



Sheltered and waiting  
AP/Wide World Photos

# Federal Preparations

**T**he National Response Plan (NRP) was intended to form the basis of the federal government's response to disasters and for its interaction with state and local governments during such events. The response to the Hurricane Katrina disaster varied across the federal government.

The Department of Homeland Security (DHS), which is charged with preparing for and responding to domestic incidents, whether terrorist attacks or natural disasters, failed to lead an effective federal response to Hurricane Katrina. DHS did not fully adapt or adequately train to meet its obligations under the NRP before Hurricane Katrina. Nor did the Department address the known deficiencies of the Federal Emergency Management Agency (FEMA), such as staffing shortages, inadequate training, poor commodities tracking, and insufficient plans for post-disaster communications. In the critical days before landfall, DHS leadership mostly watched from the sidelines, allowed FEMA to take the lead, and missed critical opportunities to help prepare the entire federal government for the response.

The Coast Guard – like FEMA, a DHS component – prepared well, largely on its own initiative, due to its well-developed and well-exercised hurricane plans and a commitment to deploying assistance without waiting for requests.

Under the NRP, the Department of Defense has a supporting role for all Emergency Support Functions, and provides help as requested by FEMA. Traditionally, DOD's policy has been to step in only when local, state, and federal resources have been overwhelmed. DOD took modest steps to prepare before Katrina, deploying liaison personnel to coordinate the response and establishing administrative processes so that it was fully prepared to handle FEMA requests once they arrived.

The Department of Health and Human Services (HHS) began to mobilize U.S. Public Health Service officers days before the storm, but poor planning meant that some never arrived, while others got no further than Jackson, Mississippi. Though HHS ordered additional medical supplies from the Strategic National Stockpile the day before landfall so that they could arrive at the New Orleans Superdome before Katrina struck, they didn't arrive until the day of landfall.

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## Department of Homeland Security

DHS and its leaders failed to prepare the nation adequately for the unprecedented devastation of Hurricane Katrina. As discussed in Chapter 27, DHS failed to fully adapt and appropriately train to meet the requirements of the NRP in the nine months between its promulgation and Hurricane Katrina. Nor did the Department address FEMA's deficiencies such as staffing shortage, weaknesses in commodities tracking, and insufficient plans for post-disaster communications.

This chapter examines the steps DHS leaders took in the critical days before Katrina made landfall, and what they could have done differently to speed and coordinate the federal response and thereby reduce victims' suffering. As Katrina was bearing down on the Gulf Coast, they failed to take reasonable steps during that period to create a full awareness and a sense of urgency across the federal government about the impending catastrophe. DHS's actions and inactions during the days immediately prior to landfall had consequences in the days that followed.

Besides DHS's failure to organize, train, and equip its personnel under the NRP, poor preparation, and missed opportunities led to responders' improvising actions because they had no clear plan to guide them. The failures of the response flowed logically from these mistakes made before landfall.

### **DHS Leadership in the Days Before Landfall**

The job of leading the federal response to a catastrophe rests with the Secretary of DHS.<sup>1</sup> In the days before Katrina made landfall, DHS Secretary Michael Chertoff's efforts in this regard fell short of what was reasonably expected of him.

Secretary Chertoff testified that he saw his role as "lead[ing] the entire Department, imparting strategic guidance and direction based upon the plan developed, priorities established, and information provided. I also work with the President and other Department heads and deal with governors, members of Congress and other officials."<sup>2</sup>

Secretary Chertoff testified that over the course of the weekend before landfall, he "followed planning activities closely" and "stayed in continual contact with senior DHS and FEMA officials and my experienced advisors."<sup>3</sup>

On the Saturday before landfall, Secretary Chertoff was at home working on unrelated matters, and his only apparent Katrina-related activity was to receive a briefing about that day's FEMA video teleconference (VTC).<sup>4</sup> These video teleconferences are a means by which key federal and state personnel involved in emergency management share information about their disaster preparations, including the latest weather forecasts, the progress of evacuations, and the pre-positioning of commodities.

On Sunday, Secretary Chertoff participated in the FEMA VTC. He heard assurances from then-FEMA Director Michael Brown and others that preparations were well in hand. For instance, Brown told attendees on the conference call "I want that supply chain jammed up as much as possible. ... Just keep jamming those lines full as much as you can with commodities" and "get to the edge of the envelope ... if you feel like you [missing] go ahead and do it. I'll figure out some way to justify it."<sup>5</sup>

Secretary Chertoff offered to assist Brown in enlisting aid from other DHS components: "If there's anything that you need from Coast Guard or any other components that you're not getting, please let us know."<sup>6</sup> Brown told Secretary Chertoff, "I appreciate it ... the Coast Guard and ICE [Immigration and Customs Enforcement] and all of the others have been incredibly good to us." Secretary Chertoff also asked, "Are there any DOD assets that might be available? Have we reached out to them [DOD], and have we I guess made any kind of arrangement in case we need some additional help from them?" Brown responded that there were DOD assets at the State Emergency Operations Center (EOC) in Baton Rouge that were "fully engaged."<sup>7</sup>

Secretary Chertoff testified that he did not second-guess statements he heard on the Sunday VTC – including those by state emergency managers and state National Guard officials who, as he termed it, "express[ed] very clearly their satisfaction with the state of affairs."<sup>8</sup> During the August 28 conference call, Brown asked the Acting Deputy Director of the Louisiana Office of Homeland Security and Emergency Preparedness (LOHSEP), Colonel Jeff Smith, if there were "any unmet needs, anything that we're not getting to you that you need" to which Colonel Smith responded, "Mike, no ... it looks like those resources that are en route are going to – to be a good first shot." Colonel Smith also cautioned that, "Naturally, once we get into this thing ... I'm sure that things are going to come up that maybe some of even our best planners hadn't even thought about. So I think flexibility is going to be the key." He also stated that it would be important to "cut through any potential red tape when

those things do arise.”<sup>9</sup> The Mississippi representative on the call said “FEMA has been great. You’re leaning forward, and we appreciate that.” He later said, “We’ve got everything that we need from the federal government.”<sup>10</sup> Secretary Chertoff thought the emergency-management officials on that call had hundreds of years of combined professional experience managing hurricanes.<sup>11</sup>

Secretary Chertoff also spoke with Governors Barbour of Mississippi, Blanco of Louisiana, and Riley of Alabama that day.<sup>12</sup>

The Secretary and other senior leaders did not take affirmative steps prior to landfall, beyond his statements on the Sunday VTC, to ensure that DHS components with operational responsibilities under the NRP were prepared to respond.<sup>13</sup> Instead, the evidence suggests that Secretary Chertoff and DHS responded to Katrina as if DHS headquarters had no special responsibilities outside the normal course of operations.

Despite assurances and lack of affirmative requests from the governors of the Gulf states, the Secretary still should have taken additional steps to better prepare his Department for the coming storm.

From all corners, the message throughout the weekend, especially at the Saturday and Sunday VTCs, was that a catastrophe was about to strike the Gulf Coast, and the greater New Orleans area in particular. The head of the National Hurricane Service, Max Mayfield, had been making calls to leaders in parishes, cities, states, and the federal government. The Hurricane Pam exercise in 2004 had predicted that flooding from a catastrophic storm – what had been known for years among meteorologists and government officials as the “New Orleans scenario” – might kill as many as 60,000. In the weekend conference call, Brown referred to the approaching storm as the “big one.”<sup>14</sup> As Mayfield said, “I think the wisest thing to do here is plan on a Category 5 hurricane ... no matter where it hits it’s going to have an impact over a very, very large area. ... I don’t think any model can tell you with any confidence right now whether the levees will be topped or not, but that’s obviously a very, very grave concern.”<sup>15</sup>

During the weekend, as Katrina neared New Orleans, there was a need for initiative, for recognition of the unprecedented threat and the equally unprecedented response it required. Leadership – direction, encouragement, a sense of purpose and urgency – was needed. Secretary Chertoff did not provide it.

For example, he did not ask specifically what preparations were under way, how much material was being pre-positioned, and whether it would be enough.<sup>16</sup> And though the DHS Inspector General had issued a draft report in June 2005 stating that FEMA’s logistics-management systems had performed poorly during the four Florida hurricanes in 2004,<sup>17</sup> Secretary Chertoff did not inquire whether the system could handle the expected impact of Katrina. The Committee has found no evidence to suggest that anyone, including Secretary Chertoff, attempted to determine if the system could handle the expected impact of Katrina. Similarly, a DHS study had concluded that FEMA’s procurement office was understaffed.<sup>18</sup> Yet the Secretary did not ask whether this important office was up to the coming task.

Although he has stated repeatedly that he relied on Brown as his “battlefield commander,”<sup>19</sup> aside from on the Sunday VTC, according to Brown, Secretary Chertoff did not talk to his “commander” directly over the weekend, either while Brown was in Washington or after he left for the Gulf on Sunday afternoon.<sup>20</sup> In view of Secretary Chertoff’s testimony that he stayed in contact with “senior DHS and FEMA officials and [his] experienced advisors,”<sup>21</sup> this omission is particularly inexplicable. Because Secretary Chertoff was placing so much faith in Brown to lead the preparations and response, it was incumbent on the Secretary to do more

than just have a brief conversation with him in front of dozens of state, local, and federal officials – including the President of the United States – on a VTC. Secretary Chertoff should have called Brown privately to discuss in more detail the status of preparations and the level of cooperation Brown was getting from DHS and other government departments.

Conversely, Brown failed to inform the Secretary of the FEMA deficiencies that he has since claimed in testimony and media interviews to have known about at the time. These two key players' failure to communicate is evidence of the profound dysfunction then existing between DHS and FEMA leadership.

Additionally:

- There should have been a plan to maintain situational awareness at the Homeland Security Operations Center (HSOC). The Director of DHS' Operations Center, Matthew Broderick, testified “there was no plan.”<sup>22</sup> The HSOC plans months in advance for events such as the Super Bowl, yet no effort was being made to identify sources of information specific to New Orleans and the Gulf Coast, such as local National Weather Service stations or local media outlets. Rather, the intention was to rely exclusively on FEMA officials and the very state and local entities that would be bearing the brunt of the storm's fury to provide situational awareness. Secretary Chertoff bears ultimate responsibility for ensuring that there is such a plan.<sup>23</sup> (See Chapter 19 for further information on situational awareness.)
- The National Communications System (NCS) never developed a plan to restore communications to emergency responders, such as the police and fire departments, after a catastrophic disaster. Instead, the NCS intended to rely solely on the private sector to restore communications capabilities.<sup>24</sup> Additionally, Peter Fonash, the Director of NCS, was not familiar with the “New Orleans scenario,” until the day before landfall.<sup>25</sup> The Secretary bears ultimate responsibility for this lack of preparation.
- The investigation uncovered no evidence that anyone coordinated with the Department of Justice (DOJ) to determine which agency was going to take the lead under Emergency Support Function 13, Public Safety and Security.<sup>26</sup> (See Chapter 25, Public Safety and Security.) There was no DOJ representative at the Public Safety and Security desk at the FEMA National Response Coordination Center (NRCC),<sup>27</sup> FEMA's national operations center in charge of overall coordination of the response at the national level. Each of the Emergency Support Functions is represented there to coordinate activities in their area of expertise. Additionally DOJ did not have a response plan (either for itself or to coordinate with DHS) to execute Public Safety and Security responsibilities following a natural disaster.
- The investigation uncovered no evidence that senior DHS leadership contacted the leadership of Immigration and Custom Enforcement (ICE), Customs and Border Patrol (CBP), Federal Protective Service (FPS) or the Secret Service to assess their planning and preparation – or even to determine if they *were* planning and preparing. There was confusion over staffing the Public Safety and Security desk at the NRCC – FPS had attempted to send a representative to the desk, only to be rebuffed by FEMA.<sup>28</sup> Moreover, ICE was going forward with a previously scheduled conference in Baltimore for its Special Agents in Charge (SACs), and the New Orleans SAC was still planning to fly out Sunday



morning to attend the conference rather than remain in the area to lead his office's response efforts after the storm had passed.<sup>29</sup>

In addition, the Secretary has broader responsibilities that reach across the federal government.<sup>30</sup> Yet, there is no evidence, nor any testimony by the Secretary, that he reached out to other Cabinet secretaries to assess their level of preparedness, to determine if they were coordinating efforts with DHS, or to ensure that they responded quickly and fully to any requests that might come from DHS or FEMA.<sup>31</sup>

Finally, it is reasonable to expect that the Secretary would be engaged with the President during critical times in a catastrophe. The Committee was unable to develop any record as to whether the Secretary was in fact keeping the President informed in the pre-storm period.

The lack of plans to maintain situational awareness, the lack of coordination in the deployment of federal law enforcement assets, and the communications problems at all levels of government all resulted in part from some of the pre-landfall inaction described above.

Much was expected of Secretary Chertoff, and there were things that only he, as a Cabinet secretary, could do. In his testimony before the Committee, U.S. Comptroller General David Walker (the head of the non-partisan Government Accountability Office, which is commonly referred to as the investigative arm of Congress) described the unique leverage

Inspecting: General Landreneau,  
Mayor Nagin, Michael Brown,  
Senator Landrieu (behind Brown),  
President Bush, Senator Vitter

U.S. Coast Guard photo

of such a position: “No matter how capable the person [leading the response effort] might be, level matters in this town, unfortunately, especially with regard to certain departments and agencies like the Department of Defense. Hierarchy is real.”<sup>32</sup>

### What DHS Should Have Done

The evidence suggests that neither Secretary Chertoff nor DHS leaders fully understood the Department’s responsibilities under the NRP. But he had at his disposal other mechanisms that could prompt greater coordination of response and recovery efforts, as well as to convey an increased sense of urgency. He did not take advantage of them. Three of these mechanisms warrant greater scrutiny.

### What DHS Should Have Done: The Catastrophic Incident Annex

The NRP-Catastrophic Incident Annex (NRP-CIA) exists to create a “proactive national response to a catastrophic incident.”<sup>33</sup> For a “typical” disaster, the standard practice is that the federal government does not extend aid until a state requests assistance. During a catastrophe, however, NRP-CIA activation prompts the government to help without waiting for requests.<sup>34</sup> Secretary Chertoff did not activate the NRP-CIA, as he had the authority to do.

None of the senior DHS officials interviewed recalled considering activating the NRP-CIA pre-landfall,<sup>35</sup> and it isn’t clear from Secretary Chertoff’s testimony whether he considered doing so.<sup>36</sup> Secretary Chertoff has since stated that he believed that Katrina “was not the type of event contemplated by the CIA”<sup>37</sup> because, in his view, the NRP-CIA was for “no-notice or short-notice incidents where anticipatory preparation and coordination with the state under the Stafford Act [which authorizes the federal government to play a role in emergency response] are not possible.”<sup>38</sup> This interpretation is not imposed by the Stafford Act and is illogical. As Comptroller General Walker testified to the Committee, “The idea that we would be less proactive in dealing with a known natural disaster just defies common sense.”<sup>39</sup>

The NRP-CIA refers to the Catastrophic Incident Supplement (NRP-CIS) for specific operational details such as what “incident-specific ‘packages’” the various federal agencies will be expected to deploy once the NRP-CIA is activated.<sup>40</sup> The Supplement was still in draft when Katrina made landfall.<sup>41</sup> The draft Supplement provides that it should be used when the “Secretary determines that an incident has resulted or *will result* in a mass victim/mass evacuation situation.”<sup>42</sup> The Committee believes that a major hurricane bearing down on a major American city lying below sea level qualifies as an event that is likely to result in “extraordinary levels of mass casualties, damage or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions.”<sup>43</sup>

It does appear that the issue was at least raised to a FEMA official. Janet Benini, a former Director for Response and Planning for the White House Homeland Security Council, worked on developing the Catastrophic Incident Supplement and a planning scenario that included a catastrophic hurricane striking Louisiana.<sup>44</sup> On Saturday, August 27, Benini e-mailed David Garratt, Deputy Director of FEMA’s Recovery Division, to ask whether there was “any talk of implementing the Catastrophic Plan.” Benini noted that “with a Cat 4 heading directly into New Orleans this might be the time.” Garratt responded that he had heard no such discussion.<sup>45</sup>

Apart from any practical benefits, activating the NRP-CIA pre-landfall would have changed the tenor of federal preparation efforts, prompting federal agencies to anticipate state and local needs instead of waiting for requests from overwhelmed officials in Louisiana and Mississippi. Brown said: “[I]n every disaster we push, because we pre-positioned supplies and equipment, but in this case we should have started the push system that never stopped. You

know, we pre-positioned and then tried to see what was going to happen and then started it back up again. We should have just kept pushing.”<sup>46</sup>

Obviously, the precise effect of such an activation is difficult to quantify, and the NRP-CIA is not a panacea. As noted above, its operational component – the Catastrophic Incident Supplement – was not yet complete or in effect, nor had federal agencies trained or exercised its use. Nevertheless, the Committee believes that activating the NRP-CIA could have led to the mobilization and deployment of some additional assets before they were requested through normal NRP protocols.

Activating the NRP-CIA also could have accelerated the involvement of the Department of Defense. Under the NRP, DOD is a supporting agency to all 15 Emergency Support Functions. As discussed elsewhere in the report (see Chapter 26, Military Operations), the day after landfall, DOD took the initiative and activated forces, deploying troops and resources without waiting for requests for assistance from FEMA or the affected states. DOD eventually deployed over 20,000 active-duty military personnel and coordinated deployment of 50,000 National Guard troops, as well as hundreds of helicopters, and numerous ships.<sup>47</sup> Activating the NRP-CIA may have accelerated DOD planning even further, resulting in earlier pre-positioning of helicopters and deployment of ships, which did not sail from Norfolk, Virginia, until August 31, two days after landfall.<sup>48</sup>

While speculative, these examples illustrate how the disaster response may have proceeded more efficiently had DHS acted with a greater sense of urgency and activated the NRP-CIA before landfall.<sup>49</sup>

#### **What DHS Should Have Done: Appointment of a PFO**

Secretary Chertoff did not appoint a Principal Federal Officer (PFO) until the evening of Tuesday, August 30, approximately 36 hours after landfall.<sup>50</sup> The position is provided for in the NRP so that the Secretary will have an on-the-ground representative to oversee the federal response. It is designed to support the unified command structure and be the primary point of contact and situational awareness for the Secretary in a disaster area.<sup>51</sup> The Secretary appointed a PFO months in advance for events such as the Super Bowl.<sup>52</sup> Yet DHS waited until the day *after landfall* to appoint one for what many government officials – including Brown – feared was a potential catastrophe.

Secretary Chertoff testified that he did not appoint a PFO on Saturday, when the President issued the emergency declaration for Louisiana, because the PFO “doesn’t exercise command authority; it is a coordinating authority.” He also stated that he believed Brown had all the authority he needed to coordinate the federal effort by virtue of his rank within DHS. The Secretary elaborated:

Given the fact that Michael Brown was an Under Secretary of the Department, so he was the third ranking member of the Department, at least in terms of level, and given the fact that he and the team working on this had been working together for a week, I frankly didn’t think it was necessary at that point to add an additional title or additional measure of authority.<sup>53</sup>

The Committee disagrees that Brown’s rank in DHS was a substitute for PFO designation. With other duties to perform, and with no way of knowing whether Katrina would be the only disaster in store, Brown was in no position to commit to the 100 percent on-scene focus required in a PFO. The Committee believes Secretary Chertoff should have appointed a PFO in conjunction with the President’s declaration on Saturday, August 27.<sup>54</sup> Doing so could have laid the groundwork for a unified approach to preparation and signaled strongly that DHS and the federal government was stepping forward with all available assets. Ap-



pointment before landfall could have allowed the individual appointed to bring together state, local, and other federal officials in the region and to put in place coordinated plans for a response in advance of the storm rather than trying to establish control in the midst of the response. Deficiencies, such as the failure to evacuate special-needs individuals or the lack of planning for post-landfall evacuation of the general population, might have been identified earlier. None of this happened.<sup>55</sup>

That said, it's unclear that appointing Brown PFO prior to landfall would have improved the response. Brown has made it very clear that he did not want to be appointed PFO. In fact, he thought the entire concept "silly,"<sup>56</sup> as he felt it added an unnecessary layer of bureaucracy. The choice of Brown as PFO – whether before landfall or after – was poor, even if for no other reason than his animosity toward the PFO concept, the NRP, and DHS, not to mention his lack of emergency-management training and experience. Perhaps Secretary Chertoff, who was in his position for less than seven months, wasn't aware of Brown's attitudes or was poorly advised. Or perhaps he chose Brown in the hope that he would rise above policy differences in the face of catastrophe.

One of the PFO's main responsibilities is to keep DHS leadership informed of the situation on the ground,<sup>57</sup> but Brown, who has expressed disdain for this structure as inefficient, refused to communicate with the Secretary, circumventing the chain of command to communicate directly with the White House. His actions were inexcusable – not only insubordinate, but disruptive to DHS's awareness of the threats and problems that it was facing.

Brown was a poor choice for another reason. Even when appointed PFO, Brown remained the Director of FEMA, an apparent violation of the NRP's requirement that a PFO not be "dual hatted" with any other roles or responsibilities that could detract from their overall incident-management responsibilities.<sup>58</sup> According to DHS Deputy Secretary Michael Jackson, "for the incident of a hurricane, PFO and Director of FEMA, *'macht Nichts'* [German: 'amounts to nothing']: they both have the same capacities, capabilities, performance capabilities in managing the events."<sup>59</sup> There is, however, a practical reason why a PFO should have no other responsibilities: the PFO has to be focused entirely on the catastrophe at hand. But just as DHS and Secretary Chertoff had responsibilities that were broader than Katrina, so, too, did FEMA and its Director. On Thursday, September 1, a minor earthquake occurred in California.<sup>60</sup> Had this earthquake been more severe – or had there been wildfires, flooding, or another disaster elsewhere – it remained FEMA's responsibility to respond, and the FEMA Director's job to see that it did so. Either Brown shouldn't have been appointed PFO, or someone else should have become Acting Director of FEMA. Neither happened.

### **What DHS Should Have Done: Activating the IIMG**

The Interagency Incident Management Group (IIMG) brings together senior-level officials from multiple agencies, in theory to assist the Secretary of Homeland Security in managing national incidents. The IIMG was formally activated at 11:30 a.m., Tuesday, August 30.<sup>61</sup> Over the weekend, the Director of the IIMG, Robert Stephan, consulted twice with Matthew Broderick, who, as the Director of the Homeland Security Operations Center, the primary hub for domestic incident management, operational coordination and situational awareness, was charged with recommending activation to the Secretary. Stephan recalled asking Broderick whether there was "anything significant at this point in time that we need to be worried about and that would cause us to bring in the IMG [sic] this evening? And the answer was no."<sup>62</sup> Each time the two consulted, they decided that the FEMA and HSOC structures were "robust" enough without the IIMG.<sup>63</sup> Instead, prior to landfall, members of the IIMG were told to be ready to convene on 90 minutes' notice.<sup>64</sup>

It's unclear whether early activation of the IIMG might have resulted in a more effective federal response. Though the IIMG was designed to be a mechanism by which to share information, identify available resources, and coordinate government efforts, some witnesses criticized the IIMG as ineffective in practice. One witness derisively called it the "bright idea brigade."<sup>65</sup> The FEMA designee to the IIMG said that it actually hindered response efforts after its activation in Hurricane Katrina by meddling in operational details.<sup>66</sup> One emergency-preparedness officer said that "It became a huge animal you have to feed information to."<sup>67</sup>

Since the IIMG was not activated until recovery was under way, it's unclear whether response efforts would have improved if it had been activated pre-landfall. However, the decision not to activate the IIMG prior to landfall suggests that DHS leadership did not fully recognize the potential scope of the damage Katrina presented, or its obligation to lead the federal response in accordance with the NRP. While the performance of the IIMG appears to have been mixed after landfall, things might have gone more smoothly if it had been activated sooner and been allowed before the height of the crisis to work through issues associated with its first use since the implementation of the NRP.<sup>68</sup> Alternatively, if activating the IIMG before landfall was not called for in an incident the magnitude of Katrina, this calls into the question the utility of the organization itself and suggests that consideration should be given to abolishing it and distributing its functions to operating elements.

## Conclusion

Despite knowledge that Katrina was a looming "nightmare scenario,"<sup>69</sup> DHS and Secretary Chertoff failed to adequately prepare the federal government for what became one of the most destructive natural disasters in the nation's history. As Katrina approached the Gulf Coast, those in the top ranks of DHS failed to understand the potential scope of the pending catastrophe and FEMA's limited capacity to address an event of this magnitude.

Equally important, DHS failed to carry out its own responsibilities under the NRP and associated Presidential Directives.<sup>70</sup> A November 2005 report by the DHS Inspector General regarding an April 2005 training exercise ("TOPOFF 3") found that "The exercise highlighted – at all levels of government – a fundamental lack of understanding for the principles and protocols set forth in the NRP."<sup>71</sup> Others in government – most notably then-FEMA Director Michael Brown – simply refused to accept the NRP, choosing instead to proceed as if the NRP did not exist.

Secretary Chertoff testified that he believed his role as chief executive of the Department was to impart strategic guidance and deal with senior officials, not be a "hurricane operator." But Secretary Chertoff came up short by his own yardstick. A chief executive should understand the responsibilities of the organization he runs. In the days before Katrina, Secretary Chertoff appeared not to have fully understood the broader role of DHS under the NRP. A strategic leader chooses capable subordinates and provides those subordinates with guidance, works effectively with other key government officials, and, in DHS's case, cooperates effectively with states. Even judging the Secretary by his own criteria, his performance in the nation's worst domestic disaster fell short of reasonable expectations.

## The Federal Emergency Management Agency

### FEMA Pre-Landfall

Before landfall, Scott Wells, Deputy Federal Coordinating Officer for Katrina in New Orleans, called Edward Buikema, FEMA's Acting Director of Response. "I don't think we're

thinking big enough,” he told Buikema. “[Katrina] is bigger than how we normally do things.”<sup>72</sup>

Wells was exactly right. Despite knowing for years the catastrophic impact that a large hurricane could have on New Orleans, despite the predictions of the exercise known as Hurricane Pam, and despite FEMA’s own internal slides showing projections that Katrina could be worse than Pam’s predictions of 60,000 fatalities – FEMA just wasn’t thinking big enough for Katrina.

DHS is the central federal entity for preparing for and responding to disasters. FEMA is one of the agencies within DHS charged with responsibilities under the NRP. FEMA is the lead agency for five of the 15 Emergency Support Functions under the NRP.<sup>73</sup> Despite these obligations, FEMA did not prepare adequately for Hurricane Katrina.

This section analyzes FEMA’s preparations in the days during which Katrina was moving toward land.

FEMA officials knew the threat a large hurricane posed to New Orleans. Buikema testified that FEMA considered a large hurricane hitting New Orleans to be one of the worst catastrophes that could occur in the United States.<sup>74</sup> Eric Tolbert, FEMA’s Director of Response until February 2005, testified that while at FEMA, the hurricane threat to New Orleans was his top priority and that FEMA knew a hurricane Category 3 or stronger could breach or overtop the levees.<sup>75</sup> (There is a more detailed discussion of FEMA’s knowledge of the threat posed to New Orleans by a hurricane in Chapter 8.)

Despite this knowledge, FEMA’s leadership failed to ensure that the federal government’s preparations for the response were adequate. Its leaders didn’t compel the federal government to think bigger than usual. They failed to ask the right questions to make sure FEMA’s response was big enough. They did not utilize all available resources. FEMA seemed to be following pages from its regular playbook instead of a playbook made for “the big one.”

Some of FEMA’s pre-landfall failures had to do with FEMA’s systematic weaknesses, discussed in Chapter 14. They included insufficient staff; limited ability to track commodities; unexercised, untrained, under-equipped emergency-response teams; unprepared disaster-assistance workforce; lack of operating procedures; and lack of necessary funding. FEMA Director Michael Brown sought additional funding to address many of these problems, but DHS did not provide sufficient additional funding. The failure to address or solve these many problems cast the die even before Katrina moved towards the Gulf Coast.

As early as Saturday morning, August 27, Michael Lowder, FEMA Deputy Director of Response, e-mailed several FEMA employees: “If [this] is the ‘New Orleans’ scenario, we are already way behind. Let’s don’t hold back. Let’s make sure that all of our Emergency Support Functions are fully engaged and ramped up, everything turned on, etc. This may be IT!”<sup>76</sup> Because of the inadequate preparations, even before landfall, the federal government was already behind in fighting Katrina’s terrible wrath.

### **Weather Warnings in the Days Before Landfall**

In the days as Katrina moved through the Gulf of Mexico, FEMA was repeatedly warned that it was a potentially catastrophic hurricane headed toward the Gulf Coast. Despite these warnings, Brown has admitted that the federal government’s level of preparedness wasn’t adequate for the big one.<sup>77</sup> William Lokey, FEMA’s Federal Coordinating Officer in Louisiana during Katrina, agreed: “Communications and coordination was lacking, preplanning was lacking. We were not prepared for this.”<sup>78</sup>

The warnings began early. The 5 p.m. National Weather Service (NWS) report on Thursday, August 25, said some models showed Hurricane Katrina moving to the west, bringing it “inland between Mobile, Alabama, and Grand Isle, Louisiana [southeastern Louisiana],” although the National Hurricane Center (NHC) model did not show it moving that far west.<sup>79</sup> Six hours later a new NWS report predicted that Katrina was expected to strengthen and that “Katrina will be a dangerous hurricane in the northeastern Gulf of Mexico in about 3 days.”<sup>80</sup>

By 11 a.m., Friday, August 26, the NWS report said that Katrina’s track should “flatten out in a more westward direction.” It reported some models showing the storm going west over Louisiana, but most showing Katrina going inland over the northeast Gulf Coast. The report warned, “Strengthening to a major hurricane is expected.”<sup>81</sup> On a noon video teleconference between federal and state officials hosted by FEMA, Max Mayfield, NHC Director, warned: “Right now we’re forecasting it to be a strong Category 3 hurricane. It’s going to be stronger than that.”<sup>82</sup> Another NHC official said that Katrina “has definitely shifted well to the west towards New Orleans ... we’ve really got to pay attention all the way from Louisiana over into the Florida Gulf Coast.”<sup>83</sup>

Thus, at least as early as Thursday evening, FEMA was aware of a dangerous hurricane forming in the Gulf of Mexico and by noon Friday was aware that Katrina was shifting west toward New Orleans. This awareness did not provoke action. On Friday, August 27, when asked, Brown permitted Acting Response Division Director Buikema to go to Alaska for a previously scheduled emergency-management conference even though “The predictions are now Katrina will turn into a Cat 4.”<sup>84</sup> Buikema ultimately cut his trip short and returned from Alaska, arriving at FEMA headquarters on Sunday around 11 a.m.<sup>85</sup> As a result, however, he was unavailable until Sunday morning to oversee his division’s preparations as the storm moved toward landfall.<sup>86</sup>

A Friday morning e-mail to Lokey from William Irwin of the U.S. Army Corps of Engineers, the lead agency for Emergency Support Function 3 (ESF-3) (which includes executing contracts for ice and water) under the NRP, expressed concern that FEMA was moving too slowly: “FEMA Region IV [covering Alabama and Mississippi, among other states] is reluctant to make a decision to provide mission assignments [the mechanism by which FEMA requests other federal agencies to provide support during a disaster response] for a possible Alabama hit. ... The storm will speed up and rapidly strike on Monday and if FEMA/Alabama wants to have ESF#3 support ... the trigger needed to be pulled already.”<sup>87</sup>

On Friday, FEMA’s national operations center and its Region IV operations center in Atlanta were operating at a moderate level of readiness.<sup>88</sup> The Texas-based Region VI operations center that covered Louisiana remained at its lowest state of readiness, for no known threat of disaster, on Friday.<sup>89</sup> Although by Friday morning the National Weather Service began predicting that Katrina was shifting towards the west, FEMA did not activate the national operations center to its highest readiness level until Saturday at 7 a.m.<sup>90</sup> The regional operations centers were activated to the highest level at noon Eastern Time on Saturday.<sup>91</sup>

By Saturday, warnings were growing even more grave. FEMA’s 5:30 a.m. National Situation Report stated that Louisiana’s Governor Kathleen Blanco had declared a state of emergency, noting that New Orleans was “of particular concern because much of that city lies below sea level. According to Governor Blanco, Lake Pontchartrain is a very large lake that sits next to the city of New Orleans and if the hurricane winds blow from a certain direction, there are dire predictions of what may happen in the city.”<sup>92</sup> By early Saturday morning, the projected path of the storm was directly over New Orleans. FEMA briefing slides dated 9 a.m., August 27, 2005, at FEMA headquarters, stated: “Current projected path takes storm directly over New Orleans.”<sup>93</sup> The briefing slides also noted that the Pam exercise predicted 60,000 fatali-

ties and 1 million-plus persons displaced, and that Pam’s estimates are “exceeded by Hurricane Katrina real life impacts.”<sup>94</sup> (See Chapter 8.)

Also on Saturday morning, FEMA distributed copies of the Southeast Louisiana Catastrophic Hurricane Plan, also known as the Hurricane Pam plan, to its employees.<sup>95</sup>

On Saturday morning, the State of Louisiana requested an emergency declaration under the Stafford Act – the federal law that provides a framework for federal assistance and reimbursement to states struck by declared disasters – so that it could better prepare for the storm. President Bush granted Louisiana’s request Saturday evening.<sup>96</sup> Mississippi and Alabama requested emergency declarations on Sunday; the President granted them the same day.<sup>97</sup> This unusual declaration of emergencies before landfall ensured that the federal government would finance many pre- and post-landfall actions taken by state and local officials.<sup>98</sup> This had only been done once in the previous 15 years, when President Clinton issued four pre-landfall declarations, all for Hurricane Floyd in 1999.<sup>99</sup>

By late Saturday and very early Sunday, the weather projections became even more severe, warning that Katrina could become a very intense and dangerous Category 5 hurricane, and that the storm surge could be as high as 25 feet in some areas.<sup>100</sup> Another Sunday weather report, from the Slidell, Louisiana, office of the National Weather Service, stated that “devastating damage expected ... a most powerful hurricane with unprecedented strength ... most of the area will be uninhabitable for weeks ... perhaps longer.”<sup>101</sup>

FEMA’s Sunday morning National Situation Report warned:

Katrina could be especially devastating if it strikes New Orleans because the city sits below sea level and is dependent on levees and pumps to keep the water out. A direct hit could wind up submerging the city in several feet of water. Making matters worse, at least 100,000 people in the city lack the transportation to get out of town.<sup>102</sup>

Also on Sunday, DHS released a report, stating, “Any storm rated Category 4 or greater ... will likely lead to severe flooding and/or levee breaching. This could leave the New Orleans area being submerged for weeks or months. ... The magnitude of this storm is expected to cause massive flooding.” This report was circulated to the White House’s situation room, throughout DHS, and to all agencies in DHS’s HSOC.<sup>103</sup>

Brown testified that he spoke to White House officials at least 30 times during the weekend prior to landfall, repeatedly warning them about Katrina.<sup>104</sup> Brown said he spoke directly to the President on Saturday, August 27, and warned that Katrina could be catastrophic.<sup>105</sup> Brown later called to ask that the President contact Governor Blanco and “do everything he could within his persuasive powers to convince [Louisiana officials] to do a mandatory evacuation.”<sup>106</sup> Brown testified that he told both Chief of Staff Andy Card and Deputy Chief of Staff Joe Hagin prior to landfall that he was concerned about how bad Katrina could be, saying he thought Katrina could be the catastrophic “big one.”<sup>107</sup>

On the Sunday before landfall, President Bush and Hagin both participated in FEMA’s noon video teleconference (VTC), where Max Mayfield, Director of the National Hurricane Center, predicted Katrina would be a “very dangerous hurricane” and warned, “I don’t think any model can tell you with any confidence right now whether the levees will be topped or not, but that’s obviously a very, very grave concern.”<sup>108</sup> Although the President appeared on the VTC, promised federal government assistance, and thanked Governor Blanco and Mississippi Governor Haley Barbour for heeding these warnings, and doing all they could possibly do to prepare for this storm, the President did not ask any substantive

questions.<sup>109</sup> On that call Colonel William Doran, operations division chief for LOHSEP, noted that the State of Louisiana was “way ahead of the game there” with catastrophic planning “thanks to the help of FEMA, when we did the Hurricane Pam exercises.”<sup>110</sup> Colonel Smith said Louisiana’s evacuations were going “much better than it did during Ivan.”<sup>111</sup>

After the Sunday noon VTC, Brown had another conversation with Hagin in which he said he again raised his concerns about the storm and complained that he had never been allowed to do the catastrophic planning that was necessary for FEMA to be prepared for a storm like Katrina that he had pushed to be able to do.<sup>112</sup> “I [was] just adamant that they understand my concern about New Orleans,”<sup>113</sup> Brown described the call.

### **FEMA’S Preparation for Katrina**

FEMA’s many failures in preparing for Katrina include: (1) multiple failures involving deployment of personnel; (2) not taking sufficient measures to deploy communications assets; (3) insufficient planning to be prepared to respond to catastrophic events, (4) not pre-staging enough commodities; (5) failures associated with deployment of disaster medical assistance teams and search and rescue teams; (6) failures involving evacuation; (7) failure to establish a joint field office quickly enough; and (8) failure to take measures prior to landfall to ensure proper security for emergency response teams. All of these contributed to FEMA’s failed response, which will be discussed in later chapters.

### **FEMA’s Deployment of Personnel for Katrina**

FEMA went to war without enough troops. Unlike many other disasters, hurricanes provide emergency managers with advance warning. Thus, FEMA should also begin its preparations, such as personnel deployment, in advance of a storm. With each passing day, FEMA had more accurate information about the strength and path of the storm. FEMA’s limited staff – it had only approximately 2,250 permanent, full-time employees in November 2005 and around a 17 percent vacancy rate when Katrina struck<sup>114</sup> – and resources require that its leadership be flexible and adaptable to changing predictions. As Katrina developed, FEMA was forced to choose how to allocate its limited staff across at least three states.

As early as Thursday, August 25, before landfall, FEMA was aware that Katrina would likely make a second landfall somewhere on the Gulf Coast. On Friday, FEMA decided to move an Advance Emergency Response Team (ERT-A) from the West Coast to Mississippi.<sup>115</sup> William Carwile was notified that he would be the Federal Coordinating Officer (FCO) in Mississippi. He arrived there on Saturday, August 27, to take charge of FEMA’s response to what he later described as “the worst disaster to strike the United States in recent history from a response standpoint.”<sup>116</sup>

By Friday afternoon, Katrina was shifting westward and was being projected to make landfall as a Category 4 hurricane. FEMA leadership discussed deploying the National Emergency Response Team (ERT-N), but deployed no teams to Louisiana until noon, Saturday, August 27.<sup>117</sup> ERT-N teams are emergency-response teams designed for high-impact events.<sup>118</sup> Shortly after September 11, 2001, ERT-N teams had about 125 to 175 members, but FEMA had gradually reduced their size to the current level of about 25 members.<sup>119</sup> While the NRP states that the Secretary of Homeland Security “determines the need for ERT-N deployment, coordinating the plans with the affected regions,” Secretary Chertoff played no role in deploying the team.<sup>120</sup> The decision was made by FEMA senior leadership.<sup>121</sup> The team’s Saturday deployment was simply too late, but it’s unclear whether the Secretary’s personal involvement would have sped it up. To make matters worse, once deployed, many team members were slow to reach the affected area, arriving only after landfall. Also, the deployed ERT-N went into service as a combination of the two national teams, rather than a

pre-selected team, because of a shortage of FEMA employees and because some available team members were already deployed in the Gulf region.<sup>122</sup>

FCO Lokey arrived in Baton Rouge between 6 and 7 p.m. on Saturday, meeting Deputy FCO Scott Wells at the State EOC.<sup>123</sup> Lokey admitted that key positions on the ERT-N were not filled prior to landfall.<sup>124</sup> According to Lokey, by Saturday, only five ERT-N members had arrived, and by Sunday night only 12 to 15 ERT-N members were there.<sup>125</sup> Prior to landfall, then, only about half of the ERT-N members were in place.

According to Mike Hall, a leader of one of FEMA's ERT-N teams, team members are supposed to deploy immediately once activated.<sup>126</sup> Carwile said it is "very important" that an ERT-N arrive in a timely matter.<sup>127</sup> However, FEMA does not dictate how quickly those team members should arrive since they are coming from different parts of the country.<sup>128</sup> Carwile said that the ERT-N teams used to have procedures to speed their arrival, but that they had been discarded.<sup>129</sup>

FEMA deployed an ERT-A team from Region I, which is headquartered in Boston, to the Region VI center in Denton, Texas, on Sunday, August 28. Phil Parr, the leader of this team, arrived on Sunday late afternoon or early evening; his team arrived in staggered fashion, some arriving on Sunday, others on Monday, the day of landfall.<sup>130</sup> Of the 20 to 25 members assigned to his ERT-A team, about 10 eventually deployed.<sup>131</sup> On Saturday, Texas was not within the cone of the projected path of the hurricane.<sup>132</sup> According to a Parr e-mail, Parr agreed the storm was not headed to Texas.<sup>133</sup> On Monday, FEMA redirected Parr and some of his team members to Louisiana. Parr and his team members did not arrive in New Orleans until Tuesday, August 30.<sup>134</sup>

FEMA also did not have available the kind of first-responder teams it was supposed to have under the NRP. The First Incident Response Support Teams (FIRST teams) were not available when Katrina made landfall because FEMA had not yet hired staff for them.<sup>135</sup> FIRST teams are designed to arrive quickly to assess the situation and identify potential requirements for federal help, provide advice on protective actions, coordinate response activities, and assist with critical life saving measures. The teams are supposed to deploy with sophisticated communications equipment to support state and local first responders.<sup>136</sup> Several witnesses said these teams would likely have been a major asset in responding to Katrina.<sup>137</sup>

Prior to landfall, Marty Bahamonde, a FEMA public-affairs staffer, was the only FEMA employee deployed to New Orleans.<sup>138</sup> He arrived in New Orleans at 11 p.m. Saturday to prepare for VIP visits to the area. By chance, he rode out the storm in the New Orleans EOC, located near the Superdome.<sup>139</sup> On Sunday afternoon, there was a growing realization that more people were heading to the Superdome than officials had anticipated. Officials at the Orleans Parish EOC were becoming concerned. Bahamonde took pictures of the gathering crowds at the Superdome and sent them back to FEMA headquarters. Throughout Sunday, Bahamonde continued to provide information to FEMA headquarters about the growing numbers of people and the deteriorating conditions.<sup>140</sup>

Brown arrived in Baton Rouge on Sunday evening. He was accompanied by two FEMA press employees, a FEMA congressional-relations liaison, security detail, and his personal assistant, but no operations experts.<sup>141</sup> They traveled on military aircraft; FEMA's operational personnel took commercial flights.<sup>142</sup> Once in Baton Rouge, Brown went to dinner and to the hotel, but did not go to the state EOC.<sup>143</sup>

As discussed more fully in Chapter 14, FEMA suffered from staffing shortages, lack of training, and difficulties with its disaster-surge workforce. Moreover, the teams deployed

were unprepared, unequipped, and (aside from many members participating in a simulated hurricane tabletop exercise the previous June) had not trained together as a team.<sup>144</sup> Carwile believed that his Mississippi team, though not an ERT-N, was actually more experienced and better-trained than the ERT-N team members sent to Louisiana.<sup>145</sup>

Staffing shortages and inadequacies contributed to FEMA's failure to prepare for Katrina.<sup>146</sup> Wells admitted that FEMA didn't have the staff to run a 24-hour operation in Katrina. People were working, he said, "50 hours over 2 days."<sup>147</sup> Carwile agreed:

The inability to field experienced personnel in Mississippi had a major impact on our operations there. FEMA needs many more trained people who can deploy to disasters. Both career professionals and temporary disaster assistance employees (DAEs) [used by FEMA to quickly increase staffing during disasters] performed their jobs well in Mississippi, especially in the first chaotic days after landfall. However, there were not enough trained people to adequately staff all of the positions. Of all the shortfalls that I had to manage as FCO this was the most difficult. This paucity of qualified personnel hurt us in both the response and recovery phases of the operations.<sup>148</sup>

To make matters worse, FEMA had few personnel specifically devoted to response activities.<sup>149</sup> For instance, although there are generally pre-arranged rosters for emergency-response teams, often those members are in other jobs or working on other disasters and are not available when a new disaster hits. Therefore, the teams consist of individuals who have not necessarily previously served in these positions, who have not trained, worked, practiced, or planned together, and who are sometimes not qualified for the job. Wells referred to the way positions are filled on emergency response team as the "hey-you roster" and said that under this system "you get people that are not qualified for the job. It's secondary jobs for everybody. ... I can probably count on my hand the number of people that their primary job is go out in the field and do these things. This is not a team that goes out that is trained and worked and planned and operated together."<sup>150</sup>

In addition to full-time FEMA personnel, FEMA uses temporary employees, called Disaster Assistance Employees (DAEs), to surge up for disasters. According to Marie Sloan, director of the DAE program, fewer than half of the DAEs were available when Katrina made landfall – a typical availability rate.<sup>151</sup> Records show that FEMA was also slow to deploy available DAEs for Katrina. For instance, of the approximately 4,000 DAEs, only 25 were deployed on Friday, 116 on Saturday, and 53 on Sunday. FEMA spread these DAEs over four states to respond to Katrina's first landfall in Florida, and to its expected second-landfall states of Louisiana, Mississippi, and Alabama.<sup>152</sup>

DAEs and other FEMA personnel were also delayed in arriving at the actual disaster sites because of FEMA's policy that all personnel deployed to a disaster must first visit a "mobilizations center" in Florida or Georgia for things like badge issuance and briefings.<sup>153</sup> While some DAEs may have needed this check-in process in order to be better prepared, several FEMA leaders complained that this requirement delayed the deployment of workers to the disaster. For example, on the day after landfall, one FEMA employee complained that she had had "zero" DAE requests filled and that the DAE deployment process is "killing us. There has been no consistent guidance and not only are we unable to lean forward, we can't even stand up! ... this will bring us to our knees."<sup>154</sup> A few days after landfall, FEMA changed the policy to allow at least some personnel to deploy directly to the disaster.<sup>155</sup>

FEMA did not deploy operations personnel in or near the New Orleans metropolitan area prior to landfall. Central to FEMA's ability to provide assistance to state and local responders is to have trained personnel in the field prior to landfall. These individuals can provide



invaluable situational awareness, serve as liaisons with the state and local officials, and help identify needs and coordinate the response. Yet, FEMA didn't deploy anyone to New Orleans, and in fact it actually evacuated qualified personnel out of New Orleans prior to landfall.<sup>156</sup>

In contrast, prior to landfall in Mississippi, FEMA deployed personnel to EOCs in several counties most likely to be impacted by the hurricane.<sup>157</sup> These liaisons provided valuable on-the-ground information and assistance to locals in the crucial hours immediately following landfall and were invaluable in helping to coordinate the response in Mississippi. FEMA has a longstanding policy of not putting its emergency responders in the path of a storm, so that they will not be in need of rescue themselves. Lokey, however, testified that he would have liked to put some individuals in local EOCs prior to landfall, just as Carwile did in Mississippi, but that he didn't have enough personnel to do so.<sup>158</sup> Instead, the only FEMA official in New Orleans was Bahamonde, the public affairs officer sent to prepare for eventual VIP visits. Ultimately, Bahamonde served in some operations capacities, such as providing critical situational awareness, including the notice of broken levees.<sup>159</sup> In Louisiana, FEMA's response was adversely impacted by the failure to put personnel in or near New Orleans in advance of the storm.

### Communications

FEMA neglected to adequately pre-stage communication assets and sufficiently equip its personnel. In fact, Lokey said that he "still lose[s] sleep over" the fact that prior to landfall, more measures could have been taken to provide for communications.<sup>160</sup> "We obviously did not bring enough or plan enough satellite or cell phones or alternative technology," he said. "And once it all went bad, we scrambled to get it, but as I was the FCO, I should have, but ... I obviously didn't." It was "a step I missed."<sup>161</sup>

Lokey found a safe place in Baton Rouge to park the "Red October," FEMA's large, mobile command center with significant communication assets and conference space, and on Saturday evening requested that Red October be placed there prior to landfall.<sup>162</sup> His request was denied,<sup>163</sup> because then-FEMA Director Michael Brown had reportedly reserved the center.<sup>164</sup> Lokey therefore had no communications vehicle available to him at the EOC on landfall, though one arrived the following day.<sup>165</sup>

FEMA did pre-stage communications vehicles, prior to landfall, at Barksdale Air Force Base in Shreveport, Louisiana, which offered a secured site out of the storm's immediate path and was a convenient place to stage.<sup>166</sup> This put the vehicles about 350 miles from New Orleans and about 250 miles from Baton Rouge, however. This distance, and the fact that FEMA did not request that the assets be deployed from Shreveport until over 24 hours after landfall, meant they took some time to reach their new locations for response work.<sup>167</sup> In at least some instances, this delay may have prevented the assets from being placed where most needed. For example, even though the area around the Superdome did not flood until around noon on Tuesday, FEMA was not able to get the Red October into the area because of flooding; Red October did not get to Baton Rouge until Wednesday.<sup>168</sup> Besides not placing communications vehicles at the EOC<sup>169</sup> and not adequately equipping its employees with communications assets, FEMA also did not place any communications assets in the Superdome prior to landfall. As discussed in Chapter 18, the failure to have communications assets in the Superdome cut the effectiveness of FEMA's on-site response team by 90 percent.<sup>170</sup>

As discussed below, there was vast devastation to the land-line and cellular communications networks after Hurricane Katrina, which made communications very difficult. Indeed, Wells said the lack of communications at the EOC made it like a "black hole."<sup>171</sup> Lokey referred to it as a "vacuum" and said it was "very difficult to have a good operational picture of all that was going on."<sup>172</sup> This hindered the response.

## Catastrophic Planning

FEMA had long known it needed to do general catastrophic planning for responding to large disasters, but had problems getting necessary funding. Requests for \$100 million for catastrophic planning and an additional \$20 million for catastrophic housing planning in fiscal year 2004 and fiscal year 2005, respectively, were denied by DHS.<sup>173</sup>

Although catastrophic planning for southeast Louisiana was recognized as a priority by FEMA regional staff and the State of Louisiana in 1999, funding shortages, staffing changes, and competing priorities delayed the planning. Funding shortages also affected the scope of the planning. Some areas that the Louisiana Office of Homeland Security and Emergency Preparedness (LOHSEP) had identified as topics it wanted to address, such as pre-landfall evacuation, as well as other areas, were dropped.<sup>174</sup> Follow-up workshops were also postponed. Lack of funding also prevented implementation of the Hurricane Pam plan.<sup>175</sup>

Despite these setbacks, FEMA attempted to use the Pam plan in responding to Katrina. Copies of the Pam documents were circulated throughout FEMA on Saturday, August 27. Additionally, Lokey ordered the contractor for the Pam project to come to the EOC in Baton Rouge to assist FEMA employees in implementing Pam.<sup>176</sup> In responding to Katrina, however, FEMA failed to follow some aspects of Pam. For example, the draft Pam plan said Region VI would activate its regional coordination center when the NWS advised that a hurricane or tropical storm posed a threat to Louisiana.<sup>177</sup> It also said the FEMA headquarters would deploy an evacuation team.<sup>178</sup> However, Region VI did not activate the RRCC until Saturday morning and FEMA appears not to have sent an evacuation team to Louisiana.<sup>179</sup> It also appears that FEMA also failed to identify buses and drivers and pre-stage buses and drivers pre-landfall as suggested in Pam.<sup>180</sup>

While it is impossible to know whether completing the Southeast Louisiana Catastrophic Hurricane Plan sooner would have resulted in a better response to Katrina, it is clear that FEMA had failed to do enough catastrophic planning. FEMA wasn't prepared. This lack of planning inevitably led to mistakes in the response. As Secretary Chertoff said, Katrina "tested our planning, and our planning, I think, fell short."<sup>181</sup>

## Commodities

At the beginning of the 2005 hurricane season, FEMA had pre-positioned commodities in the Gulf Coast region as a way to speed up the response to hurricanes.<sup>182</sup> The effort included 30 tractor-trailer loads of water, 17 trailer loads of ice, and 15 trailer loads of MRE military rations at Camp Beauregard, a federal staging area in central Louisiana.<sup>183</sup>

However, preparations for a hurricane should not have ended with that initial pre-positioning, and the supplies pre-positioned were not enough for a storm as strong as Katrina. Ken Burris, FEMA's Acting Chief Operating Officer, confirmed that the initial pre-positioning was only a start, and that the specifics of a storm dictate whether FEMA should move more supplies to the area or move commodities closer to the predicted landfall.<sup>184</sup> While some supplies already staged in the region were moved to Mississippi or Alabama, records indicate that relatively few additional truckloads arrived in FEMA's staging areas in the days before landfall.<sup>185</sup> Indeed, FEMA documents show that FEMA did not get any additional commodities to the Camp Beauregard, Louisiana, staging area as Katrina moved through the Gulf of Mexico.<sup>186</sup> The record is not clear whether additional supplies were moved into the region bypassing FEMA's staging areas. With Katrina bearing down on the Gulf Coast as a catastrophic storm, FEMA should have gotten additional supplies to its staging areas in Mississippi and Louisiana. Additionally, although FEMA tried to place some commodities in the Superdome prior to landfall, it was only able to get part of the quantities it intended there as its contractors stopped trucking due to weather conditions.<sup>187</sup>

Despite efforts to move some commodities into Mississippi, there were major deficiencies. Carwile wrote several e-mails on Sunday in which he expressed concern with commodities issues.<sup>188</sup> FEMA had ordered 400 trucks of ice, 400 trucks of water, and 250 trucks of MREs for the Meridian Naval Air Station in Mississippi before the storm made landfall. Although FEMA and state officials in Mississippi were never able to discover exactly how many truckloads actually arrived pre-landfall,<sup>189</sup> according to Tom McAllister, Director of Response and Recovery at MEMA the amount of supplies FEMA pre-positioned was “nowhere near what we asked for,” leaving Mississippi “critically shorthanded” for the first few days.<sup>190</sup>

Some senior leadership at FEMA lacked a basic understanding of commodities. Patrick Rhode, then Acting Deputy Director of FEMA, received information on quantities of pre-staged supplies on Friday afternoon, two and a half days before landfall.<sup>191</sup> Rhode later told interviewers that he did not believe the amount was adequate, but admitted he did not know how much was in a truckload, and had no idea for the amount of commodities he believed should be pre-staged.<sup>192</sup> “I don’t know if I would have said specifically that we needed to provide more,” Rhode said. “I was concerned as to whether or not our experts believed that we were doing everything that we could.”<sup>193</sup>

FEMA’s poor planning for transportation was a key factor in the problems with commodities. Gary Moore, FEMA’s Director of Logistics, said FEMA had difficulty moving commodities during Katrina.<sup>194</sup> For instance, on Saturday afternoon, FEMA realized it did not have enough truck drivers to deliver commodities and equipment and started reviewing resumes to hire additional drivers.<sup>195</sup> By Sunday afternoon, records show that FEMA was short 68 of the 94 drivers who would be needed to move commodities for a short response effort and short 162 drivers needed for a longer response.<sup>196</sup> To make matters worse, FEMA’s transportation contractor, Landstar, does not own any vehicles. Instead, it locates independent drivers only after FEMA asks it to move commodities, which can also lead to delays.<sup>197</sup> FEMA had to compete against Landstar for drivers to hire<sup>198</sup> – a task made more difficult because it took place over a weekend.<sup>199</sup>

FEMA’s failure to pre-stage more commodities prior to landfall contributed to the human misery caused by commodities shortages after landfall.

### **FEMA Deployment of Disaster Medical Assistance Teams**

The National Disaster Medical System (NDMS) comprises specialized emergency-medical and response teams who are federal first responders in a medical emergency. FEMA activated the NDMS on the Thursday before landfall. Although a number of teams were mobilized and began moving into the Gulf region, this effort fell far short of needs. By the night before landfall, only four complete Disaster Medical Assistance Teams (DMATs), two partial teams, and a few small five person strike teams – a total of about 250 personnel – were staged in the entire Gulf region, and only one team was deployed in Louisiana.<sup>200</sup> Thus, fewer than 10 percent of FEMA’s 52 DMAT teams were in the region. Moreover, though activating NDMS four days before Katrina’s arrival was prescient, NDMS’s decision to place teams far from Katrina’s path meant the teams faced hundreds of miles and hours of travel to reach areas in need after landfall. The NDMS teams were plagued by other inadequacies, including that no deployed team possessed a full inventory of medical supplies.<sup>201</sup>

### **Search and Rescue**

As more thoroughly discussed in Chapter 21, FEMA failed to take appropriate action pre-landfall to prepare for search and rescue operations. FEMA officials knew that a major hurricane striking New Orleans could cause widespread flooding throughout the metropolitan New Orleans area. Yet prior to landfall, FEMA pre-positioned only three of its 28 Urban

Search and Rescue (USAR) teams in Shreveport, Louisiana, and two others in Meridian, Mississippi.<sup>202</sup>

Despite the expectation of flooding, FEMA did not pre-position boats for its USAR teams.<sup>203</sup> One USAR team manager said later:

I don't recall that, that we were thinking about, gee, we're going to need a lot of boats down here. Actually, when the hurricane went through there, the news was saying, it's not a big deal. It spared the city. That's kind of the impression we were getting from watching the news on there, so we were not thinking about massive amounts of boats and things like that at that time, that I can recall. I'm sure we had some discussions about it.<sup>204</sup>

Finally, FEMA pre-staged the teams in Shreveport<sup>205</sup> – approximately 340 miles from New Orleans. Lokey made this choice because he wanted to be sure they would be out of harm's way while the storm's path was uncertain.<sup>206</sup> However, this distance meant that FEMA USAR teams did not reach New Orleans until Monday night, and did not begin rescue missions until Tuesday morning<sup>207</sup> – 14 hours after the Coast Guard and state and local teams<sup>208</sup> began rescuing people. FEMA's teams were too few, too late, and boatless.

### Evacuation

The evacuation of the Gulf Coast was one of the most critical and controversial issues addressed during the investigation. For a discussion of any role or responsibility FEMA may have had in planning for the pre- or post-landfall evacuation, see Chapters 16 and 22.

### Establishing a Joint Field Office

A Joint Field Office (JFO) is a coordination center that FEMA sets up, where federal, state, and local organizations with primary responsibility for disaster response can work together and coordinate the response. FEMA did not take adequate steps to set up the JFO before landfall.<sup>209</sup> While the preparatory step toward a JFO – an Initial Operating Facility (IOF) – was opened pre-landfall,<sup>210</sup> the JFO was not fully operational until 12 days after landfall.<sup>211</sup>

In a disaster, FEMA's Mobile Emergency Response Systems employees are responsible for setting up the JFO. Lokey was told that the JFO would be operating within 72 hours.<sup>212</sup> The nine-day delay past that 72-hour period in completing JFO set-up was mostly due to difficulty in establishing Internet connectivity for the state's computer system.<sup>213</sup> The state could not move into the JFO until the technology issues were fixed.<sup>214</sup> Until the second week in September, members of the JFO coordination group in Louisiana were located at several different locations while lacking reliable communications and the many benefits of co-location. FEMA employees working at borrowed space at the state EOC shared limited communications equipment, had limited access to computers, and worked in cramped conditions.<sup>215</sup> FEMA employees held many meetings in hallways for lack of other space. These cramped conditions and delays in setting up the JFO made it very difficult for FEMA to coordinate and operate with the state officials, which impeded a unified response.<sup>216</sup> Coordination greatly improved once the JFO was fully functional.<sup>217</sup>

Some of the problems caused by delays in setting up the JFO might have been alleviated if Lokey had had regular access to a command vehicle in which he could hold meetings with state and local officials.<sup>218</sup> As noted, then-FEMA Director Michael Brown had reserved the Red October command center.<sup>219</sup> Lokey did not request another command vehicle because he was told the JFO would be operational in three days after landfall.<sup>220</sup>

### Security

The Federal Protective Service (FPS) generally provides security for FEMA assets and personnel at FEMA's request. Even without the threat of violence, DMAT teams may require security because they arrive with a cache of prescription drugs. Similarly, FEMA's search-and-rescue teams come with substantial and valuable equipment. However, FEMA sent DMAT and USAR teams into the field without security and without coordinating with other agencies to provide for their security. Historically, the FPS "take[s] over the ESF-13 [public safety and security] in the event that FEMA does declare an emergency."<sup>221</sup>

It wasn't until the morning of August 30 that FEMA issued the first in a series of mission assignments to the FPS to provide security for its responders. Even then, FEMA's assignment did not mention the Superdome. The first request for support at the Superdome was not created until mid-afternoon on August 30.<sup>222</sup> The following day, FPS received an additional mission assignment to send 14 officers to the Superdome to provide crowd control for the evacuation.<sup>223</sup> By then, although it was reported to those in the Superdome complex that there were 14 FPS officers just a couple of blocks away on the overpasses, the officers "couldn't find a way into the Dome," probably because of the flooding.<sup>224</sup>

As early as Sunday, August 28, the Customs and Border Patrol (CBP) – federal law-enforcement assets at DHS's disposal – placed a 100-agent deployment element on full standby.<sup>225</sup> The availability of this unit was reported in the CBP's twice-daily situation reports to DHS, although it is not clear where they were located. It was not until Wednesday, August 31, that these federal law-enforcement personnel were called up for deployment, and another 18 hours passed before they arrived in Louisiana, "to assist National Guard with crowd control and evacuation of 25 to 30 thousand individuals from the New Orleans Superdome."<sup>226</sup>

FEMA issued each of these assignments too late to ensure a timely arrival of FPS personnel. By the time of the earliest FPS mission assignment<sup>227</sup> DMAT personnel and equipment had already staged at the Superdome complex with water quickly flooding all around them.

In the absence of FPS, or of any other dedicated security contingent, FEMA personnel in the Superdome found themselves forced to choose between their mission and their security.<sup>228</sup> The responders' concerns for their safety increasingly distracted them from delivering medical care. On Thursday morning, September 1, concerned for their own safety, FEMA's DMAT and ERT-A teams left the Superdome, leaving behind the team's "cache, equipment, and rental vehicles"<sup>229</sup> – not to mention patients and others taking shelter there. When these teams left, FEMA no longer had a presence at the Superdome, and the medical burden on remaining state and local health-care professionals increased.

### Department of Defense

Perhaps one of the most obvious consequences of FEMA not "thinking big enough" was its delay in asking the Department of Defense to apply its resources. Brown conceded that he should have spoken with DOD Secretary Donald Rumsfeld prior to landfall to request assets.<sup>230</sup> So, too, should have Secretary Chertoff, as discussed above. As discussed in Chapter 26, DOD was surprised by the early silence from FEMA.<sup>231</sup>

The pre-landfall need for DOD assets such as helicopters, boats, and communications equipment, was considered but not acted upon by FEMA or DHS leadership. On the August 28 VTC, Secretary Chertoff inquired, "Are there any DOD assets that might be available? Have we reached out to them, and have we, I guess, made any kind of arrangement in case we need some additional help from them?"<sup>232</sup> Brown replied that "We have DOD assets over [here] at the EOC. They are fully engaged."<sup>233</sup> Apparently, Brown was referring to DOD liaisons to the EOC, known as Defense Coordinating Officers (DCOs); in this case, two individuals, rather than tangible resources that could be positioned or readied. Secre-

tary Chertoff accepted this reply, telling Brown, “good job.” Neither Brown nor Secretary Chertoff sought to ascertain or understand what specific capabilities DOD might bring to the response, nor did they seek to call upon those capabilities before landfall.<sup>234</sup>

### Conclusion

FEMA’s mistakes in preparing for Katrina were many, and, as we will see, contributed to its overall deficient response. Despite knowing for years the catastrophic impact a hurricane could have on New Orleans, FEMA’s leadership failed to move far enough beyond its normal modes of operation as “the big one” moved to shore. Those ordinary operating protocols were inadequate for a catastrophic disaster, and did not make enough use of the assets at the agency’s disposal. The words of one FEMA employee are telling: “We kind of assumed it was going to be just a regular, normal response to a disaster.” FEMA’s pre-landfall preparations fell far short of what the situation called for. FEMA was simply not “thinking big enough.”

### U.S. Coast Guard

As discussed in other sections, the Coast Guard performed well in the response to Hurricane Katrina. Any problems were due mostly to the poor preparation of other DHS components.

Unlike their counterparts in other DHS components, Coast Guard personnel were quite familiar with the NRP. They also had detailed plans for evacuation and continuity of government, had a clear mission statement, and were familiar with state and local officials and geography from their daily work as first responders and from their disaster planning. Although DHS failed to take advantage of the Coast Guard’s intelligence-gathering capability in the critical hours after landfall, overall, the Coast Guard’s advance moves were exemplary.

The Coast Guard is unique among federal agencies involved in emergency response in that it has military, law-enforcement, and first-response obligations.<sup>235</sup> Rigorous planning, training, and exercising are key elements in the Coast Guard’s approach to disaster response.<sup>236</sup>

In the spring of 2005, as in every spring prior to the start of the hurricane season, the 8th Coast Guard District – which stretches from the Appalachians, to the Rockies, south of the Great Lakes, and to part of Florida – and all its subordinate units, including Sector New Orleans, exercised their hurricane plans.<sup>237</sup> Because personnel turnover in the New Orleans District runs about one-third each year, the exercise provides a good opportunity to bring new personnel into the Coast Guard’s culture of operations on the Gulf Coast, including how to make hurricane plans for their own families.<sup>238</sup>

The exercise involved a simulation of a hurricane hitting New Orleans. As Rear Admiral Robert Duncan, the Commander of the 8th District, commented, “We take them through a timeline of the storm approaching, the storm getting close, the storm hitting, and the recovery piece.”<sup>239</sup> During the exercise, Coast Guard officials visited state, municipal, and other EOCs, as well as their own pre-designated primary and secondary “safe havens” for pre-landfall evacuations.<sup>240</sup> They also confirmed critical phone numbers<sup>241</sup> and reviewed their Continuity of Operations Plan (COOP) to ensure they could maintain essential services without interruption.<sup>242</sup>

Sector New Orleans will provide search and rescue support, restore essential aids to navigation, respond to hazardous material spills, manage waterways including traffic and safety or security zones, provide transportation of victims, provide essential waterborne and airborne logistics support, deliver vital supplies and materials, provide access to storm damaged areas to key response personnel, and perform any and all acts necessary to rescue and aid persons and protect and save property.<sup>243</sup>

Three days before the storm hit, Sector New Orleans sent out warnings to the port community, maritime industry, and the public at large urging them to take necessary precautions.<sup>244</sup> Staff established the Sector's alternative incident-command post in Alexandria, Louisiana, and evacuated their personnel and family members from New Orleans and nearby areas in the projected path of the storm.<sup>245</sup> Sector Mobile moved its command to Maxwell Air Force Base, Alabama.<sup>246</sup> Following its hurricane evacuation plan, the 8th District Command moved to St. Louis.<sup>247</sup>

The Coast Guard pre-positioned patrol boats, river tenders, and small boats and crews away from their exposed home ports.<sup>248</sup> They deployed the medium-endurance cutter USCGC *Spencer* from the East Coast to the Louisiana area so it could later act as a command-and-control platform.<sup>249</sup> They alerted a C-130 aircraft and crew in Clearwater, Florida, that they would be needed after landfall to assess damage to the off-shore oil facilities in the Gulf of Mexico.<sup>250</sup>

On August 27, the Coast Guard positioned its five search-and-rescue helicopters from Sector New Orleans in Houston, Texas, and Lake Charles, Louisiana, just out of the hurricane's path, so they could fly in behind the storm.<sup>251</sup> As they flew out of New Orleans that day, Captain Bruce Jones, the Commander of Coast Guard Air Station New Orleans, told his flight crews, "Take a last look folks, because when you come back, it will be under twenty feet of water."<sup>252</sup>

Coast Guard liaison officers were positioned at the State EOC in Baton Rouge and at the City EOC in New Orleans.<sup>253</sup> Admiral Duncan called Governors Blanco and Barbour and advised them of Coast Guard preparations for the storm.<sup>254</sup> At noon on Sunday, August 28, the Coast Guard closed the Mississippi River to all vessel movements, ceased cargo operations, and sent out final advisories to the maritime industries on necessary precautions to safeguard property.<sup>255</sup>

As it became clear that Katrina would make landfall in heavily populated areas, Coast Guard units in other stations around the country prepared to deploy following landfall,<sup>256</sup> though there were no orders to do so. As Coast Guard Vice Admiral Vivien Crea described Coast Guard culture, "There's just an understanding and a predisposition that ... if something happens and you're in the way, you either hunker down or move out of the way so you can come in behind. If you're not in the target zone and it's bad enough, you better be prepared to go there and help out."<sup>257</sup>

At 2:50 p.m. on Monday, August 29, Coast Guard helicopters made their first rescue in the New Orleans area.<sup>258</sup>

As further discussed in Chapter 21, the Committee's investigation established that several factors contributed to the Coast Guard's success in preparing for Hurricane Katrina. First, rigorous planning, training, and exercising are key elements in the Coast Guard's approach to disaster response. Second, the Coast Guard's plans and exercises help personnel develop and maintain close ties to state and local officials, with whom they coordinated closely during the Katrina response effort. Third, the Coast Guard has a clearly articulated response mission understood by all personnel. Fourth, the Coast Guard notifies public- and private-sector partners of storm risks and of necessary safety precautions. Fifth, the Coast Guard aggressively moves personnel and assets out of the storm's path, but positions them to maximize their utility in the response effort. Finally, the Coast Guard plans for and rapidly deploys additional assets from outside the affected area without significant bureaucratic hurdles, owing to an institutional commitment to providing assistance whenever possible. The Coast Guard's efforts – including the rescue of over 33,000 people – demonstrate the effectiveness of proactive planning for disaster response.<sup>259</sup>

Unfortunately, DHS, which had extremely poor situational awareness of the storm's impact, failed to make use of the Coast Guard's early presence in the area. Coast Guard helicopter pilots were flying missions over the city as early as 3 p.m. on landfall day, Monday, August 29, and were probably the first federal officials to see the breach in the 17th Street Canal. Admiral Duncan was the highest-ranking federal official to see New Orleans on August 29, when he flew over the city at approximately 6 p.m. in a Coast Guard Falcon jet to perform a damage assessment, and saw widespread flooding. However, as discussed in Chapter 20, it does not appear that any effort was made to harness this information-gathering apparatus in service of the broader DHS mission.

### **U.S. Department of Health and Human Services and FEMA's National Disaster Medical System**

On Thursday, August 25, four days prior to landfall, FEMA Response Division Chief Edward Buikema wrote a memo to his Operations Branch Chief, William Lokey, activating the National Disaster Medical System (NDMS) – a system of medical and specialty teams designed to respond to medical emergencies.<sup>260</sup> The basic unit of NDMS is the Disaster Medical Assistance Team (DMAT). FEMA “leaned forward” on the premise that Katrina presented a potentially catastrophic event, and began to mobilize and pre-position teams without state requests. (See Chapter 27 for a discussion of situations when the NRP empowers the federal government to offer help without waiting for requests.) They made these decisions based on senior leadership experience and the need to avoid delay, Beall said:

We front-loaded those resources, and then as the state would request ESF-8 – we need a team down at this hospital, that hospital – the resource was there. In the past, they would ask, and I would have to get a team rostered, get transportation, try to fly the resource, and get it. A lot of times it could get there, but you needed it yesterday, not two days from now.<sup>261</sup>

Mick Cote, the NDMS state representative in Region VI, which covers New Mexico, Oklahoma, Texas, Arkansas, and Louisiana, expressed the urgency felt by NDMS leadership in an e-mail to NDMS Director Jack Beall on August 27:

40+ medical facilities in the 11-Parish impact zone. Models predict up to 20 ft. of water in those 11 parishes with little hope of removing it in less than 2 months. The catastrophic plan predicts 7,500 casualties per day over a 5-day period and 60,000 fatalities. In addition, estimates place critical care patients, staff, families and refugees sheltered in hospital at 10,000+.<sup>262</sup>

Cote went on to inform Beall that the State of Louisiana had identified three medical staging areas to handle victims of the hurricane. These sites were expected to be outside of the storm path but close enough to send care quickly: Louisiana State University (LSU) in Baton Rouge (80 miles from New Orleans), Southeast Louisiana University in Hammond (58 miles), and Nichols State University in Thibodaux (67 miles). Cote communicated Louisiana's need to Beall: “Based on the casualty estimates, the plan calls for three full DMATs at each medical staging site and two medical strike teams<sup>263</sup> to be located at each of four Search and Rescue Bases of Operations.”<sup>264</sup> Beall replied, “Mick, by 1800 hours tomorrow night, I will have 9 DMATS, 9 [five]-person strike teams, 2 MSTs [Management Support Teams].”<sup>265</sup>

Yet, by 6 p.m. on August 28, the night before Katrina's landfall, NDMS logs indicate that there were only four complete DMATs and two partial teams staged in the entire Gulf region, and only one of them deployed within Louisiana.<sup>266</sup> That team, Oklahoma-1 DMAT, had been directed to the Superdome not by NDMS, but at the request of U.S. Department of Health and Human Services (HHS) Assistant Secretary Stewart Simonson.<sup>267</sup> Under the



NRP, HHS is the federal agency responsible for coordinating federal medical care in an emergency.

After a Sunday-morning phone conversation with New Orleans's Health Director, Dr. Kevin Stephens, Assistant Secretary Simonson requested that two DMATs deploy to the Superdome before landfall.<sup>268</sup> FEMA sent only one team (Oklahoma-1), which did not manage to reach the Superdome before landfall.<sup>269</sup> It appears from the NDMS status reports that Oklahoma-1 was the only DMAT actually available to be deployed to the Superdome at that time.<sup>270</sup>

Aside from Oklahoma-1, which diverted to the Louisiana State University on Sunday night when it could not reach the Superdome, NDMS did not stage its DMATs at the Louisiana sites identified by Cote on August 27 or at any other locations in Louisiana or Mississippi. Instead it staged them outside these states: at the Hyatt Regency in Houston, Texas (350 miles from New Orleans); at the Noble Training Site in Anniston, Alabama (312 miles from Mobile, AL); and at the Marriot Hotel in Memphis, Tennessee (379 miles from Biloxi, Mississippi).<sup>271</sup>

It is not clear why NDMS chose these sites for the pre-staging of DMATs, especially after Louisiana apparently requested that the teams be brought closer. Under the NRP, ESF-8 (which is the interagency coordinating group for health care) is tasked with making decisions about the deployment of medical response assets.<sup>272</sup> On Sunday, August 28, Beall wrote an e-mail to Lokey asking "Bill, I am hearing the State of [Louisiana] is requesting DMATs be moved closer within the state. Can you advise?"<sup>273</sup> Lokey responded in ambiguous terms. "ESF 8 is working with state on a plan. No visibility on the outcome."<sup>274</sup> NDMS team status reports show that no NDMS teams were ever moved to Louisiana or Mississippi before landfall except for Oklahoma-1.<sup>275</sup>

In sum, while FEMA's Response Division deserves credit for activating the NDMS four days before Katrina's arrival, the NDMS decision to place teams so far away from Katrina's path meant they were hundreds of miles and hours of travel from areas in need. When HHS asked for two DMATs to go to the Superdome, FEMA apparently was unable to muster two teams to respond. The one team that actually arrived at one of Louisiana's three medical staging areas – Oklahoma-1 – was there by "mistake," because it couldn't reach the Superdome.

Assistant Secretary Simonson directed that HHS deploy its own assets to the Superdome as well. The morning of Sunday, August 28, Simonson directed the Office of Force Readiness and Deployment (OFRD) within HHS to assemble a team of 50 U.S. Public Health Service (USPHS) officers from Washington, D.C., and an additional team from the Atlanta area to provide medical support for the Superdome.<sup>276</sup> OFRD is the office that is responsible for deploying USPHS personnel.

OFRD had already begun to plan for Hurricane Katrina when it was still a tropical storm. On August 25, OFRD had been asked to roster a team of 100 USPHS officers for pre-deployment to the Gulf Coast. OFRD staff sent a mass e-mail to these 100 officers and then also tried to contact many via phone. Each time a USPHS team is needed, the team is created on an ad-hoc basis because USPHS officers are scattered across the nation and are not a part of pre-existing teams.<sup>277</sup>

By Saturday evening, Rear Admiral John Babb, the OFRD chief, reported that OFRD had been able to assemble 55 officers, who were waiting for travel orders.<sup>278</sup> (In such situations, officers reach their destinations by commercial flights; at this point, however, OFRD had not received the deployment destinations.<sup>279</sup>) When Assistant Secretary Simonson directed

that a team be assembled to go to the Superdome, this 55-person team could simply not get there before landfall.

As a result, on Sunday, Admiral Babb and his staff had to essentially start from scratch to assemble a new team that could be flown in by charter aircraft. They called hundreds of telephone numbers to reach USPHS officers in Washington, D.C., and Atlanta, but could only connect with 38 officers.<sup>280</sup> Eventually, 37 officers boarded the chartered flights arranged by Babb; a shortage of seats forced one officer to stay behind.<sup>281</sup>

Due to the late hour and deteriorating weather, the flights were routed to Jackson, Mississippi. The Health Service team got to Louisiana on the Tuesday after landfall, and was assigned to help staff the state's medical staging facility at Louisiana State University in Baton Rouge.<sup>282</sup>



Zephyr Field staging area, Louisiana  
U.S. Coast Guard photo

Assistant Secretary Simonson also directed the HHS office that manages the Strategic National Stockpile (SNS) (a stockpile of medical supplies that can be provided to states in medical emergencies) in Atlanta, Georgia, to dispatch a shipment of supplies to the Superdome.<sup>283</sup> Assistant Secretary Simonson based his request on an initial list dictated to him by Dr. Stephens, the New Orleans health director, on Sunday. Assistant Secretary Simonson e-mailed the director of the Strategic Stockpile around 1 p.m. that afternoon:

I need to get the following to N[ew] O[rleans] before the H[urricane] strikes: Gloves, bandages, blanked [blanket], blood pressure cuffs, adult diapers, Ace wraps, slings, gauze, hot and cold packs, [glucometers] and sticks, oxygen and other basic medical supplies. They are expecting something like 50,000 people in the Super Dome. Any ideas about how to handle dialysis. What about oxygen, do we have any supplies? Please get this together asap and tell me how much we can send.<sup>284</sup>

Officials at the Strategic National Stockpile advised Assistant Secretary Simonson that they had located almost all of the materials and dispatched the shipment.<sup>285</sup> However, they were unable to transport the materials into New Orleans: “At this point, we believe cannot safely move to New Orleans prior to the hurricane so are making preparation to transport to Barksdale A[ir] F[orce] B[ase] [in northwest Louisiana] which FEMA indicates will be their logistics staging area.”<sup>286</sup> These supplies did not reach Louisiana until mid-day on Monday, after landfall, and were turned over to the State of Louisiana late the same day.<sup>287</sup>

## Department of Defense

Under the NRP, the Department of Defense (DOD) is assigned a supporting role for all Emergency Support Functions (ESFs), and can also be requested to provide assistance in support of those functions by FEMA.

At the headquarters level – the civilian Office of the Assistant Secretary of Defense for Homeland Defense (OASD-HD) and the uniformed Joint Directorate of Military Support (JDOMS) within the Pentagon’s Joint Staff – officials took several actions in anticipation of receiving requests from FEMA, and monitored FEMA’s teleconferences. When Hurricane Katrina appeared as a tropical depression on August 23, DOD officials took an inventory of available commodities, and identified medical facilities and potential staging bases for FEMA.<sup>288</sup> DOD officials at the Pentagon did not alter their usual asset-inventory process as Katrina strengthened and moved toward the Gulf Coast.<sup>289</sup> However, on the Sunday before landfall, JDOMS established a 24-hour “crisis action cell” to allow for rapid processing once they began to receive requests from FEMA.<sup>290</sup>

Military commanders have a limited authority to deploy assets without orders from their superior officers or authorization from the DOD – if commanders label the deployment an “exercise.”

Within the Army, Lieutenant General Russel Honoré, Commander of the U.S. First Army based in Atlanta, Georgia, had provided assistance during the destructive 2004 hurricane season. As a Louisiana native, Lt. Gen. Honoré understood the potential damage Katrina could inflict on the Gulf Coast. In coordination with U.S. Northern Command (NORTHCOM) in Colorado Springs, Colorado, the headquarters for command and control of domestic military operations, he prepared to deploy himself and his staff on an “exercise mission” to Camp Shelby, an Army base in southern Mississippi. He also requested that assets he thought would be required in the immediate hours after landfall, including helicopters, small boats, and communications gear, be identified and alerted to speed their deployment in response to an eventual request.<sup>291</sup>

Within the Marine Corps, several generals began to assess the availability of helicopters and engineering equipment.<sup>292</sup> In the Navy, the Commander of the Second Fleet recognized that the USS *Bataan*, a helicopter-bearing ship in port in Texas, was well-positioned to provide assistance and ordered the ship to get underway on August 28 and steam in behind the hurricane.<sup>293</sup> The *Bataan* had been deployed to the area on an exercise, so the fleet commander was acting within his authority. As a result, once Katrina made landfall, the *Bataan*’s helicopters were among the first active-duty aircraft to conduct search-and-rescue missions beginning on Tuesday.<sup>294</sup> Nonetheless, DHS personnel questioned the admiral’s forethought and authority, and were reportedly angered that the Navy had acted in advance of a request.<sup>295</sup>

At NORTHCOM, the Operations Directorate commenced daily teleconferences on August 24.<sup>296</sup> On August 19, as a general measure for the hurricane season, the Secretary of Defense had granted authority for NORTHCOM to take several specific measures prior to landfall.<sup>297</sup> Beginning on August 26, NORTHCOM used this authority to deploy coordinating personnel first to Florida, then to Alabama, Mississippi, and Louisiana. The Louisiana representatives arrived the night of August 27. Under this authority and in response to a request from FEMA, NORTHCOM designated two military bases in Mississippi and Louisiana as federal staging facilities.<sup>298</sup>

The preparations by the commanders were not always coordinated with DOD, and on at least one occasion, met with resistance from a DOD headquarters component. General Honoré’s request on the eve of landfall that certain assets be identified for immediate use<sup>299</sup> was not answered by the Joint Staff,<sup>300</sup> despite the fact that the NORTHCOM Director of Operations made the same request by personally contacting the Director of JDOMS.<sup>301</sup> Several witnesses explained that, traditionally, the Pentagon will only take disaster-assistance action with a specific request from FEMA and once the actual requirement has been

verified,<sup>302</sup> though as noted above, several commanders took the initiative to mobilize and alert assets in advance of FEMA requests.

Although DOD was prepared to receive and process requests, it received very few requests from FEMA prior to landfall. In addition to staging bases, FEMA requested that DOD provide helicopters for rapid needs assessment prior to landfall; JDOMS only approved this request 12 hours after landfall, a sign, according to some witnesses, of its initial reluctance to provide assistance without the conditions described above.<sup>303</sup> And although the Department's preparations for Katrina were consistent with its procedures and prior practices in civil-support missions, they were not sufficient for a storm of Katrina's magnitude. Additional preparations in advance of specific requests for support could have enabled a more rapid response.

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1 Homeland Security Presidential Directive-5 clarifies the responsibilities given to DHS by the Homeland Security Act by formally designating the Secretary of Homeland Security as the "principal federal official for domestic incident management." The NRP further affirms the preeminent role of the DHS Secretary in coordinating the federal response to a disaster. Thus, the authority of the DHS Secretary is derived from the President in HSPD-5 within the framework of the NRP. The White House, Homeland Security Presidential Directive-5: Management of Domestic Incidents, Feb. 28, 2003.

2 Questions for the Record of Sec. Michael Chertoff, U.S. Department of Homeland Security, for the U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Hurricane Katrina: The Homeland Security Department's Response*, Feb. 15, 2006, p. 15.

3 Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2005, p. 15.

4 Testimony of Sec. Michael Chertoff, U.S. Department of Homeland Security, before the U.S. House, Select Bipartisan Committee to Investigate the Preparation for and Response to Hurricane Katrina, hearing on *Hurricane Katrina: The Role of the Department of Homeland Security*, Oct. 19, 2005.

5 Michael Brown, FEMA Daily Video Teleconference, Aug. 28, 2005, transcript p. 37. Provided to Committee; filed as Bates no. DHS-FEMA-0105-0000102.

6 Sec. Michael Chertoff, FEMA Daily Video Teleconference, Aug. 28, 2005, transcript p. 38. Provided to Committee; filed as Bates no. DHS-FEMA-0105-0000103.

7 Sec. Chertoff, VTC, Aug. 28, 2005, p. 38.

8 Sec. Chertoff, Senate Committee Hearing, Feb. 15, 2006.

9 Col. Jeff Smith, FEMA Daily Video Teleconference, Aug. 28, 2005, transcript pp. 18-19. Provided to Committee; filed as Bates nos. DHS-FEMA-0105-0000083 through 0000084.

10 FEMA Daily Video Teleconference, Aug. 28, 2005, transcript p. 21. Provided to Committee; filed as Bates no. DHS-FEMA-0105-0000086. Brown testified that by his questions, he was seeking information from the state on what it needed at that moment only. Committee Staff interview of Michael Brown, former Director, FEMA, conducted on Feb. 23, 2006, transcript pp. 62-67.

11 Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006. Sec. Chertoff also testified that he relied on FEMA's experience and expertise: "If there is nothing else that FEMA is an expert in, it is hurricanes." *Source*: Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006. However at the time of Katrina, only one individual in FEMA's front office, Acting Chief Operating Officer Ken Burris, had emergency management experience before joining FEMA. Prior to joining FEMA, Brown had been working as a Commissioner for the International Arabian Horse Association for approximately 10 years. Acting Deputy Director and Chief of Staff Patrick Rhode, Policy Director Brooks Altshuler, Acting Deputy Chief of Staff Scott Morris, and Special Assistant Michael Heath all had no prior emergency management experience. *Source*: Committee staff interview of Michael Brown, former Director, FEMA, conducted on Jan. 23, 2006, transcript pp. 219-220.

12 Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2005, p. 15.

13 In his response to one of the Committee's post-hearing questions, Sec. Chertoff described his activities over the weekend as follows: "In the weekend before landfall, I followed planning activities closely and I stayed in continual contact with senior DHS and FEMA officials and my experienced advisers. I participated in the noontime FEMA VTC on Sunday, August 28, at which time I explicitly asked Mr. Brown if he required any additional assistance from other DHS components, and if he was getting everything he needed from DOD. Louisiana officials also noted at that time that they were satisfied with the level of pre-positioning of assets and cooperation that they were receiving from FEMA. I was also in direct personal contact with each of the governors of the affected states that day, and repeatedly thereafter." *Source*: Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2005, p. 15; Committee staff interview

of John Wood, Chief of Staff, U.S. Department of Homeland Security, conducted on Jan. 27, 2006, transcript pp. 59-60 (“I mean, I think that there was certainly informal communication in which he was, you know, briefed about the status of things and to which he may have given, you know, feedback, but I don’t recall, you know, memos or specific, you know, orders and things like that; not to say there weren’t any, but I don’t recall.”); Committee staff interview of Michael Jackson, Deputy Secretary, U.S. Department of Homeland Security, conducted on Jan. 27, 2006, transcript pp. 60-61; Committee staff interview of Matt A. Mayer, Counselor to Deputy Secretary, U.S. Department of Homeland Security, conducted on Jan. 26, 2006, transcript pp. 74-75; Committee staff interview of Robert Stephan, Assistant Secretary for Infrastructure Protection, U.S. Department of Homeland Security, conducted on Jan. 13, 2006, transcript pp. 50-51.

14 Brown, VTC, Aug. 28, 2005, p. 38.

15 Max Mayfield, FEMA Daily Video Teleconference, Aug. 28, 2005, transcript pp. 3-6. Provided to Committee; filed as Bates nos. DHS-FEMA-0105-0000068 through 0000071.

16 Although Sec. Chertoff has stated that over the course of the weekend before landfall he “followed planning activities closely” and “stayed in continual contact with senior DHS and FEMA officials and my experienced advisors,” *Source*: Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006, p. 15. The Secretary has provided no more detail about these discussions, so it is unclear what he learned or what questions he asked. Aside from the foregoing, the Committee’s investigation has uncovered no other evidence regarding the specifics of such inquiries – no e-mails referring to Sec. Chertoff’s inquiries and no communications with anyone outside his senior staff at DHS. UnderSecretary Brown testified that he did not recall speaking directly with Sec. Chertoff the weekend before landfall. *Source*: Brown interview, Jan. 23, 2006, p. 88. Deputy Sec. Jackson did speak with Brown over the weekend. Brown testified that he told Deputy Sec. Jackson that he was concerned that Katrina could be a catastrophic event, but did not ask Deputy Sec. Jackson for any additional assistance from DHS because he believed FEMA could and would make those requests through the Emergency Support Functions or directly to other DHS components. *Source*: Brown interview, Jan. 23, 2006, pp. 88, 96, 105.

17 U.S. Department of Homeland Security, Office of Inspector General, “Emergency Preparedness and Response Could Better Integrate Information Technology with Incident Response and Recovery,” Sept. 2005. In an August rebuttal to the draft report, Brown disputed its findings and argued that FEMA had responded successfully to the hurricanes. The IG responded that Brown “incorrectly equate[d] the agency’s ability to meet the disaster challenges to date with effective and efficient IT management. While we state in our report that [FEMA] was able to get through the 2004 hurricanes, we also recognize that FEMA’s accomplishments were not necessarily because of its IT systems, but often in spite of them. Users across [FEMA] consistently told us that they did not use the headquarters-supplied systems, but instead relied upon alternative methods, such as creating ad hoc spreadsheets and databases or resorting to manual methods, to perform their jobs. Where IT systems were used, they often did not operate effectively.” U.S. Department of Homeland Security, Office of Inspector General, “Emergency Preparedness and Response Could Better Integrate Information Technology with Incident Response and Recovery,” Sept. 2005, pp. 23, 35.

18 Committee staff interview of Pat English, Chief Procurement Officer, FEMA, conducted on Jan. 5, 2006, transcript pp. 64, 81-84 (“I know he [DHS Chief Procurement Officer Greg Rothwell] briefed senior management in DHS, the Under Secretary, the DepSec, and on that scorecard, FEMA[’s procurement office] was red, which indicated, you know, understaffed.”).

19 Sec. Chertoff, House Select Committee hearing, Oct. 19, 2005; Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006, pp. 44, 84.

20 Brown interview, Jan. 23, 2006, p. 88; Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006, p. 15

21 Questions for the Record of Sec. Chertoff, Feb. 15, 2006, p. 15.

22 Committee staff interview of Brig. Gen. Matthew Broderick, U.S. Marine Corps (Ret.), former Director, Homeland Security Operations Center, U.S. Department of Homeland Security, conducted on Jan. 19, 2006, transcript pp. 81-82.

23 Broderick interview, Jan. 19, 2006, p. 82.

24 Committee staff interview of Peter Fonash, Ph.D., Director, National Communication System, U.S. Department of Homeland Security, conducted on Jan. 27, 2006, transcript pp. 49-52.

25 Fonash interview, Jan. 27, 2006, pp. 120-21.

26 Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006, p. 15; Wood interview, Jan. 27, 2006, pp. 56-57; Mayer interview, Jan. 26, 2006, pp. 76-77; Brig. Gen. Broderick interview, Jan. 19, 2006, pp. 208-210; Jackson interview, Jan. 27, 2006, pp. 69-71.

27 An “ATF Summary of Significant Activity” produced by the ATF said that on Sept. 2, 2005, the “ATF established point of contact at the ESF 13 Desk and the NRCC and at the IIMG.” Bureau of Alcohol, Tobacco and Firearms, Summary of Significant Activity. Provided to Committee; filed as Bates no. ATF 0000000009.

28 Committee staff interview of Wendell Shingler, Director, Federal Protective Service, U.S. Department of Homeland Security, conducted on Jan. 31, 2006, transcript pp. 54-55.

29 John Clark, e-mail to Gary Lang and others, Sept. 1, 2005, 5:58 p.m. Provided to Committee; filed as Bates no. DHS-ICE-1-0002-0000550.

30 The White House, Homeland Security Presidential Directive-8: National Preparedness, Dec. 17, 2003; U.S. Department of Homeland Security, *National Response Plan*. Washington: Government Printing Office, Dec. 2004, pp. 9, 15

[hereinafter *NRP*].

31 Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006, p. 15.

32 Testimony of David Walker, U.S. Comptroller General, Government Accountability Office, before U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Hurricane Katrina: Recommendations for Reform*, Mar. 8, 2006.

33 U.S. Department of Homeland Security, *National Response Plan, Catastrophic Incident Annex*. Washington: Government Printing Office, Dec. 2004, p. CAT-1 [hereinafter *NRP-CIA*].

34 *NRP-CIA*, p. CAT-5.

35 Stephan interview, Jan. 13, 2006, p. 35; Broderick interview, Jan. 19, 2006, p. 37.

36 Although the Secretary provides several reasons why it was not a mistake not to have activated the CIA, the Secretary never explicitly states that he considered and rejected this alternative. The *NRP-CIA* also was not activated for Hurricane Rita, but the federal government's preparation was more proactive pre-landfall than was the case for Hurricane Katrina.

37 Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006, p. 3.

38 Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006, p. 3.

39 Walker, Senate Committee hearing, Mar. 8, 2006. Secretary Chertoff argued that in the case of Katrina there was a great deal of coordination with the states, and the President's pre-landfall declarations had opened "the legal and strategic floodgates to allow as much information – as much resources and as many assets to be pushed into the theater of engagement as possible." He added that "If there is a different view of the Annex, I am always ready to consider clarifying the text." *Source*: Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2005, p. 4.

40 *NRP-CIA*, p. CAT-1 ("Accordingly, upon designation by the Secretary of Homeland Security of a catastrophic incident, Federal resources – organized into specific "packages" – deploy in accordance with the *NRP-CIS* and in coordination with the affect State and incident command structure.").

41 In his response to one of Committee's questions, the Secretary asserted that more assets than those that were called for under the *CIS* were in fact pre-positioned. *Source*: Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2005, pp. 3-4. Any suggestion that the *CIS* was followed de facto is not accurate, since two of the actions called for by the *CIS* pre-landfall – appointing a PFO pre-landfall and activating the IIMG – were not carried out in that timeframe. Committee staff interview of David Garratt, Acting Director of Recovery, FEMA, Jan. 9, 2006, pp. 8-13.

42 U.S. Department of Homeland Security, *National Response Plan, Catastrophic Incident Supplement*, Draft for Official Use Only, Sept. 2005, p. 10. Provided to Committee; filed as Bates no. DHS-FEMA-0109-0000010 [hereinafter *Catastrophic Incident Supplement*].

43 *NRP-CIA*, p. CAT-1.

44 Garrett interview, Jan. 9, 2006, pp. 36-37. Janet Benini, e-mail to Eric Tolbert and Ron Castleman, July 1, 2004, 4 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0058-0000261.

45 Janet Benini, e-mail to David Garret, Aug. 27, 2005, 12:30 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0096-0000395.

46 Brown interview, Feb. 23, 2006, p. 167.

47 Testimony of Paul McHale, Assistant Secretary of Defense for Homeland Defense, U.S. Department of Defense, before the U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Hurricane Katrina and the Defense Department Response*, Feb. 9, 2006.

48 U.S. Northern Command, USNORTHCOM Hurricane Katrina Timeline (Draft), pp. 9-11. Provided to Committee; U.S. Fleet Forces Command, briefing slides, "Hurricane Katrina Nay Mission: Providing Rescue and Civil Support Relief from the Sea, Air and Land," Nov. 14, 2005, p. 8. Provided to Committee.

49 Two emergency management experts, Chuck Mills and John Harrald, both told committee staff that they believe that invoking the *NRP-CIA* would have made a difference by instilling a "sense of urgency" in the response. Committee staff interview of Chuck Mills, Vice President, Emergency Management Services International, Inc., and John Harrald, Ph.D., Co-Director, The George Washington University Institute for Crisis, Disaster, and Risk Management, conducted on Feb. 14, 2006 (untranscribed).

50 Sec. Michael Chertoff, memorandum to Deputy Secretary and others, Aug. 20, 2005. Provided to Committee; filed as Bates nos. DHS 0002822 through 0002824.

51 *NRP*, p. 33.

52 Committee staff interview of Ken Kaiser, Special Agent in Charge, Boston Field Office, Federal Bureau of Investigation, Jan. 25, 2006, transcript p. 46.

53 Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006, p. 40.

54 Some witnesses saw the appointment of a PFO as important to a coordinated effort. For example, Admiral Thad Allen – who would ultimately be named to replace Mike Brown as PFO and was widely praised for his efforts in that role – sent an e-mail to Chief of Staff John Wood on the day of landfall suggesting that a PFO should be appointed. *Source*: Committee staff interview of Vice Adm. Thad Allen, Chief of Staff, U.S. Coast Guard, conducted on Feb. 3, 2006, transcript pp. 113-114. And, although it occurred after landfall, Assistant Secretary of Defense for Homeland Defense Paul McHale

told staff in an interview that he asked his Deputy Peter Verga to call DHS Tuesday morning, August 30, regarding the lack of a PFO. McHale stated that he thought that naming a PFO “would be an important initial step in triggering the capabilities available under the NRP.” *Source:* Committee staff interview of Paul McHale, Assistant Secretary of Defense for Homeland Defense, U.S. Department of Defense, conducted on Jan. 4, 2006, transcript p. 131.

55 Hurricane Rita demonstrated the difference that early appointment of a qualified PFO can make. There, an early, massive and coordinated federal effort was led by a PFO appointed two days before landfall. The federal government provided over 650 buses for general evacuation and arranged for ambulances and aircraft to evacuate thousands of special needs individuals. While there is no doubt that much of the federal government’s pre-Rita steps were a result of lessons learned from Katrina, and though the Rita evacuation as a whole was far from perfect, the federal effort was coordinated, in no small part because a PFO was in place to lead it at a very early point.

56 Brown interview, Jan. 23, 2006, p. 70.

57 *NRP*, p. 33 (“The PFO provides a primary point of contact and situational awareness locally for the Secretary of Homeland Security”).

58 *NRP*, p. 33.

59 Jackson interview, Jan. 27, 2006, p. 41.

60 FEMA Operations Center, e-mail to Brooks Altshuler and others, Sept. 1, 2005, 10:07 p.m. Provided to Committee; filed as Bates no. DHS 0003138. The e-mail was also sent to Michael Brown and indicated that a “light” earthquake measuring 4.8 on the Richter Scale had occurred in California.

61 Under the NRP, the decision to activate the IIMG rests with the Secretary, but Stephan testified that he took the action because he knew the Secretary was traveling and was concerned that he would be difficult to reach. Stephan interview, Jan. 13, 2006, pp. 44-45.

62 Stephan interview, Jan. 13, 2006, p. 68.

63 Stephan interview, Jan. 13, 2006, p. 57.

64 Stephan interview, Jan. 13, 2006, p. 23.

65 Committee staff interview of Col. Don Harrington, National Guard, Liaison to National Response Coordination Center, U.S. Department of Defense, conducted on Jan. 6, 2006, transcript pp. 17-18.

66 Committee staff interview of Gil Jamieson, Acting Director, National Incident Management System Integration Center, FEMA, conducted on Dec. 20, 2005, transcript pp. 81-85.

67 Committee staff interview of Capt. Michael McDaniel, Navy Emergency Preparedness Liaison to FEMA, U.S. Navy Reserves, conducted on Dec. 2, 2005, transcript p. 112.

68 The IIMG was activated for Hurricane Isabel in September 2003 and several times when the government’s alert level was raised to “orange.” Broderick interview, Jan. 19, 2006, pp. 48, 99-100. Katrina, however, was the first major test of the IIMG since the NRP was completed.

69 In testimony before the U.S. House of Representatives Committee investigating the preparation for and response to Hurricane Katrina, Sec. Chertoff stated “We went into this situation the weekend before with an understanding and with warnings that this was potentially the nightmare scenario that I think people have talked about for years in terms of New Orleans.” Sec. Chertoff, House Select Committee hearing, Oct. 19, 2005.

70 Homeland Security Presidential Directive-5 clarifies the responsibilities given to DHS by the Homeland Security Act by formally designating the Secretary of Homeland Security as the “principal federal official for domestic incident management.” The NRP further affirms DHS’s responsibilities: “During actual or potential Incidents of National Significance, the overall coordination of Federal incident management activities is executed through the Secretary of Homeland Security. Other Federal departments and agencies carry out their incident management and emergency response authorities and responsibilities within this overarching coordinating framework.”

71 U.S. Department of Homeland Security, Office of Inspector General, “A Review of Top Officials 3 Exercise,” Nov. 2005, p. 6.

72 Committee staff interview of Scott Wells, Deputy Federal Coordinating Officer for Hurricane Katrina in Louisiana, FEMA, conducted on Nov. 14, 2005, transcript p. 118, 129.

73 FEMA is the lead agency for ESF-3 (Public Works and Engineering), ESF-5 (Emergency Management), ESF-6 (Mass Care, Housing and Human Services), ESF-9 (Urban Search and Rescue) and ESF-14 (Long Term Community Recovery and Mitigation. *NRP*, p. ESF-v.

74 Committee staff interview of Edward Buikema, Acting Director of Response Division and Regional Director, Region V, FEMA, conducted on Nov. 21, 2005, transcript p. 234.

75 Committee staff interview of Eric Tolbert, former Director, Response Division, FEMA, conducted on Dec. 1, 2005, transcript pp. 137-38.

76 Michael Lowder, e-mail to EST-DIR and others, Aug. 27, 2005, 8:58 a.m. Provided to Committee; filed as Bates no. DHS-FEMA-0068-0000257.

77 Brown interview, Feb. 23, 2006, transcript p. 99.

78 Testimony of William Lokey, Federal Coordinating Officer for Hurricane Katrina in Louisiana, FEMA, before the

U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Hurricane Katrina: Urban Search and Rescue in a Catastrophe*, Jan. 20, 2006.

79 National Hurricane Center, Hurricane Katrina Discussion #9, Aug. 25, 2005, 5 p.m. ET, <http://www.nhc.noaa.gov/archive/2005/dis/al122005.discus.009.shtml?>. Accessed on Sept. 5, 2005.

80 National Hurricane Center, Hurricane Katrina Discussion #10, Aug. 25, 2005, 11 p.m. ET. <http://www.nhc.noaa.gov/archive/2005/dis/al122005.discus.010.shtml?>. Accessed on Sept. 5, 2005.

81 National Hurricane Center, Hurricane Katrina Discussion #12, Aug. 26, 2005 11 a.m. ET. <http://www.nhc.noaa.gov/archive/2005/KATRINA.shtml?>. Accessed on Sept. 5, 2005. *See also:* FEMA, National Situation Report, Aug. 27, 2005, 5:30 a.m., p. 2. Provided to Committee; filed as Bates no. DHS-FEMA-0037-0000262.

82 Max Mayfield, FEMA Daily Video Teleconference, Aug. 26, 2005, p. 4. Provided to the Committee; filed as Bates no. DHS-FEMA-0105-0000025.

83 Bill Reed, FEMA Daily Video Teleconference, Aug. 26, 2005, p. 7. Provided to the Committee; filed as Bates no. DHS-FEMA-0105-0000028.

84 Michael Brown, e-mail to Edward Buikema, Aug. 26, 2005, 12:41 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0028-001396. Patrick Rhode recommended that Buikema return to headquarters “with anyone else who is needed – vs. fishing in Alaska.” *Source:* Patrick Rhode, e-mail to Brooks Altshuler and Michael Health, Aug. 26, 2005, 9:26 a.m. Provided to Committee, filed as Bates no. DHS-FEMA-0085-0004035.

85 Buikema interview, Nov. 21, 2005, pp. 128-129.

86 Buikema interview, Nov. 21, 2005, pp. 128-129. Buikema admitted that most of the preparations for the storm were done by others, but he was in communication with both his deputy Michael Lowder and Undersecretary Michael Brown. *Source:* Buikema interview, Nov. 21, 2005, p. 238.

87 William Lokey, e-mail to Michael Lowder, Aug. 26, 2005, 3:03 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0028-0000245.

88 ESFs activated at the National Operations Center included Transportation (1), Public Works and Engineering (3), Firefighting (4), Emergency Management (5), Resource Support (7), External Affairs (15) and a military liaison. At the region IV level, ESFs activated included Transportation (1), Public Works and Engineering (3), Firefighting (4), Resource Support (7), Long-Term Recovery and Mitigation (14), External Affairs (15), and Department of Defense. *Source:* FEMA, National Situation Report, Aug. 26, 2005, 5:30 a.m., p. 2. Provided to Committee; filed as Bates no. DHS-FEMA-0037-0000191. Alabama’s own activation of its EOC was also at its lowest level of activation on August 26 at noon and they did not plan to raise it to the highest level until 9 a.m. the following day. *Source:* FEMA Daily Video Teleconference, Aug. 26, 2005, p. 10. Provided to Committee; filed as Bates no. DHS-FEMA-0105-0000031.

89 FEMA, Shift Change Briefing, Aug. 27, 2005, 7 a.m. Provided to Committee; filed as Bates no. DHS-FEMA-0055-0000548.

90 National Hurricane Center, Hurricane Katrina Discussion #12, Aug. 26, 2005 11 a.m. ET. <http://www.nhc.noaa.gov/archive/2005/KATRINA.shtml?> Accessed on Apr. 25, 2006. *See also:* FEMA, National Situation Report, Aug. 27, 2005 5:30 a.m., p. 2. Provided to Committee; filed as Bates no. DHS-FEMA-0037-0000262.

91 FEMA, Region VI Regional Response Coordination Center, Situation Report 1, Aug. 27, 2005, p. 1. Provided to Committee; filed as Bates no. DHS-FEMA-0073-0000118; FEMA, Region VI Status Briefing, Aug. 27, 2005, p.1. Provided to Committee; filed as Bates no. DHS-FEMA-0073-0000197.

92 FEMA, National Situation Report, Aug. 27, 2005, 5:30 a.m., p. 2. Provided to Committee; filed as Bates no. DHS-FEMA-0037-0000262.

93 FEMA, “Tropical Storm Katrina,” Aug. 27, 2005, 9 a.m. Provided to Committee; filed as Bates no. DHS-FEMA-0055-0002139.

94 FEMA, “Tropical Storm Katrina,” Aug. 27, 2005, 9 a.m., pp. 1-3. Provided to Committee; filed as Bates nos. DHS-FEMA-0055-0002139 through 0002141.

95 Sharon Blades, e-mail to Michael Pawlowski and others, Aug. 27, 2005, 10:35 a.m. Provided to Committee; filed as Bates no. DHS-FEMA-0028-0000455.

96 70 Fed. Reg. 53238 (Sept. 7, 2005); Col. Jeff Smith, FEMA Daily Video Teleconference, Aug. 27, 2005, p. 10. Provided to Committee; filed as Bates no. DHS-FEMA-0105-0000049.

97 70 Fed. Reg. 54061-62 (Sept. 13, 2006); 70 Fed. Reg. 53239 (Sept. 7, 2005).

98 “Robert T. Stafford Disaster Relief and Emergency Assistance Act.” (P.L. 93-288), 42 U.S.C. § 5191.

99 64 Fed. Reg. 51975-01; 64 Fed. Reg. 51976-02; 64 Fed. Reg. 52316-02; 64 Fed. Reg. 52318-01.

100 National Hurricane Center, Hurricane Katrina Advisory #19, Aug. 27, 2005, 10 p.m. CT. <http://www.nhc.noaa.gov/archive/2005/pub/al122005.public.019.shtml?> Accessed on Sept. 5, 2005; National Hurricane Center, Hurricane Katrina Special Discussion # 20, Aug. 28, 2005, 2 a.m. ET. <http://www.nhc.noaa.gov/archive/2005/dis/al122005.discus.020.shtml?> Accessed on Sept. 5, 2005.

101 Michael Lowder, e-mail to Michael Brown and others, Aug. 28, 2005, 2:06 p.m. Provided to Committee; filed as Bates no. DHS 0002487.



- 102 FEMA, National Situation Report, Aug. 28, 2005, 5:30 a.m., p. 2. Provided to Committee; filed as Bates no. DHS-FEMA-0037-0000354.
- 103 Jon MacLaren, e-mail to William Flynn and others, Aug. 28, 2005, 2:49 p.m. Provided to Committee; filed as Bates nos. DHS-INFP-0003-0001949 through 0001950; William Flynn, e-mail to Bob Stephan and others, Aug. 28, 2005, 6:39 p.m. Provided to Committee; filed as Bates no. DHS-INFP-0003-0001850; Frank DiFalco, e-mail to HSOC.HSIN and others, Aug. 28, 2005, 8:31 p.m. Provided to Committee; filed as Bates nos. DHS-HSOC-0002-0000059 through 0000099; Lon Biasco, e-mail to HSOC-All-Desks, Aug. 28, 2005, 10:33, p.m. Provided to Committee; filed as Bates no. DHS-HSOC-0002-0000114; Andrew Akers, e-mail to HSOC SWO and others, Aug. 29, 2004, 1:47 a.m. Provided to Committee; filed as Bates no. WHK-15894.
- 104 Testimony of Michael Brown, former Director, FEMA, before the U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Hurricane Katrina: The Roles of the DHS and FEMA Leadership*, Feb. 10, 2006.
- 105 Brown, Senate Committee hearing, Feb. 10, 2006.
- 106 Brown, Senate Committee hearing, Feb. 10, 2006; Brown interview, Feb. 23, 2006, pp. 33-34.
- 107 Brown interview, Jan. 23, 2006, p. 91.
- 108 Mayfield, VTC, Aug. 28, 2005, pp. 2, 6. On that same call, the National Hurricane Center discussed storm surges: “Well obviously where it’s headed you’re at the worst possible locations for storm surge. You remember Camille and its 26 feet. I would advise all the folks that are in the potential path of this storm to be looking at their maximum off the surge models, the meows and whatnot off of a Category 4 or 5 storm, and plan accordingly. *Source*: Bill Ryder, FEMA Daily Video Teleconference, Aug. 28, 2005, pp. 4-5. Provided to Committee; filed as Bates nos. DHS-FEMA-0105-0000044 through 0000045. Joe Hagin, White House Deputy Chief of Staff, was on the VTC, listening to these warnings. *Source*: Joe Hagin, FEMA Daily Video Teleconference, Aug. 27, 2005, p. 24. Provided to Committee; filed as Bates no. DHS-FEMA-0105-0000063.
- 109 FEMA Daily Video Teleconference, Aug. 28, 2005, pp. 13-15. Provided to Committee; filed as Bates nos. DHS-FEMA-0105-0000066 through 0000104.
- 110 Col. William Doran, FEMA Daily Video Teleconference, Aug. 28, 2005, p. 17. Provided to Committee; filed as Bates no. DHS-FEMA-0105-0000082.
- 111 Col. Smith, VTC, Aug. 28, 2005, p. 17.
- 112 Brown interview, Feb. 23, 2006, p. 34.
- 113 Brown interview, Feb. 23, 2006, p. 36.
- 114 FEMA, Employee Count as of Nov. 12, 2005. Provided to the Committee; filed as Bates no. DHS-FEMA-0082-0000208; Committee staff interview of Michael Hall, Acting Director, Human Resources, FEMA, conducted on Nov. 28 2005, transcript p. 61.
- 115 Written statement of William Carwile III, Federal Coordinating Officer for Hurricane Katrina in Mississippi, FEMA, for the U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Hurricane Katrina: Perspectives of FEMA’s Operations Professionals*, Dec. 8, 2005, pp. 1-2.
- 116 Written Statement of William Carwile III, Senate Committee Hearing, Dec. 8, 2005, pp. 1-2.
- 117 FEMA, National Situation Report, Aug. 28, 2005, 5:30 a.m., p. 2. Provided to Committee; filed as Bates no. DHS-FEMA-0037-0000355.
- 118 *NRP*, p. 40.
- 119 Committee staff interview of William Lokey, Federal Coordinating Officer for Hurricane Katrina in Louisiana, FEMA, Jan. 20, 2006, transcript pp. 197-198; Committee staff interview of William Carwile III, Federal Coordinating Officer for Hurricane Katrina in Mississippi, FEMA, conducted on Dec. 6, 2005, transcript p. 78.
- 120 *NRP*, p. 40.
- 121 Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006, p. 61; Lokey interview, Nov. 4, 2005, pp. 32-33.
- 122 According to William Lokey, “When Mr. Brown decided to dispatch the ERT-N on Saturday morning, because we don’t have a lot of people and a number of the ERT-N ... were already deployed to Florida, Alabama, Mississippi, and in Louisiana, out of their respective regions, what I asked was that [we] activate both the Red and Blue team and fill the rosters with whoever called back first. So we in essence had a plaid response of people.” Lokey interview, Nov. 4, 2005, pp. 32-33.
- 123 Lokey interview, Nov. 4, 2005 pp. 42-43.
- 124 Lokey interview, Jan. 20, 2006, p. 200.
- 125 Lokey interview, Nov. 4, 2005, p. 41.
- 126 Hall interview, Dec. 1, 2005, p. 218.
- 127 Carwile interview, Dec. 6, 2005, pp. 78-80.
- 128 Hall interview, Dec. 1, 2005, pp. 217-220.

- 129 Carwile interview, Dec. 6, 2005, p. 79.
- 130 Parr interview, Nov. 16, 2005, pp. 10-11, 102.
- 131 Parr interview, Nov. 16, 2005, p. 11.
- 132 Additionally during the Saturday video teleconference the National Weather Service official stated that although it couldn't "totally rule out the possibility" of the storm hitting Texas, "there's nothing we're looking at now . . . that would take it that far west." *Source:* Bill Reed, FEMA Daily Video Teleconference, Aug. 27, 2004, p. 8. Provided to Committee; filed as Bates no. DHS-FEMA-0105-0000047. *See also:* National Hurricane Center, Katrina Graphics Archive, Aug. 27, 2005, 4 p.m. CT and 10 p.m. CT, [http://www.nhc.noaa.gov/archive/2005/KATRINA\\_graphics.shtml](http://www.nhc.noaa.gov/archive/2005/KATRINA_graphics.shtml). Accessed on Apr. 25, 2006.
- 133 Philip Parr, e-mail to James Russo, Aug. 27, 2005, 2:57 p.m. Provided to Committee; filed as Bates no. DHS-FEMA 0073-0000174. Gary Jones, Director of FEMA Region VI said that a team was sent to Texas in case the hurricane took a turn towards Texas. *Source:* Committee staff interview of Gary Jones, Acting Regional Director, Region VI, FEMA, conducted on Jan. 11, 2006, transcript p. 44; Phil Parr, e-mail to James Russo, Aug. 27, 2005, 2:57 p.m. Provided to Committee; filed as Bates nos. DHS-FEMA-0073-0000430 through 0000432.
- 134 Parr interview, Nov. 16, 2005, pp. 28-29.
- 135 Buikema interview, Nov. 21, 2005, p. 110.
- 136 Buikema interview, Nov. 21, 2005, p. 109; Tolbert interview, Dec. 1, 2005, p. 54.
- 137 Buikema interview, Nov. 21, 2005, p. 113; Committee staff interview of Michael Lowder, Deputy Director of Response, FEMA, conducted on Nov. 10, 2005, transcript p. 79. *See also:* Tolbert interview, Dec. 1, 2005, p. 54 (discussing the response capabilities of FIRST teams).
- 138 Brown interview, Feb. 23, 2006, p. 19.
- 139 Committee staff interview of Marty Bahamonde, Director, External Affairs, Region I, FEMA, conducted on Oct. 7, 2005, transcript pp. 39-40.
- 140 Bahamonde interview, Oct. 7, 2005, pp. 45-47.
- 141 Committee staff interview of Tom Bossert, former Deputy Director of Legislative Affairs, FEMA, conducted on Dec. 20, 2005, transcript pp. 27-28
- 142 Marshall Sanders, e-mail to Michael Heath and others, Aug. 27, 2005, 7:55 p.m. Provided to Committee; filed as Bates nos. DHS-FEMA-0086-0002291 through 0002293.
- 143 Bossert interview, Dec. 20, 2005, pp. 60-61.
- 144 Committee staff interview of Bob Fenton, Response Branch Chief for Region IX and Operations Chief, FEMA, conducted on Dec. 22, 2005, transcript pp. 20-22; Lokey interview, Jan. 20, 2006, pp. 47-48, 197-198.
- 145 Carwile interview, Dec. 6, 2005, pp. 111-112.
- 146 FEMA exacerbated its lack of qualified personnel by deploying the trained staff it did have as late as Friday and Saturday before landfall on Monday.
- 147 Wells interview, Nov. 14, 2005, pp. 67-68. Wells also said "This was a catastrophic disaster. We don't have the structure; we don't have the people for a catastrophic disaster. It's that simple." *Source:* Wells interview, Nov. 14, 2005, p. 69.
- 148 Written Statement of Carwile, Senate Committee hearing, Dec. 8, 2005, pp. 6-7.
- 149 Wells interview, Nov. 15, 2005, p. 59.
- 150 Wells interview, Nov. 14, 2005, pp. 55-56, 70.
- 151 Committee staff interview of Marie Sloan, Section Chief, Disaster Workforce Response Division, FEMA, conducted on Mar. 1, 2006, transcript pp. 8-9; Hall interview, Nov. 28, 2005, pp. 24-25; FEMA, "Daily Disaster and Post Disaster and Other Travel Deployments (DAEs only)." Provided to Committee; filed as Bates nos. DHS-FEMA-0055-0000209 through 0000211.
- 152 FEMA, "Daily Disaster and Post Disaster and Other Travel Deployments (DAEs only)." Provided to Committee; filed as Bates nos. DHS-FEMA-0055-0000159 through 0000160.
- 153 Hall interview, Dec. 1, 2005, pp. 171-172.
- 154 Nancy Ward, e-mail to William Carwile, Aug. 30, 2005, 7:50 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0083-0000490.
- 155 Michael Hall, e-mail to Mary Lynne Miller, Gary Jones, and Teresa Gauger, Aug. 31, 2005, 6:11 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0069-0000490.
- 156 Sandy Coachman, FEMA FCO, was in New Orleans working a previous disaster. On Sunday, she was ordered to evacuate New Orleans prior to the storm's landfall. *Source:* Committee staff interview of Sandy Coachman, Federal Coordinating Officer, Region VI, FEMA, conducted on Nov. 15, 2005, transcript p. 7. Scott Wells testified that it was "contrary to our policy" and "doctrine" to have placed personnel in New Orleans prior to landfall. *Source:* Wells interview, Nov. 14, 2005, pp. 172-173.
- 157 Carwile interview, Dec. 6, 2005, transcript pp. 97-99. However, Scott Wells testified that there is general reluctance

- by states to allow FEMA liaisons in the states. *Source*: Wells interview, Nov. 14, 2005, p. 131.
- 158 Lokey interview, Nov. 4, 2005, pp. 91-92.
- 159 Bahamonde interview, Oct. 7, 2005, pp. 126-129.
- 160 Lokey interview, Jan. 20, 2006 pp. 31-32.
- 161 Lokey interview, Jan. 20, 2006, pp. 21,18.
- 162 Lokey interview, Jan. 20, 2006, p. 23.
- 163 Lokey interview, Jan. 20, 2006, p. 23.
- 164 Lokey interview, Jan. 20, 2006, p. 23.
- 165 Committee staff interview of William Milani, Chief, Mobile Operations Section, Logistics Branch, FEMA, conducted on Jan. 12, 2006, transcript p. 59.
- 166 Committee staff interview of James Attaway, Telecommunications Specialist, Mobile Emergency Response System, Region VI, FEMA, conducted on Jan. 13, 2006, transcript pp. 97-99.
- 167 Milani interview, Jan. 12, 2006, pp. 59, 70
- 168 Milani interview, Jan. 12, 2006, p. 59.
- 169 FEMA did not ask MERS, FEMA's communications unit, to deploy to the EOC pre-landfall. *Source*: Milani interview, Jan. 12, 2006, pp. 54-55.
- 170 Committee staff interview of Philip Parr, Federal Coordinating Officer, Region I, FEMA, conducted on Nov. 16, 2005.
- 171 Wells interview, Nov. 15, 2005, p. 116
- 172 Lokey interview, Jan. 20, 2006, p. 173.
- 173 Tolbert interview, Dec. 1, 2005, pp. 28-29; Ron Castleman, e-mails to Patrick Rhode and Michael Brown, Dec. 29-30, 2003. Provided to Committee. Despite these denials, funding for catastrophic planning for New Orleans was found elsewhere in the Response Divisions budget. DHS authorized money for fiscal year 2006 for FEMA's catastrophic planning initiative. FEMA requested \$20 million for this initiative, but as of February 2006, only \$65,000 had been obligated. Questions for the Record of Sec. Chertoff, Senate Committee hearing, Feb. 15, 2006, p. 65.
- 174 Committee staff interview of Wayne Fairley, Branch Chief, Response Operations Region VI, FEMA, conducted on Jan. 18, 2006, transcript pp. 129-132; Committee staff interview of Sean Fontenot, Former Chief, Preparedness Division, Louisiana Office of Homeland Security and Emergency Management, conducted on Jan. 10, 2006, transcript pp. 52-58, 89-92. According to witnesses, with the need to narrow the project scope, pre-landfall evacuation was eliminated because, unlike other subjects, it had frequently been the subject of planning over the years. *Source*: Testimony of Madhu Beriwal, President and CEO, Innovative Emergency Management Inc., before the U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Preparing for a Catastrophe: The Hurricane Pam Exercise*, Jan. 24, 2006; Fontenot interview, Jan. 10, 2006, pp. 57-58, 89-92.
- 175 Testimony of Michael Brown, former Director, FEMA, before the U.S. House, Select Bipartisan Committee to Investigate the Preparation for and Response to Hurricane Katrina, hearing on *The Role of the Federal Emergency Management Agency*, Sept. 27, 2005.
- 176 Lokey interview, Nov. 4, 2005, pp. 184-187. At 8:19 a.m. on Aug. 27, 2005, FEMA's Acting Deputy Director Patrick Rhode e-mailed the Acting Director of Response a request for a copy of the New Orleans Catastrophic Plan. *Source*: Patrick Rhode, e-mail to David Garratt and others, Aug. 27, 2005, 8:19 a.m. Provided to Committee; filed as Bates no. DHS-FEMA-0085-0003866. At 9:07 a.m. William Lokey replied to Rhode, Brown, and other that "Copies are being made as we speak." *Source*: William Lokey, e-mail to Patrick Rhode, David Garratt and others, Aug. 27, 2005, 9:07 a.m. Provided to Committee; filed as Bates no. DHS-FEMA-0085-0003860. At 10:35 a.m. Sharon Blades e-mailed 25 FEMA personnel including William Lokey, Tony Robinson, Gary Jones, and Wayne Fairley an electronic version of the plan, and told them that copies were being printed. *Source*: Sharon Blades, e-mail to Michel Pawlowski and others, Aug. 27, 2005, 10:35 a.m. Provided to Committee; filed as Bates no. DHS-FEMA-0085-0003570. Later that afternoon Deputy Chief of Staff Brooks Altshuler e-mailed twice asking for additional copies for the front office. *Source*: Brooks Altshuler, e-mail to Sharon Blades and others, Aug. 27, 2005, 3:36 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0085-0003325. A few minutes later he received a reply that 50 copies were being printed. *Source*: Michel Powlowski, e-mail to Brooks Altshuler and others, Aug. 27, 2005, 3:42 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0085-0003570. At 8:37 p.m. that night Sharon Blades again e-mails Altshuler: "We have printed up more plans and they are on the mezz in Area A. We are also printing copies of the latest drafts and a preface explaining the planning process and the various documents because they all have not been finalized and assembled into one document. This will, we hope, avoid confusion." *Source*: Sharon Blades, e-mail to Brooks Altshuler and others, Aug. 27, 2005, 8:37 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0085-0003325.
- 177 *Southeast Louisiana Catastrophic Hurricane Plan*, prepared by IEM, Inc. for LOHSEP and FEMA, Sept. 2005, p. 2 [hereinafter *Southeast Louisiana Catastrophic Hurricane Plan*, Sept. 2005].
- 178 *Southeast Louisiana Catastrophic Hurricane Plan*, Sept. 2005, p. 4.
- 179 Tony Robbins, FEMA Daily Video Teleconference, Aug. 27, 2005, p. 15. Provided to Committee; filed as Bates no. DHS-FEMA-0105-0000054; Wells interview, Nov. 15, 2005, p. 66.

- 180 Wells interview, Nov. 15, 2005, p. 66.
- 181 Sec. Michael Chertoff, *The Charlie Rose Show*, PBS, Jan. 9, 2006, 11 a.m. ET. Transcript accessed on LexisNexis.
- 182 Committee staff interview of Gary Moore, Director, Logistics, FEMA, conducted on Dec. 9, 2005, transcript p. 30.
- 183 Robbins, VTC, Aug. 27, 2005, pp. 16-17. *See also:* FEMA, *Commodities Status as of Aug. 29, 2005*. Provided to Committee; filed as Bates no. DHS-FEMA-0127-0010528.
- 184 Committee staff interview of Kenneth Burris, Acting Director of Operations, FEMA, Dec. 29, 2005, p. 16.
- 185 FEMA, FEMA LC's, PPS, TSS & Ice Storage, *Commodity Status as of Aug. 26, 2005, 9:30 a.m.* Provided to Committee; filed as Bates no. DHS-FEMA-0127-0014017. *See also:* FEMA, *Commodities Status as of Aug. 29, 2005*. Provided to Committee; filed as Bates no. DHS-FEMA-0127-0010528.
- 186 Federal Operational Staging Area Camp Beaugard, LA Situation Report as of 1900 28 Aug. 2005. Provided to Committee; filed as Bates no. DHS-FEMA-0080-0000005; FEMA, FEMA LC's, PPS, TSS, & Ice Storage, Aug. 26, 2005, Provided to Committee; filed as Bates no. DHS-FEMA-0127-0014017.
- 187 Ernest Hudson e-mail to Wayne Fairley et al., Aug. 29, 2005, 11:47. Provided to Committee; filed as Bates no. DHS-FEMA-0080-000003; Brooks Altschuler, e-mail to Patrick Rhode and others, Aug. 28, 2005, 5:56 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0085-0004937.
- 188 Michael Lowder, e-mail to Gary Moore and others, Aug. 28, 2005, 1:03 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0083-0000716; Michael Lowder, e-mail to William Carwile, Aug. 28, 2005, 12:37 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0083-0000718; Gary Moore, e-mail to Michael Lowder and others, Aug. 28, 2005, 1 p.m. Provided to Committee; filed as Bates nos. DHS-FEMA-0068-0001236 through 0001237; Michael Lowder, e-mail to William Carwile, Aug. 28, 2005, 12:31 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0083-0000722.
- 189 Committee staff interview of Tom McAllister, Director of Response and Recovery, MEMA, conducted on Jan. 25, 2006, transcript p. 8.
- 190 McAllister interview, Jan. 25, 2006, pp. 8-9.
- 191 Committee staff interview of Patrick Rhode, former Acting Deputy Director, FEMA, conducted on Dec. 22, 2005, transcript pp. 40-42.
- 192 Rhode interview, Dec. 22, 2005, pp. 42-47.
- 193 Rhode interview, Dec. 22, 2005, pp. 53.
- 194 Moore interview, Dec. 9, 2005, p. 37.
- 195 Teresa Gauger, e-mail to Lisa Williams, Marie Sloan, and Michael Hall, Aug. 27, 2005, 11:33 a.m. Provided to Committee; filed as Bates no. DHS-FEMA-0069-0001575. *See also:* Sloan interview, Mar. 1, 2006, pp. 31-33.
- 196 Kerry Young, e-mail to Jules Hurst and Mary Ann Veitch, Aug. 28, 2005, 3:08 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0127-0011518.
- 197 Moore interview, Dec. 9, 2005, p. 35.
- 198 Moore interview, Dec. 9, 2005, pp. 35-37. Moore testified that FEMA's transportation system "catastrophically... broke down" because of the disaster. *Source:* Moore interview, Dec. 9, 2005, p. 83.
- 199 Moore interview, Dec. 9, 2005, p. 36.
- 200 FEMA, NDMS Resource Status, Aug. 28, 2005, 8 p.m. ET. Provided to Committee.
- 201 Committee staff interview of Jack Beall, Chief, National Disaster Medical System, FEMA, conducted on Jan. 10, 2006, transcript pp. 10-13.
- 202 Lokey interview, Nov. 4, 2005, pp. 66-67, 72-83, 90.
- 203 Lokey interview, Nov. 4, 2005, pp. 67-68, 80.
- 204 Committee staff interview of James Strickland, Team Member, Urban Search and Rescue, FEMA, conducted on Jan. 25, 2006, transcript pp. 38-39.
- 205 Strickland interview, conducted on Jan. 25, 2006, pp. 33-34.
- 206 Lokey interview, Nov. 4, 2005, pp. 88-90.
- 207 Strickland interview, conducted on Jan. 25, 2006, pp. 44-45, 82-83.
- 208 Testimony of Capt. Bruce C. Jones, U.S. Coast Guard, Commanding Officer, Air Station New Orleans, before the U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Always Ready: The Coast Guard's Response to Hurricane Katrina*, Nov. 9, 2005.
- 209 Attaway interview, Jan. 13, 2006, pp. 77-78. After he learned the city was flooding and it was a major catastrophe, MERS took steps to get additional resources and supplies. "I went about having our guys locate the local communications...and establishing accounts with them. We actually started ordering supplies. I got into the building next door and started doing a survey of the building to layout the facility that we wanted to put in there. We did quite a lot of work right quick." *Source:* Attaway interview, Jan. 13, 2006, pp. 77-78.

210 Lokey interview, Jan. 20, 2006, pp. 8-9. "A JFO does not exist until the facility is fully functional. Until that time, the people may be working in the building and it is called an Initial Operating Facility (IOF)." The IOF in Louisiana began operating pre-landfall and was rapidly ramped over the course of 12 days until a designation as JFO on September 9. "So as other Federal agencies started arriving, by a couple of days, there were several hundred people there. There were a thousand people there within a week." *Source*: Lokey interview, Jan. 20, 2006, p. 10. However, state employees could not move into the JFO until the technology issues were addressed, thus although federal agencies were at the IOF, because the state employees could not be there, it was harder to coordinate the response.

211 Lokey interview, Jan. 20, 2006, p. 101; Committee staff interview of Lucy Brooke, Emergency Management Program Specialist, FEMA, conducted on Jan. 24, 2006, transcript p. 16; Committee staff interview of Mark Misczak, Individual Assistance Branch Chief, Region VI, FEMA, conducted on Nov. 14, 2005, transcript p. 12.

212 Lokey interview, Nov. 4, 2005, p. 30.

213 Lokey interview, Jan. 20, 2006, pp. 9-10.

214 Lokey interview, Jan. 20, 2006, p. 30; Committee interview of William King, Branch Chief, Region V, Radiological Emergency Preparedness Program, Technical Services Branch, FEMA, conducted on Jan. 17, 2006, transcript p. 93.

215 For example, the FEMA Director of Planning in Louisiana, Bill King, said the EOC only had one computer dedicated to FEMA. *Source*: King interview, Jan. 17, 2006, p. 91. One FEMA employee who worked in EOC until the JFO opened explained: "You're limited. I mean, we had a – it was a little office. ... [There was] one telephone in there that the Comm Center knew that number and knew that was a room where FEMA people were working, and so every call that came in got funneled in there, no matter who it was for or who was calling. And people would come in and use that phone – the search and rescue guys or whatever – come in and use that phone and leave that number for [them] to call, so it was kind of telephone central when it'd work." *Source*: Brooke interview, Jan. 24, 2006, p. 54.

216 Lokey interview, Jan. 20, 2006, p. 25.

217 Lokey interview, Jan. 20, 2006, p. 28.

218 Lokey interview, Jan. 20, 2006, pp. 24-25.

219 Lokey interview, Jan. 20, 2006, pp. 17, 23.

220 Lokey interview, Jan. 20, 2006, pp. 23-24.

221 Shingler interview, Jan. 31, 2006, p. 11.

222 "Need 10-12 FPS officers to escort NDMS teams assigned to Louisiana Super Dome in New Orleans. Twenty-four hour coverage required NDMS teams are comprised of 35 members." *Source*: FEMA, Mission Assignment, 1603DR-LA-FPS-02, Sept. 30, 2005, p. 1. Provided to Committee; filed as Bates no. DHS-FEMA-0035-0000023.

223 "Request (14) FPS [Federal Protective Service] officers to deploy to LA Superdome to assist in crowd control during Superdome evacuation. Must be equipped with crowd control weaponry." FEMA, Mission Assignment, 1603DR-LA-FPS-04, Sept. 31, 2005, p. 1. Provided to Committee; filed as Bates no. DHS-FEMA-0035-0000143.

224 Parr interview, Nov. 16, 2005, p. 93.

225 U.S. Customs and Border Protection, Commissioner's Situation Room, Aug. 29, 2005, 2:30 p.m. Provided to Committee; filed as Bates no. DHS-CBP1-0001-0000003.

226 U.S. Customs and Border Protection, Commissioner's Situation Room, Aug. 31, 2005, 3 p.m. Provided to Committee; filed as Bates no. DHS-CBP1-0001-0000029.

227 "Request (29) Federal Protective Service (FPS) personnel to provide physical security to assure the safety of personnel and equipment of NDMS teams (i.e., DMAT, DMORT, VMAT) deployed and staged in Region 6" to provide 24-hour coverage/escort for NDMS teams and equipment assigned to multiple locations affected by Hurricane Katrina. FEMA, Mission Assignment, 1603DR-LA-FPS-01, Sept. 30, 2005, p. 1. Provided to Committee; filed as Bates no. DHS-FEMA-0035-0000015.

228 But contrast with the National Guard testimony in the Superdome that there was no security problem. Committee staff interview of Col. Pat Prechter, State Chief Nurse, Louisiana Army National Guard and Deputy Commander, Louisiana Medical Command, conducted on Jan. 6, 2006, transcript pp. 63-68, 100-103; Committee staff interview of Brig. Gen. Gary Jones, Assistant Joint Forces Commander, Louisiana Army National Guard, conducted on Dec. 7, 2005, transcript pp. 81-82, 171-175, 222-223.

229 Gary Sirmons, e-mail to Gerald Gomes, Sept. 1, 2005 11:09 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0136-0000021. Later on CCN, DMAT personnel thought that they "saw looters ... going through the [team] CA-6's personal belongings." *Source*: Gerald Gomes, e-mail to Gary Sirmons and others, Sept. 2, 2005, 3:53 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0136-0000021. "The team commanders were not comfortable moving into the arena [Thursday night]. We discussed the situation at length, but I was not able to assuage their fears. Further, the FPS Regional Director decided he wouldn't take the teams in until tomorrow morning." *Source*: William Lokey, e-mail to Steven Posner, Gary Simons, and Joan Harding, Sept. 1, 2005, 10:08 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0136-0000022.

230 Brown, Senate Committee hearing, Feb. 10, 2005.

231 Committee Staff interview of Gen. Richard Myers, U.S. Air Force (Ret.), former Chairman of the Joint Chiefs of Staff, conducted on Feb. 28, 2006, transcript p. 9.

232 Sec. Chertoff, VTC, Aug. 28, 2005, p. 38.

233 Brown, VTC, Aug. 28, 2005, pp. 38-39.

234 Sec. Chertoff, VTC, Aug. 28, 2005, pp. 38-39.

235 Written Statement of Rear Adm. Robert Duncan, U.S. Coast Guard, Commander, 8th Coast Guard District, for the U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Always Ready: The Coast Guard's Response to Hurricane Katrina*, Nov. 9, 2005, p. 2. The Coast Guard is "a law enforcement authority as well as an armed force." Testimony of Rear Adm. Robert Duncan, Commander, 8th Coast Guard District, before the U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Always Ready: The Coast Guard's Response to Hurricane Katrina*, Nov. 9, 2005.

236 U.S. Coast Guard, "U.S. Coast Guard: America's Maritime Guardian," Jan. 1, 2002, pp. 55-56 ("Successful mission execution begins with a thorough understanding of the environment in which we operate. Based on that understanding, we develop operational concepts, acquire appropriate equipment, and put our people through rigorous formal training. We build on that foundation by continuous training and drills, by improving our personal skills and by maintaining our equipment at the highest state of readiness. In short, consistently successful performance requires thorough preparation.").

237 Written Statement of Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005, p. 2. In fact, Coast Guard Air Station New Orleans exercised its hurricane plan several times each season. Testimony of Capt. Bruce C. Jones, U.S. Coast Guard, Commanding Officer, Air Station New Orleans, before the U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Always Ready: The Coast Guard's Response to Hurricane Katrina*, Nov. 9, 2005.

238 Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005.

239 Scott R. Gourley, "The Coast Guard and Hurricane Katrina," *Homeland Security*, Jan. 2006.

240 Written Statement of Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005, p. 2.

241 Written Statement of Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005, p. 2.

242 Written Statement of Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005, p. 2.

243 Testimony of Capt. Frank Paskewich, U.S. Coast Guard, Commander, Coast Guard Sector New Orleans, before the U.S. Senate, Committee on Homeland Security and Governmental Affairs, hearing on *Always Ready: The Coast Guard's Response to Hurricane Katrina*, Nov. 9, 2005.

244 Capt. Paskewich, Senate Committee hearing, Nov. 9, 2005.

245 Capt. Paskewich, Senate Committee hearing, Nov. 9, 2005; Committee staff interview of Capt. Frank Paskewich, Commander Coast, U.S. Coast Guard, Guard Sector New Orleans, conducted on Oct. 6, 2005 (Captain Paskewich told staff there were no Coast Guard dependents left in the city of New Orleans prior to landfall).

246 U.S. Coast Guard, Hurricane Katrina: Response and Recovery, Sept. 7, 2005, p. 4.

247 Written Statement of Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005, p. 3; Committee staff interview of Capt. Bruce Jones, U.S. Coast Guard, Commanding Officer, Coast Guard Air Station New Orleans, conducted on Oct. 6, 2005.

248 Capt. Paskewich, Senate Committee hearing, Nov. 9, 2005. For example, the Seagoing Buoy Tender Coast Guard Cutter *Cypress*, home ported in Mobile, Alabama, was pre-staged in Houston, Texas and loaded with as many Aids to Navigation supplies as "she could physically carry." *Source*: Written Statement of Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005, p. 3.

249 Written Statement of Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005, p. 3. Vice Adm. Vivian Crea, the Coast Guard Atlantic Area Commander, authorized this movement. *Source*: Written Statement of Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005, p. 3. The cutter *Spencer* arrived in New Orleans two days after landfall. *Source*: Written Statement of Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005, p. 3.

250 Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005; Capt. Jones interview, Oct. 6, 2005. In fact, this C-130 was later used by the Coast Guard as a communication platform relaying messages to and from the helicopter search and rescue crews operating over the city. *Source*: Captain Jones interview, Oct. 6, 2005.

251 Capt. Jones interview, Nov. 2, 2005.

252 Capt. Jones interview, Nov. 2, 2005.

253 Committee staff interview of Lt. Cmdr. Shari Ben-Iesau, U.S. Coast Guard, Public Affairs Officer, Coast Guard Sector New Orleans, Oct. 18, 2005, transcript pp. 2-3; Committee staff interview of Lt. Valerie Boyd, U.S. Coast Guard, Command Center Watch Officer, 8th District Office Headquarters, New Orleans, conducted on Nov. 7, transcript pp. 4-6.

254 Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005.

255 Capt. Paskewich, Senate Committee hearing, Nov. 9, 2005.

256 Written Statement of Rear Adm. Duncan, Senate Committee hearing, Nov. 9, 2005, p. 3.

257 Committee staff interview of Vice Adm. Vivian Crea, U.S. Coast Guard, Commander, Coast Guard Atlantic Area, conducted on Jan. 3, 2006, transcript p. 16.

- 258 Capt. Jones, Senate Committee hearing, Nov. 9, 2005.
- 259 The Department of Defense deployed in support of the Coast Guard and rescued 2,911 people. FEMA also ran search and rescue missions, and saved over 6,000 people.
- 260 National Disaster Medical System, 2006. [www.oep-ndms.dhhs.gov](http://www.oep-ndms.dhhs.gov). Accessed on Apr. 24, 2006; U.S. Department of Homeland Security, Current NDMS Overview, Jan. 6, 2006.
- 261 Beall interview, Jan. 10, 2006, p. 29.
- 262 Mick Cote, e-mail to Jack Beall, Aug. 27, 2005, 6:24 p.m. Provided to Committee; filed as Bates nos. DHS-FEMA-0098-0004489 through 0004490.
- 263 Strike teams are small, four to five person medical treatment teams which are deployed where or when a full 35 person Disaster Medical Assistance Team is not needed.
- 264 Mick Cote, e-mail to Jack Beall, Aug. 27, 2005, 6:24 p.m. Provided to Committee; filed as Bates nos. DHS-FEMA-0098-0004489 through 0004490.
- 265 Jack Beall, e-mail to Mick Cote, Aug. 27, 2005, 5:29 p.m. Provided to Committee; filed as Bates no. DHS-FEMA-0098-0004489.
- 266 FEMA, NDMS Resource Status, Aug. 28, 2005, 10 p.m. ET. Provided to Committee.
- 267 Committee staff interview of Stewart Simonson, Assistant Secretary, Office of Public Health and Emergency Preparedness, U.S. Department of Health and Human Services, conducted on Feb. 16, 2006, transcript pp. 57-59.
- 268 Simonson interview, Feb. 16, 2006, pp. 37-39, 57-59.
- 269 Simonson interview, Feb. 16, 2006, pp. 58-59.
- 270 FEMA, NDMS Resource Status, Aug. 28, 2005, 4 p.m. ET. Provided to Committee.
- 271 FEMA, NDMS Resource Status, Aug. 28, 2005, 4 p.m. ET. Provided to Committee; Rand McNally, Maps & Directions, [www.randmcnally.com](http://www.randmcnally.com). Accessed on Apr. 24, 2006.
- 272 NRP, pp. ESF #8-1 through ESF #8-13.
- 273 Jack Beall, e-mail to William Lokey, Aug. 28, 2005, 11:53 a.m. Provided to Committee; filed as Bates no. DHS-FEMA-0098-0003831.
- 274 William Lokey, e-mail to Jack Beall, Aug. 28, 2005. Provided to Committee; filed as Bates no. DHS-FEMA-0098-0003831.
- 275 FEMA, NDMS Resource Status, Aug. 29, 2005, 10 a.m. ET. Provided to Committee.
- 276 Committee staff interview of Rear Adm. John Babb, Director, Office of Force Readiness and Deployment, U.S. Department of Health and Human Services, conducted on Feb. 8, 2006, transcript pp. 5, 22-26.
- 277 Rear Adm. Babb interview, Feb. 8, 2006, pp. 14-15, 22-23.
- 278 John Babb, e-mail to Kenneth Moritsugu, Aug. 28, 2005, 6:06 p.m. Provided to Committee; filed as Bates no. OSG 186.
- 279 Rear Adm. Babb interview, Feb. 8, 2006, p. 23.
- 280 Rear Adm. Babb interview, Feb. 8, 2006, p. 24.
- 281 Rear Adm. Babb interview, Feb. 8, 2006, p. 24; U.S. Department of Health and Human Services, PHS Katrina Response: Baton Rouge Deployment Alpha Team, Oct. 16, 2005. Provided to Committee.
- 282 U.S. Public Health Service, briefing on Hurricane Katrina: PHS Response, Team Alpha, given to Senate Committee staff, Jan. 12, 2006.
- 283 SNS OPS Center Lead, e-mail to KC Decker, Aug. 28, 2005, 6:14 p.m. Provided to Committee; filed as Bates nos. OPHEP 471 through 472. These supplies were dispatched by truck from Atlanta and Tennessee on the afternoon of September 28 and arrived at Camp Beauregard, LA after landfall.
- 284 Stewart Simonson, e-mail to Steven Adams and others, Aug. 28, 2005, 1:07 p.m. Provided to Committee; filed as Bates no. OPHEP 27780.
- 285 SNS OPS Center, e-mail to Stewart Simonson and others, Aug. 28, 2005, 4:37 p.m. Provided to Committee; filed as Bates no. OPHEP 27150.
- 286 SNS OPS Center, e-mail to Stewart Simonson and others, Aug. 28, 2005, 4:37 p.m. Provided to Committee; filed as Bates no. OPHEP 27150.
- 287 U.S. Department of Health and Human Services, Flash Report #4 – Hurricane Katrina, Aug. 29, 2005, 8:30 a.m. ET. Provided to Committee; filed as Bates nos. OPHEP 28247 through 28248; U.S. Department of Health and Human Services, Flash Report #5 – Hurricane Katrina, Aug. 29, 2005, 3 p.m. ET. Provided to Committee; filed as Bates nos. OPHEP 28249 through 28251; U.S. Department of Health and Human Services Flash Report #6 – Hurricane Katrina, 3 a.m. ET, Aug. 30, 2005, p. 2. Provided to Committee; filed as Bates nos. OPHEP 28252 through 28254; SNS OPS Center Lead, e-mail to EOC Report and others, Aug. 29, 2005, 7:54 p.m. Provided to Committee; filed as Bates no. CDC 2899.
- 288 Committee staff interview of Col. Richard Chavez, U.S. Air Force, Senior Military Advisor for Civil Support, Office

of the Assistant Secretary of Defense for Homeland Defense, conducted on Nov. 9, 2005, transcript, pp. 36-37.

289 Col. Chavez interview, Nov. 9, 2005, p. 41.

290 Committee staff interview of Col. Darryl L. Roberson, U.S. Air Force, Assistant Deputy Director for Antiterrorism and Homeland Defense, Operations Directorate, Joint Staff, conducted on Nov. 10, 2005, transcript p. 31.

291 First U.S. Army, Message to U.S. Northern Command, "Request for Force Capabilities (Title X) ISO possible DSCA operations as a result of Hurricane Katrina," Aug. 5, 2005, 2816 Z.

292 Committee staff interview of Lt. Gen. James Amos, U.S. Marine Corps, Commander, Second Marine Expeditionary Force, conducted on Dec. 14, 2005, transcript, p. 9; Committee staff interview of Maj. Gen. Douglas O'Dell, U.S. Marine Corps, Commander, Fourth Marine Division, conducted on Dec. 14, 2005, transcript pp. 16-18.

293 Committee staff interview of Vice Adm. Mark Fitzgerald, U.S. Navy, Commander, U.S. Second Fleet, conducted on Nov. 15, 2005.

294 Committee staff interview of Capt. Rick Snyder, U.S. Navy, Executive Officer, USS *Bataan*, conducted on Nov. 14, 2005.

295 Michael Ritchie, e-mail to Anthony Capra, Aug. 29, 2005, 1:14 p.m. Provided to Committee; filed as no. MMTF 00418-05.

296 Committee staff interview of Col. Thomas Muir, U.S. Army, Deputy Chief of Current Operations, U.S. Northern Command, conducted on Dec. 6, 2005, transcript p. 14.

297 Chairman of the Joint Chiefs of Staff, Message to Commander, U.S. Northern Command, et al., "CJCS EXORD," Aug. 5, 2005, 1923 Z.

298 U.S. Northern Command, USNORTHCOM Hurricane Katrina Timeline (Draft), pp. 2-3. Provided to Committee.

299 First U.S. Army, Message to U.S. Northern Command, "Request for Force Capabilities (Title X) ISO possible DSCA operations as a result of Hurricane Katrina," Aug. 5, 2005, 2816 Z.

300 Committee staff interview of Maj. Gen. Richard Rowe, U.S. Army, Director of Operations, U.S. Northern Command, conducted on Jan. 20, 2006, transcript pp. 31-32.

301 Maj. Gen. Richard Rowe, e-mail to NC-JOC – Director – OMB and others, Aug. 28, 2005, 5:31 p.m. Provided to Committee; filed as MMTF00452-05.

302 Maj. Gen. Rowe interview, Jan. 20, 2006, p. 31; Committee staff interview of Capt. Michael McDaniel, U.S. Navy, Navy Emergency Preparedness Liaison Officer to FEMA, conducted on Dec. 2, 2005, transcript p. 156; Col. Harrington interview, Jan. 6, 2006, p. 89.

303 The Defense Department intends to broaden the actions it takes in advance of a hurricane's landfall. According to several witnesses, the Joint Staff is considering broadening the Severe Weather Order to allow NORTHCOM to designate or position helicopters, boats, and communications gear prior to landfall. *Source:* Committee staff interview of Maj. Gen. Terry Scherling, U.S. Air Force, Director of the Joint Staff, National Guard Bureau, conducted on Jan. 19, 2006, transcript p. 81; Maj. Gen. Rowe interview, Jan. 20, 2006, p. 29. Col. Richard Chavez, the Senior Military Advisor in the Office of the Secretary of Defense for Homeland Defense, explained that in the future he intends to include shallow-draft boats among the assets that he inventories prior to landfall. *Source:* Col. Chavez interview, Nov. 9, 2005, p. 27. In light of the lack of situational awareness experienced by almost all entities within the Department during the first 24 hours after landfall, many witnesses have attested to a need to deploy information-gathering assets – including National Technical Means – so as to gain timely and accurate information in the first critical hours after a disaster. *Source:* McHale interview, Jan. 4, 2006, p. 136. Because the issue raises questions of domestic intelligence-gathering and dissemination of potentially classified material, the Department has yet to determine an appropriate solution.