



Committee on Transportation and Infrastructure  
U.S. House of Representatives  
Washington DC 20515

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**SUMMARY OF SUBJECT MATTER**

**TO:** Members, Subcommittee on Economic Development, Public Buildings, and  
Emergency Management  
**FROM:** Staff, Subcommittee on Economic Development, Public Buildings, and  
Emergency Management  
**RE:** Subcommittee Hearing on “Building a 21st Century Infrastructure for America:  
The National Preparedness System”

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**PURPOSE**

The Subcommittee on Economic Development, Public Buildings, and Emergency Management will meet on Thursday, March 16, 2017, at 10:00 a.m. in 2167 Rayburn House Office Building, for a hearing titled “Building a 21st Century Infrastructure for America: The National Preparedness System.” The purpose of the hearing is twofold: (1) assess the development, successes, and challenges of the National Preparedness System; and (2) based on input from key stakeholders, understand how well the preparedness grant program is building national preparedness capabilities.

Invited witnesses include the National Emergency Management Association, International Association of Emergency Managers, National Association of Counties, International Association of Fire Chiefs, and representatives of big cities, police, and non-profits.

## **BACKGROUND**

Following the devastating terrorist attacks on September 11, 2001, Congress enacted the *Homeland Security Act of 2002* (P.L. 107-296), creating the Department of Homeland Security (DHS). The Federal Emergency Management Agency (FEMA) was placed within DHS, but its functions were dispersed among various offices. In 2006, following the failed federal responses to Hurricanes Katrina and Rita and the subsequent intensive Congressional investigations and oversight, Congress enacted the *Post-Katrina Emergency Management Reform Act of 2006* (PKEMRA) (P.L. 109-295), which addressed key response roles and authorities and put FEMA back together again within DHS. PKEMRA authorized the National Preparedness System (NPS) and FEMA for the first time in legislation. FEMA was given the role of leading the creation of the NPS and was designated as the “one-stop-shop” for all preparedness grants management.

### **The National Preparedness System—A Framework for Assessing All-Hazard Preparedness**

PKEMRA mandates that the President develop a set of national policies to guide preparedness for all hazards, with the goal of reducing or preventing potentially devastating consequences.<sup>1</sup> On March 30, 2011, Presidential Policy Directive 8: National Preparedness (PPD-8) was issued to guide how the Nation, from the federal level to private citizens, can “prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation.”<sup>2</sup> These threats include terrorist acts, natural disasters, and other man-made incidents. PPD-8 requires a National Preparedness Goal and a series of policies that collectively establish a National Preparedness System.

NPS and the related National Preparedness Goal (the Goal) serve as the framework for assessing preparedness for all hazards. The Goal describes a capabilities-based, end-state objective, and vision for national preparedness:

A secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.<sup>3</sup>

The Goal identified 32 core capabilities necessary to achieve the vision across five mission areas (Prevention, Protection, Mitigation, Response and Recovery), and includes measurable objectives for managing risk. Implementation of the NPS uses a systematic approach to homeland security that supports building, sustaining, and delivering the core capabilities through six components: identifying and assessing the risks we face; estimating capability requirements to meet those risks; building and sustaining capabilities; planning to deliver capabilities; validating those capabilities through exercises and real-world incidents; and then reviewing and updating our capabilities and plans. This capabilities-based approach allows

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<sup>1</sup> P.L. 109-295. See 120 Stat. 1424-1432; 6 U.S.C. §741-754.

<sup>2</sup> White House, Presidential Policy Directive 8: National Preparedness, Washington, DC, March 30, 2011, [http://www.dhs.gov/xabout/laws/gc\\_1215444247124.shtm](http://www.dhs.gov/xabout/laws/gc_1215444247124.shtm).

<sup>3</sup> Department of Homeland Security, National Preparedness Goal, First Edition, Washington, DC, September 2011, p. 1, <http://www.fema.gov/pdf/prepared/npg.pdf>. Hereinafter document will be referenced in footnotes as National Preparedness Goal.

communities to develop the resources needed to address all hazards, rather than focusing on resources needs for specific threats and hazards.

Community-specific threats and hazards are assessed using the Threat and Hazard Identification and Risk Assessment (THIRA). THIRA is a four-step common risk assessment process that assists individuals, businesses, faith-based organizations, nonprofit groups, schools and academia, and all levels of government to understand its risks and estimate capability requirements.<sup>4</sup> Once each jurisdiction has determined capability targets through the THIRA process, the jurisdiction assesses its current capability levels against those targets through the State Preparedness Report.<sup>5</sup> FEMA reports the results of the capability assessments annually in the *National Preparedness Report*.

### **Grants Supporting the NPS**

Preparedness grants play an important role in the implementation of the NPS by supporting the building, sustainment, and delivery of core capabilities essential to achieving the Goal. Since 2003, more than \$47 billion in preparedness grant funding has been provided to state, territorial, local, and tribal governments enabling them to build and enhance capabilities by acquiring needed equipment, funding, training opportunities, developing preparedness and response plans, and exercising and building relationships across city, county, and state lines.<sup>6</sup> These investments have provided critical support for interoperable communication systems, first responder training programs, public preparedness campaigns, hazardous materials response, urban search and rescue, and a robust information-sharing network.

Past Administration attempts to consolidate preparedness grant programs into a single grant have been opposed by stakeholder groups and Congress. Currently, groups benefit from discrete funding sources that provide the funds necessary to build and maintain specific preparedness capabilities. Combining all of the grants ignores the targeted investments that are building different capacities and preparedness.

### **Summary of Preparedness (Non-Disaster) Grant Programs**

There are currently 11 preparedness (non-disaster) grant programs administered by FEMA's Grants Program Directorate to assist states, localities, urban areas, tribal and territorial governments, non-profit agencies, and the private sector in strengthening the Nation's ability to prevent, protect, respond to, and recover from terrorist attacks, major disasters, and other emergencies in support of the Goal:

#### **Emergency Management Performance Grant Program (EMPG)<sup>7</sup>**

EMPG provides funding to states to assist state, local, territorial, and tribal governments to prepare for all hazards. These funds assist in obtaining a system of preparedness for the

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<sup>4</sup> <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

<sup>5</sup> <http://www.fema.gov/state-preparedness-report#wcm-survey-target-id>.

<sup>6</sup> <https://www.fema.gov/news-release/2016/06/29/dhs-announces-grant-allocations-fiscal-year-2016-preparedness-grants>

<sup>7</sup> Authorized by 6 U.S.C. §762, and 42 U.S.C. §5121 et seq.

“protection of life and property in the United States from hazards and to vest responsibility for emergency preparedness jointly in the federal government, states, and their political subdivisions.”<sup>8</sup> The EMPG’s priority is to support the implementation of the NPS.

### Assistance to Firefighters Grants

The Assistance to Firefighters Grant (AFG) Program focuses on building and maintaining the capabilities of the Nation’s fire service. These grants have helped firefighters obtain equipment, protective gear, training, and other resources needed to protect both the public and firefighters from fires and other hazards. Additionally, the Staffing for Adequate Fire and Emergency Response (SAFER) grant program assists fire departments, both career and voluntary, with hiring, recruiting, and retaining firefighters. Since 2001, both AFG and SAFER have provided over \$10 billion to the fire service.<sup>9</sup>

### Homeland Security Grant Program (HSGP)<sup>10</sup>

HSGP supports state and local activities to prevent terrorism and other catastrophic events and to prepare for threats and hazards that pose the “greatest” risk to the Nation’s security. HSGP is comprised of three grant programs—State Homeland Security Grant Program (SHSP), Urban Area Security Initiative (UASI), and Operation Stonegarden (OPSG).<sup>11</sup> The 9/11 Act provides a "Multiple-Purpose Funds" provision that allows grantees to utilize their HSGP funding for non-terrorism capability-building, as long as the capability can also be used to prevent, prepare for, protect against, or respond to acts of terrorism.

SHSP assists state, tribal, and local governments with preparedness activities that address high priority preparedness gaps across all preparedness core capabilities where a nexus to terrorism exists. Jurisdictions need core capabilities that are “flexible” and determine how to apply resources to address specific threats that pose the greatest risk to specific jurisdictions.<sup>12</sup> All federal investments are based on capability targets and gaps identified during the THIRA process, and assessed in the State Preparedness Report.<sup>13</sup>

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<sup>8</sup> U.S. Department of Homeland Security, Emergency Management Performance Grant Program Multi-Year Programmatic Guidance, Federal Emergency Management Agency, Washington, DC, 2016, p. 1. Available at [http://www.fema.gov/media-library-data/1464196875293-190ed88e1b63940c87121a3f0b97b8a5/EMPG\\_Multi\\_Year\\_Program\\_Guidance\\_Final.pdf](http://www.fema.gov/media-library-data/1464196875293-190ed88e1b63940c87121a3f0b97b8a5/EMPG_Multi_Year_Program_Guidance_Final.pdf).

<sup>9</sup> Kruger, Lennard, Assistance to Firefighters Program: Distribution of Fire Grant Funding, Congressional Research Service, January 4, 2016, at 5.

<sup>10</sup> Authorized by 6 U.S.C. §603.

<sup>11</sup> U.S. Department of Homeland Security, Fiscal Year 2016 Homeland Security Grant Program, Washington, DC, 2016, [http://www.fema.gov/media-library-data/1455569937218-3daa3552913b8affe0c6b5bc3b448635/FY\\_2016\\_HSGP\\_NOFO\\_FINAL.pdf](http://www.fema.gov/media-library-data/1455569937218-3daa3552913b8affe0c6b5bc3b448635/FY_2016_HSGP_NOFO_FINAL.pdf).

<sup>12</sup> <https://www.fema.gov/national-preparedness-goal>.

<sup>13</sup> Ibid.

UASI assists high-threat, high-density urban areas to build and sustain the capabilities necessary to prevent, protect against, mitigate, respond to, and recover from terrorist attacks.<sup>14</sup> Federal UASI investments are based on UASI recipients' THIRA.

OPSG supports enhanced cooperation and coordination among Customs and Border Protection (CBP), U.S. Border Patrol (USBP), and local, tribal, territorial, state, and federal law enforcement agencies. OPSG provides funding to secure the Nation's borders along routes of ingress in states bordering Mexico and Canada, as well as states and territories with international water borders.<sup>15</sup>

#### Other Security Grant Programs(IBSGP)

FEMA also administers a number of security grant programs. The Intercity Bus Security Grant Program<sup>16</sup> supports transportation infrastructure security activities that strengthen against risks associated with potential terrorist attacks. Federal funding is used to harden critical infrastructure and make other physical security enhancements to intercity bus operators serving the Nation's highest-risk metropolitan areas.<sup>17</sup> The Intercity Passenger Rail Security(IPR)<sup>18</sup> supports the Nation's passenger rail system by providing funds for activities that prevent, protect against, mitigate, respond to, and recover from terrorist attacks, including building and sustaining emergency management capabilities, protection of high-risk and high consequence underwater and underground rail assets, and emergency preparedness drills and exercises.<sup>19</sup> The Nonprofit Security Grant Program<sup>20</sup> provides funding support for target hardening and other physical security enhancements to certain non-profit organizations that are at high risk of a terrorist attack and located within one of the fiscal year 2015 UASI-designated urban areas.

- The Port Security Grant Program<sup>21</sup> supports efforts to build and sustain the Goal's<sup>22</sup> core capabilities across the mission areas, with specific focus on addressing the Nation's maritime ports' security needs, including enhancing maritime domain awareness and cybersecurity capabilities, supporting maritime security risk mitigation projects and preparedness training and exercises, and implementing the Transportation Worker Identification Credential (TWIC).<sup>23</sup>

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<sup>14</sup> Ibid.

<sup>15</sup> Ibid.

<sup>16</sup> Authorized by 6 U.S.C. §1182.

<sup>17</sup> U.S. Department of Homeland Security, Fiscal Year 2016 Intercity Bus Security Grant Program, Washington, DC, 2016, pp. 1-2, [http://www.fema.gov/media-library-data/1455572728369-69b38a5e2b50a868885ed3a3aa44c269/FY\\_2016\\_IBSGP\\_NOFO.pdf](http://www.fema.gov/media-library-data/1455572728369-69b38a5e2b50a868885ed3a3aa44c269/FY_2016_IBSGP_NOFO.pdf).

<sup>18</sup> Authorized by 6 U.S.C. §1163.

<sup>19</sup> U.S. Department of Homeland Security, Fiscal Year 2016 Intercity Passenger Rail, Washing, DC, 2016, [http://www.fema.gov/media-library-data/1455573274676-c6662c190a6db6a280e4b682df595514/FY\\_2016\\_IPR\\_NOFO.pdf](http://www.fema.gov/media-library-data/1455573274676-c6662c190a6db6a280e4b682df595514/FY_2016_IPR_NOFO.pdf).

<sup>20</sup> Authorized by 6 U.S.C. §604.

<sup>21</sup> Authorized by 46 U.S.C. §70107.

<sup>22</sup> <https://www.fema.gov/national-preparedness-goal>.

<sup>23</sup> U.S. Department of Homeland Security, Fiscal Year 2016 Port Security Grant Program, Washington, DC, 2016, p. 2, [http://www.fema.gov/media-library-data/1455573875236-07ce03a778118ecc2ead8e1aae84185e/FY\\_2016\\_PSGP\\_NOFO\\_FINAL.pdf](http://www.fema.gov/media-library-data/1455573875236-07ce03a778118ecc2ead8e1aae84185e/FY_2016_PSGP_NOFO_FINAL.pdf).

The Tribal Homeland Security Grant Program (THSGP)<sup>24</sup> are intended to increase tribal abilities to prevent, prepare for, protect against, and respond to acts of terrorism. Objectives of THSGP include advancing a whole community approach to security and emergency preparedness, and strengthening cooperation and coordination among local, regional, and state preparedness partners.<sup>25</sup>The Transit Security Grant Program<sup>26</sup> supports transportation infrastructure security activities. The program provides funds to owners and operators of transit systems—including intra-city bus, commuter bus, ferries, and all forms of passenger rail—to protect critical surface transportation infrastructure and the traveling public from acts of terrorism and to increase the resilience of transit infrastructure.<sup>27</sup>

### **WITNESS LIST**

Ms. Wendy Smith-Reeve  
Director  
Arizona Division of Emergency Management  
National Emergency Management Association

Mr. Nick Crossley  
Director  
Hamilton County Emergency Management and Homeland Security Agency  
International Association of Emergency Managers

Mr. Joseph Lawless  
Director of Maritime Security  
Massachusetts Port Authority

Mr. William Daroff  
Senior Vice President for Public Policy  
The Jewish Federations of North America

Mr. Michael Feinstein  
President and Chief Executive Officer  
Bender Jewish Community Center of Greater Washington

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<sup>24</sup> Authorized by 6 U.S.C. §606.

<sup>25</sup> U.S. Department of Homeland Security, FY 2016 Tribal Homeland Security Grant Program (THSGP), Washington, DC, 2016, p. 2, [http://www.fema.gov/media-library-data/1455574281533-97bc5a9e7780bf31d19a3bdb76a12699/FY\\_2016\\_THSGP\\_NOFO\\_FINAL.pdf](http://www.fema.gov/media-library-data/1455574281533-97bc5a9e7780bf31d19a3bdb76a12699/FY_2016_THSGP_NOFO_FINAL.pdf).

<sup>26</sup> Authorized by 6 U.S.C. §1135.

<sup>27</sup>U.S. Department of Homeland Security, Fiscal Year 2016 Transit Security Grant Program, Washington, DC, 2016, p. 1, [http://www.fema.gov/media-library-data/1455574103426-a6ed21fef27d60aa6ae2a8048c6f4682/FY\\_2016\\_TSGP\\_NOFO.pdf](http://www.fema.gov/media-library-data/1455574103426-a6ed21fef27d60aa6ae2a8048c6f4682/FY_2016_TSGP_NOFO.pdf)