



**Building Mutual Aid Partnerships
Through an Exercise:**
Recommended Guidance for Tribal Governments

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Building Mutual Aid Partnerships: *Recommended Guidance for Tribal Governments*

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Introduction

As we continue to witness the impact of natural and man-made disasters in this country and throughout the world, it is more important than ever that Federal, Tribal, State and local governments along with other public and private sectors work together to mitigate against, prepare for, respond to, and recover from emergencies and catastrophic disasters. The collaboration among these entities is critical in saving lives and protecting families, community livelihood, and preserving cultural and environmental resources. The following guide and template was developed to help Tribal Nations strengthen communication and coordination with key internal and external stakeholders, as well as address mutual aid partnerships and agreements that will enable more efficient and effective emergency management activities.



This guidance is based on the observations and outcomes from a project conducted on behalf of the Yurok Tribal Reservation in Klamath, California. As the most populous Tribal Nation in the State of California and one that has been affected by a significant number of major emergencies and natural disasters, the Yurok Tribe has begun to take the initiative to create a more proficient and capable emergency management organization. As part of this effort, the Yurok Tribe applied and received a Citizen Preparedness and Participation Grant from the California Volunteers, Office of the Governor. The purpose of this grant was to strengthen mutual aid coordination among volunteer/voluntary organizations and local governments in their ability to respond to an emergency on the Yurok Reservation.

Purpose

The purpose of this template is to provide Tribal Nations in the State of California a roadmap by outlining processes for addressing and where necessary strengthening mutual aid coordination among volunteer/voluntary organizations and local government responders in support of Tribal emergency operations through a tabletop exercise. The exercise helps identify the strengths and weaknesses of existing partner agencies in their ability to effectively coordinate the delivery of emergency services to the citizens of a Tribal Reservation which may include vulnerable populations, such as school-aged children, low-income households and elders. Consequently, one of the outcomes of the exercise will be to address and/or develop mutual aid agreements and memorandums of understanding (MOU) with these existing partner agencies.

How to Use This Guide

The entire process of planning, developing, designing and facilitating a Reservation-wide Operational Area meeting and tabletop exercise has been carefully documented and is provided as a template that can be tailored to meet the specific and unique needs of each Tribal Nation in the State of California. This guide and accompanying template is meant to be utilized as a tool along with the other emergency management resources available to Tribal Nations. It includes the following materials:

- The invitation letters, meeting agendas and other supporting materials to assist Tribal Nations in conducting a Reservation-wide Operational Area meeting between partnering agencies to help clarify roles and responsibilities;
- The invitation letters, situation manual, exercise scenario, and questions to help facilitate discussion to assist Tribal Nations in conducting a tabletop exercise with partnering agencies;
- A Homeland Security and Exercise Evaluation Program (HSEEP) compliant After Action Report template that will help identify gaps in response capabilities and emergency plans, policies and procedures as well as corrective actions for improvement; and
- Methods and processes to assist Tribal Nations in addressing and/or establishing mutual aid partnerships as well as the templates for the development of the appropriate mutual aid agreements and memorandums of understanding with existing partner agencies.

The guide acknowledges that the historical, geographic, economic and cultural diversity of Indian lands presents each Tribal Nation and the communities it services and/or resides in with a broad, unique and varied set of challenges and vulnerabilities with respect to the threats posed by all-hazard incidents occurring on Tribal Reservations. And although the history of the relationship between federally-recognized Tribal Nations as sovereign entities and the state and federal government has been at times tenuous, there is hope that the combined motivation and effort to mitigate against, prepare for, respond to, and recover from emergencies and catastrophic disasters will help break down barriers and increase cultural sensitivity.

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Over the course of several months, the following guide and template was developed so that all Tribal Nations in the State of California could benefit from the outcome of the project conducted in cooperation with the Yurok Tribe. It is important to note that the development of this guidance would not have been possible without the support and advice from the following people:

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Executive Summary

The purpose of this guide and template is to provide an understanding of the emergency management system as it relates to Federal, Tribal, State and local governments in an effort to establish the foundation for developing regional collaboration between multiple sectors and jurisdictions. This foundation will enable the initiation of discussion and development of mutual aid agreements and memorandums of understanding that will help to build cooperative emergency response capabilities. The guidance is based on the observations and outcomes from the Yurok Tribe Reservation-wide Operational Area meeting and subsequent tabletop exercise conducted in December of 2007, with the support of the Governor's Office of Homeland Security and California Volunteers.



The primary goal of this project was to determine what is needed to maximize coordination, mobilization, and integration of Federal, Tribal, State and local government mutual aid resources in support of tribal emergency operations in response to emergencies and catastrophic disasters. It was also an important step in helping to clarify inter- and intra-governmental communication and coordination as well as to review Unified Command and Multi-Agency Coordination concepts. In addition, the exercise was utilized as a mechanism to enhance the overall communication and coordination between the Yurok Tribe and the Operational Areas which is crucial in achieving a more effective and efficient emergency response and recovery.

Case Study Observations

Throughout the process of planning, developing, and facilitating the Reservation-wide Operational Area meeting and tabletop exercise, there were several important observations that are worth highlighting as other Tribal Nations work to apply this guidance and utilize the accompanying template. These observations, based on a single case study, help to provide guidance for Federal, Tribal, State and local entities for enhancing coordination, communication and collaboration in mitigating against, preparing for, responding to, and recovering from disasters.

Applicable Federal, Tribal and State Guidelines

Tribal Nations are sovereign entities that have a unique status under the United States Constitution because every Tribal Nation is affected by its own unique set of treaties, statutes, regulatory decisions, case law, and administrative orders. Successful intergovernmental relations between a Tribal Nation and other units of government depend upon an understanding of and respect for

the sovereign powers possessed by the Tribal Nation. In that light, the State of California and its Operational Areas should recognize that each Tribal Nation has its own traditional culture, which, along with the history of its Federal relations, determines the form of its political system and the manner in which it conducts affairs with other governments.

Although Federal and State emergency management systems are in place, there are still noticeable operational and policy gaps that remain in ensuring coordination and cooperation between Tribal Nations and Federal, State and local entities in mitigating against, preparing for, responding to, and recovering from a disaster. This is partly due to the lack of formalized processes, specific legal authorities and in many cases an observed lack of understanding on the part of mainstream government as to the special and unique needs of Tribal Nations and vice versa. As a result, the pre and post disaster funding, operational, and policy making processes that are currently in place have not been utilized to an extent that would result in a significant impact to the overall emergency preparedness levels of Tribal Nations.

- Tribal Nations should work collaboratively with the Federal government and the State of California in developing specific operational protocols and policy-making and/or legal processes that will work to strengthen emergency preparedness among the Tribal Nations. Key initiatives should include, but are not limited to: reviewing and where applicable, delineating and executing the distribution of devolved Federal homeland security and emergency management funding to Tribal Nations; and clarifying and strengthening the lines of communication between Federal, Tribal, State and local governments during all phases of emergency management.
- Tribal Nations should work with the Federal government and the State of California in developing clearer guidance, plans, policies and procedures for Tribal Nations and the Operational Areas to work together in preparation for, and response to an emergency or catastrophic disaster. This collaborative effort will assist the Federal government and the State of California in developing and adopting more clear and comprehensive as well as culturally sensitive authorities and statutes that will enable Tribal Nations and Operational Areas to communicate more efficiently and effectively in response to an emergency or catastrophic disaster.
- The processes that are currently in place providing for the ability of Tribal Nations to proclaim a Tribal emergency have not be utilized to the extent that the emergency declaration, and its subsequent effects, are well understood by Federal, Tribal, State and local entities. Currently, Tribal Nations can declare a Tribal emergency to the Operational Area in which they are located or directly to the Federal government through the Federal Emergency Management Agency (FEMA). These processes should be clarified and supported on the Federal, State and local level in compliance with the National Incident Management System (NIMS) and other related Federal, State and local regulations.

Emergency Plans, Policies and Procedures

As Tribal Nations work to develop and/or enhance their National Incident Management System (NIMS) compliant emergency management structures based upon established Federal guidelines, it is also important for Tribal Nations to learn and understand the Standardized Emergency Management System (SEMS) as recognized by the State of California. Adapting to these existing emergency management systems will help to strengthen the communication and coordination between Tribal Nations and all Federal, State and local partnering agencies during an emergency or catastrophic event.

- All Tribal Nations in the State of California should develop a clear and comprehensive strategy for emergency response and decision making in coordination with the functions of their Emergency Operations Center (EOC) according to the Incident Command System (ICS). Tribal Nations should regularly conduct training for their members that include the procedures for activation of emergency operations, what the activation means, the subsequent events that will take place, the functions of the operations center, and the responsibilities of the different players in the event of an emergency. It is also important for the State and the Operational Area(s) to fully engage with and assist the Tribal Nations as an equal partner in navigating through the emergency management process and provide assistance in ensuring compliance to NIMS and understanding SEMS.
- Tribal governments should engage with the California Governor's Office of Emergency Services, the Office of Homeland Security, and the Federal Emergency Management Agency to help identify ways to better support Tribal governments in the development of their emergency plans, policies and procedures in compliance with NIMS and SEMS. This can be accomplished through the identification and availability of funding opportunities; development and facilitation of joint training opportunities; workshops; and participation in exercises in collaboration with the California Tribal Nations Emergency Management Council and the Inter-Tribal Council of California Emergency Management Program.
- Emergency plans, policies and procedures developed by Tribal Nations should be shared and coordinated with the Operational Area(s). Constant coordination, communication and cooperation should be taking place between the Tribal Nations and the Operational Areas



before, during and after an emergency. This will help to build relationships, strengthen situational awareness, and allow for resource requests as well as additional information reporting to be clear, concise, and thorough in order to maintain trust and increase accountability.

- The recovery processes for Tribal Nations that should be adhered to and specifically coordinated with the Operational Area(s) subsequent to a Tribal, State and/or local emergency declaration are not clearly defined. In the event of a Tribal, State and/or local emergency (as observed on behalf of the Yurok Tribe), Tribal Nations are often left to determine the methods and administrative processes of reimbursement on their own, at times with minimal support or cooperation from the Operational Area. The recovery processes pertaining to Tribal Nations should be identified and supported by all Federal, Tribal, State and local entities. Administrative processes for post-disaster reimbursement and funding should also be established and/or enhanced.

Mutual Aid Partnerships and Agreements

Incidents frequently require responses that exceed the resource capabilities of the affected response agencies and jurisdictions. When this occurs, the necessary mutual aid may be requested from Federal, Tribal, State and local governments. Mutual aid is based on the premise of one jurisdiction voluntarily providing assistance through additional resources, facilities, and other support to another jurisdiction(s) whenever their own resources prove to be inadequate to cope with a given situation.

Mutual aid partnerships and agreements between Tribal Nations and other jurisdictions can effectively facilitate the sharing of information, resources, equipment, or personnel for the purpose of responding to and recovering from an emergency or disaster. However, mutual aid agreements between State and local governments and Tribal Nations present a number of issues in addition to those normally encountered in operational mutual aid agreements. These issues include, but are not limited to: tribal sovereignty; tribal sovereign immunity; the jurisdiction of Tribal governments and various Federal and State agencies; the authority of each party to enter into the agreement; and the ability of a Tribal Nation to provide reciprocating aid when needed.

- Tribal governments in the State of California should work to initiate and develop mutual aid agreements with first responder agencies, key stakeholders, and other partnering agencies that can be utilized during an emergency or catastrophic disaster. These mutual aid agreements should include delineation of authorities, jurisdiction, and inter-agency cooperation, and should address the issue of tribal sovereignty and tribal sovereign immunity. Tribal Nations may want to consider provisions that state no waiver of sovereign immunity has occurred by virtue of entering into a mutual aid agreement. Additional discussions may be necessary to clarify issues of liability, reimbursements, and/or reciprocating arrangements.

- Tribal Nations should specifically identify the essential services provided by the Tribe to its members and all citizens of the Reservation, and ensure that those services can be provided, especially to the elders and other vulnerable populations, in the event of a substantial loss of personnel and/or resources. Tribal Nations should consider building strategic partnerships and/or initiating pre-event contracts with private vendors to specifically address resource allocation and prioritization in order to meet the demands of a surge in capacity, restoration of services, and food and shelter for victims and volunteers.

These observations, based on the Yurok Tribe tabletop exercise, also help emphasize the importance for Tribal Nations in the State of California to consider undertaking a similar initiative to build relationships and strengthen emergency management capacity. The benefits of such a project far outweigh the potential challenges. The establishment of key relationships, enhanced coordination and communication, as well as improved operational and policy decision making in advance of an emergency or catastrophic event can be accomplished through continued collaboration. Most importantly, workshops and workgroups, as well as joint training and exercise opportunities help identify gaps in response capabilities, plans, policies, and procedures that can be resolved with corrective actions.

The following Project Checklist and Timeline with Supporting Materials provide a template for Tribal Nations in the State of California to initiate this crucial process and tailor the project to meet their specific goals and objectives.



Project Checklist and Timeline with Supporting Materials

As Developed for the Yurok Tribe

Project Checklist

Start of project:

- Establish Project Team / Exercise Design Team
- Develop Project Goals and Objectives
 - Presentation

Four weeks from start of project:

- Initiate and Facilitate External Stakeholders Meeting
 - Invitation
 - Meeting Agenda

Six weeks from start of project:

- Initiate and Facilitate Reservation-Wide Operational Area Meeting
 - Invitation
 - Meeting Agenda

Seven weeks from start of project:

- Develop Exercise Goals and Objectives

Eight weeks from start of project:

- Develop Exercise Participant and Observer Lists
 - Invitation

Nine weeks from start of project:

- Develop and Distribute Exercise Situation Manual**
 - Situation Manual

Ten weeks from start of project:

- Develop Exercise Scenario**
 - Exercise Scenario

Two weeks from date of the exercise:

- Distribute Exercise Situation Manual**

Day of the exercise:

- Distribute Exercise Scenario and Facilitate Discussion**

Sixty days from date of the exercise:

- Develop After Action Report**
 - After Action Report
- Create Corrective Action / Improvement Plan**

On-going activities:

- Initiate and Establish Mutual Aid Partnerships**
 - Mutual Aid Agreement / Memorandum of Understanding Template

Project Goals and Objectives Presentation

<Insert Name> Tribe

**Building Mutual Aid
Partnerships and Facilitation
of Coordination Exercise**

The Project

- **Facilitation and Coordination of Meeting of Operational Area Stakeholders**
- **Development and Delivery of <Insert Name> Tribe and Stakeholders Facilitated NIMS based Tabletop (Scenario-Based) Discussion/Exercise**
- **Development of After Action Report and Operation Templates**

Potential Scenarios – <Insert Name> Tribal Jurisdiction

- Fires, Flood, Hazardous Materials, Multi-casualty Incidents
- Multi-jurisdictional and Multi-agency Disasters/Emergencies
- Search and Rescue Operations
- Pest Eradication and Agricultural Emergencies
- Terrorism
- Air, Water, Power, Ground Transportation Emergencies



Tribal Considerations and Discussion Topics for Unplanned Incidents

- Incident Identification
- Incident Timeframes
- Complexity of the Situation
- Potential to Expand/Resource Management
- Communications and Incomplete or Unavailable Information
- Staff not necessarily available or experienced in managing expanding incidents
- Jurisdictional Authorities/Responsibilities

Unique Tribal Challenges

- **Remoteness and Access**
- **Resources and Logistics**
- **Reservation Location**
- **Communications and Utilities**
- **Multi-Level Government Coordination**



Exercise Objectives

- **Alert and Notification, Activation and Coordination Issues**
- **Roles and Responsibilities of <Insert Name>Tribe and Mutual Aid Partners**
- **Tribal, Local, State, Federal and Private Sector Interface**
- **Communication Issues and Interoperability between <Tribe> EOC, Field Units, the OA and other Mutual Aid Partners**
- **Clarification of Inter and Intra Governmental Jurisdictions and Review of Unified and Multi-Agency Coordination**
- **Development of Operational Guidelines, Agreements and Templates**

Participating Agencies and Organizations

•LOCAL

- <Insert Name> County – OES and Sheriff Dept.
- <Insert Name> County Ambulance
- <Tribe> VFD

• STATE

- Cal OES
- CAL FIRE
- Cal Trans
- CHP
- State Parks
- Dept of Corrections

•FEDERAL

- FEMA/DHS
- U.S. Forest Service and NPS
- U.S. Coast Guard
- BIA



Participating Agencies and Organizations

•TRIBAL

- <Insert Name> Tribal Government
- <Tribe> Ambulance
- CA Tribal Nations Emergency Mgmt Council
- Inter-Tribal Council of California

•SCHOOLS

- <Insert Name> Elementary School
- <Insert Name> High School
- <Insert Name> College or University

•PRIVATE

- Utilities
- <Insert Name of Private Sector Entities>

•RED CROSS

- <Insert Name> County Chapter



Project/Exercise Outcomes

Development of After Action Guidance Document to include, but not limited to:

- Recommendations and Clarifications for the <Insert Name> Tribe and Key Stakeholders
- Identification of Strengths, Weaknesses and Gaps
- Lessons Learned
- Framework for Operational Templates and Recommendations to other Tribal Governments, State, Local and Federal Government and associated Stakeholders



Thank you!!

QUESTIONS?

External Stakeholders Meeting Invitation

[Insert Date]

[Insert Name]

[Insert Title]

[Insert Organization Name]

[Insert Address]

[Insert City, State, Zip Code]

Dear **[Insert Name]**:

On behalf of the **[Insert Name]** Tribe, located in **[Insert Name]** County, it is my pleasure to invite you to participate in a stakeholders meeting to discuss the work that the Tribe has been undertaking to facilitate a mutual aid partnership discussion and tabletop exercise.

You have received this meeting invitation because you represent a state or local government agency or tribal advocacy group that provides liaison services to, or advocates for California tribal governments, in the emergency management sector. This meeting will provide an excellent opportunity for information sharing and clarification amongst all of the stakeholders regarding your existing or potential relationship with the **[Insert Name]** Tribe. This meeting will also offer an opportunity for **[Insert Name]**, Emergency Services Coordinator of the **[Insert Name]** Tribe to discuss and get feedback on the vision, goals and objectives of this timely project and its possible impact on tribal governments statewide.

The meeting will be held at **[Insert Location and Address]**.

I look forward to having you join together with other key partners to discuss the **[Insert Name]** Tribe project and to take a close look at the challenges they face as it relates to emergency management. Your participation is important to ensuring a successful project outcome.

Please RSVP no later than **[Insert Date]**, to **[Insert Name]**, **[Insert Title]** by email at **[Insert Email Address]** or by phone at **[Insert Phone Number]**.

Sincerely,

[Insert Name]

[Insert Title]

[Insert Organization]

External Stakeholders Meeting Agenda

**[Insert Name] Tribe
Key Stakeholders
Briefing Session**

**[Insert Location]
[Insert Street Address]
[Insert City, State, Zip Code]**

[Insert Logo]

**[Insert Date]
[Insert Time]**

External Stakeholders Meeting Agenda

Meeting Agenda

[Insert Date]

[Insert Time]

- I. Welcome and Introductions
- II. Project Overview
 - Purpose
 - Goals and Objectives
 - Expected Outcomes
 - **[Insert Name]** Tribal Mutual Aid Partnership Building
 - Enhanced Multi-Agency Coordination
 - Development of a Tabletop Exercise/Facilitated Discussion
- III. Roundtable Discussion
 - Potential Scenarios – **[Insert Name]** Tribal Jurisdiction
 - Tribal Considerations and Unique Challenges
 - Existing Systems and Concepts of Operations
 - Special Jurisdictional Considerations/Issues
 - Roles and Responsibilities of External Stakeholders
- IV. Review of Tabletop Exercise Goals and Objectives
- V. Next Steps
- VI. Adjourn

External Stakeholders Meeting Agenda

Invited Participants

[Insert Name]

Federal Emergency Management Agency **[Insert Region]**
Tribal Affairs Liaison

[Insert Name]

California Governor's Office of Emergency Services
Tribal Liaison

[Insert Name]

California Governor's Office of Emergency Services
[Insert Region] Regional Administrator

[Insert Name]

California Governor's Office of Homeland Security
Tribal Liaison

[Insert Name]

California Department of Justice
Native American Affairs Office

[Insert Name]

California Tribal Nations Emergency Management Council

[Insert Name]

Inter-Tribal Council of California
Emergency Management Program Coordinator

Reservation-Wide Operational Area Meeting Invitation

[Insert Date]

[Insert Name]

[Insert Title]

[Insert Organization Name]

[Insert Address]

[Insert City, State, Zip Code]

Dear **[Insert Name]**:

The **[Insert Name]** Tribe is pleased to formally invite you to participate in an emergency planning stakeholders meeting that will take place on **[Insert Date]** at the **[Insert Name]** Tribal Headquarters in **[Insert City and State]**. The meeting is scheduled to begin at **[Insert Time]** and conclude no later than **[Insert Time]** with a working lunch included.

The purpose of this meeting is to strengthen Operational Area relationships and facilitate mutual aid partnership discussions in preparation for an upcoming tabletop exercise that will be facilitated by **[Insert Name of Consultant if Applicable]** on behalf of the **[Insert Name]** Tribe and its emergency partners and key stakeholders.

As a representative of an agency or tribe that provides liaison services to or advocates for California tribal governments in emergency management and response, your participation in this meeting will be significant to achieving the overall objectives identified by the **[Insert Name]** Tribe as well as the **[Insert Name]**, who granted the funding for this project. This meeting will provide an excellent opportunity to strengthen collaboration and coordination through information sharing and the clarification of roles and responsibilities amongst the local stakeholders regarding emergency preparedness and response for the **[Insert Name]** Tribe.

We look forward to having you join us along with other key partners to discuss this project, and the challenges that are confronted by the **[Insert Name]** Tribe, as well as other tribal governments in the State of California, in responding to emergencies and catastrophic disasters.

Sincerely,

[Insert Name]

[Insert Title]

[Insert Name] Tribe

Reservation-Wide Operational Area Meeting Agenda

[Insert Name] Tribe – Operational Area Stakeholders Planning Meeting

**[Insert Name] Tribal Headquarters
[Insert City, State]**

**[Insert Time]
[Insert Date]**

Reservation-Wide Operational Area Meeting Agenda

Meeting Agenda

[Insert Date]

[Insert Time]

- I. Welcome and Introduction of Participants
- II. Background on **[Insert Name]** Grant
- III. Project Overview
 - Purpose
 - Goals and Objectives
 - Expected Outcomes
 - **[Insert Name]** Tribal Mutual Aid Partnership Building
 - Enhanced Multi-Agency Coordination
 - Development of a Tabletop Exercise/Facilitated Discussion
- IV. Roundtable Discussion
 - Potential Scenarios – **[Insert Name]** Tribal Jurisdiction
 - Tribal Considerations and Unique Challenges
 - Existing Systems and Concepts of Operations
 - Special Jurisdictional Considerations/Issues
 - Roles and Responsibilities of Participating Stakeholders and Responders
 - Clarification of Expectations and Assumptions
 - **[Insert Name]** County Operational Area
 - Mutual Aid Partners
 - **[Insert Name]** Tribe
 - Other Government and Private Sector Organizations
- V. Review of Tabletop Exercise Goals and Objectives
- VI. Next Steps and Wrap Up
- VII. Adjourn

Reservation-Wide Operational Area Meeting Agenda

Invited Participants

The **[Insert Name]** Tribe
[Insert Name] Tribe
[Insert Name] Rancheria
[Insert Name] Rancheria
[Insert Name] Tribe
[Insert Name] County Office of Emergency Services
California Governor’s Office of Emergency Services
[Insert Name] County Sheriff’s Office
U.S. Coast Guard
U.S. Forest Services
Caltrans
CALFIRE
[Insert Name] National and State Park
California Highway Patrol
[Insert Name] Chapter of the ARC
[Insert Name] Fire Department
[Insert Name] Fire Department
[Insert Name] Elementary School
[Insert Name] High School
[Insert Name] College or University
[Insert Name] Utility Company
[Insert Name] County Ambulance
[Insert Name] Ambulance

Tabletop Exercise Invitation Letter

[Insert Date]

[Insert Name]

[Insert Title]

[Insert Organization]

[Insert Street Address]

[Insert City, State and Zip Code]

Dear **[Insert Name]**:

The **[Insert Name]** Tribe is pleased to invite you to participate in a tabletop exercise discussion that will take place on **[Insert Date]** at the **[Insert Name]** Tribal Headquarters in **[Insert City, State]**. The exercise is scheduled to begin at **[Insert Time]** and conclude no later than **[Insert Time]** with a working lunch included.

The purpose of this exercise is to facilitate a discussion of a simulated emergency scenario with the **[Insert Name]** Tribe Emergency Management Staff, its emergency partners, and key stakeholders. The exercise will be an important step to help clarify inter- and intra-governmental communication and coordination as well as review Unified Command and Multi-Agency Coordination concepts for the development of operational guidelines, mutual aid agreements, and templates.

Your participation will be greatly appreciated and vital to accomplishing the objectives identified by the **[Insert Name]** Tribe in determining what is needed to maximize coordination, mobilization, and integration of local, State and Federal mutual aid resources in support of Tribal emergency operations in response to emergencies and catastrophic disasters.

To confirm your participation in the exercise, please contact **[Insert Name]**. He/She can be reached by phone at **[Insert Phone Number]** or by e-mail at **[Insert E-mail Address]**. If you have any questions or concerns, we would be please to assist in any manner possible.

Sincerely,

[Insert Name]

[Insert Title]

[Insert Name] Tribe

Tabletop Exercise Situation Manual

**[Insert Name] Tribe
Office of Emergency Services**

[Insert Logo]

[Insert Date]

**Prepared by:
[Insert Name and/or Company]**

Tabletop Exercise Situation Manual

Purpose of the Situation Manual

The purpose of the Situation Manual is to provide exercise participants and facilitators information about the format of the exercise, provide an overview of the event and outline key objectives to be met.

Exercise Dates / Time / Location / Type

Date/Time/Location*: **[Insert Date]**
[Insert Time]
[Insert Name] Tribal Headquarters
[Insert Address]
[Insert City, State]

* The exercise will officially commence at **[Insert Time]**.

Exercise Overview

This exercise has been designed to stimulate discussion of various issues regarding hypothetical situations. It is used to guide the participants toward clarification of operational strategies and decision making, which may guide future **[Insert Name]** Tribe prevention, response, recovery and planning efforts for an emergency situation or catastrophic disaster and associated incidents that impact the **[Insert Name]** Indian Reservation.

The following, outlines the basic format for this exercise/facilitated discussion:

- Introduction of the exercise goals and objectives to the participants.
- Presentation of the exercise scenarios and introduction of problems with scenario/problem updates as applicable.
- Facilitated discussion and feedback.
- Review of the exercise and proposed areas for future planning, preparedness, training and exercises.

Exercise Agenda

[Insert Time]	Welcome and Introductions
[Insert Time]	Exercise begins. Facilitated discussion and feedback.
[Insert Time]	Lunch provided.
[Insert Time]	Exercise continues.
[Insert Time]	Review of Summary and Findings. Exercise Hotwash.
[Insert Time]	Adjourn

Exercise Goals

- To clarify actions and enhance coordination and communication within the **[Insert Name]** Tribe with respect to the **[Insert Name]** Tribe Emergency Operations Plan, and in accordance and coordination with **[Insert Name]** Operational Area procedures, and associated informational issues required to make educated, informed response decisions in the event of an emergency or disaster that may impact and affect the **[Insert Name]** Indian Reservation.
- To identify issues of “high priority” relating to the management of an emergency or disaster and related events that may guide and/or direct further development of protocols/procedures, training and policy development, and recommendations efforts of the **[Insert Name]** Tribe.

Exercise Objectives

- To clarify jurisdictional interaction, command and control issues, coordination and support, and responsibilities of the **[Insert Name]** Tribe.
- To clarify public information needs and crisis/risk communications strategies/priorities of the **[Insert Name]** Tribe and in coordination with local, regional, state, tribal and federal levels.
- To clarify how the **[Insert Name]** Tribe transitions into an Emergency Organization as outlined in the **[Insert Name]** Tribe Emergency Operations Plan in accordance and coordination with **[Insert Name]** Operational Area procedures, the Standardized Emergency Management System (SEMS) and the National Incident Management System (NIMS).
- To identify the roles of existing partner agencies in their ability to communicate and effectively coordinate the delivery of emergency services to the citizens of the **[Insert Name]** Reservation, including the communities of **[Insert Name]**, **[Insert Name]**, and **[Insert Name]** which include vulnerable populations, such as school-age children, low-income households and elders.

Exercise Structure

The Exercise Period will consist of a tabletop facilitated discussion exercise related to a simulated situation. The exercise will begin with a briefing by the Facilitator to discuss the objectives of the exercise, ground rules, and communication and simulation procedures. Representatives from the **[Insert Name]** Tribe, assisted by the consultant **[Insert Name if Applicable]**, will present scripted briefs for discussion by exercise participants, that describe scenarios and the current status of the emergency/disaster operation as it stands from the onset of the emergency. **[Insert Name]** will continue to inject updated information and problems encountered as the exercise continues.

Exercise Assumptions and Artificialities

In any exercise, a number of the assumptions and artificialities may be necessary to complete discussion within the time allotted. During this tabletop exercise discussion, the following will apply:

- There are no “hidden agendas” nor are there any trick questions.
- All participants will receive information at the same time.
- This is not a test, but an introduction and operational/policy decision-making and educational discussion.
- Participants should assume that other local, state, tribal, and federal agencies will be implementing their emergency plans, procedures, and protocols.
- The scenario is used strictly as a means to facilitate discussion. The exercise is created to simulate an emergency situation as accurately as possible. Any existing factual errors in the case should not be debated among the participants, but rather presented to the facilitators after the exercise is completed.

It is the expectation of **[Insert Name]** that the actions required for real emergencies will take priority over participation in this exercise. If you need to leave the room and/or abstain from participating in the exercise due to an emergency situation, please do not hesitate to do so.

Participants

The exercise will take place at the **[Insert Name]** Tribal Headquarters. Participants will respond to situations as presented through discussion, based on experience and knowledge, as well as existing Tribal, Operational Area, Regional, State and Federal Emergency Operations Plans and Procedures.

Participant Materials

The exercise booklet, along with other relevant information, will be distributed by the **[Insert Name]** Tribe. A careful review of these materials will provide the key background information necessary to actively participate in the exercise. Any additional materials necessary to participate in the exercise will be provided the day of the exercise.

Exercise Facilitation

The **[Insert Name]** Tribe consultant, **[Insert Name if Applicable]**, will serve as the Exercise Facilitator. The Exercise Facilitator will add additional information as needed, or answer questions and will guide the participants to discuss potential information gaps and/or areas for improvement.

Exercise Controllers

Controllers will be assigned by the Exercise Facilitator to assist in the exercise management. These Controllers will:

- Assist with the distribution of participant materials
- Assist in documentation of exercise feedback
- Assist with the visual documentation of the exercise

Exercise Room Set-Up and Logistics

Representatives from the **[Insert Name]** Tribe and **[Insert Name of Consultant if Applicable]** will set up the room. Refreshments will be provided.

Evaluation Process

Comments from the exercise and feedback from the **[Insert Name]** Tribe will be taken and compiled and provided by the Consultant **[If Applicable]** to the **[Insert Name]** Tribe.

Post-Exercise Reports

Exercise/Discussion Minutes will be prepared to provide a historical record of the findings. The Exercise Facilitator will draft the Minutes and a summary of findings and provide a draft for review to the **[Insert Name]** Tribe. The Exercise Facilitator will then edit the draft document and publish a final After Action Report (AAR) within 60 days from the date of the exercise.

Attachments

- A – Exercise Schedule and Agenda
- B – Participant List
- C – Background Information
- D – Key Guidelines and Procedures for Exercise Discussion

Attachment A

Exercise Schedule and Agenda

[Insert Name] Tribe

[Insert Name] Tribal Headquarters

Tabletop Exercise

[Insert Time]	Welcome and Introductions
[Insert Time]	Formal exercise begins. Facilitated discussion and feedback.
[Insert Time]	Lunch provided.
[Insert Time]	Exercise continues.
[Insert Time]	Review of Summary and Findings. Exercise Hotwash.
[Insert Time]	Adjourn

Attachment B

Participant List

Representatives from the following local, state, tribal and federal entities have been invited to participate in the tabletop exercise on **[Insert Date]**:

- **[Insert Name]** Tribe
- Governor’s Office of Emergency Services (OES)
- CalFire
- Governor’s Office of Homeland Security (OHS)
- U.S. Department of Agriculture (USDA)
- California Utilities Emergency Association (CUEA)
- **[Insert Name]** Chapter of the American Red Cross (ARC)
- California Rural Indian Health Board, Inc.
- **[Insert Name]** National and State Parks
- National Park Service (NPS)
- **[Insert Name]** County Sheriff’s Office
- California Department of Food and Agriculture (CDFA)
- **[Insert Name]** County Administration
- Federal Emergency Management Agency (FEMA)
- California Highway Patrol (CHP)
- **[Insert Name]** County Health and Human Services
- **[Insert Name]** Tribe
- **[Insert Name]** Indian Tribe
- **[Insert Name]** Rancheria
- California Environmental Protection Agency (CAL-EPA)
- California Department of Justice (DOJ)
- United Indian Health Services, Inc.
- [Insert Name] Fire Department
- U.S. Department of the Interior (DOI)
- Caltrans
- National Weather Service (NWS)
- United States Coast Guard (USCG)
- Inter-Tribal Council of California
- [Insert Name] County Office of Emergency Services
- [Insert Name] Ambulance/EMS
- Bureau of Reclamation
- California Volunteers – Office of the Governor
- California Tribal Nations
- Bureau of Indian Affairs (BIA)
- **[Other]**

Attachment C

Background Information

The [Insert Name] Tribe

Mission

The mission of the [Insert Name] Tribe is **[the following is an example]** to exercise the aboriginal and sovereign rights of the [Insert Tribe] People to continue forever the Tribal traditions of self-governance, cultural and spiritual preservation, stewardship of [Insert Tribe] lands, waters, and other natural endowments, balanced social and economic development, peace and reciprocity, and respect for the dignity and individual rights of all persons living within the jurisdiction of the [Insert Name] Tribe, while honoring their Creator, ancestors and descendants.

[Insert Name] Reservation

[Provide background information regarding the Indian Reservation.]

Background

[Provide additional background information regarding the Tribe and its members.]

Attachment D

Key Guidelines and Procedures for Exercise Discussion

Information from “Embracing Tribal Partnerships for Regional Homeland Security”

Federally-recognized Indian tribes are sovereign entities that have a unique status under the United States Constitution. Additionally, because each tribe is affected by its own unique set of treaties, statutes, regulatory decisions, case law, and administrative orders; successful intergovernmental relations between a tribe and other units of government depends upon a mutual understanding of and respect for the sovereign powers possessed by the tribe. Furthermore, each tribe as its own traditional culture which, along with the history of its federal relations, determines the form of its political system and the manner in which it conducts affairs with other governments.

Understanding Native Americans and their Sovereignty Rights

Federal Laws

- Public Law 280 was a transfer of legal authority (jurisdiction) from the federal government to state governments which significantly changed the division of legal authority among tribal, federal, and state governments. Congress gave six states (California, Minnesota, Nebraska, Oregon, Wisconsin, and Alaska) extensive criminal and civil jurisdiction over Indian lands within the affected states. Public Law 280 also permitted the other states to acquire jurisdiction at their option.
- Indian Tribal Justice Support (25 USC CHAPTER 38). The key elements of the law include:
 - There is a government-to-government relationship between the United States and each Indian tribe.
 - The United States has a trust responsibility to each tribal government that includes the protection of the sovereignty of each tribal government.
 - Congress, through statutes, treaties, and the exercise of administrative authorities, has recognized the self-determination, self-reliance, and inherent sovereignty of Indian tribes.
 - Indian tribes possess the inherent authority to establish their own form of government, including tribal justice systems.
 - Tribal justice systems are an essential part of tribal governments and serve as important forums for ensuring public health and safety and the political integrity of tribal governments.
 - Congress and the Federal courts have repeatedly recognized tribal justice systems as the appropriate forums for the adjudication of disputes affecting personal and property rights.
 - Traditional tribal justice practices are essential to the maintenance of the culture and identity of Indian tribes.

- Indian Self-Determination and Education Assistance Act (25 CFR Part 900 CHAPTER V). The key elements of the law include:
 - The Act gave Indian tribes the authority to contract with the Federal government to operate programs serving their tribal members and other eligible persons.
 - The Act was further amended by the Technical Assistance Act and other Acts, of these amendments the most significant were:
 - (1) The 1988 Amendments that revised the Act to increase tribal participation in the management of Federal Indian programs and to help ensure long term financial stability for tribally-run programs.
 - (2) The 1988 Amendments also intended to remove many of the administrative and practical barriers that seem to persist under the original Act.
 - (3) The 1994 Amendments revisited all sections of the original Act. They also provided for direct tribal participation in the promulgation of regulations using the Negotiated Rulemaking Act of 1990.
- Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110 – 53) has several provisions concerning the responsibilities of the federal and state government to provide state homeland security grants to Indian tribes. The key elements of the law include:
 - The Act authorizes the Secretary to award grants to directly eligible tribes under the State Homeland Security Grant Program.
 - States retain the responsibility for allocating State Homeland Security Grant funds to directly eligible Indian tribes to achieve target capabilities not achieved through direct grants.
 - Specifies that directly eligible Indian tribes shall be eligible for funding directly from the State and shall not be required to seek funding from any local government.
 - The Act also clarifies that regardless of whether or not a tribe receives funds directly from the Department of Homeland Security, the tribe remains eligible to receive pass-through funding from the State Homeland Security Grant Program.

Understanding Federal Policies

In 2003, President Bush issued the Homeland Security Presidential Directive (HSPD-5) which provides Federal preparedness assistance to local governments responding to local and domestic incidents to local public safety and community agencies. In most instances, emergency situations are handled locally, but when there is a major incident, either national or domestic, the assistance of other jurisdictions may be needed. The National Incident Management System (NIMS) was created to provide a mechanism where responders from different jurisdictions and disciplines can work together better to respond to terrorist acts, natural disasters, and other emergencies.

The benefits of NIMS include:

- A unified approach to incident management.
- Standard command and management structures.
- Emphasis on preparedness, mutual aid, and resource management.

Central to NIMS is the Incident Command System or ICS. The ICS is a standardized, on-scene, all-hazard incident management concept. ICS allow its users to adopt an integrated organizational structure to match the needs and demands of large or multiple incidents without being hindered by jurisdictional boundaries. The system is designed to allow a variety of agencies and personnel to meld rapidly into a unified management structure. ICS is designed to be inter-disciplinary and organizationally flexible.

- Characteristics of the Incident Command System (ICS):
 - Incident Commander
 - Team-oriented
 - Modular (components or elements)
 - Scalable
 - Dependent on Incident Action Planning that provides measurable objectives to be accomplished over an operational period
 - Integrated communication
 - Chain of command
 - Span of control
 - Unity of Command
- Types of Commands:
 - Single Command – single agency
 - Unified Command – multiple agencies
 - Area Command – multiple commands

Government-to-Government Relations

Tribal Governments and the Federal Government

- Executive Order 13175 (Consultation and Coordination with Indian Tribal Governments) replaced Executive Order 13084 and complements Executive Order 13132. It was published in the Federal Register, Vol. 65, Number 218 on November 9, 2000 and includes the following key elements:

- “The United States has a unique relationship with Indian tribal governments as set forth in the Constitution of the United States, treaties, statutes, Executive Orders, and court decisions. Since the formation of the Union, the United States has recognized Indian tribes as domestic independent nations under its protection. The Federal Government has enacted numerous statutes and promulgated numerous regulations that establish and define a trust relationship with Indian tribes.”
- “Our Nation, under the law of the United States, in accordance with treaties, statutes, Executive Orders, and judicial decisions, has recognized the right of Indian tribes to self-government. As domestic independent nations, Indian tribes exercise inherent sovereign powers over their members and territory. The United States continues to work with Indian tribes on a government-to-government basis to address issues concerning Indian tribal self-government, tribal resources, and Indian tribal treaty and other rights.”

Tribal Governments and State Governments

- The U.S. Constitution gives authority for Indian affairs to the Federal government and, except in very limited instances, none to the state governments. Tribal governments are not subordinate to state or county governments because they retain the inherent rights of self-determination. Tribal governments do, however, frequently cooperate with state and local governments through intergovernmental agreements and strong working relationships. This is especially true in the emergency management arena.

[Insert Name] Tribe Emergency Management Organization

The historical, geographic, economic and cultural diversity of Indian lands presents each tribal government and the communities it services with a broad, unique and varied set of challenges and vulnerabilities with respect to the threats posed by all-hazard incidents including natural disasters, accidents, deliberate acts of terrorism, and other events of national and/or regional/local significance occurring on Indian lands.

The **[Insert Name]** Tribe is the lead agency for emergency management on the reservation. The **[Insert Name]** Tribe will coordinate with **[Insert Name]** County OES, Indian Health Services, Bureau of Indian Affairs, the American Red Cross, FEMA, and others to prepare for, prevent, respond to, and recover from domestic incidents.

The **[Insert Name]** Tribal Council created the Tribal Office of Emergency Services and appointed the Director of Emergency Services and the Deputy Director of Emergency Services. The Director of Emergency Services is responsible for implementing the Emergency Operations Plan (EOP) through the efforts of the **[Insert Name]** Tribe’s Office of Emergency Services.

The Tribal Council does not exercise “command and control” authority over emergency operations. However, it is the responsibility of the Tribal Council to determine if a State of Emergency exists and then either to confirm the Emergency Services Director’s state of emergency proclamation request

or proclaim a state of emergency themselves. Additionally, the Tribal Council will coordinate its liaison activities with the community and other jurisdictions through the Incident Commander using Incident Command System guidelines.

[Insert Name] Emergency Operations Center

The **[Insert Name]** Emergency Operations Center is located at the **[Insert Location and Street Address]**. While the primary office of the EOC is located in **[Insert City, State]** the site, type and extent of the incident may dictate that the EOC be temporarily moved to another site to best manage the incident.

The EOC will be equipped with computers, computer projectors, phones, fax machines, a photocopier, office supplies, a duplicate local government radio system, an extensive HAM Communications System, wall maps, charts, and back-up power system.

After activation of the Incident Command System (ICS), and depending on the nature of the emergency, representatives from some, or all, of the Tribal departments and other key persons may be called upon to be present in the EOC.

Emergency Phases

Hazard Mitigation Phase

The preparedness phase involves activities that are undertaken in advance of an emergency or disaster. These activities develop operational capabilities and effective response to a disaster. Preparedness activities fall into two basic areas: readiness and capability.

The hazard mitigation phase involves activities that include any action taken to reduce or eliminate the long-term risk to human life and property from natural hazards. In the State of California this definition has been expanded to include both natural and man-made hazards.

The essential steps to hazard mitigation include:

- Conducting hazard identification
- Developing vulnerability analyses
- Defining a hazard mitigation strategy
- Implementing hazard mitigation activities and projects

Preparedness Phase

The preparedness phase involves activities that are undertaken in advance of an emergency or disaster. These activities develop operational capabilities and effective response to a disaster. Preparedness activities fall into two basic areas: readiness and capability.

Readiness activities shape the framework and create the basis of knowledge necessary to complete a task of mission. Readiness activities might include:

- Developing and maintaining emergency plans and procedures
- Conducting general and specialized training
- Conducting exercises
- Developing mutual aid agreements
- Improving emergency public education and warning systems

Response Phase

The response phase includes increased readiness, initial response, and extended response activities. Upon observation or receipt of a warning that an emergency situation is imminent or likely to occur, the **[Insert Name]** Tribe will initiate increased readiness actions.

Increased readiness activities may include, but are not limited to, the following:

- Briefing of the Chairperson, Vice-Chairperson, Executive Director and other key officials or employees of the **[Insert Name]** Tribe
- Reviewing and updating of the **[Insert Name]** Tribe's Operations Plan & Standard Operating Procedures
- Increasing public and community information efforts
- Accelerating training efforts
- Inspecting critical facilities and equipment, including testing, warning and communication systems
- Recruiting additional staff and Disaster Service Workers
- Warning threatened elements of the population
- Conducting precautionary evacuations in the potentially impacted area(s)
- Mobilizing personnel and pre-positioning resources and equipment
- Contacting county, state, and federal agencies that may be involved in field activities

Initial Response

The **[Insert Name]** Tribe's initial response activities are primarily performed at the field response level. Emphasis is placed on minimizing the effects of the emergency or disaster.

Examples of initial response activities include:

- Making all necessary notifications, including Tribal departments and personnel, United Indian Health Services, **[Insert Name]** County Office of Emergency Services, and the State OES Coastal Region; **[Insert Name]** Indian Housing Authority, Indian Health Services, Bureau of Indian Affairs, and FEMA
- Disseminating warnings, emergency public information, and instructions to the citizens of the **[Insert Name]** Indian Reservation

- Conducting evacuations and/or rescue operations
- Caring for displaced persons and treating the injured
- Conducting initial damage assessments and surveys
- Assessing need for mutual aid assistance
- Restricting movement of traffic/people and unnecessary access to affected areas
- Developing and implementing Initial Action Plans

Extended Response

The **[Insert Name]** Tribe's extended response activities are primarily conducted in the Emergency Operations Center (EOC). Extended emergency operations involve the coordination and management of personnel and resources to mitigate an emergency and facilitate the transition to recovery operations.

Examples of extended response activities include:

- Preparing detailed damage assessments
- Operating mass care facilities
- Conducting coroner operations
- Procuring required resources to sustain operations
- Documenting situation status
- Protecting, controlling, and allocating vital resources
- Restoring vital utility services
- Tracking resource allocation
- Conducting advance planning activities
- Examining areas of damage for possible future mitigation programs
- Documenting expenditures
- Developing and implementing Action Plans for extended operations
- Disseminating emergency public information
- Declaring a local emergency
- Coordinating with State and Federal agencies working within the county

Recovery Phase

Recovery activities involve the restoration of services to the public and returning the affected area(s) to pre-emergency conditions. Recovery activities may be both short-term and long-term ranging from restoration of essential utilities such as water and power to mitigation measures designed to prevent future occurrences of a given threat.

Examples of recovery activities include:

- Restoring utilities
- Applying for federal, state and local assistance programs
- Conducting hazard mitigation analyses
- Identifying residual hazards
- Determining and recovering costs associated with response and recovery

Mutual Aid System

The foundation of the **[Insert Name]** Tribe's emergency planning and response is a mutual aid system with **[Insert Name]** County, and other local governments and entities.

State government is obligated to provide available resources to assist local jurisdictions in emergencies. To facilitate the coordination and flow of mutual aid, the State has been divided into six State authorized Mutual Aid Regions and three Administrative Regions.

The Statewide system includes several discipline-specific mutual aid systems, including, but not limited to, fire and rescue, law enforcement and emergency managers.

Mutual aid is a critical step toward planning for the unexpected. Mutual aid enhances incident readiness and response at all levels of government through a comprehensive and integrated system that allows jurisdictions to share resources, personnel and services among mutual aid partners.

The Tribal Council may approve mutual aid agreements, compacts or reciprocal agreements with other Tribal, county, or state governments, the Federal government, service districts, volunteer organizations, and other entities or groups for the protection of life and property in an emergency or disaster situation. Such mutual aid agreements may include the furnishing of supplies, equipments, facilities, personnel, and services.

The **[Insert Name]** Office of Emergency Services shall develop and negotiate mutual aid agreements and bring them forward to the **[Insert Name]** Tribal Council for review and final approval.

Incoming mutual aid resources may be received and processed at several types of facilities including marshaling areas, mobilization centers, and incident facilities.

During a proclaimed emergency, the **[Insert Name]** Tribe Operational Area will coordinate mutual aid requests between the **[Insert Name]** Tribe, **[Insert Name]** County OES, and the State OES Regional Emergency Operations Center (REOC), FEMA and others.

Requests should specify, at a minimum:

- Type and scope of events
- Number and type of personnel needed and/or
- Type and amount of equipment needed
- Reporting time and location
- Authority to whom forces should report
- Access routes into the affected area(s)
- Estimated duration of operations; and
- Risks and hazards

Multi-Agency/Inter-Agency Coordination

Multi-agency or inter-agency coordination is the decision-making system used by member jurisdictions of the **[Insert Name]** Operational Area. Multi-agency or inter-agency coordination is agencies and disciplines involved at any level of the NIMS organization working together to facilitate decisions for overall emergency response activities, including the sharing of critical resources and the prioritization of incidents.

Tabletop Exercise

Exercise Scenario

The [Insert Name] Tribe

[Insert Logo]

[Insert Date]

Prepared by:
[Insert Name and/or Company]

*The following scenario was developed for the Yurok Tribe tabletop exercise conducted on December 7, 2007. This scenario is based on a catastrophic flood event, but the scenario for each tribe will vary depending on its risk assessment.

Tabletop Exercise

Yurok Tribe Tabletop Exercise

Scenario Overview

December 27, 2007 through January 1, 2008

A series of winter storms with the possibility of significant precipitation is occurring over most of Northern California. These series of storms are perceived as dangerous because they follow a pattern of weather that has left the region's soil saturated. Conditions are consistent with the possibility of flooding, landslides and possible levee failures.

The National Weather Service (NWS) has deemed the series of storms a "Pineapple Express" indicating heavy, prolonged and unusually warm precipitation that may cause widespread snowmelt from the above normal snowpack. The storms are forecast to last up to eight days, including heavier than normal rain.

So far, within the Yurok Tribal Reservation, the rain has caused small stream flooding, with minor to moderate damage to local roads, parks, agricultural areas and structures in low-lying areas.

The Klamath River is at fifteen feet (flood stage) and is rising. Severe flooding is now expected for the Lower Klamath, including the Yurok Tribe Business District and homes along the river.

Humboldt, Del Norte, Siskiyou and Trinity Counties are all experiencing moderate flooding of low-lying areas and damage to roads and all have activated their respective Emergency Operations Centers (EOCs). In addition, both the Inland and Coastal Regional Emergency Operation Centers (REOCs) are activated as is the State Operations Center (SOC). Close coordination is occurring between the OA EOC's and the REOCs.

The NWS issues a Flood Watch for northwest California and includes reports for river levels at or near flood stage, including the Russian River, Cosumnes River, Smith River, Trinity River, Navarro River, Redwood Creek, Klamath River, Mad River, Van Duzen River, Susan River and Eel River.

The NWS Forecast Office in Eureka issues a statement for a Flood Watch for the Lower Klamath River. This is transmitted via EAS and EDIS by local and state emergency services and local media.

The Yurok Director of Emergency Services activates the YEOC at a Level I and directs all Departments and Tribal Personnel to review the Yurok Initial Response Checklists (YIRC) and be prepared for response. All emergency services personnel go on standby alert and the Yurok EOC maintains a two-hour communications watch.

Yurok Tribe Tabletop Exercise

Scenario I

January 2, 2008

Tribal members who live up-river are now reporting significant flooding around and within their homes. Unconfirmed reports indicate that the river is flowing over its banks in some areas. Severe flooding is expected to affect the Yurok Tribe Reservation in the coming days.

The Yurok Director of Emergency Services has upgraded the YEOC to Level II, activated the Emergency Alert List (YEAL) and has directed all Tribal Departments to review their General Response Checklists. Mutual aid agreements are also reaffirmed with neighboring communities and tribes that are out of the floodplain. This includes regular contact with both the Del Norte and Humboldt Operational Area EOCs.

As many tribal members and non-tribal members located on the Reservation as possible are notified of imminent severe flooding through the use of EAS and local media. However, due to intermittent communications and power, the message has been inconsistent. Nevertheless, probable flood zones are broadcast by radio and television. Citizens in these areas are advised about procedures for preparing for a flood.

A mud and rock slide on Highway 169 at Ke'pel has been reported, blocking a potential evacuation route. In addition, several roads on the Yurok Tribe Reservation are becoming impassable and Hwy 96 is becoming compromised due to low-lying flooding.

Worried tribal members are congregating at Yurok Tribal Headquarters wondering what to do about the elders and individuals with special needs that require assistance. In addition, there are numerous requests by citizens for supplies or assistance with leaving the area.

The YEOC has been unable to make contact with all residents on the Reservation so there is not a good accounting of the status of all residents.

Power and communications on the Reservation have been interrupted or are intermittent.

Regionally, both Del Norte and Humboldt Counties are experiencing significant flooding now and are deploying crews and facilitating numerous request for assistance. Local emergencies for Del Norte and Humboldt Counties have been declared due to the flooding.

Yurok Tribe Tabletop Exercise

Scenario I

Questions to Facilitate Discussion

1. Alert and Warning
 - a. How will the Yurok Tribe initiate their internal alert/notification protocols and procedures?
 - b. How will the Yurok Tribe alert and notify tribal and non-tribal members located on the Reservation?
 - c. Who is responsible for contacting county, state and federal agencies that may be involved in field response?
2. Organization
 - a. Who is in charge?
 - b. Who is the Incident Commander?
 - c. Where are you located?
 - d. Who has the responsibility for activating the YEOC?
 - e. What is the role of the YEOC?
 - f. How is technical information gathered by the YEOC?
3. Communication and Coordination
 - a. What information do you need and how do you get it?
 - b. How is information received and coordinated?
4. Damage Assessment Reporting
 - a. Who collects the damage assessment information?
 - b. When is it reported? To where is it reported?
 - c. What is the purpose?
 - d. How does this relate to FEMA assistance?
5. Resource Requests and Coordination
 - a. What are your resources?
 - b. How are resource requests being handled?
 - c. Who is assessing the need for mutual aid assistance?
 - d. Are any resources being requested from the Operational Area or Federal Government?
 - e. What will the Yurok Tribe request?
 - f. What information does the Operational Area need?
 - g. Who is responsible for tracking resource requests?
 - h. What happens when there are multiple resource requests? Who prioritizes them?
6. Evacuations
 - a. Are voluntary evacuations currently underway?
 - b. Who is responsible for the evacuation order?
 - c. Who is responsible for facilitating the evacuation? Are there pre-event contacts in place for transportation of Yurok Tribe members?

Yurok Tribe Tabletop Exercise

Scenario II

January 3, 2008

The National Weather Service has issued a Flood Warning for the Klamath River. The Yurok Director of Emergency Services has upgraded the YEOC to a Level III, and has requested EAS and media messages on evacuation routes, transportation, and shelters for residents within the Yurok Tribe Reservation.

Flooding has been reported at the confluence of the Trinity and Klamath Rivers, threatening Weitchpec. The Martins-Ferry Bridge at Weitchpec is being overtopped by flood waters and debris. Residents are congregating at the Weitchpec Elementary School looking for assistance and shelter. Pierson's Store has been overrun for supplies and some minor looting is being reported.

Unconfirmed and sketchy reports are received that the Klamath-Glen Levee has failed and is flooding homes in the Klamath-Glen area. People are trapped and need assistance. Reports are also received via a cellular 9-1-1 that there are at least two structure fires in the Klamath-Glen community.

Upon request from Humboldt and Del Norte Counties, the Governor has proclaimed a State of Emergency for Northern California counties and has asked the President for a Federal Disaster Declaration.

CalTrans has reported that the Highways 96 and 169 are closed in several locations due to wash out and/or mudslides. Hwy 101 is closed due to water and debris just south of the Bear Bridge as well as between Big Lagoon and Orick due to flooding and large amounts of debris. California Highway Patrol has established road blocks.

Several propane tanks from residences and businesses have floated off their standards and are bobbing through the floodwaters. Some of the tanks' valves are broken and propane is leaking out.

Resorts along the Hwy 101 corridor are now flooded and owners are seeking assistance. The Margaret Keating Elementary school is also flooded.

January 4, 2008

Worried residents are wondering where to go and what to do. A van carrying 8 to 10 people trying to evacuate is reported to have overturned and is off the embankment on Hwy 169 at Sergon. People are trapped and there are several injuries. Power and communications is out to all parts of the Yurok Tribe Reservation. At this point, the Department of Public Health issued a warning about contaminated water supplies.

Reports of trapped livestock and other farm animals are received as well as several dead or dying livestock accumulating in debris piles along the river.

YEOC officials anticipate floodwaters so high that one temporary shelter adjacent to Tribal Headquarters must now be evacuated. Due to the power being out on all parts of the Yurok Tribe Reservation, the YEOC and Tribal Headquarters are on generator power. The water supply is now contaminated and residents well out of the floodplain are required to use emergency water supplies. Fuel for vehicles and equipment is now on very short supply.

Yurok Tribe Tabletop Exercise

Scenario II

Questions to Facilitate Discussion

1. **Alert and Warning**
 - a. How is information regarding potential hazards and public health concerns being distributed to Tribal members due to the lack of power and communications capabilities?
2. **Organization**
 - a. What do the EOC operations look like at this point?
 - b. Is there a 24-hour rotation of emergency operations staff?
 - c. Who is in charge? Is there a Unified Command set up?
 - d. How is technical information being gathered?
 - e. What information is being requested?
3. **Communication and Coordination with the Operational Area, State and Federal Government**
 - a. What emergency declarations have been made on behalf of the Yurok Tribe? Who is responsible for making these declarations? How will these declarations be made?
 - b. What information do you need and how do you get it?
 - c. What is the interface between the YEOC and the Operational Areas?
 - d. What information is being requested by the Operational Areas?
4. **Resource Requests and Coordination**
 - a. What are your resources? Who is assessing the need for mutual aid assistance?
 - b. How are resource requests being handled?
 - c. Are any resources being requested from the OA or federal government? If so, what is the Yurok Tribe requesting?
 - d. Who is responsible for tracking resource requests?
 - e. What happens when there are multiple resource requests? Who prioritizes?
5. **Evacuations**
 - a. Who has the legal authority to issue a mandatory evacuation order?
 - b. What are the triggers for mandatory evacuations?
 - c. Who is responsible for facilitating mandatory evacuations?
 - d. Who is responsible for transportation of evacuees? Transportation of elders and other vulnerable populations?
 - e. Who is responsible for short-term and long-term sheltering of evacuees?

Yurok Tribe Tabletop Exercise

Scenario III

January 20, 2008

River-levels have begun to go down allowing for better access for damage assessments to be conducted. Preliminary figures indicate that as many as 400 homes and businesses within the Yurok Tribe Reservation may have been damaged or destroyed. Roughly 600 residents are without a place to live and are seeking assistance from the Yurok Tribal Government.

The Red Cross as well as both Del Norte County OES and Humboldt County OES has been assisting with short-term shelters, but is working with the Tribal Government to transition evacuees into longer term accommodations. Long-term housing capabilities are an issue, and given the state of major road and highway damage, getting building supplies into the area is problematic.

The Indian Health Service is experiencing an increased number of individuals seeking assistance for crisis counseling and health-related matters. There are a number of questions from residents about when children can get back to school and where will classes take place.

Highways 169 and 101 sustained significant damage and local, state and federal highway and public works agencies indicate that it will be months to get them cleared or repaired. Tremendous amounts of debris have been deposited impacting catch basins, roads and highways and other access areas to the Yurok Tribe Reservation.

In addition, the damage to tribal fisheries, livestock, and other sustainment programs is high and there is a long-term economic impact concern for the Yurok Tribe and its residents. Large areas of culturally-sensitive lands have been either damaged or destroyed.

Power and water are still out in the remote areas within the Reservation. There is a long-term need for potable water.

Tribal members continue to seek information about assistance and support programs.

Yurok Tribe Tabletop Exercise

Scenario III

Questions to Facilitate Discussion

1. When should recovery planning start?
2. Who identifies and prioritizes community needs?
3. What kind of recovery information should be sent to citizens?
4. Who is responsible for providing recovery information to citizens?
5. Who sets community recovery priorities?
6. Who is responsible for safety in entering hazardous areas? (Debris, damaged structures, public property, etc.)
7. Who cleans up the dead animals?
8. Who cleans up debris?
9. Who pays for the tribe's recovery costs?
10. If there is a Presidential Declaration, does the tribe plan to be a sub-grantee of the State or deal with FEMA on a Government to Government relationship?
11. What are the advantages and disadvantages of each?
12. What assistance is available from FEMA?
 - a. Individual Assistance
 - b. Public Assistance
 - c. Mitigation Assistance
13. What considerations are there for deciding the long term recovery plan? Rebuild or replace? Relocate or elevate?

After Action Report / Improvement Plan (AAR/IP) Template

Developed by the Homeland Security Exercise and Evaluation Program (HSEEP)

[Full Exercise Name]

[Exercise Dates]

AFTER ACTION REPORT/IMPROVEMENT PLAN

[Publication Date]

[On the cover page, insert additional graphics such as logos, pictures, and background colors as desired. The word "Draft" should be included before the phrase "After Action Report/Improvement Plan" on the cover page and in the header/footer of all versions except the final AAR/IP.]

After Action Report / Improvement Plan (AAR/IP) Template

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[If an AAR contains graphics, figures, or tables, they should be numbered and listed in the Contents section (e.g. Figure 1, Table 1, etc.).

Administrative Handling Instructions

1. The title of this document is **[complete and formal title of document]**.
2. The information gathered in this AAR/IP is classified as **[For Official Use Only (FOUO)]** and should be handled as sensitive information not to be disclosed. This document should be safeguarded, handled, transmitted, and stored in accordance with appropriate security directives. Reproduction of this document, in whole or in part, without prior approval from **[agency]** is prohibited.
3. At a minimum, the attached materials will be disseminated only on a need-to-know basis and when unattended, will be stored in a locked container or area offering sufficient protection against theft, compromise, inadvertent access, and unauthorized disclosure.
4. Points of Contact: **[List all points of contact below.]**

[Federal POC:]

Name

Title

Agency

Street Address

City, State ZIP

xxx-xxx-xxxx (office)

xxx-xxx-xxxx (cell)

e-mail

[Exercise Director:]

Name

Title

Tribe

Street Address

City, State ZIP

xxx-xxx-xxxx (office)

xxx-xxx-xxxx (cell)

e-mail

Executive Summary

[When writing the Executive Summary, keep in mind that this section may be the only part of the AAR/IP that some people will read. Introduce this section by stating the full name of the exercise and providing a brief overview of the exercise. This brief overview should discuss why the exercise was conducted; the exercise objectives; and what Target Capabilities List (TCL) capabilities, activities, and scenario(s) were used to achieve those objectives. All of these areas will be discussed in more detail in the subsequent chapters of the AAR/IP. In addition, the Executive Summary may be used to summarize any high-level observations that cut across multiple capabilities.]

The **[Tribe]** **[scenario type]** **[exercise type]** exercise **[exercise name]** was developed to test **[Tribe]**'s **[Capability 1]**, **[Capability 2]**, and **[Capability 3]** capabilities. The exercise planning team was composed of numerous and diverse agencies, including **[list of agencies participating in planning team]**. The exercise planning team discussed **[include a brief overview of the major issues encountered, discussed, and resolved during the exercise planning process. Topics to address in this section could include the length of the planning process, the reasoning behind the planning team's choice of objectives to exercise, etc.]**

Based on the exercise planning team's deliberations, the following objectives were developed for **[exercise name]**:

- Objective 1: **[Insert 1 sentence description of the exercise objective]**
- Objective 2: **[Insert 1 sentence description of the exercise objective]**
- Objective 3: **[Insert 1 sentence description of the exercise objective]**

The purpose of this report is to analyze exercise results, identify strengths to be maintained and built upon, identify potential areas for further improvement, and support development of corrective actions.

[In general, the major strengths and primary areas for improvement should be limited to three each to ensure the Executive Summary is high-level and concise.]

Major Strengths

The major strengths identified during this exercise are as follows:

- **[Use complete sentences to describe each major strength.]**
- **[Additional major strength]**
- **[Additional major strength]**

Primary Areas for Improvement

Throughout the exercise, several opportunities for improvement in **[Tribe name]**'s ability to respond to the incident were identified. The primary areas for improvement, including recommendations, are as follows:

- **[Use complete sentences to state each primary area for improvement and its associated key recommendation(s).]**
- **[Additional key recommendation]**
- **[Additional key recommendation]**

[End this section by describing the overall exercise as successful or unsuccessful, and briefly state the areas in which subsequent exercises conducted by this Tribe should focus.]

Section 1: Exercise Overview

[Information in the Exercise Overview should be “structured data”—written as a list rather than in paragraph form—in order to facilitate preparation of other parts of the AAR/IP, maintain consistency within AAR/IPs, and facilitate the analysis of AAR/IPs for program reporting.]

Exercise Details

Exercise Name

[Insert formal name of exercise, which should match the name in the header.]

Type of Exercise

[Insert the type of exercise as described in Homeland Security Exercise Evaluation Program Volume I (e.g. seminar, workshop, drill, game, tabletop, functional exercise, or full-scale exercise.)

Exercise Start Date

[Insert the month, day, and year that the exercise began.]

Exercise End Date

[Insert the month, day, and year that the exercise ended.]

Duration

[Insert the total length of the exercise, in day or hours, as appropriate.]

Location

[Insert all applicable information regarding the specific location of the exercise; including any city, State, Federal region, Tribe, international country, or military installation.]

Sponsor

[Insert the name of the Local, State and Federal agency or agencies that sponsored the exercise, as well as any co-sponsors if applicable. Also list any applicable points of contacts.]

Program

[Insert the name of the program (e.g. Fiscal Year 2007 State Homeland Security Grant Program) from which exercise funding originated.]

Mission

[Insert the appropriate mission areas of the exercise (e.g. Prevent, Protect, Response, and/or Recovery).]

Capabilities

[Insert a list of the target capabilities addressed within the exercise.]

Scenario Type

[Name the exercise scenario type (e.g. chemical release).]

Exercise Planning Team Leadership

[The name of each member of the planning team leadership should be listed along with their role in the exercise, organizational affiliation, job title, mailing address, phone number, and e-mail address.]

Participating Organizations

[Insert a list of the individual participating organizations or agencies, including Federal, State, Tribal, non-governmental organizations (NGOs), local and international agencies, and contract support companies as applicable.]

Number of Participants

[Insert a list of the total number of each of the following exercise participants, as applicable:

- **Players**
- **Controllers**
- **Evaluators**
- **Facilitators**
- **Observers**
- **Victim Role Players]**

Section 2: Exercise Design Summary

[The Exercise Design Summary is intended to provide a summary of the exercise design process.]

Exercise Purpose and Design

[This section should be a brief (one-to-two paragraph) summation of why the exercise was conducted and what the exercise participants hoped to learn. It should also include a brief history of how the exercise was organized, designed, funded, etc.]

Exercise Objectives, Capabilities and Activities

[The purpose of this section is to list exercise objectives and align them with associated capabilities from the Target Capabilities List (TCL). For each TCL capability, there is an Exercise Evaluation Guide (EEG) which lists specific activities which must be performed to demonstrate a capability. In addition to TCL capabilities, the EEG activities relevant to each objective should also be included in this section. Begin this section with the following text.]

Capabilities-based planning allows for exercise planning teams to develop exercise objectives and observe exercise outcomes through a framework of specific action items that were derived from the Target Capabilities List (TCL). The capabilities listed below form the foundation for the organization of all objectives and observations in this exercise. Additionally, each capability is linked to several corresponding activities and tasks to provide additional detail.

Based upon the identified exercise objectives below, the exercise planning team has decided to demonstrate the following capabilities during this exercise:

- Objective 1: **[Insert a one sentence description of each objective].**
 - **[Capability Title]: [Activity 1]; [Activity 2]; and [Activity 3].**
 - **[Capability Title]: [Activity 1]; [Activity 2]; and [Activity 3].**

Scenario Summary

[For an operations-based exercise, this section should summarize the scenario or situation initially presented to players, subsequent key events introduced into play, and the time in which these events occurred. For a discussion-based exercise, this section should outline the scenario used and/or modules presented to participants.]

Section 3: Analysis of Capabilities

This section of the report reviews the performance of the exercised capabilities, activities, and tasks. In this section, observations are organized by capability and associated activities. The capabilities linked to the exercise objectives of **[full exercise name]** are listed below, followed by corresponding activities. Each activity is followed by related observations, which include references, analysis, and recommendations.

[The format for Chapter 3, as described above, represents the preferred order for analysis of exercise observations. However, observations that are cross-cutting and do not apply to one, specific activity within the capability should be listed first, directly under the capability summary. Below the cross-cutting observations, you may then present the complete list of activities which apply to the observation.]

Capability 1: [Capability Name]

Capability Summary

[Include a detailed overview of the capability, drawn from the TCL capability description, and a description of how the capability was performed during an operations-based exercise or addressed during a discussion-based exercise. The exact length of this summary will depend on the scope of the exercise.]

Activity 1.1

[Using the EEGs, identify the activity to which the observation(s) below pertain.]

Observation 1.1

[Begin this section with a heading indicating whether the observation is a “Strength” or an “Area for Improvement.” A strength is an observed action, behavior, procedure, and/or practice that is worthy of recognition and special notice. Areas for improvement are those areas in which the evaluator observed that a necessary task was not performed or that a task was performed with notable problems. Following this heading, insert a short, complete sentence that describes the general observation.]

References

[List relevant plans, policies, procedures, laws, and/or regulations, or sections of these plans, policies, procedures, laws, and/or regulations. If no references apply to the observation, it is acceptable to simply list “N/A” or “Not Applicable.”]

- 1. [Name of the task and the applicable plans, policies, procedures, laws, and/or regulations and 1-2 sentences describing their relation to the task]**

2. **[Name of the task and the applicable plans, policies, procedures, laws, and/or regulations and 1-2 sentences describing their relation to the task]**
3. **[Name of the task and the applicable plans, policies, procedures, laws, and/or regulations and 1-2 sentences describing their relation to the task]**

Analysis

[The analysis section should be the most detailed section of Chapter 3. Include a description of the behavior or actions at the core of the observation, as well as a brief description of what happened and the consequence(s) (positive or negative) of the action or behavior. If an action was performed successfully, include any relevant innovative approaches utilized by the exercise participants. If an action was not performed adequately, the root-causes contributing to the shortcoming must be identified.]

Recommendations

[Insert recommendations to address identified areas for improvement, based on the judgment and experience of the evaluation team. If the observation was identified as a strength, without corresponding recommendations, insert “None.”]

1. **[Complete description of recommendation]**
2. **[Complete description of recommendation]**
3. **[Complete description of recommendation]**

[Continue to add additional observations, references, analyses, and recommendations for each capability as necessary. Maintain numbering convention to allow for easy reference.]

Section 4: Conclusion

[This section is a conclusion for the entire document. It provides an overall summary to the report. It should include the demonstrated capabilities, lessons learned, major recommendations, and a summary of what steps should be taken to ensure that the concluding results will help to further refine plans, policies, procedures, and training for this type of incident.]

Subheadings are not necessary and the level of detail in this section does not need to be as comprehensive as that in the Executive Summary.]

Appendix A: Improvement Plan

This IP has been developed specifically for **[identify the Tribe, State, county, jurisdiction, etc., as applicable]** as a result of **[full exercise name]** conducted on **[date of exercise]**. These recommendations draw on both the After Action Report and the After Action Conference. **[The IP**

should include the key recommendations and corrective actions identified in Chapter 3: Analysis of Capabilities, the After Action Conference, and the EEGs. The IP has been formatted to align with the Corrective Action Program System.]

Table A.1 Improvement Plan Matrix

Capability	Observation Title	Recommendation	Corrective Action	Capability Element Description	Primary Responsible Agency	Agency POC	Start Date	Completion Date
[Capability 1: Capability Name]	1. Observation 1	1.1 Insert Recommendation 1	1.1.1 Insert Corrective Action 1	Planning	State X EMA	EMA Director	Dec 1, 2007	Sep 1, 2008
			1.1.2 Insert Corrective Action 2	Planning	State X EMS System	EMS System Director	Dec 1, 2007	Feb 1, 2008
		1.2 Insert Recommendation 2	1.2.1 Insert Corrective Action 1	Training	State X EMA	EMA Director	Dec 1, 2007	Jan 1, 2008
	2. Observation 2	2.1 Insert Recommendation 1	1.2.2 Insert Corrective Action 2	Systems/ Equipment	State X EMA	EMA Director	Dec 1, 2007	Mar 15, 2008
			2.1.1 Insert Corrective Action 1	Planning	State X EMS System	EMS System Director	Dec 1, 2007	Jan 15, 2008
		2.1.2 Insert Corrective Action 2	Systems/ Equipment	State X EMA	EMA Director	Dec 1, 2007	Jan 1, 2008	

Appendix B: Lessons Learned

Optional

While the After Action Report/Improvement Plan includes recommendations which support development of specific post-exercise corrective actions, exercises may also reveal lessons learned which can be shared with the broader homeland security audience. The Department of Homeland Security (DHS) maintains the Lessons Learned Information Sharing (LLIS.gov) system as a means of sharing post-exercise lessons learned with the emergency response community. This appendix provides jurisdictions and organizations with an opportunity to nominate lessons learned from exercises for sharing on LLIS.gov.

For reference, the following are the categories and definitions used in LLIS.gov:

- **Lesson Learned:** Knowledge and experience, positive or negative, derived from actual incidents, such as the 9/11 attacks and Hurricane Katrina, as well as those derived from observations and historical study of operations, training, and exercises.
- **Best Practices:** Exemplary, peer-validated techniques, procedures, good ideas, or solutions that work and are solidly grounded in actual operations, training, and exercise experience.
- **Good Stories:** Exemplary, but non-peer-validated, initiatives (implemented by various jurisdictions) that have shown success in their specific environments and that may provide useful information to other communities and organizations.
- **Practice Note:** A brief description of innovative practices, procedures, methods, programs, or tactics that an organization uses to adapt to changing conditions or to overcome an obstacle or challenge.

Exercise Lessons Learned

[Insert an account of any observations nominated for inclusion in the DHS LLIS.gov system. If there are not any nominations, a simple statement to that effect should be included here.]

Appendix C: Participant Feedback Summary

Optional

[Provided in this section is a sample Participant Feedback Form, which should be distributed to exercise participants at a post-exercise hot wash. Appendix C of the AAR/IP should provide a summary of the feedback received through this form.]

Participant Feedback Form

Please enter your responses in the form field or check box after the appropriate selection.

Exercise Name: **[Full Exercise Name]**

Exercise Date: **[Date]**

Participant Name:

Title:

Agency:

Role: Player Observer Facilitator Evaluator

PART I: Recommendations and Corrective Actions

1. Based on the exercise today and the tasks identified, list the top 3 strengths and/or areas that need improvement.

[Insert Answer]

2. Is there anything you saw in the exercise that the evaluator(s) might not have been able to experience, observe, and record?

[Insert Answer]

3. Identify the corrective actions that should be taken to address the issues identified above. For each corrective action, indicate if it is a high, medium, or low priority.

[Insert Answer]

4. Describe the corrective actions that relate to your area of responsibility. Who should be assigned responsibility for each corrective action?

[Insert Answer]

5. List the applicable equipment, training, policies, plans, and procedures that should be reviewed, revised, or developed. Indicate the priority level for each.

[Insert Answer]

PART II: Exercise Design and Conduct: Assessment

Please rate, on a scale of 1 to 5, your overall assessment of the exercise relative to the statements provided below, with 1 indicating strong disagreement with the statement and 5 indicating strong agreement.

Table C.1: Participant Assessment

Assessment Factor		Strongly Disagree			Strongly Agree	
		1	2	3	4	5
a.	The exercise was well structured and organized.	1	2	3	4	5
b.	The exercise scenario was plausible and realistic.	1	2	3	4	5
c.	The facilitator/controller(s) was knowledgeable about the area of play and kept the exercise on target.	1	2	3	4	5
d.	The exercise documentation provided to assist in preparing for and participating in the exercise was useful.	1	2	3	4	5
e.	Participation in the exercise was appropriate for someone in my position.	1	2	3	4	5
f.	The participants included the right people in terms of level and mix of disciplines.	1	2	3	4	5
g.	This exercise allowed my agency/jurisdiction to practice and improve priority capabilities.	1	2	3	4	5
h.	After this exercise, I believe my agency/jurisdiction is better prepared to deal successfully with the scenario that was exercised.	1	2	3	4	5

PART III: Participant Feedback

Please provide any recommendations on how this exercise or future exercises could be improved or enhanced.

[Answer Here]

Appendix D: Exercise Events Summary Table

Optional

[In formulating its analysis, the evaluation team may assemble a timeline of key exercise events. While it is not necessary to include this timeline in the main body of the AAR/IP, the evaluation team may find value in including it as an appendix. If so, this section should summarize what actually happened during the exercise in a timeline table format. Focus of this section is on what inputs were actually presented to the players and what actions the players took during the exercise. Successful development of this section is aided by the design, development, and planning actions of the exercise design team. Prior to the exercise, the exercise design team should have developed a timeline of anticipated key events.]

[An example of the format for the Exercise Events Summary Table is presented below.]

Table D.1: Exercise Events Summary

Date	Time	Scenario Event Simulated Player Inject Player Action	Event/Action
02/20/06	0900	Scenario Event	Explosion and injuries reported at subway station 13
02/20/06	0902	Player Action	Subway services stopped in accordance with protocols; notifications started
02/20/06	0915	Player Action	Evacuation ordered for planning zone 2A
02/20/06	0940	Simulated Player Inject	Traffic at a standstill on major egress route 1 reported to players (Response generated issue because personnel to staff traffic control points were not deployed)

Appendix E: Performance Ratings

Optional

[When a Tribe elects to use performance ratings, or when initiatives require a rating within the AAR/IP, the following approach can be used. A qualitative performance rating is assigned to each activity demonstrated within its capability area. The performance rating is based on a systemic review by the lead evaluator of exercise performance based on evaluator analysis of how well the participants demonstrated the capability outcome. The results should be summarized within this appendix and should be based on the supporting narrative contained within the body of the AAR/IP.]

The performance rating categories refer to how well each activity was performed during the exercise and are detailed in the table below.

Table E.1: Performance Ratings

Rating	Description
Performed without Challenges	The performance measures and tasks associated with the activity were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws.
Performed with Some Challenges, but Adequately	The performance measures and tasks associated with the activity were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws. However, opportunities to enhance effectiveness and/or efficiency were identified.
Performed with Major Challenges	The performance measures and tasks associated with the activity were completed in a manner that achieved the objective(s), but some or all of the following were observed: demonstrated performance had a negative impact on the performance of other activities; contributed to additional health and/or safety risks for the public or for emergency workers; and/or, was not conducted in accordance with applicable plans, policies, procedures, regulations, and laws.
Unable to be Performed	The performance measures and tasks associated with the activity were not performed in a manner that achieved the objective(s).

Appendix F: Acronyms

[Any acronym used in the AAR should be listed alphabetically and spelled out.]

Table F.1: Acronyms

Acronym	Meaning



Memorandum of Understanding Writing Template and Samples

March 2008



Prepared by: James Lee Witt Associates Part of Global Options Group, Inc.

[As available through the Department of Homeland Security, "Embracing Tribal Partnerships for Regional Homeland Security Collaboration" Participant Manual.]

Memorandum of Understanding Writing Template and Samples

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MOU Section 1: Introduction

The introductory section of the MOU helps the reader to understand the agreement content. It describes:

- The need
- The agencies involved
- Why it is necessary to work together, etc.
- This section should be a simple explanation of the agreement and why it is necessary. It does not need to include details about past efforts or discuss how the agencies reached this level of agreement.

Questions to consider:

1. For what capability or resource is this MOU being created?

2. What agencies are participating in the MOU? Include public safety agencies, other governmental bodies, and any private services.

3. Why is this MOU necessary?

4. What agreements are set forth by this MOU?

MOU Section 2: Purpose

The purpose section should be concise statement discussing the intention of the new or proposed capability that makes the MOU necessary. It explains how the agencies involved will use the new capability and under what circumstances.

Questions to consider:

1. To what capability does the MOU apply? When answering this question, consider the questions that follow.

- a. What is the intended level of command?

- b. When will it be used?

- c. How will it be used?

MOU Section 3: Scope

The scope section lists the agencies and jurisdictions to be included in the agreement and describes their relationship. This section can also discuss:

- The participants
- Level of command
- Level of government
- Subject of the MOU

Questions to consider:

1. Who are the public safety, public service, and other governmental and non-governmental agencies that will use the capability/resource?

2. What is the authorized user command level for the capability/resource?

MOU Section 4: Definitions

The definition section describes the operational and technical terms associated with the capability or resource for which the agreement is written. Providing definitions will help avoid confusion and uncertainty.

Questions to consider:

1. What are the technical and operational aspects of the capability/resource?
Consider including definitions for each.

2. Are there any community-specific terms or acronyms?
Consider including these acronyms and definitions.

MOU Section 5: Policy

The policy section of the MOU briefly describes circumstances under which the capability can be used. This section can also mention:

- Authorized use
- Activation
- Timing
- Other circumstances

Questions to consider:

1. When can the capability/resource be used?

2. When should the capability/resource be considered for use?

3. Who has the ability to authorize use of the capability/resource?

4. Are there operating procedures associated with this capability/resource?
Can specific procedures be referenced?

MOU Section 6: User Procedure Requirements

This section outlines the obligations of this agreement. For an agreement on sharing an enhanced capability, obligations may include:

- Training
- Exercises
- User requirements
- Responsible parties for ensuring training, and awareness

Questions to consider:

1. What are the training, exercise, and equipment requirements associated with participating in this MOU?

2. Are there additional requirements?

3. Are there any financial obligations that must be considered?

4. Are there operating procedures associated with this capability/resource?
Can specific procedures be referenced?

MOU Section 7: Maintenance

The maintenance section designates a responsible party or parties for maintaining equipment, systems, and licenses. The maintenance section can name a jurisdiction, agency, or individual.

Questions to consider:

- 1. What are the maintenance requirements associated with participating in this MOU?

- 2. Who will own the licenses?

- 3. Who will maintain the equipment?

MOU Section 8: Oversight

The oversight section describes how agencies or jurisdictions will deploy the new capability. It can also describe how the agencies can provide recommendations that affect policy and whether other agencies accept or reject these recommendations. A description of internal agency policy regarding usage of the capability can also be provided.

Questions to consider:

1. What governance structure oversees the use of this capability/resource and enforces all requirements of this MOU?

2. Who is the chair of this governance structure and how is he/she appointed?

3. What are the participation requirements in this governance structure of agencies entering this MOU?

4. How are issues affecting policy, recommendations, and/or subsequent change implemented by the governance structure?

5. What is the voting method within the governance structure?

6. How do individual agencies establish oversight authority for the capability/resource?



MOU Section 9: Responsibility for SOP Compliance

This section assigns responsibility to agencies to ensure Standard Operating Procedures (SOP) for the capability are followed. (See the following section to review how to write standard operating procedures.)

Questions to consider:

1. Who is responsible for ensuring the SOPs associated with this capability/resource are followed and that individual agency personnel are trained appropriately?

2. Who is the chair of this governance structure and how is he/she appointed?

MOU Section 10: Updates to the MOU

This section describes how updates can be made to the MOU. It includes:

- Information such as who has the authority to update the MOU
- How updates will be made
- How participating agencies will be notified of updates
- The types of updates that will require signatures of all participating agencies

Questions to consider:

1. Who has the authority to update/modify this MOU?

2. How will this MOU be updated/modified?

3. Will updates/modification require this MOU to have a new signature page verifying the understanding of changes by each participating agency?

Sample Application

The following can be used to add agencies, jurisdictions, or individuals to the agreement.

This application is submitted by the requesting agency to the chair of the **[governance body]** for participation in the **[name of capability/resource]**. **[Name of capability/resource]** participation is governed by the **[governance body]**. Submission and acceptance of this application grants the authority for the use of the **[name of capability/resource]** as outlined in this MOU and in accord with the **[capability/resource SOP]**. Each agency will need to update its own contact information with the **[governance body]**.

Approved By:

Name – Tribe Executive Representative

Date

Name – Law Enforcement Representative

Date

Name – Emergency Management Representative

Date

Name – Emergency Medical Services Representative

Date

Name – Fire Service Representative

Date

Name – Law Enforcement Representative

Date

Name – Other Agency Representative

Date

This MOU must be signed by the agency’s head or his/her designee and submitted to the appropriate governing body for consideration.

SAMPLE TRIBAL NATION DISASTER AND EMERGENCY MUTUAL AID AGREEMENT

**This MUTUAL AID AGREEMENT is hereby entered into by,
and between the following:**

**[Fill in name of Tribe]
and
[Fill in name of County]**

WHEREAS, [Insert Name] Tribe possess responsibilities for disaster and emergency prevention, mitigation, preparedness, response, and recovery operations in their respective jurisdictions; and

WHEREAS, [Insert Name] Tribe are subject to natural and man-made disasters, which could overwhelm their Tribal resources; and

WHEREAS, [Insert Name] Tribe have limited resources and trained personnel for disaster and emergency response, and there may be times when a **[Insert Name]** Tribe must call upon **[Insert Name]** County for aid and assistance to respond to a disaster or an emergency; and

WHEREAS, an informed, cooperative, coordinated response by **[Insert Name]** Tribe provides the most safe and cost-effective response to disasters and emergencies

NOW, THEREFORE, BE IT RESOLVED THAT the **[Insert Name]** Tribe enter into this Mutual Aid Agreement on the following terms and conditions:

1. PURPOSE AND SCOPE

- A. The purpose of this MUTUAL AID AGREEMENT (“AGREEMENT”) is to provide a formal mechanism for cooperation and coordination between **[Insert Name]** Tribe involving disaster and emergency resources.
- B. The scope of services of this Agreement includes, but is not necessarily limited to, trained and equipped fire, law enforcement, emergency medical services, public health, public works, emergency management, and other County resources.

2. COMMAND STRUCTURE:

Basic all-hazard response shall utilize the Standardized Emergency Management Systems (SEMS) as mandated by the State of California and the National Incident Management System (NIMS) as recommended by the United States Department of Homeland Security (DHS) to establish Unified Command.

3. DEFINITIONS:

- A. "Disaster" means the occurrence or imminent threat of widespread or severe damage, injury, or loss of life or property damage resulting from any natural, man-made or criminal cause, including but not limited to, tornadoes, windstorms, snowstorms, floods, earthquakes, landslides, mudslides, fires, explosions, acts of terrorism, air or water contamination requiring emergency action to avert danger or damage, infestations, riots, sabotage, disruption of services, accidents involving radiation by-products or other hazardous materials, bio-terrorism, or incidents involving weapons of mass destruction.
- B. "Disaster and emergency services" means the preparation for and carrying out of disaster an emergency functions and responsibilities, other than those for which military forces or other Tribal, Federal, or state agencies are primarily responsible, to prepare for, mitigate, respond to, prevent, and recover from injury and damage resulting from emergencies or disasters.
- C. "Disaster and Emergency Services (DES)" means an office in which the coordinators prepare and plan response for emergencies and disasters, respond to them when they occur, assist individuals and institutions to recover from them, mitigate their effects, reduce the risk of loss and prevent related disasters from occurring.
- D. "Disaster and Emergency Services Coordinator" means a Tribal Nation employee who coordinates all activities pertaining to the Tribal Nation's emergency management program.
- E. "Emergency" means the imminent threat of a disaster causing immediate peril to life or property that timely action can avert or minimize.
- F. "Incident" means an event or occurrence, caused by an individual, organization, entity, or by natural phenomena, requiring action by disaster and emergency services personnel to prevent or minimize loss of life or damage to property or natural resources.
- G. "Participant" means a tribal government who is signatory to this Agreement.
- H. "Prevention" includes but is not limited to appropriate sharing of intelligence and information, planning, training and exercise of responders, mitigation activities, and citizen education and training.

- I. “Response” means mobilizing and positioning emergency equipment and trained personnel in the event of a disaster or emergency where health, property, or environment is endangered.

4. REQUEST FOR ASSISTANCE:

- A. Should **[Insert Name]** Tribe request assistance under this agreement, it shall be formalized in writing through the Tribal Chairperson or the Tribal Disaster and Emergency Services Coordinator. The request shall utilize a request for assistance form similar to the sample hereto attached. See Appendix I, sample Request for Assistance form.
- B. **[Insert Name]** County who receives a request for assistance shall immediately determine their resources and trained personnel availability and notify the requesting Tribe as soon as practicable. The extent of aid to be provided under this Agreement shall be determined solely by the assisting County. The assisting County may withdraw any resource or trained personnel at any time. In that event, the assisting County shall make timely notification of resource withdrawal to the Disaster and Emergency Coordinator or Tribal Chairperson of the requesting Tribe.
- C. Personnel employed by the assisting County may respond to disaster and emergencies as authorized or directed by their employer, provided each employee meets the minimum training and certification requirements of the request. The assisting County may designate and send a trained Tribal disaster and emergency services liaison with the resources or personnel sent pursuant to a request.

5. COSTS

- A. **[Insert Name]** County shall be responsible for the training, equipping and salary of their employee responders for the duration of the deployment.
- B. In its request for assistance, the requesting **[Insert Name]** Tribe shall indicate, to the extent known, the requesting Tribe’s ability and/or commitment to reimburse the responding County for its/their resources and personnel. Reimbursement arrangements, if any, between the Participants is a matter to be worked out between the Participants and is not governed by this agreement.
- C. The Participants will to the fullest extent possible coordinate in the reimbursement process and prioritize reimbursement of the requested Participant.

6. HOLD HARMLESS AND INDEMNIFICATION

Each participant shall responsible for any liability, injury, damage or loss that may be incurred as a result of any suit, claim, demand, judgment or settlement made against its officers, employees, or agents resulting from their (non-criminal) intentional or negligent acts, errors, or omissions

in connection with any activities performed under this Agreement. Each participant also agrees to hold harmless, indemnify and defend all other Participants from any and all losses, liabilities, injury, damage, claims or expenses (including attorney's fees and costs) of any nature caused by the (non-criminal) intentional or negligent acts, errors, or omission of such Participant's officers, employees or agents in connection with any activities performed under this Agreement.

7. LIMITED WAIVER OF SOVEREIGN IMMUNITY

For purposes of a Participant's enforcement of the obligations under Section 6, the undersigned Participants agree to a limited waiver of sovereign immunity as follows: (A) the waiver is unlimited to only Participants to this Agreement seeking to enforce obligations under Section 6; (B) the waiver is limited to the Tribal Court of the Participant who is the defendant in the action. The waiver is limited to only monetary damages with a maximum aggregate ceiling of \$50,000 for all claims that may be brought by a Participant arising from an incident, including attorney's fees to bring those claims; and (C) where a Participant has insurance coverage over the claim, the amount of monetary recovery by a Participant seeking enforcement may be up to the policy limits of such insurance coverage, and the defending Participant agrees not to raise sovereign immunity as a defense up to policy limits. Except for the limited waiver of sovereign immunity set forth above, the Participants' sovereign immunity remains in full force and effect in all other respects and against all other persons and claims.

8. ANNUAL REVIEW

The Disaster and Emergency Coordinators for the **[Insert Name]** Tribe shall meet annually to review this Agreement and to discuss improvements to coordination and implementation. A list of the Coordinators is attached as Appendix 2, and will be updated annually.

9. AMENDMENTS

Changes within the scope of this Agreement shall be made by the approval of signatory Participants.

10. TERMINATION

The **[Insert Name]** Tribe named in this Agreement may terminate their participation in this Agreement for any reason at any time by providing written notice to **[Insert Name]** County. Any outstanding obligations of the withdrawing Tribe under Sections 6 and 7 shall survive such termination.

11. TERM

This Agreement shall take effect on the date the Participant signs the Agreement and is effective through **[Insert Date]**, at which time the Agreement will expire unless extended. So long as at least two Participants choose to participate in the Agreement.

12. SIGNATURES

By signature hereon, the undersigned **[Insert Name]** Tribe and **[Insert Name]** County agree to support and participate in the activities as set forth in this Agreement. The **[Insert Name]** Tribe and **[Insert Name]** County have duly authorized the undersigned person to sign this Agreement on behalf of their entity.

For [Insert Name] Tribe:

Tribal Representative, **[Insert Name]** Tribe Date

For [Insert Name] County:

County Representative, **[Insert Name]** County Date

Appendix I

Request for Mutual Aid Assistance Under the Mutual Aid Agreement

Requesting Tribe: _____

Authorizing Request for Requesting Tribe (Name and Title): _____

Tribal Council Resolution Number/Date (if applicable): _____

Requested County: _____

Nature of Emergency or Other Basis for Assistance Request: _____

Duration of Requested Assistance (Anticipated or Known): _____

Form/Location of Assistance Requested: _____

Cost Reimbursement, if Any: _____

Signature of Authorized Requestor

Date



Appendix II

Principal Contacts – [Insert Name] Tribe Emergency Managers

Principal Contacts – [Insert Name] County Emergency Managers

SAMPLE TRIBAL NATION DISASTER AND EMERGENCY MUTUAL AID AGREEMENT

This MUTUAL AID AGREEMENT is hereby entered into by, between and among the following Federally Recognized Tribes:

**The Blackfeet Nation, Confederated Salish and Kootenai Tribes,
Crow Nation, Northern Cheyenne Tribe,
Fort Belknap Indian Community Council, Fort Peck Tribes
Assiniboine/Sioux, and Chippewa Cree Tribe of Rocky Boy's Reservation**

WHEREAS, Montana's Tribal Nations possess responsibilities for disaster and emergency prevention, mitigation, preparedness, response, and recovery operations in their respective jurisdictions; and

WHEREAS, Tribal Nations are subject to natural and man-made disasters, which could overwhelm their Tribal resources; and

WHEREAS, Tribal Nations have limited resources and trained personnel for disaster and emergency response, and there may be times when a Tribal Nation must call upon one or more Tribal Nations for aid and assistance to respond to a disaster or an emergency; and

WHEREAS, an informed, cooperative, coordinated response by all Tribal Nations provides the most safe and cost-effective response to disasters and emergencies

NOW, THEREFORE, BE IT RESOLVED THAT Montana's Tribal Nations enter into this Mutual Aid Agreement on the following terms and conditions:

1. PURPOSE AND SCOPE

- A. The purpose of this MUTUAL AID AGREEMENT ("AGREEMENT") is to provide a formal mechanism for cooperation and coordination between Montana Tribal Nations involving disaster and emergency resources.
- B. The scope of services of this Agreement includes, but is not necessarily limited to, trained and equipped fire, law enforcement, emergency medical services, public health, public works, emergency management, and other Tribal resources.

2. COMMAND STRUCTURE:

Basic all-hazard response shall utilize the National Incident Management System (NIMS) as recommended by the United States Department of Homeland Security (DHS) to establish Unified Command.

3. DEFINITIONS:

- A. "Disaster" means the occurrence or imminent threat of widespread or severe damage, injury, or loss of life or property damage resulting from any natural, man-made or criminal cause, including but not limited to, tornadoes, windstorms, snowstorms, floods, earthquakes, landslides, mudslides, fires, explosions, acts of terrorism, air or water contamination requiring emergency action to avert danger or damage, infestations, riots, sabotage, disruption of services, accidents involving radiation by-products or other hazardous materials, bio-terrorism, or incidents involving weapons of mass destruction.
- B. "Disaster and emergency services" means the preparation for and carrying out of disaster emergency functions and responsibilities, other than those for which military forces or other Tribal, Federal, or state agencies are primarily responsible, to prepare for, mitigate, respond to, prevent, and recover from injury and damage resulting from emergencies or disasters.
- C. "Disaster and Emergency Services (DES)" means an office in which the coordinators prepare and plan response for emergencies and disasters, respond to them when they occur, assist individuals and institutions to recover from them, mitigate their effects, reduce the risk of loss and prevent related disasters from occurring.
- D. "Disaster and Emergency Services Coordinator" means a Tribal Nation employee who coordinates all activities pertaining to the Tribal Nation's emergency management program.
- E. "Emergency" means the imminent threat of a disaster causing immediate peril to life or property that timely action can avert or minimize.
- F. "Incident" means an event or occurrence, caused by an individual, organization, entity, or by natural phenomena, requiring action by disaster and emergency services personnel to prevent or minimize loss of life or damage to property or natural resources.
- G. "Participant" means a tribal government who is signatory to this Agreement.
- H. "Prevention" includes but is not limited to appropriate sharing of intelligence and information, planning, training and exercise of responders, mitigation activities, and citizen education and training.
- I. "Response" means mobilizing and positioning emergency equipment and trained personnel in the event of a disaster or emergency where health, property, or environment is endangered.

4. REQUEST FOR ASSISTANCE:

- A. A Tribal Nation requesting assistance under this agreement shall be formalized in writing through the Tribal Chairperson or the Tribal Disaster and Emergency Services Coordinator. The request shall utilize a request for assistance form similar to the sample hereto attached. See Appendix I, sample Request for Assistance form.
- B. A Tribal Nation receiving a request for assistance shall immediately determine their resources and trained personnel availability and notify the requesting Tribal Nation as soon as practicable. The extent of aid to be provided under this Agreement shall be determined solely by the assisting Tribal Nation. The assisting Tribal Nation may withdraw any resource or trained personnel at any time. In that event, the assisting Tribal Nation shall make timely notification of resource withdrawal to the Disaster and Emergency Coordinator or Tribal Chairperson of the requesting Tribal Nation.
- C. Personnel employed by the assisting Tribal Nation may respond to disaster and emergencies as authorized or directed by their employer Tribal Nation, provided each employee meets the minimum training and certification requirements of the request. An assisting Tribal Nation may designate and send a trained Tribal disaster and emergency services liaison with the resources or personnel sent pursuant to a request.

5. COSTS

- A. Each Tribal Nation shall be responsible for the training, equipping and salary of their employee responders for the duration of the deployment.
- B. In its request for assistance, the requesting Tribal Nation shall indicate, to the extent known, the requesting Tribal Nation's ability and/or commitment to reimburse the responding Tribal Nation(s) for its/their resources and personnel. Reimbursement arrangements, if any, between the Participants is a matter to be worked out between the Participants and is not governed by this agreement.
- C. The Participants will to the fullest extent possible coordinate in the reimbursement process and prioritize reimbursement of the requested Participant.

6. HOLD HARMLESS AND INDEMNIFICATION

Each participant shall be responsible for any liability, injury, damage or loss that may be incurred as a result of any suit, claim, demand, judgment or settlement made against its officers, employees, or agents resulting from their (non-criminal) intentional or negligent acts, errors, or omissions in connection with any activities performed under this Agreement. Each participant also agrees to hold harmless, indemnify and defend all other Participants from any and all losses, liabilities, injury, damage, claims or expenses (including attorney's fees and costs) of any nature caused by the (non-criminal) intentional or negligent acts, errors, or omission of such Participant's officers, employees or agents in connection with any activities performed under this Agreement.

7. LIMITED WAIVER OF SOVEREIGN IMMUNITY

For purposes of a Participant's enforcement of the obligations under Section 6, the undersigned Participants agree to a limited waiver of sovereign immunity as follows: (A) the waiver is unlimited to only Participants to this Agreement seeking to enforce obligations under Section 6; (B) the waiver is limited to the Tribal Court of the Participant who is the defendant in the action. The waiver is limited to only monetary damages with a maximum aggregate ceiling of \$50,000 for all claims that may be brought by a Participant arising from an incident, including attorney's fees to bring those claims; and (C) where a Participant has insurance coverage over the claim, the amount of monetary recovery by a Participant seeking enforcement may be up to the policy limits of such insurance coverage, and the defending Participant agrees not to raise sovereign immunity as a defense up to policy limits. Except for the limited waiver of sovereign immunity set forth above, the Participants' sovereign immunity remains in full force and effect in all other respects and against all other persons and claims.

8. ANNUAL REVIEW

The Disaster and Emergency Coordinators for the Tribal Nations shall meet annually to review this Agreement and to discuss improvements to coordination and implementation. A list of the Coordinators is attached as Appendix 2, and will be updated annually.

9. AMENDMENTS

Changes within the scope of this Agreement shall be made by the approval of all signatory Tribal Nations.

10. TERMINATION

Any Tribal Nation to this Agreement may terminate their participation in this Agreement for any reason at any time by providing written notice to other Participants. Any outstanding obligations of the withdrawing Tribal Nation under Sections 6 and 7 shall survive such termination.

11. TERM

This Agreement shall take effect on the date the fourth Participant signs the Agreement and is effective through December 31, 2010, at which time the Agreement will expire unless extended. So long as at least two Participants choose to participate in the Agreement.

12. SIGNATURES

By signature hereon, the undersigned Tribal Nations agree to support and participate in the activities as set forth in this Agreement. The Tribal Nations have duly authorized the undersigned person to sign this Agreement on behalf of their Nation.

For Blackfeet Nation:

Tribal Chairman, Blackfeet Nation	Date
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For Confederated Salish and Kootenai Tribes:

Tribal Chairman, Confederated Salish and Kootenai Tribes	Date
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For Fort Belknap Assiniboine/Gros Ventre:

Tribal Chairman, Fort Belknap Assiniboine/Gros Ventre	Date
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For Fort Peck Tribes Assiniboine/Sioux:

Tribal Chairman, Fort Peck Tribes Assiniboine/Sioux	Date
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For Crow Nation:

Tribal Chairman, Crow Nation	Date
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For Chippewa Cree Tribe of Rocky Boy's Reservation:

Tribal Chairman, Chippewa Cree Tribe	Date
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For Northern Cheyenne Tribe:

Tribal Chairman, Northern Cheyenne Tribe	Date
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Appendix I

Request for Mutual Aid Assistance Under the Mutual Aid Agreement

Requesting Nation: _____

Authorizing Request for Requesting Nation (Name and Title): _____

Tribal Council Resolution Number/Date (if applicable): _____

Requested Nation(s): _____

Nature of Emergency or Other Basis for Assistance Request: _____

Duration of Requested Assistance (Anticipated or Known): _____

Form/Location of Assistance Requested: _____

Cost Reimbursement, if Any: _____

Signature of Authorized Requestor

Date

Appendix II

Principal Contacts – Tribal Emergency Managers



