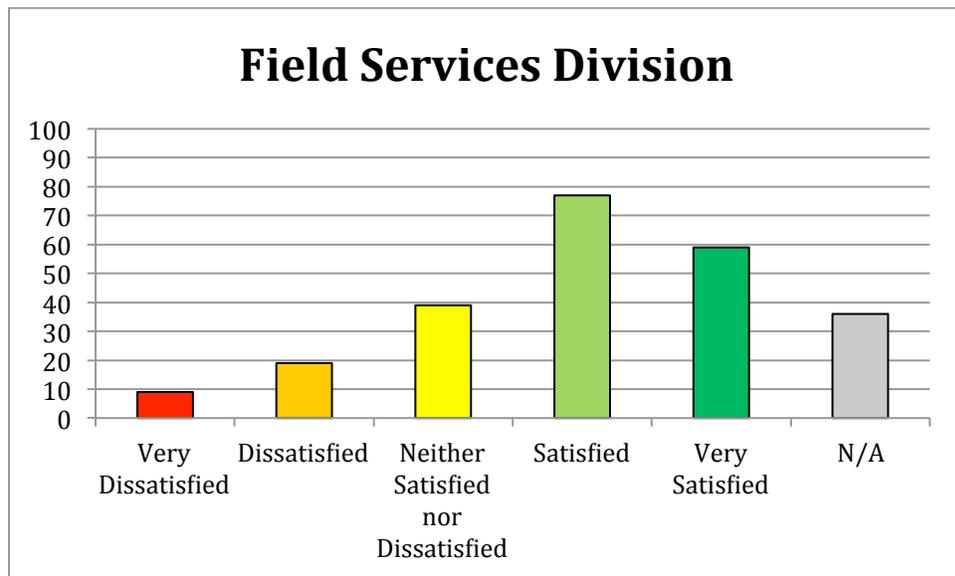
In the Planning and Assessment Division, most respondents (42%) interacted with the division only a few times a year. The rest of the respondents either never interacted (30%) or interacted monthly (21%). Very few respondents interacted with the Planning and Assessment Division weekly or daily.

The Field Services Division was the most evenly split with respondents' interactions with the division compared to the others. Respondents interacted with Field Services the least on a daily basis, but were split between interacting with Field Services never (23%), a few times (29%), monthly (23%), and weekly (22%).

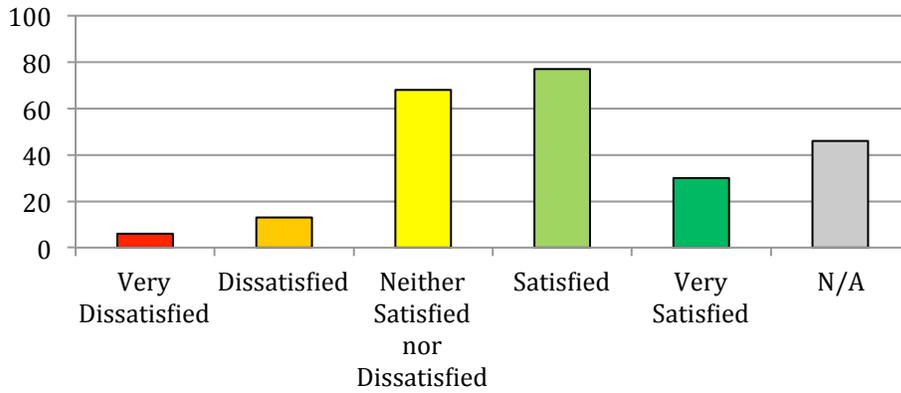
Respondents utilized the comments section of this question to explain specifically who they spoke with. Interestingly, several respondents indicated in the comments that they did not know in which division their IDHS points of contacts were.

**Question 6.**

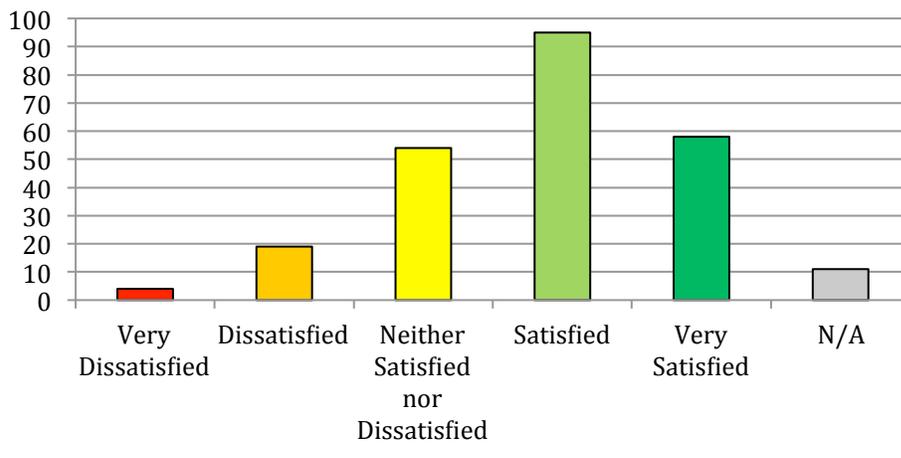
*How satisfied are you regarding your day-to-day interactions with the following IDHS divisions?*

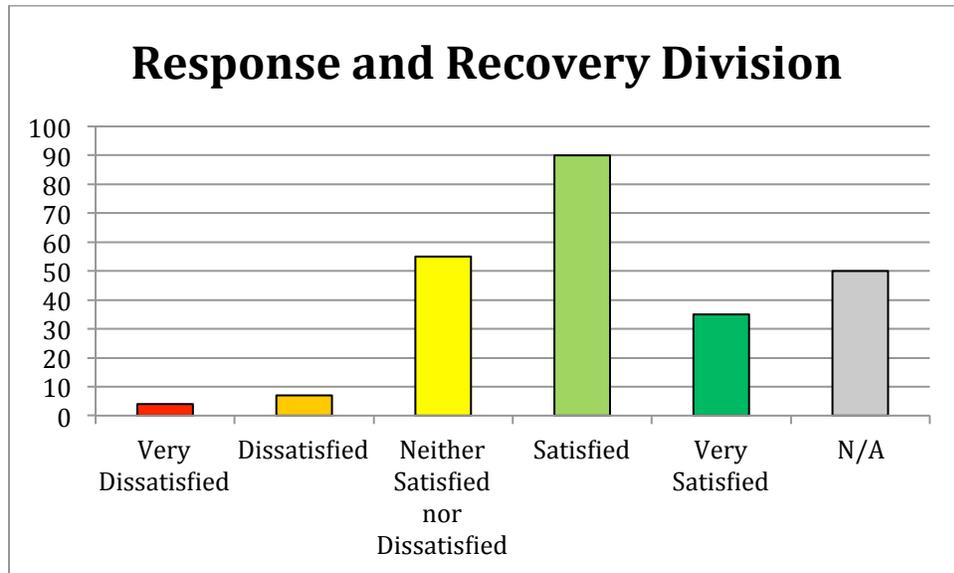


## Planning and Assessment Division



## Preparedness and Training Division





**Answered: 247**  
**Skipped: 44**  
**Comments: 34**

*Question 6 Analysis:* Respondents were asked in this question about their satisfaction levels with their day-to-day interactions with specific IDHS divisions (Field Services, Fire and Building Safety, Planning and Assessment, Preparedness and Training, and Response and Recovery).

For purposes of the analysis, the “not applicable” responses were removed to calculate the resulting percentages. Out of the respondents who expressed a satisfaction level (those other than “N/A”), more than half of respondents across each of the five divisions were either “satisfied” or “very satisfied” with their day-to-day interactions. Across all divisions, more respondents chose a neutral stance (“neither satisfied nor dissatisfied”) rather than choosing a negative satisfaction level. This indicates that respondents are overall satisfied with their interactions with IDHS, and if they do have suggestions for improvement for IDHS, in general the attitude is still a positive one.

The following table summarizes the response percentages based on division:

	Very Dissatisfied	Dissatisfied	Neither Satisfied nor Dissatisfied	Satisfied	Very Satisfied
<b>Field Services Division</b>	4%	9%	19%	38%	29%
<b>Fire and Building Safety Division</b>	1%	3%	29%	48%	19%
<b>Planning and Assessment Division</b>	3%	7%	35%	40%	15%
<b>Preparedness and Training Division</b>	2%	8%	23%	41%	25%
<b>Response and Recovery Division</b>	2%	4%	29%	47%	18%

For state-level government respondents, across all five divisions they rated “satisfied” most frequently, with nearly a third of the responses for each. Interestingly, of those who were dissatisfied with their daily interactions, more state government employees selected a stronger opinion (“strongly dissatisfied” rather than “dissatisfied”) for the Fire and Building Safety Division, Response and Recovery Division, Planning and Assessment Division, and Field Services Division. However, when the numbers are examined even further, only one respondent answered “very dissatisfied” and none answered “dissatisfied” for Fire and Building Safety, Response and Recovery, and the Planning and Assessment Division, so conclusions cannot be drawn based on one opinion. Preparedness and Training Division had the most “dissatisfied” and “very dissatisfied” with four respondents and Field Services Division had three respondents “very dissatisfied” (13% of state-level government respondents).

For district/regional government respondents, across all five divisions the most common response was either satisfied or for Field Services, “very satisfied” (with 50% of respondents selecting). City-level government respondents deviated from the general survey results in that more respondents were neutral to the Planning and Assessment Division (47%) rather than satisfied. A third of the comments for this question originated from city-level employees. One respondent commented that “in many cases we have no voice in the strategic planning of DHS activities, training, and funding.”

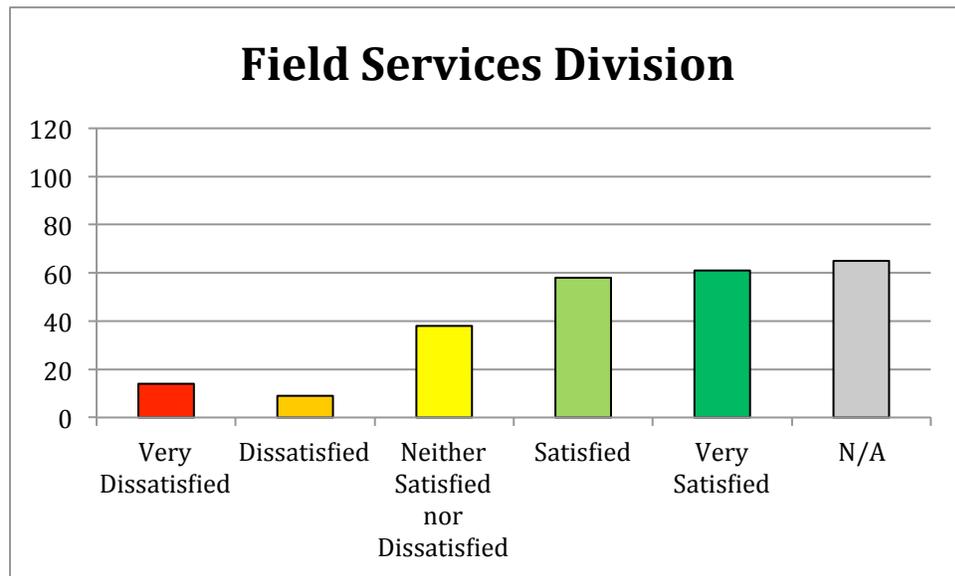
Across the divisions, county-level government respondents had high satisfaction levels, with between 40 and 50% of respondents “satisfied,” (and nearly three quarters of respondents with “very satisfied” factored in). Field Services was the one division where county-level government respondents felt “very satisfied” (38%) more than “satisfied” (34%). County level government respondents also had 19 of the 34 comments. Respondents commended the district coordinators, and raised the need to have an EMS Planner in IDHS.

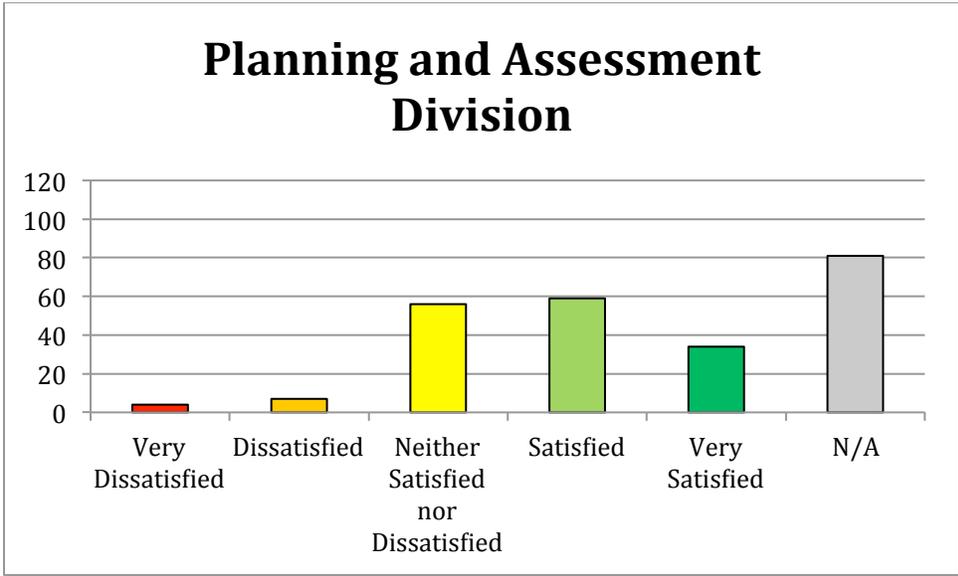
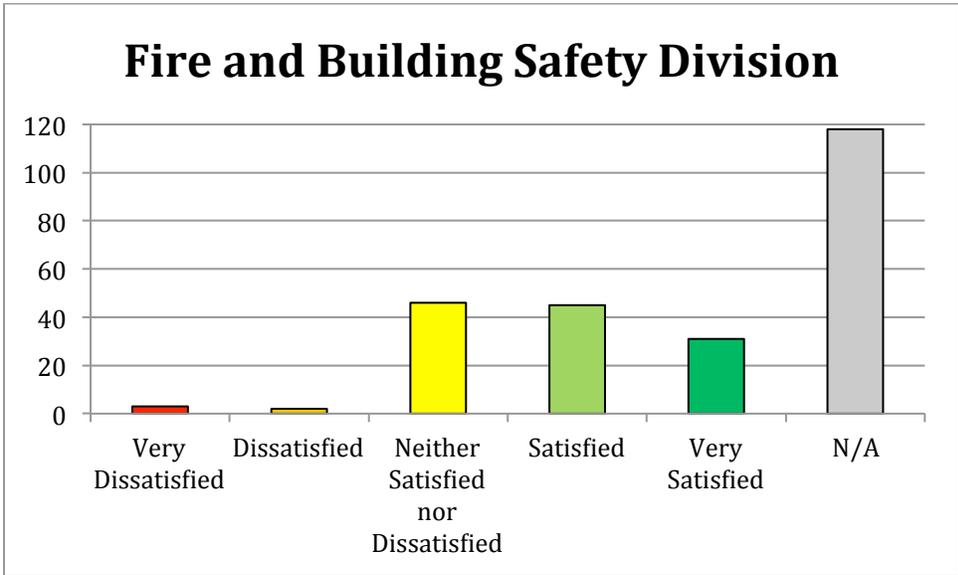
Daily interactions from the perspective of law enforcement were never “very dissatisfied” across the five divisions, and with Fire Safety respondents, none were “very dissatisfied” and only one respondent was “dissatisfied.” About half of fire safety respondents were “satisfied” with each division.

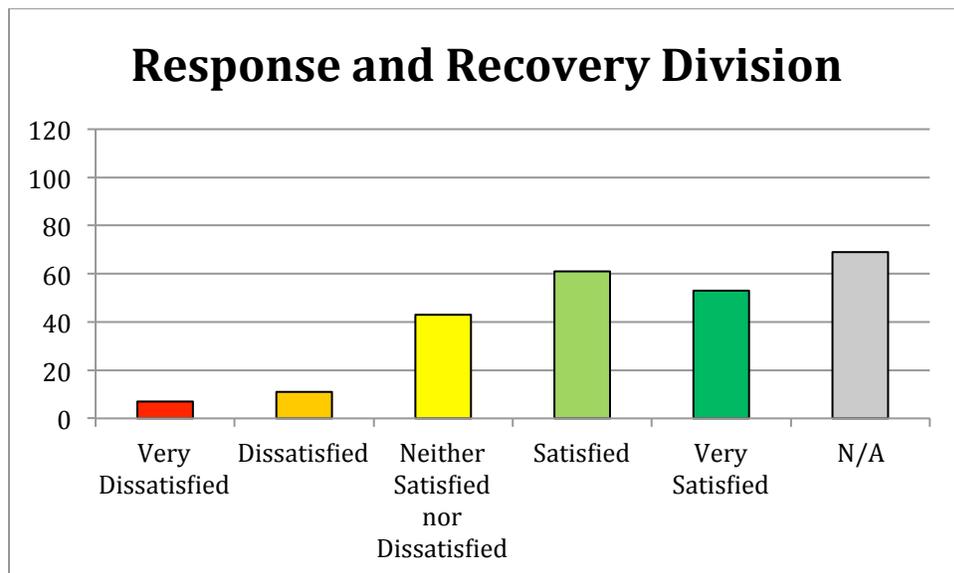
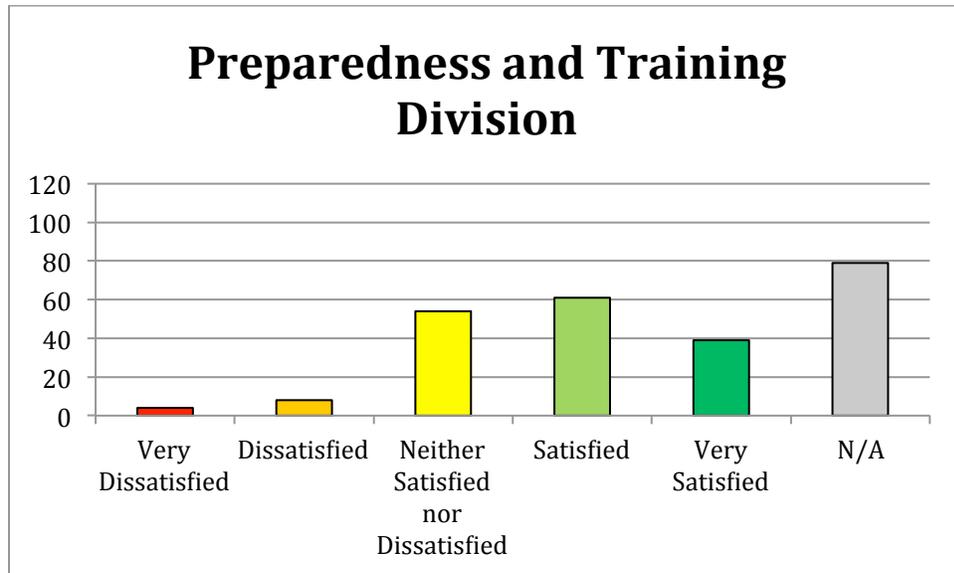
Out of the 34 comments received with this question, the majority were negative comments with critiques. Other comments were either both positive and negative remarks in one comment, explanations on why the question was not applicable, or positive comments.

**Question 7.**

*How satisfied are you regarding your interactions with the following IDHS divisions during disasters?*







**Answered: 247**  
**Skipped: 44**  
**Comments: 38**

*Question 7 Analysis:* Question 7 was similar to Question 6 in that it gauged satisfaction levels with the various IDHS divisions, but this time during a disaster.

This question had an option for “not applicable,” so those who did not have experience could select an option. Several of the comments for this question were explanations that the respondent had not interacted with IDHS during a disaster situation yet (7 out of 38). For purposes of the analysis, the “not applicable” responses were removed to calculate the resulting percentages.

The following table provides the percentages of respondents' results:

	Very Dissatisfied	Dissatisfied	Neither Satisfied nor Dissatisfied	Satisfied	Very Satisfied
<b>Field Services Division</b>	8%	5%	21%	32%	<b>34%</b>
<b>Fire and Building Safety Division</b>	2%	2%	<b>36%</b>	35%	24%
<b>Planning and Assessment Division</b>	3%	4%	35%	<b>37%</b>	21%
<b>Preparedness and Training Division</b>	2%	5%	33%	<b>37%</b>	24%
<b>Response and Recovery Division</b>	4%	6%	25%	<b>35%</b>	30%

Nearly identical percentages of respondents had a negative opinion of Fire and Building Services (4%) for day-to-day interactions and during disasters, but there was a more favorable opinion of both day-to-day interactions and disaster interactions than a negative one, with 67% of respondents “satisfied” or “very satisfied” during day-to-day interactions and 59% during disasters.

With the Response and Recovery Division, satisfaction levels between day-to-day operations and during disasters were also similar. Many more respondents rated “satisfied” and “very satisfied” levels (65% each) compared to those who were “dissatisfied” or “very dissatisfied” during day-to-day (6%) and during disasters (10%).

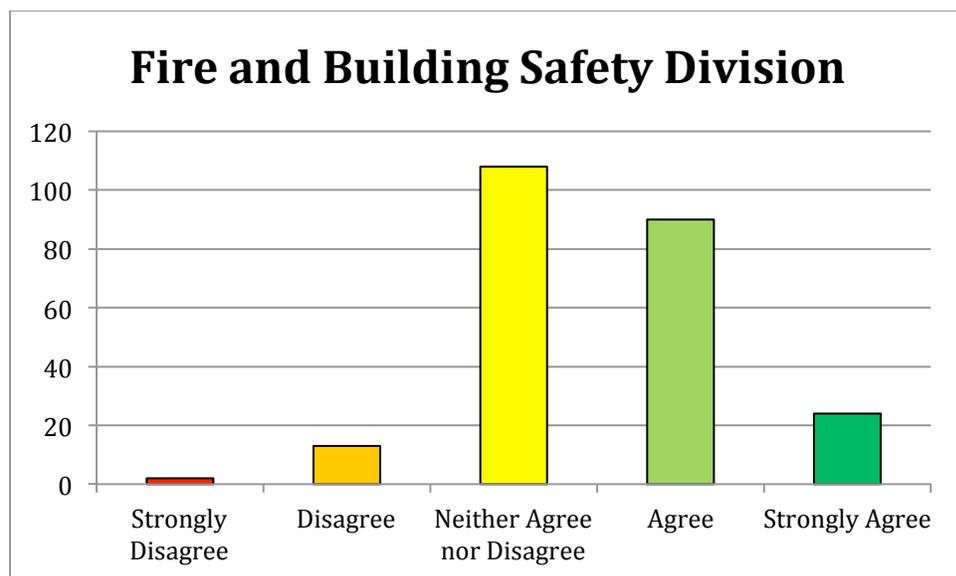
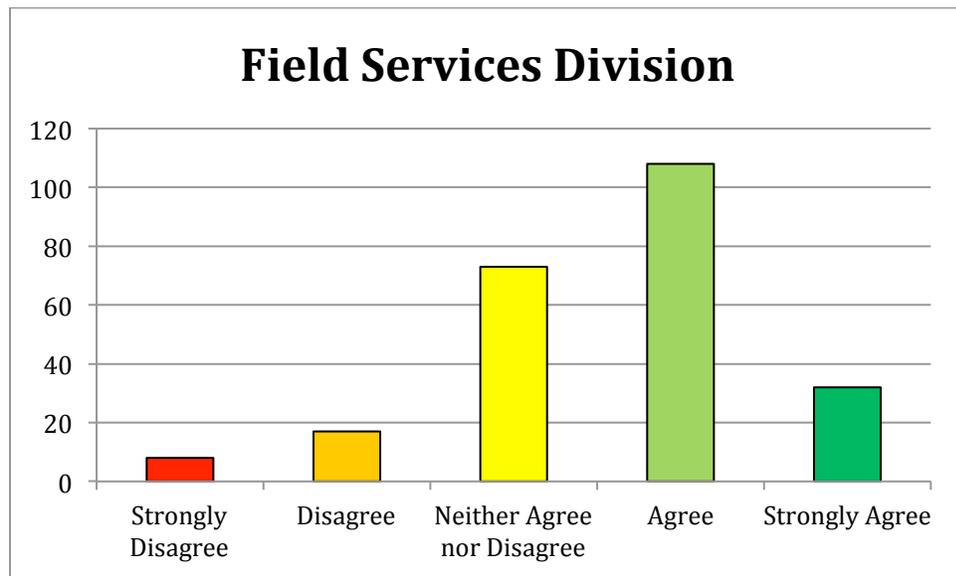
Out of the five divisions, Field Services had the highest percentage of respondents who were “very satisfied” (34%) and within Field Services’ ratings, the most frequent satisfaction levels were those who were “very satisfied.” Two thirds (66%) of respondents who reported interactions had a positive level of interactions (“satisfied” and “very satisfied”), and only 13% of day-to-day interactions and 13% of disaster interaction opinions were negative.

Survey respondents probably did have much interaction with the Planning and Assessment Division and Preparedness and Training Division during disasters.

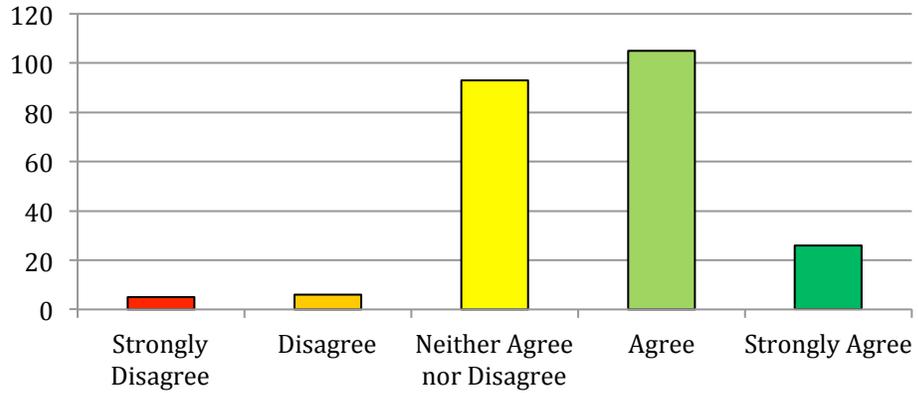
Based off of several themes emerging in the comments, there were some respondents who did not differentiate between the question asked and their responses. Respondents commented on training, certifications, and other non-incident related comments, even though the question was specific to disasters. Respondents had the opportunity to comment and rate satisfaction on the previous question, so there should not have been confusion, but this question may have been misinterpreted by respondents and thereby slightly decreases the validity of the results gathered from this question.

**Question 8.**

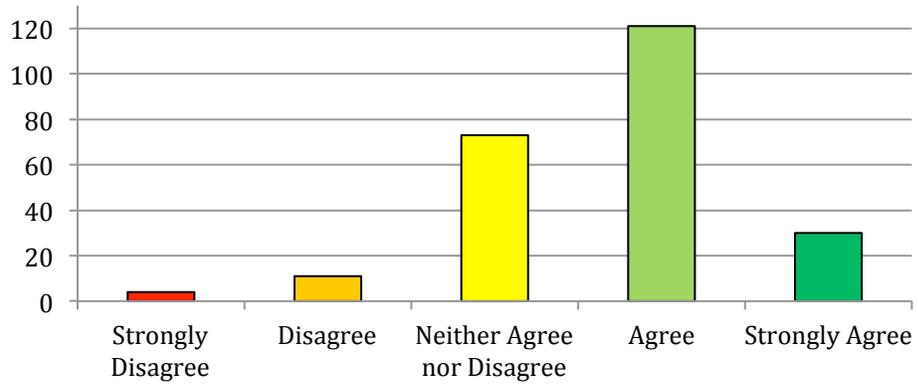
*The organization of the following divisions within IDHS is appropriate given the Department’s mission.*

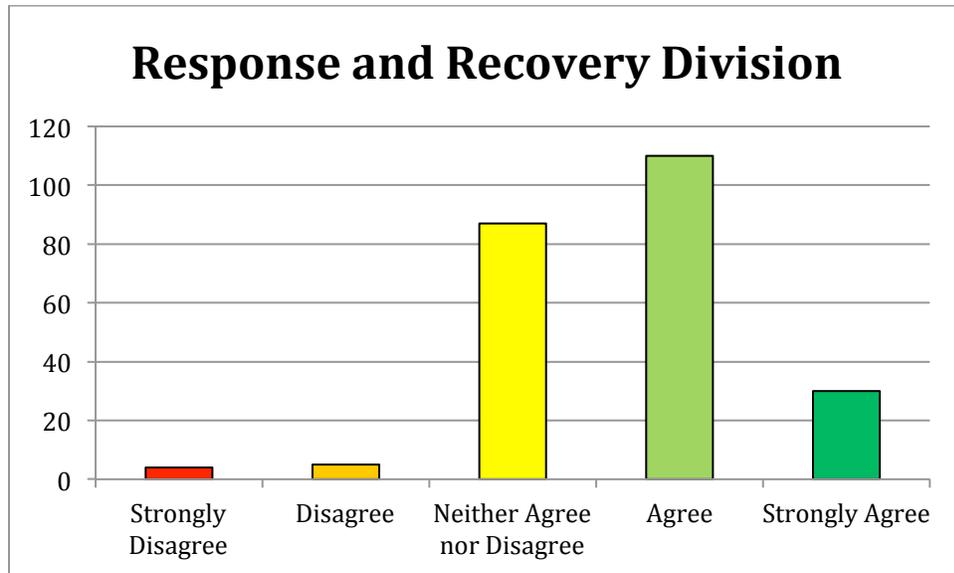


## Planning and Assessment Division



## Preparedness and Training Division





**Answered: 242**

**Skipped: 49**

**Comments: 38**

*Question 8 Analysis:* Across all the IDHS divisions (Field Services, Fire and Building Safety, Planning and Assessment, Preparedness and Training, and Response and Recovery), survey respondents had more positive (“agree” or “strongly agree”) rather than negative (“disagree” or “strongly disagree”) viewpoints toward whether the organization of the divisions were appropriate given the Department’s mission. Only one, the Fire and Building Safety Division, had the highest number of respondents choose a neutral answer (“Neither Agree nor Disagree”), whereas the others had more respondents leaning toward a favorable opinion, although fewer responses were “strongly agree” rather than “agree.” The following chart breaks down the percentages for each division:

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree
<b>Field Services Division</b>	3%	7%	31%	<b>45%</b>	13%
<b>Fire and Building Safety Division</b>	1%	5%	<b>46%</b>	38%	10%
<b>Planning and Assessment Division</b>	2%	3%	40%	<b>45%</b>	11%
<b>Preparedness and Training Division</b>	2%	5%	30%	<b>51%</b>	13%
<b>Response and Recovery Division</b>	2%	2%	37%	<b>47%</b>	13%

From the open-ended responses, the vast majority of the responses were suggestions for improvement for the IDHS divisions to align with IDHS' mission. The suggestions included recommending that EMS be in its own division or moving it under Fire and Building Safety, that the State Fire Marshal's Office should be a standalone agency and have Hazmat returned to it, or suggestions to move Field Services under Response and Recovery. One respondent recommended considering more, smaller divisions which would have a single purpose and clearer labeling (such as changing Field Services to District Operations). The small minority of responses recommended not reorganizing IDHS so as not to divert resources and attention.

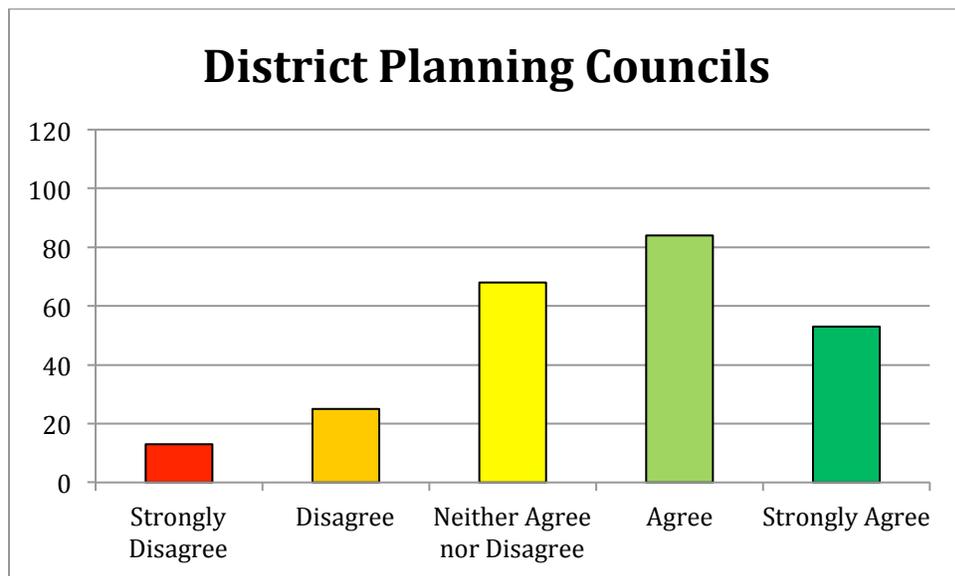
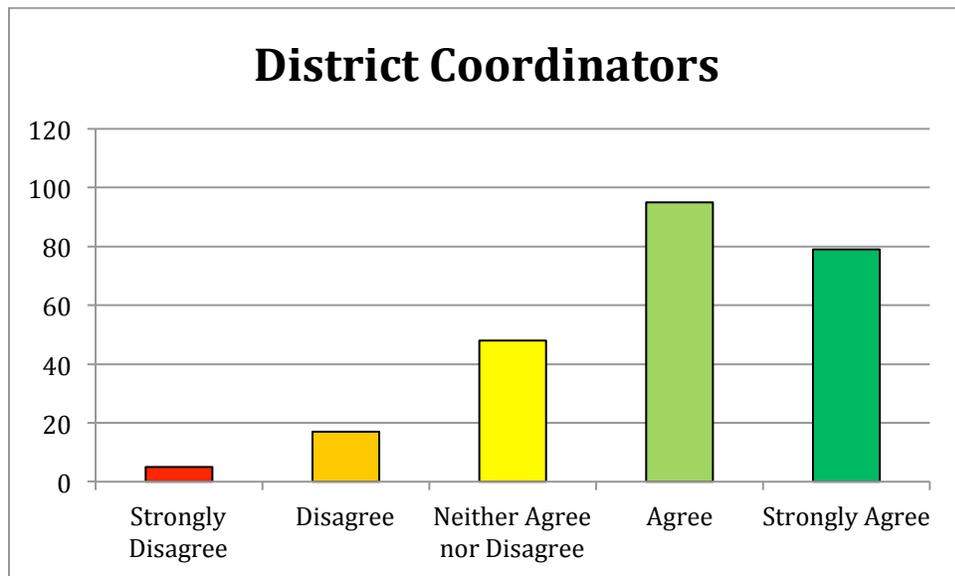
Nearly half (16 of 38) of the comments were from the county-level government respondents, and they commented on the confusion of who was in which division, as well as critiques of EMS, which respondents believed to be under Fire and Building Safety. City-level respondents strayed from the overall survey results with opinions on Field Services, Response and Recovery, and the Planning and Assessment Division. More than half (54%) were neutral to the Planning and Assessment Division, compared to 35% that "agreed." City-level respondents were also more neutral (46%) than "agreed" (43%) with Response and Recovery. City-level respondents were fairly evenly split between being neutral (42%) and "agreeing" or "strongly agreeing" (48%) with Field Services' organization. Out of the 10 comments, respondents commented that the State Fire Marshal's Office should be a standalone agency, and suggested that Response and Recovery, Preparedness and Training, Planning and Assessment as well as Field Services could be split between two directors as well as suggested moving EMS and Hazmat under the Fire and Building Safety Division.

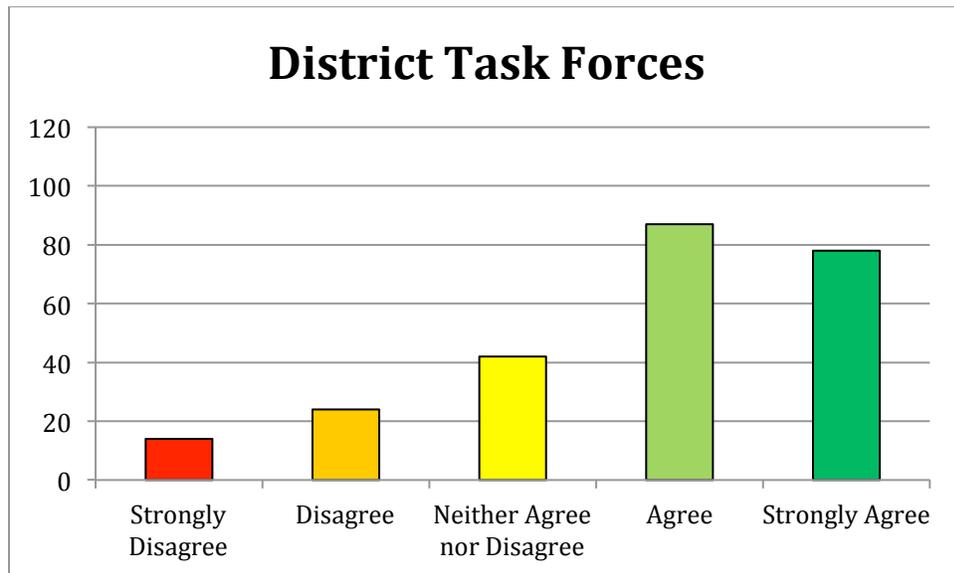
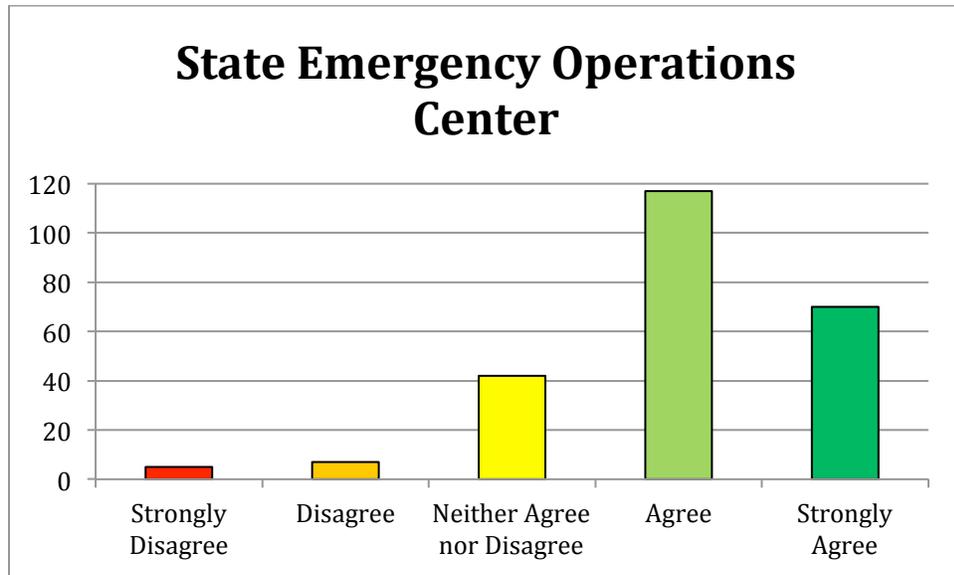
The private sector respondents had similar results as the overall survey, and state-level government respondents commented that Field Services might be a better fit under different divisions.

Emergency medical respondents were either neutral or agreed with the organization of the divisions, with more agreed/strongly agreed than neutral. The comments revealed requests to move the EMS section or make it its own division. More than half of fire safety respondents agreed (51%), and 10% of respondents “strongly agreed” with the Fire and Building Safety Division's organization. Those who disagreed wanted the Fire Marshal's role reevaluated or to make it a standalone agency. Respondents who agreed and disagreed suggested EMS needed its own division or needed to be moved. With the exception of the Fire and Building Safety Division (which law enforcement respondents were neutral toward), law enforcement respondents agreed or strongly agreed that the divisions were appropriate given IDHS' mission.

**Question 9.**

*The organization of the following entities is appropriate for disaster preparedness and response in Indiana.*





**Answered: 246**

**Skipped: 45**

**Comments: 63**

*Question 9 Analysis:* Respondents were asked their opinions regarding the organization of district coordinators, district planning councils (DPCs), the state emergency operations center (EOC), and district task forces and whether their organization is appropriate for disaster preparedness and response in Indiana.

Across the board, respondents agreed with the statement asked, although fewer respondents had a stronger opinion (“strongly agree”) compared to “agree.” Nearly half of respondents (49%) agreed with the state EOC, and more than a third of

respondents agreed with the district coordinators (39%), DPCs (35%), and district task forces (36%).

Many more respondents also felt more strongly in terms of agreement compared to those who disagreed. For example, regarding the state EOC, 29% of respondents strongly agreed, whereas only 2% strongly disagreed. A similar pattern and percentages emerged with the district coordinators, DPCs, and district task forces.

The comments revealed more about the opinions on each. Out of the 63 comments received, 41 of the responses included comments about the task forces. The DPCs were mentioned half as many times (24 times), and the state EOC and district coordinators were mentioned even less (13 times and 12 times, respectively).

The comments were a mix of positive and asking that aspects of each remain unchanged, and negative responses that advocated for changes to be made to improve. The district task force comments had twice as many comments with critiques or ways to improve rather than positive feedback. Several respondents advocated for combining task forces or reducing the number the task forces. As one respondent commented, "Currently there are 10 throughout the state with significant redundancy in equipment and personnel. This costs the state million of dollars that could be used in a more efficient and effective manner."

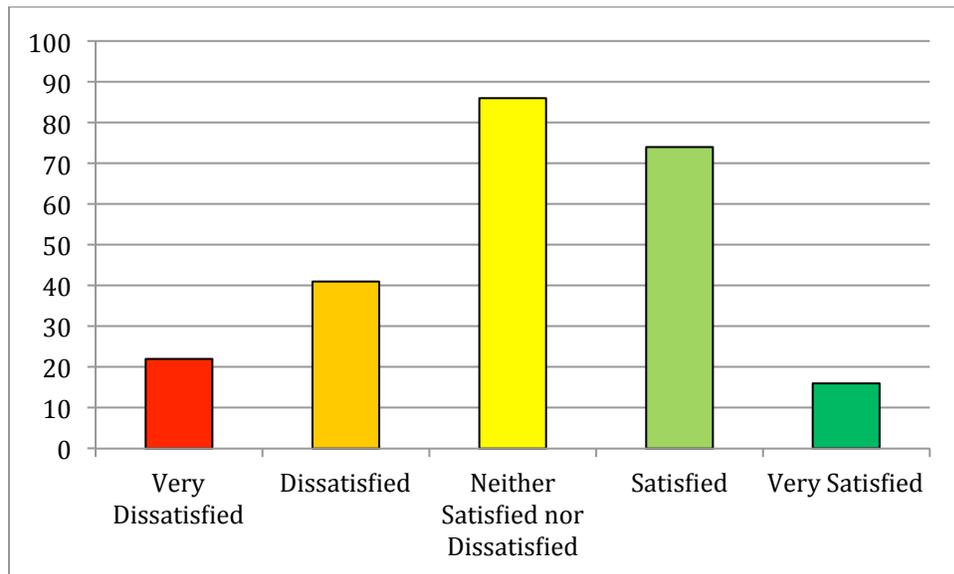
Similarly, twice as many of the DPC comments were negative responses that advocated for changes to be made rather than positive ones and asking that aspects of each remain unchanged. Respondents who critiqued the DPCs discussed that participation levels and interest in the DPC are dependent on grant funding levels. As one respondent said, "My impression is that if there were no giveaways no one would show up. I am not sure how it helps me as a county or my elected officials." Another respondent similarly echoed this statement, saying "With shrinking grant dollars, there is shrinking interest and participation in DPC/DPOC functions, especially among elected officials." Other respondents commented that the DPCs provide a helpful networking function with other agencies and counties, and that "it can be a very effective tool for coordinating planning and identifying resources that are available."

There were not enough comments received for the district coordinator position for a consensus to be reached. Some advocated for the district coordinators to take on more of a role with locals, whereas others stressed that their role was to serve as just a liaison. Others had confusion as to the overall role of the district coordinators.

There were also not enough comments regarding the state EOC, although some commented on the need to have the EOC be more responsive.

## Question 10.

*How satisfied are you with the financial support IDHS currently provides?*



**Answered: 239**

**Skipped: 52**

**Comments: 69**

*Question 10 Analysis:* This question rated respondents' satisfaction levels regarding the financial support that IDHS currently provides. The most responses (36%) were attributed to "Neither Satisfied nor Dissatisfied," giving an overall neutral reaction to the question. When examining the aggregate of positive responses (both "satisfied" and "very satisfied"), more respondents have a positive attitude (38%) rather than a negative one ("dissatisfied" or "very dissatisfied"; 26%).

This question had the highest amount of comments associated with it (69 comments) compared to the other questions in the survey. Those who answered "very dissatisfied" commented that the money should go to locals rather than districts.

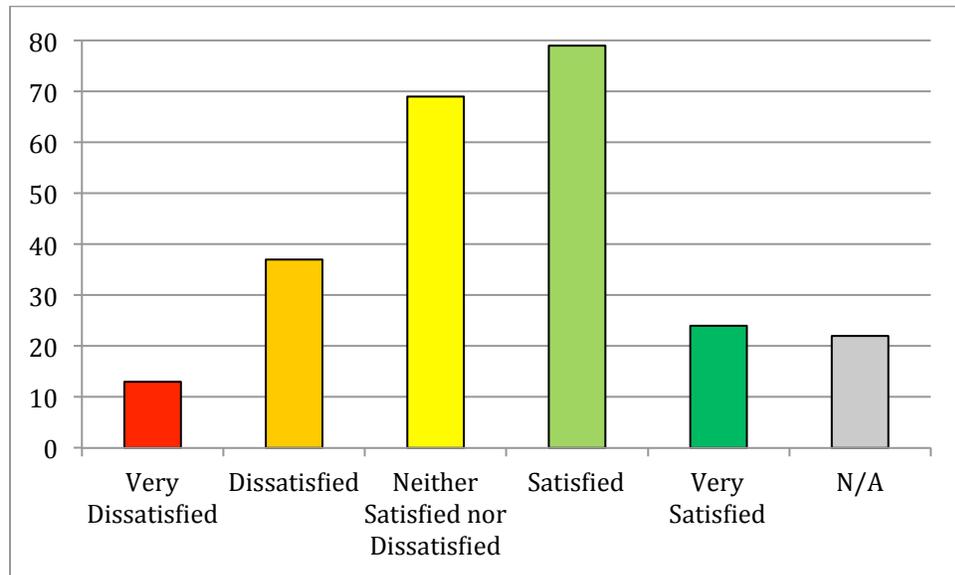
The most comments came from those who were dissatisfied (20 comments) or those who were neither satisfied nor dissatisfied (19 comments). Out of those who answered neutrally, several commented that they did not directly deal with IDHS on funding, whereas others commented that the funding process should be standardized and be performance-based.

Dissatisfied respondents mentioned issues with "red tape," and several highlighted the need for more money to go to the individual counties rather than just the districts, which also appeared in comments from the "very dissatisfied" as well as the "satisfied."

Several of the comments received from those with a favorable opinion (satisfied) also echoed those who marked “very dissatisfied” and “dissatisfied,” suggesting that even though they were satisfied, there were still improvements that they would like to see. The similarities were in more funding for locals rather than districts, as well as performance-based grants. The two “very satisfied” comments commended the financial support and credit it for providing needed services.

**Question 11.**

*How satisfied are you with the amount of information/guidance provided by IDHS on available funding sources?*



**Answered: 244**

**Skipped: 47**

**Comments: 30**

*Question 11 Analysis:* Question 11 measured the satisfaction levels of respondents regarding the amount of information and guidance IDHS provides on available funding sources. For purposes of the analysis, the “not applicable” responses were removed to calculate the resulting percentages.

More than a third (36%) of respondents were “satisfied,” and when combined with those who were “very satisfied,” the percentage rose to nearly half (47%) of respondents. The next most frequent response was from those who were “Neither Satisfied nor Dissatisfied,” (31%) and a combined 23% of respondents were not satisfied (“Very dissatisfied” or “dissatisfied”).

There were similar responses between district/regional-level government, county-level government, and NGO respondents, with more than half of respondents “satisfied” or “very satisfied.” State-level government respondents and city-level government respondents were not as happy with the available funding source

guidance as the others (43% and 41% “satisfied” and “very satisfied” for state and city-levels, respectively). There were minor differences between those “very satisfied” or “satisfied” among emergency management, emergency medical, fire safety, and law enforcement respondents.

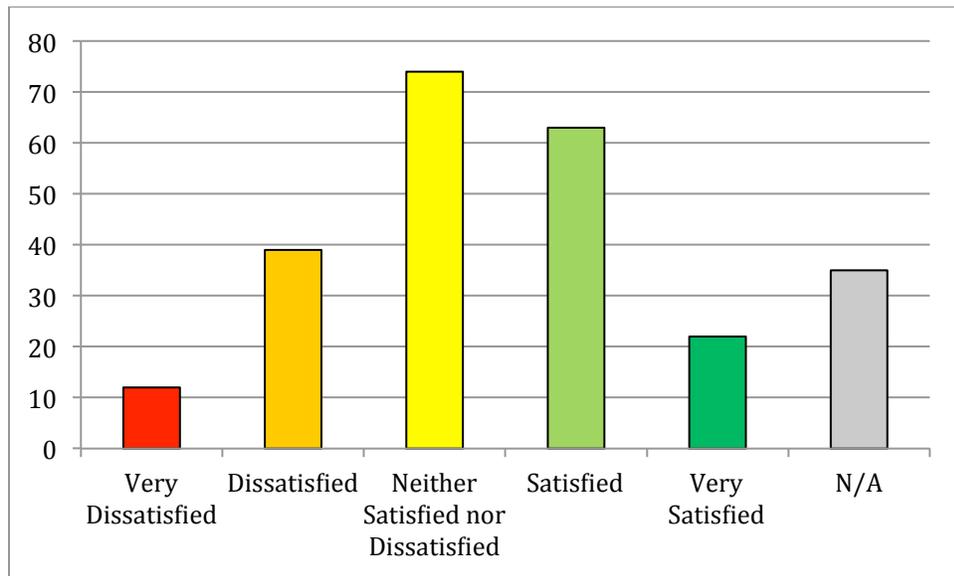
There were 30 comments received in conjunction with this question. Out of those who responded as “very dissatisfied,” the three comments received expressed the lack of information received and requests to concentrate on helping locals secure grants. In the eight comments received from those who were “dissatisfied,” respondents commented on issues such as the information is “confusing,” “limited” or “the website is not up to date” and that “information used was wrong.” County-level government respondents made up half of the comments (15 of 30).

Those who were neutral had a third of the comments for this question, and the comments were mainly negative. Several themes emerged, including the desire for more and clearer guidance, as well as communicating better as to who to go to for information and with questions within IDHS.

The “satisfied” and “very satisfied” respondents commented on the effectiveness of the information bulletins and that processes had “greatly improved in the last 2- 4 years,” but requested more communication.

## Question 12.

*How satisfied are you with the processes for applying for grants through IDHS?*



**Answered: 245**

**Skipped: 46**

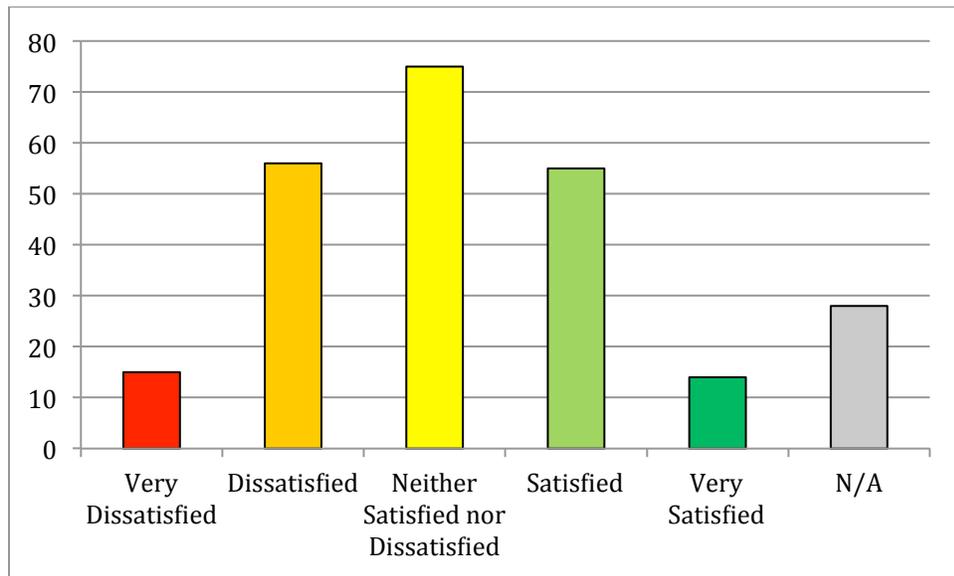
**Comments: 48**

*Question 12 Analysis:* Respondents were also asked about their satisfaction levels regarding the processes for applying for grants through IDHS. For purposes of the analysis, the “not applicable” responses were removed to calculate the resulting percentages. Out of the 210 “applicable” responses to this question, more than a third (35%) provided a neutral response to the question asked. When combining those who responded that they were “satisfied” or “very satisfied,” there were more favorable opinions of IDHS’ grant processes compared to unfavorable. Those who were “satisfied” or “very satisfied” were 40% of responses, while those who were “dissatisfied” or “very dissatisfied” were 25% of responses.

Out of the comments received, nearly double were associated with those who were “dissatisfied” or “very dissatisfied.” The negative feedback received on applying for grants included comments from respondents who commented that the deadlines were “prohibitive for volunteer organizations” and that there is “no procedure to apply for grants unless you are a District or County government.” The respondents also described the process as cumbersome, too complicated, and difficult to understand. Those who chose satisfied or very satisfied described IGMS as “user friendly” and that the processes had greatly improved recently. Respondents throughout the comments made notes that some of the issues with requirements came from the federal side and that IDHS could not be faulted for the issues.

### Question 13.

*How satisfied are you with IDHS' allocation of grant funds?*



**Answered: 243**

**Skipped: 48**

**Comments: 47**

*Question 13 Analysis:* As another of the Funding Questions, Question 13 asked respondents about their satisfaction levels with IDHS' allocation of grant funds. For purposes of the analysis, the "not applicable" responses were removed to calculate the resulting percentages. Similar to Question 12, out of the 215 "applicable" responses, nearly a third (35%) provided a neutral response to the question asked. In this question, however, the percentage of respondents who had negative viewpoints toward the allocation of grant funds was identical to those with positive viewpoints, including those who felt strongly one way or another. Nearly a quarter (26%) rated themselves "dissatisfied" or "satisfied" with the allocation of funding, and seven percent of respondents felt either "very dissatisfied" or "very satisfied."

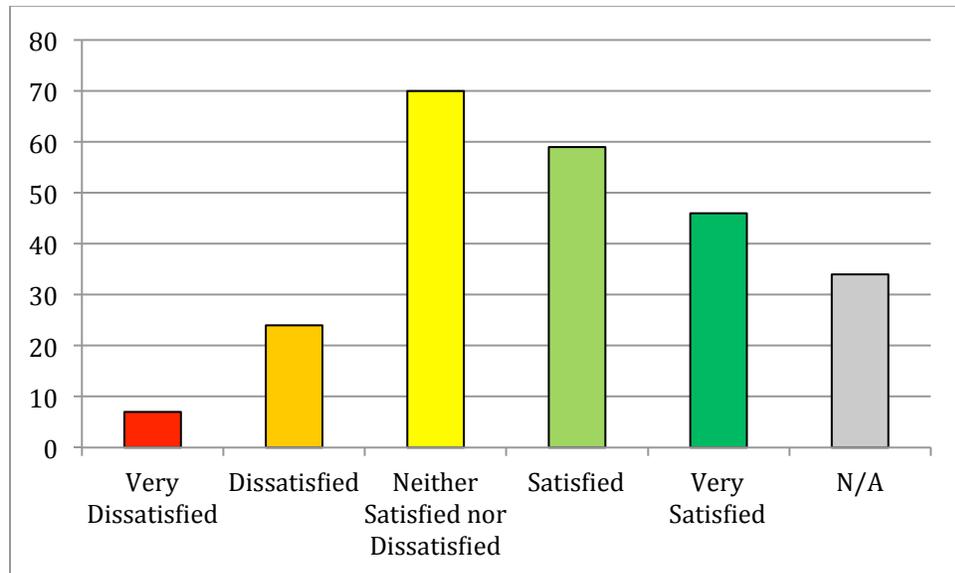
Of the 47 comments received for this question, many themes emerged regardless of respondents' satisfaction levels. The crosscutting responses included the need to have funding allocated by performance. As one respondent commented, "Once again seen too many times where districts don't follow the funding guidance get the same funding as those who go the extra mile and follow." Another theme that emerged across satisfaction levels was the request to have more funding allocated to locals instead of focusing on funding only the districts.

The "dissatisfied" and "very dissatisfied" respondents also brought up in their comments issues of favoritism and the uneven distribution between urban and rural communities and large counties and small counties. One respondent suggested that allocation was also needed for volunteer organizations.

Some of the comments of those who responded neutrally explained in their comments that they were unsure how funding is allocating, possibly highlighting the need for further education on and information dissemination on how funding is allocated.

**Question 14.**

*How satisfied are you with the level of grant management assistance provided by IDHS?*



**Answered: 240**

**Skipped: 51**

**Comments: 37**

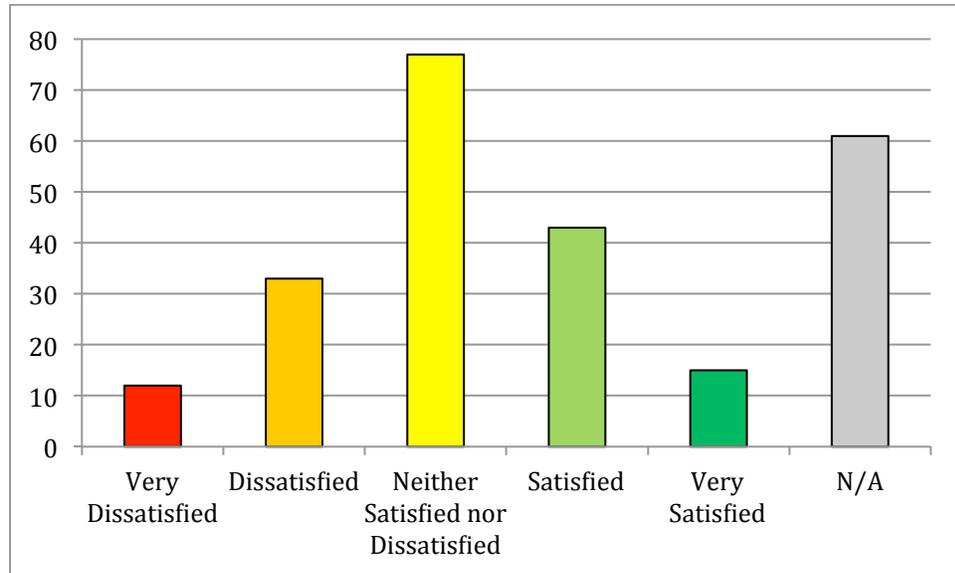
*Question 14 Analysis:* Similar to the funding questions posed before it, Question 14 gauged respondents’ satisfaction levels regarding funding. For purposes of the analysis, the “not applicable” responses were removed to calculate the resulting percentages. This time, when asked about satisfaction levels with the level of grant management assistance provided by IDHS, more than half (51%) of respondents were “satisfied” or “very satisfied” rather than neutral (34%) or “dissatisfied” or “very dissatisfied” (15%), indicating that respondents feel the level of grant management IDHS provides is reasonable, and those who were dissatisfied did not feel very strongly about it (only 7% rated “very dissatisfied”).

In contrast to the other questions asked, more comments were received by those who were “satisfied” or “very satisfied” than those who were “dissatisfied” or “very dissatisfied” (20 comments compared to 6). Areas for improvement that were suggested included making it clearer on who to contact, more deadline notifications, and helping users understand the process as it changes.

Many of the comments included praise for IDHS Grants Management, commenting that the team is helpful, responsive, and provides good customer service. One respondent's commendation said, "I believe that the Grants Department within IDHS is generally the easiest to contact, access information, communicate with, and resolve issues than any other department I have had interaction with."

**Question 15.**

*More specifically, how satisfied are you with the Emergency Management Performance Grant (EMPG) Assessment process?*



**Answered: 241**

**Skipped: 50**

**Comments: 46**

*Question 15 Analysis:* In terms of the Emergency Management Performance Grant (EMPG) assessment process, the opinions varied and most were neutral to the process. A quarter (25%) of respondents ranked this question as "not applicable," and for purposes of analysis, the "not applicable" responses were removed to calculate the resulting percentages.

Respondents were fairly evenly split, with the most neutral (43%), nearly equal split between those who were "dissatisfied" (18%) and "satisfied," (24%) and nearly equal split between those who were "very dissatisfied" (7%) and "very satisfied" (8%).

Out of the 46 comments, several themes emerged across all of the satisfaction levels. One such theme was the recognition that the assessment process was very difficult for part-time emergency managers and had "unfair" requirements for small counties. Many respondents in the comments advocated against a "cookie cutter approach," and one specifically proposed having an "individual work plan for each

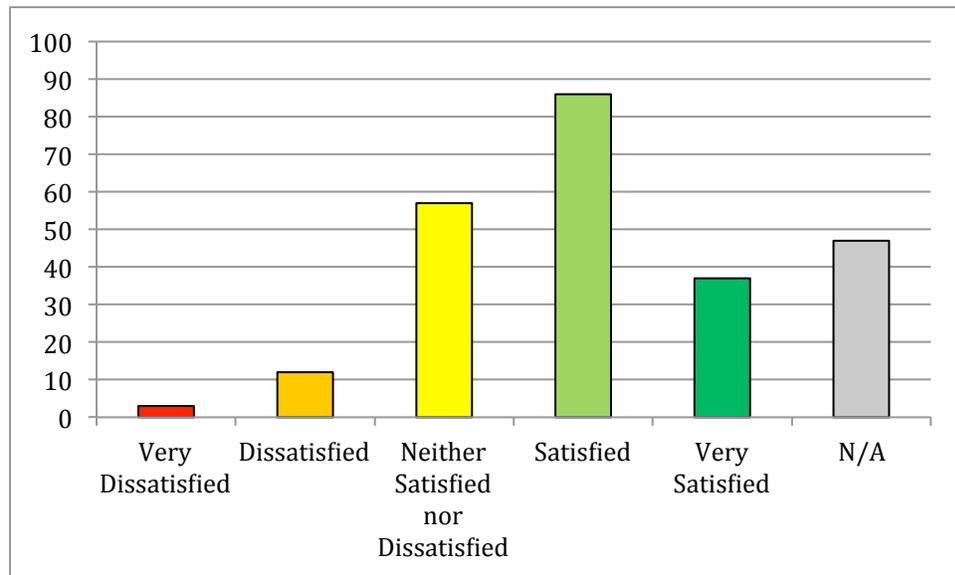
county based on their needs” that could be completed by district coordinators who are already familiar with the county needs and capabilities. Respondents across the answers also commented that the assessment encourages “quantity, not quality plans.”

Others that responded with “very dissatisfied” or “dissatisfied” felt it was “busy work”, full of “red tape,” and time consuming. Those who were “satisfied” or “very satisfied” stated that the EMPG process that promotes accountability and is a measurable effort to do so.

The comments also illustrated that fewer respondents may have fit in the neutral category and should have instead checked “not applicable,” since several comments indicated they were not involved with the EMPG assessment or were unfamiliar with it.

### Question 16.

*How satisfied are you with IDHS’ processes for providing disaster assistance?*



**Answered: 242**

**Skipped: 49**

**Comments: 39**

*Question 16 Analysis:* Question 16 asked respondents about their satisfaction levels regarding IDHS’ processes in providing disaster assistance. For purposes of analysis, the “not applicable” responses were removed to calculate the resulting percentages. In general, respondents were pleased with IDHS’ processes, with more than half (63%) of respondents having a favorable view (“satisfied” and “very satisfied”) of the disaster assistance processes, and nearly a third (29%) were neutral. Also, in terms of those with strong opinions, there were very few that were

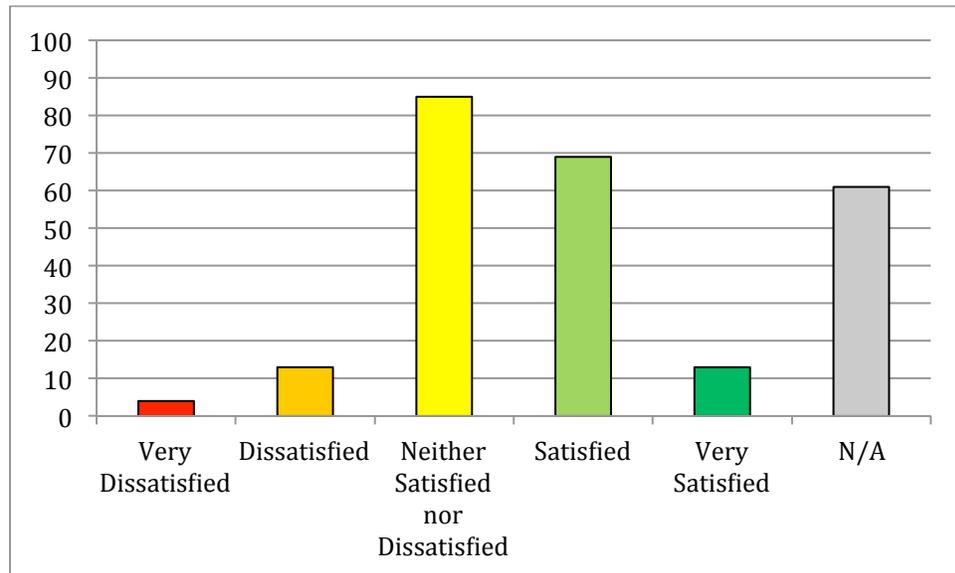
“very dissatisfied,” and nearly ten times more respondents were “very satisfied” over “very dissatisfied.”

Out of the 39 comments received for this question, nearly half (20) were from respondents who responded “satisfied” or “very satisfied.” These respondents were mixed in their commendations and giving suggestions for improvement. There were comments about the success of the 2012 interstate and intrastate deployments, but also cited the need to decrease IDHS Field Services’ involvement at times. Other neutral and “dissatisfied” respondents suggested the need for communication improvements, as well as improving the speed of disaster assistance.

Similar to other questions in this survey, several “neither satisfied nor dissatisfied” respondents commented that they did not know the process or “don’t have enough information to answer this question,” which may mean that selected “not applicable” would have been more fitting for more respondents rather than selecting a neutral category instead.

### Question 17.

*How satisfied are you with how IDHS administers disaster funding?*



**Answered: 245**

**Skipped: 46**

**Comments: 18**

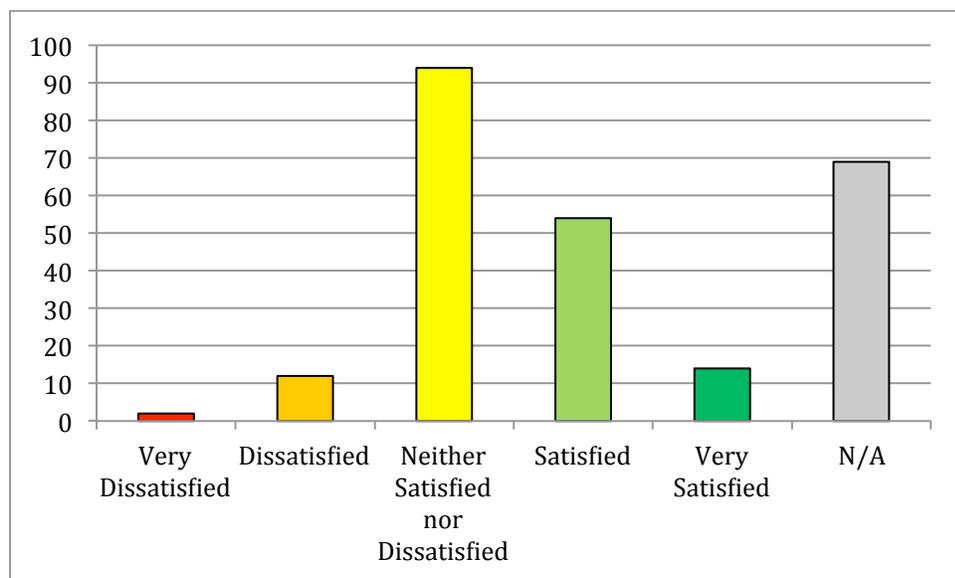
*Question 17 Analysis:* Similar to Question 16, Question 17 asked respondents about information related to disasters. In this question, respondents were asked about satisfaction levels regarding how IDHS administers disaster funding.

A quarter of respondents marked this question as “not applicable,” (25%) indicating that they either had not experienced a disaster that involved IDHS or were not involved in dealing with IDHS. When those who were “not applicable” were factored out of the results, there was a close split between those who were neutral (46%) and those who were “satisfied” or “very satisfied.” Only two percent of respondents were very dissatisfied, so there were few extreme negative views on this question, and only seven percent of respondents were “dissatisfied.”

Respondents did not have many additional comments for this question, perhaps because it was one of the last few questions in the survey. Out of the 18 who commented, many of those who chose “neither satisfied nor dissatisfied” explained that they were either not personally involved, have not had the opportunity to experience, or had not been through the process. They may have been better suited to check “not applicable” instead. Those who had been through the process and were “dissatisfied” commented that there had been communication issues within IDHS, and used the adage that the “left hand doesn't know what the right hand is doing.” Those who were “satisfied” commented on the very helpful staff and commended the help received putting the initial assessments together.

### Question 18.

*How satisfied are you with how IDHS administers recovery funding (e.g. Public Assistance and Hazard Mitigation Grant Program funds)?*



**Answered: 245**

**Skipped: 46**

**Comments: 19**

*Question 18 Analysis:* In the last of the funding questions, Question 18 examined the satisfaction levels with how IDHS administers recovery funding, such as the Public Assistance and Hazard Mitigation Grant Program funds. More than a quarter of

respondents found this question to be not applicable (28%). When those who were “not applicable” were factored out of the results, more than half of respondents selected “neither satisfied nor dissatisfied” (53%). For those who had an opinion other than a neutral one, many more were “satisfied” or “very satisfied” (39% combined) compared to “dissatisfied” or “very dissatisfied” (8%).

There were only 19 comments associated with this question, which could have been because it was further into the survey, or because respondents had fewer comments about the subject since many found it not applicable. Out of the few comments, there were no clear themes, but one “dissatisfied” respondent commented that “the population ratio to cost/mitigation ratio is never optimal for us so everyone figures “why bother?”” Another “dissatisfied” respondent had communication problems with the mitigation branch of IDHS.

As with other questions, some of the comments under the neutral category indicated that they did not know about it nor had no experience with it. They may have been better suited to check “not applicable” instead.

**Question 19.**

*What are the top three strengths of IDHS?*

Code	Frequency
Personnel	89
<i>Not Applicable (N/A)</i>	<i>72</i>
Training	69
Support	48
Attitude	38
Leadership	28
Grants	20
Communication	19
District Coordinator (DC)	19
Response Capability	18
Resources	17
Task Forces (TF)	17
Districts ( <i>generic</i> )	16
Emergency Operations Center (EOC)	16
Response	15
Field Services	14
Collaboration	10
Coordination	10
Grant Funding	10
Organization	10
Planning	8

Code	Frequency
Recovery	8
Exercises	7
Preparedness	7
Certifications	6
Equipment	6
Accessibility	5
Cooperation	5
District Planning Council (DPC)	4
District teams	4
Mitigation	4
WebEOC	4
Concept	3
Fire Marshal	3
Locals	3
Paperwork	2
Personnel Development	2
Policy	2
State Administrative Agency	2
District Admin	1
District Incident Management Team (IMT)	1
Emergency Response Commission (ERC)	1
Finance	1
Help Desk	1
Homeland Security Team (HST) Meetings	1
Innovative	1
Law Enforcement	1
Programs	1
Task Force Guidance	1
<i>Total</i>	<i>650</i>

**Answered: 167**

**Skipped: 124**

*Question 19 Analysis:* Question 19 was a free response question as to limit bias and to not limit the options of strengths received from respondents. Respondents were asked to provide the top three strengths of IDHS. Although respondents could provide Strength #1, Strength #2, and Strength #3, the strengths were not ranked and for purposes of the analysis, the strengths were all combined and coded based on the themes of each response. There were more than 500 strengths provided, and

49 codes resulted from the analysis of the strengths. Some strengths were coded with more than one code due to the content in the response.

Out of the coding process, the most frequent code was “Personnel,” (89 of 650) which were mentions of the quality of IDHS staff, traits of individuals rather than positions, or of specific personnel. They commended the quality of the IDHS staff in their dedication, knowledge, and experience, the attitude of the leadership, and also specifically called out specific divisions or individuals. The “personnel” strength included responses such as the following:

- “Those who do the work to make it happen”
- “Experience of some of the staff”
- “Friendly staff”
- “The knowledge of their people”
- “Knowledge of some of the veteran staff and their willingness to work with locals”
- “There are some really dedicated people involved”
- “Personnel dedicated to the mission”

The quality of individuals is considered the top strength of IDHS. For the purposes of this assessment however, the scope was to consider an organizational analysis rather than the quality of personnel. The fifth rated code, “attitude,” was similar to “personnel” (and had many overlaps in coding) in that it referred to the positive attitude of specific personnel, but also incorporated the outlook of the agency.

“Not applicable” (N/A) was the second most common response (72 of 650), and the N/A referred to either respondents who left one or more strengths blank or wrote “unsure” in their response. This is not considered a strength but is included for reporting reasons.

“Training” was the third most common response (69 of 650). “Training” covered the training opportunities offered by IDHS, the quality of training, and specific training such as district and task force training. Respondents listed the following strengths categorized under the “training” code:

- “Robust training program”
- “Training assistance”
- “Position specific training”
- “Quality of training we receive”
- “The provided training to support the task forces”
- “Quality of training services”

The fourth top strength of IDHS was “support” (48 of 650). “Support” was one of the more generic codes. It also had overlaps with “personnel” and “attitude,” but also referred to support received with equipment, guidance, and with manpower. It did not cover financial support, as that was covered under “grants” and “grant

funding.” The following are examples of the strengths that were received under “support”:

- “Assistance in whatever is needed is quick”
- “Supporting the District concepts”
- “Fast response when seeking support”
- “Support”
- “Multi-jurisdictional resources”
- “Manpower to handle situations”
- “Support through field personnel”
- “Hands on assistance is readily available”

Other strengths included the response capability the state has, the leadership found in IDHS, grants, and communications, in terms of both listening and being accessible to constituents and information sharing. Respondents also listed strengths that included the task forces, district coordinators, and IDHS’ resources.

## **Question 20.**

*What are your top three recommendations for IDHS improvements?*

**Answered: 165**

**Skipped: 126**

*Question 20 Analysis:* Respondents were requested to provide top three recommendations for IDHS improvements, and more than 380 recommendations were received. The respondents provided a wide array of recommendations. Responses ranged from arguing for or against having 10 districts and 10 district task forces, to requests for specific training. The major common themes that emerged from the recommendations can be summarized in the following focus areas:

### **Communication**

One of the most repeated recommendations from respondents was for IDHS to improve communications. Survey respondents expressed interest in having improved communication from IDHS to the districts, counties, and locals in general, and other respondents provided more detailed requests, such as improved communication regarding personnel changes, in disaster deployment situations, knowing who to go to with questions, and what and when training opportunities were available. Similarly, respondents recommended that information sharing strengthen and that IDHS streamline its information flow processes, as well as transparency. Respondents also recommended that communication improve within IDHS itself as an agency to ensure a coordinated response and reduce redundancies.

### **County/Local Support**

There were analogous responses received over concern with the level of support received by counties and local emergency management agencies compared to the level of support that the 10 districts received. Respondents felt that more guidance and focus was provided to the districts, and recommended that there be a shift to directly engage counties/locals as well. The concern was also expressed specifically with funding, with respondents recommending that more funding be available directly to counties rather than funding solely to districts and district task forces. As one respondent noted, “The Taskforce concept, while beneficial in its own right, has overshadowed basic, local needs.”

### **Geography**

Similarly to the responses requesting focus to the counties/locals, there were also specific recommendations to have IDHS ensure that there is an even focus on counties and local emergency management agencies, regardless of population size or location. Respondents advocated for treating the “small counties like the large counties” and to consider all parts of the state. Some parts of the state felt ignored and that more attention and funding are provided to more populated and urban areas. Conversely, other responses were also received that expressed that the funding and guidance should be focused on areas where the threats and hazards are the greatest, and provide the most funding to urban and other areas with the highest vulnerability and critical assets.

### **Planning**

Clear themes emerged regarding the Planning Division of IDHS. The respondents recommended additional support with planning efforts, both with local emergency management agencies, as well as other state agencies with continuity of operations (COOP) planning. Respondents recommended helping the locals more with planning, and reaching out to assist with planning needs. They advocated for local involvement in plans to ensure buy-in, and more planning integration. Similar to the concerns raised over funding and guidance for districts rather than counties/locals, respondents recommended focusing more on “local planning initiatives instead of District response” and to provide greater outreach to local planners.

### **Grant Distribution**

Respondents suggested a grant rating system. Respondents recommended that grants be performance-based grants, rewarding counties and districts that met standards and were active participants, rather than equal distribution regardless of commitment level.

### **EMS**

A common theme in the responses was the need for EMS to be strengthened. Respondents suggested that EMS be moved to its own division and have its own director, or to transfer EMS to the Health Department to “ensure better medical supervision.” There was consensus that EMS in IDHS was too limited and needed to be better supported.

## **Training**

As one respondent suggested, “we can never train too much.” Respondents recommended further training opportunities, and continuing to support existing training programs, including for districts.

## **Employee Retention**

IDHS personnel continuity was also raised as an issue, and respondents recommended implementing measures to retain staff, including additional compensation.

## **Question 21.**

*Is there anything else that you would like to tell us or that we need to know?*

**Answered: 96**

**Skipped: 195**

*Question 21 Analysis:* Question 21 was the closing question of the survey, which allowed respondents an opportunity to share any additional final thoughts. Participants responded in several ways, either as a means to thank IDHS, to provide more recommendations for improvement, or to advocate for successful programs to stay the way they are. Positive feedback included commendations for IDHS’ training program, the district program and IMTs, and the personnel at IDHS.

Among the responses, there were mixed opinions on Field Services and the number of district task forces. Some respondents advocated for continuing to support the district task forces, expressing that reducing the number would only decrease participation since there would be more distance in traveling to meetings and trainings. Others proposed reducing the number of task forces to conserve resources. One respondent suggested redirecting the task force elements to other agencies (“the Law element should be given to Indiana State Police, fire element to the Fire Marshal’s Office, and Service & Support to the Indiana National Guard”).

Some respondents praised Field Services’ districts and task force concept, whereas others blamed Field Services for fragmenting other divisions. One recurring issue arose with EMS and its location. Several respondents recommended moving it from Field Services, recommending it to be either a standalone division or under the State Board of Health.

Other final thoughts included raising issues of confusion over who to contact, returning to a state/county dynamic rather than state/district, and for the rural parts of Indiana to not be ignored. There was also a suggestion for a town hall meeting for “local responders to meet state leadership to understand what the goals are.”

### III. Overview of Comments

This survey was intended to gather thoughts and feedback from IDHS stakeholders to include in Witt O'Brien's organizational analysis of IDHS. There was overwhelming response to this survey, with almost 300 participants offering their viewpoints.

Respondents were from city-level, county-level, district/regional-level, and state-level governments, as well as non-governmental organizations and private corporations, and represented emergency management, emergency medical, fire safety, law enforcement professions, and a small number of elected public officials. The following are general summaries from written comments.

#### **General Questions**

When asked about the mission of IDHS and the overall effectiveness of IDHS, overall respondents agreed that IDHS fulfills its mission. Respondents utilized comments to provide areas for improvement, which included concern over the communication within IDHS and with external stakeholders. Also, respondents noted that IDHS was straying from its mission by trying to be a response agency rather than a supporting agency to the local and county governments.

There were mixed reactions to IDHS fulfilling its mission to locals; some respondents suggested that smaller counties and localities were treated unfairly, whereas others believed it funding and support should be based on threats and vulnerabilities.

#### **Division-Level Questions**

Very few respondents interacted daily with IDHS. Most respondents interacted with the five divisions a few times a year. Respondents were overall satisfied with their interactions with IDHS, and if they did have critiques about the way that IDHS is structured or issues with interactions, in general the attitude was still a positive one to the agency.

Across all the IDHS divisions (Field Services, Fire and Building Safety, Planning and Assessment, Preparedness and Training, and Response and Recovery), survey respondents had more positive rather than negative viewpoints toward whether the organization of the divisions was appropriate given the Department's mission. Respondents suggested that EMS be in its own division or moving it under Fire and Building Safety, that the State Fire Marshal's Office should be a standalone agency and have hazmat returned to it, or suggested moving Field Services under Response and Recovery.

Respondents agreed that organization of district coordinators, DPCs, the state EOC, and the district task forces was appropriate for disaster preparedness and response in Indiana.

**Funding Questions**

A common theme in the survey was respondents advocating for funding to not only be focused on the districts, but also to support the locals as well. Respondents also requested performance-based grants. Dissatisfied respondents mentioned issues with “red tape,” and several highlighted the need for more money to go to the individual counties rather than just the districts.

**Final Questions**

Respondents were also given the option through the survey to provide open-ended responses, including about IDHS’ strengths, recommendations for IDHS, and closing thoughts.

Although not an organizational strength and outside the scope of this project, respondents listed the top strength of IDHS as its “personnel.” Other top strengths included “training” and “support.”

Respondents were also asked to provide recommendations for IDHS, which fit into a couple of themes including communication improvements, county/local support, geography, planning, grant distribution, EMS, training, and employee retention.

The survey closed with final thoughts from respondents, which included praise, thanks, critiques, and reasons to not change specific aspects of IDHS. There was no consensus on whether district task forces should be reduced in number, and moving pieces of Field Services to other divisions.

**Appendix E. State Public Safety Departments including Homeland Security and/or Emergency Management**

Select State Emergency Management and Homeland Security Organizational Structures: Homeland Security and/or Emergency Management in a Department of Public Safety  
*[Source: NEMA 2013 and department web sites as of May 2013]*

State	Department	Department includes
AL	Law Enforcement Agency	AL Fusion Center Department of Public Safety Highway Patrol Marine Patrol Director of Homeland Security Protective Services Unit State Bureau of Investigations ( <i>combined law enforcement and investigative units from multiple agencies</i> )
CO	Department of Public Safety (CDPS)	CO State Patrol CO Bureau of Investigation Division of Criminal Justice Division of Fire Prevention and Control Division of Homeland Security and Emergency management CDPS Human Resource Services CO School Safety Resource Center
CT	Department of Emergency Services and Public Protection	Commission on Fire Prevention and Control Emergency Management and Homeland Security Statewide Emergency Telecommunications Police Officer Standards and Training Council Scientific Services State Police
DE	Department of Safety and Homeland Security	Capitol Police Communications DE E911 DE Emergency Management Agency DE State Police Developmental Disabilities Council Division of Alcohol and Tobacco Enforcement (DATE) Division of Gaming Enforcement Office of Highway Safety State Council for Persons with Disabilities

State	Department	Department includes
MA	Executive Office of Public Safety and Security	Architectural Access Board Commonwealth Public Safety Broadband Office Department of Criminal Justice Information Services Department of Correction Department of Fire Services Department of Public Safety Highway Safety Division Harbormaster Training Council MA Emergency Management Agency MA State Police MA National Guard Municipal Police Training Committee Office of the Chief Medical Examiner Office of Grants and Research Parole Board Sex Offender Registry Board State 911 Department State Police Crime Laboratory/Forensic Services Group
MN	Department of Public Safety	Alcohol and Gaming Enforcement Bureau of Criminal Apprehension Driver and Vehicle Services Emergency Communication Networks Fiscal and Administrative Services Homeland Security and Emergency Management Human Resources MN.IT Services Office of Communications Office of Justice Programs Office of Pipeline Safety Office of Traffic Safety State Fire Marshal State Patrol
MO	Department of Public Safety	Alcohol and Tobacco Control Capitol Police Fire Safety Gaming Commission Highway Patrol Homeland Security National Guard State Emergency Management Agency Veterans Commission
NV	Department of Public Safety	<i>Divisions:</i> Capitol Police Emergency Management/Homeland Security Highway Patrol Investigation Parole and Probation Records and Technology State Fire Marshal Training <i>Offices/Bureaus:</i> Criminal Justice Assistance Professional Responsibility Traffic Safety

State	Department	Department includes
NH	Department of Safety	Division of Administration Division of Emergency Services and Communications Division of Fire Safety Division of Fire Standards and Training and Emergency Medical Services Division of Homeland Security and Emergency Management Division of Motor Vehicles Division of State Police Department of Information Technology
NC	Department of Public Safety	Adult Correction Alcohol Law Enforcement Alcoholism and Chemical Dependency Programs Butner Public Safety Communications Office Community Corrections Correction Enterprises Emergency Management (includes Homeland Security Branch) Governor's Clemency Office Governor's Crime Commission Juvenile Justice Law Enforcement Services Section National Guard Offender Accountability Program Offender Search Parole Commission Prisons State Capitol Police State Highway Patrol Victim Services
OH	Department of Public Safety	Administration Bureau of Motor Vehicles Emergency Management Agency Emergency Medical Services Office of Criminal Justice Services OH Homeland Security OH Investigative Unit OH State Highway Patrol
SD	Department of Public Safety	Accident Records Driver Licensing Emergency Management Emergency Medical Services Highway Patrol Highway Safety Homeland Security State 9-1-1 Coordination State Fire Marshal State Inspection State Radio Dispatch Weights and Measures
TN	Department of Safety and Homeland Security	Driver Services Handgun Permits Highway Patrol Homeland Security (Emergency Management in a separate standalone agency) Public Safety

<b>State</b>	<b>Department</b>	<b>Department includes</b>
TX	Department of Public Safety	Administration Aviation and Operation Support Criminal Investigations Emergency Management Finance General Counsel Highway Patrol Information Technology Intelligence and Counterterrorism Law Enforcement Support Media and Communications Office Regulatory Services Texas Rangers
UT	Department of Public Safety	Administrative Services Communications Criminal Identification Dive Team Driver License Emergency Management Fire Marshal Forensic Services Highway Patrol Highway Safety Peace Officer Standards and Training State Bureau of Investigation
VT	Department of Public Safety	Division of Criminal Justice Services Division of Emergency Management and Homeland Security Division of Fire Safety State Police
VA	Department of Public Safety	Alcoholic Beverage Control Board Board of Towing and Recovery Operators Commonwealth's Attorneys' Services Council Correctional Education Corrections Criminal Justice Services Emergency Management Fire Programs Forensic Science Governor's Office for Substance Abuse Prevention Juvenile Justice Military Affairs Parole Board State Police
WV	Department of Military Affairs and Public Safety	Adjutant General/National Guard Division of Justice and Community Services Division of Corrections Division of Homeland Security and Emergency Management Division of Juvenile Services Parole Board Division of Protective Services Regional Jail and Correctional Facilities Authority State Fire Marshal State Police

**Appendix F. Intrastate Districts/Areas of State Homeland Security and Emergency Management Agencies**

Sample of State Emergency Management and Homeland Security Intrastate Districts/Regions/Areas

*[Source: State emergency management and/or homeland security agency web sites, June 2013]*

State	Population (2010 Census)	Area (sq.mi.)	Districts /Regions	District/Region Functions
CA	37,253,956	155,959	3	California EMA has three administrative regions: inland, coastal, and southern. Regional offices have responsibility to coordinate state and regional information and resources within the region to support local response.
CT	3,574,097	5,018	5	Regional staff in five regional offices assist local governments with emergency planning and are the primary interface between the Division of Emergency Management and Homeland Security (DEMHS) and local officials and emergency managers in 169 towns. In each region, a regional planning team composed of representatives from each jurisdiction and multiple disciplines coordinates regarding preparedness, grant funding investments, and response capabilities.
GA	9,687,653	57,906	8	Eight areas, each with a field coordinator assigned. Field coordinators provide technical and management consultant services to local governments and private sector entities within their respective areas. In an incident in his/her region, an area coordinator is responsible for coordination of state and federal assistance and programs to the affected jurisdiction(s). Area coordinators may be assigned to support emergency operations anywhere in the state. Each area also has an All Hazards Council, which includes emergency management and homeland security stakeholders from counties in the area, to: improve information sharing; identify critical infrastructure; facilitate mutual aid agreements; identify capability and capacity needs; conduct training and exercises; and prepare regional response/coordination plans as appropriate.
IL	12,830,632	55,584	10	Information not available.
IN	6,483,802	35,867	10	Indiana uses 10 districts that each have a district coordinator. Each district also has a district planning council (DPC), district planning oversight committee (DPOC), which includes elected officials, and a district task force. District task forces are structured and have been funded to build out operational and incident management capabilities at the district level.
KY	4,339,367	39,728	11	Kentucky emergency management regions coordinate information and resources within each region to provide effective and efficient support to local response. They also provide a physical presence for Kentucky emergency management functions at the local level.

State	Population (2010 Census)	Area (sq.mi.)	Districts /Regions	District/Region Functions
LA	4,533,372	43,562	9	GOHSEP uses nine emergency management and homeland security planning regions, each with a GOHSEP employee regional coordinator who is a liaison between the parishes in each region and GOHSEP. Regional coordinators assist with training, resources, coordination with state agencies, and technical expertise on grants, and provide direct support during a disaster. Regions do not represent operational capability other than capabilities represented at local and state levels. Each region also has a regional director, who is a parish EMA director chosen by EMA directors in the region to serve as their voice and to coordinate with the regional coordinator.
NC	9,535,483	48,711	3	North Carolina has three regional "branch" offices that include 26 field staff that assist county governments with planning and fielding requests for state assets.
PA	12,702,379	44,817	3	Three Pennsylvania Emergency Management Agency (PEMA) offices work as a field extension of PEMA, coordinating with state agencies, county and municipal governments, and private sector and non-governmental organizations. They support local emergency management agencies with assistance and expertise regarding planning, training, exercise design and development, and skills development as well as during an incident.
WI	5,686,986	54,310	6	Wisconsin's six emergency management regional offices work with county and tribal emergency management directors on all phases of emergency management. Region directors coordinate and monitor a variety of emergency management programs.

## Appendix G. Fee-based Funding Source Examples

### State of Florida Insurance Surcharge

Florida's statewide real property insurance surcharge was instituted after Hurricane Andrew in 1992 to provide for improved local and state emergency management capabilities. Fee revenue is used to support state and local emergency management capabilities and preparedness activities within Florida.

252.372 Imposition and collection of surcharge. In order to provide funds for emergency management, preparedness, and assistance, an annual surcharge of \$2 per policy shall be imposed on every homeowner's, mobile home owner's, tenant homeowner's, and condominium unit owner's policy, and an annual \$4 surcharge shall be imposed on every commercial fire, commercial multiple peril, and business owner's property insurance policy, issued or renewed on or after May 1, 1993. The surcharge shall be paid by the policyholder to the insurer. The insurer shall collect the surcharge and remit it to the Department of Revenue, which shall collect, administer, audit, and enforce the surcharge pursuant to s. 624.5092. The surcharge is not to be considered premiums of the insurer; however, nonpayment of the surcharge by the insured may be a valid reason for cancellation of the policy. For those policies in which the surplus lines tax and the service fee are collected and remitted to the Surplus Lines Service Office, as created under s. 626.921, the surcharge must be remitted to the service office at the same time as the surplus lines tax is remitted. All penalties for failure to remit the surplus lines tax and service fee are applicable for those surcharges required to be remitted to the service office. The service office shall deposit all surcharges that it collects into the Emergency Management, Preparedness, and Assistance Trust Fund at least monthly. All proceeds of the surcharge shall be deposited in the Emergency Management, Preparedness, and Assistance Trust Fund and may not be used to supplant existing funding.

*(Fla. Statutes 2012, Title XVII, Sec. 252)*

### Hazardous Material Response Capabilities Fee

Some jurisdictions impose a fee on facilities or entities (fixed sites) that use, store, or manufacture hazardous materials as identified in the federal Emergency Planning and Community Right-to-Know Act (EPCRA)<sup>27</sup>. The fee is collected to support hazardous material response capabilities and preparedness in the jurisdiction.

Pennsylvania's Hazardous Materials Response Fund, supported by fees assessed on the chemical industry, is an example. The fee is designed to provide supplemental emergency preparedness funding for chemical emergency preparedness at county

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<sup>27</sup> 42 U.S.C. §11001, et seq.

and state levels. These funds are to be used for the preparation of chemical emergency plans by Local Emergency Planning Committees (LEPCs) and industry, acquisition of hazardous materials response team equipment, public Right-to-Know education, chemical industry awareness and compliance, and the conduct of training and exercises. All 67 counties of the Commonwealth are eligible to apply for grants under the guidance of Act 1990-165, as amended. ([www.portal.state.pa.us](http://www.portal.state.pa.us))

Another example is found in the Chatham County (Georgia) Code of Ordinances, Chapter 21, Article X (as amended). The Chatham County example includes exemptions for certain petroleum facilities, including those that strictly offer petroleum products for the general public (e.g., gas stations) and those that store fuel products for emergency use and facilities regulated by the state public service regulatory commission (e.g., power plants and utility transmission and distribution facilities). The Chatham County Code example reads, in part:

§21-1001 Intent of Ordinance. Payment of Registration Fee by Facilities with Hazardous Substances. The intent of this Ordinance is to require the payment of a registration fee by facilities using over 10,000 pounds of hazardous substances for the reasonable cost of the HazMat Team for promoting the health, safety and welfare of the public, pursuant to O.C.G.A. §48-13-9.2. An additional intent is to require registration, but no fee by facilities using hazardous substances under 10,000 pounds...

§21-1003 Hazardous Substances Registration. Every person and every facility required to report annually to the Georgia Emergency Response Commission and the Chatham County Local Emergency Planning Committee in compliance with §312 Superfund Amendments and Reauthorization Act (SARA III) shall register with Chatham County through the Inspections Department no later than May 1st of each year. Such registration shall be done by the Chatham Emergency Management Agency Hazardous Materials Analyst, shall be valid for 12 months from the date of registration and shall be maintained permanently at the site of the facility.

§21-1004 Registration Fees. Registration fees shall be assessed on the basis of the combined average daily amounts of all hazardous substances as reported for the previous calendar years to the Georgia Emergency Response Commission and the Chatham County Local Emergency Planning Committee. Fee rates shall be based on the following scale:

AVERAGE DAILY AMOUNT OF ALL HAZARDOUS SUBSTANCES FEE NOT TO EXCEED:

1 - 9,999 lbs.	No Fee
10,000 - 99,999 lbs.	\$1,100
100,000 - 999,999 lbs.	\$2,200
1,000,000 or greater lbs.	\$3,700

By April 1 of each year following the adoption of this Ordinance, fees may be adjusted to reflect actual costs of regulation. The failure of any person to register or to pay the hazardous substance fee by not later than May 1st of each year shall result in the requirement of payment of the original fee due plus a 25% delinquency fee increase of the amount which would have been due if timely paid, said delinquency fee amount not to exceed \$1,000. Failure to pay timely the registration fee or delinquency fee shall be enforceable in the Recorder's Court of Chatham County. (Amended July 22, 2011)

§21-1005 Inspections. The HazMat Team shall perform inspections in accordance with the rules and regulations under §312 Superfund Amendments and Reauthorization Act (SARA III), or upon the request of a registered facility...

*(Chatham County (Georgia) Code, Chapter 21, Article X)*

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