

TEXAS HOMELAND SECURITY: TRUST, COMMUNICATION,
AND EFFECTIVE WORKING RELATIONSHIPS
BETWEEN REGIONAL COORDINATORS
AND LOCAL RESPONDENTS

by

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ABSTRACT

TEXAS HOMELAND SECURITY: TRUST, COMMUNICATION, AND EFFECTIVE WORKING RELATIONSHIPS BETWEEN REGIONAL COORDINATORS AND LOCAL RESPONDENTS

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Policy implementation and intergovernmental relationships are most often examined from a federal/state perspective. This research, however, focuses on the effectiveness of working relationships between the two lower-levels of state government (i.e. regional and local jurisdictions) who implement homeland security policies in Texas. Using elite interviews conducted with the principal homeland security officials from the regional Councils of Governments and survey responses from chiefs of police across the state, this study seeks to identify what environmental, agency, and individual characteristics are associated with effective working relationships between these lower-levels of state government.

Texas chose to integrate the implementation of its homeland security policies into the state's existing regional structures. There have, however, been no attempts to examine the effectiveness of the working relationships between the agencies that actually implement these policies. This study maintains that the effectiveness of these relationships could have an impact

on the success of these policies and that it is, therefore, important to examine their relationships in order to facilitate an understanding about the context in which these policies are implemented. In addition, understanding the working relationships between these two groups could provide insight into how first response agencies in Texas might perform in a crisis situation. Since much of the federal legislation is implemented at the local level, taking into account the experiences of those who actually implement the programs might also improve the ways in which policies are designed and carried out.

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CHAPTER 1

INTRODUCTION AND LITERATURE REVIEW

The main focus of this research is on the relationship between the two levels of government that implement homeland security policies in the State of Texas—local and regional jurisdictions. Using elite interviews conducted with the principal homeland security officials from the regional Councils of Governments and survey responses from chiefs of police across the state, this study seeks to identify what environmental, agency, and individual characteristics are associated with effective working relationships between regional and local jurisdictions in Texas.

Implementation for a public policy such as homeland security takes place in the lower levels of government, and it is important to understand how these agencies interact with one another. Also, given the size of the state, geographical location, and the various threats Texas could potentially face, it is essential to understand the effectiveness of the relationships of those most closely involved in the implementation of such policies, as the level of effectiveness of these working relationships could impact preparedness and response capabilities throughout the state. Examining how each level of government views the regional and local capabilities *and* each other could provide a better understanding of how Texas would fare should the state ever face a terrorist attack or in the more likely event of another natural disaster. In addition, by analyzing the factors associated with effective working relationships this research could identify problems between these agencies. Identification of problems could help to improve the effectiveness of the relationships and thus provide better security and protection for the citizens of the state.

The current research project offers several unique qualities. First, there has been almost no research conducted on the working relationships between the lower levels of state government (i.e. regional and local government officials). In addition, homeland security is a

relatively new policy area and little is known about the strategies used for accomplishing goals in this area, especially within the lower levels of state government. The desire here is to provide a first glimpse of how Texas officials work together to meet these goals. By examining how conditioning factors such as environmental, agency, and individual characteristics interact with measures of trust and involvement, this study will be able to provide an understanding of how these factors impact the overall effectiveness of the working relationships between these entities. Further, this research provides both a qualitative and quantitative approach to analyzing intergovernmental working relationships across the state. The data collected in this study will be used to compare responses across regions and local jurisdictions, as well as to internally compare each group of respondents to better understand how each group views themselves *and* each other.

While not all states employ a regional approach to homeland security, Texas has used this type of organizational structure to address a variety of issues for more than forty years. Texas is a large state with a long history of dealing with natural disasters such as floods, drought, wildfires, thunderstorms, hail, tornadoes, and hurricanes (Robinson et al, 2003). Being prepared and capable of responding to these kinds of catastrophes has been a focus of Texas government officials for many years; thus, making the state an ideal candidate for a case study analysis. Given this, it is the hope that the hypotheses and measures contained in this research will be tested in other states that employ this same type of regional structure in an effort to better understand how they might best approach intergovernmental working relationships with regard to homeland security.

1.1 Introduction

The 1970s and 1980s brought new insight about the policy process—how policies were created, what governmental agencies were involved, and what factors helped to explain the success or failure of such initiatives. During the last two decades, however, research studies

regarding the implementation of public policies have diminished as evidenced by the limited amount of new research in the field.

There are many challenges to examining policy implementation and the difficulties lie not only in the complexities of the policy process, but also in how researchers have attempted to study the issue. Early researchers utilized a case study approach which typically examined only upper-level policymakers. Many of these early studies were criticized by policy implementation researchers because of the large number of variables, few cases, and their inability to establish a causal relationship (Lester et al, 1987). Subsequent research has attempted to develop analytical models that would provide a better framework with which to examine implementation and thus produce more reliable results (Lester et al, 1987); however, due to the complex nature of the policy process and the number of factors involved, research has been limited.

There are various types of public policies with each targeting different groups or attempting to control certain types of behaviors. Two of the most common types of public policies are social and regulatory policies. Social policies address issues concerning the well-being of individuals or groups of individuals and thus help to improve societal well-being by attending to their needs. Examples of this type of policy include children's healthcare, unemployment, and welfare policies. Regulatory policies, on the other hand, control behaviors of individuals, large corporations, and industries. While these types of policies may also help improve the overall well-being of society, they are specifically designed to regulate behaviors. For example, labor guidelines, environmental standards, trade policies, and homeland security mandates are all considered to be regulatory policies.

One of the most complex public policies is that of homeland security. Homeland security policies and initiatives encompass all three levels of government—federal, state, and local, as well as healthcare workers, private entities, and citizens. To ensure the protection of the nation and to have the ability to respond to both man-made and natural disasters requires that effective relationships be built *within* and *between* all agencies involved. Two of the most

important components of effective working relationships are trust and involvement, especially in intergovernmental relationships. Additional conditioning factors, such as environmental characteristics, agency characteristics, and individual characteristics (e.g. experience, education, and preferences) also help to define the efficacy of the interactions between two or more organizations.

The effectiveness of the relationships between the agencies involved in implementing homeland security policies is integral to the success of such policies. While no working relationship is perfect, there are those that are more successful and produce better results. Thus far, much of the research has been on the relationship between the federal and state governments; however, disaster response begins at the local level. Therefore, local jurisdictions are a primary unit in the implementation of policies.

To put the current research into context, this chapter will first provide a literature review showing the growth and development of implementation studies and the importance of the conditional variables within policy implementation. In addition, this review will show the effect policymakers and street-level bureaucrats have in how policies are actually achieved. Next, this chapter will provide a description of homeland security together with the federal, state, and local responsibilities. Finally, by using Texas as the model state, it will present an administrative structure from a state perspective, as well as from a national perspective.

1.2 Policy Implementation and Intergovernmental Working Relationships

Developing and implementing policy involves various groups at all levels of government and understanding the policy process includes examining the intergovernmental relations of those involved (Sabatier, 1991). Federal policies contain various inducements and constraints that can be construed as political messages in that they consist of information and expectations, as well as resources and sanctions for inducing compliance (Cline, 2003). While much of the focus of policy implementation centers on federal and state relationships, state and local

governments implement policies in the context of the same inducements and constraints, such as interests of officials and implementing units, and the capacity to enact a policy (Cline, 2003).

Intergovernmental implementation is largely affected by a state's organizational and ecological capacity (Cline, 2003). Organizational capacity encompasses the structure, personnel, and financial resources of the implementing agency, while the ecological capacity includes the economic, political, and contextual environments within which the policy is implemented (Goggin et al, 1990). In addition, lower levels of government (i.e. local jurisdictions) may view the implementation of public policies differently, thus ecological variables such as area, population density, and development may influence a community's perspective about the need for such policies (Kushma, 2001). Therefore, the size of the implementing jurisdiction and resource constraints are significant factors to consider in implementation studies.

There are several ways in which implementation has been studied. Implementation, according to Sabatier and Mazmanian (1980), "is the carrying out of a basic policy decision, usually in a statute. Ideally, that decision identifies the problem(s) to be addressed, stipulates the objective(s) to be pursued, and in a variety of ways, 'structures' the implementation process." If this process is too flexible, the policy may not be implemented as or even reflect the original intentions of the policymakers; however, if the policy is too rigid, implementers may view it as a micromanagement technique and fail to implement the policy at all or use their own discretion as to how implementation should occur. Either way, policy implementers can affect how policy is implemented as well as the success or failure of the policy. Therefore, it is important that the policy structure reflect the preferences of both the policymakers and policy implementers.

Studies of policy implementation are often differentiated in terms of generations. From 1970-1987, first and second generation implementation studies were characterized by four stages: case studies, developing model frameworks for studying policy implementation, applying these models, and analyzing and revising them (Lester et al, 1987). First generation

implementation studies focused primarily on case studies which examined only upper-level policymakers. As a result, a common criticism of these studies was that researchers often had too many variables and only a few cases to test them on, and in many circumstances more than one variable could explain the behaviors under examination, thus providing no real causal relationship (Lester et al, 1987). These studies did, however, contribute valuable information to those researching the process of implementation by demonstrating the complexities of such policies, the importance of the policy subsystem, and by identifying several factors associated with successful implementation (Goggin et al, 1990).

Second generation implementation studies attempted to rectify the criticisms of first generation studies by developing analytical models and testing procedures that would produce more reliable results (Lester et al, 1987). While these studies focused on many of the same variables as first generational studies, they provided a better framework within which to examine the process of implementation by showing that implementation varies over time and providing more valid explanations of what contributes to these variations (Goggin et al, 1990).

The third generation of implementation studies attempted to revise the analytical models and have sought to integrate them into usable research tools (Cline, 2000). This generation of implementation studies advocates that the best research designs include several different policy types, numerous variables, have a minimum time-period of ten years, and include all fifty states (Kushma, 2001). Critics, however, maintain that the model standards are too high and therefore unattainable for most researchers (Kushma, 2001).

While the idea of conducting third generation research may be appealing, meeting the standards of such a study could entail the dedication of many years and substantial resources for any policy implementation researcher. In addition, examining multiple policies within one study could produce unreliable results as most public policies consist of standards and restrictions that are unique to each. Second generation studies are much better suited to examining public policies individually. This type of research allows scholars to analyze the many different factors associated with policy implementation, such as the individual and

environmental characteristics of those involved in the process. It also provides an avenue to examine the intergovernmental relationships of policymakers and policy implementers to understand the incentives and constraints of both.

Over the last 40 years, implementation scholars have sought to develop theories as to how implementation occurs based on the intergovernmental relationships and organizational structures of those involved. There are three perspectives with which to view policy implementation: top-down theories, bottom-up theories, and hybrid theories. Top-down theorists purport that the basic structure of implementation is hierarchical, meaning that policy is developed and structured for implementation by the upper echelon policy-makers and is filtered down to local implementers. The more traditional focus of the top-down implementation studies has revolved around organizational management and an agency's ability to effectively manage the process of policy implementation (Cline, 2000).

Van Meter and Van Horn (1975) conducted one of the first top-down studies of policy implementation. The model they constructed argued that there are six variables that influence the implementation process: policy standards and objectives, resources, interorganizational communication and enforcement, agency characteristics (i.e. staff size), the culture of the implementing jurisdiction (i.e. economics, social, and political conditions), and the character of those implementing the policy (see also Sabatier and Mazmanian, 1980; Lester et al, 1987). In addition to these variables, George C. Edwards identified another factor believed to affect implementation: bureaucratic structure (Lester et al, 1987). While these are still considered to be important variables, many researchers believed that other measures could provide a better explanation of the policy process.

Thus, another group of theorists emerged around 1978. This group, identified as bottom-up theorists, assume that the agency closest to the problem has the greatest ability to influence the implementation process (Pulzl and Treib, 2006; Kushma, 2001) and as such, argue that policies must be compatible with the preferences of those that actually implement them (Lester et al, 1987). According to Winter (2002), street-level bureaucrats or those that

implement policies, are field workers who interact directly with target groups and who have some discretion as to how to implement and deliver public policies. Bottom-up theorists contend that these street-level bureaucrats use their discretion as a coping mechanism in delivering policy services and in everyday problem-solving and as a result alter how policies are actually implemented.

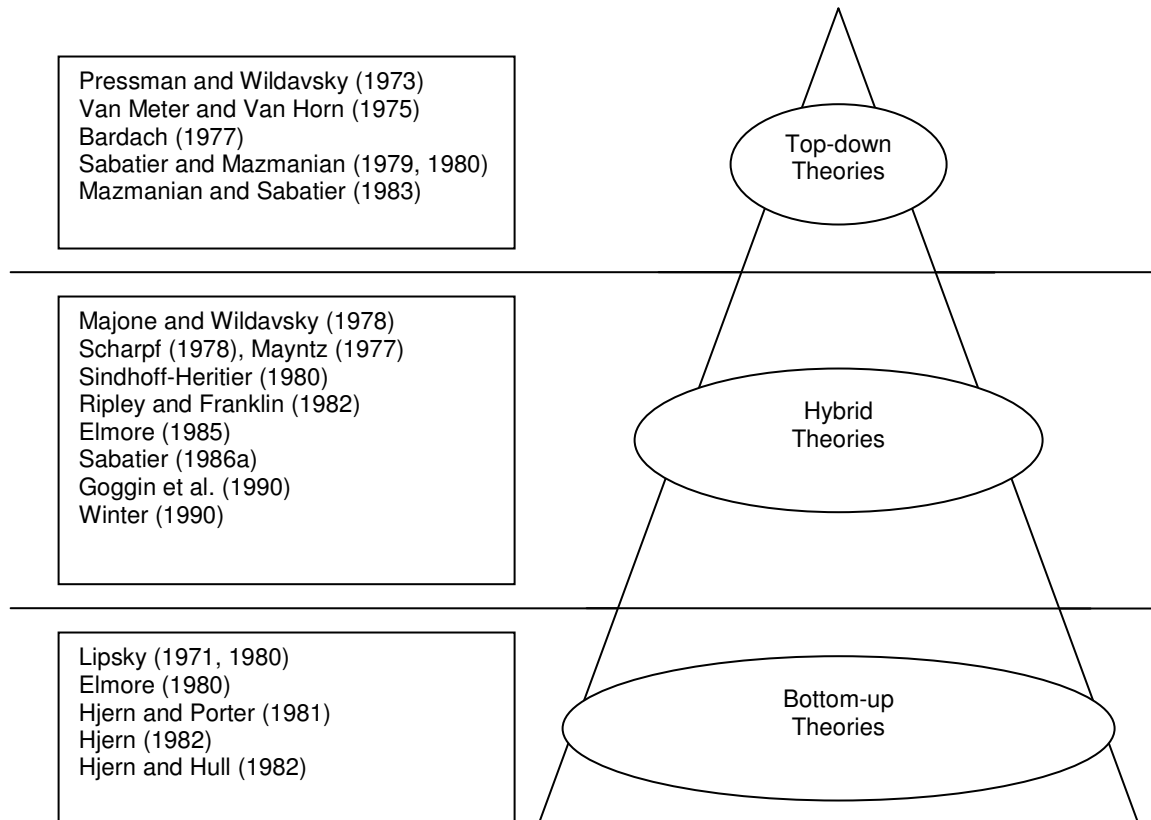


Figure 1-1: Top-down, Bottom-up, and Hybrid Theories: Major Contributors

Source: Adopted from Pulzl and Treib (2006)

Scharpf (1978) developed a bottom-up theory which encompassed a policy network approach that allowed researchers to identify implementation actors beginning with local implementers and ending with top policy-makers (Kushma, 2001). This technique, according to Sabatier (1986), allows for the examination of the implementation structure and organizational behaviors, as well as highlighting the importance of coordination and collaboration among separate but mutually dependent actors (Pulzl and Treib, 2006). Critics of the bottom-up theory

maintain that these types of studies are not based on sound theories, rather they rely on the perceptions of study participants as most are generally asked about their goals, strategies, activities, and contacts (Lester et al, 1987). In addition, they argue that the street-level bureaucrats do not have complete freedom to implement policies in that they must meet certain policy standards deemed appropriate by the top policy managers (Kushma, 2001). Other studies, however, have shown empirical evidence that those policies where local implementers have the ability to influence the policy process are implemented more successfully than policies executed in a more traditional manner (Kushma, 2001).

There has been plenty of debate between the top-down and bottom-up theorists, but in order to effectively study policy implementation, a combined theory is necessary (Lester et al, 1987). Scholars who have attempted to design models that incorporate both the top-down and the bottom-up perspectives are known as hybrid theorists or synthesizers (Pulzl and Treib, 2006). A synthesis of the top-down, bottom-up theories incorporates the strategies and perspectives of the local implementers and combines it with the socio-economic conditions and the legal structures that constrain behavior (Sabatier, 1986). Most notable in this field is a model known as the *Communications Model* developed by Goggin et al. (1990). This model, which sought to incorporate federal policies (top-down perspective) and the factors associated with state-level implementation (bottom-up perspective), assumes that implementation of federal policies is dependent on both the top-down *and* bottom-up variables and that organizational management issues are the primary problem in policy implementation (Lester et al, 1987; Cline, 2000). Critics of the *Communications Model* claim, however, that the framework neglects to view states as autonomous actors, as well as neglecting target group goals and strategies as critical variables in policy implementation (Kushma, 2001).¹

1.3 A Synthesized View

To adequately understand intergovernmental working relationships, this study maintains the synthesized view that both top-down and bottom-up factors must be taken into account. Inducements and policy structure from above combined with individual experiences and the political context within which implementation occurs could provide a better understanding of the factors that make-up these working relationships.

Support and funding are necessary to effectively implement public policies. Administrators in the upper-levels of government have the ability to influence the success or failure of implementation by their ability to motivate others and generate policy adoption consensus. In addition, these administrators have the ability to allocate the necessary resources for policy implementation (Flores, 2004). Without administrative support and direction, implementation could fail as many of those who implement public policies could lose interest and revert to status quo behaviors (Flores, 2004).

Cooperation between different organizations implementing public policy is imperative; however, sometimes it is necessary to give individual organizations incentives to do this. According to Therriault (2005), "Cooperation in a working relationship between two or more agencies requires a level of trust, common goals, shared values, and the right people forging the right relationships." Providing incentives, such as funding, can bring those less cooperative to the bargaining table; thus, they are important in the policy implementation process. Without them, organizations may continue to adhere to their standard operating procedures because they lack sufficient motivation to cooperate (Therriault, 2005).

Because federalism is a significant factor in implementing many public policies, the federal government oftentimes provides state and local jurisdictions incentives to comply with their mandates. Cooperative federalism is the common desire on the part of the federal and state governments to accomplish a goal, and the incentive of this type of cooperation for states

¹ See Figure 1-1 for a summary of implementation theorists based on their implementation perspective.

and localities is the receipt of federal funding (Scheberle, 2003). Resources have a significant impact on intergovernmental policy implementation. Without funding resources and formal authority, coordinated efforts are less likely (O'Toole and Montjoy, 1984). In addition, policy implementation that is specific and contains greater implementation costs to a community will be more 'political' and outcomes will generally be determined by the availability of resources. In contrast, the less specific and costly to the local jurisdiction, the more likely the outcome will depend on the local environment rather than on resources (Kushma, 2001).

Individual preferences and experiences, as well as local constraints affect the implementation of public policies in local jurisdictions. According to Winter (2002), the political preference of politicians appears to have little effect on the behaviors of street-level bureaucrats; however, the policy preferences and personal attitudes of the workers themselves have a significant effect on their behaviors. The extent to which these workers perceive they have adequate resources to implement the policy reduces their coping mechanisms and increases the likelihood of successful implementation (Winter, 2002). In addition to coping mechanisms, Winter (2002) also assessed other factors such as taxable incomes, political pressures, and individual backgrounds of the implementers and these were found to be important in the implementation of public policies. Thus, the perception of needs being met, internal and external pressures, and the political context of the implementing units, as well as the personal backgrounds of those implementing the policies have an effect on how implementation occurs and helps to define the working relationships between intergovernmental actors.

Overall, this study contends that top-down factors such as support and funding, as well as the bottom-up factors of individual perceptions, preferences, personal backgrounds and political context are significant components to understanding the effectiveness of the working relationships between local and regional officials in Texas who are responsible for implementing the state's homeland security policies. Given the importance placed on homeland security policies by the federal government and states alike, understanding the effectiveness of the

relationships between the two levels of government in Texas that actually implement these policies could help in the overall security and preparedness of the state by identifying strengths or deficiencies within these relationships.

1.4 Homeland Security Policies

Issues of homeland security have been a major concern of national, state, and local governments for many years. After the September 11th terrorist attacks, officials began examining their own prevention, preparedness, and response capabilities and many found that they were poorly situated to address a catastrophe like the one that took place in the State of New York. The national government responded to the events of 9/11 by consolidating twenty-six existing agencies under a new unit called the U.S. Department of Homeland Security. This new agency began by creating a national policy for homeland security, as well as creating a variety of guidebooks designed to enable states and local governments to institute their own strategic plans to ensure the safety of their citizens and the protection of critical infrastructure.

Homeland security, as defined by the federal government, is the protection of the United States from “terrorism, disasters, and major emergencies that respect neither jurisdictional nor geographic boundaries” (DHS, July 2005). The national government, as well as the State of Texas, has instituted an all-hazards approach to managing disaster response. An all-hazards approach to disaster requires addressing all potential threats, both man-made and natural (NCTCOG, 2007). In this study, homeland security and emergency preparedness are used interchangeably, meaning that those involved in the preparation, mitigation, response, and recovery from terrorism are also those that implement emergency preparedness policies for disasters and other crises (Payne, 2007).

Federalism is a significant factor when considering the scope of homeland security in America because of the institutional constraints and different cultures of the various levels of government involved (Clarke and Chenoweth, 2006). The doctrine of federalism limits the national government’s ability to force states to comply with their directives, and few states would

willingly hand over their rights or simply comply with federal mandates without an incentive (Beckner, 2006). Homeland security policies create overlapping jurisdictions among federal, state, and local agencies; and this prevents establishing clear lines of authority, responsibilities, and accountability associated with securing the nation or responding to disasters (Beckner, 2006). In addition, under the doctrine of federalism, the national government is limited in its ability to order state and local governments to organize in a particular manner; however, states have been encouraged to organize in a way that allows for optimal compatibility and coordination with the U.S. Department of Homeland Security, as well as other states and jurisdictions (Smith, 2007).

Over the last six years, there have been many challenges and opportunities for improvement in the area of homeland security and disaster response. Hurricanes Katrina and Rita provided the first opportunity to test the *National Response Plan* (DHS, December 2004) and the ability of the three levels of government to communicate and coordinate with one another. The results of this initial test were disheartening as many gaps were identified; however, it also provided the country a chance to review and alter national, state, and local plans to better respond to catastrophic events (Dunn, 2006). The *Federal Response to Hurricane Katrina: Lessons Learned* (White House, February 2006) identified several flaws in the national preparedness effort which would not have existed if there had been closer coordination between governmental entities prior to the hurricanes. These flaws included inadequate regional planning and coordination, unreliable situational reporting, the inability to establish a clear line of authority, a lack of coordination and knowledge of state and local preparedness plans, and ineffective federal response coordination. (White House, February 2006). In addition, *The Federal Response to Hurricane Katrina: Lessons Learned* (White House, February 2006) found that substantial change needed to be made to the organizational structure of how states, localities, and the federal government communicated (Smith, 2007). Given that the lines of communication were not clearly identified, the responses of these various entities were ineffectual and sometimes even overlapping. Clear lines of communication are

imperative in times of emergency and Hurricanes Katrina and Rita offered the opportunity to identify these gaps and vulnerabilities (Smith, 2007).

Lack of organization and communication among federal, state, and local governments was identified as a major weakness in the nation's homeland security all-hazards approach and in their ability to respond to the devastation created by the hurricanes (Dunn, 2006). State and local response plans did not address the evacuation of New Orleans, nor were they prepared for a large-scale re-supply effort, which resulted in citizens either becoming stranded within the city or transported to other locations. In essence, the unplanned evacuation of New Orleans was largely uncoordinated and haphazard (Dunn, 2006).

Communication and coordination then, among all levels of government, is imperative in times of emergency and because local jurisdictions are the most likely first responders in an emergency situation, it is important that they be intimately involved in the planning and implementation of homeland security policies (Smith, 2007). To understand the process of implementing homeland security policies, it is first necessary to consider the mandates, limitations, and incentive structure of the federal government.

1.4.1 Federal Mandates

In 2002, the Office of Homeland Security drafted the *National Strategy for Homeland Security* (White House, 2002) which provided specific actions that the federal government desired of states. In addition to reviewing and altering state laws to adapt to the national homeland security mission, these activities included the creation of State Homeland Security Task Forces, the development of state homeland security strategies, the implementation of the Homeland Security Advisory System, the identification of critical infrastructure within each state, the development of mutual aid strategies, and the implementation of an incident management system and an interoperability emergency communication system. The states were also asked to develop, plan, and provide training exercises in the areas of the distribution of medicines,

responding to weapons of mass destruction, and to develop first responder training and evaluation standards (The White House, 2002).

The *National Response Plan* and *National Incident Management System* were both designed by the federal government to create an integrated and effective response system to situations that require the involvement of multiple jurisdictions and responders from more than one agency (Dunn, 2006). These federal plans “provide a framework for an all-hazards approach to directing federal resources for meeting any national emergency, ensuring that responses to future incidents, both natural and manmade, will be coordinated more effectively and efficiently” (Meese et al, 2005).

While the establishment of the Department of Homeland Security was the most extensive reorganization of the federal government since the National Security Act of 1947 (Dunn, 2006), it would be a mistake to expect that this department alone could resolve all of the deficits in American preparedness and as such, it is imperative that the nation not become complacent in its ability to be prepared for the inevitability of the next terrorist attack or natural disaster (Harvard University, 2002). Because homeland security initiatives and response generally begin in local jurisdictions, it is important to consider the responsibilities and context within which these policies are implemented in states and localities.

1.4.2 State Responsibilities

Governors serve their states in the same capacity as the President of the United States, thus they are the chief executive responsible for the planning and preparation of their state to respond and recover from *all* state emergencies, not just terrorist attacks (Smith, 2007; NGA, 2007). In an effort to help state governors understand their homeland security roles and responsibilities, the National Governors Association (2007) created *A Governor's Guide to Homeland Security*. This document was written to offer guidance on issues that the state executive may face in times of emergency, such as mutual aid agreements, information sharing among levels of government, obtaining assistance from the National Guard, and in the

protection of critical infrastructure (NGA, 2007). While this document focuses on states preparedness and capabilities of responding to emergencies, it also provides a general overview for governors to use in planning their own homeland security strategies (NGA, 2007).

In addition to states developing their own state strategies and understanding their responsibilities with regard to homeland security, the results of September 11, 2001, and the creation of the Office of Homeland Security made it necessary for them to examine, create, and/or change their existing organizations that deal with security threats (NEMA and CSG, 2002; Smith, 2007). By 2003, almost all states had made organizational changes and most had designated a homeland security office or contact person (Roberts, 2005). Some states, such as Texas, embraced the “all-hazards” approach identified in the *National Strategy* and placed their homeland security functions under their current emergency management agencies, while other states completely reorganized to create new homeland security agencies. By 2004, most state agencies had restructured their department organizational approaches to address the threat of terrorism and disasters, and had adapted to the new federal funding priorities (Roberts, 2005).

There are several critical functions that state homeland security offices provide. These include the ability to have a comprehensive strategy; an independent homeland security agency to coordinate planning and implementation; a single point of contact for homeland security; a consolidation of certain homeland security activities among jurisdictions; funding mechanisms for jurisdictions; further, the organizational structure for the state’s homeland security must create a continuous flow of information so that it is received in a timely manner (Smith, 2007). Consequences for ineffective organizational structures include unreliable information-sharing, inconsistent planning, wasteful uses of scarce resources, and potentially the loss of life (Smith, 2007). The solution to these ineffective organizational structures is to create and implement a continuous flow of information among all those involved. Without an effective organizational system which incorporates all constituents at the state and local levels, homeland security activities could potentially be wholly unsuccessful (Woodbury, 2004).

According to Smith (2007), “organizational design, whether at the federal or state level, represents the focal point for optimizing the capacity to communicate planning for, responding to, and recovering from catastrophic disasters.” Organizational design and intergovernmental relationships have an effect on an agency’s ability to communicate and coordinate. Many times agencies and individuals are resistant to change, sometimes this is due to their own self-interest, an unclear presentation of the facts, a lack of trust, or because they perceive the situation differently (Collie, 2006). Identifying the most effective organizational structures and overcoming resistance to change could improve the effectiveness of intergovernmental working relationships, thus increasing the likelihood of successful policy implementation.

1.4.3 Regional Coordination

One way states, such as Texas, have chosen to integrate homeland security policies within their respective territories is to create or envelop these policies into regional organizations that encompass several localities. Given that the U.S. system of governance is divided into federal, state and local jurisdictions, it is difficult to provide clear lines of communication and forums that enable discussion of public policy issues from a regional, multi-jurisdictional perspective, thus jurisdictional boundaries and competing priorities within and between state and localities make the development and institution of regional coordination difficult (Dunn, 2006). However, if the entities involved can move beyond these impediments, the creation of regional organizational structures provide an opportunity to encourage intergovernmental cooperation by fostering vertical and horizontal networks that would increase security preparedness (Caudle, 2006).

Ideally, regional organizations include relationships with law enforcement, emergency management personnel, healthcare workers, public organizations, private entities, and citizens, as each of these groups have specific resources that will be necessary to respond to local vulnerabilities. By bringing together all parties involved, regional coordination can make use of the various points of expertise brought by each (Docobo, 2005; Clarke and Chenoweth, 2006).

In addition, these types of regional support structures are conveniently located points of contact for state, local, and private sectors and could help identify gaps, needs, and resources within their areas (Meese et al, 2005). Regional planning should reflect both state objectives and national preparedness goals; however, these strategic plans should also be tailored to meet the needs of the particular localities involved (Caudle, 2006; Clarke and Chenoweth, 2006). Regularly scheduled meetings of regional organizations provide an excellent opportunity for stake-holders to communicate regarding response procedures, equipment interoperability, and budgetary issues, as well as to ensure that each agency's concerns are addressed (Mayer, 2003).

“Good planning leads to good response. Preparedness programs enable personnel to rapidly identify, evaluate, and react to a wide spectrum of situations, including increased threat levels and incidents arising from terrorism or natural events such as hurricanes” (Dunn, 2006). Involvement and commitment of state and local jurisdictions is critical in the preparation and response to any disaster, thus how states create their homeland security organizational structures for emergency management is vitally important (Woodbury, 2004). According to Dunn (2006), “The nation's ability to prepare for, prevent, respond to, and recover from disasters depends on their ability to organize and coordinate a community of first responders, federal, state, and local agencies, as well as private sector entities.” Terrorism and natural disasters are not generally isolated to one jurisdiction, thus it is imperative that states and localities work together in an effort to prevent, mitigate, and respond to these incidents (Collie, 2006; Meese et al, 2005; Vicino, 2006). Regional organizations provide an avenue for them to do this by fostering effective working relationships with both local and state authorities and serving as the mediator between them regarding needs and preparedness issues.

“Homeland security is about relationships - whether we are talking about responding to hurricanes and fires or the work of terrorists. Public servants at all levels of government cannot accomplish the goals of preparedness and response if they are

not familiar with the people with whom they have to work and the area and the people they need to serve. The clear delineation of responsibilities and trust are critical to deploying the response and recovery plan. Intergovernmental coordination will improve the preparedness and response to disasters and thereby mitigate the losses incurred, thus helping to maintain viable communities and an economically sound nation” (Audwin M. Samuel, “Statement on Behalf of the National League of Cities before the House Committee on Homeland Security,” as cited by Dunn, 2006).

Regional emergency coordinators must develop and maintain good working relationships with elected officials and adjacent jurisdictions, as well as with their equivalent at the local, state and federal levels; however they must also recognize that the interests and cultures of each responding entity may be very different (Mayer, 2003). For effective planning, there must be sufficient cooperation to make decisions that reflect a shared purpose and that are seen as fair and equitable to all, thus it is important to have a standard organizational structure that is understood by everyone (Mayer, 2003; Clarke and Chenoweth, 2006).

Agencies involved in any regional effort must be willing to share authority, responsibility, resources, and accountability for reaching their common goals (Caudle, 2006). Relying on one another is a key component of the regional structure; however, trust and confidence in each other must be built and if these entities are not accustomed to working together this could take time; hence, those who are familiar with the organizations they are working with tend to run more efficiently and have better working relationships (Mayer, 2003; Caudle, 2006).

The working relationship between local and regional jurisdictions is vitally important in the provision of effective security and response capabilities, as these are the entities that are most likely to respond to disasters. Because regional organizations stand as communicators between state and local officials, it is important for these entities to understand the needs and

concerns of the local jurisdictions they serve. Only with a complete understanding of what local jurisdictions need can they effectively communicate these to state officials.

1.4.4 Local Considerations

Because first responders are typically local emergency personnel such as police, states and localities are generally required to take the lead in coordinating and responding to homeland security threats and response activities (White House, 2002); therefore, it is important to understand the local needs. “Looking beyond the top-down approach taken by the Department of Homeland Security, domestic preparedness requires action and emergency planning focused in our hometowns and not simply in our Nation’s Capitol” (Harvard University, 2002). Local governments must prepare their areas to prevent, mitigate, respond, and recover from emergency situations (O’Hanlon, 2005), as first response will always be a local government responsibility (Mayer, 2003). The 9/11 Commission’s final report notes several issues regarding the preparedness and limitations of local governments in response to September 11th. These include the lack of radio interoperability, the exhausted resources and the lack of mutual aid agreements between localities, and the limited sharing of information and intelligence between law enforcement communities (Vicino, 2006). Providing first responders with set priorities, an idea of the threats they may face, and affording them the necessary funding to achieve these goals appears to be the real lesson of 9/11 (Harvard University, 2002).

Homeland security initiatives draw attention to the responsibilities and limitations of local police forces (Thatcher, 2005). “Regardless of the national character of homeland security policy, the reality is that all terrorism is local. Ultimately, so are all security initiatives—the greater the national security threats, the more important the local role in the United States” (Clarke and Chenoweth, 2006). While federal and state governments have strong incentives for pursuing national preparedness policies, local governments often lack the resources, personnel, or managerial commitment to achieving an effective capacity for disaster prevention and/or mitigation that matches their responsibilities (Gerber et al, 2005). Whereas the intention has

been to create a system that includes cooperation among federal, state and local governments, the reality is that many are still deeply entrenched in their traditional norms and cultures, and despite the many advances since September 11th, each continues to operate independently of all others (Lanier, 2005).

Federal and state legislation often requires local jurisdictions to implement homeland security mandates, as well as defining their responsibilities and levels of accountability (Caruson and MacManus, 2005). Because local authorities are the first to respond to an emergency, the level of their preparedness is essential in preventing a man-made disaster or in responding to a natural one, thus local officials are charged with overseeing many of the critical tasks associated with being prepared (Caruson and MacManus, 2005). Given this responsibility, Caruson and MacManus (2005) conducted a survey, seeking to understand the local perspective of officials in Florida as to the impact of homeland security mandates. The survey was mailed to county officials and police chiefs within the state. Both county and local officials reported that financial considerations, administrative concerns, and managerial responsibilities had been their greatest challenge (Caruson and MacManus, 2005). Interestingly, only forty percent (40%) of county officials, compared to 52% of city officials, reported that the greatest impact of federal and state homeland security mandates had been financial (Caruson and MacManus, 2005).

Based on these findings, it is clear that county and city officials in Florida differ in their consideration of the financial impact of federal and state homeland security mandates. According to Caruson and MacManus (2005), "while the federal and state governments have dominated the making of homeland security policy, local governments have been made responsible for putting it in place at the grassroots level via mandates from above. Counties and cities across the United States have ended up bearing a considerable portion of the burden of financing and managing this vital, complex intergovernmental policy arena." The perception that local jurisdictions have regarding their financial needs and whether they are being met is an important factor in effective intergovernmental working relationships. If municipal officials

believe that their needs are not being met, they may be less likely to communicate or coordinate in the implementation of homeland security policies as their incentive to cooperate is reduced, and thus their relationship with the other agencies who implement these policies may be less effective.

1.4.5 Funding of Homeland Security Initiatives

Regardless of the organizational structure a state uses in preparing for and responding to emergencies, funding homeland security initiatives is critical to successful implementation of the policies. While federalism prevents the national government from mandating particular policies and/or initiatives they can, however, provide states and localities with incentives to comply with their recommendations. The most frequent incentive involves providing funding for specific purposes (Clarke and Chenoweth, 2006). By 2002, the federal government had instituted grants to be used by states and local jurisdictions specifically for homeland security prevention and response capabilities and once a state had prepared an anti-terrorism strategy, they were then able to apply for the federal funding (Oliveri, 2004; Dunn, 2006).

There are various types of federal funding programs available to states for homeland security. These include the State Homeland Security Program (SHSP), the Law Enforcement Terrorism and Prevention Program (LETPP), Citizen Corp Program (CCP), and others. In addition to these funding opportunities, the federal government instituted the Urban Area Security Initiative (UASI) Grant in 2003. These funds are allocated to assist densely populated urban areas with their planning, equipment, training and exercise needs in order to better prepare them to prevent, protect, respond, and recover from acts of terrorism (U.S. Department of Homeland Security, January 2007); however, rather than states' apportioning the money, the federal government uses measures such as population density, critical infrastructure, and perceived risk of attack to calculate which urban areas qualify for the grant (NACO, 2004; Roberts, 2005).

The struggle over budgetary issues has caused conflict for many years among the federal government, states, and local jurisdictions (NGA, 2007). The Department of Homeland Security provides grant money directly to states and the states allocate the funds within their territories. This ultimately makes states responsible for the decisions on apportioning resources and prioritizing efforts in the operational and implementation activities for homeland security (Woodbury, 2004). This arrangement has traditionally caused strain between state and local governments, as local jurisdictions are generally responsible for being the first responders to an emergency and states have not always perceived their particular needs as a priority (NGA, 2007). Consequently, funds for homeland security initiatives are often slow in reaching local jurisdictions and many times the requirements to receive these funds do not match with the locality's specific vulnerabilities (Clarke and Chenoweth, 2006).

In order to build the necessary capabilities to respond to an emergency, it is important that state allocations meet a jurisdiction's particular needs rather than allocating funds based on state priorities; however, research on disaster and emergency management has indicated that need-response matching rarely occurs in grant appropriations (Gerber et al, 2005). One problem associated with states allocating federal funds for homeland security is that many states allocate the money to counties or regions rather than cities. If the agencies receiving the funds do not perceive the needs of a small jurisdiction as important or necessary, the smaller localities can be left out of the funding process and as a result may not be as prepared as larger jurisdictions (U.S. Conference of Mayors, 2004).

1.5 The Texas Approach to Homeland Security

Texas enacted an all-hazards regional approach to disaster response decades before September 11th, 2001. "Recognizing the rising toll of disasters and witnessing an increasing federal interest in disaster relief, Texas legislators passed the Texas Disaster Act of 1975. Known also as Chapter 418, the act identified the need for the state government to prevent, prepare for, respond to, and recover from various types of emergencies and disasters"

(Robinson et al, 2003). In addition to identifying this need, this Act also established the Texas Division of Emergency Management (DEM) and clearly defined the responsibilities of State government officials with regard to emergency management (Robinson et al, 2003).

The current process for managing crises in Texas is complex. During the 1960s, Texas created and charged twenty-four (24) Council of Governments (COGs) to address preparedness and response issues in their respective areas. These areas—which are divided by counties—can contain as few as three (3) counties and as many as twenty-six (26), depending on the population and needs of the jurisdictions (TARC, 2008). Local jurisdictions will always be the first response to any disaster. If they are unable to effectively cope with the situation using local resources and mutual aid agreements, they contact their local Regional Council of Governments who passes the information on to State government officials including the Texas Association of Regional Councils, the Division of Emergency Management, the Department of Public Safety, and the Governor (Robinson et al, 2003).²

Because Texas is such a vast state, both in geographical size and population, this hierarchical structure has been created to streamline resources and provide the best possible responses to local disasters; however, some smaller jurisdictions feel that they are neglected (Robinson et al, 2003). In addition, localities that are less densely populated are frequently left out of funding priorities from state and federal sources (Robinson et al, 2003). Because of this perceived neglect, some local jurisdictions have questioned the use of the regional organizational plan all-together (Robinson et al, 2003).

The Texas Association of Regional Councils (TARC) was established in 1973 by an agreement between the (24) regional Councils of Governments (COGs). This oversight organization helps assist regional COGs by facilitating the exchange of information and ideas, thereby helping them to strengthen their regional capacity and member capabilities (TARC,

² See Figure 1-2 for organizational chart

2008). The twenty-four Texas Regional Council of Governments are charged with various responsibilities and each differs depending on the needs of their members.

According to TARC (2008), Councils of Governments (COGs) are voluntary associations of local governments that handle problems and find solutions to troubles that extend beyond one jurisdiction or that require a regional approach, such as homeland security and emergency management. Other such services offered by the COGs are law enforcement training academies, cooperative purchasing options, area aging services, economic development, transit systems, maintaining and improving regional 9-1-1 services, and allocating funds received by the state to member jurisdictions for emergency preparedness and capability enhancements (TARC, 2008).

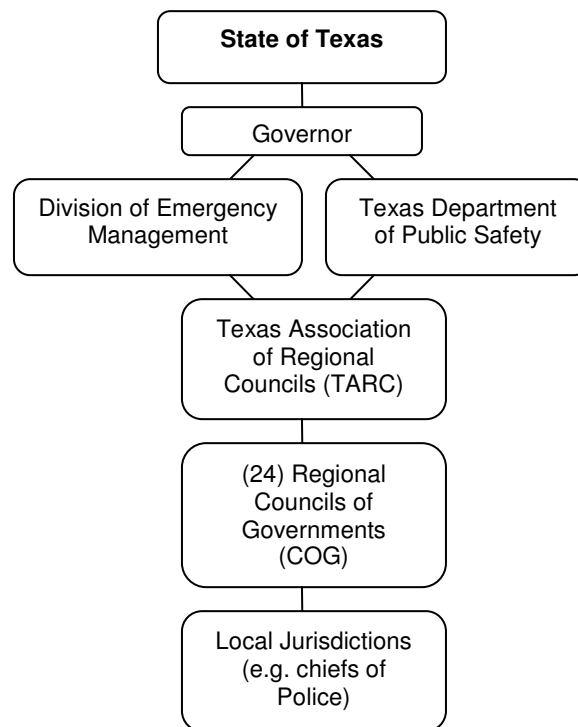


Figure 1-2: Texas Organizational Chart for Homeland Security and Emergency Preparedness

Source: Adopted from Robinson et al (2003) and modified by author

Many residents of Texas live in highly populated urban areas such as Houston, Dallas-Fort Worth, and San Antonio, and highways to and from these large metropolitan areas are becoming progressively more congested (Robinson et al, 2003). Urban cities are very complex and contain large populations of people, thus making them more attractive to potential terrorists in that they can provide avenues for maximum destruction and loss of life. Moreover, they contain the greatest concentration of resources and personnel available to respond to an emergency, which includes health and human resources, equipment, and critical infrastructure. Thus, in a very real sense, the stability of urban environments is a significant national security issue (Clarke and Chenoweth, 2006). Preventing and responding to natural or man-made disasters requires an effective system for collecting and disseminating information, thus it is essential that homeland security initiatives engage chiefs of police and police officers that work in local communities in all strategic prevention activities (Lanier, 2005).

In addition to the state's increased vulnerabilities to terrorism, Texas also has had a long history of natural disasters. Floods, drought, wildfires, thunderstorms, hail, tornadoes, hurricanes, tropical storms, and earthquakes are all part of the various types of natural disasters that Texas has had to face and respond to (Robinson et al, 2003). Being prepared and capable of responding to these kinds of catastrophes has been a focus of Texas government officials for many years—well before the creation of the current national homeland security policies (Robinson et al, 2003).

Texas chose to integrate homeland security policies into the state's existing regional structures which have provided an efficient way to implement these policies; however, there have been no attempts to examine the effectiveness of the working relationships between the regional organizations and local jurisdictions. This study maintains that the effectiveness of these relationships could have an impact on the success of these policies and the efficiency of response and preparedness initiatives.

Given the state of the literature as shown here, this research will now turn to the development of the model that will allow insight into the working relationships between regional

Councils of Governments and local chiefs of police in the implementation of homeland security policies in Texas.

CHAPTER 2

RESEARCH DESIGN AND HYPOTHESES

As previously noted in chapter one, policy implementation and the intergovernmental relationships of those involved is most often examined from a federal/state perspective (Kushma, 2001). The current examination, however, focuses on the effectiveness of working relationships between the two lower-levels of state government (i.e. regional and local jurisdictions) in an effort to determine what environmental, agency, and individual characteristics are associated with effective working relationships between these two levels of government.

In Texas, homeland security policies are implemented by both regional and local jurisdictions, and it is important to examine the effectiveness of their relationships in order to facilitate an understanding about the context in which these policies are implemented. In addition, understanding the working relationships between these two groups could provide insight into how first response agencies in Texas might perform in a crisis situation. Since much of the federal legislation is implemented at the local level, taking into account the experiences of those who actually implement the programs could also improve the ways in which policies are designed and carried out. Research studies indicate that individual relationships *between* levels within a system and interrelationships *within* groups contribute to successful policy implementation (see Therriault, 2005; Lin, 2000; and Bryk and Schneider, 2002). Given this, one could argue that individual relationships between chiefs of police and regional coordinators for homeland security, as well as the solidarity of interrelations between chiefs of police, could prove advantageous to the study of local policy implementation.

For the purpose of this study, there are three levels of government identified within Texas: state government, mid-level or regional jurisdictions, and local jurisdictions (see Figure 2-1). Regional Councils of Governments, because they work in conjunction with the State as

well as with individual localities within their region to implement homeland security policies in Texas, are considered a mid-level form of government. Chiefs of police lead local law enforcement agencies and work to implement homeland security policies within each of their jurisdictions; thus, they are considered the lower-level of state government. In addition, because the respondents in this study are both at the mid and lower-levels of government, it provides the opportunity to examine these relationships using an integrated theoretical approach—meaning that both top-down and bottom-up factors can be used to analyze the effectiveness of their relationships.

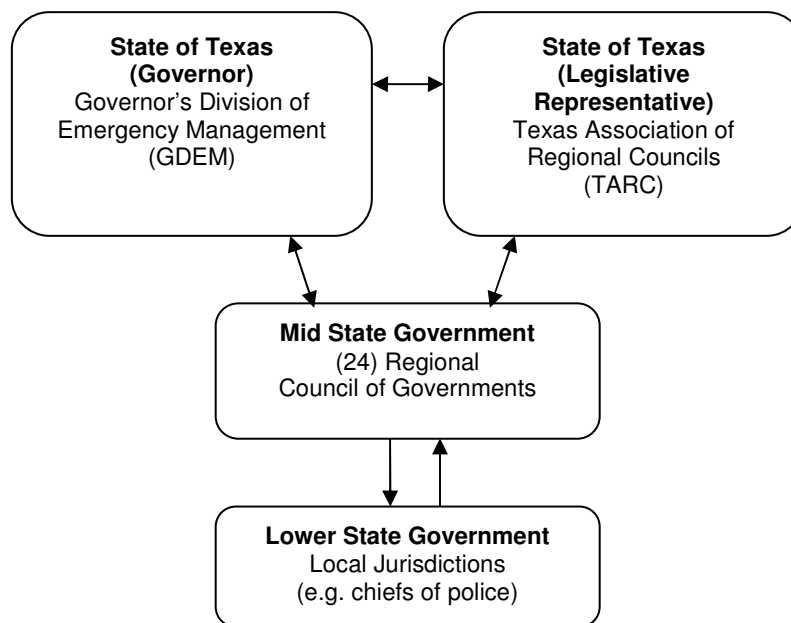


Figure 2-1: Three Levels of State Government in Texas and Their Communication Flow

Source: Texas Association of Regional Councils (2008)

The following chapter will first describe the analytical model to be used to examine the working relationships between the mid and lower levels of state government. In addition, it will describe the two study populations to be analyzed and why each is important in the implementation of homeland security policies in Texas. Next, this chapter will clarify which conditioning factors and independent variables are posited to be key components in the

development of working relationships. The conclusion of this chapter will show how these components can impact the effectiveness of these relationships.

2.1 Analytical Model

This research will employ a case study approach to examine the working relationships between local chiefs of police and Regional Councils of Governments in Texas by conducting personal interviews with regional directors/coordinators and eliciting quantitative data from a survey of chiefs of police. This type of mixed-method approach is beneficial to understanding the perceptions of these actors, as it allows for an examination of both the top-down and bottom-up factors associated with policy implementation. In addition, this approach has the ability to provide a more detailed and descriptive account of the respective perceptions of the relevant actors regarding their working relationships.

The two study populations for this project include the regional directors/coordinators of the Texas Regional Councils of Governments³ and local chiefs of police throughout the state.⁴ These two groups were chosen because of their unique experiences and job responsibilities in implementing and coordinating state homeland security and emergency preparedness policies within Texas. Chiefs of police are considered the director of law enforcement in each of their respective geographical areas. They are required to ensure the safety of citizens within their jurisdictions and to provide law enforcement presence and assistance, not only in the everyday management of city disturbances, but particularly in emergency situations. Implementation of homeland security policies, therefore, has a direct effect on law enforcement officials in every city across the state because they are typically the first to respond to a crisis. Additionally, Texas has chosen to utilize a regional approach for the implementation of homeland security policies, thus making the regional directors/coordinators of the twenty-four regional Councils of

³ It should be noted that job titles of those who oversee homeland security policies and initiatives vary dependent on the region. Some Councils of Governments describe these employees as directors, while others identify them as coordinators.

⁴ There were a total of 24 regional directors/coordinators and approximately 700 chiefs of police solicited for this study.

Governments the most likely contact for local chiefs of police for training initiatives, funding, and other necessary resources.

Each of the twenty-four (24) Regional Councils of Governments has a director/coordinator of homeland security and emergency preparedness programs. Each of these directors/coordinators was solicited for an elite interview via telephone or in-person.⁵ The interview instrument contained open-ended questions to allow for a richer, more detailed account of individual perceptions regarding the interactions and relationships with chiefs of police from their regional perspective. In addition to the qualitative elite interviews, seven hundred police chiefs⁶ in the State of Texas were solicited to complete a web-based survey.⁷

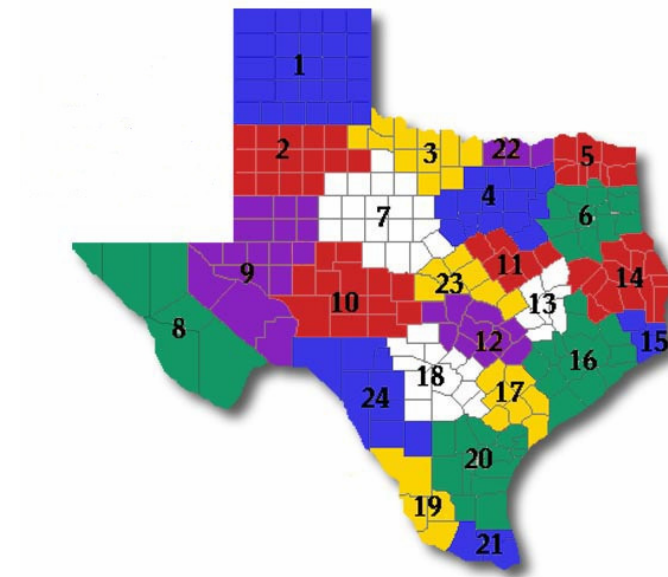


Figure 2-2: Texas Map of Regional Councils of Government⁸

Source: Texas Association of Regional Councils (TARC, 2008)⁹

The closed-ended survey questions were designed to elicit the overall perceptions of local authorities regarding their communication and interactions with each jurisdiction's Regional

⁵ See Appendix A for the interview schedule.

⁶ These police chiefs were solicited from an email list obtained by the author for those who are members of the Texas Police Chiefs Association; therefore, this sample is not considered a random sample and is subject to selection bias.

⁷ See Appendix B for the survey instrument.

⁸ See Appendix C for a numerical listing of the Regional Councils of Governments.

Council of Governments. Responses from this survey could then be used to quantitatively analyze the key hypotheses posed by this work.

According to Flores (2004), this type of systematic research design, one that incorporates both qualitative and quantitative information, provides the ability to ascertain the conditions or problem identification needed to sustain successful program implementation. In addition, using this approach to view the relationships between chiefs of police and regional Councils of Governments will provide an avenue of comparison not only *between* these two entities, but also *within* each group. Such comparisons allow for a more complete picture of the working relationships of those directly involved in the implementation of homeland security policies.

Scheberle (2003) argues that “federal-state working relationships are the lifeblood of implementing most laws. The nature of these relationships depend upon many things, including the role orientations of federal and state officials, the extent of behavioral change required, existing agencies cultures, adequate intergovernmental transfer of resources, and the legal and political context in which they occur.” Therefore, it is this work’s proposition that these same factors condition the relationships between regional and local jurisdictions. To extend this proposition further, one might argue that to affect successful policy implementation both the regional and local-levels of government must be interdependent, trust and respect one another, and rely on each other’s resources.

To examine the effectiveness of the working relationships between regional coordinators and local chiefs of police in Texas, this research will employ Denise Scheberle’s (2004) *Typology of Working Relationships*. This model was developed to analyze public agencies that are separate, yet interdependent of one another, and who implement public policy. More specifically, the *Typology* model was designed to examine the working relationships between state and federal governments in relation to implementing environmental

⁹ The Texas Association of Regional Councils (TARC) is the umbrella organization that represents the 24 Regional Councils of Governments to state, federal, and legislative bodies, and assists by helping each region meet the needs of

policies (Scheberle, 2004). The current study will investigate whether this model may also be an effective tool for examining the relationship between mid and lower-levels of state government with regard to the implementation of homeland security policies.

Scheberle (2004) maintains that working relationships between governmental entities are determined by two factors—mutual trust and involvement. To have mutual trust, both entities must believe in each other's motives and abilities to reach their target goals (GSA, 2008). Involvement between these entities consists of their interactions and the perceived nature of the oversight functions of the higher levels of government. These oversight functions include their communications, the provision of funding, and in the sharing other available resources. While this study agrees with Scheberle's (2004) argument, it also posits that there are conditioning factors that impact the level of trust and involvement between intergovernmental agencies who implement public policies. It is expected that the effectiveness of the working relationships between regional and local jurisdictions in Texas will be dependant upon the environmental, agency, and individual characteristics of those who are directly involved in implementing the state's homeland security policies. These three factors will help provide insight about the context in which these policies are implemented and under what constraints policy implementers operate. In essence, it is expected that the conditioning factors will influence the perceptions of both regional and local respondents which will affect the level of trust and involvement between these actors; thus, either increasing or decreasing the effectiveness of their working relationships. Figure 2-3 illustrates the conceptual model described.

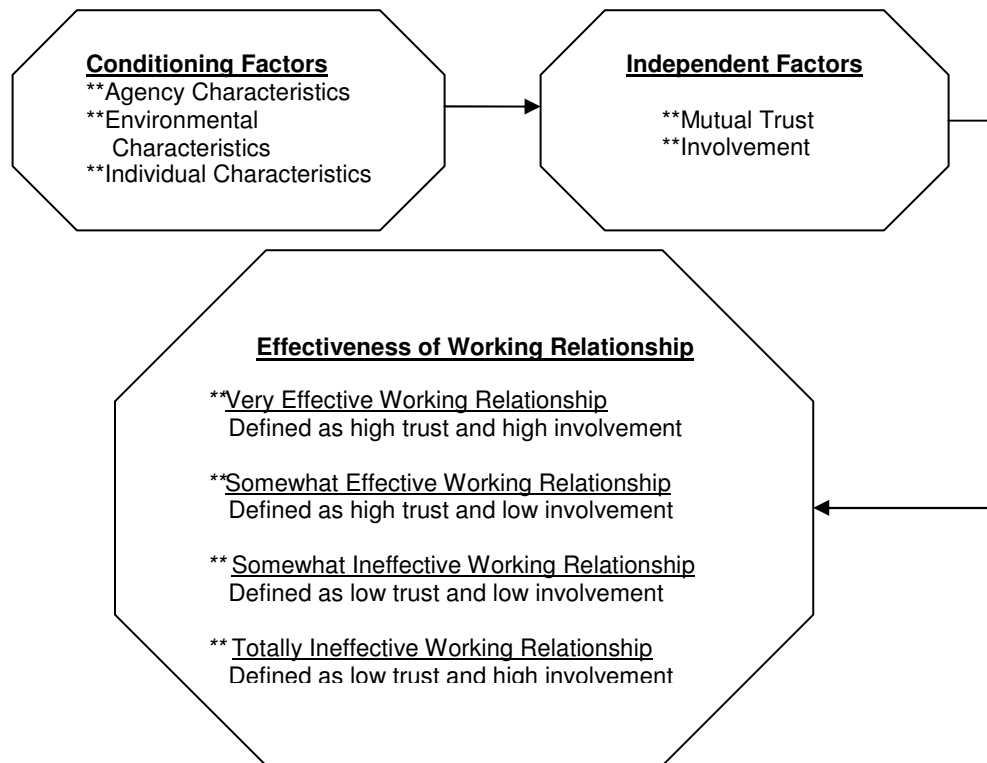


Figure 2-3: Model of Factors Affecting Mid and Lower-Level Governmental Working Relationships
Source: Adopted from Scheberle (2004) and modified by author

2.2 Conditioning Factors

As discussed above, it is expected that the three conditioning factors (environmental, agency, and individual characteristics) will have an impact on the effectiveness of the working relationships between regional directors/coordinators and local chiefs of police. For purposes of this research, environmental characteristics are defined as the size of the jurisdiction and the number of citizens that are served by it (e.g. urban and rural jurisdictions). This particular characteristic is determined by the square mileage and population within each jurisdiction. One might expect that larger, more urban jurisdictions will be more organized, have more resources, and that they must develop and maintain relationships with more jurisdictions and regional employees. Therefore, it is hypothesized that larger, urban jurisdictions will be more likely to

have effective or somewhat effective working relationships with their regional Council of Governments (COG) than will their smaller, more rural counterparts.

Characteristics of the implementing agency are also considered to be important factors in conditioning the effectiveness of working relationships. For the purpose of this study, agency characteristics are defined as the number of staff the agency employs to handle homeland security matters, whether the agency employs someone who specializes in homeland security or emergency preparedness, and whether or not the jurisdiction has developed their own homeland security strategic plan. Those agencies that employ more staff, have specialized employees, and who have developed their own strategic plan are also likely to be more organized, have more resources, and be more apt to work together on projects. Thus, it is expected that agencies with these characteristics will be more likely to have effective or somewhat effective relationships.

It is also posited that individual characteristics of the study respondents will have a significant impact on the effectiveness of their working relationships. Individual characteristics are defined as professional experience in homeland security or emergency preparedness, the length of time the individual has been employed in their current position, as well as the education level and political ideology of the individual. Experience and job tenure are important factors in effective working relationships, as individuals who have more experience and who have been in their current position for a longer period of time are more likely to have already established a network of relationships with those in the field of homeland security and emergency preparedness. Given this, it is hypothesized that those with more experience in homeland security and emergency preparedness will be more likely to have effective or somewhat effective working relationships.

Education can also improve working relationships as one might expect those with higher levels of education to have more experience in working in teams or in collaborating with others. It is anticipated that those with higher levels of education will be more apt to have positive interactions with the various local and regional jurisdictions, and thus will be more likely

to have effective or somewhat effective working relationships. In addition to education, individual ideology can also have an impact on working relationships, especially for chiefs of police who have a conservative ideology. Ideology is a set of individual beliefs about what goals government should pursue and by what means they should seek to pursue them (Lowery, 2008). Those with a conservative ideology tend to prefer less government involvement, while a liberal viewpoint tends to prefer more government oversight and interaction. Those with moderate ideologies generally have a combination of both conservative and liberal viewpoints. To understand the ideology of respondents, this study directly asked them to identify the viewpoint (conservative, moderate, or liberal) that most closely matched their own. One could argue that chiefs of police have a multitude of issues they must attend to and that, dependant upon their own personal ideology, they may feel that their current strategies and priorities do not fit well with regional innovation or the changes required by state mandates. Given this, it is argued that chiefs of police that are more conservative in their ideology are more likely to prefer status quo behaviors rather than change, therefore it is expected that these individuals will have less effective relationships with their Regional Councils of Governments.

2.3 Independent Variables

2.3.1 Mutual Trust

Successful implementation depends on the amount of trust among the implementing agencies and the level of involvement from the oversight organizations (Scheberle, 2004). Having clear, concise communication can increase the likelihood of trust between the implementation actors, thus enhancing their working relationship (Therriault, 2005). Although Scheberle (2004) uses a simplified definition of trust, even the most basic definition is important because it allows us to examine relationships with front-line workers who can have a significant impact on implementation of public policies (Therriault, 2005). For purposes of this research, mutual trust is defined as the extent to which the two levels of government (regional authorities

and local chiefs of police) share goals, respect each others' actions, allow flexibility, and provide support to individuals within the program.

Professional norms, personal values, and support for the policy objectives by those in the political environment contribute to successful policy implementation (Sabatier and Mazmanian, 1980); however, policy change and implementation are only possible if there is significant goal agreement between the policymakers and the implementers (Pulzl and Treib, 2006). In addition, successful implementation requires consensus between the implementing agencies (Sabatier and Mazmanian, 1980). To ensure an effective policy, local chiefs of police and regional homeland security directors must agree on how they will approach homeland security and emergency preparedness and on the strategies used to prevent, mitigate, respond to, and recover from emergency situations. To examine the level of agreement between regional Councils of Governments and local jurisdictions regarding goals and strategic measures, respondents were asked to answer specific questions pertaining to the jurisdictional goals and strategies that are employed by each.

Both regional Councils of Governments and local chiefs of police must also respect each others actions in order for there to be sufficient trust to enable an effective working relationship. This research investigates the amount of respect each entity affords the other based on responses to inquiries regarding their relationships and opinions of one another. It is expected that those respondents that perceive their relationships to be positive and who have higher opinions of one another will also have more respect for each another, thus increasing the amount of trust they have between them. In contrast, if respondents report negative relationships with low opinions of one another, it could be argued that these relationships will be less effective because the amount of respect needed to build trust and sustain effective working relationships will be diminished.

In addition to respect, the amount of flexibility regional Councils of Governments provide chiefs of police in meeting compliance regulations is also considered important in the develop of trust. If local governments perceive the regional jurisdictions to be rigid and

authoritarian, they are less likely to trust that these entities will work in the best interest of the locality. Moreover, Councils of Governments must provide support and guidance to the localities within their regions in order to affect change. Support and guidance can be found in the various ways in which Regional Councils assist local jurisdictions, such as helping them to develop strategic plans, providing training opportunities, or in the simple act of listening, understanding, and finding solutions to the challenges faced by a particular locality. Without this type of support and guidance from upper levels of government, local jurisdictions will likely continue to operate in a status quo manner and, therefore, neglect to make the necessary changes within their localities that would sustain the successful implementation of state homeland security policies.

2.3.2 Nature of Involvement

According to Scheberle (2004), involvement incorporates a wide range of activities between two levels of government; however, she is quick to note that *more* involvement does not necessarily equate to better working relationships. While it is generally true that the more trust there is in a working relationship the better, oversight involvement in these relationships cannot be perceived as too flexible or too rigid. If the lower levels of government perceive the oversight to be micromanaging or unnecessary, it could create tension and potentially decrease the effectiveness of the relationship where implementation is concerned. In contrast, if the oversight involvement is too lax the implementing agency may view this as a sign that the policy is not necessarily important or they may presume that they have discretionary latitude in how to implement it. As a result, the policy may not be implemented as it was originally intended. For purposes of this study, the extent of regional involvement with chiefs of police regarding the implementation of state homeland security policies is defined as any formal or informal communications, the frequency and nature of their oversight activities, the provision of funding, and the sharing of their resources as these variables have shown to be critical components of effective working relationships (Scheberle, 2004).

Communication is important in establishing effective intergovernmental working relationships. It helps in the development of trust, reputations, and reciprocity among policy implementers, as well as being a critical component of conflict resolution (Cline, 2000). According to Allen (2002) “communication is the process of passing information and understanding from one person to another” and can be accomplished by using speech, gestures, or by writing. State implementers are the “nexus of communication in the federal system” because they stand between the federal policymakers and the local implementers (Cline, 2000). Following this same argument, regional agencies in Texas serve as the core communicators between state policymakers and local jurisdictions who implement homeland security programs. Examining the communication between Regional Councils of Governments and local chiefs of police is important because limited communication can have a negative effect on working relationships and, therefore, have an impact on how homeland security policies are implemented in Texas.

To analyze communication, regional respondents were asked what methods they use to communicate, how often they converse, and what they primarily discuss. Understanding the method of communication that regional directors/coordinators and chiefs of police most often use (e.g. phone, in-person, email, written documents) and whether or not the communication is perceived as clear and concise will allow for more insight into the working relationships of these actors. The frequency and nature of their communication is also important, as it could be argued that those who communicate more often are better able to build sustainable relationships; however, the nature of their communications must be an exchange of information and not just about oversight or needs. This study therefore, will examine communication between regional Councils of Government and local chiefs of police by analyzing the nature and frequency of their interactions, as well as whether these contacts are mandatory or voluntary, and the extent to which they are perceived helpful to local jurisdictions in the implementation of homeland security policies and initiatives.

The provision of funding is another component of involvement between the regional Councils of Governments and local chiefs of police. The State of Texas filters all federal grant money for homeland security initiatives through the 24 regional Councils of Governments. Each region is charged with collecting, and in many cases helping to develop, grant proposals with their local jurisdictions. Each Council of Governments is then given the task of appropriating these funds within their region. Robinson et al (2003) found that the single most mentioned issue when discussing Texas' homeland security was funding, and it is believed that this will still be a major consideration for all agencies involved in the implementation of homeland security policies. Funding, or lack thereof, of federal mandates creates tension in the relationships between states and the national government (Scheberle, 2003), and the same could be argued is true of state, regional, and local entities. Given their responsibilities and discretion in the funding process, regional Councils of Governments are uniquely situated to help develop homeland security initiatives and to provide funding for them at the local level. Given this, one could expect that how local jurisdictions perceive their needs are being met is a critical component to establishing an effective working relationship with their regional jurisdiction.

Another area of involvement between regional Councils of Governments and local chiefs of police is the sharing of available resources other than funding (e.g. response training exercises or interoperable communication system operations). Asking regional and local jurisdictions to comply with state and national mandates without supplying them with sufficient resources and guidance could prove harmful to the policy implementation process. This research attempts to determine the available regional resources, such as coordinated activities, training exercises, and other types of planning initiatives, and the extent to which local jurisdictions take advantage of these opportunities to better understand if and how these agencies do, in fact, share the resources available to them.

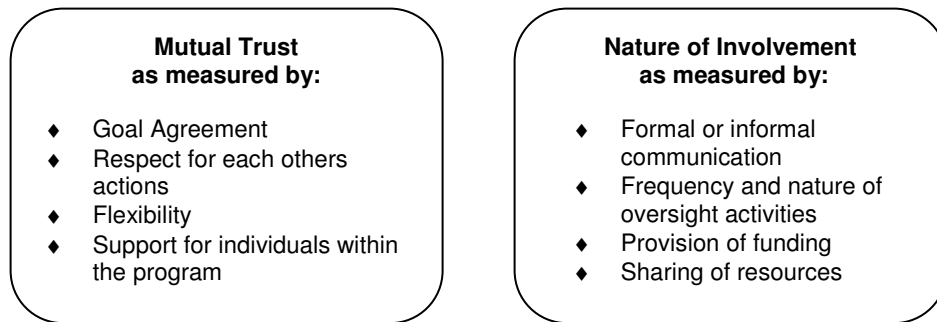


Figure 2-4: Independent Variables

Source: Adopted from Scheberle (2004) and modified by author

2.4 Dependant Variables

2.4.1 Effectiveness of Working Relationships

According to Scheberle's (2004) typology, there are four kinds of working relationships: pulling together and synergetic, cooperative but anonymous, coming apart with avoidance, and coming apart and contentious. "Pulling together and synergetic" is the strongest type of working relationship according to Scheberle (2004). When two organizations have high trust and high involvement, they accomplish more together than each could do on their own and there is a mutual respect and a shared vision for accomplishing goals (Scheberle, 2004). Thus, it is hypothesized that when regional and local jurisdictions have high levels of trust and involvement between them, the resulting relationship will be very effective in the implementation of homeland security policies. For example, when Regional Councils of Governments and local chiefs of police perceive that each is working toward the betterment of the other, have a shared common goal of reaching the desired target capabilities for their region, have good communication, and perceive that each of their needs are being met, it is expected that this relationship will be very effective in the implementation of homeland security policies.

When there is high trust but low involvement, the relationship is considered to be "cooperative but anonymous" (Scheberle, 2004). In this type of relationship, actors are free to make autonomous decisions but may lack knowledge of what others are doing. This

relationship is less effective because neither party understands or is completely aware of the activities of the other (Scheberle, 2004). Thus, it is hypothesized that when regional and local jurisdictions have high levels of trust but low levels of involvement, the relationship will be defined as somewhat effective in implementing homeland security policies. For example, when Regional Councils of Governments and local chiefs of police share common goals regarding the best ways to reach the target objectives for their region, have respect for one another, and provide flexibility and support to one another, but lack communication, coordination, and have a perception that their needs are not being met, it is expected that this relationship will only be somewhat effective in the implementation of homeland security policies.

When there is low trust and low involvement, Scheberle (2004) defines the relationship as “coming apart with avoidance.” These types of relationships are generally mandatory relationships where neither agency expects much from the other. Communication is deficient and often characterized by confusion and even dishonesty (Scheberle, 2004). Agency actors seldom interact and when they do it is generally out of obligation; consequently, not much is accomplished in this type of relationship (Scheberle, 2004). Accordingly, it is hypothesized that when there is low trust and low involvement, the relationship will be only somewhat effective in implementing successful homeland security policies. For example, when Regional Councils of Governments and local chiefs of police are in conflict about the goals for the region, do not perceive the needs of the other as important, have impersonal or deficient communications, and regional oversight is perceived as lenient by local chiefs of police, it is expected that this relationship will be somewhat ineffective in the implementation of homeland security policies.

When there is low trust and high involvement, the typology indicates a working relationship that is “coming apart and contentious” (Scheberle, 2004). Actors in this type of relationship are highly frustrated and frequently complain that oversight involvement is micromanaging (Scheberle, 2004). In addition, Scheberle (2004) argues that state and federal governments in this type of relationship fail to share information relevant to program operation, have frequent miscommunications, and many times have hidden agendas. Therefore, it is

hypothesized that a working relationship between regional jurisdictions and local governments where there is low trust and high involvement will be totally ineffective in their efforts to implement homeland security policies in Texas. For example, when Regional Councils of Governments and local chiefs of police disagree on goals for their region and on how best to reach these goals, provide no flexibility or support, show little respect for one another, have impersonal or poor communication, do not believe that their needs are being met, and perceive regional oversight to be micromanaging, it is expected that this relationship will be totally ineffective in the implementation of homeland security policies.

High Trust	"Cooperative but anonymous" (Somewhat effective)*	"Pulling together and synergetic" (Very effective)*
Low Trust	"Coming apart with avoidance" (Somewhat ineffective)*	"Coming apart and contentious" (Totally ineffective)*
	Low Involvement	High Involvement

Figure 2-5: Typology of Working Relationships

Source: Adopted from Scheberle (2004) and modified by author

*Note: The typologies in parentheses are the modified definitions employed by this author.

2.5 Proposed Hypotheses

The model, described above, will allow this study to examine if there are differences in the effectiveness of working relationships depending on the individual characteristics of the implementing jurisdiction and the characteristics of local implementers. The following is a summary of the hypotheses put forth in this chapter:

- H1: Larger urban jurisdictions will be more likely to report having effective working relationships with their regional Council of Governments (COG) than will their smaller, more rural counterparts.
- H2: Agencies that employ personnel to specifically handle homeland security and emergency preparedness matters will be more likely to report having effective working relationships.
- H3: Those agencies that have their own homeland security and emergency preparedness strategic plan will be more likely to report having effective working relationships.

- H4: Agencies that employ greater numbers of personnel will be more likely to report having effective working relationships.
- H5: Those with more experience in homeland security and emergency preparedness will be more likely to report having effective working relationships.
- H6: Those with higher levels of education will be more likely to report having effective working relationships.
- H7: Local chiefs of police who report a more conservative political ideology will be less likely to have effective working relationships with their regional Council of Governments (COG).

2.6 Next Steps

As noted throughout this chapter, to examine the effectiveness of the working relationships between chiefs of police and regional directors/coordinators, this research will use a modified version of Denise Scheberle's (2004) *Typology of Working Relationships*. The next task will be to analyze the survey responses from chiefs of police in Texas. Chapter three will show the results of these responses and allow us to compare their overall perceptions with regard to their interactions with regional jurisdictions. In addition, as previously noted, the analysis in chapter three provides not only an avenue of comparison *between* chiefs of police and regional directors/coordinators, but an opportunity to examine any differences *within* each of these groups. Therefore, besides providing an understanding of what effect individual, environmental, and agency characteristics have on chiefs of police and their working relationships with regional Councils of Governments, the following chapter will also offer insight into any differences found within the sample of chiefs of police.

CHAPTER 3

CHIEFS OF POLICE: LOCAL-LEVEL OF GOVERNMENT

The purpose of this chapter will be to examine the similarities and differences in the perceptions of local chiefs of police regarding their level of trust and involvement with regional officials within each of their jurisdictions. Respondents were asked to complete an online survey which included a series of questions designed to measure trust and involvement. Additionally, the online survey asked each respondent to answer basic demographical questions about themselves and their agencies (see Appendix B for survey instrument).

A total of 678 chiefs of police were initially contacted by email.¹⁰ This email described the study and indicated they would soon receive another email with a web address linking them to the online survey (see Appendix B for survey instrument). Two weeks later, each of these police chiefs received another email again describing the study and asking for their participation by completing the online survey. Two reminder emails were sent via email to chiefs of police—the first reminder being two weeks after the initial request and the final reminder being two weeks after the first reminder. Out of the total number solicited, 276 responded, which yielded a response rate of 40.7 percent. It should be noted, however, that due to the small sample size (n=276) and the possibility of self-selection bias, the results presented below may not be completely representative of all Texas chiefs of police.

As discussed in chapter two, local chiefs of police are considered the director of law enforcement in each of their respective geographical areas. They are required to ensure the safety of citizens within their jurisdictions and to provide law enforcement presence and

¹⁰ These police chiefs were solicited from an email list obtained by the author for those who are members of the Texas Police Chiefs Association; therefore, this sample is not considered a random sample and is subject to selection bias.

assistance not only in the everyday management of city disturbances, but especially in emergency situations. Implementation of homeland security policies have a direct effect on law enforcement in every city across the state since they are typically the first to respond to a crisis.

This chapter will first describe the environmental, agency, and individual characteristics of the local respondents. This will allow an opportunity to examine and understand the composition of the population sample. Next, this chapter will examine the survey questions designed to measure trust and involvement, and provide a view of the total number of responses for each measure. Then, this chapter will describe how overall measures of trust and involvement were created and provide an analysis of the relationships between these measures and the conditioning factors of the local respondents. Other measures of trust and involvement will also be analyzed to determine if there are significant relationships between these factors and the overall measures of trust and involvement. Finally, an analysis of the findings and their potential meanings will be provided.

3.1 Conditioning Factors

As described in chapter two, environmental, agency, and individual characteristics are expected to have an impact on the effectiveness of the working relationships between the mid and lower-levels of state government. The following sections provide an overall analysis regarding the context and constraints under which local jurisdictions operate.

3.1.1 Environmental Characteristics

As discussed in chapter two, environmental characteristics are defined as the population and square mileage of each responding jurisdiction. The majority of the respondents (85.8%) had fewer than 50,000 persons within their jurisdictions, with 81.9 percent having less than fifty square miles. These measures were statistically combined to develop a calculation for urban/rural jurisdictions. Tables 3-1 and 3-2 denote the percentages of responses within each of these categories.

Table 3-1: Population Size of Jurisdiction

	Percentage of Responses (n = 273)
Less than 10,000	53.5%
10,000 to 24,999	22.0%
25,000 to 49,999	10.3%
50,000 to 74,999	3.7%
75,000 to 99,999	2.9%
Over 100,000	7.7%

Table 3-2: Square Mileage of Jurisdiction

	Percentage of Responses (n = 271)
0-24 square miles	72.3%
25-49 square miles	9.6%
50-74 square miles	4.4%
75-99 square miles	2.2%
Over 100 square miles	11.4%

3.1.2 Agency Characteristics

Three measures were used to examine the characteristics of the responding agencies: the number of employees per agency, whether or not the agency employed someone specifically to handle homeland security and emergency preparedness matters, and whether or not the agency had developed its own strategic plan for security purposes. As Table 3-3 shows below, the majority of respondents (72%) reported having fewer than fifty employees within their agencies. In addition, another sixteen percent indicated having between fifty-one and one hundred employees. Only 2.9 percent of respondents reported having over two-hundred and fifty employees.

When viewing the number of responses regarding specialized personnel, the results indicate that 54.4 percent have specialized staff members to specifically handle homeland security matters, while 45.6 percent reported that they do not (see Table 3-4 below). In addition, a slight majority (53.5%) of the responding agencies reported that they had developed their own strategic plan for homeland security and emergency preparedness (see Table 3-5 below).

Table 3-3: Number of Agency Employees

	Percentage of Responses (n = 275)
Less than 50	72.0%
51-100	16.0%
101-250	9.1%
251-499	.7%
Over 500	2.2%

Table 3-4: Specialized Personnel

Does your agency employ someone who deals directly with homeland security & emergency preparedness issues?	Percentage of Responses (n = 274)
Yes	54.4%
No	45.6%

Table 3-5: Own Strategic Plan

Does your agency have its own strategic plan for homeland security?	Percentage of Responses (n = 273)
Yes	53.5%
No	46.5%

3.1.3 Individual Characteristics

Four measures were used to analyze the individual characteristics of the responding agencies: length of time in current job, whether or not the respondent had previous experience in homeland security and emergency preparedness prior to their current position, level of education, and ideology. In addition to these measures, two demographical questions were asked which provided the gender and ethnicity of the responding individuals. As Table 3-6 below shows, the majority (38.9%) of respondents have been in their current positions for five years or less. Another 25.8 percent have held their current position for ten years or less, and 14.5 percent have been in their jobs between eleven to fifteen years. Of all respondents, 20.7 percent indicated that they had been in their current job for over sixteen years. In addition to current job tenure, 67.9 percent of respondents indicated that they had prior experience in

homeland security and emergency preparedness before entering their current position (see Table 3-7).

Table 3-6: Current Job Tenure by Number of Years

	Percentage of Responses (n = 275)
0-5 years	38.9%
6-10 years	25.8%
11-15 years	14.5%
16-20 years	10.2%
More than 20 years	10.5%

Table 3-7: Previous Experience

	Percentage of Responses (n = 274)
Yes	67.9%
No	32.1%

Of those that responded to the online survey, 96.6 percent indicated that they had at least some post-secondary education (see Table 3-8). This means that only 3.4 percent of respondents reported having no post-secondary education. Overall, 48.9 percent indicated having some college, but no degree. Another 30.5 percent reported having a bachelor's degree, and 17.2 percent said they had a master's or professional degree.

Table 3-8: Education Levels of Respondents

	Percentage of Responses (n = 272)
High school graduate or GED	3.4%
Some college, no degree	48.9%
Bachelor's degree	30.5%
Master's degree	16.5%
Professional degree (e.g. MD, DDS, LLB, JD)	.7%

Ideology of respondents falls mostly on the conservative side with 40.8 percent reporting a conservative viewpoint and thirty-three percent indicating a slightly conservative viewpoint (see Table 3-9 below). Overall, twenty-one percent of respondents feel that they are

centrists, and only 5.2 percent of respondents believe themselves to have a liberal viewpoint. These results are not particularly surprising given that Texas has a high concentration of conservative individuals (see Erikson et al, 2003).

Table 3-9: Ideology of Respondents

	Percentage of Responses (n = 267)
Liberal	2.2%
Slightly Liberal	3.0%
Centrist, middle of the road	21.0%
Slightly Conservative	33.0%
Conservative	40.8%

Each respondent was asked to indicate their gender and ethnicity. Overall, the local respondents were white (81.3%) and male (96.7%) (see Table 3-10). Another fourteen percent of local respondents indicated that they were Hispanic or Latino, and 3.3 percent reported their ethnicity to be Black or African American (see Table 3-11).

Table 3-10: Gender of Respondents

	Percentage of Responses (n = 273)
Male	96.7%
Female	3.3%

Table 3-11: Ethnicity of Respondents

	Percentage of Responses (n = 272)
White	81.3%
Black or African American	3.3%
Hispanic or Latino	14.0%
American Indian or Alaska Native	.7%
Other	.7%

3.2 Measures of Trust

Trust was measured by asking a variety of questions related to goal agreement with both state and regional officials, perceptions of respect for one another, flexibility of governmental oversight, and the amount of support the local jurisdictions perceive they receive

from their respective regions. The following section and tables represent the percentages of responses for each measure.

3.2.1 Goal Agreement

Since policy implementation is difficult to achieve without significant goal agreement, this study asked several questions related to this. First, chiefs of police were asked what the primary focus of their local jurisdictions was regarding homeland security and emergency preparedness (see Table 3-12). Overall, 49.1 percent said that the priority of their agency was on natural and accidental disasters, while another 48.4 percent reported that the priority of their jurisdiction was equally on terrorism and natural and accidental disasters. Only 2.5 percent of the respondents reported that their primary focus was on terrorism.

Table 3-12: Priorities of Local Jurisdictions

	Percentage of Responses (n = 275)
Equal priority on terrorist threats and natural and accidental disasters	48.4%
Priority on Natural and Accidental Disasters	49.1%
Priority on Terrorism	2.5%

Each local respondent was also asked to identify which strategy (i.e. prevention, mitigation, response, or recovery) their agency emphasizes most with regard to both terrorist threats and natural and accidental disasters (see Table 3-13 below). With regard to terrorist threats, 47.8 percent of respondents indicated that they place an equal emphasis on each of these strategies. Another, 26.6 percent reported that they emphasize response strategies and an addition 20.1 percent said that they emphasize prevention strategies. Of all respondents, only 3.3 percent report an agency emphasis on mitigation and 2.2 percent said their emphasis was on recovery strategies. When asked what strategy their agency emphasized most with regard to natural and accidental disasters, forty-eight percent of respondents indicated that they place an equal emphasis on each of these strategies and another 41.8 percent reported an

emphasis on response strategies. Overall, four percent of respondents said their agency's focus was on recovery, 3.3 percent reported a focus on mitigation, and 2.9 percent said their focus was on prevention.

Table 3-13: Strategies Employed by Local Jurisdictions

	Terrorist Threats (n = 274)	Natural & Accidental Disasters (n = 275)
Equal emphasis on prevention, mitigation, response, and recovery	47.8%	48.0%
Prevention	20.1%	2.9%
Mitigation	3.3%	3.3%
Response	26.6%	41.8%
Recovery	2.2%	4%

Local chiefs of police were also asked to identify the degree to which their agency's emphasis concurred with their respective regional jurisdiction (see Table 3-14). Overall, 65.5 percent reported "general agreement" with their regional Councils of Governments and 28.4 percent reported "some agreement." An additional 4.4 percent reported little agreement, and another 1.8 percent reported no agreement. To ascertain the level of goal agreement between local jurisdictions and the State of Texas, chiefs of police were asked to identify the degree to which their agency's emphasis concurred with state officials. A majority of local respondents (59.9%) indicated a "general agreement" with the goals of the state and 33.6 percent indicated "some agreement." An additional 6.6 percent reported little or no goal agreement with state officials.

Table 3-14: Level of Goal Agreement with Higher-Levels of Government

Chiefs of Police perceived agreement with:	Regional Officials (n = 275)	State Officials (n = 274)
General Agreement	65.5%	59.9%
Some Agreement	28.4%	33.6%
Little Agreement	4.4%	5.1%
No Agreement	1.8%	1.5%

To understand how local jurisdictions view state goals and strategies, chiefs of police were asked to indicate their level of agreement with the following two questions: "Homeland

security is a top priority for the State of Texas” and “To effectively protect citizens, Texas needs a stronger state program for homeland security and emergency preparedness.” A majority of respondents (63.3%) indicated homeland security is indeed a top priority for Texas (see Table 3-15). Another 22.3 percent neither agreed nor disagreed with this statement, and 14.3 percent of respondents indicated that they disagreed with this statement. When asked whether the state needed a stronger plan, an overall majority of respondents (70.1%) agreed that the state needed a stronger plan, while 22.3 percent neither agreed nor disagreed and 7.7 percent of respondents disagreed with the statement. This is interesting because while a majority of local chiefs of police appear to agree that homeland security is important to state officials, most also agree that the state needs a stronger strategy.

Table 3-15: Local Perceptions of State Goals and Strategies

	Homeland security is a top priority for Texas (n = 273)	Texas needs a stronger plan for homeland security (n = 274)
Agree	63.3%	70.1%
Disagree	14.3%	7.7%
Neither agree nor disagree	22.3%	22.3%

Note: Total percentages do not add to 100 percent due to rounding.

To ascertain how local chiefs of police view the Governor’s Homeland Security Project, each respondent was asked their level of agreement with the statement “The Governor’s regional approach, The Homeland Security Project, is effective.” The majority of respondents (43.5%) neither agreed nor disagreed with this statement. Another thirty-eight percent agreed that the plan is effective and 18.5 percent disagreed (see Table 3-16 below). Chiefs of police were also asked if citizens of the state were more protected from both terrorist attacks and natural and accidental disasters since the implementation of the state’s homeland security strategy. With regard to terrorist attacks, forty-six percent of respondents indicated that they believed that citizens were more protected from terrorist attacks. Another 36.4 percent reported that they neither agreed nor disagreed with this statement and 17.6 percent indicated that they

do not believe citizens are more protected now than before the implementation of the state's homeland security strategy. With regard to natural and accidental disasters, a majority of respondents (61.4%) indicated that they believed that citizens were more protected now. Another 26.8 percent neither agreed nor disagreed with this statement and 11.7 percent reported that they do not believe that citizens are more protected from natural or accidental disasters than they were before the state implemented its homeland security strategy.

Table 3-16: Local Perceptions of Protection Provided by State Strategic Plan

	The Governor's Homeland Security Project is effective (n = 271)	Citizens are more protected from terrorist attacks (n = 272)	Citizens are more protected from natural and accidental disasters (n = 272)
Agree	38%	46.0%	61.4%
Disagree	18.5%	17.6%	11.7%
Neither agree nor disagree	43.5%	36.4%	26.8%

Note: Total percentages do not add to 100 percent due to rounding.

3.2.2 Respect

To examine respect, chiefs of police were asked whether they agreed with the statement "I have a positive relationship with the Council of Governments in my region." A majority of respondents (67.7%) indicated that they have a positive relationship with their regional officials (see Table 3-17 below). In addition to understanding how chiefs of police view their relationships with regional Councils of Governments, it is important to garner how they view the staff and their expertise as this can affect the working relationship between these two levels of government. If local jurisdictions do not perceive the personnel of their regional jurisdiction to have adequate knowledge and expertise, they may be less likely to work with regional staff or go to the region with problems or solutions. Chiefs of police were asked to indicate whether they agreed with the statement "The staff at the Council of Governments in my region has a high degree of expertise on issues related to homeland security and emergency

preparedness.” A majority of local respondents (54.8%) reported that they agreed with this statement. Another 33.1 percent neither agreed nor disagreed and 12.2 percent reported that they do not believe that the staff within their regional Council of Governments have a high degree of expertise in this area.

Table 3-17: Local Measures of Respect for Regional Councils of Governments

	Positive Relationship (n = 273)	Council of Government staff has expertise (n = 272)
Agree	67.7%	54.8%
Disagree	11.3%	12.2%
Neither agree nor disagree	20.9%	33.1%

Note: Total percentages do not add to 100 percent due to rounding.

3.2.3 Flexibility

Flexibility of oversight agencies is necessary to building effective working relationships. To measure the flexibility provided by regional Councils of Governments to local chiefs of police, respondents were asked whether or not they submitted voluntary or mandatory reports to their respective regional officials (see Table 3-18 below). While reporting is considered an oversight function, the nature under which these reports are submitted provides insight into the flexibility of the region. A total of thirty-seven respondents said that they submit written reports to their local jurisdictions; however, forty-five respondents answered this particular question. Of this number, sixty percent indicated that the reports they submit are voluntary and another forty percent said their reporting was mandatory. Given that the majority of local jurisdictions (86.4%) indicated that they do not submit reports, one could argue that the flexibility in regional oversight is significantly lax.

Table 3-18: Regional Flexibility in Local Reporting

	Percentage of local jurisdictions that submit written reports (n = 273)	Of those that do report, are they mandatory or voluntary? (n = 45)
Submit written reports	13.6%	
Voluntary		60%
Mandatory		40%

Note: Total percentages do not add to 100 percent due to rounding.

3.2.4 Support

Another measure of trust is the perceived amount of support that local jurisdictions receive from their regional officials. This type of support is measured by asking local chiefs of police whether they agree or disagree with two questions. First, respondents were asked whether they agreed with the statement “The Council of Governments in my region is concerned about terrorist attacks in the State of Texas” (see Table 3-19 below). A majority of respondents (55.2%) agreed that regional officials are concerned. Another 32.7 percent neither agreed nor disagreed with this statement and 12.2 percent of respondents indicated that they do not believe regional officials are concerned. Next, local chiefs of police were asked whether they agreed with the statement “The Council of Governments in my region understand the concerns of my jurisdiction with regard to homeland security and emergency preparedness.” Overall, forty-eight percent of respondents agreed with this statement, while an additional 27.8 percent neither agreed nor disagreed and 24.2 percent indicated that they did not believe regional officials understood the concerns of their jurisdiction.

Table 3-19: Local Perceptions of Regional Support

	Regional officials are concerned about terrorist attacks (n = 272)	Regional officials understand the concerns of their local jurisdictions (n = 273)
Agree	55.2%	48.0%
Disagree	12.2%	24.2%
Neither agree nor disagree	32.7%	27.8%

Note: Total percentages do not add to 100 percent due to rounding.

3.3 Measures of Involvement

As previously discussed in chapter two, regional involvement is important because the amount of involvement from oversight personnel can either increase or decrease the effectiveness of the working relationships. Involvement was examined by asking local chiefs of police a series of questions related to their perceptions regarding communication, oversight, sharing of resources, and in the provision of funding. The following tables represent the percentage of responses for each measure of involvement.

3.3.1 Communication

As discussed in chapter two, communication is vital to establishing effective working relationships. The clarity of communication between local chiefs of police and regional officials communicate, as well as the various ways in which they communicate, how often, and what they primarily discuss are expected to have a direct effect on these working relationships. To analyze local perceptions of communication clarity, chiefs of police were asked to indicate whether or not they agreed with the statement “The Council of Governments in my region clearly communicates goals and requirements to local jurisdictions regarding homeland security and emergency preparedness” (see Table 3-20 below). Overall, fifty-six percent of respondents said that that they agree that their regional officials do clearly and concisely communicate with local jurisdictions. Nearly thirty-two percent (31.8%) neither agreed nor disagreed with this

statement, and another 22.3 percent reported that the communications received by local jurisdictions is not clear and concise.

Table 3-20: Local Perceptions of Regional Communication

	Regional communication is clear and concise (n = 274)
Agree	56.0%
Disagree	22.3%
Neither agree nor disagree	31.8%

Note: Total percentages do not add to 100 percent due to rounding.

Next, local respondents were asked to report the various ways in which they communicate with regional officials (see Table 3-21). The majority (73%) of local respondents indicated that they communicate with their regional officials via the Internet. Another sixty-five percent of these respondents reported that they communicate via telephone and in meetings with regional officials. Fifty percent indicated that they communicate in-person and another twenty-nine percent said that they communicate via reports. Local respondents were given the opportunity to indicate other means of communication as well. A total of fifteen respondents chose to do so. Of these, nine (3%) reported no communication with regional officials. Another five (2%) respondents indicated that regional officials communicate with county or city emergency managers, and one (.004%) local respondent said that they communicate with their regional officials during training exercises.

Table 3-21: Methods of Communication with Regional Councils of Governments

	Percentage of those reporting method of communication (n = 276)
Internet	73%
Telephone	65%
During meetings	65%
In-person	50%
Reports	29%
Region communicates with county/city emergency manager	2%
During training activities	.004%
Do not communicate with regional officials	3%

Note: Respondents were given the opportunity to choose more than one method of communication; therefore, the total percentages do not add to 100 percent.

Respondents were also asked how often they communicate with their regional Council of Governments, as it is believed that the more often these groups communicate the more effective the working relationships (see Table 3-22 below). Overall, the majority (26.1%) of respondents said that they communicate with their regional officials quarterly. Another 16.5 percent communicate once a month, 16.2 percent communicate annually, 15.4 percent reported communicating several times per month, and 8.5 percent said they communicate with regional officials every six months. Again, respondents were given the opportunity to express “other” answers and a total of forty-seven respondents chose to do so. Of these, eighteen (6.6%) indicated that they communicate with regional officials “as needed.” Another four percent said that they rarely communicate with regional officials, 3.3 percent do not communicate, 1.8 percent said that regional officials in their jurisdiction communicate with county or city emergency managers, 1.1 percent say that they communicate with regional officials when they are contacted, and one (.004%) respondent said that their communication with regional officials varies.

Table 3-22: Frequency of Communication with Regional Councils of Governments

	Percentage of those reporting frequency of communication (n = 276)
Several times per month	15.4%
Once a month	16.5%
Quarterly	26.1%
Every six months	8.5%
Annually	16.2%
As needed	6.6%
Region communicates with county/city emergency manager	1.8%
Rarely	4.0%
Do not communicate with regional officials	3.3%
When contacted by regional officials	1.1%
Frequency varies	.004%

Note: Respondents were given the opportunity to provide different frequencies in communication; therefore, the total percentages do not add to 100 percent.

To examine what chiefs of police and regional jurisdictions primarily discuss, local respondents were given a list of typical topics of discussion regarding homeland security, as well as being provided the opportunity to elaborate on their discussions (see Table 3-23 below). Overall, a majority (47%) of local respondents indicated that they primarily discuss their jurisdictional needs (i.e. funding, training, personnel, equipment, etc.) with regional officials. Another 30.6 percent of these respondents said that they primarily discuss information sharing, 11.9 percent primarily discuss best practices in homeland security and emergency preparedness, and 3.4 percent discuss reporting. Of the total number of respondents who answered this question, eighteen provided other answers. Six (2.2%) of these responses gave multiple answers; therefore, eliminating the “primary” discussion. Another three respondents (1.1%) indicated that they have no communication with regional officials, and five respondents (1.9%) provided completely different answers (e.g. communicate regarding updates, how to get others’ interested in participating, discussion of another jurisdiction’s needs, unknown, and other).

Table 3-23: Primary Discussions with Regional Councils of Governments

	Percentage of those reporting primary discussions with regional officials (n = 276)
Communicate about needs	47.0%
Information sharing	30.6%
Best practices in homeland security	11.9%
Reporting	3.4%
Provided multiple answers	2.2%
Different responses	1.9%
Do not communicate with regional officials	1.1%

Note: Respondents were given the opportunity to provide other answers regarding their discussions; therefore, the total percentages do not add to 100 percent.

Again, while reporting is considered an oversight function of the regional jurisdictions, what is included in these reports is regarded as communication (see Table 3-24 below). Out of the thirty-seven respondents who indicated that they submit written reports to their regional jurisdictions, twenty-one (57%) said these reports include information sharing, twenty-one (57%) said these reports include needs (e.g. funding, training, personnel, equipment, etc.), nineteen (51%) said that their reports included information on activities related to homeland security and emergency preparedness capabilities within their jurisdiction, seventeen (46%) said their reports included information on homeland security and emergency preparedness strategic planning, nine (24%) said that their reports include best practices in homeland security and emergency preparedness response and capability activities, and one (.03%) provided an “other” response that specifically said “any and/or all of the above, depending on the request.”

Table 3-24: Local Reporting Content

Reporting includes information on:	Percentage of respondents who submit written reports to their regional jurisdiction (n=37)
Information sharing	57%
Needs (funding, training, personnel, etc.)	57%
Activities related to homeland security and emergency preparedness within jurisdiction	51%
Strategic planning	46%
Best practices in homeland security	24%
Other	.03%

Note: Respondents were given the opportunity to choose multiple answers; therefore, the total percentages do not add to 100 percent.

3.3.2 Oversight

The amount of regional oversight can affect the working relationships between regional and local jurisdictions. If local jurisdictions view this oversight to be too rigid, it could cause resentment. If oversight is too lax, implementing units could take this as a sign that they may use their own discretion in implementing homeland security policies, and thus implement them in manners that may not be consistent with how policymakers intended. To examine regional oversight activities, local chiefs of police were asked several questions (see Table 3-25 below). First, local respondents were asked if they submitted written reports to their regional jurisdictions. A total of thirty-seven respondents (13.6%) indicated that they do submit written reports, which suggests that regional jurisdictions do not require the majority (86.4%) of local jurisdictions to submit reports. When asked how often these reports were submitted, a total of thirty-eight responses were received. Of these, 34.2 percent reported that they do so annually. Another 21.1 percent indicated that they submitted written reports when they were requested, 18.4 percent said that they submit written reports every six months, 10.5 percent submit them quarterly, 7.9 percent submit them once a month, 2.6 percent submit written reports several

times per month, and two respondents (5.3%) provided different answers (“for grant purposes” and “after ICS incidents”).

Table 3-25: Submission Frequency of Written Reports

Frequency of Report Submission:	Percentage of Respondents (n=38)
Several times per month	2.6%
Monthly	7.9%
Quarterly	10.5%
Every six months	18.4%
Annually	34.2%
When requested	21.1%
Other	5.3%

One final question was asked with regard to regional oversight and reporting. Local respondents were asked to indicate whether or not they agreed with the statement “The reporting requirements to the Council of Governments in my region are appropriate” (see Table 3-26 below). Overall, 51.5 percent of local respondents neither agreed nor disagreed with this statement. Given that only 13.6 percent of those who responded indicated that they submitted written requests to regional officials, it is surprising that more than half of them did not have an opinion on this matter. Whether this is because they were uncomfortable answering the question or because they were unsure about whether more reporting should be taking place, is unclear. Of those that did answered this question, a total of 35.6 percent of those who answered this question indicated an agreement with the reporting requirements of their regional jurisdictions, while an additional thirteen percent felt that their region’s reporting requirements were not appropriate.

Table 3-26: Local Perceptions of Regional Reporting Requirements

	Regional reporting requirements are appropriate (n = 270)
Agree	35.6%
Disagree	13.0%
Neither agree nor disagree	51.5%

Note: Total percentages do not add to 100 percent due to rounding.

3.3.3 Provision of Funding

Funding is necessary in the implementation of public policies and homeland security is no different. What matters here is the perception that local chiefs of police have regarding their need being met. To examine this perception, chiefs of police were asked two questions regarding the funding provisions they receive. First, local respondents were asked whether or not they agreed with the statement “The Governor’s statewide regional approach, known as The Homeland Security Project, is adequately funded” (see Table 3-27 below). Overall, 48.1 percent of local chiefs of police neither agreed nor disagreed with the statement. Another 39.6 percent disagreed with the adequacy of the funding provided and 12.2 percent indicated agreement that funding for homeland security is adequate. Very different responses were received, however, when chiefs of police were asked whether or not they agreed with the statement “Local jurisdictions are adequately funded to ensure efficient homeland security response capabilities.” A majority (74.1%) of local respondents disagreed with the statement, meaning that they believe local jurisdictions are not adequately funded to increase their response capabilities. Another 19.2 percent neither agreed nor disagreed with the statement and only 6.6 percent of those that responded agreed that local jurisdictions were adequately funded to ensure efficient homeland security response capabilities.

Table 3-27: Local Perceptions of Homeland Security Funding

	The Governor's Homeland Security Project is adequately funded (n = 270)	Local jurisdictions are adequately funded to ensure efficient response (n = 271)
Agree	12.2%	6.6%
Disagree	39.6%	74.1%
Neither agree nor disagree	48.1%	19.2%

Note: Total percentages do not add to 100 percent due to rounding.

3.3.4 Sharing of Resources (other than money)

Sharing of resources (other than money) is also important to developing effective working relationships. As argued previously, if local jurisdictions do not perceive regional Councils of Governments share other available resources with them, such as training and planning initiatives, it could affect their working relationships. To analyze these perceptions, local chiefs of police were asked three questions related to their region's available resources. First, local respondents were asked whether or not they regularly participate in coordinated activities with their regional Council of Governments. A total of 56.4 percent indicated that they do participate and another 43.6 percent reported that they do not participate in coordinated activities with their regional jurisdictions. Second, local respondents were asked to indicate all of the types of homeland security and emergency preparedness activities they do participate in (see Table 3-28 below). Of those that do regularly participate, 43.8 percent report working with their regional jurisdictions on interoperable communications. Additionally, 43.1 percent work with their regions in training exercises, 39.1 percent work together on information sharing activities, 33.7 percent work together on planning and implementing homeland security and emergency preparedness programs, 30.1 percent report working together on evacuation planning, and 1.4 percent indicate that they do not regularly participate in coordinated regional activities. In addition, respondents were given the opportunity to provide other answers if there were activities they participated in that were not listed. Two respondents (.4%) chose to do so. One indicated that they work together on "NIMS training," while the other reported that "our preparedness activities are generated locally."

**Table 3-28: Sharing of Resources: Types of Coordinated Activities
Local Jurisdictions Participate In**

	Percentage of respondents (n = 155)
Interoperable communications	43.8%
Training exercises	43.1%
Information sharing activities	39.1%
Planning and implementing homeland security and emergency preparedness programs	33.7%
Evacuation planning	30.1%
Other	.4%
Do not participate in activities	1.4%

Note: Respondents were given the opportunity to choose multiple answers; therefore, the total percentages do not add to 100 percent.

Finally, local chiefs of police were asked whether they felt these coordinated activities were effective in increasing their overall preparedness and response capabilities (see Table 3-29). Overall, 72.2 percent of local chiefs of police reported that the activities were effective in increasing their capabilities, while another 7.6 percent said they were not. An additional 20.3 percent said they were not sure if these activities were effective for their agencies.

Table 3-29: Local Perceptions on the Effectiveness of Coordinated Regional Activities

	Percentage of respondents (n=158)
Yes	72.2%
No	7.6%
Not Sure	20.3%

Note: Total percentages do not add to 100 percent due to rounding.

3.4 Measuring Trust and Involvement

To create an overall measure of trust, several questions from the online survey were combined to create a numbering scale. Because this study is examining the relationships between regional directors/coordinators and local chiefs of police, question four (Q4) was included as a measure of goal agreement. This question asked local respondents to indicate

how much their priorities agreed with regional priorities. Three questions (Q18, Q19, and Q27) were used as a measure of respect. These three questions asked respondents whether or not they agreed with statements regarding having a positive relationship with their regional officials, perception of regional expertise in homeland security, and whether or not they believed the Governor's *Homeland Security Project* is effective. Perception of regional oversight flexibility was measured by utilizing question 10 (Q10) which asked whether reporting to regional officials was mandatory or voluntary. And finally, support was measured by including questions 25 and 26 (Q25, Q26) which asked whether or not local chiefs of police perceive that regional officials are concerned about terrorist attacks and whether or not they are perceived to understand the needs of local jurisdictions. Cronbach's Alpha was used to test the reliability of these seven questions measuring trust and the total reliability measure was .784.

An overall measure of involvement was also created by using several questions from the online survey as well. To examine communication, questions 7 and 22 (Q7, Q22) were utilized. These questions asked how often local jurisdictions communicate with regional officials and whether or not this communication is perceived to be clear and concise. Questions 13 and 14 (Q13, Q14) were used as measures of sharing resources other than funding. These questions included information regarding whether or not local jurisdictions regularly participate in coordinated activities with their regional officials and what kind of activities they participate in. And finally, to examine the local perception of funding, question 29 (Q29) was used. This question asked whether or not local officials believe that their jurisdictions are receiving adequate funding in order to increase their homeland security response capabilities. Cronbach's Alpha was again used to test the reliability of these combined involvement measures, with the total reliability measure being .549.

The tables in the following sections denote Pearson's Chi Square levels of significance and the association of the relationship between variables using Pearson's Correlation. The overall responses of local chiefs of police were examined and the results indicate that there is a significant positive relationship between trust and involvement, $r = .310$, $p < .05$ (see Table 3-30

below). This means that as trust levels increase, so do involvement levels. To identify if there was a relationship between trust and involvement by jurisdictional type, again Pearson's Chi Square and Pearson's Correlation were used (see Table 3-31). The results, however, indicate that there are no significant differences for trust ($p=.397$) or involvement ($p=.664$) based on jurisdictional type. Therefore, this study is unable to reject the following null hypothesis.

H1: Larger urban jurisdictions will be more likely to report having effective working relationships with their regional Council of Governments (COG) than will their smaller, more rural counterparts (*unable to reject the null hypothesis*).

Table 3-30: Overall Relationship between Trust and Involvement

Overall Responses	Involvement	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Trust	.000*	.310

*Significant at $p<.05$

Table 3-31: Relationship between Trust and Involvement by Jurisdictional Type

Jurisdiction Type	Trust		Involvement	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Urban/Rural	.397	.052	.664	.030

3.4.1 Conditioning Factors: Agency Characteristics

This study has maintained that there are three conditioning factors which impact the effectiveness of working relationships: agency characteristics, environmental characteristics, and individual characteristics. Measures of trust and involvement were compared with the overall responses from local chiefs of police. For agency characteristics, the results indicate that only two characteristics are significantly related to involvement (see Table 3-32 below).

There is a significant negative relationship for those agencies that have personnel who works directly with homeland security and emergency preparedness matters ($r = -.282, p < .05$). This finding shows that agencies that do not have specialized personnel have higher levels of involvement with regional officials. In addition, there is a significant negative relationship for those agencies who have created their own strategic plan for homeland security and emergency preparedness ($r = -.221, p < .05$). This finding suggests that agencies that have not created their own strategic plan also have more involvement with regional officials. While the overall hypotheses regarding conditioning factors are not statistically significant utilizing the overall measures of trust and involvement, it is interesting that agencies with more specialized personnel and who have created their own strategic plans have less involvement. One might have expected that the more organized and specialized the agency is, the more involved they would be with regional officials; however, these results suggest the opposite may be true.

H2: Agencies that employ personnel to specifically handle homeland security and emergency preparedness matters will be more likely to report having effective working relationships (**unable to reject the null hypothesis**).

H3: Those agencies that have their own homeland security and emergency preparedness strategic plan will be more likely to report having effective working relationships (**unable to reject the null hypothesis**).

H4: Agencies that employ greater numbers of personnel will be more likely to report having effective working relationships (**unable to reject the null hypothesis**).

Table 3-32: Overall Relationship between Trust, Involvement, and Agency Characteristics

Agency Characteristics	Trust		Involvement	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Number of Personnel	.348	.061	.136	.084
Specialization	.095	-.103	.000*	-.282
Own Strategic Plan	.128	-.094	.001*	-.221

*Significant at $p < .05$

Next, environmental characteristics of the responding agencies were examined using population and square mileage (see Table 3-33). The overall results showed no significant relationship with either trust or involvement; thus, again showing no significant differences in the responses of large and small jurisdictions.

Table 3-33: Relationship between Environmental Characteristics and Trust and Involvement

Environmental Characteristics	Trust		Involvement	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Population	.149	.033	.273	.076
Square Mileage	1.00	-.007	.687	.042

Finally, individual characteristics of the responding agencies were examined (see Table 3-34 below). The overall responses indicate that there are no significant relationships between trust and involvement and the individual characteristics of education, ethnicity, gender, ideology, job tenure, and previous experience. Given these results, this study is unable to reject the following null hypotheses.

H5: Those with more experience in homeland security and emergency preparedness will be more likely to report having effective working relationships (**unable to reject the null hypothesis**).

H6: Those with higher levels of education will be more likely to report having effective working relationships (**unable to reject the null hypothesis**).

H7: Local chiefs of police who report a more conservative political ideology will be less likely to have effective working relationships with their regional Council of Governments (COG) (**unable to reject the null hypothesis**).

Table 3-34: Relationship between Individual Characteristics and Trust and Involvement

Individual Characteristics	Trust		Involvement	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Education	.392	-.050	.623	.076
Ethnicity	.186	-.004	.315	.089
Gender	.533	-.038	.575	.038
Ideology	.434	.111	.324	.109
Job Tenure	.917	.025	.666	.079
Previous Experience	.073	.110	.292	-.071

Having been unable to find a statistically significant relationship for any of the seven proposed hypotheses, one could conclude that the conditioning factors proposed within this study do not contribute to effective working relationships. It could be argued, however, that the measurements used to examine the overall levels of trust and involvement may not be as reliable as had been hoped. Although the reliability measure for trust (.784) and involvement (.549) are considered reliably adequate, further research will need to include additional measures to increase these reliability rates.

3.5 Other Measures of Trust and Involvement

Given the above possibility, the decision was made to examine the overall measure of trust with other measures of involvement and to examine the overall measure of involvement with other measures of trust. As discussed in chapter two, goal agreement between agencies is necessary to implement public policies and is considered in this research to be a measure of trust. Table 3-35 shows that there is a significant relationship with a negative direction between the level of goal agreement between local and regional officials ($r = -.249, p < .05$), as well as with local and state officials ($r = -.260, p < .05$). These results indicate that as the level of goal agreement increases between these levels of government, the level of local involvement

decreases. This finding is surprising, as one might expect there to be more involvement as the level of agreement increases; however, it could also suggest that the more local jurisdictions are involved with regional and state officials, the more they realize that their local goals do not agree with those of higher government. Alternatively, it could also be argued that the more local jurisdictions believe their goals are the same as their regional Council of Governments, the less involved they need to be.

Table 3-35: Relationship of Goal Agreement and Overall Measure of Involvement

	Goal Agreement with Regional Officials	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Overall Involvement	.002*	-.249
	Goal Agreement with State Officials	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Overall Involvement	.001*	-.260

*Significant at $p < .05$

Additionally, tests were run to examine if there were any significant differences in the level of goal agreement dependent upon the size of the responding jurisdiction. The results shown in Table 3-36 reveal a significant negative relationship ($r = -.091$, $p < .05$) between the size of the jurisdiction and the level of agreement with regional officials. This finding suggests that as the size of the local jurisdiction increases, the level of goal agreement with their regional officials decrease. The results, however, do not show any significant relationship between jurisdictional type and level of goal agreement with state officials. Overall, this particular finding could indicate that regional officials in smaller, rural areas are much more likely to have similar goals, and thus better relationships, with the local jurisdictions they serve.

Table 3-36: Level of Goal Agreement with Regional Officials by Jurisdictional Type

	Urban/Rural Jurisdictions	
Goal Agreement with:	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Regional Officials	.047*	-.091
State Officials	.101	-.024

*Significant at $p < .05$

Tests were also run to determine whether there are any significant differences found between the three conditioning factors proposed in this study and the level of goal agreement reported by local jurisdictions. These tests reveal that two conditioning factors are significantly related to the level of goal agreement with regional officials: education and an agency having their own strategic plan (see Table 3-37). Education shows to have a significant negative relationship ($r = -.026$, $p < .05$). This suggests that as the education level of local chiefs of police rises, the level of goal agreement with their regional officials decrease. Additionally, an agency having their own strategic plan ($r = .166$, $p < .05$) shows to have a significant positive relationship, which suggest that those agencies that are appear more organized have more goal agreement with their regional officials.

Table 3-37: Factors that Affect Overall Goal Agreement with Regional Officials

	Goal Agreement with Regional Officials	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Education	.018*	-.026
Own Strategic Plan	.023*	.166

*Significant at $p < .05$

Next, this study compared the overall measure of involvement used previously in this chapter and compared it to the Likert Scale questions (see questions 16-29 of the survey instrument in Appendix A) that were designed to measure trust. Several significant relationships were found in the overall answers provided and in viewing the responses from an

urban/rural perspective (see Table 3-38 below). Tests revealed that several measures of trust (i.e. goal agreement, respect, and support) have a significant relationship to the level of involvement of local jurisdictions. Four measures of goal agreement have a significant positive relationship with the overall measure of involvement. The questions associated with goal agreement included statements related to homeland security being a top priority for the state, how local officials viewed the Governor's Homeland Security Project, and whether or not citizens were more protected from terrorism and natural and accidental disasters. The Likert Scale answers provided respondents the opportunity to agree, disagree, and have no opinion on the statements, thus this finding indicates that as the level of agreement with these statements on goal agreement increases, so does their involvement with regional officials. Only one measure of goal agreement provides a significant relationship with a negative correlation. Respondents were asked their agreement with the statement "To effectively protect citizens, Texas needs a stronger state program for homeland security and emergency preparedness." As the level of agreement with this statement increases, local jurisdictions involvement decreases. These results indicate that overall, goal agreement is important to the level of involvement local jurisdictions have with their regional officials. The one negative relationship also suggests that if local jurisdictions do not perceive the state's strategic plan to be strong enough to protect citizens, they are less likely to be involved with their regional officials.

Three measures of respect were compared to the overall measure of involvement: the effectiveness of the Governor's *Homeland Security Project*, whether or not they indicated a positive relationship with regional officials, and the belief that regional officials have a high degree of expertise on homeland security matters. Test results on these three measures indicate that respect is also an important factor, as all three measures have a significant and positive relationship to the overall measure of trust. As agreement levels increase on these measures, so does the level of involvement of local jurisdictions.

Finally, two measures of support (other than funding) were compared to the overall measure of involvement: whether or not respondents believed that regional officials were

concerned about terrorist attacks and if local respondents perceived that regional officials understood the needs of their jurisdiction. Both measure show to have significant and positive relationships to the overall measure of involvement, indicating that the more agreement local officials had with these statements also increased their level of involvement with regional officials.

Next, these same trust measures were compared to the overall involvement measure and examined by jurisdictional type. The results shown in Table 3-38 indicate that only two measures are significantly related to involvement: the perception that citizens were more protected from natural and accidental disasters (goal agreement) and the perception that the Governor's Homeland Security Project is effective (respect). Both of these measures have a significant but weak negative relationship, meaning that as the size of the jurisdiction increases, agreement with these statements decrease and the level of involvement with regional officials also decreases. These finding could suggest that if jurisdictions believe that the overall effectiveness of the Governor's *Homeland Security Project* is ineffective and, therefore, citizens are less protected from natural and accidental disasters, they are less involved. This is surprising, as one might expect to find increased involvement to help increase the level of protection; however, given that local jurisdictions must work within the boundaries of the state *Homeland Security Project*, they may feel that more involvement would not help.

Table 3-38: Effect of Other Measures of Trust on Overall Involvement

Likert Scale Variables	Involvement (overall sample)*		Involvement (urban/rural)*	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Trust (Goal Agreement)				
Homeland Security is a top priority for Texas	.003*	.236	.354	-.010
Texas needs a stronger state homeland security strategy	.009*	-.168	.353	-.058

Table 3-38 - Continued

Regional COG and chiefs of police view Governor's Homeland Security Project similarly	.000*	.277	.872	-.031
Citizens are more protected from terrorists attacks	.000*	.296	.529	.015
Citizens are more protected from natural and accidental disasters	.000*	.259	.019*	-.012
(Respect)				
Governor's Homeland Security Project is effective	.002*	.254	.009*	-.037
Positive relationship with regional COG	.000*	.308	.617	.029
Staff at regional COG has high level of expertise	.000*	.294	.742	.038
(Support)				
Regional COG is concerned about terrorist attacks	.007*	.238	.676	.029
Regional COG understands the needs of jurisdiction	.000*	.323	.786	.031

*Significant at $p < .05$

*Note: The two columns on the left signify the results of the overall sample, while the two columns on the right contain the results by jurisdictional type.

Next, this study compared the overall measure of trust used previously in this chapter and compared it to the Likert Scale questions (see questions 16-29 of the survey instrument in Appendix B) that were designed to measure involvement. Several significant relationships were found in the overall answers provided; however, no significant relationships were found in viewing the responses from an urban/rural perspective (see Table 3-39 below). Test results

revealed that communication, funding, and oversight have significant positive relationships to the overall measure of trust. The outcome of these comparisons indicate that the more likely local jurisdictions are to perceive communication from the region to be clear and concise, the more overall trust they have with regional officials ($r = .673$, $p < .05$). Additionally, the more local officials perceived that homeland security was adequately funded ($r = .277$, $p < .05$) and that local jurisdictions were adequately funded ($r = .232$, $p < .05$), the more overall trust they had with their regional jurisdictions. Finally, each respondent was asked whether they believed that the reporting requirements were appropriate. The results, shown in Table 3-39, reveal a significantly positive and strong correlation to trust ($r = .539$, $p < .05$), suggesting that if local jurisdictions perceive regional oversight functions (such as reporting) to be appropriate, their level of trust is also increased. When viewed from an urban/rural perspective, none of the individual involvement measures show to have a significant relationship to the overall measure of trust. Due to the small sample size and the fact that there are fewer urban jurisdictions the results, however, could contain an over-representation of rural jurisdictions. Given this, it should be noted that the results might be skewed toward rural localities.

Table 3-39: Effect of Other Measures of Involvement on Overall Trust

<i>Likert Scale Variables</i>	Trust (overall)**		Trust (urban/rural)**	
Involvement	Significance of Pearson's Chi Square	Association of Pearson's Correlations	Significance of Pearson's Chi Square	Association of Pearson's Correlations
(Communication)				
Regional officials clearly communicate goals and requirements	.000*	.673	.859	.005
(Funding)				
The Governor's Homeland Security Project is adequately funded	.000*	.277	.141	-.052

Table 3-39 Continued

Local jurisdictions are adequately funded	.004*	.232	.364	-.051
(Oversight)				
Reporting requirements are appropriate	.000*	.539	.754	.048

*Significant at $p < .05$

**Note: The two columns on the left signify the results of the overall sample, while the two columns on the right contain the results by jurisdictional type.

Other measures of involvement were also compared to the overall measure of trust. Since communication is believed to be a vital component in effective working relationships, several measures such as type, frequency, and reporting content were examined (see Table 3-40 below). All measures of type of communication were revealed to be significantly related to the overall measure of trust. Each type of communication showed weak but positive correlations, with in-person ($r = .255$, $p < .05$) and meetings ($r = .246$, $p < .05$) having the strongest correlations. This finding suggests that while each of these types of communication increases the level of trust local jurisdictions have with regional officials, face-to-face communication appears to have the most impact.

Table 3-40: Effect of Other Measures of Involvement on Overall Trust

Types of Communication	Trust (overall)	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations
In-person	.000*	.255
Internet	.012*	.154
Meetings	.000*	.246
Phone	.017*	.146
Reports	.039*	.127

*Significant at $p < .05$

Frequency of communication between local jurisdictions and regional officials provided an unexpected result. Table 3-41 below shows that the more frequent these levels of

communication, the less overall trust they have. This is surprising because one might expect that higher levels of trust would indicate more communication; however, these results show otherwise. This could suggest that those who communicate more often may need more frequent communication with their regional officials to help build their relationship and that once they have developed trust between them, the frequency of their communications may decrease. It could also suggest, however, that frequent communications decrease the levels of trust because local officials perceive frequent communications as unnecessary or micromanaging.

Table 3-41: Effect of Frequency of Communication on Overall Trust

	Trust (overall)	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Frequency of Communication	.000*	-.371

*Significant at $p < .05$

Although reporting is considered an oversight function and thus a measure of involvement, the content of that reporting is considered communication, allowing insight into what regional and local officials typically discuss. Overall, four types of reporting content appear to have a significant positive relationships with the overall measure of trust (see Table 3-42). While the correlations are weak, the results show that reporting content that includes information related to the homeland security activities of local jurisdictions, best practices in homeland security, information sharing, and jurisdictional needs all contribute to increased levels of trust. Overall, these results indicate that communication achieved through reporting can increase levels of trust between local and regional officials.

Table 3-42: Effect of Reporting Content on Overall Trust

Reporting Content	Trust (overall)	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Activities	.007*	.166
Best Practices	.025*	.137
Information Sharing	.002*	.185
Needs	.015*	.149
Strategic Planning	.161	.086
Other	.953	.004

*Significant at $p < .05$

Another measure of involvement compared to the overall measure of trust was in the types of coordinated activities local jurisdictions participate in and whether or not these activities help to increase trust. Test results indicate that those who participate in evacuation planning, information sharing, interoperable communications, planning and implementing homeland security programs, and in training exercises all have increased levels of trust with regional officials (see Table 3-43). Overall, this finding suggests that those who are more involved in regional activities have higher levels of trust and, one might argue, better relationships.

Table 3-43: Effect of Participation on Overall Trust

Types of Coordinated Activities	Trust (overall)	
	Significance of Pearson's Chi Square	Association of Pearson's Correlations
Evacuation planning	.000*	.245
Information sharing	.000*	.237
Interoperable communications	.000*	.290
Planning and implementing homeland security programs	.000*	.296
Training exercises	.000*	.253

*Significant at $p < .05$

Individual measures of support (trust) and funding (involvement) also appear to have significant relationships with each other (see Table 3-44 below). Tests reveal that local chiefs of police who believe that the Council of Governments in their region is concerned about terrorists attacks also agree that the Governor's *Homeland Security Project* is adequately funded ($r = .274$, $p < .05$) and that local jurisdictions are adequately funded ($r = .216$, $p < .05$). In addition, local agencies who perceive that regional officials understand the needs of their jurisdiction also agree that funding for the Governor's *Homeland Security Project* is adequate ($r = .349$, $p < .05$) and that local agencies are adequately funded ($r = .317$, $p < .05$). Overall, these findings suggest that agencies who feel that they receive support from their regional jurisdictions are more likely to perceive funding as adequate for both the state and local jurisdictions. This is important because how local jurisdictions perceive the support and funding they receive can impact the effectiveness of their working relationships with regional jurisdictions.

Table 3-44: Relationship between Regional Support and Perceptions of Funding

	Provision of Funding	
	<i>Homeland Security Project</i> is adequately funded	
Support	Significance of Pearson's Chi Square	Association of Pearson's Correlations
COG concerned about terrorist attacks	.000*	.274
COG understands needs of jurisdiction	.000*	.349
	Local jurisdictions are adequately funded	
Support	Significance of Pearson's Chi Square	Association of Pearson's Correlations
COG concerned about terrorist attacks	.001*	.216
COG understands needs of jurisdiction	.000*	.317

*Significant at $p < .05$

3.6 Discussion

Examining the individual responses provided the opportunity to understand the composition of the local sample. These responses showed that respondents who completed the survey were mostly white, conservative males who have had at least *some* post-secondary education. In addition, a majority of these respondents have been employed in their current position for fewer than five years, and most had previous experience in homeland security and emergency preparedness prior to entering their current position. In addition, the responses showed that agencies that completed the online survey were more likely to have developed their own jurisdictional strategic plan for security, were more likely to be smaller agencies having fewer than fifty employees, and were less likely to have specialized personnel who specifically handled homeland security matters.

To examine trust, the survey instrument included questions specifically related to goal agreement, respect, flexibility, and support. The individual responses for these measures of trust showed that the majority of local agencies focused on natural and accidental disasters rather than on terrorism. However, when asked what strategy they utilize most, the majority said that they employed a strategy that placed equal emphasis on prevention, mitigation, recovery, and response for *both* terrorism and natural and accidental disasters. Overall, the majority of local respondents expressed “general” goal agreement with both regional and state officials. Most indicated a belief that homeland security is a top priority for Texas, and many thought that citizens are more protected from terrorist attacks and natural and accidental disasters since the inception of the state’s homeland security policies. However, a majority also believed that the state needs a stronger plan to effectively protect citizens.

Most local respondents reported having a positive relationship with their Council of Governments and believed that their regional staff has a high degree of expertise in homeland security. Additionally, the majority of respondents agreed that regional officials are concerned about terrorist attacks and many feel that these officials understand the needs of their jurisdictions. An examination of the amount of regional oversight flexibility showed that

approximately eighty-six percent of the responding agencies did not submit written reports to their regional officials; thus, regional oversight appears to be flexible.

To analyze involvement, the survey instrument included questions directly related to communication, regional oversight functions, perceptions on funding of homeland security initiatives, and the sharing of additional resources. Overall, a majority of local respondents believed that communication from their regional officials is generally clear and concise. Communication for most happens at least quarterly, and these discussions are primarily about jurisdictional needs and information sharing. The most frequent types of communication include communicating via the Internet, telephone, at meetings, and in-person. Regional oversight was measured by reporting frequency. As discussed above, a majority of respondents did not submit reports to their regional jurisdictions; however, of those that did submit written reports, a majority said that they do so quarterly. The majority of overall responses, however, indicate that local respondents have no opinion on the appropriateness of their regional reporting requirements.

Regarding funding, the majority of respondents reported that local jurisdictions are not adequately funded to enhance their response capabilities. Most of these respondents, however, also expressed no opinion on whether or not the Texas Governor's *Homeland Security Project* was adequately funded. Questions related to the sharing of resources show that the two most frequent coordinated activities that local jurisdictions participate in with their regional officials are interoperable communications and training exercises. The majority of local respondents also indicated that they believe that these activities are effective in increasing their overall preparedness and response capabilities.

Having viewed the overall characteristics and responses of local chiefs of police, it is now time to turn to the overall measures. As previously discussed, two separate measures were created—one for trust and one for involvement—using select questions from the online survey instrument. The two measures were tested to determine a relationship and the results showed that there was indeed a significant and positive relationship. Moreover, this relationship

indicates that as trust increases, so does local involvement levels. There does not appear, however, to be a significant relationship between the overall measures of trust and involvement by jurisdictional type (e.g. urban and rural). As noted previously, the sample was skewed toward rural jurisdictions and this could have had an impact on these measurements. After having conducted comparative testing on each of the hypotheses, this study was not able to reject the null hypotheses on any of the seven proposed.

To gain a better understanding of the reliability of the overall measures of trust and involvement, individual testing was conducted using the overall measure of trust with other measures of involvement. These results indicate that communication, funding perceptions, participation in coordinated activities, and oversight functions all have significant positive relationships, suggesting that overall trust is increased by each of these factors. Additionally, test results show a positive correlation between the provision of funding and perceptions of support. Thus, suggesting that the more local jurisdictions perceive that regional officials support and understand the needs of local jurisdictions, the more likely they are to perceive that funding of homeland security is adequate. Surprisingly, there was a significant, yet negative, relationship between the frequency of communication and the overall measure of trust. This result shows that overall trust decreases as the frequency of communication increases. This could suggest that frequent communications decrease the levels of trust because local officials perceive frequent communications as unnecessary and possibly micromanaging.

The overall measure of involvement was also tested against individual measures of trust resulting in several significant relationships. Overall, the compressed measure of involvement has a significantly negative relationship with both regional and state goal agreement, indicating that as local officials increase their level of agreement with these higher levels of government, their involvement tends to decrease. In addition, a significant negative relationship was found between urban and rural jurisdictions and the level of goal agreement they have with their regional Councils of Governments. This finding shows that as the size of the jurisdiction increases, the level of agreement with regional officials' decreases. Given these

findings, the next step was to test other measures of goal agreement against the overall measure of involvement and the results indicate that goal agreement, respect, and support all have significant and positive relationships. The conflict in the results measuring goal agreement and overall involvement, however, suggests that the compressed measure of involvement may not be reliable.

3.7 Conclusion

This chapter has examined the overall perceptions of local chiefs of police regarding trust, involvement, and relationships with regional Councils of Governments. While the results from this sample may not be generalizable to other chiefs of police due to its small size ($n = 276$), overrepresentation of rural respondents, and self-selection issues related to the population it was drawn from, the responses to questions specifically designed to measure trust and involvement have provided insight into the perceptions of the lower levels of state government.

Based on the individual responses received on the separate measures of trust and involvement, it would appear that a majority of local jurisdictions share a high level of both of these factors with their regional jurisdictions; therefore, suggesting that most local agencies have very effective working relationships with their regional officials. However, given the fact that the overall measure of involvement may not be as reliable as expected, the implication of very effective working relationships cannot be confirmed.

Although the findings within this study did not reveal statistically significant relationships between the overall measures of trust and involvement, it has provided the opportunity to examine the different perceptions *within* this group of chiefs of police respondents. The nature of intergovernmental working relationships, however, especially between mid and lower-levels of state government is important to policy implementation. Only in understanding the perceptions of *both* groups can researchers begin to appreciate how these relationships work. Therefore, chapter four will examine the overall responses received from the interviews

conducted with regional directors/coordinators regarding their roles, relationships, and interactions with local chiefs of police.

CHAPTER 4

REGIONAL COUNCILS OF GOVERNMENTS: MID-LEVEL STATE GOVERNMENT

As discussed in chapter two, regional directors/coordinators have unique experiences and job responsibilities in implementing and coordinating national and state homeland security and emergency preparedness policies and are, therefore, considered to have an important role in the implementation of these policies within the State of Texas. Each of the twenty-four (24) directors/coordinators for the Texas Regional Councils of Governments was initially solicited using a pre-notification letter. The letter described the study and informed them that they would soon be contacted. Within thirty days of sending the letter, each of the regional directors/coordinators were telephoned and asked to schedule an interview. Out of the total solicited, ten agreed to be interviewed which yielded a response rate of forty-two percent. Due to the small sample size ($n=10$) and the possibility of self-selection bias, the results may not be completely representative of all regional directors/coordinators, even in Texas; however, these interviews provide initial insight into the perceptions of regional officials with regard to the implementation of homeland security policies within the state.

That being said, the purpose of this chapter will be to examine the similarities and differences in the perceptions of regional Councils of Governments (COGs) based on the overall responses, as well as by the size of the jurisdictions (i.e. urban vs. rural). Classifying respondents into urban and rural jurisdictions permit an examination of the context and constraints under which these policy implementers work. In addition, it allows this study to analyze if there are differences in the perceptions of regional officials from these two types of jurisdictions. It is expected that there will be differences between large urban areas and smaller rural jurisdictions due to the amount of available resources and the populations served by each.

Respondents were asked a series of questions regarding their roles, interactions, and communications with local chiefs of police, as well as their perceptions of state funding allocations and the *Texas Homeland Security State Strategy*. Additionally, each respondent was asked basic demographical questions about themselves.

This chapter will first describe the environmental, agency, and individual characteristics of the regional respondents. This provides the opportunity to frame the overall responses of the regional directors/coordinators and then permit this study to view the responses from an urban and rural perspective to determine if there are differences based on this classification. Next, this chapter will examine the questions asked of each respondent that correlate with this study's main foci, overall measures of trust and involvement. Finally, this research will analyze the overall similarities and differences in responses and provide a discussion of what these might mean.

4.1 Conditioning Factors

As previously noted, three conditioning factors (environmental, agency, and individual characteristics) are expected to have an impact on the effectiveness of the working relationships between local and regional officials. These three factors will provide an understanding about the context in which homeland security policies are implemented and under what constraints these state implementers operate. The following sections present a detailed overview of the responses received from the regional directors/coordinators on questions related to these factors.

4.1.1 Environmental Characteristics

The responding regions have been separated into urban and rural jurisdictions based on the size of the jurisdiction and the average number of residents per square mile. Based on this classification, officials from four (4) urban regional jurisdictions and (6) rural regional jurisdictions were interviewed. The regional urban jurisdictions range from 2,000 to 13,000

square miles and contain approximately 150-400 residents per square mile. In contrast, the regional rural jurisdictions have a range of 5,000-26,000 square miles with approximately 10-60 residents per square mile.

Table 4-1: Size of Responding Regional Councils of Governments
Urban Rural

<ul style="list-style-type: none"> ◆ 3–16 counties ◆ 2,000–13,000 sq. miles ◆ 285,000 – 5 million residents ◆ Average population per square mile: 150 – 400 	<ul style="list-style-type: none"> ◆ 6–26 counties ◆ 5,000–26,000 sq. miles ◆ 150,000 – 550,000 residents ◆ Average population per square mile: 10 – 60
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4.1.2 Agency Characteristics

To understand the size of each regional agency, respondents were asked about the number of staff their regional Council of Governments employed to specifically handle homeland security and emergency preparedness matters. Overall, each region employed between one and fifteen staff members for these duties, with an average of 4.5 employees per Council of Governments. When viewed by type of region, urban Councils employed an average of 6.25 staff members and rural Councils employed an average of 3.33 staff members to handle homeland security and emergency preparedness issues.

4.1.3 Individual Characteristics

Professional experience can have an impact on working relationships as those with more experience are more likely to have already established relationships with others in their career field. To examine the amount of professional experience each regional director/coordinator had, respondents were asked how long they have been in their current position and how many years of previous experience they have in homeland security and emergency preparedness. Overall, job tenure for these directors/coordinators ranged from less than one year to as many as twelve years and levels of previous experience ranged from none

to approximately thirty-seven years. When regions were separated by type, urban regional directors/coordinators had an average job tenure rate of almost four years, and an overall average of previous experience of 12.5 years. Rural regional directors/coordinators appear to have been in their current positions longer and have had more years of previous experience in homeland security and emergency preparedness. These individuals had an average job tenure rate of almost seven years and an overall average rate of approximately sixteen years of previous experience.

Table 4-2: Job Tenure and Previous Experience

Urban	Rural
<u>Job Tenure</u> ♦ Average of approximately 4 years <u>Previous Experience</u> ♦ Average of approximately 12.5 years	<u>Job Tenure</u> ♦ Average of approximately 7 years <u>Previous Experience</u> ♦ Average of approximately 16 years

As discussed in chapter two, post-secondary education can also influence how individuals work with others and the types of relationships they have. When examined from an urban/rural standpoint, no significant differences emerge. Nine of the ten interviewed regional respondents have complete some post-secondary education. All four regional directors/coordinators from urban Councils of Governments had a bachelor's degree and one of these respondents also had a master's degree. Two of the four urban respondents indicated that their degrees are related to homeland security and emergency. Only two of the six rural respondents said that they had a bachelor's degree, neither of which is related to homeland security and emergency management. Additionally, one rural respondent reported having an associate's degree in fire management, which the respondent considers related to emergency management. Two other rural respondents indicate having college hours but no degree, and one respondent reported having no specific degree.

Table 4-3: Education Level
Urban Rural

<ul style="list-style-type: none"> ◆ Four have bachelor's degrees ◆ One respondent had a master's degree 	<ul style="list-style-type: none"> ◆ Two have bachelor's degrees ◆ One reported being "just shy" of having a bachelor's degree ◆ One has 166 college hours, but no degree ◆ One has an associate's degree ◆ One has no specific degree
<ul style="list-style-type: none"> ◆ Two degrees are related to homeland security—one in emergency management and one in criminal justice 	<ul style="list-style-type: none"> ◆ The associate's degree is in fire management which the respondent considers related to emergency management.

Individual ideology can have an impact on working relationships, especially if those working together have very different viewpoints about the role and responsibility of government. Therefore, respondents were asked if they considered themselves to be more conservative, moderate, or liberal in their ideology. Overall, fifty percent (50%) of the regional directors/coordinators interviewed reported that they had a conservative ideology, especially in relation to homeland security policies. Another thirty percent (30%) reported a moderate ideology, and twenty percent (20%) of respondents indicated that they have a liberal ideology.

Table 4-4: Individual Ideology
Urban Rural

<ul style="list-style-type: none"> ◆ Conservative (2) ◆ Moderate (1) ◆ Liberal (1) 	<ul style="list-style-type: none"> ◆ Conservative (3) ◆ Moderate (2) ◆ Liberal (1)
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4.2 Measures of Trust

As previously discussed in chapter two, mutual trust is defined as the extent to which the two levels of government (regional authorities and local chiefs of police) share goals, respect each others actions, allow flexibility, and provide support to individuals within the

program. To examine measures of trust, regional directors/coordinators were asked specific questions regarding their relationships with chiefs of police (respect), advice to other directors/coordinators (respect), regional strategies used (support), and about the Texas Homeland Security Strategic Plan (goals). The following sections provide a detailed description of the responses that were received during the respective interviews.

4.2.1 Relationships with Local Chiefs of Police

To understand the type of relations directors/coordinators perceive they have with local law enforcement, each respondent was asked to describe their relationships with chiefs of police within their regions. All of the respondents reported they have good working relationships. Two of the regional directors/coordinators said that these relationships had been cultivated over a long period of time because the Councils of Governments and local first response agencies have worked together on various issues over the years.¹¹ A majority of respondents (60%), however, noted that they had more contact and, therefore, better relationships with those chiefs of police that served on the various regional committees for homeland security.

When the responses are viewed from an urban and rural perspective, again there are noted differences. While both types of regional jurisdictions appear to respect local law enforcement and their efforts, the large, urban regional jurisdictions seemed to consider the question regarding their relationships to be an indicator of how well they understand the dilemmas faced by local jurisdictions or in what local law enforcement has done for the Councils of Governments. For example, one urban director/coordinator made note of his background in law enforcement and said that this experience had given him the ability to understand the challenges of chiefs of police and as a result, he felt he has a better relationship with them. Another urban director/coordinator also pointed out that the chiefs of police and first responders

¹¹ As discussed in chapter one, regional Councils of Governments and local jurisdictions have worked together on various issues that extend beyond one jurisdiction or that require a regional approach since the 1960s.

in his region actually trained the Council of Governments in emergency management after September 11, 2001—suggesting that the training received indicated a good working relationship between chiefs of police and the Council of Governments.

Table 4-5: Descriptive Relationships with Local Law Enforcement

Urban	Rural
♦ Good relationships	♦ Good relationships
♦ Indicated what chiefs of police have done for the region and expressed an ability to understand the challenges local jurisdictions face	♦ Indicated how chiefs of police look to the Council of Governments as a resource
♦ Have more contact, and therefore, better relationships with chiefs of police on regional homeland security committees	♦ Most of the work is done by counties because the cities are too small; therefore, they have more contact with sheriffs, judges, and county and city emergency managers

The rural regional jurisdictions, on the other hand, tended to view this question as an indicator of the services the Council of Governments provide to the chiefs of police. Thirty-three percent (33%) of respondents indicated that chiefs of police look to the Council of Governments as a resource for finding solutions to pending issues and use them as a sounding board—although they are quick to point out that they do not get into the business of local law enforcement agencies. In addition, fifty percent (50%) of the rural regional jurisdictions also indicated that they have more contact with sheriffs, judges, and county and city emergency management specialists than they do with chiefs of police in their regions. They also noted that the reasons for the lack of contact with chiefs of police in the rural areas stem from the fact that many of the jurisdictions in these regions are too small and that much of the work conducted on homeland security matters is completed by county officials and emergency managers of larger cities.

4.2.2 Advice to Others

To ascertain what the regional directors/coordinators perceive to be most important in their relations with local chiefs of police, they were asked what advice they would provide to other regional directors/coordinators regarding working with chiefs of police on homeland security matters. The most common response given when asked what advice they would give to another regional directors/coordinator was that cooperation is necessary for the implementation of homeland security policies. Samples of responses include “everyone, including librarians, have something to bring to the table,” “the Councils of Governments must work across jurisdictional boundaries,” “each responding agency can help each other do their jobs,” and “the best technique for cooperation is shared training and coordination.” In addition to cooperation, two respondents mentioned that jurisdictional barriers between cities and first response agencies must be broken down and that the Councils of Governments work to ensure that this happens.

When examined from an urban/rural standpoint, all four urban respondents spoke of respect in relation to this question. Three out of the four respondents (75%) said that they respect chiefs of police and local law enforcement, and one contributor (25%) noted that responding jurisdictions must respect one another and the jobs each are trying to accomplish. Additionally, two (50%) of the respondents would advise other directors/coordinators to develop a common understanding of the issues between regional and local jurisdictions, and another two (50%) would recommend that other directors/coordinators stress to local jurisdictions that the efforts of homeland security policies go beyond their own jurisdictional boundaries.

Rural regional respondents spoke more about communication with regard to giving advice. Fifty percent (50%) of respondents would advise other directors/coordinators to provide an open process for law enforcement in their assessing needs, developing training exercises, and in their interactions with these officials. In addition, thirty-three percent (33%) of rural respondents acknowledged a need to listen to law enforcement officials and to allow them to

vent their frustrations, and another thirty-three percent (33%) of rural respondents said it is necessary to have open and honest communications with local law enforcement officials.

Table 4-6: Advice to Other Regional Homeland Security Coordinators

<p style="text-align: center;"><u>Urban</u></p> <ul style="list-style-type: none"> ◆ 75% of respondents say they respect chiefs of police and recognize that local law enforcement officials are the experts in this field ◆ 50% of respondents say that regional homeland security directors/coordinators must develop a common understanding of the issues of local jurisdictions ◆ 50% of respondents said that directors/coordinators must stress to jurisdictions that homeland security efforts extend beyond their own jurisdictional boundaries
<p style="text-align: center;"><u>Rural</u></p> <ul style="list-style-type: none"> ◆ 50% of respondents said that it is necessary to make the relationship between local jurisdictions and the regional Council of Governments an open process for law enforcement ◆ 33% of respondents said their advice would be to listen to local law enforcements needs and allow them to vent their frustrations ◆ 33% of respondents said that regional directors/coordinators need to make sure that when they communicate with local jurisdictions they are honest

4.2.3 Regional Strategies

To understand what approach regional directors/coordinators use to work with chiefs of police to implement homeland security policies, respondents were asked about the strategies they use within each of their regions.¹² Overall, three common themes appear—inclusion, the use of strategic plans, and leveraging resources; however, when viewed from an urban/rural perspective differences emerge. Three of the four (75%) urban regional respondents reported an inclusive strategy compared to only one of the eight (13%) rural respondents. Inclusion

¹² Due to interviewer oversight, one respondent was not asked what strategies their region uses to implement homeland security policies; therefore, there are only nine responses to this particular question.

takes different forms for each of the respondents. For urban regional directors/coordinators, strategies of inclusion consist of creating opportunities for everyone to work together, having federal, state, and local officials on regional committees to ensure an understanding of what the objectives are, and using a regional committee as an overall coordinating body with various specialized internal committees to create a network of experts. For the rural respondent, inclusion means involving the various jurisdictions in coordinated activities and initiatives. The difference in how urban and rural jurisdictions seek to include local governments is important because the more opportunities there are for local jurisdictions to become involved and provide input into the implementation process, the more likely they are to have increased trust and involvement; thus, improving their working relationships. From the responses received, urban jurisdictions appear to produce more opportunities for inclusion.

Respondents also indicated their use of various strategic plans, such as regional, state, and local plans, as well as the more specialized strategic plans of catastrophic response plans, hazardous materials plans, and the NIMS¹³ compliance plans. Only one of the four (25%) urban regional directors/coordinators specifically spoke of utilizing a strategic plan. This respondent spoke of their regional strategic plan and indicated that while it is an effective plan, it is lacking in its ability to achieve its goals because many are unrealistic. This respondent also said that strategic plans should be written year-to-year rather than every five years because homeland security funding changes every year and a five year strategic plan does not allow for this fluctuation in financial resources. Two of the eight (25%) rural regional respondents specifically mentioned the utilization of state, regional, and local plans; however, these responses indicated only which plans are used not whether they were perceived them as effective. In addition, three respondents (38%) mentioned the strategic focus of their particular region—two of which are on achieving interoperable communication systems and one indicated that prevention and response are the primary focus for their region.

¹³ The National Incident Management System (NIMS)

Leveraging resources from their member jurisdictions is another strategy commonly used by Councils of Governments; however, only two respondents (one urban and one rural) mention this activity specifically. The reasons for leveraging these resources are also quite different based on the type of regional jurisdiction. The urban regional respondent indicated that their region leveraged existing resources and sought to add new partners with additionally desired resources. The rural respondent, on the other hand, required a more need-based leveraging of resources because many response departments in their region are volunteer organizations and, therefore, do not meet the requirements to receive federal funding. These response agencies, however, are still required to meet the criteria of the federal and state mandates with regard to homeland security policies and capabilities. Thus, this rural region sought to leverage multi-jurisdictional resources in order to help them meet these unfunded mandates.

Table 4-7: Regional Strategies for Homeland Security
Urban Rural

<ul style="list-style-type: none"> ◆ Inclusion by means of <ul style="list-style-type: none"> ○ Creating opportunities ○ Using federal, state, and regional jurisdictions on regional committees ○ Using regional committees as an overall coordinating body with specialized internal committees to create a network of experts 	<ul style="list-style-type: none"> ◆ Inclusion by means of <ul style="list-style-type: none"> ○ Involving various jurisdictions in coordinated activities and initiatives ○ Building interoperable communications capabilities as noted by two respondents
<ul style="list-style-type: none"> ◆ Strategic Plans: <ul style="list-style-type: none"> ○ Use of regional strategic plan; however, plan should be written annually rather than every five years because funding is different every year 	<ul style="list-style-type: none"> ◆ Strategic Plans: <ul style="list-style-type: none"> ○ Utilization of state, regional, and local strategic plans ○ Utilization of specific strategic plans (e.g. hazards, catastrophic, emergency management response plans, etc.) ○ Strategic focus is on achieving interoperable communication systems and on prevention and response
<ul style="list-style-type: none"> ◆ Leveraging Resources: <ul style="list-style-type: none"> ○ Pull from existing resources and attain new partners with additional needed resources 	<ul style="list-style-type: none"> ◆ Leveraging Resources: <ul style="list-style-type: none"> ○ Must leverage resources from jurisdictions to allow volunteer agencies to meet unfunded federal mandates

4.2.4 Texas Homeland Security Strategic Plan

Regional directors/coordinators were asked to describe the Governor's *Homeland Security Project* and to identify what is effective and ineffective about the plan. The Texas Association of Regional Councils (TARC, 2008) website acknowledges that the main purposes of the Governor's statewide regional approach, known as the *Homeland Security Project*, are to "provide information and assistance to councils of governments in planning and implementing homeland security programs; to integrate regional planning and priorities with state agency activities; and to assist the Governor's Office of Homeland Security and other state agencies that administer emergency preparedness programs in their work with Councils of Governments and the Councils' local government members." The regional directors/coordinators, who were interviewed, however, could not identify the *Governor's Homeland Security Project*. This is particularly interesting given the fact that TARC is the oversight organization that is supposed to help assist regional Councils of Governments by facilitating the exchange of information and ideas. In addition, this organization represents all twenty-four regions with state and federal agencies and legislative bodies (TARC, 2008). Since TARC is an oversight agency and a representative for the regional councils to higher levels of government, one could expect that the regional directors/coordinators would be able to identify the *Governor's Homeland Security Project*. The fact that they were not able to identify this strategy could signify a larger problem in the working relationships and communications between mid and higher levels of government. To gain insight from regional directors/coordinators about their understanding of the state's regional homeland security strategy, each respondent then was asked to describe the *Texas Homeland Security Strategic Plan* and to identify what is effective and ineffective about the plan.

Overall, regional respondents perceived the *Texas Homeland Security Strategic Plan* to be a good document. The various responses regarding the effectiveness of the state strategic plan included that "the state plan does a good job of incorporating the over-arching goals of the federal government" and "is the driving force for regional planning in homeland security for the

state.” In addition, regional directors/coordinators said that the state strategic plan provides a “decent framework” and a “general idea of what is needed and tries to encompass what is good for the state as a whole.” Moreover, thirty percent (30%) of those interviewed believed that the state plan is effective because it utilizes an all-hazards approach to emergency management. When asked about the ineffectiveness of the state strategic plan, thirty percent of (30%) regional respondents perceived that too much attention and money is being paid to border counties and that other parts of the state are being neglected.

When viewed from an urban/rural perspective, regional directors/coordinators again differed in their responses. Rural respondents generally spoke in terms of funding. For example, when asked about the effectiveness of the state strategy rural directors/coordinators responded that the plan helps to direct funding and allows for the appropriate implementation of fiscal and financial control. Urban respondents, on the other hand, said that the state strategy is effective because it utilizes a regional approach to emergency management which corresponds with the national strategy, yet provides flexibility. In addition, one urban regional respondent indicated that “the state is good at getting the federal money down to the Councils of Governments.” When asked about any ineffectiveness of the *Texas Homeland Security Strategic Plan*, rural directors/coordinators again primarily addressed funding. These respondents reported that there is a lack of funding provided to meet federal mandates, especially for jurisdictions and agencies that do not meet the requirements for receiving federal funds, such as volunteer fire departments. Additionally, rural respondents said that there are frequent changes to state funding priorities and that the funding they do receive is hard to spend because of the restrictions placed on the money. Other than funding deficiencies, rural respondents noted ineffectiveness in the state strategy due to a lack of specific guidelines and comprehensiveness. One rural respondent indicated that the state strategic plan does not include direct guidelines or procedures for achieving compliance nor does it provide a linear method by which to reach compliance; both of which they would find beneficial for

implementation. In addition, another rural respondent pointed out that the state plan could be more comprehensive by making standardized equipment a priority across the state. Out of the ten elite interviews conducted, one rural respondent indicated that they believe that the state strategic plan for homeland security is not ineffective.¹⁴

When asked about the ineffectiveness of the *Texas Homeland Security Strategic Plan*, urban regional respondents indicated that Councils of Governments should have more input in the development of homeland security policies and initiatives, and two respondents indicated that the state is always trying to “jump thru federal hoops” or “check off boxes” and that this is reflected in the state strategic plan by the amount of verbiage used. Additionally, one urban respondent noted that the guidance provided by the state is not always consistent and that regions have to reconcile these inconsistencies and do what is most effective. Moreover, another urban respondent indicated that there are too many unreasonable, short-term deadlines; however, this respondent also said that many times these deadlines are required by the federal government and that state officials are merely caught in the middle.

¹⁴ This respondent did not elaborate on their answer. The only response given was that “the plan is not ineffective.”

Table 4-8 Effectiveness and Ineffectiveness of State Strategy

Urban	Rural
<p>Effectiveness:</p> <ul style="list-style-type: none">◆ The state is good at getting money to the COGs◆ The state plan corresponds with the national plan and provides flexibility◆ The state plan uses a regional approach	<p>Effectiveness:</p> <ul style="list-style-type: none">◆ The state plan allows for the fiscal and financial control to be appropriately implemented◆ The state plan helps to direct funding
<p>Ineffectiveness:</p> <ul style="list-style-type: none">◆ The Councils of Governments need to have more input in the development of homeland security policies◆ The state plan includes too much “verbiage” because they are attempting to meet federal requirements◆ The guidance provided to Councils of Governments is not always consistent◆ There are too many unreasonable, short-term deadlines	<p>Ineffectiveness:</p> <ul style="list-style-type: none">◆ There is a lack of funding for federal mandates◆ There are frequent changes in state funding priorities◆ It is hard to spend any of the money that is received because of the restrictions placed on it◆ The state plan could be more comprehensive. For example, the plan could make standardized equipment a priority◆ The state plan does not include any direct guidelines or procedures for compliance; also, there is not a linear process for reaching compliance◆ One regional director/coordinator said that the state plan is “not ineffective”

4.3 Measures of Involvement

As discussed in chapter two, the level of involvement from oversight agencies can have an impact on the effectiveness of working relationships. If local jurisdictions perceive there to be too much involvement, it may create tension in the working relationship. In contrast, too little involvement could lead local jurisdictions to use their own discretion in how to implement the

policy; therefore, altering the original intention of the policy. Chapter two defined involvement as any formal or informal communications, the frequency and nature of their oversight activities, the provision of funding, and the sharing of their resources. To examine regional involvement, directors/coordinators were asked a series of open-ended questions regarding their roles in the implementation of homeland security policies (oversight activities), communications, and in their perceptions of funding. The following sections provide a detailed description of the responses that were received during the interviews with regional directors/coordinators.

4.3.1 Regional Role in Implementation

To assess how regional directors/coordinators perceive their responsibilities in the implementation process, they were each asked what they considered their role to be in the implementation of homeland security policies in Texas. Overall, the directors/coordinators that were interviewed viewed their role as one of facilitation. The most frequent response received regarding the perceived role of the Councils of Governments is that of being an interface between the state and local governments whose primary function is in homeland security grant management, with one director/coordinator calling the Councils of Governments the “great filter.” Regional Councils of Governments, in their perception, facilitates meetings, training, and planning of homeland security initiatives and helps to ensure that emergency plans are updated and in compliance with state regulations. In addition, all directors/coordinators interviewed said that they are responsible for administering and managing the state and federal funds received for homeland security.

Table 4-9: Common Perceptions in the Overall Role of the Regional Councils of Governments

<ul style="list-style-type: none">◆ Facilitator◆ Interface between the state and local jurisdictions◆ Homeland security grant management
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When viewing these responses from an urban and rural perspective, certain differences of perception regarding the role of regional jurisdictions become apparent. First, rural directors/coordinators reported that they spend a significant amount of their time providing technical and equipment-related assistance to local jurisdictions; whereas, the urban Councils of Governments reported that they spend the majority of their time on team-building, dispute resolution, and working with first responders and elected officials to ensure that planning and funding allocations emanate from a “regional perspective.” Also, one urban Council of Governments reported that they are responsible for choosing regional capabilities that are cost effective—such as developing a regional telephone-based emergency notification system that both urban and rural jurisdictions can use within their region. This is in contrast to one rural director/coordinator’s statement that their role is to “research the parameters of the existing programs and introduce individuals to what is available to them.” Finally, the overall responses received from the urban Councils of Governments were broader—meaning that their responses regarding their perceived role in the implementation of homeland security policies were less specific than rural Councils of Governments. Rural regional jurisdictions spoke more about planning, equipment, training, and meeting the requirements for future funding than did the larger, more urban Councils of Governments.

Table 4-10: Different Perceptions in the Role of Councils of Governments

Urban	Rural
♦ Majority of time spent on team-building, dispute resolution, and working to ensure that planning and funding initiatives have a “regional perspective”	♦ Significant amount of time spent on technical and equipment-related assistance
♦ Development of cost-effective regional capabilities	♦ Introducing individuals to programs that are already available to them
♦ Broad focus on determining how state requirements fit local jurisdictions and to facilitate regional planning	♦ Specific focus on planning, equipment, training, and meeting requirements for future funding

4.3.2 Communications

As discussed in chapters one and two, communication is essential to effective working relationships. To understand their communications, regional directors/coordinators were asked to describe their communications with local chiefs of police regarding homeland security matters. A majority (70%) of respondents indicated that they had good or very good communication with chiefs of police in their region. One director/coordinator indicated that their communication is limited to grant funding and training exercises; however, this respondent also stated that “the Council of Governments leans on the chiefs for their expertise.”

There does not appear to be a clear pattern in how regional directors/coordinators communicate with chiefs of police, although the responses do present some differences. Three rural and one urban respondent (40%) indicated that they communicate via phone, letters, email, and in-person. One urban and one rural respondent (20%) said that they communicate with chiefs by phone and in-person only, and two rural respondents (20%) communicate predominately by email, and one (10%) urban respondent said that information in their region is typically filtered thru emergency managers or the regional committee on homeland security.

In addition to how they communicate, many regional directors/coordinators took the opportunity to clarify what chiefs of police and the regional Councils of Governments primarily discuss. Overall, both types of regions discuss funding, training, equipment, needs, and seek to find solutions to problems. When viewed from an urban/rural perspective, two of the four (50%) urban respondents indicated that they discuss equipment; three of the four (75%) said that they discuss training issues, only one respondent specifically indicated that they discuss funding. In addition, one urban respondent reported that chiefs of police and the Council of Governments in their region have open lines of communication which helps to facilitate their ability to focus on the problems at-hand and find solutions. Rural respondents indicated that their communications were based on personal relationships and that many are on a first-name basis. Additionally, rural respondents indicated that sometimes the Council of Governments must mentor local law

enforcement to help them understand why change is necessary. One respondent signified that they occasionally request survey completion by local law enforcement—most often on equipment needs, and another respondent said that chiefs of police were free to contact the region at any time.

There does not appear to be a clear pattern in the type of communication urban directors/coordinators use to communicate with local chiefs of police; however, a majority of rural respondents prefer to communicate with law enforcement in their region using a variety of different means (e.g. phone, email, in-person, and by letter). While both types of regions primarily discuss funding, training, equipment, and jurisdictional needs, rural regional directors/coordinators also indicated that they help find solutions to jurisdictional turf wars and help chiefs of police understand the need for change with regard to homeland security mandates and initiatives.

Table 4-11: Communication with Local Law Enforcement

Urban	Rural
<ul style="list-style-type: none"> ◆ Participatory involvement, limited to funding and training, which is sometimes filtered thru county emergency managers or regional committees ◆ Communication often takes place at least monthly within a regional committee meeting 	<ul style="list-style-type: none"> ◆ Personal relationships ◆ Mentoring relationships ◆ Many are on a first name basis ◆ One occasionally requests surveys from chiefs ◆ One respondent said that chiefs of police are free to contact the region at any time
<ul style="list-style-type: none"> ◆ No clear pattern in type of communication—each respondent communicates with chiefs differently 	<ul style="list-style-type: none"> ◆ 50% of respondents communicate via phone, email, in-person, and by letter ◆ 33% of respondents communicate predominately by email ◆ 17% of respondents communicate by phone or in-person only
<ul style="list-style-type: none"> ◆ Primarily discuss funding, training, equipment, needs, and on finding solutions to issues 	<ul style="list-style-type: none"> ◆ Primarily discuss funding, training, equipment, finding solutions to turf issues, and in helping chiefs to understand the need for change

4.3.3 Perceptions on Funding of Homeland Security Policies

Adequate funding is necessary to successfully implement public policies and individual perceptions of sufficient funding are important. As shown in chapter two, if implementers perceive funding to be inadequate it can cause tension in working relationships. To ascertain how regional directors/coordinators perceive the adequacy of their resources, each was asked whether funding for homeland security in Texas is adequate or inadequate, and why. While many of the respondents provided similar answers, there were also several differences (see Table 4-12 below). Only two of the interviewed regional respondents said that funding is adequate, but stipulated that it is sufficient as long as it remains at its current level. In addition, one of the two respondents who indicated that funding for homeland security is sufficient said that they believe the amount received “fits well with the practical scope of the programs.” A majority of respondents (80%); however, perceived homeland security funding as inadequate because there is not enough money available to achieve the goals (50%) and because smaller jurisdictions lack a sufficient tax base (38%) to compensate for the difference between the resources that are needed and what is received.

When viewed from an urban/rural perspective, rural respondents tended to relate the inadequacy of funding to how the money is appropriated. For example, rural respondents said that funding is disproportionately appropriated to urban areas and that there is a gap in available funding for training and interoperable communication systems. One rural respondent elaborated on this issue saying that because urban areas receive more money, they are more able to quickly meet their objectives, whereas, rural regions must go through multiple funding cycles to reach their target capabilities, such as in achieving interoperable communications between response agencies and local jurisdictions. Additionally, critical infrastructure has a key role in funding allocations. One rural regional director/coordinator indicated that the requirements for claiming critical infrastructure change frequently and that it is hard to get recognition for the infrastructure you have if you are a smaller region.

Urban regional respondents believed that other reasons are the cause of inadequate funding for homeland security in Texas. First, three of the four (75%) urban respondents believed there is not enough money to get everything accomplished, with one of these respondents indicating that “if the federal mandates for homeland security were more reasonable, the money might be sufficient.” Other urban respondents said that everyone, including fire, police, and medical personnel, are all “fighting over the same pot of money” and that there is not enough for everyone. Finally, one respondent made the point that funding cycles produce different amounts annually and that local jurisdictions do not have any assurances on how much they will receive from year to year, which makes planning difficult. Thus, for this regional director/coordinator, it is not where the money is allocated—it is how much money is allocated.

Table 4-12: Adequacy of Homeland Security Funding
Urban Rural

<ul style="list-style-type: none"> ◆ Funding is adequate if kept at the current level ◆ Funding is inadequate— Why? <ul style="list-style-type: none"> ○ Not enough money to get everything accomplished ○ Some jurisdictions do not have sufficient tax base to compensate for the gap in funding ○ If the priorities and mandates from the federal government were more reasonable, the money might be adequate ○ Everyone is fighting over the same pool of money ○ Every funding cycle produces different amounts and jurisdictions cannot count on the money 	<ul style="list-style-type: none"> ◆ Funding is adequate if kept at the current level ◆ Funding is inadequate— Why? <ul style="list-style-type: none"> ○ Not enough money to get everything accomplished ○ Some jurisdictions do not have sufficient tax base to compensate for the gap in funding ○ Funding is disproportionate—urban areas receive more money ○ There is a gap between the funding available for training and interoperable communications ○ Critical infrastructure requirements frequently change and it is hard to get recognition if you are a small jurisdiction
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4.3.4 Select Types of Federal Funding Available to States for Homeland Security

The *State Homeland Security Grant Program* (SHSG) is the primary funding mechanism for homeland security initiatives throughout the nation. This program supports the four mission areas of the Department of Homeland Security—to prevent, protect, respond, and recover—in addition to addressing the thirty-seven target capabilities and the national priorities as deemed critical to homeland security measures (U.S. Department of Homeland Security, June 2006). This program provides funding to states and localities to help build capabilities through planning, purchasing of equipment, training exercises, and the implementation of their respective homeland security strategies (U.S. Department of Homeland Security, June 2006). The funds are expected to be used primarily to prevent, protect, respond, and recover from various acts of terrorism, but may also be used to address incidents such as a pandemic flu outbreak and catastrophic events (i.e. hurricanes) as long as they “build capabilities that relate to terrorism” (U.S. Department of Homeland Security, June 2006). The funds may also be used to educate and train citizens in awareness, prevention, protection, response, and recovery skills (U.S. Department of Homeland Security, June 2006). The *State Homeland Security Grant Program* (SHSG) encompasses the five separate grant programs listed below.

State Homeland Security Program (SHSP):

The Homeland Security Grant Program (HSGP) is the federal government’s primary funding grant for building and sustaining national preparedness capabilities. This grant program “provides funding to states and localities to build capabilities through planning, equipment, training, and exercise activities” (U.S. Department of Homeland Security, January 2007). Furthermore, this program supports regional planning and coordination of security measures, in addition to the implementation of State homeland security strategies and other key elements of the national preparedness doctrines. (U.S. Department of Homeland Security, January 2007).

Law Enforcement Terrorism Prevention Program (LETPP):

This grant program “provides resources to law enforcement and public safety communities to support critical terrorism prevention activities, including establishing and enhancing fusion centers and collaborating with non-law enforcement partners, other government agencies and the private sector” (U.S. Department of Homeland Security, January 2007).

Citizen Corps Program (CCP):

The function of the Citizen Corps is to “bring community and government leaders together to coordinate community involvement in emergency preparedness, planning, mitigation, response and recovery” (U.S. Department of Homeland Security, January 2007).

Metropolitan Medical Response System (MMRS) Program:

The purpose of MMRS funds are to “support local preparedness efforts to respond to all-hazards mass casualty incidents, including CBRNE terrorism, epidemic disease outbreaks, natural disasters and large-scale hazardous materials incidents” (U.S. Department of Homeland Security, January 2007).

Urban Areas Security Initiative (UASI) Program:

In 2003, the federal government instituted the Urban Area Security Initiative Grant Program to allocate funds to critical urban areas. The purpose of the UASI Program is to assist densely populated urban areas with their planning, equipment, training and exercise needs in order to better prepare them to prevent, protect, respond, and recover from acts of terrorism (U.S. Department of Homeland Security, January 2007). The measures used to calculate which urban areas qualify for the grant include population density, critical infrastructure, and perceived risk of attack (NACO, 2004; Roberts, 2005).

4.3.5 Funding Received by Regional Councils of Government in Texas

To ascertain how much money has been distributed throughout the state and to identify any differences in funding received by urban and rural Councils of Governments, each director/coordinator was asked if their region had received money from any of the five grants listed above. Nine of the ten directors/coordinators who were interviewed provided answers for this question;¹⁵ however, when asked directly about the amounts received from 2002-2007, only six of these respondents (two urban and four rural) provided specific totals received by their regions.

Overall, the regional directors/coordinators who answered this question indicated that they had received grant money from the SHSP, LETPP, and CCP programs, and many said that they had received funding under the MMRS program; however, most do not administer these funds and, therefore, very little information was provided. In addition to these, two of the urban respondents said that their region had received money from the UASI grant. Some respondents were able to supply specific amounts for each grant, while others could provide only totals; therefore, to compare the funding received by each region, it was necessary to combine the amounts received for each grant into a total amount received for each year.

Examination of the funding received for both urban and rural regions revealed significant differences, especially during 2003 and 2004. From 2003-2007, the interviewed respondents reported an approximate total of \$100.2 million received from the SHSP, LETPP, and CCP grant programs. Of this amount, urban regional Councils of Governments received a total of \$61.2 million (61%) and rural regions received approximately \$39.1 million (39%). While it is not surprising that the larger regions received more money than smaller ones, an examination of the amounts received from year to year did reveal interesting findings.

During the 2003 and 2004 funding cycles, urban jurisdictions received approximately \$10 million more (almost twice as much) than rural regions did these same years from the

¹⁵ Due to interviewer oversight, one respondent was not asked which grants they had received money from. In addition, this respondent was not able to provide specific information on any amounts received from 2003-2005.

SHSP, LETPP, and CCP grant programs. The 2005 funding cycle, however, showed a significant decrease (almost 48%) in the funding allocated to urban regions, while rural regions received an increase of approximately 4% for the same time period. The 2006 funding cycle showed significant decreases to both types of jurisdictions, with urban regions receiving approximately forty-four percent less and rural regions receiving almost forty-eight percent less than the previous year. Interestingly, the 2007 funding cycle proves to be the most beneficial to rural regions. During this funding cycle, both types of jurisdictions showed an increase in the allocation of funds with urban regions receiving approximately thirty-three percent more money and rural regions receiving almost seventy-seven percent more in funding than they did in the previous year. In addition, 2007 marks the first funding cycle where rural regions received more money than urban regions from the three grant programs mentioned above. While this analysis does not provide any explanations for the funding patterns observed here, future studies could examine this particular finding to help explain whether this is true of all states or just Texas.

While it is interesting that rural regions are beginning to surpass urban regional jurisdictions in the funding allocations received from the SHSP, LETPP, and CCP grant programs, it is important to remember that two of the urban respondents reported that cities within each of their jurisdictions have or do receive the Urban Area Security Initiative (UASI) grant. The money allocated to those urban areas who qualified for this particular grant, has provided these cities with an additional \$80.9 million dollars from 2003-2007—more than the combined total received by either type of jurisdiction for the SHSP, LETPP, and CCP grants over the same five-year time period. While some might argue that those regions receiving the UASI grant should receive less in other types of homeland security funding, it is important to understand that the UASI grants are given to select cities—not regions. In addition, not all regions administer the funds for the UASI—sometimes the cities who receive these funds prefer to administer the money themselves. Therefore, it is necessary to point out that just because a particular city within a region has received money from the UASI grant, it does not mean that

other cities within that same region have benefitted. Given this, it is still important for regions to receive funding from the other three grant programs that have been discussed here, as these funds help build capabilities in and between other cities within each region.

Table 4-13: 2003-2007 Combined Funding Received by COG
Urban Rural

<p>Combined Grant Totals (SHSP, LETPP, CCP):</p> <p>2003: \$20,434,329</p> <p>2004: \$18,498,367</p> <p>2005: \$ 9,695,207</p> <p>2006: \$ 5,391,601</p> <p>2007: \$ 7,165,426</p>	<p>Combined Grant Totals (SHSP, LETPP, CCP):</p> <p>2003: \$10,464,589</p> <p>2004: \$ 8,077,667</p> <p>2005: \$ 8,431,078</p> <p>2006: \$ 4,365,994</p> <p>2007: \$ 7,719,111</p>
<p>Total Amount Received From 2003-2005: \$61,184,930</p>	<p>Total Amount Received From 2003-2005: \$39,058,439</p>
<p>Urban Area Security Initiative Grants (UASI) 2003-2005: \$80,911,520</p>	<p>Urban Area Security Initiative Grants (UASI) 2003-2005: \$0</p>

Note: The above totals are from six respondents—two urban and four rural regions responding to this question.

4.4 Discussion

As previously noted, it is important to remember that the sample population (n=10) used in this examination is quite small. Given the limited number of respondents and the possibility of a self-selection bias, it is necessary to point out that the responses and conclusions derived from this examination may not be representative of all regional directors/coordinators—even within the State of Texas. Having pointed this out, the similarities and differences contained within this chapter can begin to provide insight into how regional jurisdictions interact and how they perceive their relationships with local law enforcement officials—specifically local chiefs of police.

To analyze whether the regional directors/coordinators interviewed have different perceptions they were divided, dependant upon the size of the territories and number of citizens they serve, into urban and rural jurisdictions. This distinction provided interviews from four

urban and six rural regional jurisdictions. Respondents from both types of regions provided many similar responses (See Table 4-14 below for a summary comparison of similarities). Overall, regional respondents perceived their role to be one of facilitation—not only between local jurisdictions, but also as an interface between the state and local governments, and in the administration of homeland security grant funding. The fact that regional jurisdictions see themselves as an interface between the State of Texas and local jurisdictions lends credence to the initial assumption that they are, in fact, a mid-level form of government. In addition, their perception of being facilitators in the process of homeland security policy implementation shows their willingness to assist local jurisdictions in this process, rather than dictate state or federal mandates to them. Given this, it could be argued that regional jurisdictions provide flexibility in their oversight activities.

There does not appear to be any significant differences in the post-secondary education of the regional respondents who were interviewed. Overall, nine of the ten regional directors/coordinators interviewed have completed at least some post-secondary education (four urban and five rural). Only one of the rural respondents who were interviewed reported having no post-secondary education. As stated in chapter two, those with post-secondary education are expected to have more experience in collaboration and teamwork, and thus have more effective working relationships. The responses of regional officials suggest that while urban directors/coordinators appear more likely to have *completed* a post-secondary education, the majority of the rural regional respondents have many hours of post-secondary education as well. This finding could suggest that post-secondary education is an implicit prerequisite for regional directors/coordinators because their job responsibilities require them to work collaboratively with others. One could argue, however, that the post-secondary education of local chiefs of police might still create limitations in the effectiveness of the working relationships between these two groups. If post-secondary education is an implicit standard for regional directors/coordinators but not for chiefs of police, it could affect the amount of cooperation

received from local jurisdictions; thus, impacting the effectiveness of these working relationships.

As previously noted, communication is an important factor in effective working relationships. A majority of respondents indicated that they have good communications with chiefs of police, but many also stated that they have better relationships with those who serve on regional committees. For the most part, communication between the responding directors/coordinators and chiefs of police in their regions is achieved using a variety of methods, including phone, email, in-person, and through letters. Moreover, the responses of regional officials reveal that regional directors/coordinators and local chiefs of police primarily discuss funding, training, equipment, and finding solutions to problems. While there appears to be no clear pattern in the type of communication these directors/coordinators use, their primary discussions with chiefs of police seem to be more about need-based matters rather than an exchange of information. This could potentially affect their working relationships as one could argue that their communications might be limited when it comes to things like long-range planning or coordinated activities and that their responses to these issues may be reactive rather than proactive.

In an effort to understand what regional directors/coordinators perceive to be the most important in their working relationships with local law enforcement, they were asked what advice they would give to another director/coordinator. Many of the regional respondents said that they would advise others in their position to make sure that there is cooperation between local law enforcement and regional Councils of Governments, as they believe this is a necessary component in implementing homeland security policies. While this finding shows that regional jurisdictions believe that cooperation is an important factor in their relationships with local law enforcement, it also reveals that regional jurisdictions understand the need to get everyone to work together—which is an important factor in effective working relationships.

To help understand whether the goals of the regional jurisdictions match that of the state, respondents were asked about the *Texas Strategic Homeland Security Plan*. A majority of respondents believed that the plan is a good document because it provides a general idea of what is needed within the state and offers a decent framework with which homeland security can be implemented. Given the similarities in these responses, regional jurisdictions appear to have general agreement with the goals and procedures outlined by the state. This is important because, as shown in chapter two, goal agreement is necessary to the implementation process, as well as to the effectiveness of working relationships of those involved.

Finally, an overwhelming majority of regional directors/coordinators believed that funding of homeland security is wholly inadequate because there is not enough money to achieve the state's goals and smaller jurisdictions lack a sufficient tax base to compensate for the lack of funding they receive. As stated in chapter two, it is important to understand how respondents perceive their needs are being met. This finding does not necessarily signify imminent problems in the working relationships between regional directors/coordinators and local chiefs of police as one could argue that if local jurisdictions indicate a similar perception, it may strengthen their working relationship rather than weaken it. For example, if both groups perceive that their needs are not being met financially by the state, the working relationship between them may be made stronger because they feel that they are facing similar problems. One could argue, however, that if this is the case, the working relationship between the state and the regional and local jurisdictions might be less effective.

Table 4-14: Overall Similarities between Regional Coordinators

- ◆ Perceive themselves to be facilitators
- ◆ Believe they are an interface between state and local governments
- ◆ 90% of respondents have post-secondary education
- ◆ All administer grant funding
- ◆ Understand the importance of communication and use a variety of methods to do so this, such as by phone, in-person, emails, and letters
 - Have good communications with local chiefs of police—better with those on regional committees
 - Primarily discuss funding, training, equipment, and solutions to problems
- ◆ Believe cooperation is necessary between local law enforcement and regional jurisdictions
- ◆ Understand the *Texas Homeland Security Strategic Plan* provides a general idea of what is needed and a decent framework for implementation
- ◆ Perceive funding of homeland security initiatives is inadequate

In addition to the similarities, there are many noted differences in the responses between the two types of regions, with agency and individual characteristics providing the first substantial differences. This can be instructive because, as argued here, these conditioning factors are expected to influence the perceptions of regional respondents thus, impacting the effectiveness of their working relationships with local officials. First, urban regional Councils of Governments employ an average of twice as many staff members to specifically handle homeland security and emergency preparedness issues. While the urban agencies may have more staff, rural regions appear to have more overall experience in homeland security and emergency preparedness. Directors/coordinators in rural regions averaged a total of three more years in their current positions and an average of almost four more years of previous experience in emergency management than do their urban counterparts. This is important because it could be argued that smaller, rural regions tend to attract more experienced professionals and that there may be a lower employee turnover rate for these regions than in

the larger, urban areas. Frequent staffing changes could potentially decrease the effectiveness of working relationships with local jurisdictions as newer employees will have to develop a rapport with these individuals.

Urban regional directors/coordinators also expressed differences in how they view their roles within their regions. When asked about the role that Councils of Governments have in implementing homeland security policies in Texas, rural respondents spoke more about what they do within their regions, such as planning, equipment upgrades, training initiatives, and meeting funding requirements. Urban respondents were less specific about their roles in the implementation of these policies and spoke more broadly about developing planning initiatives that come from a regional perspective and determining how state requirements fit local jurisdictions. These findings suggest that rural regional jurisdictions spend more time building regional capabilities and in attempting to meet funding requirements; whereas, urban jurisdictions seem to focus more on planning. This could potentially create tension, especially within the rural jurisdictions, as these regional directors/coordinators appear more apt to view their roles as one that simply meets the needs of local law enforcement. It could be argued that urban respondents, on the other hand, seem more likely to strive for cooperation between their local jurisdictions to create and implement planning initiatives. This is important because if rural regional respondents become frustrated in attempting to meet the needs of their local jurisdictions, it could affect their working relationships with local and state officials. One could also argue that if urban jurisdictions spend more of their available time on planning and initiatives, they may have better working relationships with officials in their localities because they can create more opportunities for cooperation.

There are also noted differences in the descriptive relationships between the regional Councils of Governments and local chiefs of police. Urban directors/coordinators were more apt to discuss what local law enforcement officials have done for the Council of Government, such as providing training to after September 11th. In contrast, rural respondents generally

discussed what their Councils of Governments has done for local law enforcement agencies, such as finding other ways to get the resources to meet their needs. Rural directors/coordinators also noted that much of the work in these regions is done by county officials rather than local officials because cities are too small. These results are important because it shows that while urban respondents appear more apt to praise their local law enforcement agencies for their efforts and cooperation in implementing homeland security, rural respondents tend to denote the amount of time and energy their regions provide in meeting the needs of local jurisdictions.

Other differences of perception emerge when regional directors/coordinators were asked what advice they would give to another regional director/coordinator. Rural regions were more apt to offer advice about providing an open process and honest communication; whereas, urban directors/coordinators advised the development of a common understanding of the issues and stressing to localities that homeland security efforts extend beyond jurisdictional boundaries. This is important because even though the responses are different, the overall result suggests that both urban and rural regions appear to understand the importance of communication.

Differences are also illuminated in the responses about which regional strategies are used. Urban respondents generally agreed that an inclusive process is the best strategy. Alternatively, rural respondents were more apt to mention the use of state, local, or regional strategic plans. Both types of regions indicated that they leverage resources; however, the reason for doing so is quite different. Urban regions leverage resources from existing and new members to add additional capabilities; whereas, rural regions tend to leverage resources to help their local jurisdictions meet unfunded federal mandates. These results suggest that rural regions are more likely to spend much of their time attempting to acquire the needed resources for their regions. This is important because it could create tension between local, regional,

state, and/or federal officials if rural chiefs of police and regional directors/coordinators do not feel that the needs of their jurisdictions are being met.

Perceptions on the effectiveness and ineffectiveness of the *Texas Homeland Security Strategic Plan* also differ based on the type of region. Rural directors/coordinators spoke more of funding when asked these questions. These jurisdictions generally believed that the plan is effective because it helps to direct funding and allows for the appropriate fiscal and financial control of homeland security money; however, when asked about the ineffectiveness of the state plan, they pointed to funding as a major deficiency. Other problems rural directors/coordinators reported include the frequency of changes to state funding priorities, the lack of funding provided to volunteer and other agencies that do not qualify for federal funding, and the restrictions placed on how the funds are spent. In addition, rural respondents said the state strategic plan lacks direct guidelines for reaching compliance and suggested that the plan should be more comprehensive. These are important because they suggest that rural regions have a significant struggle with funding and in attempting to meet compliance standards. It is unclear whether the frustration expressed by these respondents will affect their working relationships with local chiefs of police because the majority of their frustration seems to be directed at state officials.

Alternatively, urban regional directors/coordinators indicated that the plan is effective because it utilizes a regional approach to homeland security and emergency preparedness. When asked about the ineffectiveness of the state strategic plan, urban respondents did not discuss funding; rather, they indicated a belief that the Councils of Governments do not have enough input in the development of homeland security policies and initiatives. In addition, these respondents thought the plan uses too much verbiage, does not provide consistent guidance, and that many of the deadlines for compliance are unreasonable. Based on the responses given, these findings suggest that urban regions have moved beyond funding issues and are more focused on what they perceive to be reasonable. As found with the rural regions, urban

jurisdictions seem to be frustrated with inconsistent guidelines provided by state officials. This frustration could have an affect on working relationships; however, it is more likely to affect the working relationship between state and regional jurisdictions, rather than regional and local jurisdictions.

On the surface, nowhere are the differences more apparent than in the funding of homeland security. While both rural and urban directors/coordinators agreed that funding of homeland security policies are wholly inadequate, they have very different perceptions as to why. Whereas, rural jurisdictions tended to report having more problems with how the money is appropriated because so much of it is given to urban areas, urban jurisdictions were more apt to take issue with how much money is allocated, saying that there is not enough to get everything accomplished. This finding is important because it could potentially signify problems *between* regional jurisdictions. It could be argued that if multiple regions were to have to work together, their frustrations over funding could potentially have a negative affect on their working relationships.

The most significant difference comes in the amount of funding received by urban and rural Councils of Governments. When the *State Homeland Security Program* (SHSP), the *Law Enforcement Terrorism Prevention Program* (LETPP), and the *Citizen Corps Program* (CCP) grants are combined, urban regions have received a total of approximately \$61.2 million dollars from 2003-2007, compared to the \$39.1 million the rural regions have received during the same time period. However, based on a year-by-year comparison, rural regions have had significant increases in the money they receive from these grants. In addition, during the 2007 funding cycle the amounts appropriated to these regions actually surpassed what the urban regions received. As has been noted throughout this chapter, how implementers perceive their needs are being met can have a substantial affect on working relationships. Although rural regions received larger increases and eventually exceeded the amounts received by urban jurisdictions, they still appear to have significant needs and express frustration with getting

these needs met. The perception that their needs are *not* being met could have an impact on the effectiveness of their working relationships not only with local jurisdictions, but also with higher levels of government and the larger, more urban regions.

Table 4-15: Overall Differences between Regional Coordinators
Urban Rural

<u>Conditioning Factors</u> ♦ Twice as many staff members	<u>Conditioning Factors</u> ♦ More overall professional experience in homeland security and emergency preparedness
<u>Role</u> ♦ Spoke more broadly about planning initiatives having a “regional perspective”	<u>Role</u> ♦ Spoke more specifically about planning, equipment, training, and funding
<u>Relationships</u> ♦ Acknowledged what local law enforcement has done for the region	<u>Relationships</u> ♦ Acknowledged what the regions have done for local jurisdictions
<u>Advice</u> ♦ Develop a common understanding of the issues	<u>Advice</u> ♦ Provide open and honest communications
<u>State Strategic Plan</u> ♦ Effective because it utilizes a regional approach ♦ Ineffective because regions do not have enough input in the development of these policies, it uses too much verbiage, does not provide consistent guidelines, and many deadlines for compliance are unreasonable	<u>State Strategic Plan</u> ♦ Effective because it helps direct funding ♦ Ineffective due to the frequent changes in state funding priorities, lack of funding provided to agencies that do not qualify for federal funding, lack of direct guidance for reaching compliance, and it is not comprehensive enough
<u>Strategies</u> ♦ Leveraging resources to increase regional capabilities	<u>Strategies</u> ♦ Leverage resources to meet unfunded federal mandates
<u>Funding</u> ♦ Received \$61.2 million (2003-2007) ♦ Select cities have received funds from the UASI grant [i.e. Austin and Dallas/Fort Worth/Arlington] Total received from 2003-2007 is \$80,911,520	<u>Funding</u> ♦ Received \$39.1 million (2003-2007) ♦ During the first two years, received approximately half of what urban areas received ♦ Over the five year period, had smaller decreases and larger increases than urban areas ♦ By 2007, had surpassed urban areas in funding received from the SHSP, LETPP, and CCP grants

4.5 Conclusion

While the analyzed sample size ($n=10$) is small and the results cannot be generalized to Texas or the nation as a whole, it has provided an interesting first glance at the nature of regional structures and the differences within this sample population. Regional directors/coordinators in this study indicate that using a regional approach to address homeland security capabilities is beneficial. Regional jurisdictions serve as an interface between state governments and local jurisdictions by providing assistance to localities in an effort to meet the mandates of the state, thus utilizing their resources more efficiently. States who have not adopted this method for implementing these policies should at least consider the benefits of streamlining their resources; however, they should also seek to find solutions to the areas of concern addressed within this chapter.

A significant factor in working relationships is the level of communication between two separate, but interdependent agencies. Communication, as seen through the eyes of the directors/coordinators interviewed, is important to the regional structure. This research has identified several limitations to communications between regional Councils of Governments and local chiefs of police in Texas, such as having better communication with the local law enforcement that serve on regional committees and primarily discussing the needs of local jurisdictions rather than sharing information or preemptive planning initiatives. States with regional structures should seek to develop clear and concise communication with local law enforcement officials that do not serve on regional committees. This would help to create a better network of individuals working together to enhance the capabilities within the region to address homeland security threats and emergency response. Based upon the perceptions of these regional directors/coordinators, future research studies should examine whether serving on these regional committees helps facilitate better working relationships between these two levels of governments. In addition, regional agencies and local jurisdictions should strive to communicate about more than just needs. Communications between these entities should also

include information sharing, innovative planning, and collaboration as these help not only to build capabilities, but also assist in the establishment of effective working relationships.

Additionally, the interviews revealed that there may be a disconnect in the communications between the twenty-four regional Councils of Governments and their oversight agency, the Texas Association of Regional Councils (TARC). The regional directors/coordinators interviewed could not identify the *Governor's Homeland Security Project* employed by TARC; rather they were only able to identify the *Texas Homeland Security Strategic Plan* utilized by the Governor's Division of Emergency Management (also an oversight agency). Although the scope of this study does not examine the working relationships between the regional jurisdictions and higher levels of state government, one could argue that the communication between these levels of government could affect how the state information is provided to local jurisdictions. Local jurisdictions receive information from the state through their regional Councils of Governments. If the information they receive has been filtered by regional officials to exclude certain information, such as the Governor's *Homeland Security Project*, then it could be argued that implementation of homeland security policies may not be implemented as the state had intended and that the working relationships between these three levels of government may not be as effective as they could be. Future studies should seek to understand how communication flows and is filtered between state, regional, and local jurisdictions as this may provide further insight into the working relationships of those who implement homeland security policies. Communication flow could also be one more conditioning factor associated with the effectiveness of these relationships.

In addition to communication, cooperation between regional jurisdictions and local law enforcement is vital and regional coordinators seem to share in this understanding. Other regions, both within Texas and nationally, should strive to create inclusive procedures that provide incentives for cooperation. Eliminating jurisdictional turf wars and status quo behaviors should be the goal of each region because these types of behaviors only serve to limit the

capabilities of the region as a whole. To establish effective working relationships, regional jurisdictions will need to understand the issues faced by their member jurisdictions and work to eliminate the obstacles that hinder their cooperation.

Goal agreement between agencies and different levels of government is necessary to implement public policies. The regional officials interviewed expressed general agreement with the goals set out by the State of Texas. It may, however, behoove state officials to allow regions to have more input into the policies they must implement. This could provide more goal agreement and increase the effectiveness of the working relationships between the state, regions, and local jurisdictions.

Another interesting finding discovered through these interviews is the fact that rural regional directors/coordinators have more professional experience, but are less likely than their urban counterparts to *complete* a post-secondary education. While not generalizable, it does suggest that urban directors/coordinators have more hours of post-secondary education, which could increase their ability to cooperate. On the other hand, the greater amount of professional experience that regional directors/coordinators have provides them with the opportunity to establish a network of working relationships, thus making them more likely to cooperate with their peers. One possible explanation here is that education may have more impact on working relationships because it can also bring about more innovation, which could be helpful in developing working relationships within regions. It could also, however, hinder the working relationships of those who prefer the status quo. Future studies could examine the impact of these factors to determine which has a greater impact on working relationships.

From these interviews, an argument can be made for reconsidering how funding of homeland security initiatives should be changed—beginning with how the national government appropriates grant monies to states. These appropriations should take into account not only the needs of large urban areas, but also the specialized needs of smaller jurisdictions. In addition, for each state to have the necessary capabilities to respond to crisis situations, each region

within a state must have comparable equipment, training, and resources. Essentially, funding changes should start at the federal level; however, states must also be willing to appropriate the necessary resources throughout their territories. Not only does the implementation process depend on this, but it is also likely to increase the effectiveness of the working relationships of all those who are involved in the process. Smaller regions, who perceive that they are being neglected because larger regions are receiving more resources, appear frustrated. This frustration could translate into working relationships that are completely ineffective, thus creating serious problems when more than one region must respond to an incident. To correct this issue, state governments should be willing and open to addressing the concerns and issues faced by smaller jurisdictions.

This chapter has examined how regional directors/coordinators perceive their roles, relationships, and interactions with local chiefs of police. In addition, it has provided an avenue to compare the differences of perceptions *within* this group by classifying regions into urban and rural jurisdictions. The next chapter will compare the survey responses of local chiefs of police with the interview responses from the regional directors/coordinators. This comparison will provide the opportunity to analyze the overall differences of perception *between* these two groups and allow this study to examine the effectiveness of the working relationships between the mid and lower-levels of government. Given the possibility that the overall measure of involvement is unreliable, the frequencies of responses will be used in chapter five to help shed light on the effectiveness of the working relationships between local and regional jurisdictions.

CHAPTER 5

SUMMARY AND CONCLUSIONS

As discussed throughout this study, effective working relationships are essential to policy implementation. Homeland security policies in Texas are implemented by both regional and local jurisdictions and an examination into the effectiveness of the working relationships between these two levels of state government helps facilitate an understanding about the context in which these policies are implemented. In addition, this sort of examination provides insight into whether or not there are issues or problems that need be addressed in order to provide better overall preparation and response to homeland security and emergency preparedness threats in Texas.

The previous two chapters have individually examined the survey responses elicited from 276 police chiefs across the state and the ten personal interviews with regional directors/coordinators in Texas. While both of these sample populations contain a small number of respondents, and thus are not generalizable, their participation has provided initial insight into the working relationships between the lower levels of state government. Chapters three and four supplied an analysis of the responses which compared the respondents' perceptions *within* each of these groups; the purpose here will be to examine the overall perceptions *between* these two groups with regard to their levels of trust and involvement.

This chapter will begin by describing the agency, environmental, and individual characteristics of both groups of respondents. Then, the respondents' answers to questions related to goal agreement, respect for each other's actions, flexibility of oversight, and support provided to individuals within the program will be analyzed to examine the amount of trust

between these two levels of government. Next, overall responses to questions regarding communication, regional oversight, funding, and in the sharing of resources will be examined to determine the level of involvement between them. Finally, this chapter will conclude with a discussion of what type of relationship these two levels of government appear to have and what this might mean for homeland security policy implementation in the State of Texas.

5.1 Conditioning Factors

5.1.1 Agency, Individual, and Environmental Characteristics

As previously discussed, in addition to measures of mutual trust and involvement identified by Scheberle (2004), this study argued that there are three conditioning factors associated with effective working relationships—agency, environmental, and individual characteristics of the implementing agency. While the findings in this study did not reveal any statistically significant relationships between these conditioning factors and the overall measures of trust and involvement, the responses have provided a glimpse into the context under which homeland security policies are implemented in Texas.

The overall results show that a majority of both regional and local jurisdictions have relatively small agencies. Approximately seventy-two percent of local respondents indicated that their agency employed less than fifty staff members. Another sixteen percent said that their agency employed between fifty and one hundred staff members, and twelve percent reportedly employ between one hundred and five hundred employees. Regional respondents, because they have a much more concentrated number of workers, reported personnel numbers between one and fifteen per regional jurisdiction—with an overall average of 4.5 employees per regional location specifically handling homeland security matters. While interviews with regional directors/coordinators found several differences between urban and rural respondents, the quantitative data failed to yield any significant variations between these two types of jurisdictions. The lack of significant findings may be due in part to the identified problems with

the overall measure of involvement. Other measures of involvement may provide more reliable results and insights. Future studies, therefore, should seek to develop better measures of involvement to examine whether or not there are any significant differences between urban and rural jurisdictions.

Individual characteristics can also impact the effectiveness of intergovernmental working relationships. This research has argued that experience and job tenure are important factors in the coordination and collaboration between regional and local jurisdictions. Overall, a majority (38.9%) of local respondents has been employed in their current positions for fewer than five years; however, a total of 67.9 percent of local chiefs of police report having previous experience in homeland security and emergency management prior to accepting their current job. Regional officials also have an average of approximately five to six years of tenure in their current positions and most have previous experience as well. This is important because, as argued in chapter two, individuals who have more experience and who have been in their current position for a longer period of time are more likely to have already established a network of relationships with those in the field of homeland security and emergency preparedness. This established network can improve the effectiveness of the working relationships between these agencies and with other jurisdictions.

In addition to experience, this study has argued that education can improve working relationships because those with post-secondary education have more experience in working in teams or in collaborating with others. Nine out of the ten regional directors/coordinators interviewed had at least some post-secondary education, with six of the ten having completed at least a bachelor's degree. Local respondents also had high levels of education, with approximately 96.6 percent having had at least some post-secondary education. This is important because such high levels of post-secondary education for both groups helps improve the chances of them having more effective working relationships with the various local and regional jurisdictions involved in homeland security implementation.

Individual ideology of the respondents can also have an impact on working relationships, especially if the entities working together have very different beliefs. Since Texas is a highly conservative state, it is not surprising to find that the majority of local and regional respondents have slightly conservative to conservative viewpoints. Only five percent of local respondents and thirty percent of regional respondents reported having slightly liberal to liberal viewpoints. While thirty percent may sound significantly different from the viewpoints of local respondents, the fact remains that only ten regional directors/coordinators were interviewed. Only by increasing the response rates of regional directors/coordinators and using a better developed measure of ideology can it be determined if there are, in fact, more liberal viewpoints within this level of Texas state government. Only then can the impact of ideology on the working relationships of these actors be thoroughly examined.

The conditioning factors described above have provided an initial insight into the structural context of the agencies who implement homeland security policies in Texas. Next, measures of trust and involvement between regional and local jurisdictions will be examined.

5.2 Measures of Trust between Regional and Local Officials

Scheberle (2004) argues that successful implementation depends on the amount of trust among the implementing agencies. The following is an analysis of the various measures of trust employed within this study. These measures include the level of goal agreement, amount of respect afforded to each other, flexibility in regional oversight, and the amount of support provided to the implementing agencies.

5.2.1 Goal Agreement

As stated previously, policy change and implementation are only possible if there is significant goal agreement between the policymakers and the implementers (Pulzl and Treib, 2006). To implement an effective policy, local chiefs of police and regional homeland security

directors need to agree on how they will approach homeland security and emergency preparedness and on the strategies used to prevent, mitigate, respond to, and recover from emergency situations. The findings within this study show that overall, local chiefs of police agree with the goals of their regional jurisdictions. A majority of these respondents report having “general” (65.5%) or “some” (28.4%) agreement with regional officials. Regional officials also indicate a willingness to create opportunities that help increase goal agreement with local chiefs of police. These opportunities include using multiple jurisdictions on regional committees and in coordinated activities to create relationships and a network of experts on homeland security matters. These opportunities also allow local jurisdictions to voice their opinions and have input in the overall strategies and goals of their region, thus increasing the chance for goal agreement between these two levels of government.

5.2.2 Respect for Each Other's Actions

Respect is also a vital component in the development of trust. Both regional Councils of Governments and local chiefs of police must respect each other in order for there to be sufficient trust to enable an effective working relationship. The results of this study indicate that the majority of local chiefs of police have positive relationships with their regional officials (67.7%) and that they believe that regional administrators have a high degree of expertise (54.8%) on matters pertaining to homeland security and emergency preparedness. In addition, many regional directors/coordinators (75%) report having respect for local chiefs of police and recognize that these individuals are the experts in the field of homeland security. Based on these responses, it appears that a majority of local chiefs of police and regional directors/coordinators have a high degree of respect for one another and each other's job responsibilities; thus, increasing the effectiveness of their working relationships.

5.2.3 Flexibility

The amount of flexibility regional Councils of Governments provide chiefs of police is also considered important in the development of trust. If local governments perceive their regional jurisdictions to be rigid and authoritarian, they are less likely to trust that these entities will work in the best interest of the locality. This does not appear to be the case with local jurisdictions in Texas, as most do not appear to perceive the amount of regional oversight as being too restrictive. A total of 86.4 percent of local chiefs of police indicated that they do not submit written reports to their regional officials. Of the 13.6 percent that do submit written reports, sixty percent indicate that they do so voluntarily. Additionally, while communication is considered to be a measure of involvement, how often they communicate could be considered a form of regional oversight flexibility. In the interviews, regional directors/coordinators were less specific about how often they communicate with local chiefs of police; however, approximately sixty-three percent of local respondents indicated that they communicate with their regional officials every three to twelve months or as needed. Additional measurements determined a negative relationship between the frequency of communications and overall measures of trust, meaning that the more often local chiefs of police communicated with regional officials, the less overall trust they had with these administrators. Given the fact that most local jurisdictions do not submit written reports and infrequently communicate with their regions, it could be argued that regional oversight flexibility is sufficiently accommodating for local chiefs of police and that this type of oversight is not perceived as rigid or micromanaging. This flexibility could help to increase trust and build more effective working relationships. There could be, however, additional measures not used here that might provide better insight into the flexibility of regional oversight.

5.2.4 Supporting of Individuals within the Program

In addition to flexibility, regional Councils of Governments must provide support and guidance to the localities within their regions in order to affect change. Support and guidance can be found in the various ways in which Regional Councils assist local jurisdictions and in how they approach their interactions with them. Without support and guidance from higher levels of government, local jurisdictions will likely continue to operate in a status quo manner. This may lead to neglect in making the necessary changes within their localities that would sustain the successful implementation of state homeland security policies. The findings in this study show a significant amount of support between regional and local jurisdictions. Regional officials expressed a great deal of understanding for the local jurisdictions within their boundaries. Many regional directors/coordinators reported that because homeland security efforts often extend beyond one jurisdiction, a common understanding of jurisdictional issues must be developed and that to build the working relationships between the region and local chiefs of police requires that all interactions are open and honest. The approach that these regional directors/coordinators have taken in providing support to their local jurisdictions appears to be successful, at least for the most part. Most local jurisdictions perceive that their regional officials provide them with the necessary support for implementing homeland security programs and initiatives. The majority also agree that their respective regions are concerned about terrorist attacks (55.2%) and that their regional administrators understand the needs of their jurisdictions (48%). Given these findings, it appears as though local jurisdictions perceive that they have a sufficient amount of regional support in implementing homeland security policies; thus, increasing the effectiveness of their working relationships.

5.3 Measures of Involvement between Regional and Local Officials

Scheberle (2004) also maintains that successful implementation depends on the level of involvement from the oversight organization—in this case, the regional jurisdictions. The

following is an analysis of the various measures of involvement employed within this study. These measures include communication between these two levels of government, regional oversight activities, funding perceptions, and the sharing of resources.

5.3.1 Communications

Communication is important in the establishment of effective intergovernmental working relationships, as it helps increase the amount of trust among policy implementers (Cline, 2000). As argued in chapter two, regional agencies in Texas serve as the core communicators between state policymakers and local jurisdictions who implement homeland security policies. Thus, an examination of the communication between Regional Councils of Governments and local chiefs of police is important because limited communication can have a negative effect on working relationships. Overall, local chiefs of police and regional officials indicate that they have good communication between them. Regional directors/coordinators reported participatory involvement with chiefs of police and relationships that are personal and mentoring. Most local respondents seem to agree, as many (56%) report that the communications they receive from their regional jurisdictions are clear and concise. It is interesting to note, however, that while just over half of local respondents indicated clear and concise communications with their regional jurisdiction, the remaining respondents indicated that they had no opinion on the issue or do not perceive regional communications to be clear and concise. This could potentially indicate a problem in the effectiveness of the working relationships between regional and local jurisdictions.

When viewing the various ways in which the two levels of government communicate, it was found that the majority of contact is achieved via email; however, they also interact by phone, in-person, or at meetings. Primarily, these actors discuss needs and funding, as well as information sharing. Given these findings, communications between local and regional jurisdictions appear to be functioning well; however, both groups of respondents were asked

questions about the effectiveness of the Governor's *Homeland Security Project* and the responses received suggest that there may be issues with information filtering.

As shown in chapter four, regional directors/coordinators were unable to identify what the Governor's *Homeland Security Project* entailed, even though the umbrella organization that coordinates the twenty-four regional Councils of Governments, known as the Texas Association of Regional Councils (TARC, 2008), clearly identifies the *Project* as the "Governor's statewide regional approach" designed to "provide information and assistance to councils of governments in planning and implementing homeland security programs; to integrate regional planning and priorities with state agency activities; and to assist the Governor's Office of Homeland Security and other state agencies that administer emergency preparedness programs in their work with Councils of Governments and the Councils' local government members." Regional Councils of Governments receive their information from both the Governor's Division of Emergency Management (GDEM) and the Texas Association of Regional Councils (TARC). None of the regional directors/coordinators interviewed mentioned TARC; however, all were very familiar with GDEM and could clearly identify the *Texas Homeland Security Strategic Plan*. Also, when local jurisdictions were asked about the effectiveness of the Governor's *Homeland Security Project*, the majority (43.5%) of these respondents had no opinion. This could signify that local jurisdictions are unaware of what the *Project* entails as well. Given this, one could argue that there may be problems in the communication between mid and higher levels of government. It could also be argued that the information local jurisdictions are receiving from their regional jurisdictions has been filtered to exclude pertinent state strategic information. Thus, while regional and local respondents indicate that the communications between them is effective, the communication between regional and state government agencies may be less effective. If, as suggested here, information filtering is occurring between the higher levels of government, it can also affect policy implementation because regional and local jurisdictions may not be implementing the policies as they had originally been intended. Future research studies could

examine the communication patterns between the higher-levels of state government to identify whether or not information filtering is occurring, as well as to ascertain if communication between these levels of state government impacts implementation of homeland security policies at the local level.

5.3.2 Regional Oversight

Perceptions on the extent of regional oversight can create tension or apathy between regional Councils of Governments and local jurisdictions. As previously stated, if lower levels of government perceive the oversight to be micromanaging or unnecessary, it could create tension and potentially decrease the effectiveness of the relationship where implementation is concerned. In contrast, if the oversight involvement is too lax the implementing agency may view this as a sign that the policy is not necessarily important or they may presume that they have discretionary latitude in how to implement it. As a result, the policy may not be implemented as it was originally intended.

Regional oversight was measured by asking local respondents if the submitted written reports and whether or not they believed their reporting requirements were appropriate. As previously stated, eighty-six percent of local respondents do not submit written reports and sixty-three percent say they communicate with regional officials infrequently. These findings alone could suggest that regional oversight is lax; however, measures of involvement also indicate a fairly lenient oversight structure as well. Both regional and local jurisdictions report good relationships between them, but regional officials tend to have better relationships, communication, and interaction with local officials who serve on regional committees. Additionally, many of the smaller regions reported that much of the work is done by county officials because cities are too small, and larger, urban cities tend to have emergency managers who interact with regional officials. These results could suggest that in many localities throughout the state, local chiefs of police may not have direct interaction with regional officials.

When local respondents were asked whether or not they believe that regional reporting requirements were appropriate, approximately thirty-six percent said they were but the majority (51.5%) had no opinion. This could be because most local jurisdictions do not submit reports and do not have direct interaction with regional officials; however, this should not affect whether or not they believe the reporting requirements were appropriate for their jurisdiction. It could be that local respondents were either not comfortable answering this question or were concerned that the answers they provided might influence regional officials to increase reporting requirements; therefore, increasing their oversight activities. Either way, the findings here suggest that regional oversight of homeland security policies and programs are very lenient. Future studies could potentially identify additional oversight activities that would provide a better understanding of whether or not regional and local jurisdictions are implementing homeland security policies as state policymakers had originally intended.

5.3.3 Funding

Funding issues can also create tension between different levels of government and thus, decrease the effectiveness of their working relationships. As previously argued, given their responsibilities and discretion in the funding process, regional Councils of Governments are uniquely situated to help develop homeland security initiatives and to provide funding for them at the local level. Based on this argument, it could be expected that the perceptions local jurisdictions have regarding whether or not their needs are being met is a critical component to establishing an effective working relationship with their regional jurisdiction. If they perceive that their needs are not being met, they may be less likely to communicate or coordinate in the implementation of homeland security policies as their incentive to cooperate is reduced, and thus their relationship with the other agencies who implement these policies may be less effective.

Overall, the majority of both regional and local respondents believe that funding for homeland security in Texas is inadequate. When local respondents were asked about the adequacy of funding for the Governor's *Homeland Security Project*, the majority (48%) had no opinion—again suggesting that local chiefs of police are unaware of what the *Project* is and what it entails. However, when they were asked whether local jurisdictions were adequately funded, an overwhelming majority (74%) said that they were not. Regional respondents were given the opportunity to elaborate on why they felt funding was inadequate, and many reported that there is not enough money to get everything accomplished because of federal and state funding priorities and requirements. In addition, regional officials say that because every funding cycle produces different allocation amounts, it is difficult to plan and local jurisdictions cannot count on specific amounts of money to reach their target goals. Moreover, smaller localities do not have a sufficient tax base to compensate for the gaps in federal and state funding and, therefore, are less likely to meet compliance requirements.

As stated in chapter four, it is important to understand how respondents perceive their needs are being met. It would appear from these findings that regional and local jurisdictions have similar perceptions regarding funding of homeland security in Texas. This could potentially strengthen their working relationships because they may feel that they are facing similar circumstances. Future studies might examine whether funding perceptions have caused a strain in the relationships between the state and mid-level government and whether or not these perceptions decrease the overall effectiveness of the working relationships between these higher levels of government.

5.3.4 Sharing of Resources

Measures of involvement also encompass the sharing of resources other than funding. Regional and local jurisdictions need to share resources, especially in coordinated training activities, in order to be as prepared as possible in case of emergency. These types of activities

also help build and develop working relationships between these jurisdictions, as well as with other local jurisdictions. A little more than half (56%) of local respondents reported that they participate in coordinated activities, such as interoperable communications, training exercises, information sharing, and planning initiatives, with their regional officials. Of these, approximately seventy-two percent agree that these activities are effective in increasing their overall response capabilities. Although a majority of local chiefs of police indicate their participation, only one regional director/coordinator spoke directly of training initiatives. This could be because chiefs of police may not be the primary attendees at these activities, and therefore, regional directors/coordinators did not view this as an avenue for discussion in describing their interactions. Future research studies could examine the extent to which local and regional officials share these and other resources to better understand the extent to which local jurisdictions take advantage of these opportunities and whether or not they perceive them as helpful.

5.4 Conclusions

In examining the measures of trust between regional officials and local jurisdictions, it is clear that a majority of the respondents agree on the goals of their individual territories, respect one another, provide flexibility, and give the necessary support and guidance needed. Based on this, it could be argued that the overall majority of the mid and lower-levels of state government officials in Texas share a high degree of trust between them. Measures of involvement indicate that while communication is reportedly good, information filtering may be occurring between the higher levels of state government, thus possibly impacting how homeland security policies are implemented at the local level. Additionally, based on these measures, regional oversight appears to be very lenient which could also suggest that homeland security policies might potentially be implemented in a manner inconsistent with how state policymakers had originally intended. A possible strength in the relationships between these levels of state government is that they both have similar perceptions regarding the

inadequacy of funding for homeland security which, as previously argued, could help strengthen their working relationships because they may feel they are facing similar circumstances. Finally, just over half of the local jurisdictions in this study take advantage of the opportunities and resources provided to them in coordinated regional activities. This suggests that participation is voluntary and that regional officials do not require coordinated training activities—again implying leniency in regional involvement. Based on these overall comparisons, it could be argued that there is a relatively low level of involvement between the majority of regional and local jurisdictions.

Returning to Scheberle's (2004) *Typology of Working Relationships*, intergovernmental working relationships which contain high levels of trust but low levels of involvement, are considered to be "cooperative, but anonymous" or, as defined here, somewhat effective. Because of the small sample size and reliability issues related to the overall measures of involvement, it is not possible to generalize this finding to the State of Texas or to other states who utilize regional structures. The important lesson to take from this study is that there is a need for continued examination of the relationships between mid and lower-levels of state government to better understand how they work and to determine what factors help explain their overall effectiveness.

The main focus of this research has been to examine the relationship between the two levels of government that implement homeland security policies within the State of Texas, and to identify what environmental, agency, and individuals characteristics are associated with effective working relationships between them. While statistical testing did not reveal significant relationships between any of these conditioning factors, the information received does allow some insight into the nature and context of the relationships between these intergovernmental agencies.

Future research which examines the factors that affect the working relationships between lower levels of state government could prove beneficial to homeland security policy

implementation studies. The overall findings here indicate that there are few, expected relationships between the separate measures of environmental, agency, and individual characteristics and the measures of trust and involvement. Other findings of particular interest are those relationships that suggest that larger jurisdictions tend to be less involved and sometimes less trustful of their regional officials. These are also the jurisdictions that tend to have more expertise, better educated leaders, and who have developed a strategic plan for prevention and response. Smaller jurisdictions with fewer of these resources, on the other hand, tend to exhibit more trust and involvement with their regional officials.

While this analysis does not offer any explanation for this pattern, some speculation is possible. First, the issue may be in the type of public policy being examined. Chiefs of police implementing homeland security policies are in a different position than the environmental officials in Scheberle's (2004) analysis. In the latter study, policy implementers were cross-pressured by resistant local industries and sometimes politicians, in addition to the federal bureaucrats who insisted on compliance standards at the regional level. In homeland security implementation, chiefs of police may not have to deal with resistant citizens or politicians given the nature of the policy area and they are not often dependent on other actors or industries to implement these policies. As a result, local pressures may not motivate them to disagree or distrust regional officials in the same way. What most local jurisdictions want from higher levels of government are adequate resources to do their jobs. Further, those jurisdictions without administrative resources or expertise of their own may see the regional officials as helpful and interact with them more frequently. Larger jurisdictions with their own resources may see little need for regional contact and support beyond funding. Thus, the results here may reflect a difference in substantive policy area or in the policy characteristics, meaning that local administrators do not face the same resistance factors when implementing homeland security policies as they do when they implement federal environmental policies at the local level.

With regard to funding of homeland security, it could be argued that those jurisdictions, who understand what needs to be accomplished, would prefer to have the necessary funds to carry out their responsibilities rather than have regional oversight management. The perception here that funding is the problem in homeland security implementation is consistent with other descriptive surveys of local governments. Further, local jurisdictions who have complained about the federal homeland security alert system costing them money, who believe that the federal government does not share relevant security information, and those who argue that the national computer system does not work, are essentially urban city police chiefs and mayors. These large city administrators claim that the federal government raises security levels for political purposes, that they have poor intelligence, and that they refuse to reveal important intelligence information to local jurisdictions that can help promote targeted prevention and response. This opinion was reiterated in the wake of Hurricane Katrina and was part of the overall criticisms in the response of the Federal Emergency Management Agency and of Director Mike Brown. The State of Texas has not experienced as many of these criticisms as other states, such as New York and California. Thus, it could be argued that state historical context with issues of homeland security and emergency preparedness may be more significant in terms of local perceptions. Future research could compare New York and Texas to examine whether or not this historical context is important in the implementation of homeland security policies. Additionally, future research could examine different substantive policy areas, one where local officials experience cross-pressuring and one where they that do not, as this could provide further insight into the impact policy characteristics have on implementation.

APPENDIX A

REGIONAL INTERVIEW SCHEDULE

INTERVIEW SCHEDULE:

1. What do you see as your role in the implementation of homeland security policies in Texas?
2. How would you describe your relationship with the chiefs of police in your region?
3. How would you describe your communications regarding homeland security and emergency preparedness with the chiefs of police in your region?
4. If you were asked to give advice to another Regional Coordinator regarding working with Chiefs of Police in Texas on homeland security matters, what advice would you give?
5. How would you describe the Governor's Homeland Security Project?
What is effective about it? What is ineffective about it?
6. What strategies does your agency use to implement homeland security policies?
7. With regard to homeland security funding, would you say that homeland security in Texas is adequately funded or inadequately funded? Why?
8. Have you received federal funding for any of the following grants:
 - a. State Homeland Security Program (SHSP)
 - b. Citizen Corp Program (CCP)
 - c. Law Enforcement Terrorism Prevention Program (LETPP)
 - d. Urban Area Security Initiative (UASI)
 - e. Metropolitan Medical Response System Program (MMRS)
9. If so, approximately how much have you received from each of these grants over the last five years?
10. How long have you worked in your current position?
What other emergency management positions have you had in the past?
11. How many employees does your agency employ to deal with homeland security and emergency preparedness?
12. Is your highest degree related to the field of homeland security and/or emergency preparedness?
13. Personally, would you consider yourself to be more conservative, moderate, or liberal in your viewpoints?

APPENDIX B

LOCAL CHIEFS OF POLICE SURVEY INSTRUMENT

This survey seeks your opinions on communications and interactions with your Regional Council of Governments (COG) regarding homeland security activities and programs. Completion of this survey is voluntary and your responses will be kept entirely confidential.

- 1) Homeland Security involves protection from terrorism on one hand and from natural and accidental disasters on the other. How would you rate your agency's Homeland Security priorities in these two areas?
 - a. Priority is on terrorism
 - b. Priority is on natural and accidental disasters
 - c. Equal priority is given to both terrorism and natural and accidental disasters

- 2) In the area of terrorist threats, which of these strategies does your agency emphasize most?
 - a. Prevention
 - b. Mitigation
 - c. Response
 - d. Recovery
 - e. Equal emphasis is placed on prevention, mitigation, response, and recovery

- 3) In the area of natural and accidental disasters, which of these strategies does your agency emphasize most?
 - a. Prevention
 - b. Mitigation
 - c. Response
 - d. Recovery
 - e. Equal emphasis is placed on prevention, mitigation, response, and recovery

- 4) To what degree does your agency's emphasis on terrorism and natural and accidental disasters concur with the emphasis given to these areas by Regional officials?
 - a. General agreement
 - b. Some agreement
 - c. Little agreement
 - d. No agreement

- 5) To what degree does your agency's emphasis on terrorism and natural and accidental disasters concur with the emphasis given to these areas by State officials?
 - a. General agreement
 - b. Some agreement
 - c. Little agreement
 - d. No agreement

- 6) How do you communicate with your Regional Council of Governments (COG) regarding homeland security and emergency preparedness for your jurisdiction? **Please mark all that apply.**
 - a. Phone
 - b. Internet
 - c. In-person
 - d. Reports
 - e. Meetings
 - f. Other (please specify)_____

- 7) How often do you communicate with your Regional Council of Governments (COG) regarding homeland security and emergency preparedness for your jurisdiction?
- Several times a month
 - Once a month
 - Quarterly
 - Every six months
 - Annually
 - Other (please specify) _____
- 8) When you communicate with the Regional Council of Governments (COG) regarding homeland security and emergency preparedness for your jurisdiction, what do you primarily discuss?
- Best practices in homeland security and emergency preparedness response and capability activities
 - Information sharing
 - Needs (i.e. funding, training, personnel, equipment, etc.)
 - Reporting
 - Other (please specify) _____
- 9) Does your agency submit written reports to your Regional Council of Governments (COG) regarding homeland security and emergency preparedness?
- Yes
 - No
- If no, please skip to question 13.**
- 10) Are these reports mandatory or voluntarily submitted?
- Mandatory
 - Voluntarily
- 11) How often do you submit these reports?
- Several times a month
 - Once a month
 - Quarterly
 - Every six months
 - Annually
 - Other (please specify) _____
- 12) What type of information is generally included in these reports?
Please mark all that apply.
- Activities related to homeland security and emergency preparedness capabilities in your jurisdiction
 - Best practices in homeland security and emergency preparedness response and capability activities
 - Homeland security and emergency preparedness strategic planning
 - Information sharing
 - Needs (i.e. funding, training, personnel, equipment, etc.)
 - Other (please specify) _____

- 13) Do you regularly participate in coordinated homeland security and emergency preparedness activities (i.e. training exercises, planning and implementing homeland security programs, interoperable communications, evacuation planning, information sharing, NIMS, etc.) with your Regional Council of Governments (COG)?
- Yes
 - No
- If no, then skip to question 16.**
- 14) Please specify which coordinated homeland security and emergency preparedness activities you regularly participate in with your Regional Council of Governments (COG). **Please mark all that apply.**
- Evacuation planning
 - Information sharing
 - Interoperable communications
 - Planning and implementing homeland security and emergency preparedness programs
 - Training exercises
 - Other (please specify) _____
 - Do not regularly participate in these activities
- 15) Overall, do you feel that these coordinated homeland security and emergency preparedness activities are effective in increasing your preparedness and response capabilities?
- Yes
 - No
 - Not sure

For Questions 16-28, please indicate your level of agreement with the following statements with
1=strongly disagree, 2=disagree, 3=neither agree nor disagree, 4=agree, 5=strongly agree

- 16) Homeland security is a top priority for the State of Texas.
- 17) To effectively protect citizens, Texas needs a stronger state program for homeland security and emergency preparedness.
- 18) I have a positive relationship with the Council of Governments (COG) in my region.
- 19) The staff at the Council of Governments (COG) in my region has a high degree of expertise on issues related to homeland security and emergency preparedness.
- 20) The Governor's statewide regional approach, known as The Homeland Security Project, is adequately funded.
- 21) The Regional Council of Governments (COG) and local officials view the Governor's Homeland Security Project similarly.
- 22) The Council of Governments (COG) in my region clearly communicates goals and requirements to local jurisdictions regarding homeland security and emergency preparedness.

- 23) The citizens of Texas are more protected from natural and accidental disasters since the implementation of the state's homeland security strategy.
- 24) The reporting requirements to the Council of Governments (COG) in my region are appropriate.
- 25) The Council of Governments (COG) in my region is concerned about terrorist attacks in the State of Texas.
- 26) The Council of Governments (COG) in my region understands the concerns of my jurisdiction with regard to homeland security and emergency preparedness.
- 27) The Governor's regional approach, The Homeland Security Project, is effective.
- 28) The citizens of Texas are more protected from terrorist attacks since the implementation of the state's homeland security strategy.
- 29) Local jurisdictions are adequately funded to ensure efficient homeland security response capabilities.
- 30) How long have you worked in your current position?
 - a) 0-5 years
 - b) 6-10 years
 - c) 11-15 years
 - d) 16-20 years
 - e) More than 20 years
- 31) Prior to your current position, did you have professional experience dealing with homeland security and emergency preparedness matters?
 - a. Yes
 - b. No
- 32) How many employees does your agency employ?
 - a. Less than 50
 - b. 51-100
 - c. 101-250
 - d. 251-499
 - e. Over 500
- 33) Does your agency employ someone who deals directly with homeland security and emergency preparedness issues?
 - a. Yes
 - b. No
- 34) Does your agency have its own strategic plan for homeland security?
 - a. Yes
 - b. No

- 35) What is the population size of the jurisdiction covered by your agency?
- Less than 10,000
 - 10,000 to 24,999
 - 25,000 to 49,999
 - 50,000 to 74,999
 - 75,000 to 99,999
 - Over 100,000
- 36) What is the square mileage of the area covered by your jurisdiction?
- 0-24 square miles
 - 25-49 square miles
 - 50-74 square miles
 - 75-99 square miles
 - Over 100 square miles
- 37) What is your gender?
- Male
 - Female
- 38) What is your highest level of education?
- Less than high school
 - Some high school, no diploma
 - High school graduate – diploma or equivalent (GED)
 - Some college, no degree
 - Bachelor's degree
 - Master's degree
 - Professional degree (e.g. MD, DDS, LLB, JD)
 - Doctorate degree
- 39) What is your race?
- White
 - Black or African American
 - Hispanic or Latino
 - Asian
 - American Indian or Alaska Native
 - Native Hawaiian or Other Pacific Islander
 - Other
- 40) Which of the following most closely identifies your own personal viewpoint?
- Liberal
 - Slightly liberal
 - Centrist, middle of the road
 - Slightly conservative
 - Conservative

APPENDIX C

NUMERICAL LISTING OF THE TEXAS REGIONAL COUNCILS OF GOVERNMENTS

LISTING OF TEXAS REGIONAL COUNCILS OF GOVERNMENTS

Region Name	Number	Abbreviation
Alamo Area Council of Governments	18	AACOG
Ark-Tex Council of Governments	5	ARK-TEX
Brazos Valley Council of Governments	13	BVCOG
Capital Area Council of Governments	12	CAPCOG
Central Texas Council of Governments	23	CTCOG
Coastal Bend Council of Governments	20	CBCOG
Concho Valley Council of Governments	10	CVCOG
Deep East Texas Council of Governments	14	DETCOG
East Texas Council of Governments	6	ETCOG
Golden Crescent Regional Planning Commission	17	GCRPC
Heart of Texas Council of Governments	11	HOTCOG
Houston-Galveston Area Council	16	H-GAC
Lower Rio Grande Valley Development Council	21	LRGVDC
Middle Rio Grande Development Council	24	MRGDC
Nortex Regional Planning Commission	3	NORTEX
North Central Texas Council of Governments	4	NCTCOG
Panhandle Regional Planning Commission	1	PRPC
Permian Basin Regional Planning Commission	9	PBRPC
Rio Grande Council of Governments	8	RGCOG
South East Texas Regional Planning Commission	15	SETRPC
South Plains Association of Governments	2	SPAG
South Texas Development Council	19	STDC
Texoma Council of Governments	22	TEXOMA
West Central Texas Council of Governments	7	WCTCOG

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BIOGRAPHICAL INFORMATION

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