

**PREPAREDNESS:  
PART I AND II**

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**HEARING**  
BEFORE THE  
SUBCOMMITTEE ON EMERGENCY  
COMMUNICATIONS,  
PREPAREDNESS, AND RESPONSE  
OF THE  
COMMITTEE ON HOMELAND SECURITY  
HOUSE OF REPRESENTATIVES  
ONE HUNDRED ELEVENTH CONGRESS

FIRST SESSION

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OCTOBER 1 AND 27, 2009

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**Serial No. 111-38**

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**PREPAREDNESS: PART I**  
**STATE OF CITIZEN AND COMMUNITY**  
**PREPAREDNESS**

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**Thursday, October 1, 2009**

U.S. HOUSE OF REPRESENTATIVES,  
COMMITTEE ON HOMELAND SECURITY,  
SUBCOMMITTEE ON EMERGENCY COMMUNICATIONS,  
PREPAREDNESS, AND RESPONSE,  
*Washington, DC.*

The subcommittee met, pursuant to call, at 10:03 a.m., in Room 311, Cannon House Office Building, Hon. Henry Cuellar [Chairman of the subcommittee] presiding.

Present: Representatives Cuellar, Thompson, Pascrell, Rogers, and Olson.

Mr. CUELLAR [presiding]. The Subcommittee on Emergency Communications, Preparedness, and Response will come to order. The subcommittee meeting today is to receive testimony regarding preparedness, the state of citizen and community preparedness.

Good morning. On behalf of the Members of the subcommittee, let me welcome our four witnesses that we have here today.

We are especially pleased to have with us for the first time FEMA's new deputy administrator for National preparedness, Tim Manning. Mr. Manning comes to FEMA with an impressive background in homeland security, having most recently served as New Mexico's director of homeland security and emergency management.

I would like to congratulate you, Mr. Manning, on your confirmation as deputy administrator. This subcommittee looks forward to working with you to strengthen FEMA and prepare the Nation for any type of disaster.

I would also like to extend a warm welcome to Mr. Bill Jenkins, director of homeland security and justice at the Government Accountability Office.

Traveling the furthest, I guess, from my district, Ms. Wendy Smith, an assistant city manager for McAllen, Texas. Thank you, Ms. Smith, for taking this time to come to Washington to discuss the steps that the city of McAllen has taken to promote community preparedness.

I would also like to welcome Ms. Suzanne DeFrancis, chief public affairs officer for the American Red Cross. Thank you for being here.

Again, thank you to all the four witnesses that are here today.

Today's hearing kicks off a series of hearings this subcommittee will conduct on National preparedness. Our focus this morning is on the state of the citizen community preparedness. We want to better understand FEMA's initiatives for promoting individual readiness.

As you know, a recent FEMA survey reveals that we have a long way to go in preparing individuals for an emergency. While slightly more than half of the survey's respondents have set aside supplies in case of a disaster, only 44 percent reported having an emergency household plan. Just 38 percent reported a familiarity with their local resources of public safety information.

Concerning to us, also, is that despite FEMA's best efforts to boost community preparedness since 9/11 and Hurricane Katrina, citizen awareness on the importance of preparing is virtually unchanged for the last 2 years. We must close these gaps.

I recognize that it is not FEMA's job alone to do so. Other partners are involved, also, and emergency preparedness is a shared responsibility, and we all must do our part to make sure we are ready when disaster strikes. But FEMA must develop a clearer vision how it intends to enhance the role of public as the first line of disaster preparedness and response.

FEMA runs a couple of programs that focuses on individual readiness. The first is the Citizen Corps program, which is a Bush administration initiative designed to foster volunteer activities that make communities better prepared to respond to any emergency.

The second is the Ready Campaign. Ready is a public service initiative geared toward educating and empowering Americans to become prepared for a disaster. GAO has been evaluating both the Citizen Corps and Ready for this subcommittee since last year.

We are concerned that GAO's preliminary review suggests that FEMA does not have a strategic plan or performance measure. As you know, this committee, the Ranking Member, myself, and other Members of the committee have pushed hard for strategic planning and, of course, for performance measures to make sure that we can tell, you know, what is a result, whether it is failure or success, and so we can get an idea as to what direction we are heading to.

GAO has also been unable to determine who exactly at FEMA is in charge of the Ready campaign and how Ready is integrated into other citizens' preparedness programs.

I am eager to learn from Mr. Manning if he agrees with the GAO's observation and, more importantly, what his plans are for the Citizen Corps and Ready, as well as individual preparedness more generally.

We can't talk about individual preparedness without having our communities at the table. I look forward getting from Ms. Smith and Ms. DeFrancis a perspective on the steps that their organizations have taken to foster citizens' preparedness. I would also like to hear from them what they think FEMA's role should be in promoting individual preparedness and what that partnership should look like.

So with that, let me again thank our witnesses for their participation in today's witnesses hearing. I look forward to hearing your testimony and working with you to ensure that FEMA has a clear

vision for strengthening citizen and community preparedness of that.

Without objection, I would like to introduce the following article, "Ideas to Improve America's Emergency Preparedness for the Record," and it is so ordered.

[The information follows:]

MATERIAL SUBMITTED FOR THE RECORD BY CHAIRMAN HENRY CUELLAR

Posted on <http://incaseofemergencyblog.com>

ON SEPT 11, SOME IDEAS TO IMPROVE AMERICANS' EMERGENCY PREPAREDNESS & ENGAGEMENT

SEPTEMBER 11, 2009

On the anniversary of 9/11, I wanted to repost some proposals to help raise citizen preparedness. DHS Secretary Napolitano has said that public readiness is a priority and the Department has begun the process of engaging Americans in their own homeland security. The ideas below come largely from discussions I have had with people involved in all aspects of the issue, my own experiences as a parent and CERT member in New York City, as well as from the input I have received from readers since the inception of my blog. As always, I welcome your thoughts and suggestions:

*Create Citizen Preparedness Task Force.*—The lack of progress to date on public readiness and engagement underscores the need to develop new ways of approaching the issue. DHS Secretary Napolitano should create a Citizen Preparedness Outreach Task Force to assess the current state of public readiness and work on developing new approaches. At present, there is no clear social education analog. In fact, in its recent report, the Commission on the Prevention of Weapons of Mass Destruction Proliferation and Terrorism recommended the Administration make citizen engagement a priority. But Chairman Bob Graham told me that the "WMD Commission" did not did not [sic] find anything suitable it could recommend and that something new has to be developed.

*Better Define What It Means To Be "Prepared".*—A recent American Red Cross survey indicated that 93% of Americans are not prepared for disasters. The truth is that no one can be fully prepared, but there is a need to offer the public a clearer definition—including a minimum level—of preparedness. That would not only include storing tangible supplies (ie. at least 3 days of food & water) but also knowledge about potential threats that every American should know. That doesn't mean overwhelming people with too much information, but making sure they are at least familiar with some basics. (For example, the first time citizens hear about a "dirty bomb" from government officials should not be in the moments after one has been exploded.)

*Support & Report on State/Local Preparedness Efforts.*—Provide adequate seed money for State and local government to bolster civilian preparedness programs and link the grants to performance. Encourage authorities to report publicly on their level of citizen preparedness and create metrics for better measuring civilian readiness. Find interested governors to take on leadership roles and create pilot models in their States. Expand support of disaster volunteer opportunities including Community Emergency Response Teams (CERT) and other community programs, which serve as catalysts for organizing local efforts. There is a need to employ both "bottom/up" and "top/down" approaches to disaster preparedness combining State, local, and community leadership and citizen involvement with Federal commitment and focus. Ensure that Government authorities can competently respond to disasters but also more strongly emphasize the need for the public and local communities to be prepared and self-reliant, particularly in the first 72 hours after a disaster.

*Highlight & Spread Models From Around United States & Other Countries.*—There is a need to help promote and implement best practices from communities around the U.S. and draw, where applicable, from British and Israeli experiences. One model may be the United Kingdom's National Risk Register, which sets out publicly the government's assessment of the likelihood and potential impact of a range of different public health, natural, and terrorist risks. It is designed to increase awareness of the kinds of risks the U.K. faces, and encourage individuals and organizations to think about their own preparedness. The Register also includes details of what the Government and first responders are doing to prepare for those emergencies and the role of citizens in those plans.

*Offer Small Carrots.*—Encourage States to create tax-free periods for consumers to purchase preparedness supplies. Provide a tax write-off for citizens to buy preparedness-related products as a way to promote participation and to signal governmental commitment. Also, consider targeting assistance to citizens who cannot afford to prepare. The bottom line is that in most instances to change social behavior there needs to be some incentives involved.

*Bring in Business to Help Market Preparedness.*—Design and roll out a full service preparedness marketing campaign with help from the private sector. Galvanize business to take on disaster preparedness in the same way they have with disaster response, most notably in the aftermath of Hurricane Katrina (i.e. big box stores, packaged goods manufacturers, bottled water companies, wireless industry). In addition, work with private sector to alleviate existing obstacles to personal preparedness (i.e. work with health care industry to allow for extra prescription medicine in advance of a disaster.)

*Involve the Children.*—Put more emphasis on educating young people on preparedness by piggybacking on other related school-based social education efforts, most prominently fire safety. The challenge is both the decentralization of the Nation's education system and the already high curricula demands on teachers. Yet, an effective fire education program was implemented in the schools beginning in the 1970's, and there would seem to be a perfect fit to integrate a preparedness module into that existing program. The Federal Government should work with State and local officials as well as fire and education officials to determine how best to accomplish that objective.

*Embrace and Accelerate Preparedness 2.0*—There is a need to better inform the public on the potential on 21st century personal technology to prepare for and respond to 21st century emergencies. We must make Americans more aware of the capabilities of the technology at their fingertips (i.e. wireless devices, social networking sites) and integrate it into disaster planning and response. The public's new ability to access and distribute information offers both an opportunity and a challenge to government authorities. As a start, every governmental preparedness web site should add a cell phone and an extra battery (or other power source) to the basic components of their recommended disaster supply kit. Many private companies are working on applications for citizen emergency communications. Those business efforts need to be integrated with official alerts (i.e. the new iteration of the Emergency Alert System) and unofficial citizen-based social media (as well as the news media). Both the content and distribution channels of emergency communications are changing and new models need to be developed.

*"See And Say" Some More.*—Build Upon The Initial Success of "Say Something, See Something"-type citizen information campaigns by providing the public with more specific guidance on how to assist law enforcement and, without giving away sources and methods, offering more feedback on the information they have provided. Law enforcement officials are concerned about societal complacency almost 8 years since 9/11, but have not determined how to communicate to the public a more candid—yet calm and balanced—picture of the threat and how they can best help.

*Expanded Emergency Drilling Opportunities to Public.*—Increase opportunities for citizens to participate in disaster drills, which would help people focus on the issue and work through the key questions everyone should ask before a disaster (i.e. How will you get information and communicate with your family? Do you know the emergency plan of your children's school?) Most every top homeland security/emergency management official I have interviewed has told me that broader public disaster exercises would be helpful in a number of ways, but there has not been a concerted effort to expand drilling opportunities to the public.

*Establish an Official Preparedness Day.*—Create a National Preparedness Day to focus public attention before disasters, including briefing citizens, conducting drills, and filling emergency kits. A helpful model is Japan's Disaster Prevention Day held on the anniversary of the catastrophic 1923 Tokyo earthquake.

*Create Citizen Preparedness Office/Spokesperson.*—Consider establishing a National citizen preparedness office or a high profile spokesperson to highlight and help coordinate efforts around the U.S. and ensure citizen preparedness remains a priority. Work with American Red Cross to create an effective advocate for the general public on emergency preparedness in the same way disabled and pet groups have done for the disaster needs of their communities over the past several years.

*Bundle Citizen Preparedness Proposals Together into "Citizen Preparedness Initiative".*—For too long, well meaning public preparedness efforts have gotten lost or have been ignored by the public. That's in large part that they have not been packaged and presented as being specifically directed to citizens. But if the government would assemble these small disparate proposals listed above into an overall citizen preparedness package it would have a better chance of getting attention and gaining



some traction. Ultimately, making inroads on citizen preparedness is less a matter of money than it is of focus and attention.

Mr. CUELLAR. At this time, I would like to recognize my Ranking Member, hard-working Member of the subcommittee, Mr. Rogers, for an opening statement.

Mr. ROGERS. Thank you, Mr. Chairman, for holding this hearing.

To each of the witnesses, I really appreciate you making the time and putting the effort into preparing for this hearing. It is extremely helpful to us, so thank you for being here.

This hearing, as the Chairman said, is being held to look at how prepared Americans are to deal with a major disaster. We all know that individual preparedness, community preparedness, and business preparedness are extremely important in saving lives and property if and when a natural disaster or terrorist attack occurs.

We made some important strides over the last several years to enhance community preparedness, but more work remains. According to the 2009 National preparedness survey, many individuals still don't have disaster supply kits or know their community's evacuation plans.

Further, the latest terrorist plots that were foiled in recent weeks, the tsunami that hit American Samoa this week, as well as the flash flooding in many Southern States, including Georgia and my home State of Alabama are just some reminders of the on-going risks we face and the importance of being prepared for all types of events.

Fortunately, we have not seen a major hurricane hit the United States yet this season, but that doesn't mean Americans living on the gulf and other regions can become complacent. When it comes to emergency preparedness or emergency readiness, America's first responders are our front lines to protect our communities. I want to take this opportunity to thank first responders for their heroic work that they do and also thank the countless people who volunteer to help during a catastrophic event.

We all appreciate the dedicated service of our capable and courageous emergency responders, but we have to remember that these responders make up less than 1 percent of the total U.S. population. That means individual citizens, communities, and businesses have to develop their own capabilities and conduct their own planning activities in order to share the responsibility of preparedness.

Again, I want to thank our witnesses for being here, particularly the American Red Cross, who continues to be an invaluable partner in preparedness through its many outreach activities and preparedness initiatives.

Also, I would like to ask unanimous consent, Mr. Chairman, to insert into the record a statement from the Homeland Security and Defense Business Council which highlights the important role of businesses in disaster preparedness.

With that, I yield back.

Mr. CUELLAR. Without objection.

[The information follows:]

STATEMENT OF MARC PEARL, PRESIDENT & CEO, HOMELAND SECURITY AND DEFENSE  
BUSINESS COUNCIL

OCTOBER 1, 2009

Chairman Cuellar, Ranking Member Rogers, and all of the Members of the subcommittee, I thank you for the opportunity to submit this statement for the record on behalf of the Homeland Security & Defense Business Council regarding our initiatives and mission to develop a “culture of preparedness” among business leaders.

The Homeland Security & Defense Business Council is a non-profit, non-partisan organization of world-class businesses engaged in homeland security solutions development and implementation with the U.S. Department of Homeland Security; other Federal agencies; State, local, and Tribal governments, as well as on a global scale. Since its inception in 2004, the Council has focused a great deal of attention on working to develop a better understanding of the private sector’s role and responsibility as the “3rd leg of the stool” in preparedness—those legs being the Government, non-governmental organizations, and the private sector. Only if each “leg” is holding up its responsibilities will we achieve true preparedness and be in a much stronger position to protect our facilities, networks, and people. As the private sector’s leading voice in homeland security, the Council facilitates, educates, and stimulates business leaders and their organizations to actively engage in preparedness with their employees and customers, and for their facilities and networks by leveraging the private sector’s resources, experience, and leadership through best practices, peer-to-peer exchange, and mentoring within the business community.

Since 2007, in partnership with the American Red Cross of the National Capital Area, the Council has annually hosted the “Partners in Preparedness Symposium” during National Preparedness Month to help educate and encourage small, medium, and large businesses to embrace emergency preparedness and prepare their companies for all hazards. The Homeland Security & Defense Business Council’s members have served as mentors and role models for other businesses that do not necessarily have the financial or personnel resources available to them for complicated, extensive business continuity planning. Additionally, this year, as a way to encourage even higher-level corporate involvement, the Council launched the “CEO Summit at Partners in Preparedness.” In cooperation with the Young President’s Organization of the DC/Baltimore Chapter, the Greater Washington Board of Trade and the D.C. Chamber of Commerce, CEOs, and presidents from the region gathered for an executive training to consider both an H1N1 flu resurgence and a concurrent cyber incident. This dual program has been met with such enthusiasm and support that we are working to take it “beyond the Beltway.” Other major metropolitan areas around the country; smaller suburban communities, such as those outside of San Antonio, and, just as essentially, rural communities such as Talladega, Alabama must be encouraged to incorporate this type of program for their businesses. There is no question that there also can be a “ripple effect” whereby businesses that actively engage in a preparedness program will have a great influence on their employees, their relatives, and the organization’s customers—further building the relationships, understanding and cooperation necessary for a resilient Nation from the ground up with top-level business owners’ support.

Additionally, each attendee at this year’s Preparedness Symposium was provided an “Emergency Response Toolkit” with practical and tactical information on how to get their organization prepared. In addition to a complete overview, the Toolkit provided two important components developed in cooperation with the Council towards business preparedness that we believe can be easily incorporated in any organization—small, medium, and large: Operation CAPA (Commit, Assess, Prepare and Act) and a Cyber Security Checklist. I have attached detailed information on both of these programs to my statement. It is our hope that businesses will commit to either these or other initiatives—such as the soon-to-be-launched American Red Cross ReadyRating.com program.

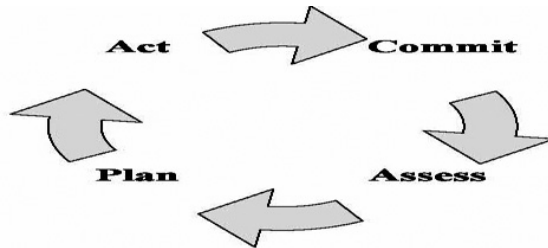
The Homeland Security & Defense Business Council very much appreciates the subcommittee allowing us an opportunity to submit our comments. But most of all, we applaud you for holding this hearing and for putting a major spotlight on this important issue. Preparedness cannot be motivated by a sign in front of a store or an ad in the media, but only when our business, community, first responder, and Government leaders take an active role—together—in committing the time, energy, and resources needed to assuring that all the “legs” are coordinating efforts, are fully aware of and fulfilling their individual and collective roles and responsibilities. We stand ready to work with Government and NGOs—serving as a conduit to the business community—to help assure that our Nation is resilient to any form of ca-

tastrophe, and begins to truly and effectively achieve an overall “Culture of Preparedness” in our Nation.

#### ATTACHMENT

##### OPERATION CAPA

The mission of “Operation CAPA: Commit, Assess, Prepare, Act” is particularly designed to help small-medium businesses enhance their state of preparedness and lead them toward resiliency. The objective of this effort is to partner with target businesses to commit, assess, plan, and act to prepare their company, employees, and communities for all hazards.



Operation CAPA urges business to:

- **Commit.**—Leaders and employees must commit to getting their business better prepared. It requires a sustained effort and constant reinforcement of leadership commitment. There is plenty of free information available on the internet to help guide the business executive and his/her team from the development through the implementation of a plan, no matter how big or small. DHS has also established an excellent site to aid businesses at [www.ready.gov](http://www.ready.gov), and the Small Business Administration has a disaster preparedness web site that provides a substantial amount of information at: [www.sba.gov/services/disasterassistance/disasterpreparedness/index.html](http://www.sba.gov/services/disasterassistance/disasterpreparedness/index.html).
- **Assess.**—Understanding the threats, vulnerabilities, and impact to one’s business will help focus resources on planning for and responding to both foreseeable and unforeseeable events. Many organizations are unaware of the multitude of threats and risks in their businesses and community. They may know about the natural threats (e.g., severe weather, earthquakes, volcanoes, etc.), but don’t often know about their neighbors, for example, whether the business next door has hazardous/explosive chemicals, or the single power substation that is reaching capacity and will soon be causing power disruptions. Business leaders can work with their local fire department and emergency manager to understand the risks they may face. It’s beneficial, if not absolutely essential, to both sides to meet ahead of time to get the appropriate data that will help you develop a workable plan.
- **Plan.**—Keep it simple and “user friendly.” In larger companies, planning is usually a separate component with a substantial amount of effort involved; however, for the simplified Operation CAPA methodology, the planning element should include documenting the organization’s response and recovery plan and working with the community to understand the expectations about how other business are preparing. The business may find areas where there is a competition for resources, or where there are opportunities to collaborate and provide mutual aid. For example, the readiness quotient at [www.whatsyourrq.org](http://www.whatsyourrq.org) is a free assessment that highlights areas that are often overlooked, and can be an excellent first step on the path to preparedness. Checklists and sample plans are also available at [www.ready.gov](http://www.ready.gov).
- **Act.**—Business survival depends on an organization’s ability to act—to be able to absorb the hit (resilience); and keep operating at least at minimal levels while normal operations are restored. Commitment alone will not get a business prepared—it also requires action. Businesses should start by taking their readiness quotient assessment and going to [www.ready.gov](http://www.ready.gov) to get free checklists, sample plans and templates. Then, they must reach out to their local first responder community in government and at organizations like the American Red Cross, as well as other businesses in the community to develop partnerships that will make their facility, their employees, their families, their neighbors, and the overarching community better prepared.

## CYBER SECURITY QUESTIONS FOR MANAGERS

The Homeland Security & Defense Business Council has developed in cooperation with Scott Borg, Director and Chief Economist of the U.S. Cyberconsequences Unit, a “Cyber Security Checklist.” It is a broad outline of questions business entities must ask themselves in the event of an attack to protect their internal systems, their customer information, and their IT infrastructure. The questions are broad, and refer companies back to the U.S. Cyberconsequences Unit’s more comprehensive look at the components of cyber infrastructure.

This series of questions was developed specifically for the *Partners in Preparedness* Toolkit as a guide for senior managers to assess their cyber vulnerabilities. The Council has found that although most preparedness guides are awash in information for a “structural attack” or an event with “structural damage,” such as an explosion, a flood, or fire, there was a dearth of practical information included to consider in a cyber attack—whether initiated by terrorist organizations or criminals. Our Checklist provides a “step one” approach for small to medium companies and refers them to a more comprehensive checklist available from the U.S. Cyberconsequences Unit at [http://www.usccu.us/documents/US-CCU\\_Security20Check%20List%202007.pdf](http://www.usccu.us/documents/US-CCU_Security20Check%20List%202007.pdf) that provides guidance for an in-depth assessment of numerous categories of information systems components such as: Hardware, software, networks, automation, humans, and suppliers. The extent of each individual assessment depends on the company’s dependence on its cyber resources to operate.

QUESTIONS SENIOR MANAGERS SHOULD ASK IN THE EVENT OF A SIGNIFICANT CYBER  
ATTACK

SCOTT BORG, DIRECTOR AND CHIEF ECONOMIST, U.S. CYBER CONSEQUENCES UNIT

*Developed for the Partners in Preparedness Toolkit*

This is provided as a guide for senior managers to assess their cyber vulnerabilities. The comprehensive checklist provides guidance for an in-depth assessment of numerous categories of information systems components such as: Hardware, software, networks, automation, humans, and suppliers. The extent of each individual assessment will depend on the company’s dependence on its cyber resources to operate.

- I. What is the current status of the attack?
  - (1) Which of our systems have been affected?
  - (2) Are any personnel or equipment in physical jeopardy?
  - (3) To what extent has the malware been identified and quarantined or contained?
  - (4) Is the active part of the attack on-going, or is it apparently over?
  - (5) Should we be shutting down certain of our operations to avoid further damage?
  - (6) What are the level of skill and apparent intentions of the attackers?
  - (7) How confident are we that the reports on our screens and in our e-mail are not being spoofed?
  - (8) What other cyber attack might be used as a follow-on from the first, to make things worse or to exploit our state of disarray?
- II. What are the business effects of the attack?
  - (1) What activities of our organization, if any, were interrupted?
    - What else depended on those activities?
  - (2) What activities, if any, were corrupted, so that the organization was producing defective outputs or delivering products or information to the wrong people?
    - What customers or other third parties are likely to have been damaged by this activity?
  - (3) What operations, if any, were discredited, so that people will be reluctant or unwilling to make use of them?
    - What has been the probable damage, so far, to our reputation and customer relationships?
  - (4) What activities of our organization, if any, have been seriously undermined, because the confidentiality or exclusivity of information necessary to carry them out has been lost?
    - What operations will need to be shut down for an extended period?
- III. What sort of notifications about the possible effects of the cyber attacks need to be provided to those outside the organization?
  - (1) Who outside the organization is significantly affected?

(2) What statements and information in the notifications would do the most to convince skeptical outsiders that the organization still deserves their trust?

(3) What is the fastest way to communicate the notifications that will gain proper attention, but not cause misunderstandings or panic?

IV. What is the next best alternative for each of the activities that can no longer be carried out normally?

(1) What measures are necessary to assure the continuing coordination of responses to the crisis?

(2) What steps are necessary to get alternative activities into operation?

(3) What is the plan for transitioning from the alternative operations back to normal ones?

(4) What special financial arrangements might be necessary to assure continuity of operations?

Mr. CUELLAR. Thank you very much. Other Members of the subcommittee are reminded that, under the committee rules, opening statements may be submitted for the record.

At this time, again, I would like to welcome our panel of witnesses. Our first witness is Mr. Tim Manning, who serves as the Deputy Administrator for National Preparedness at the Federal Emergency Management Agency.

As I said a few minutes ago, we also have Mr. Bill Jenkins, and, of course, Wendy Smith, and Suzanne DeFrancis. I want to welcome all of you again here and thank you for your testimony.

Without objection, the witnesses' full statements will be inserted in the record. I will now ask Mr. Manning to summarize his statement for 5 minutes.

**STATEMENT OF TIMOTHY W. MANNING, DEPUTY ADMINISTRATOR, NATIONAL PREPAREDNESS, FEDERAL EMERGENCY MANAGEMENT AGENCY, DEPARTMENT OF HOMELAND SECURITY**

Mr. MANNING. Thank you, Mr. Chairman.

Chairman Cuellar, Ranking Member Rogers, distinguished Members of the subcommittee, good morning. Thank you for allowing me to be here this morning. I am Tim Manning, Deputy Administrator for National Preparedness at the Federal Emergency Management Agency.

Before I begin my remarks on community preparedness, if I may, I would like to mention that, on behalf of FEMA and the entire emergency management community, our hearts go out to all of those affected by the tsunami and earthquakes in the Pacific, as well as the flooding in the American South.

Our National response coordination center has been activated since the first earthquake 2 days ago, and we will continue to move teams, equipment, and supplies into the affected area, and we have been updating you all as the event has gone on, and we will continue to do so until we have completed rescue and recovery efforts.

Mr. Chairman, throughout the history of emergency management planning, considerations for the individual and community preparedness have been inadequate. Since September 11, 2001, and the creation of the Department of Homeland Security, the United States has invested tens of billions of dollars in bolstering Government's preparedness, while paying comparatively little attention to the personal and community preparedness.

Secretary Napolitano, Administrator Fugate and I believe that much more attention needs to be paid to these efforts. We know

and have seen that personal, family, and community preparedness can have tremendous impact in mitigating the effects of an emergency. Simple steps taken by individuals to provide for the needs of their families and their neighbors in an emergency can dramatically improve the readiness and resiliency of the American people in the face of a disaster.

Encouraging as many Americans as possible to take steps necessary to ensure their own well-being will ultimately free Government resources to address those most in need during a crisis. In order to advance this simple goal, we must both engage with the public directly and collaborate with civil leaders at the local level to promote local efforts to increase personal preparedness.

As a former community organizer with deep belief in the power of active citizenship, President Obama has made it clear that transparent and collaborative government, grassroots activism, and volunteer and community service are key priorities for his administration. The leadership at FEMA and DHS is equally committed to increasing our collaboration with State and local governments, NGOs, and the private sector.

Under President Obama and Secretary Napolitano's leadership, we are reaching out to an unprecedented range of new DHS stakeholders to bolster our Nation's community preparedness and resilience.

As Secretary Napolitano said before the Council on Foreign Relations in July, for too long we have treated the public as a liability to be protected rather than an asset in our Nation's collective security. We need a culture of collective responsibility, a culture where every individual understands his or her role.

The foundation of the current efforts towards community preparedness and resilience is the cultivation of an effort and an effective organizational structure and a process at the local level to foster this collaboration between Government and civil leaders from all sectors, and then leverage this structure to reach everyone in a community.

While we believe a whole-of-agency effort is required, the Citizen Corps program has been one of the Department's key efforts towards this end. Building on historic approaches to citizen preparedness, our strategy moving forward will be based on the following tenets: Government must collaborate with civic leaders. Local implementation is essential. National support must both include consistent policy and guidance and the tools and resources adaptable for local use.

To achieve these goals, FEMA works with State and local partners to establish effective partnerships at the local level. This is to foster a collaborative process between local government and civic leaders from all sectors and develop goals and strategies for resilience tailored to specific community vulnerabilities.

FEMA will continue to work with these community leaders and support their efforts to increase individual and community preparedness and resilience. To assist in getting the message out, Ready is FEMA's National awareness campaign and, in partnership with the Ad Council, designed to educate and empower Americans to prepare for and respond to all emergencies. The goal of the

campaign is to get the public involved and ultimately to increase the level of basic preparedness across the Nation.

Ready—and its Spanish-language version, Listo—ask individuals to take simple steps, such as getting a supply kit, making a family plan, and obtaining information about the different types of emergencies that could occur in their particular community.

The Ad Council has declared Ready one of the most successful campaigns in its more than 60-year history. Ready Business is an extension for the private sector, and the Ready campaign that focuses on children, Ready Kids, functions as an effective tool to help parents and teachers educate children of all ages.

Mr. Chairman, Ranking Member Rogers, in conclusion, Secretary Napolitano and FEMA Administrator Fugate and I are committed to advancing the Nation's preparedness. Through working current National partners and expanding our partnerships and enhancing tools and resources available to local communities, enhancing education, training, and exercises for the public, promoting volunteer service opportunities, identifying ways to assess and quantify our progress, working with the FEMA regions, and supporting open, honest and forthcoming communications with community leaders and the public, we feel we can advance these goals.

Communicating the importance of personal and community preparedness is a cornerstone of our strategy moving forward. With the continued support of Congress, we believe that considerable progress is within reach.

Mr. Chairman, thank you for the opportunity to testify this morning. I look forward to your questions.

[The statement of Mr. Manning follows:]

PREPARED STATEMENT OF TIMOTHY W. MANNING

OCTOBER 1, 2009

INTRODUCTION

Chairman Cuellar, Ranking Member Rogers and other distinguished Members of the subcommittee, I am Timothy Manning and I serve as Deputy Administrator for National Preparedness of the Federal Emergency Management Agency (FEMA). It is a privilege to appear before you today on behalf of FEMA and the Department of Homeland Security (DHS). We appreciate your interest in and continued support for emergency management and, in particular, for the critical importance of personal and community preparedness.

Throughout the history of emergency management planning, considerations for individual and community preparedness have been inadequate. From the 1930s, when disaster response was ad hoc and largely focused on the repair of damaged infrastructure, through the present day, the importance of individual and community preparedness has often been given insufficient consideration. In fact, since September 11, 2001 and the creation of the Department of Homeland Security, the United States has invested tens of billions of dollars in bolstering Government's preparedness, while paying comparatively little attention to personal and community preparedness.

Yet we know—and have—seen that personal, family, and community preparedness can have a tremendous impact in mitigating the effects of an emergency. Just as all politics are local, as former Speaker of the House Tip O'Neill said, all disasters are local—they impact individuals, families, and communities. Simple steps taken by individuals to provide for the needs of their families and their neighbors in an emergency can dramatically improve the readiness and resiliency of the American people in the face of a disaster. Encouraging as many Americans as possible to take the steps necessary to ensure their own well being will ultimately free Government resources to address those most in need during a crisis.

In order to advance this simple goal, we must engage and collaborate with civic leaders at the local level to promote local efforts to increase personal preparedness. As a former community organizer with a deep belief in the power of active citizenship, President Obama has made it clear that transparent and collaborative government, grassroots activism, and volunteer and community service are key priorities for his administration. The leadership at FEMA and DHS is equally committed to increasing our collaboration with State and local governments, NGOs, and the private sector, and under President Obama and Secretary Napolitano's leadership, we are reaching out to an unprecedented range of new DHS stakeholders to bolster our Nation's community preparedness and resilience.

While we will ensure that Federal assets and resources are in a state of constant readiness and that FEMA is prepared to serve as an effective coordinator during a Presidentially-declared emergency or disaster, FEMA will approach community preparedness from the bottom up and ensure that Federal-level policies, guidance, tools, and resources support and facilitate local implementation. Preparedness is achieved and maintained through a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action. This is true for an individual, a family, an organization, a community, and the Nation. FEMA will engage the public and community leaders more fully in all stages of the preparedness cycle to strengthen our National readiness and resilience.

Finally, I would like to highlight both Secretary Napolitano's and Administrator Fugate's repeated emphasis on the importance of personal and community preparedness.

As Secretary Napolitano said before the Council of Foreign Relations in July, "For too long we've treated the public as a liability to be protected rather than an asset in our Nation's collective security . . . We need a culture of collective responsibility, a culture where every individual understands his or her role."

Our Department's senior leadership is actively engaged in raising public awareness on this critical issue, and we will continue to drive this message to even more Americans in meetings, speeches and interviews across the country.

#### COMMUNITY ENGAGEMENT

Effective emergency management and emergency response requires that community leaders participate in developing community emergency response plans, conduct localized outreach and education to the public, promote training, participate in exercises, encourage volunteerism, and of course, should the worst happen, form an integral part of the response. The foundation of the current National strategy on community preparedness and resilience is to cultivate an effective organizational structure and process at the local level to foster this collaboration between Government and civic leaders from all sectors, and then leverage this structure to reach everyone in the community. Citizen Corps has been one of the Department's key efforts toward this end.

Building on historic approaches to citizen preparedness, our strategy moving forward will be based on the following tenets: Government must collaborate with civic leaders, local implementation is essential, and National support must include both consistent policy and guidance and tools and resources adaptable for local use.

To achieve these goals, FEMA works with State and local partners to establish effective partnerships at the local level. This is to foster a collaborative process between local government and civic leaders from all sectors and develop goals and strategies for resilience tailored to specific community vulnerabilities. FEMA will continue to work with these community leaders and support their efforts to increase individual and community preparedness and resilience.

The Community Emergency Response Team (CERT) Program is an exceptionally well-tested and successful citizen training and volunteer program. CERT builds on the commonsense acknowledgment that community members are the first to respond to assist others who need help during emergencies. Having grown from 244 local programs in 2002 to 3,221 today, an estimated 600,000 individuals have taken the CERT basic training. The success of CERT is rooted in the program's clarity of training, hands-on practical delivery, and connection to local emergency services, most commonly emergency management and the fire service. Building on the successful basic training, there are several additional training materials in development including Animal Response, CERT Emergency Communications, Traffic and Crowd Management, and CERT Team Leadership.

Within the National Preparedness Directorate, I have directed my staff to develop a more comprehensive approach to local empowerment and to be mindful of the importance of more inclusive non-governmental participation. Whether we are working on Comprehensive Planning Guides for local use, providing technical assistance and



funding for catastrophic planning, developing National level exercises, utilizing the National Incident Management System, or increasing private sector preparedness through the Private Sector Prep Program, we must recalibrate our focus to better include and engage all sectors of the community.

Under the direction of Administrator Fugate, work across the agency also has been redirected to adapt emergency management practices to the special needs of particular populations in local communities. The Administrator has established an internal Children's Working Group to ensure that all aspects of FEMA's planning and operations address the needs of children. The Working Group will also work closely with the National Commission on Children and Disasters to collaborate with leaders in the field and re-calibrate plans and protocols to ensure adequate considerations for the needs of children. Similarly, Administrator Fugate has appointed a Disabilities Coordinator to examine policies and guidance surrounding appropriate considerations for these critical stakeholders and partners.

Last, the Grants Programs Directorate supports community preparedness through the Homeland Security Grant Program, and we are encouraging States and urban areas to use this funding to ensure not only that Government responders are adequately equipped and trained, but also to focus on community preparedness and greater participation from non-governmental sectors.

#### RESEARCH-BASED APPROACH

Our renewed emphasis on civic responsibility and community engagement will be research-based, flexible, and adaptive. In August 2009, FEMA released a major study (available at [www.citizen corps.gov](http://www.citizen corps.gov)) on Personal Preparedness in America, a National study of over 3,000 households. Results from this study may have important implications for the development of more effective communication and outreach strategies to achieve greater levels of preparedness and participation.

In addition to this primary research, FEMA also reviews and analyzes other party research on personal, business, school, and community preparedness; this database currently includes over 100 surveys conducted since September 11, 2001. We also publish Citizen Preparedness Reviews to assimilate current preparedness research and modeling, including a Personal Behavior Change Model, which provides a theoretical basis for evaluating the motivations for and barriers to personal preparedness. Having been tested through the household survey and focus groups, this model is being revised and will assist in developing effective social marketing tools for personal preparedness. Working through the Target Capabilities process and with our colleagues in the DHS Science and Technology Directorate, we also facilitate the connection between researchers and practitioners through working groups and roundtable meetings to ensure research is applicable and useful at the local level.

#### BUILDING NATIONAL AWARENESS

Ready is FEMA's National public service campaign, in partnership with the Ad Council, designed to educate and empower Americans to prepare for and respond to all emergencies, including natural disasters and potential terrorist attacks. The goal of the campaign is to get the public involved and ultimately to increase the level of basic preparedness across the Nation.

Ready and its Spanish language version, Listo, ask individuals to take simple steps such as getting an emergency supply kit, making a family emergency plan, obtaining information about the different types of emergencies that could occur and the appropriate responses to each one, and getting involved in community efforts that promote neighbor-to-neighbor preparedness.

The Ad Council has declared Ready one of the most successful campaigns in its more than 60-year history. Since its launch, the campaign has generated more than \$775.9 million in donated media support. As of Sept. 1, 2009, [www.ready.gov](http://www.ready.gov) has received 33 million unique visitors; the toll-free numbers have received more than 390,000 calls; and more than 39.6 million Ready materials have been requested or downloaded from the Web site.

Ready Business is an extension of the Ready Campaign that focuses on business preparedness, helping owners and managers of small- to medium-sized businesses prepare their employees, operations, and assets in the event of an emergency. The campaign's messages are being delivered through [www.ready.gov](http://www.ready.gov), brochures, radio, print, and internet public service advertisements and key partnerships.

Ready Kids is a tool to help parents and teachers educate children ages 8-12 about emergencies and how they can help get their families prepared. The program includes: A family-friendly website ([www.ready.gov/kids](http://www.ready.gov/kids)); in-school materials developed by Scholastic Inc.; Ready Classroom, an on-line educational curriculum program developed in partnership with Discovery Education; as well as a multimedia

toolkit targeted to pre-school-aged children and their families developed in partnership with Sesame Workshop.

DHS/FEMA has also developed tailored preparedness information for specific Americans. DHS/FEMA, American Kennel Club, American Society for the Prevention of Cruelty to Animals, American Veterinary Medical Association, and The Humane Society of the United States have jointly created materials (available at [www.Ready.gov](http://www.Ready.gov)) that highlight the key steps pet owners should take to prepare themselves and their animals. DHS/FEMA, AARP, the American Red Cross, the National Organization on Disability and the National Fire Protection Association also have created emergency information for seniors and Americans with disabilities and special needs. Materials developed for these specific Americans include brochures and instructional videos available at [www.ready.gov](http://www.ready.gov).

DHS/FEMA also highlights public emergency preparedness through National Preparedness Month (NPM), a Nation-wide effort held each September to encourage Americans to take simple steps to prepare for emergencies in their homes, businesses, and schools. In 2009, the Ready Campaign is being joined by more than 2,400 NPM Coalition Members to educate individuals, families, and communities on the importance of emergency preparedness. This year, the Ready Campaign is helping Americans understand that preparedness goes beyond fire alarms, smoke detectors, dead-bolt locks, and extra food in the pantry, seeking to change perceptions about emergency preparedness and help Americans understand what it truly means to be "Ready."

#### NATIONAL CONFERENCE ON COMMUNITY PREPAREDNESS

In August, FEMA hosted the four-day National Conference on Community Preparedness: The Power of Citizen Corps. Participants included 750 National partners, State and local emergency management, fire and law enforcement, public health and emergency medical services, academics, advocacy groups, voluntary organizations, and members of the public, bringing together a uniquely diverse group of community preparedness activists. Participants represented all 50 States, U.S. territories, and Tribes. Leadership from DHS and FEMA addressed the conference to underscore the importance of local activism and implementation to achieve community resilience and to renew support for local Citizen Corps Councils and Programs.

With nearly 100 presentations and workshops, the conference provided participants innovative approaches to all facets of community preparedness and resilience, including information on collaborative planning, youth engagement, preparedness for individuals with functional needs, pets and animal issues, and preparedness in economic hard times. Presenters included the seminal Citizen Corps programs: CERT; Fire Corps; Neighborhood Watch Program (NWP) Program; Medical Reserve Corps (MRC) Program and Volunteers in Police Service (VIPS); and the National Emergency Technology (NET) Guard pilot program. In addition, numerous Citizen Corps Affiliates participated: Meals on Wheels, E 9-1-1 Institute, Home Safety Council, American Association of Community Colleges; State and local practitioners and elected leaders; and experts from the fields of public health, disabilities, children's issues, and rural development.

During the conference, FEMA released the research report, "Personal Preparedness in America: Findings from the 2009 Citizen Corps National Survey," and the Citizen Corps Volunteer Liability Guide, providing an in-depth overview of legal issues and approaches to address liability for emergency volunteers. The National Council on Disability also released its latest 500-page report on emergency management and people with disabilities, "Effective Emergency Management: Making Improvements for Communities and People with Disabilities," and provided an interactive session with representatives from the Department of Justice on emergency management under Title II of the Americans with Disability Act. Also announced were the availability of a toolkit on Preparing Communities for Disaster, developed for the President's United We Serve initiative, and a revised on-line registration process for Citizen Corps Councils and CERT programs.

#### CONCLUSION

Secretary Napolitano, FEMA Administrator Fugate and I are committed to advancing our Nation's preparedness. Increasing individual and community preparedness and resiliency is a FEMA priority; it is also a National priority and I will make it a personal priority during my tenure. To support local communities in this challenge, FEMA has begun to strengthen internal coordination to ensure that we provide tools and resources from across the agency more effectively. Specific actions will include:

- Ensuring FEMA and DHS policies and guidance include appropriate language to support citizen and community preparedness and resiliency;
- Working with current National partners and expanding our partnerships to enhance the tools and resources available to local communities;
- Enhancing education, training, and exercises for the public and making them more accessible to everyone;
- Promoting volunteer service opportunities to support community safety and resiliency;
- Developing tools and technical assistance for areas where none already exist or where existing tools need enhancement;
- Continue conducting research on individual, business, and community preparedness and analyzing the research of others;
- Identifying ways to assess and quantify our progress;
- Working with the FEMA regions to support our State, Tribal, and local partners; and
- Supporting open communications with community leaders and with the public.

Communicating the importance of personal and community preparedness is a cornerstone of our strategy moving forward, and with the continued support of Congress, we believe that considerable progress is within reach.

Thank you, Mr. Chairman and Members of the committee, for allowing me to testify today. I am happy to answer any questions you may have.

Mr. CUELLAR. Mr. Manning, thank you again very much.  
Mr. Jenkins, you are recognized for 5 minutes.

**STATEMENT OF WILLIAM “BILL” O. JENKINS, JR., DIRECTOR,  
HOMELAND SECURITY AND JUSTICE, GOVERNMENT  
ACCOUNTABILITY OFFICE**

Mr. JENKINS. Chairman Cuellar, Ranking Member Rogers, Representative Olson, thank you for the opportunity to be here today to discuss our work on Federal efforts to encourage community preparedness for all types of emergencies, natural or manmade.

Community preparedness is an integral part of National disaster preparedness. To the extent that individuals and families are prepared for the types of risks their communities face, they can increase their chances of survival, protect their families, and reduce the demands on first responders in the first critical 48 to 72 hours following a disaster.

Research shows that Americans could be better prepared for disasters. The 2009 Citizen Corps National survey estimated that about 56 percent of U.S. households did not have disaster supplies in their home. Even fewer had supplies set aside in their car or workplace. Of even greater concern, 61 percent responded they expected to rely on emergency responders in the first 72 hours after a disaster.

As we reported in April of this year, FEMA faces a major challenge in developing an all-hazards National preparedness system that requires consultation and coordination with a wide variety of stakeholders, including communities, State and local governments, nonprofit, and for-profit organizations.

But locally—but doing this requires a clear vision and a statement of desired measurable outcomes in how FEMA plans to achieve those outcomes in coordination with its many partners. FEMA’s measures of community preparedness, such as the number of established Citizen Corps councils, do not provide information on activities undertaken and the contribution of those activities to desired outcomes.

FEMA’s challenges measuring the performance of its community preparedness efforts are compounded by the lack of a strategy that

defines how its community preparedness programs and efforts, including its grants for community preparedness projects, are to operate within the context of the National preparedness system. FEMA has not yet articulated a clear vision for its community preparedness efforts and the specific contributions they should make to the National preparedness system.

In April, we recommended that FEMA develop a preparedness strategy that included measurable goals, objectives, and identified how FEMA would measure its progress in meeting those goals and objectives. Although FEMA officials say that they are working on a preparedness strategy that includes community preparedness, FEMA has not yet set a date for completion, and it is not clear how community preparedness will be incorporated into that strategy.

The answer to whether FEMA is spending too little, too much, or just the right amount of money on community preparedness cannot be answered until FEMA defines what it expects of community preparedness efforts. FEMA can then assess the resources needed to achieve the desired results.

DHS has been working on preparedness metrics, called target capabilities, for 5 years, and we reported on those efforts in 2005. We recognize that including stakeholders in this effort is both important and takes time. Specific metrics for these compatibilities is still a work in—these capabilities is still a work in progress.

One of the eight National priorities in this effort is “strengthening, planning, and community citizen preparedness capabilities.” FEMA recognizes that, given the diversity of the Nation’s population and the different risks communities face, there can be no one-size-fits-all approach to community preparedness. FEMA has already drafted different sets of materials for the disabled seniors and kids, for example.

But it is not only the message, but the messenger that affects public response to messages encouraging preparedness. It is simply a fact that Government is not always seen as a credible messenger.

It is not clear how FEMA plans to evaluate what works, what doesn’t for different audiences and different means of delivering its preparedness message. In developing its community preparedness strategy, FEMA needs to consider what it controls—which is the content of its message that it develops—what it influences—for example, its partners at the State and local level—and what is largely beyond its control, for example, the media used and timing of public service announcements on behalf of the Ready campaign.

We recognize that those working in community preparedness within FEMA and at the State and local level care deeply about their mission. The success of their efforts will require a coordinated, focused effort over time that builds for designed and measurable outcomes.

That concludes my statement, Mr. Chairman. I would be pleased to answer any questions you or other Members of the subcommittee may have.

[The statement of Mr. Jenkins follows:]

## PREPARED STATEMENT OF WILLIAM "BILL" O. JENKINS, JR.

OCTOBER 1, 2010

Mr. Chairman and Members of the subcommittee: Thank you for the opportunity to participate in today's hearing to discuss Federal efforts to encourage community involvement in preparing for all-hazard emergencies.<sup>1</sup> The public plays an important role in National emergency preparedness. By preparing their families and property before an event, individuals can often reduce a disaster's impact on them and their need for first responder assistance, particularly in the first 72 hours following a disaster. For example, having at least a 72-hour supply of food and drinking water on hand can both sustain the individual and family in a disaster's aftermath and reduce the immediate demands for food and water delivered by first responders whose priority may be search and rescue. They can also potentially support first responders as trained volunteers, since the average person will likely be the first on the scene of a disaster. However, research shows that Americans could be better prepared for disasters, particularly based on two key indicators—the degree to which people report having disaster supplies set aside and have a household emergency plan. A 2009 Citizen Corps National Survey estimated that over half (56 percent) of U.S. households did not have disaster supplies in their homes, and even fewer had supplies set aside in their car or workplaces.<sup>2</sup> Even those who responded that they are personally prepared may have only taken some of the actions recommended, such as having water set aside but not having extra batteries for their flashlights. Fewer than half (44 percent) of the 2009 survey respondents reported having a household disaster plan, a level consistent with the results of past surveys.<sup>3</sup> Although it is unrealistic to expect first responders to assist everyone in a disaster, 30 percent of those surveyed said that the primary reason they were unprepared was because they believed emergency personnel would help them in the event of a disaster. Also, 61 percent expected to rely on emergency responders in the first 72 hours following a disaster. The Federal Emergency Management Agency (FEMA) administrator and leaders in the emergency management community are encouraging citizens to take actions to become more involved in preparing themselves and their communities, not only to mitigate the effects of a disaster, but to decrease their reliance on the Federal Government for goods and services during a catastrophic event and allow governments at all levels to target resources where they are most needed.

FEMA encourages public preparedness through the Community Preparedness Division's Citizen Corps program, which is designed to bring together Government and community leaders to involve citizens in all-hazards emergency preparedness and resilience, and the Ready Campaign, which makes literature and mass media content available to spread the preparedness message to individuals, families, and businesses.<sup>4</sup> Citizen Corps is designed to promote the collaboration between local government and community leaders via local Citizen Corps councils. Individual councils are to promote preparedness activities and to encourage volunteering with Federally sponsored programs that support first responders, referred to as Citizen Corps partner programs. Citizen Corps promotes five partner programs, two of which are supported by FEMA—the Community Emergency Response Team (CERT) and Fire Corps.<sup>5</sup> The operating budgets for community preparedness programs currently represent less than one-half of 1 percent of FEMA's total budget. In fiscal year 2009, FEMA's overall budget was about \$7.9 billion, of which about \$5.8 million was dedi-

<sup>1</sup> Individuals, the public, and community are used interchangeably in this testimony when discussing preparedness for nongovernment community members. The terms encompass both citizens and noncitizens. Community nonprofit and private businesses are part of community preparedness, but were not within the scope of our work.

<sup>2</sup> Department of Homeland Security, *Personal Preparedness in America: Findings From the 2009 Citizen Corps National Survey* (Washington, DC: August, 2009).

<sup>3</sup> Federal Emergency Management Agency, *Citizen Preparedness Review: A Review of Citizen Preparedness Research, Fall Update* (Washington, DC: 2007). For example, National Center for Disaster Preparedness National surveys estimated the percentage of the population with an emergency plan was 43 percent in 2005, 45 percent in 2006, and 43 percent in 2007.

<sup>4</sup> According to FEMA officials, FEMA also encourages public preparedness through speaking engagements, the media, and social networking tools that were beyond the scope of our review. Regarding the Ready Campaign we focused on its efforts for individual and family preparedness. The Ready Campaign's Business and Kid Campaign were not within the scope of our review.

<sup>5</sup> The Department of Health and Human Service's Office of the Surgeon General within the Office of Public Health and Science administers a third partner program, the Medical Reserve Corps (MRC). Also, the Department of Justice sponsors two other partner programs—Volunteers in Police Service and Neighborhood Watch.

cated to operating community preparedness programs and \$2.1 million was for the Ready Campaign.

FEMA's National program office officials encourage State, local, regional, and Tribal governments and private and nonprofit community-based organizations to establish and sustain local Citizen Corps councils and partner programs, partly through Federal funding for local efforts. Local Citizen Corps councils, CERTs, and Fire Corps all are considered "grassroots" organizations that use volunteers to operate programs in their respective communities. Citizen Corps councils and CERT programs are registered via the internet and are potentially eligible to apply for Federal grant funding through the State to support their program.<sup>6</sup> According to Department of Homeland Security (DHS) data, approximately \$269 million in FEMA homeland security grants (including grants for Citizen Corps councils, CERT, and Fire Corps) were awarded for community preparedness projects from fiscal years 2004 through 2008. In fiscal year 2008, funding for community preparedness grants represented about 1.9 percent of the total FEMA grant funding. Specifically, in fiscal year 2008, approximately \$56 million went to community preparedness projects, out of more than \$3 billion awarded in DHS grants to strengthen prevention, protection, response, and recovery capabilities at all levels of government. Appendix I provides additional information on DHS grants awarded for community preparedness purposes from fiscal year 2004 through fiscal year 2008.

In April 2009 we issued a report that discussed, among other things, the National preparedness system—a continuous cycle of: (1) Establishing policy and doctrine, (2) planning and allocating resources, (3) conducting training and exercises to gather lessons learned, and (4) assessing and reporting on the training and exercises to evaluate preparedness, including identifying any gaps in capabilities.<sup>7</sup> Assessments and reports resulting from the National preparedness system are to be used to inform decision-makers on what improvements are needed and how to target finite resources to improve preparedness for disasters.<sup>8</sup> Our report recognized that developing and integrating the elements of the National preparedness system is a challenge for FEMA, and more specifically the National Preparedness Directorate (NPD), the FEMA component responsible for carrying out the key elements of the National preparedness system, in coordination with other Federal, State, local, Tribal, nonprofit, and private sector organizations. We reported that the size and complexity of the Nation's preparedness activities and the number of organizations involved—both public and private—pose a significant challenge to FEMA as it leads the Nation's efforts to develop and sustain a National preparedness system. We further stated that, to develop an effective system, FEMA is to coordinate and partner with a broad range of stakeholders. As part of the Nation's preparedness system, the status of citizen and community preparedness can affect the demands on first responders in the immediate aftermath of a disaster.

As requested, today I will discuss our preliminary observations on: (1) What challenges, if any, FEMA faces in measuring the performance of Citizen Corps, its partner programs, and the Ready Campaign, and (2) what actions, if any, FEMA has taken to develop a strategy to encompass how Citizen Corps, its partner programs, and the Ready Campaign are to operate within the context of the National preparedness system. My comments are based on our on-going review of Citizen Corps, its partner programs, and the Ready Campaign requested by the Chairman of the Committee on Homeland Security, the Chairwoman of its Subcommittee on Transportation Security and Infrastructure Protection, and the Chairman of this subcommittee. The final results of this review will be issued in a report later this year.

To address our objectives, we reviewed documentation, such as FEMA's strategic plan for 2008–2013, and interviewed officials at DHS's headquarters in Washington, DC, and at 12 selected locations in five States—California, Florida, Nevada, Oklahoma, and Texas. We selected these States based on the frequency of declared natural disasters. In total, we conducted 41 interviews covering 53 organizations in the

<sup>6</sup>Under FEMA's Homeland Security Grant Program, States, territories, urban areas, and transportation authorities are eligible for FEMA grants to bolster National preparedness capabilities and protect critical infrastructure. These grants can be used to establish and sustain Citizen Corps councils; purchase equipment for CERTs, Fire Corps, or MRC; and support planning or training efforts. Local community preparedness organizations can also receive funding from State, local, or Tribal governments or private and nonprofit community-based preparedness organizations.

<sup>7</sup>GAO, *National Preparedness: FEMA Has Made Progress, but Needs to Complete and Integrate Planning, Exercise, and Assessment Efforts*, GAO-09-369 (Washington, DC: Apr. 30, 2009).

<sup>8</sup>A key part of the system involves the development of quantifiable standards and metrics—called target capabilities, defined as the level of capability needed to prevent, respond to, and recover from natural and man-made disasters—that can be used to assess existing capability levels compared with target capability levels.

five States.<sup>9</sup> The results from our interviews are not generalizable; however, they provide insights into the operations of local Citizen Corps and partner programs as well as their efforts to use Ready Campaign material to promote individual preparedness. We also analyzed FEMA's strategic plan and NPD's 2009 Operating Plan and compared these documents with criteria in our past work that discusses the six characteristics of an effective National strategy.<sup>10</sup> In addition we reviewed and analyzed data on the number of registered Citizen Corps and its partner programs to determine how FEMA measures the performance of its programs and compared FEMA's data with the results of our work in the five States with criteria discussing best practices for performance measurement.<sup>11</sup> Furthermore, we obtained and analyzed data on homeland security grants awarded from fiscal years 2004 through 2008. To determine the reliability of DHS grant data and data on the activities of FEMA Citizen Corps and partner programs, we interviewed DHS officials about their procedures for ensuring the accuracy of performance data and compared DHS's processes for compiling data on local community preparedness units with our past work on agency performance measurement. With regard to the Ready Campaign's tracking survey and data on donated media, we reviewed documents and interviewed Ready Campaign officials and Ad Council officials to discuss their process for ensuring data accuracy. We determined that these data were reliable for the purposes of this review.

We are conducting this performance audit from February 2008 through October 2009 in accordance with generally accepted Government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

In summary, FEMA faces challenges measuring performance for Citizen Corps, partner programs, and the Ready Campaign because: (1) It relies on States to verify that data for its principal performance measure—the registered number of established volunteer organizations across the country—are accurate and does not have a process for monitoring State validation efforts, and (2) although the Ready Campaign controls the content of its message, it is not positioned to control the distribution of its message or measure whether its message is changing the behavior of individuals. FEMA officials said that FEMA expects to use a new, 2010 registration process to collect more comprehensive data on membership and council activities. Among other things, FEMA counts requests for literature, website hits, and the number of television announcements made to gauge performance for the Ready Campaign, but FEMA does not control when its message is viewed in various media because it relies on donated media, such as time to air television and radio announcements. Because changes in individuals' behavior can be the result of a variety of factors, including preparedness campaigns sponsored by other organizations, it is difficult to measure the Ready Campaign's effect on changes in individuals' preparedness behavior. FEMA's challenges in measuring the performance of citizen preparedness programs are compounded by the fact that it has not developed a strategy to encompass how Citizen Corps, its partner programs, and the Ready Campaign are to operate within the context of the National preparedness system. In April 2009, we recommended that NPD develop a strategic plan to implement the Na-

<sup>9</sup>This included 17 Citizen Corps councils, 12 CERT, 5 Fire Corps programs, and officials representing 19 other preparedness and emergency management organizations, such as local emergency managers and State officials in four of the five States we visited.

<sup>10</sup>GAO-09-369 and GAO, *Combating Terrorism: Evaluation of Selected Characteristics in National Strategies Related to Terrorism*, GAO-04-408T (Washington, DC: February 3, 2004).

<sup>11</sup>GAO-09-369; GAO-04-408T; GAO, *Results-Oriented Management: Strengthening Key Practices at FEMA and Interior Could Promote Greater Use of Performance Information* GAO-09-676; (Washington, DC: Aug. 17, 2009); *Influenza Pandemic: Gaps in Pandemic Planning and Preparedness Need to Be Addressed*, GAO-09-909T (Washington, DC: July 29, 2009); *Information-Sharing Environment: Definition of the Results to Be Achieved in Improving Terrorism-Related Information Sharing Is Needed to Guide Implementation and Assess Progress* GAO-08-492 (Washington, DC: June 25, 2008); *Combating Terrorism: Evaluation of Selected Characteristics in National Strategies Related to Terrorism*, GAO-04-408T (Washington, DC: Feb. 3, 2004); *Tax Administration: IRS Needs to Further Refine Its Tax Filing Season Performance Measures*, GAO-03-143 (Washington, DC: Nov. 22, 2002); *Agency Performance Plans: Examples of Practices That Can Improve Usefulness to Decisionmakers* GAO/GGD/AIMD-99-69 (Washington, DC: Feb. 26, 1999); *Performance Plans: Selected Approaches for Verification and Validation of Agency Performance Information*, GAO/GGD-99139 (Washington, DC: July 30, 1999); *Agencies' Annual Performance Plans Under the Reform Act: An Assessment Guide to Facilitate Congressional Decisionmaking*, GAO/GGD/AIMD-10.1.18 (Washington, DC: February 1998); and *Executive Guide: Effectively Implementing the Government Performance and Results Act*, GAO/GGD-96-118 (Washington, DC: June 1, 1996).

tional preparedness system that contains such key elements as goals, objectives, and how progress in achieving them will be measured. FEMA agreed and reported that it is taking actions to strengthen strategic planning. FEMA stated that it is reviewing implementation plans and policy documents, such as the National Preparedness Guidelines, and that community preparedness is a key element being considered in this process. FEMA has not yet set a date for completion of the National preparedness system strategy, and the extent to which Citizen Corps, its partner programs, or the Ready Campaign will be included when the strategy is complete is not clear. We will continue to assess FEMA's efforts to measure the performance of the community preparedness programs and develop a strategy for integrating them into the National preparedness system as part of our on-going work. FEMA provided technical comments on a draft of this testimony, which we discussed with FEMA officials and incorporated as appropriate.

#### BACKGROUND

The Post-Katrina Emergency Management Reform Act of 2006 (Post-Katrina Act)<sup>12</sup> required that FEMA establish the National preparedness system to ensure that the Nation has the ability to prepare for and respond to disasters of all types, whether natural or man-made, including terrorist attacks. The Community Preparedness Division is responsible for leading activities related to community preparedness, including management of the Citizen Corps program. According to fiscal year 2008 Homeland Security Grant Guidance, the program is to bring together community and Government leaders, including first responders, nonprofit organizations, and other community stakeholders. Serving as a Citizen Corps council, Government and non-Government stakeholders are to collaborate in involving community members in emergency preparedness, planning, mitigation, response, and recovery. Councils and partner programs register on-line to be included in the National program registries. The Division also supports the efforts of non-DHS Federal "partner programs," such as the Medical Reserve Corps, that promote preparedness and the use of volunteers to support first responders.<sup>13</sup> The CERT program's mission is to educate and train people in basic disaster preparedness and response skills, such as fire safety, light search and rescue, and disaster medical operations, using a Nationally developed, standardized training curriculum. Trained individuals can be recruited to participate on neighborhood, business, or Government teams to assist first responders. The mission of the Fire Corps program is to increase the capacity of fire and emergency medical service departments through the use of volunteers in nonoperational roles and activities, including administrative, public outreach, fire safety, and emergency preparedness education.

FEMA also is responsible for a related program, the Ready Campaign, which works in partnership with the Ad Council, an organization that creates public service messages, with the goals of raising public awareness regarding the need for emergency preparedness, motivating individuals to take steps toward preparedness, and ultimately increasing the level of National preparedness. The program makes preparedness information available to the public through its English and Spanish websites (*www.ready.gov* and *www.listo.gov*), through printed material that can be ordered from the program or via toll-free phone lines, and through public service announcements (PSA).<sup>14</sup> The Ready Campaign message calls for individuals, families, and businesses to: (1) Get emergency supply kits, (2) make emergency plans, and (3) stay informed about emergencies and appropriate responses to those emergencies.

#### *FEMA Faces Challenges Measuring Performance of Citizen Corps Programs and the Ready Campaign*

FEMA faces challenges in measuring the performance of local community preparedness efforts because it lacks accurate information on those efforts. FEMA is also confronted with challenges in measuring performance for the Ready Campaign because the Ready Campaign is not positioned to control the placement of its preparedness messages or measure whether its message is changing the behavior of individuals.

<sup>12</sup>The Post-Katrina Act was enacted as title VI of the Department of Homeland Security Appropriations Act, 2007, Pub. L. No. 109-295, 120 Stat. 1355, 1394-1463 (2006).

<sup>13</sup>Citizen Corps also identifies program "affiliates" that may be available to help advance Citizen Corps's goals, such as the American Red Cross and Home Safety Council.

<sup>14</sup>See <http://www.ready.gov/america/about/psa.html> for an example of a Ready Campaign PSA.



*FEMA Faces Challenges Measuring Performance of Community Preparedness Efforts Because It Lacks Accurate Information on Local Programs*

According to FEMA officials, FEMA promotes citizen preparedness and volunteerism by encouraging collaboration and the creation of community Citizen Corps, CERT, and Fire Corps programs. FEMA includes the number of Citizen Corps councils, CERTs, and Fire Corps established across the country as its principal performance measure. However, FEMA faces challenges ensuring that the information needed to measure the number of established, active units is accurate. In our past work we reported on the importance of ensuring that program data are of sufficient quality to document performance and support decision-making.<sup>15</sup> Although not a measure under the Government Performance Result Act, FEMA programs report the number of local units registered as a principal performance measure; however, our work showed that the number of active units reported may differ from the number that actually exist.<sup>16</sup> For example, as of September 2009:

- Citizen Corps reported having 2,409 registered Citizen Corps councils Nation-wide that encompass jurisdictions where approximately 79 percent of the U.S. population resides. However, 12 of the 17 registered councils we contacted during our site visits were active and 5 were not.
- The CERT program reported having 3,354 registered CERTs. Of the 12 registered CERTs we visited, 11 were actively engaged in CERT activities, such as drills, exercises, and emergency preparedness outreach, or had been deployed to assist in an emergency or disaster situation, although 1 had members that had not been trained. One registered CERT was no longer active.

State officials in two of the four States also said that the data on number of registered programs might not be accurate.<sup>17</sup> One State official responsible for the Citizen Corps council and CERT programs in the State estimated that as little as 20 percent of the registered councils were active, and the State subsequently removed more than half of its 40 councils from the National website. Officials in the other State said that the National database is not accurate and they have begun to send e-mails to or call local councils to verify the accuracy of registrations in their State. These officials said that they plan to follow up with those councils that do not respond, but they were not yet certain what they planned to do if the councils were no longer active. These results raise questions about the accuracy of FEMA's data on the number of councils across the Nation, and the accuracy of FEMA's measure that registered councils cover 79 percent of the population Nation-wide.

Some change in the number of active local programs can be expected, based on factors including changes in Government leadership, voluntary participation by civic leaders, and financial support. FEMA officials told us that the Homeland Security Grant Program guidance designates State officials as responsible for approving initial council and CERT registrations and ensure that the data are updated as needed. According to FEMA officials, however, in practice this may not occur. Community Preparedness Division officials said that they do not monitor whether States are regularly updating local unit registration information.

FEMA officials said that FEMA plans to adopt a new on-line registration process for Citizen Corps councils and CERTs in 2010, which will likely result in some programs being removed from FEMA's registries. They said that FEMA expects to use the new registration process to collect more comprehensive data on membership and council activities. According to FEMA officials, updating initial registration information will continue to be the responsibility of State officials. The Citizen Corps Director noted that the Citizen Corps program does not have the ability to require all local units to update information, particularly councils or CERTS that receive no Federal funding. According to the Fire Corps program Acting Director, a State advocacy program initiated in 2007 may help identify inactive programs as well as promote the Fire Corps program. As of September 2009, there were 53 advocates in 31 States. We will continue to assess this issue as part of our on-going work.

*The Ready Campaign Faces Challenges Measuring Performance Because It Is Not Positioned to Control the Distribution of Its Preparedness Messages and Measure Whether Its Message Effects Individual Behavior*

Currently, the Ready Campaign measures its performance based on measures such as materials distributed or PSAs shown. For example, according to a DHS official, in fiscal year 2008, the Ready Campaign had:

<sup>15</sup> GAO-03-143.

<sup>16</sup> GAO/GGD-96-118.

<sup>17</sup> We interviewed State officials in four of the five States we visited—California, Florida, Oklahoma, and Texas. We did not interview State officials in Nevada. Our Nevada site visit interviews were related to observing exercises with CERT participation.

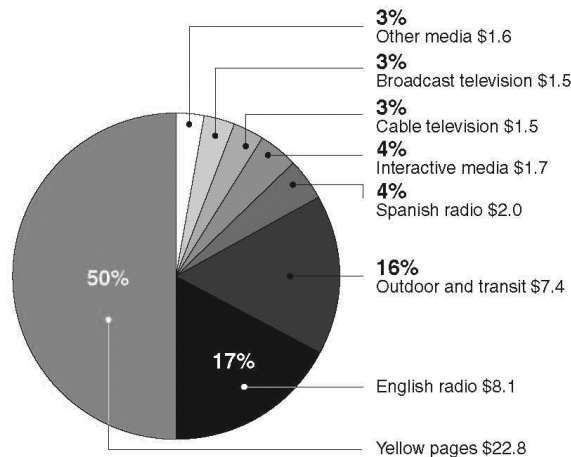
- more than 99 million “hits” on its website;
- more than 12 million pieces of Ready Campaign literature requested or downloaded; and,
- 43,660 calls to the toll-free call numbers.

The Ready Campaign relies on these measures because it faces two different challenges determining whether its efforts are influencing individuals to be more prepared. First, the Ready Campaign is not positioned to control the when or where its preparedness message is viewed. Second, the Ready Campaign is not positioned to measure whether its message is changing the behavior of individuals.

With regard to the Ready Campaign’s ability to control the distribution of its message, our prior work has shown that agencies whose programs rely on others to deliver services face challenges in targeting and measuring results in meeting ultimate goals, and when this occurs, agencies can use intermediate measures to gauge program activities.<sup>18</sup> However, according to FEMA’s Acting Director for the Ready Campaign, funds are not available for the Ready Campaign to purchase radio and television time to air its PSAs; rather, the Ready Campaign relies on donations of various sources of media. As a result, the Ready Campaign does not control what, when, or where Ready Campaign materials are placed when the media is donated. For example, what PSA is shown and the slots (e.g., a specific channel at a specific time) that are donated by television, radio, and other media companies are not under the Ready Campaign’s control, and these are not always prime viewing or listening spots. Based on Ad Council data, the Ready Campaign’s PSAs in 2008 were aired about 5 percent or less of the time by English and Spanish television stations during prime time (8:00 pm to 10:59 p.m.), and about 25 percent of the PSAs were aired from 1:00 a.m. to 4:00 a.m. Similarly, about 47 percent of English radio and about 27 percent of Spanish radio spots were aired from midnight to 6:00 a.m. FEMA officials said that with the release of its September 2009 PSAs, they expect increased placement during hours where there are more viewers and listeners.

Just as the Ready Campaign has no control over the time PSAs are aired, it does not control the type of media (e.g., radio and television) donated. Based on Ad Council data on the dollar value of media donated to show Ready Campaign materials (the value of the donated media is generally based on what it would cost the Ready Campaign if the media space were purchased), much of the value from donated media is based on space donated in the yellow pages. Figure 1 shows the value of various types of media donated to the Ready Campaign to distribute its message during 2008.

Figure 1: Value of Media Donated in 2008 to Distribute Ready Campaign Message (in Millions of Dollars)



Source: GAO analysis of Ad Council data.

<sup>18</sup> GAO/GGD/AIMD-99-69.

The Ready Campaign also faces a challenge determining the extent to which it contributes to individuals taking action to become more prepared—the program’s goal. Measuring the Ready Campaign’s progress toward its goal is problematic because it can be difficult to isolate the specific effect of exposure to Ready Campaign materials on an individual’s level of emergency preparedness. Research indicates that there may be a number of factors that are involved in an individual taking action to become prepared, such as his or her beliefs as to vulnerability to disaster, geographic location, or income.<sup>19</sup> A basic question in establishing whether the Ready Campaign is changing behavior is, first, determining the extent to which the Ready Campaign’s message has been received by the general population. The Ad Council conducts an annual survey to determine public awareness of the Ready Campaign, among other things. For example, in the Ad Council’s 2008 survey:

- When asked if they had heard of a website called Ready.gov that provides information about steps to take to prepare in the event of a natural disaster or terrorist attack, 21 percent of those surveyed said that they were aware of the Ready.gov website.
- When asked a similar question about television, radio, and print PSAs, 37 percent of those surveyed said that they have seen or heard at least one Ready Campaign PSA.

Another factor is isolating the Ready Campaign’s message from other preparedness messages that individuals might have received. The Ad Council’s 2008 survey found that 30 percent of those surveyed identified the American Red Cross as the primary source of emergency preparedness information; 11 percent identified the Ad Council.

While the Ad Council survey may give a general indication as to the population’s familiarity with the Ready Campaign, it does not provide a measure of preparedness actions taken based on the Ready Campaign’s promotion, that is, a clear link from the program to achieving program goals. The Ad Council reported that those who were aware of Ready Campaign’s advertising were significantly more likely to say that they had taken steps to prepare for disaster, but acknowledged that the Ready Campaign could not claim full credit for the differences. Further, as the 2009 Citizen Corps survey showed, the degree to which individuals are prepared may be less than indicated because preparedness drops substantially when more detailed questions about supplies are asked.<sup>20</sup> We will continue to assess FEMA’s efforts to measure the performance of the Ready Campaign as part of our on-going work.

FEMA HAS NOT DEVELOPED A STRATEGY ENCOMPASSING HOW CITIZEN CORPS, ITS PARTNER PROGRAMS, AND THE READY CAMPAIGN ARE TO OPERATE WITHIN THE CONTEXT OF THE NATIONAL PREPAREDNESS SYSTEM

While DHS’s and FEMA’s strategic plans have incorporated efforts to promote community preparedness, FEMA has not developed a strategy encompassing how Citizen Corps, its partner programs, and the Ready Campaign are to operate within the context of the National preparedness system. An objective in DHS’s Strategic Plan for 2008–2013 to “Ensure Preparedness” envisions empowering Americans to take individual and community actions before and after disasters strike. Similarly, FEMA’s Strategic Plan for 2008–2013 envisions a strategy to “Lead the Nation’s efforts for greater personal and community responsibility for preparedness through public education and awareness, and community engagement and planning, including outreach to vulnerable populations.” FEMA’s Strategic Plan delegates to the agency’s components the responsibility for developing their own strategic plans, which are to include goals, objectives, and strategies. FEMA’s Strategic Plan states that the components’ strategic plans are to focus on identifying outcomes and measuring performance.

NPD has not clearly articulated goals for FEMA’s community preparedness programs or a strategy to show how Citizen Corps, its partner programs, and the Ready Campaign are to achieve those goals within the context of the National preparedness system. In our past work, we reported that desirable characteristics of an effective National strategy include articulating the strategy’s purpose and goals; followed by subordinate objectives and specific activities to achieve results; and defining organizational roles, responsibilities, and coordination, including a discussion

<sup>19</sup> FEMA, *Citizen Preparedness Review: A Review of Citizen Preparedness Research*, Fall 2007.

<sup>20</sup> Similarly, public knowledge of the Ready Campaign may be less than indicated, based on the 2007 Citizen Corps survey. For example, the 2007 survey asked respondents about familiarity with Federal preparedness programs and estimated that 16 percent of respondents had heard about Ready.gov. However when asked to describe the program, only 2 percent of respondents reported that they had a firm understanding of the program.

of resources needed to reach strategy goals.<sup>21</sup> In April 2009, we reported that NPD had not developed a strategic plan that defines program roles and responsibilities, integration and coordination processes, and goals and performance measures for its programs.<sup>22</sup> We reported that instead of a strategic plan, NPD officials stated that they used a draft annual operating plan and Post-Katrina Act provisions to guide NPD's efforts. The draft operating plan identifies NPD goals and NPD subcomponents responsible for carrying out segments of the operating plan, including eight objectives identified for the Division under NPD's goal to "enhance the preparedness of individuals, families, and special needs populations through awareness planning and training." NPD's objectives for meeting this goal do not describe desired outcomes.

For example, one of NPD's objectives for the Community Preparedness Division is to increase "the number of functions that CERTs will be able to perform effectively during emergency response," but the plan does not describe how many and what type of functions CERTs currently perform, what additional functions they could perform, and what it means to be effective.<sup>23</sup> NPD's draft operating plan also does not include other key elements of an effective National strategy, such as how it will measure progress in meeting its goals and objectives; the roles and responsibilities of those who will be implementing specific programs within the Community Preparedness Division, such as Citizen Corps or Fire Corps; or potential costs and types of resources and investments needed to meet goals and objectives needed to implement civilian preparedness programs.<sup>24</sup> As a result, NPD is unable to provide a picture of priorities or how adjustments might be made in view of resource constraints.

In our April 2009 report we recommended that NPD take a more strategic approach to implementing the National preparedness system to include the development of a strategic plan that contains such key elements as goals, objectives, and how progress in achieving them will be measured. DHS concurred with our recommendation and, in commenting on our report, stated that it reported making progress in this area and is continuing to work to fully implement the recommendation. NPD officials stated in September 2009 that DHS, FEMA, and NPD, in coordination with National security staff, were discussing Homeland Security Presidential Directive 8 (National Preparedness), including the development of a preparedness strategy and an implementation strategy.<sup>25</sup> They said that community and individual preparedness were key elements of those discussions. However, NPD officials did not state when the strategy will be completed; thus, it is not clear to what extent it will integrate Citizen Corps, its partner programs, and the Ready Campaign. NPD officials stated that work is under way on revising the target capabilities, which are to include specific outcomes, measures, and resources. NPD officials said that the draft for public comment is expected to be issued in fiscal year 2010.

The Ready Campaign is also working to enhance its strategic direction. According to the FEMA Director of External Affairs, the Ready Campaign's strategy is being revised to reflect the transition of the program from DHS's Office of Public Affairs to FEMA's Office of External Affairs, and the new FEMA Director's approach to preparedness. Program officials said that the Ready Campaign will have increased access to staff and resources and is to be guided by a FEMA-wide strategic plan for external communications. As of September 2009 the plan was still being developed and no date has been set for completion. We will continue to monitor this issue as well FEMA's effort to develop a strategy encompassing how Citizen Corps and its partner programs are to operate within the context of the National preparedness system.

Mr. Chairman, this completes my prepared statement. I would be happy to respond to any questions you or other Members of the subcommittee may have.

<sup>21</sup> GAO-04-408T and GAO-09-369.

<sup>22</sup> GAO-09-369.

<sup>23</sup> NPD's other objectives relate to enhancing preparedness capabilities, strengthening partnerships, conducting emergency preparedness research, integrating community preparedness into grant guidance, holding a National conference, ensuring local implementation of the NET Guard Pilot Program, and developing a National strategy to collaborate with law enforcement partners.

<sup>24</sup> GAO-09-369.

<sup>25</sup> Homeland Security Presidential Directive 8—National Preparedness (Dec. 17, 2003). In December 2003, the President issued guidance that called on the Secretary of Homeland Security to carry out and coordinate preparedness activities with public, private, and nonprofit organizations involved in such activities.

APPENDIX I.—HOMELAND SECURITY GRANT FUNDING FOR COMMUNITY  
PREPAREDNESS, 2004 THROUGH 2008

Department of Homeland Security support for local community preparedness activities is provided through homeland security grants, specifically the Citizen Corps grant program, but community preparedness activities are also eligible for support under other homeland security grants. Citizen Corps grants are awarded to States based on a formula of 0.75 percent of the total amount available to each State (including the District of Columbia and the Commonwealth of Puerto Rico) and 0.25 percent of the total amount available for each U.S. territory, with the balance of funding being distributed on a population basis.

For other DHS homeland security grants, a State prepares a request for funding, which can include support for the State's community preparedness efforts, as allowed under the guidance for a particular grant. For example, the 2009 Homeland Security Grant Guidance lists "Conducting public education and outreach campaigns, including promoting individual, family, and business emergency preparedness" as an allowable cost for State homeland security grants. Grant funding can be used to support Citizen Corps, Citizen Corps partner programs, or other State community preparedness priorities. The Federal Emergency Management Agency's (FEMA) grant reporting database does not categorize grants in a way that allows identification of the amount of funding going to a particular community preparedness program.

Table 1 summarizes the approximately \$269 million in DHS grants that were identified by grantees as supporting community preparedness projects from fiscal years 2004 through 2008. The amount is an approximation because of limitations in identifying grants for such projects. Our selection of projects for inclusion relied on grantees identifying their projects under one of three predefined project types that FEMA officials said are relevant for community preparedness or were projects funded with a Citizen Corps program grant. Not all grantees may have used these descriptions. We worked with grant officials to identify the most appropriate grant selection criteria.

TABLE 1: 2004–2008 HOMELAND SECURITY GRANTS FOR COMMUNITY PREPAREDNESS PROJECTS

Year	Citizen Corps	Urban Area Security Initiative (UASI) <sup>1</sup>	State Homeland Security	Emergency Management Performance Grant	Law Enforcement Terrorism Prevention Grant	Other Homeland Security Grants <sup>2</sup>	Total
2004	\$33,955,176	\$8,306,020	\$7,735,800	.....	\$1,093,911	.....	\$51,090,907
2005	13,485,705	8,687,292	11,775,517	\$595,825	248,988	\$414,329	35,207,655
2006	19,205,985	16,345,381	15,074,053	6,545,092	969,561	2,028,071	60,168,142
2007	14,549,998	23,608,893	15,754,809	1,026,336	6,705,907	4,895,079	66,541,022
2008	14,572,500	13,498,514	16,640,267	8,620,774	0	2,645,852	55,977,906
Total	95,769,364	70,446,099	66,980,446	16,788,026	9,018,367	9,983,331	268,985,634

Source: GAO analysis of FEMA grant reporting data for fiscal years 2004 through 2008.

Notes: Homeland Security grant projects included in this summary met at least one of the following four criteria: Indicated the project was to establish or enhance (1) citizen or volunteer initiatives; (2) citizen awareness of emergency preparedness, prevention, and response measures; (3) Citizen Corps councils; or (4) was supported by the Citizen Corps program grant. For years with a zero value, a particular grant may not have been part of the Homeland Security grant package (e.g., the Emergency Management Performance Grant was not part of the 2004 grants package, and the Law Enforcement Terrorism Prevention Grant in 2008 was not available for community preparedness purposes).

<sup>1</sup>Includes UASI and UASI transit and nonprofit grants. The UASI grant program provides Federal assistance to high-risk urban areas to: (1) Address unique planning, equipment, training, and exercise needs and (2) assist them in building an enhanced and sustainable capacity to prevent, prepare for, and respond to threats or acts of terrorism.

<sup>2</sup>Includes grants for transit security programs, Metropolitan Medical Response System, Intercity Passenger Rail Security, Interoperable Emergency Communications, Non-Profit Security, Regional Catastrophic Preparedness, and Buffer Zone Protection. The Buffer Zone Protection Program supports the implementation of preventive and protective measures outside the perimeter of selected critical infrastructure and key resource (CI/KR) sites throughout the United States. The program provides grant funding to jurisdictions to purchase equipment to extend the zone of protection around CI/KR facilities, expand preparedness capabilities, and enhance the security of surrounding communities.

Mr. CUELLAR. Mr. Jenkins, again, thank you again for your testimony.

At this time, Ms. Smith, you are recognized for 5 minutes.

**STATEMENT OF WENDY L. SMITH, ASSISTANT CITY MANAGER,  
MCALLEN, TEXAS**

Ms. SMITH. Good morning, Mr. Chairman, and Members of the committee. It is my pleasure to speak to you today about community preparedness, particularly with regard to the Citizen Corps program and its affiliates.

My name is Wendy Smith, and I am an assistant city manager and an assistant emergency management coordinator in McAllen, Texas, a border community of 130,000, located in a three-county region of 1.2 million residents.

McAllen's CERT team is one of seven Citizen Corps teams in the region. Annually, we train almost 50 new volunteers in three classes. The objective of the Citizen Corps program is to have better trained—and therefore, safer—volunteers to assist their neighbors, co-workers and churches in case of emergency.

During a disaster, well-meaning but often untrained good Samaritans turn out to help. All too frequently, they hinder the efforts of our first responders. Emergency services may be diverted to provide impromptu training for these spontaneous volunteers. This scenario is the reason that programs such as Citizen Corps are vitally important community preparedness tools.

We know not everyone will be ready, so regionally we strive to have a total of 500 trained CERT volunteers to deploy wherever they are needed at any given time. Right now, we have approximately 165, many of whom assisted in the EOC during Hurricane Dolly in 2008.

In our jurisdiction, we have waiting lists for CERT participants and a shortage of trainers from the various local governments. All of the participating local governments provide in-kind the cost of trainers, facilities, equipment, and administrative coordination of the classes. Seven Citizen Corps teams and their affiliates in our region are supported by a Federal grant of less than \$20,000.

I would like to ask for more funding for these programs, but I know that is not feasible at this time. Instead, I submit this recommended change utilizing existing funding. Consider removing categorical funding restrictions within the grant for promotional items, equipment, and training. For example, McAllen no longer has a need to promote the CERT team since there is a waiting list of volunteers.

However, 15 percent of the grant is allocated to promotional and educational materials. That funding is better utilized for equipment and training, such as CPR classes not currently offered, and is enough to allow the city to train an additional team. This added flexibility helps us move toward our common goal of training and, more importantly, retaining volunteers.

The first 72 hours of a disaster is the most critical time, but it is also the time that emergency responders are overwhelmed with calls for service. At no other time is it more important to have your citizens trained to help themselves and each other.

While these volunteers are not intended to replace first responders, they provide immediate assistance when traditional emergency services cannot meet the demand. Your support of the Citizen Corps program is greatly appreciated by local governments such as ours that continually work to prepare our residents to help themselves and each other during disasters.

Thank you for your time and attention today. I am happy to answer any questions.

[The statement of Ms. Smith follows:]

PREPARED STATEMENT OF WENDY L. SMITH

OCTOBER 1, 2009

Good morning Mr. Chairman and Members of the committee. It is my pleasure to speak to you today about community preparedness, particularly with regard to the Citizen Corps program and its affiliates.

My name is Wendy L. Smith, and I serve as an Assistant City Manager and Assistant Emergency Management Coordinator in McAllen, Texas, a border community of 130,000, located in a Council of Governments service area of 1.2 million residents.

McAllen has an active CERT team which is one of seven Citizen Corps affiliate programs in our three county region. Annually we train almost 50 new volunteers in three classes. The objective of the Citizen Corps program is to have better trained—and therefore safer—volunteers to assist their neighbors, co-workers, and churches in case of emergency. We are fortunate in our community, as in yours, to have individuals who are willing to help those who cannot help themselves during natural or man-made disasters. Whether it be flooding, wildfires, tornadoes, or earthquakes, we are lucky to have citizen volunteers who heed the call to service. Though well-intentioned, these volunteers are frequently untrained, and therefore may actually hinder the efforts of our first responders. Emergency services may be diverted to provide impromptu training for these spontaneous volunteers. This scenario is the reason that programs such as Citizen Corps are vitally important community preparedness tools.

The Citizen Corps website states that the CERT program seeks to double the number of participants over the next 2 years, with over 400,000 individuals completing the training. FEMA should be commended for this ambitious goal. Regionally we strive to have a total of 500 trained CERT volunteers to deploy wherever they are needed at any given time. In our jurisdiction we have waiting lists for CERT participants and a shortage of trainers from the various local governments. All of the participating local governments provide in-kind the cost of trainers, facilities, equipment, and administrative coordination of the classes. Seven Citizen Corps teams and their affiliates in our region are supported by a Federal grant of less than \$20,000.

While I would like to come here today asking for more funding for Citizen Corps programs across the Nation, as a Government employee I realize that resources are finite. As such, I submit this recommended change utilizing existing funding. Remove categorical funding restrictions within the grant (for promotional items, equipment, and training). For example, McAllen no longer has a need to promote the CERT team, as there is a waiting list of volunteers. However, 15% of the grant is allocated to promotional and educational materials. That funding is better utilized for equipment and training, such as CPR classes not currently offered, and is enough to allow the city to train an additional team. This added flexibility helps us move toward our common goal of training and retaining volunteers.

Citizen Corps cultivates and sustains the spirit of volunteerism that has long been a source of pride in our communities. While these volunteers are not intended to replace first responders, they provide immediate assistance when traditional emergency services cannot meet the demand. Your support of the Citizen Corps program is greatly appreciated by local governments such as ours that continually work to prepare our residents to help themselves and each other during disasters. Thank you for your time and attention today. I am happy to answer any questions.

Mr. CUELLAR. Thank you, Ms. Smith, for your testimony.  
At this time, we will recognize Ms. DeFrancis.



**STATEMENT OF SUZANNE C. DE FRANCIS, CHIEF PUBLIC  
AFFAIRS OFFICER, AMERICAN RED CROSS**

Ms. DE FRANCIS. Good morning, Chairman Cuellar, and Ranking Member Rogers, and distinguished Members of the committee.

Thank you for inviting me here today on behalf of the American Red Cross and for drawing the public's attention to this very important topic of preparedness. As Mr. Rogers said, incidents in recent weeks—from the arrest of suspected terrorists in the United States, deadly flooding in Georgia and other southeastern States, earthquakes, tsunamis, typhoons in the Pacific, school districts closed from H1N1—reminds that disasters and other emergencies are all too real and all of us must be prepared and get our families, neighbors, communities, and country prepared.

At the American Red Cross, our mission has been to help prevent, prepare for, and respond to disasters, and we have been doing it for more than a century. But as important as our work is in responding after disaster strikes, nothing is as important as what we do before a disaster strikes. The old saying holds true: An ounce of prevention is worth a pound of cure.

Research shows that a dollar spent on prevention can save about \$4 in response. That is a significant return on investment and one our Nation should not fail to make. Preparedness saves lives and livelihoods.

We also have an obligation to promote preparedness not just to those who can afford it, but to those at-risk populations—the elderly, disabled, and poor—who are the most vulnerable.

A Red Cross survey this summer showed that while 89 percent of the public agree it is important to be prepared, far fewer are actually taking the steps necessary. As Mr. Cuellar noted, they may be taking some of the steps, but they are not really what we would call prepared. The level of public preparedness remains far too low, and at the Red Cross we are not satisfied.

People mostly don't prepare because they don't think it will happen to them. Interestingly, though, our polls show that more than 50 percent of people have actually had loss of power and utilities, had to evacuate, had to offer first aid to someone near them, so these everyday emergencies really do happen to people.

People prepare, though, when they think something will happen to them. That is why we are seeing a relatively high level of preparedness around H1N1. Overwhelming majorities report they are taking steps to cover their cough and wash their hands, and 62 percent plan on being vaccinated.

So at the Red Cross, we are continually working to find new and better strategies to reach the public. Each day, an estimated 50,000 people receive Red Cross training classes and preparedness education presentations. One I would like to highlight is in New Orleans, where we started what we called a pillowcase project. Children were given pillowcases which they could decorate and stuff with the favorite things they would like to take with them if they needed to evacuate, in the sense of an emergency.

We know this project works because when Hurricane Gustav headed up the same area hit by Katrina, kids showed up in our shelters, and they had their pillowcases, and they were filled with supplies, so that is progress.

Another effective way to reach people is through the workplace. Studies have shown that 1 of every 4 small businesses that are forced to close because of a disaster never reopen. That is why the American Red Cross developed a web-based, self-assessment tool that makes preparedness easy for businesses of all sizes. It is called the Ready Rating program, and membership is free.

Businesses score themselves annually and maintain their membership by developing and implementing emergency response plans, giving preparedness information to their employees, and improving their overall score just a little bit every year.

Ready Rating was the brainchild of business owners in St. Louis and received backing from Anheuser-Busch, and now we want to expand it to 16 more cities. We thank Congressman Cao of this committee for signing on as a member in southeast Louisiana.

As I mentioned, the Red Cross is very focused on educating the public about H1N1. We have developed and distributed countless information sheets, some of which are at the table here today. Our Philadelphia chapter distributed over 285,000 handouts at 570 Wawa stores. We use social media to post messages on YouTube, Facebook, and Twitter. Red Cross youth are conducting outreach at schools and colleges.

In addition to educating the public, during a flu outbreak, the American Red Cross remains committed to its core services of maintaining a safe blood supply and providing disaster relief to those in need. Our goal is to build a culture of preparedness throughout our Nation, but no single organization can do it alone.

This week, Secretary Janet Napolitano came to the American Red Cross to deliver an important speech on preparedness. She summoned all of us to a grassroots effort to better prepare our communities, and the American Red Cross heartily applauds her for this and supports her call to action.

We are also grateful for this committee. We commend you, Mr. Cuellar, for introducing H.R. 1, the Citizen and Community Preparedness Act, and we will work with you to pass that. We are pleased so many Members of the committee co-sponsored the resolution on National Preparedness Month, introduced by Representative Yvette Clarke.

Finally, the Red Cross is also partnering with many faith-based and community groups to promote preparedness. By partnering with people like the more than 25,000 members of the West Angeles Church of God in Christ in Los Angeles, we can multiply our efforts and really build that grassroots movement Secretary Napolitano envisions.

Working together as a Nation, we are confident we can build a society in which every individual, every family, every business, every school, every faith-based and civic organization is prepared.

Thank you. I look forward to your questions.

[The statement of Ms. DeFrancis follows:]

PREPARED STATEMENT OF SUZANNE C. DEFRANCIS

OCTOBER 1, 2009

Good Morning Chairman Cuellar, Ranking Member Rogers and distinguished Members of the subcommittee. My name is Suzy DeFrancis, and I am the chief public affairs officer of the American Red Cross. Today's hearing entitled, "State of Cit-

izen and Community Preparedness” is a very important issue for the Red Cross and the Nation. We commend the Subcommittee on Emergency, Communications, Preparedness and Response for drawing the public’s attention to it at this hearing.

The timing of your hearing could not be more relevant. In addition to the fact that September is National Preparedness Month, we have unfortunately been reminded in the last 2 weeks of why preparedness matters. We have seen the arrest in the United States of a suspect in what is being called the most serious terrorist plot since 9/11. We have seen deadly flooding in Georgia and other Southeastern States, and earthquakes and tsunamis in the Pacific. We have seen school districts closed, one in Huntsville, Texas, athletic events cancelled, and sadly more deaths from the H1N1 virus.

With these incidents as a backdrop, we are reminded that the threat of disasters and other emergencies is very real today and requires us all to remain diligent in our efforts to be prepared and to get our families, neighbors, communities, and country prepared.

#### VALUE OF PREPAREDNESS

At the American Red Cross, our mission is to help people prevent, prepare for, and respond to disasters and other emergencies. We have been doing this work for more than a century. As you know, we are chartered by the Congress to perform our mission, and we have specific responsibilities under ESF 6 of the National Response Framework. We shelter, feed, and counsel victims of disasters at home and abroad; collect and distribute nearly half of the Nation’s blood supply; teach preparedness and lifesaving skills; and we support military members and families through emergency communications. So whether it is a hurricane or heart attack, a call for blood or a call for help, the Red Cross is there around the corner, around the Nation, and around the world.

Each year, the American Red Cross responds to more than 70,000 disasters in communities Nation-wide from a single family house or apartment fire, to a large-scale disaster like a hurricane. But whether it is a small- or large-scale disaster, every disaster is an intensely personal tragedy for the people involved. That’s why we want everyone to make a personal commitment to preparedness.

Being prepared can help you protect your family and loved ones in a disaster. It can help you respond effectively until help arrives. It can save lives. It can also save livelihoods by helping individuals and businesses get back on their feet faster. At the American Red Cross, we do important work in providing relief after a disaster strikes. But nothing is as important as what we do before disaster strikes. The old saying is right: An ounce of prevention is worth a pound of cure.

The investments we make in preparedness today have the potential to save countless lives and resources in the future. A study done in 2005 by the Multi-hazard Mitigation Council found: “On average, every dollar spent by FEMA on hazard mitigation (actions to reduce disaster losses) provides the Nation with about \$4 in future benefits.” So if \$1 spent on prevention can save \$4 in response, that is a significant return on investment and one our Nation should not fail to make.

Moreover, research also shows that those with the least suffer the most when disaster strikes. Most people who come to Red Cross shelters are people who have nowhere else to go and no money to pay for a motel room or other shelter. So we have an obligation as a society to make sure that we are promoting preparedness not just to those who can afford it, but to those at-risk populations—the elderly, disabled, and poor—who are most vulnerable.

#### POLLING ON PREPAREDNESS

Even though 89 percent of the public believe it is important to be prepared—far fewer are actually taking the steps necessary to prepare, according to a Red Cross survey conducted in late July and early August. In many cases, they don’t know what to do or they think it takes too much time.

That’s why the Red Cross has worked with our Federal partners at FEMA and DHS to send one consistent message about the 3 simple steps you can take to keep your loved ones safer: Get a Kit, Make a Plan, and Be Informed.

Our recent survey showed 80 percent of Americans had taken at least one key preparedness step, for example:

- 47% have assembled an emergency kit;
- 45% have chosen an out-of-town contact;
- 24% have practiced their emergency plan.

But only 12 percent of Americans are reasonably prepared for a disaster, as recommended by the Red Cross.

So clearly the level of public preparedness remains very low, and we are not satisfied with the progress that has been made to date. We need to continue to find new and better strategies to reach the public with this message. We also need to have some fun. We launched a “Do More than Cross Your Fingers” campaign this year to promote preparedness with Jamie Lee Curtis as our celebrity spokesperson. She sent out an email about how she includes chocolate and dental floss in her preparedness kit—and it was one of the most-opened emails we have sent out.

One perception we need to change is that people think preparedness only applies to large-scale disasters and they don’t think those will happen to them, or if they do, they think Government will bail them out. But the fact is that disruptive emergencies strike far more often than people realize.

For example, our Red Cross survey showed that more than 50 percent of Americans have experienced at least one of the following emergencies:

- Losing Utilities for at least three days;
- Evacuating their home;
- Providing first aid to others.

These are the “everyday emergencies” that everyone should prepare for.

We also know that people prepare to the degree they think a threat is imminent. That’s why we are seeing a relatively high degree of preparedness about the H1N1 flu.

A recent poll conducted by the American Red Cross on H1N1 flu found an overwhelming majority of the public were taking steps against the virus:

- 78% are taking or planning to take extra measures to cover their coughs and sneezes with a tissue;
- 76% are taking or planning to take extra measures to wash their hands more carefully.

The media took notice of the fact that women are more likely to take protective actions, with 84 percent making an extra effort to cover coughs and sneezes (versus 71 percent for men) and 81 percent washing their hands more carefully and more often (compared to 71 percent for men).

The survey also found that 62 percent of those surveyed plan on being vaccinated against the new flu virus and nearly half of those surveyed (46 percent) plan on assembling a 2-week supply of food, water, and medicine in the event they or someone in their family becomes sick and needs to stay home for extended periods of time.

#### RED CROSS ACTIVITIES TO PROMOTE PREPAREDNESS

At the Red Cross, we are continually working on new and better ways to promote preparedness.

Each day, an estimated 50,000 people receive Red Cross training classes and preparedness education presentations. Our website is full of links to preparedness information, and people can take many of these courses on-line. Numerous preparedness materials are also available in multiple languages aimed at different segments of the population.

For example, we have found that school children are very good at getting their parents to prepare, and we reach more than 1 million school children every year with our Masters of Disaster curriculum. We also have a Mother’s Guide to Preparedness. You might be interested to know that according to some research, the most trusted and effective messengers on preparedness—even among adults—are their mothers.

The bulk of Red Cross programs and services are delivered through a vibrant network of 700 chapters located across the country. Chapters are able to tailor National programs to meet the diverse needs of their specific communities. They partner in their communities with local businesses, schools, emergency management, public health departments, and Citizen Corps Councils.

I would like to highlight how local Red Cross chapters, many in your districts, are working with partners in their communities to become better prepared.

- The city of Laredo, Texas is a hub of preparedness. The National Red Cross uses Laredo to pre-position support for hurricane evacuation and response, and the Laredo Red Cross branch and San Antonio Chapter work with the city to support the Hurricane Hub Shelters as part of the State Evacuation Plan.
- In Alabama, the Red Cross has worked with the Governor’s Office of Faith-based Initiatives to use community colleges as shelters when evacuation of the Gulf Coast is mandated, and we trained staff at the colleges in shelter operations. Masters of Disaster CDs, purchased with a grant from ALFA Insurance Co., have been distributed to every elementary school in a seven-county area over a 5-year period.

- In Mississippi, we have more than 1,600 disaster-trained volunteers prepared to respond. Red Cross chapters across the State held shelter-management training sessions this year with the African Methodist Episcopal Church (AME) and have also worked with NAACP and HOPE Worldwide to train more volunteers. As a result, while there is still room for growth, diversity across the Mississippi volunteer base is rising. In addition, the Red Cross prepares by pre-positioning supplies in Mississippi, including 11 preloaded kitchen support trailers, a 30,000-square-foot headquarters/warehouse, and a fixed site Disaster Response Communications Network to enable connectivity between the National Red Cross Disaster Operations Center and local service delivery sites.
- In Louisiana, every one of the 4,000 families who worked with Red Cross case-workers to plan their recovery from Katrina also developed a family evacuation and preparedness plan. Our “pillowcase project,” which started in New Orleans, gives children pillowcases with evacuation checklists that they can fill with everything from stuffed animals to a favorite book. Hundreds of kids in grades K–8 already have them and more will get the pillowcases and training this year. We know these projects have been a success because when Hurricane Gustav headed up the same area hit by Katrina, kids showed up in shelters with pillowcases and more people reported knowing where they needed to go and how to get there—that’s progress!

In addition to these on-going preparedness efforts, I would like to focus today on two new initiatives: A program we just launched called Ready Rating, and our efforts to prepare the public for the H1N1 virus.

*Partnering with Businesses: Ready Rating Program*

One of the key recommendations from the 9/11 Commission was a call for improved private sector preparedness for a disaster, with creation of standards that would enable companies to voluntarily improve their readiness.

Studies have shown that one of every four small businesses that are forced to close because of a disaster never re-opens. But while 94 percent of small business owners told the Red Cross in a survey they worry about the potential for a disaster to disrupt their operations, many businesses do not know exactly what they should do, or worry they cannot afford the time or resources to take the actions necessary.

That’s why the American Red Cross has developed a first-of-its-kind program, called Ready Rating, which costs nothing but enables companies, schools, and organizations to self-assess their readiness for emergencies or disasters of all kinds and take steps to become better prepared. It makes preparedness simple and doable.

The Red Cross Ready Rating program offers free memberships to businesses and schools, which can use an on-line checklist that measures their current preparedness efforts. Ready Rating members score themselves annually with the checklist, and they maintain their membership by developing and implementing an emergency response plan, giving preparedness information to employees and students, and improving their overall score each year.

From a company’s perspective, being prepared for emergencies is good business. Being prepared will enhance productivity by reducing the amount of time that employees are unable to work and will enable companies to minimize losses. And there’s no question that better preparedness by schools and businesses helps the entire community respond and recover.

Ready Rating first began as a project of the American Red Cross of Greater St. Louis, where it now has nearly 150 members, including major businesses, schools, and organizations of all sizes. Anheuser-Busch is the founding sponsor and first member of the Ready Rating program in St. Louis, and is supporting the expansion of the program to 16 more cities.

The Red Cross is rolling out Ready Rating this month in New Orleans, Washington, DC, New York, Los Angeles, San Francisco, Dallas, Raleigh, NC, and Chicago, with eight additional cities to be added early next year. We’d like to commend and thank Congressman Cao for signing on as a charter member of the Ready Rating program, helping to underscore the importance of preparedness in Southeast Louisiana.

Meetings about this new readiness program are also being held with groups such as the U.S. Chamber of Commerce, Business Roundtable, and the National Federation of Independent Businesses.

Al Martinez-Fonts, a Fellow at the U.S. Chamber of Commerce and the former Assistant Secretary for the Private Sector Office of DHS has praised the program saying: “Businesses have been looking for a program that gives them an easy, achievable path to preparedness, and Ready Rating gives companies of all sizes the roadmap to readiness.”

As mentioned earlier, this is also a program that schools have embraced, and the Department of Education has commended the Red Cross for launching it and recognizes the important benefits it provides to schools.

*Preparing for H1N1*

Today the American Red Cross' current focus is preparedness for the H1N1 virus. As you know, this is a potentially serious health issue for families, schools, and businesses across the country and the world and serves as a reminder of the importance of preparedness and contingency planning. The Federal Government estimates that as many as 40 percent of the country's population could become ill with the flu this fall and winter.

The American Red Cross plays an important role in educating the public on H1N1 preparedness.

We have developed an extensive section on our website with fact sheets, widgets, videos, and games for children that urge the public to follow basic public health steps to help prevent the spread of the flu such as frequent hand washing, covering your mouth or nose when you cough or sneeze either with a tissue or with your elbow; minimizing contact with people who are sick as much as possible; and getting a flu shot for both seasonal flu and H1N1. We also have information on how to care for a loved one at home.

We have developed and distributed countless number of tear sheets that can be posted on bulletin boards in schools or offices. Our Philadelphia chapter distributed over 285,000 handouts at 570 Wawa stores.

We are using the social media space to post videos and messages about H1N1 on YouTube, Facebook, and Twitter. Our Red Cross clubs are conducting outreach at schools and colleges.

And we are holding public meetings with other community partners to educate people about the virus and how they can stay healthy. Red Cross chapters stand ready in local communities to provide appropriate support and meet community needs.

In addition to educating the public, during a flu outbreak the Red Cross remains committed to its core services of maintaining a safe blood supply and providing disaster relief to those in need. The Red Cross has developed pandemic flu plans for sheltering operations, enabling us to continue to provide vital shelter to people in need while also safeguarding the health of shelter residents and workers.

CREATING A CULTURE OF PREPAREDNESS

The goal is to build a "culture of preparedness" throughout our Nation that helps families communities become safer and more prepared when disasters strike. No single organization, whether it is the Government or the American Red Cross, can do this alone, but working together as a Nation, we can.

*Department of Homeland Security*

We are grateful for the close working relationship the Red Cross has developed with DHS Secretary Janet Napolitano and FEMA Administrator Craig Fugate. Our President and CEO Gail McGovern has been side-by-side Secretary Napolitano at a number of public events promoting preparedness, and we have worked with Administrator Fugate many times before when he was Director of the Florida Division of Emergency Management.

As recently as this week, the Secretary came to the American Red Cross to deliver a major speech on Readiness and Resilience. The Secretary shared her belief that preparedness is a shared responsibility and summoned all of us to a grassroots effort to better prepare our communities for any kind of emergency. The American Red Cross appreciates her leadership on this issue and heartily backs her call to action. We would also note that not only does Secretary Napolitano preach preparedness, she practices it.

Just last month she invited the Red Cross to train her and her entire senior staff in CPR/AED.

*United States Congress*

We are also grateful for the United States Congress, which through the bipartisan leadership of this subcommittee and the full committee has also enhanced this culture of preparedness. Again, we want to thank you for holding this important hearing and would like to commend you, Mr. Cuellar, for introducing H.R. 5890 in the 110th Congress. This bipartisan bill, "the Citizen and Community Preparedness Act of 2008," would establish a community preparedness division within the Department of Homeland Security as well as create a Citizen Corps Program, in which the Secretary of Homeland Security would convene a meeting to bring key Government offi-

cial and stakeholders together to coordinate efforts around preparedness, planning, mitigation, response, and recovery for acts of terrorism and natural disasters. The American Red Cross supported this measure last Congress and, should the bill be reintroduced in the 111th Congress, we look forward to working with Representative Cuellar and Rogers and all the Members of this subcommittee to pass this important bill.

*Partners in Preparedness*

As we have learned in recent years, there can be disasters of such magnitude that American Red Cross systems may not be adequate to meet the needs. Therefore, additional community partners must be developed to help with those challenges.

At the Red Cross, we work with many nonprofit partners who have expertise in disaster response, such as the Salvation Army, Catholic Charities, LDS Church, and the Southern Baptist Convention. But we are also reaching out to other organizations who have not been traditionally involved in disasters. We work with them to develop and train volunteers, identify and staff shelters, and expand our ability to collect blood, especially in diverse communities.

Current examples of these key relationships include:

- A partnership with West Angeles Church of God in Christ, Los Angeles, California (more than 25,000 members);
- A partnership with First African Methodist Church, Los Angeles, California (more than 19,000 members);
- A partnership with Calvary Chapel Church, Chino, California (more than 10,000 members);
- A developing partnership with the Houston, Texas faith community spearheaded by Congresswoman Sheila Jackson Lee (12 key faith leaders from various denominations).

By reaching out to new groups, we can multiply the number of people who are prepared and will encourage others to be prepared. This is how we build the type of grassroots movement Secretary Napolitano envisions.

CONCLUSION

Chairman Cuellar, Ranking Member Rogers and distinguished Members of the subcommittee, thank you for allowing the American Red Cross to share with you our vision and showcase some of our outreach efforts as we continue to work toward fostering a culture of preparedness in our Nation. We look forward to the opportunity of further partnering with the United States Congress, other branches of government, the faith-based community and other civic groups, non-profits and for-profits in carrying out this life saving preparedness message.

Mr. CUELLAR. Thank you very much, Ms. DeFrancis. Appreciate the work that the Red Cross does. Thank you.

I would like to thank all the witnesses. I would like to remind each Member that he or she will have 5 minutes to question the panel.

I also would like to recognize the Chairman of the full committee, Mr. Thompson. Thank you, Mr. Thompson, for being here, Chairman Thompson.

At this time, I will recognize myself for 5 minutes for questions.

You know, yesterday, I was talking to a gentleman named John D. Solomon. Actually, he is in the back over there. We went over several things. In fact the handout that I got into the record, I would ask each of you all to get a copy before you leave, because he talks about very insightful different things that I think we ought to be doing for this initiative that we are trying to complete.

But one of the things that got my attention was when he asked, what does it mean to be prepared? Because we are all saying we have got to get citizens prepared, we have got to get communities prepared.

Mr. Manning, just real quickly. I am going to go down the line just real quickly. What does it mean to you, being prepared?

Mr. MANNING. Mr. Chairman, that is a great point. I see the kind of two sides to that answer. One fundamentally for the individual, for the family is that they have taken those steps to prevent an event from becoming a disaster for that family, something as simple as having discussed where they can meet if they get separated, simple, simple things that they can do that may even be more simple and before gathering a kit and supplies, things so that they understand what to do, they have thought about emergencies before they happen.

Then from the community preparedness side, the other side is gathering communities together to help each other and help their neighbors, things where we encourage and provide the tools necessary to community organizations to help their communities before Government can get in to provide that extra assistance.

Mr. CUELLAR. Okay.

Mr. Jenkins, what do you think the minimal level of preparedness should be?

Mr. JENKINS. Well, I agree with what Mr. Manning said. I mean, basically, absolutely knowing what risk that your area faces is not the same across the country, so what are the specific risks that I might face and what are the potential consequences for my family of that? Therefore, what are the steps that I can take in urging them to reduce the impact on my family of that? It is going to vary across the country though as to what that is.

I also agree with Mr. Cuellar—you know, doing things to help your neighbors. I live in a co-op of 100 units, but we have a number of elderly people that live in my building. So we have a—everybody in the building has been assigned basically a buddy to one of those people to help them. Some of them have limited mobility in the case of a disaster and—

Mr. CUELLAR. Okay.

Ms. Smith.

Ms. SMITH. Of course, we focus on individual readiness, as was mentioned by the previous two witnesses. In addition, we look at our regional assets. Now, whether it be equipment or talents—for instance, McAllen has a hazardous materials team that is available regionally in the event that we are needed.

We also have a catalogue of all of our—equipment that we can use and deploy regionally. Then we get together regularly to train to do preparedness events, including a fair that we call Dare to Prepare that was really geared towards lower socioeconomic levels to make sure that we are reaching across all parts of our population.

Mr. CUELLAR. Okay.

Ms. DeFrancis.

Ms. DEFRANCIS. Thank you, Mr. Cuellar.

We at the Red Cross go by three simple messages, and actually we adapted them from FEMA's, because we felt it was important to have coordinated messaging to the public so that everybody is on the same page saying the same thing. Basically, we say you are prepared when you get a kid, you make a plan, and you stay informed.

Those three actions we find are important to continue to talk about with the public because it takes a long time to penetrate. We



notice during disasters that we have a spike in on-line sales at our store for preparedness kits, so we know people are beginning to get that message, but it is important that we reinforce it again and again, and we need it to be simple.

The other thing I would say is, yes, as we have talked about in communities—and certainly, the Red Cross is a part of forums on communities' preparedness—but we need to somehow break the attitude that disasters and emergencies won't happen to me and that, you know, if they do, someone else will take care of it. I think we need to work really hard to be able—to break that attitude if we are going to be a prepared Nation.

Mr. CUELLAR. Okay. I guess, you know, before you do anything, you have got to have a definition of the key word here. It is preparedness. That is important. Knowing where we need to go is—you know, what—I mean, what we are trying to do is important.

Mr. Manning, what is—I know you are new in this, but what is your vision of what we ought to do to have citizens, communities, prepare? Where is FEMA going from here?

Mr. MANNING. Mr. Chairman, as you no doubt know and have indicated in your opening remarks that community and individual preparedness is a paramount importance to the administration, to Secretary Napolitano, Administrator Fugate, and I.

Where we bring the agency forward on individual preparedness is, we have been taking really a whole-of-agency approach that it is not just a community preparedness division within the National Preparedness Directorate. It is not an organizational chart solution to the problem. It is something—it is bringing the entire resources of the agency to bear on this problem.

I see that there are two different ways we can approach this. What I hope to bring to my efforts is both focusing on the enhancement of individual resilience, providing the tools and information necessary to the individual and the family, to take those steps that will help prepare them, that will help them withstand severe events, be it something as simple as a power outage or as severe as a tsunami or an earthquake or a flood.

At the same time, we continue our engagement with Citizen Corps with community leaders, with civic leaders throughout the country to bring together the partnership of State, local, and Federal Government with the community and civic organizations to reach the individuals, to identify those that are willing and able to volunteer their time to help their communities, give them an avenue to do so, and bring those resources to bear, amplify the efforts of Government in helping to protect and respond to the needs of their neighbors.

Mr. CUELLAR. Let me—my time is up, but let me just ask you this. Do you all have a strategic plan? Have you seen it?

Mr. MANNING. Mr. Chairman, the National Preparedness Directorate has an operating plan which we use as a strategic plan. It is not titled as such. However, in recognition of concerns raised by the GAO in a previous study, we are reformulating that as a strategic plan for a preparedness system and will be bringing the community preparedness initiatives inside that strategic plan going forward.

Mr. CUELLAR. Yes, my—I am a big believer in performance measures. I would like to see for you all to develop a—the vision, the goals, the objectives, and what you are going to measure, so we know if we are measuring success or failure. How long would it take you to get that done?

Mr. MANNING. Mr. Chairman, I don't know that I can give a real answer to that question at this time.

Mr. CUELLAR. Will you work with the committee? I would ask you to work with Ms. Smith, DeFrancis, Mr. Jenkins, and ask you to put some—I know you have got to go through your channels there, but I would ask you to work with a committee, also, because, again, if an agency or a department doesn't have a strategic plan, it is like a boat not knowing if we are steering to the left or right.

I would like for you to work with the committee and, I mean, closely to see the strategic plan, the vision, the goals, the objectives, the performance measures, and what we are going to measure on that. I don't want to measure activity. I want to measure results. That is very important, because anybody—usually the biggest mistake when people measure—put—measures, they measure activity. I am more interested in measuring for results on that, okay?

Mr. MANNING. Yes, sir.

Mr. CUELLAR. I would like for you to make sure you all share cards and work together and get some ideas from some of our partners here.

At this time, I would like to recognize the Ranking Member for 5 minutes for questions.

Mr. ROGERS. Thank you, Mr. Chairman.

I want to follow up on Mr. Manning's opening statement. When you made reference to FEMA's outreach to stakeholders, could you elaborate more on that outreach?

Mr. MANNING. Yes, sir. Administrator Fugate and I both came from having been State directors of emergency management and understand implicitly the need and the importance of working together, working collaboratively with everybody involved.

Emergency management is inherently an intergovernmental, interdepartmental, community-wide initiative and effort. Specifically, the part of the—my title is deputy administrator for National preparedness, and it is not Federal preparedness, and it is not FEMA's preparedness. It is National preparedness. We cannot accomplish that without working closely—just as closely with our partners in the States and local communities, be it the city and municipal governments, or the civic leaders throughout the country.

We can't accomplish that task without working with them as closely as we do with our own partners within FEMA and the Department and the Federal interagency.

Mr. ROGERS. As a part of that, I represent a very rural Congressional district, a poor, rural Congressional district. Most of my first responders are volunteers, volunteer firefighters or rescue squads, and my guess is that is probably pretty much the norm throughout America in most rural cities.

Does FEMA have in a particular initiative to network with those volunteer units?

Mr. MANNING. I believe we do. We have a number of initiatives and a number of efforts where we work through stakeholder organizations, largely at the Federal level, through things—organizations such as the National Volunteer Fire Council, the National Emergency Management Association, International Association of Emergency Managers, that get to those communities.

But specific to your point about volunteer firefighters, while we work closely with representatives with stakeholder organizations at this level, what we try to do is encourage and work through our partners at the State and local level to engage at those levels.

I have a personal stake in that, having been a volunteer firefighter myself. I understand the limitations and concerns where the—in my experience, Government pushes out new training opportunities, but they're only offered between 8:00 and 5:00 on a weekday when everybody is in work. So it is incumbent on us to find ways to provide the information, training, and resources to those that have chosen to dedicate their lives towards public service while earning their livelihoods in a different manner.

Mr. ROGERS. I have been urging the Center for Domestic Preparedness to—you know, they have got that ability to take that training on the road, to expand the number of teams and the trucks that they have, this tractor-trailer—because what you are talking about, most of these first responders are working somewhere near volunteers. The only way they are going to get this training is if you can bring it to them on the weekends, typically, or in the evenings.

I would address Mr. Jenkins' question. He said that FEMA has got to decide what they expect. Before you are going to be able to achieve your goals, you have got to set those goals. Do you anticipate having a determination in any time in the near future as to what you are expecting to achieve, what your goals will be, so that GAO can then measure whether or not you have achieved them?

Mr. MANNING. I believe we do. I believe we are engaged in adapting our existing doctrinal ideas in operating plans into a strategic plan with goals and objectives, identifying actual outcome-driven performance metrics that we can actually see whether or not we have achieved what we are trying to achieve.

One of the comments we have heard often is that one of the things we have measured in Citizen Corps, for example, is the number of Citizen Corps councils that have developed around the country, which is, to the Chairman's point, often about activity, rather than outcome.

However, at that time, our goal at that point was the proliferation of avenues with which to reach communities, so that was an appropriate measure.

Mr. ROGERS. It is disappointing, though, from my perspective that you may not have shared the previous administrator's goals and objectives, but that FEMA should have in place, maybe before you and Administrator Fugate arrive, these goals and standards and metrics that GAO could come in and say that the organization is meeting those.

So it is really kind of disappointing to find out that there aren't any that are being held out already. We have had a lot of disasters

already. I will say, you know, in the last few years, FEMA has just done a great job of being ready for these incidents.

Ms. DeFrancis, you talked about Anheuser-Busch helping with some preparedness initiatives. How much do you work with local businesses, particularly smaller businesses, to make sure that they are aware of what they need to do to be prepared for a disaster?

Ms. DEFRANCIS. Well, Mr. Rogers, that is what this program is aimed at primarily, to work with smaller businesses who don't have the time or resources to develop an elaborate COOP plan and instead give them a way to self-assess and to measure themselves and to do it on a web-based tool that is very easy for them to do.

We hope to really expand this out, as I said, at about 16 different cities, but we will also be looking for companies like Anheuser-Busch to help support that, because we need the resources behind that to do it.

But we know that small businesses are very eager, obviously, to take care of their employees. Their employees are like family to them. But they worry, particularly if they are ones with just 10 people, that they don't have somebody they can dedicate as the preparedness officer, but we have tried to make it really simple.

Also, things that we produce—like these tear sheets I mentioned, those are very handy for small businesses to put up in their, you know, vending room or whatever. We work with small businesses a lot to try to get the message out, because we find that getting the message out through the workplace is a very effective tool of reaching people and families.

Mr. ROGERS. Okay. Thank you.

Thank you, Mr. Chairman.

Mr. CUELLAR. At this time, the Chair would like to recognize other Members for questions they may wish to ask the witnesses. In accordance with our committee rules and practice, I would like to recognize Members who were present at the start of the hearing, based on seniority of the subcommittee, alternate between Majority and Minority. Those Members coming in later will be recognized in the order of their arrival.

At this time, the Chair recognizes the Chairman of the full committee, Chairman Thompson.

Mr. Chairman.

Mr. THOMPSON. Thank you very much, Mr. Chairman. I appreciate you having the hearing, and I welcome the witnesses to the subcommittee.

Welcome, Mr. Manning. You come very highly recommended, and people sing your praises.

Mr. Jenkins has produced a document listing some concerns about preparedness in a number of things. Have you had an opportunity to respond back to the report? Are you in the process of doing? If you do, can you share with the committee some of that?

Mr. MANNING. Mr. Chairman, I have not had the opportunity to see the full report. We have seen some of the draft conclusions and have provided the GAO with our answers and comments back and look forward to its publication in finality so I can get a full look at it.

Mr. THOMPSON. So is there anything in the report that strikes you?

Mr. MANNING. Mr. Chairman, I can't say I fundamentally disagree with anything that was in the report. I think that there are very good points that are made. As far as identifying achievable outcomes and a strategic vision for how we are engaging with communities and individuals and the furtherance of preparedness.

Mr. THOMPSON. So your testimony to the committee is that, under your direction, you will make sure that the shortcomings identified in the GAO report will be satisfied?

Mr. MANNING. Well, Mr. Chairman, I have not had the opportunity—it hasn't been finalized or published yet. I haven't seen the entire report, so I am not aware of the full breadth of the recommendations included in the report. But of what I am aware and what has been discussed so far in the hearing this morning, I am in agreement and will take action to resolve.

Mr. THOMPSON. Well, the point that strikes me most is GAO's comment that FEMA still lacks an overall strategy for citizen and community preparedness. That is the issue.

I am saying that if that is, in fact, irrefutable, are you prepared to move the ball to resolve that issue?

Mr. MANNING. Yes, Mr. Chairman.

Mr. THOMPSON. Thank you.

Ms. DeFrancis, some of us were directly involved in Katrina. Since the Red Cross is the only organization that is Federally chartered to address this issue, one of the concerns we heard is that the Red Cross did not reach out into the broader community and involved stakeholders.

For instance, in the South at the time of Katrina, there was one organization that the Red Cross had an agreement with called the Southern Baptist Convention. As you know, so much of what we heard during Katrina is that wasn't good enough.

Can you share the Red Cross's work since Katrina to resolve that issue?

Ms. DEFRANCIS. Well, thank you, Mr. Chairman.

We learned one large lesson in Katrina, which is the Red Cross can't do it all in a disaster of that magnitude and size, and that we need to reach out to partner organizations to help us do that. So since that time, we have worked to expand our partnerships in a number of areas. You know, in Mississippi, we have been working with the AME Church, with the NAACP, with HOPE Worldwide to train more, shelter administrators to make sure that they can get their congregations trained.

This is the multiplying effect that is—we are only going to be successful when we do that. As you know, Warren Miller in your State has done a great job with helping us reach out.

We have now more than 150 MOUs with other groups and organizations to work with us. Of course, those are only as good as how they are operational. We are continuing to work on that. But we feel that we have made an excellent effort to expand our reach into different communities and to really try to become a more diverse organization.

The Red Cross doesn't have to run every shelter. We can give training, and the church or organization can run that shelter just as well as we can, as long as we are there to support them.

So thank you for bringing that up, Mr. Chairman.

Mr. THOMPSON. Thank you. The reason I did is in response to something the Ranking Member said. Those of us who live in rural communities many times get overlooked and, from a preparedness standpoint, much of the training and other things that is offered Mr. Manning is at the convenience of the trainer, rather than the trainee.

So I am concerned that we prepare the model so that it can be most effective. If the cooperation and coordination between the agencies worked, then we are as a citizen and as a Nation better prepared. But I would suggest to you, in light of the GAO study, that there is significant work to be done and would suggest, Mr. Chair, that either a follow-up hearing or some way of measuring what is being done, I appreciate Ms. DeFrancis' comment about the MOUs are only as good as what you do with them.

Because the last time we had testimony before the committee, staff did a sampling of organizations who had executed MOUs, and that was as far as the process had gone. So I would hope that, when staff do the next call around, the results will be better.

I yield back.

Mr. CUELLAR. Thank you, Mr. Chairman.

At this time, I would like to recognize Mr. Olson for 5 minutes.

Mr. OLSON. Thank you very much, Mr. Chairman.

I want to thank the witnesses for taking time out of your busy schedules to come and help enlighten us on the challenges we have going forward. I have a couple of questions. I would like to start out with Ms. DeFrancis.

I have been struck by your comments about how the percentages of people who don't have a preparedness kit and some of the challenges we face there. How can we start to address the gaps in preparedness that have been identified in this National survey?

For example, we know less than half the individuals actually have a preparedness kit set aside in their homes. As you mentioned there is sort of the mentality that it won't happen to me.

In my district of Texas, we have sort of a corollary to that mentality, because one of our biggest challenges is hurricanes. We know they are coming. So people tend to have this mentality that, "I will just get what I need as the storm is coming in," which as we know tends to create long lines. The Home Depots, the Best Buys are just sold out, the grocery stores, that kind of thing.

So I am just wondering if you have any indications or just kind of give us your thoughts on a strategy we could use for increasing the percentage over the next few years, working together.

Ms. DEFRANCIS. Well, thank you, Mr. Olson.

Certainly, it is a very tough assignment, because, as you say, there is complacency and people wait until the last minute. In order to change behavior like that, it is going to take a lot of time and a lot of effort and a lot of resources, frankly, to really get people to pay attention, just like when we put in anti-smoking campaigns or anti-obesity campaigns. It takes a long time to change behavior.

One thing we think is very important is that the messages be simple and that they be coordinated across all of our groups and agencies so we are not sending conflicting messages and we are saying the same thing and repeating it time and time again, which

is important. We think we need multiple messengers, as was referenced. It can't just come from the Government, can't just come from the Red Cross.

In fact, some research I have seen says that the person people listen to most on preparedness, whether they are adults or not, is their mothers. So we have to reach mothers. We have a mothers' guide for preparedness, as well.

I think children are very effective in sending the message home to their parents. We run a Masters of Disasters program. I know in Mr. Rogers' statement, they have distributed a number of CDs and curriculum on masters of disaster. That teaches kids to be prepared, and they carry that message home.

Sometimes I think we are going to have to have a little fun with this message, because, you know, preparedness can seem a little like eating your vegetables, but, I mean, we sent out an e-mail this year from Jamie Lee Curtis, who was our celebrity spokesperson on preparedness, and she told people that she was going to put in her preparedness kit chocolate and dental floss. Well, we got more people responding to that e-mail and opening that e-mail because it had a little humor to it.

So it is tough. It is going to take more resources. Certainly, we thank this committee. We know that there is a lot of money that does go out to local and State entities to do this kind of work. We have been talking with your staff about ways that nonprofits could help access those funds more directly for the work that we do.

But I think it is great that the Secretary of DHS has summoned us to this. I think it is great that everybody is here talking about it so we can, you know, really get behind a good program.

Thank you.

Mr. OLSON. Thank you for that answer. I know we here on the committee look forward to working with all of you all in the Department to get this program even better than it is right now.

Question for Ms. Smith. What challenges have you faced there in McAllen in getting the Citizen Corps program up and running in the committee? What challenges have you faced maintaining an active council, once you get it up and running? Again, I think you said you had seven teams funded with \$20,000?

Ms. SMITH. McAllen has one team. Regionally, we have seven. We have a very active program within our own city and regionally. The cog is about—is embarking on nine new classes with primarily church organizations. We have a waiting list. Our trouble is primarily with trainers.

We use our own staff right now, which we are happy to do, but sometimes that is a challenge. We think, also, a better way to engage people would be to make those people who have gone through this sort of program trained in order to teach.

There is a train the trainer program. Again, going back to the number of hours in the day and when that is done, we have a challenge, also, of making that happen within the time that the volunteer has available nights and weekends.

We also try to keep the volunteers engaged in between—natural disasters primarily is what we work on. So we involve them in our preparedness campaigns and our fairs. We meet with them at least 2 or 3 times a year and just let them know that, you know, we do

appreciate their volunteer service and we want to keep them engaged in the process.

Mr. OLSON. Thank you for that answer.

I see that I am out of time. Thank you again for what you do. That is one of the fastest-growing parts of our State, and I appreciate all you do.

Thank you, Mr. Chairman.

Mr. CUELLAR. Thank you, Mr. Olson.

At this time, I will recognize, for 5 minutes, Mr. Pascrell, from the great State of New Jersey.

Mr. PASCRELL. Mr. Chairman—I look to what our Chairman and the nature of his questions—and I am glad he referred to Katrina, which is still a traumatic experience for this country, because it really was a mirror to the underbelly of the United States of America, phantom people who didn't exist in our minds, as we do the business of the Congress, for sure.

It was like an onion. One layer at a time, each day being—cover of which being peeled off, getting towards the center and never getting to the center.

There was a book that just came out 4 months ago, which was for at least 3 weeks on the best-seller list. It was a novel. It was Zitoun—Z-i-t-o-u-n—about the experience of a particular family during Katrina and how, through that family, we failed in response. We do not need a Katrina to tell us how we have failed. Unfortunately, it just was a mirror to our failures.

So, Mr. Manning, we can all agree on this panel that we have a long way to go before we can feel comfortable that the American people are equipped and capable of dealing with a large-scale disaster. What I am particularly concerned about is the state of preparedness in different parts of America.

I come from a district that is centered on a dense urban area, is then surrounded by sprawling suburbs, goes all the way out to waterways, that consistently cause mass flooding in a number of residential areas. It is probably ethnically, culturally probably one of the top five diverse districts in the country.

Each of these environments present a different challenge, in terms of preparedness, and that is only in one district. I wonder how we deal with the different challenges we face throughout this Nation. What I would like to know from you is: How does FEMA train through its programs for these different environments we have to confront? Are we simply giving the same lesson everywhere, or do we have a real targeted strategy?

Mr. Manning.

Mr. MANNING. Thank you, Mr. Pascrell.

That is exactly, I think, the—you hit on the head one of our shortcomings in the way we have—we as a Nation have been undertaking community preparedness for a very long time. We do have National efforts where we use consistent messaging and consistent plans and programs, because we do know that consistency is useful, consistency is what is required to get people to recognize and take in a message.

But that said, the specific actions that are recommended are as heterogeneous as the diversity of our Nation. It is understanding with specific threats faced by a community, by a neighborhood, by



a city or township, by understanding the specific threats that face a household, that is required before you know what steps to take to mitigate those threats.

What we have tried to do over the years is engaging local communities, providing the resources and tools to the local communities to help them more specifically deal with the threats facing those communities so that we don't have a particular one set of recommendations that we at the Federal level try to enforce around the country and try to give the tools to local communities.

Ready, for example, as the campaign, includes a diverse number of recommendations, diverse set of tools to apply to various conditions. We try to encourage local governments to take those and adapt them.

My experience, for example, in the rural New Mexico mountains is that some of the messaging, some of the tools that were provided me as a community member that were geared towards hurricane preparedness were less helpful, for example, than something that was geared more towards wildfires or severe weather.

So we have to take that into account, of course, in our messaging. We have to recognize the socioeconomic diversity of our populations and include in our messaging things that further preparedness beyond, essentially, the acquisition of material, recognizing that, while we say—and it is absolutely critical to have a kit and a plan and supplies and be prepared, that there are families, there are households that simply may not know where they are getting dinner tonight, much less 3-day's-worth of food and water. We have to acknowledge that, recognize that, and find solutions in ways to help those households and those communities, as well.

Mr. PASCRELL. Thank you very much for your answer.

Thank you, Mr. Chairman.

Mr. CUELLAR. Thank you, Mr. Pascrell, for your questions.

Mr. Manning, I am going to ask you in about 2 weeks to come back to us, give us—even if it is a rough draft of a strategic plan. I would ask you to contact Mr. Jenkins and Ms. Smith and Ms. DeFrancis. They are not going to write it for you, but they—I would like to get some input from them.

Now, when you were in New Mexico—I know I did my dissertation on performance-based budgets, and I recall that New Mexico does have strategic planning. Am I correct on that?

Mr. MANNING. Yes, sir.

Mr. CUELLAR. Right. You had one at your former job, didn't you?

Mr. MANNING. Yes, Mr. Chairman.

Mr. CUELLAR. Okay. So here is a great opportunity. There is really not much in place. I think this is a great opportunity to mold this into, I think, something, you know, using your past experience at the state level.

Again, I would ask you to come back. I will ask the committee to get you back here so we can follow up on this. So I really—even if it is a rough draft, but I think the rough draft is better than nothing at all. But, you know, you have got a lot of experience at the State level, and I remember New Mexico does have a plan from what I recall.

I don't have any questions.

Mr. Rogers, do you have anything?

Mr. ROGERS. I have a comment.

Mr. CUELLAR. Okay, comment. I recognize Mr. Rogers.

Mr. ROGERS. Thank you, Mr. Chairman.

I just wanted to tell Ms. DeFrancis, your organization did a great job in my district in February of this year when we had a tornado touch down below Oliver. Just the community was very pleased with how Red Cross reacted and helped us. Thank you very much for that.

Ms. DEFANCIS. Thank you, Mr. Rogers. We appreciate that. Our volunteers in your State are the ones that deserve the credit for that.

I also want to—just to follow up with your question, when you asked about working with small businesses, I should have mentioned that we have met with the Chamber of Commerce. We have met with the National Federation of Independent Business. That is at the National level, and we hope to push that down through our chapters at a local level.

Mr. CUELLAR. Okay. We are going to go ahead and conclude, but let me—again, I want to thank all the witnesses for being here.

Ms. DeFrancis, I appreciate what the Red Cross does.

Ms. Smith, I appreciate what you all do in McAllen, in south Texas, Mr. Jenkins, of course, GAO, and, Mr. Manning, I think you have got a wonderful job and I think a great opportunity to really shape it the way you think it should be done, so we look forward to working with you.

We are going to follow up. You know, I am so interested in bringing in technology, but there are so many pieces of new technology that is available out there, and a lot of ideas, you know, the ideas that you brought up—the pillowcase, I think that is pretty neat. The code red, I think, that you all have in McAllen and other ideas, there are a lot of ideas.

I guess the whole thing is, how do we put all of this together? So we will set up another meeting. I really want to follow up on this.

So I want to thank all the witnesses for their testimony and the Members for the questions. The Members of the subcommittee might have additional questions for the witnesses. We ask you to respond as soon as you can to those questions in writing.

Hearing no further business, this hearing is adjourned. Thank you very much.

[Whereupon, at 11:10 a.m., the subcommittee was adjourned.]

## APPENDIX

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### QUESTIONS FROM CHAIRMAN HENRY CUELLAR FOR TIMOTHY W. MANNING

*Question 1.* The 2009 FEMA Preparedness Survey found that 81 percent of respondents believe that prior planning would help them handle a natural disaster. But just 60 percent believe prior planning would help them respond to an act of terrorism. How can FEMA address the perception that preparing for a terrorist attack is not as valuable or effective as preparing for a natural disaster?

*Answer.* The 2009 FEMA Preparedness Survey results indicated that individuals' confidence in their ability to respond to a disaster and the perception that preparing would make a difference (response efficacy) varies significantly by disaster type. Outreach, social marketing, and risk communication strategies should take into account that motivators and barriers to undertaking preparedness activities are different for different types of hazards. Since perceptions of susceptibility were key predictors for natural disasters, hazardous materials accidents, and disease outbreaks, outreach efforts should specifically educate people about their susceptibility to these types of disasters. FEMA continues to work on honing its various messaging initiatives.

For terrorist-related threats, communication strategies that seek to increase preparedness must address individuals' lack of familiarity with these types of threat and the appropriate response measures as well as low levels of perceived response efficacy. Strategies should educate individuals in basic understanding of and preparedness measures for explosions, dirty bombs, improvised nuclear devices, and release of chemical agents, emphasizing the effectiveness of advance preparation and skill building in helping to make a difference in even the most severe emergencies. Because practicing response protocols is critical for effective execution, greater emphasis is needed on drills and exercises for these less well understood hazards conducted at the community level, through social networks including households and neighborhoods, the workplace, schools, and faith communities.

In May 2010 FEMA, in partnership with the State of Nevada, will hold National Level Exercise 2010 based on the detonation of an improvised nuclear device. This exercise provides a platform from which public messaging can dispel the Cold War perceptions of a nuclear threat and provide an accurate picture of today's terrorist landscape. Information on realistic ways to survive such an attack could help dispel the perception that there is nothing that can be done to prepare for a terrorist attack.

*Question 2.* The Post-Katrina Emergency Management Reform Act of 2006 moved the majority of the preparedness functions for acts of terrorism and natural hazards to FEMA. In addition, the 2007 National Preparedness Guidelines listed citizen preparedness as a National priority. Yet GAO's testimony suggests that FEMA still lacks an overall strategy for citizen and community preparedness. Do you agree with GAO's conclusion? Why or why not?

*Answer.* Improving personal and community preparedness is an inherently complex challenge requiring individual behavioral change and significant organizational and community cultural change. The strategy for achieving these changes must include partnerships and shared responsibility across our society in both Government and nongovernmental organizations. Determining causal correlations is also problematic. Nonetheless, FEMA is implementing a National strategy coordinated with partners and a multi-pronged approach to assess impact.

First, FEMA's National Preparedness Directorate (NPD) is leading an agency-wide approach to developing an integrated National strategy and performance metrics to assess community preparedness. This approach identifies preparedness objectives in four areas: (1) Integrating community preparedness and resilience in all Government policy and guidance to support local implementation; (2) establishing effective National partnerships and supporting local collaboration among all sectors through all phases of emergency management; (3) identifying and developing

tools and resources for local implementation; (4) developing comprehensive research agenda and ensuring all strategies are research-based and evaluated for effectiveness.

This strategy builds on continuing work such as the National Preparedness Guideline and the Common Target Capability for Community Preparedness and Participation, the Nation-wide network of State, Tribal, and local Citizen Corps Councils and volunteer programs, and research. FEMA's Community Preparedness Division conducts primary research through National household surveys, evaluates research conducted by others, develops behavior change models, and solicits input from leading researchers in the field to develop new tools and to improve the identification of valid metrics for preparedness and indicators for community resiliency. As part of the continuing work to improve quantitative and qualitative information and support for local preparedness, FEMA will be launching two web-based efforts in 2010. FEMA will launch a new on-line registration tool for local Citizen Corps Councils and CERT Programs to provide better data collection on local partnerships and to increase our understanding of local activity. FEMA also will be expanding the collection of good stories from around the country to capture best practices and concrete successes.

*Question 3.* Does FEMA's National Preparedness Directorate have a strategic plan in place? If not, when and how do you intend to develop a strategic plan for the directorate?

Answer. FEMA/NPD currently has an Operating Plan, which is updated annually and outlines priority goals, objectives, and performance measures for the implementation of Post-Katrina Emergency Management Act-directed and other key preparedness initiatives (i.e., National Exercise Program, community preparedness, Comprehensive Assessment System, etc.). The Operating Plan aligns with FEMA's current Strategy.

The Quadrennial Homeland Security Review is concluding, and a review of Homeland Security Presidential Directive/HSPD-8 recently began, which will significantly influence NPD's approach to the development and content of a Directorate Strategy.

*Question 4.* What are the challenges to getting citizens prepared for a disaster and how can FEMA, working with its partners, take steps to address these challenges?

To what extent do social groups, such as neighborhoods, the workplace, schools, and faith communities, motivate people to become prepared? How can the emergency management community better leverage these groups to improve individual readiness?

Answer. One of the primary challenges to getting citizens prepared is their high expectation for help from emergency responders in the event of a disaster. FEMA is working with its partners, including emergency management and responders, to create and disseminate messages that emphasize the importance of self-reliance and convey a more realistic understanding of emergency response capacity. Messaging speaks to a shared responsibility and stresses that everyone has a role to play in preparedness and response. Both the Secretary of DHS and FEMA's Administrator are providing a strong National voice on this message.

Research indicates that individuals also expect to rely heavily on their social networks for information and support during critical times of their lives. The 2009 Citizen Corps National Survey findings indicate that the majority of individuals (70%) expected to rely on their household members in the event of a disaster and a little less than half (49%) expected to rely on others in their neighborhood. In 2009, 3 in 10 individuals (34%) reported talking about getting prepared with others in their community. This data confirms that it is vital to involve social networks in promoting and motivating individual and community preparedness. Local emergency management should partner with local community leaders when creating or revising any community preparedness and response plans. These partnerships will ensure various constituent needs are addressed in the planning process and throughout the disaster cycle. Engaging trusted leaders to participate in the process and assist with disseminating important information will also ensure improved understanding of shared responsibility, an increase in individual readiness, and greater compliance with preparedness directives.

*Question 5.* How do you envision the Ready Campaign complementing State and local emergency awareness efforts?

Answer. Citizen preparedness requires a team effort to effect the culture change that will move individuals and communities towards greater preparedness, and the Ready campaign is only one part of that team. The role State and local officials and emergency awareness efforts play in building citizen preparedness and engaging individuals is critical.

The Ready Campaign and the Advertising Council have designed their public service advertising (PSAs) in a format that is easy to localize. This means State and

local governments can “tag” the Ready PSAs with their logo and URL to direct residents to their own local emergency preparedness websites. The Ad Council can assist governments in localizing the PSAs and securing local donated media commitments. This allows these partners access to top-notch, strategically-driven creative advertising, based on National consumer research for a very minimal cost. Approximately 17 cities, States, and territories as well as two military branches have localized the Ready Campaign over the past 3 years. The Ready Campaign will continue to work with State and local governments on localizing these PSAs.

The Ready Campaign will also continue to provide unique partnership opportunities to State and local emergency efforts. One example of such a partnership is with Discovery Education that reaches K–8 classrooms across the country. “Ready Classroom” provides elementary and middle school teachers with resources to integrate natural disaster preparedness information into their curriculum. The program is an extension of Ready Kids.

The Ready Campaign will continue to provide tools and materials (i.e., PSAs, publications, National Preparedness Month, Minor League Baseball and Resolve to be Ready toolkits, etc.) to State and local emergency efforts, many of which are connected to or compliment local and State Citizen Corps Council efforts to further leverage efforts of others. According to the 2008 State Homeland Security Directors Survey conducted by the National Governors Association Center for Best Practices (NGA Center), “Approximately 90 percent of respondents reported using at least some of the Ready Campaign’s tools and resources. More specifically, 83 percent of survey participants employ the Ready Campaign’s family emergency plan and 75 percent use the emergency supply kit.”

*Question 6.* The FEMA 2009 Preparedness Survey found a direct relationship between income and preparedness. Households making more than \$50,000 annually were much more likely than less affluent households to have taken steps to prepare for a disaster. Given that this gap revealed itself during Hurricane Katrina, what steps can FEMA and the emergency management communities take to ensure individuals at all income levels are taking the steps necessary to prepare for a disaster?

Answer. FEMA has been conducting research on the status of disaster awareness and emergency preparedness in socially and economically disadvantaged households and communities through the Emergency Preparedness Demonstration Program. FEMA will send a final report to Congress by the end of the year to summarize the research with the goal to design and implement demonstration projects to improve awareness and preparedness in these households and communities. Early findings indicate the importance of local outreach to engage and prepare this population segment. Engaging leaders from these communities on local Citizen Corps Councils will be a critical element of this approach.

In addition, institutionalizing preparedness education, training, and drills in the workplace, schools, and other social networks will ensure reaching a greater cross-section of the public. Based on the 2009 Citizen Corps Survey, of the respondents who reported taking preparedness training within the past 2 years, 49% indicated they took the training because it was mandatory for their job or school. In response to the Post-Katrina Emergency Management Reform Act of 2006, FEMA is also developing training to strengthen and extend mass care and emergency assistance to meet the critical needs of less affluent households under Emergency Support Function 6.

*Question 7.* FEMA’s 2009 Preparedness Survey found that the high expectation of help from first responders within the first 72 hours of a disaster is a big reason why not enough people are preparing for a disaster. How can FEMA and emergency managers at all levels of government, as well as its partners like the Red Cross, begin to change this expectation?

Answer. FEMA research from the 2009 Citizen Corps Survey on Community Preparedness found 30 percent of individuals indicated that a primary reason they had not prepared was because they believed that emergency personnel would help them in the event of a disaster. Further, 61 percent of participants indicated they expected to rely on emergency responders in the first 72 hours following a disaster.

FEMA, emergency managers, and partners, need to develop messaging that emphasize the need for all to share in the responsibility of their health and safety in a disaster, particularly in large-scale events, and that emergency responders will not be able to reach those impacted immediately. FEMA, in coordination with State and local government and non-governmental partners, will continue to work together to provide information directly and to the media on what services individuals can realistically expect in the first 72 hours and offer guidance on how individuals can prepare for an event given the likely capacity of emergency personnel to respond. This effort will go hand-in-hand with outreach on local threats, community emergency protocols, local alerts and warnings, and information on classes and

training offered in the local area or on-line. As previously referenced, the Secretary and administrator's emphasis on shared responsibility contributes the National voice to this critical message.

*Question 8.* The FEMA 2009 Preparedness Survey report indicates a low rate of individual participation in evacuation and shelter-in-place drills. How are Citizen Corps and the Ready Campaign geared toward improving participation in drills and exercises?

*Answer.* The FEMA Citizen Corps National Survey found only 4 in 10 individuals has participated in a workplace evacuation drill, and fewer than 3 in 10 (27 percent) participated in a workplace shelter in place drill. These numbers drop dramatically when talking about home-based drills. Only 14 percent of individuals Nationally participated in a home evacuation drill and 1 in 10 in a home shelter-in-place drill. Of the 91 percent who had a household plan, 26 percent had practiced home evacuation and 19 percent practiced sheltering in place.

Citizen Corps is geared towards improving participation in drills and exercises both as an advocate and as a provider of tools for local use. The membership of Citizen Corps Councils across the country provides an effective outreach network to convey the importance of experiential learning through training and drills at the local level. Local Citizen Corps Council educational outreach includes local businesses and employers, schools and educational organizations, nonprofit organizations, faith-based groups and neighborhood groups and homeowners associations. In coordination with local emergency management, public health, law enforcement, and fire services, expanding drills and exercises through these local businesses and community organizations is a critical strategy for increasing drills and exercises for individuals and families.

Additionally, Citizen Corps works with partner programs such as Neighborhood Watch and Community Emergency Response Teams to build on their core missions to include emergency preparedness and family and neighborhood planning, drills, and exercises.

*Question 9.* The FEMA 2009 Preparedness Survey found that men reported greater levels of preparedness and confidence in their abilities to handle an emergency situation than women. How can FEMA and the emergency management community address this gender gap?

*Answer.* To be effective, preparedness outreach needs to address the specific motivators and barriers for the targeted audience. FEMA's research and the research community are beginning to assess a more refined profile of these attributes for a range of demographic profiles. This will enable us to develop more precise strategies for reaching women as well as other critical population segments.

While our research finds that men have greater levels of confidence in their ability to handle different disasters, they are less likely to report needing help in an evacuation. Men are significantly more likely to have supplies in their workplace. There were no significant differences relative to having supplies at home, having a family plan, or participating in drills. Women on the other hand are more likely to hold attitudes that our research shows support preparedness; for example they feel that preparation will help them handle a natural disaster and will look to rely on household members and people in their neighborhood. As we look to identify motivators to preparedness planning we believe that women are a critical target audience for our work. Since women also tend to be very involved in community networks such as schools and faith-based organizations, increased partnership for education and training through these organizations and trusted leaders is a promising strategy.

*Question 10.* The Citizen Corps program was initiated by President Bush after September 11 and has not been authorized by Congress. What changes, if any, do you intend to make to the program?

Will FEMA continue to operate the Citizen Corps grant program under the Homeland Security Grant Program? Why or why not?

*Answer.* The Citizen Corps program is a component of community preparedness. Community preparedness continues to be a National priority as communities, families, and individuals are impacted daily by natural and man-made disasters. Over time Americans have come to depend on local-level responders when faced with an emergency. The new message, and eventual cultural shift, is one that redirects the preparedness focus towards enhanced personal preparedness through the community and ultimately, through each individual that will drive a societal response. This shift will highlight certain principles such as preparedness is really very much about personal safety as a more familiar term and activity. Many Americans understand the concepts, message, and goals of personal safety and that familiarity and the connection back to personal preparedness may lead to a more clear understanding of the role they play in personal preparedness.

This approach diverges from an overriding emphasis in the past on organizational preparedness to one focused on prepared citizens and the deep reserve of community power they represent.

*Question 11.* For the last several years, the administration has requested, and Congress has approved, a \$15 million budget for Citizen Corps. How much of this funding has been used for grants to localities versus Citizen Corps program activities within FEMA? With Citizen Corps being one of the main tools FEMA has to increase the level of preparedness in communities, is the program funded adequately to perform this task?

Are there other FEMA grants that States and localities can use to foster individual preparedness? If so, how much funding has historically been used for citizen preparedness programs?

Answer. The entire Citizen Corps Program (CCP) appropriation is distributed as grants through the Homeland Security grant program. In addition, because citizen and community preparedness is integral to National preparedness, funding from multiple FEMA homeland security grants is available for State and local jurisdictions to achieve this mission. Ten of the fourteen homeland security grant programs allow recipients to use the funding to support individual and community preparedness, including the State Homeland Security Grant Program, the Urban Area Security Initiative, and the Regional Catastrophic Preparedness Grant Program.

Although there is not a single grant project category that can be used for tracking grant funding for citizen and community preparedness, an estimate could be determined by reviewing projects that were funded to establish or enhance: (1) Citizen Corps Council, Partner, and Affiliate activities, (2) citizen preparedness outreach and education, (3) citizen training and exercises, or (4) volunteer initiatives.

From 2004 to 2008, the Department's Homeland Security Grant Program (HSGP) has provided over \$268 million in support to State and local government community preparedness efforts. Of this amount, approximately \$35 million has been directed by the Department to support Citizen Corps activities. The remaining \$263 million has been provided at the discretion of States and localities from their broader HSGP awards.

*Question 12.* On the Citizen Corps program's website and in much of its literature, the claim is made that thousands of Citizen Corps councils exist, providing coverage for 79 percent of America's population. How does FEMA know whether it has an accurate number of councils recorded, and therefore, an accurate calculation of the percent of Americans that are "covered" by registered councils?

What are the mechanisms or processes by which FEMA stays informed to the number of Citizen Corps councils and their activities?

Answer. The Homeland Security grant program guidance designates State officials with the responsibility to maintain the information on the Citizen Corps National website for Citizen Corps Councils and CERT Programs within their State. When the new online registration process is launched in 2010, FEMA will work with the States to reconfirm Council data. The population served calculation is based on the Council or CERT programs self-defined jurisdictions cross referenced to 2000 census data.

Each FEMA region has a community preparedness staff person or contract personnel assigned the job of providing technical assistance and guidance to Citizen Corps Councils and partner programs. To stay informed of Citizen Corps Council activities, the FEMA Regions maintain routine contact with the State Citizen Corps Program Managers, and hold regular conference calls and meetings. Additionally, local communities are encouraged to send information directly to the National program office via email at [citizencorps@dhs.gov](mailto:citizencorps@dhs.gov). The Lessons Learned Information Sharing website also includes a community preparedness portfolio of good stories and best practices. In 2009 FEMA announced the first National Citizen Corps Achievement Awards which drew over 100 submissions from Citizen Corps Councils around the country demonstrating exceptional achievements in community preparedness.

*Question 13.* The Fire Corps program is one of the Citizen Corps' partner programs and is operated by the National Volunteer Fire Council (NVFC). What services do the NVFC offer to FEMA in managing Fire Corps?

What are the goals of the Fire Corps program nationally, and how does FEMA determine whether the goals are being met?

Answer. The NVFC administers all facets of the Fire Corps program from providing the staff necessary to operate the program including managing the budget and creating resources and tools to help departments implement the program. Some examples of tools and resources NVFC has created are Department Fire Corps Starter Kit, Fire Corps Liability Guide, and Fire Corps Toolkit for Citizen Corps Councils.

Additionally, NVFC provides marketing and communications services for the program and works with Fire Corps' many partners such as the International Association of Fire Chiefs, International Fire Service Training Association, our fellow program partners (VIPS, CERT, etc.) and more. NVFC maintains a database of registered Fire Corps programs, the Fire Corps State Advocate Network, manages 1-800-FIRE-LINE which connects volunteers with Fire Corps, and maintains the Fire Corps website. NVFC also provides a vital connection to the fire service and 49 State fire associations through its own membership network.

The Fire Corps Program goal is to increase the number of Fire Corps programs to build capacity for fire and emergency service departments of all types (career, volunteer, and combination) by providing the citizen support. Fire Corps works to achieve this goal by creating resources and educating departments on successful implementation of the program. Fire Corps numbers (of registered programs) are regularly reported to FEMA as well as progress reports on other program initiatives. Fire Corps currently has 933 programs Nation-wide (as of 10/26/09).

*Question 14.* Are you confident that FEMA has an accurate count of the number of active Fire Corps chapters across the country? What processes do you have in place to ensure that National Volunteer Fire Council's directory of local and active chapters is accurate?

Answer. FEMA has an accurate count of all registered Fire Corps programs, including new start-up programs and established citizen volunteer programs. As is the case with all of the Partner Programs, there are occasionally programs that register that may then become inactive due to staff turnover or other challenges at the local level. Fire Corps is working to identify inactive programs through the State Advocate Network; the network are individuals representing Fire Corps at the State level reaching out to local programs to identify those that are active and notifying the National Citizens Corps office of those that are inactive. The National Citizen Corps office then reaches out to programs believed to be inactive to confirm their status and assess whether they should remain in the database. The NVFC also sends out periodic reminders to update program profiles in an effort to maintain the most accurate records possible.

*Question 15.* The Community Emergency Response Teams or CERT teams—is one of Citizen Corps partner programs. What are the goals of CERT teams Nationally, and how does FEMA determine whether the goals are being met?

Answer. The goals of the Community Emergency Response Team (CERT) Program are to institutionalize the role of community members as civilian responders during widespread emergencies and to create an additional response asset for local emergency response agencies. Assessing our success in achieving these goals is difficult. However, the rapid growth in the number of local jurisdictions that have established CERT programs, an average of 17% annually since 2004, as well as the successful introduction of CERT training in businesses, high schools, and on college campuses indicates that both goals are being met. Currently, there are 3,374 registered CERT programs Nation-wide (as of 10/26/09). In addition, the National CERT Program office established a process in July 2008 for local jurisdictions to submit reports on their use of local CERTs during emergencies. On average, eight activations of local Teams in actual local emergencies across the country are reported each month.

*Question 16.* The administration requested just \$2.5 million for the Ready Campaign, which seems to be a low amount for a National public awareness campaign. What is the basis for the administration's budget request and does it provide FEMA with the resources necessary to meet the goals of the Ready Campaign?

Answer. The campaign has historically requested between \$2 and \$4 million. The higher levels of funding were in the early years of the campaign to fund the start-up of ready.gov, as well as the Ready Business and Ready Kids campaigns. Now that those efforts have been established, Ready is able to continue its efforts with a \$2.5 million budget and leverages support from being a part of the Office of External Affairs as citizen preparedness messages are underscored across all FEMA communications and outreach efforts. This level of funding has allowed the Campaign to successfully reach millions of Americans through many different opportunities including public service advertising (PSAs), collateral materials, public and private sector partnerships, National Preparedness Month, and other outreach efforts. Specifically, the campaign is able to utilize the strong relationships with its State and local partners to promote its message. More than 15 territories, States, and localities have localized the National campaign and PSAs for their local efforts. In addition, through our work with the Advertising Council, the campaign has been able to garner more than \$823 million in donated media support. The campaign will continue to aggressively and creatively use the funds obligated by Congress.

*Question 17.* Has FEMA evaluated—or have plans to evaluate—the impact of the H1N1 influenza pandemic on individual preparedness?



Answer. The FEMA National Citizen Corps Survey garners responses to four different types of disasters: Natural hazards, terrorist acts, hazardous materials accidents, and severe disease outbreaks. This allows us to analyze important differences in knowledge and attitudes relative to these different hazards both within each survey as well as over time.

Because the 2009 Citizen Corps survey was being fielded during the H1N1 outbreak we were able to conduct an analysis of responses prior to the H1N1 outbreak and then in the initial weeks after the news coverage of H1N1 began. The data shows that individuals did perceive that a disease outbreak would be more likely in their community and that its impact would be more severe, especially for individuals with children living in the home.

Unfortunately these perceptions did not translate into immediate behaviors of preparing supplies, creating family plans, or knowing community plans. We do note that in a question added after the H1N1 outbreak, while media was a primary source of information, individuals also received information on H1N1 from their social networks including workplaces (24%), schools/child care (21%), health care provider (19%), faith-based organizations (7%), and neighborhood associations (4%).

We will continue to monitor the effect of H1N1 in our next fielding of the survey. We also have a database of surveys that are publicly available and will continue to assess findings from other surveys that support our work to increase individual and community preparedness.

*Question 18.* How is FEMA utilizing social networking tools, such as Facebook and Twitter, to promote citizen preparedness?

Answer. Community preparedness is integrated into FEMA's overall social media strategy and usage. Specifically, FEMA's Facebook, YouTube, and Twitter pages regularly contain preparedness messages as well as Citizen Corps and Ready Campaign information. In addition, the Ready Campaign has a preparedness widget and an email subscription service that has more than 35,500 subscribers. Both Ready and Citizen Corps maintain and regularly update Twitter accounts. The Ready Campaign has more than 4,800 followers and Citizen Corps has approximately 1,000. Furthermore, the Community Preparedness Division provides personal and community preparedness information updates via two RSS (Really Simple Syndication) feeds, three Citizen Corps widgets, and an email subscription service that currently has over 45,500 subscribers. The Community Preparedness Division continues to work with FEMA External Affairs to identify other means of social networking communication that can be used to further involve Citizen Corps Councils, partners, and affiliates, and the general population. Future development plans include free, on-line preparedness webinars and a Citizen Corps Blog and Discussion Forum. Preparedness publications will also be available to the public to read and download on Google Books.

*Question 19.* Mr. Manning, could you please outline the steps that DHS, and FEMA specifically, are doing to work with the hospitality industry on preparedness issues? In Las Vegas, we have more than 450,000 hotel rooms, with the potential for hundreds of thousands of new visitors each day who are unfamiliar with the area and are likely to be unaware of the city's emergency plans. What has FEMA done to work with these types of businesses to ensure that guests and staff are properly educated and prepared for emergencies?

Does the administration believe that enough is currently being done in this area? What steps will the new administration take to improve this important partnership?

Answer. Private industry is a key stakeholder in building a broader coalition for community preparedness and FEMA has encouraged the participation of local private sector representatives as Citizen Corps Council members from the program's inception. Industries that serve out-of-towners have a particular responsibility to ensure staff and service recipients are trained in emergency response protocols. To capture local participation from representatives of these industries, the revised Council on-line registration tool will solicit information on participation from the following: Privately Owned Critical Infrastructure (e.g. power, transportation); Entertainment/Sports Venues; Shopping Centers/Malls; and Hotel/Tourism.

Examples of local Citizen Corps efforts with these industries focus on Community Emergency Response Team (CERT) training:

- Detroit, Michigan Citizen Corps and Corporate Security at Illitch Holdings implement the "Citizen Corps Special Event Program," which supplies local sports and entertainment venues with trained volunteer security personnel who supplement professional security staff during special events. Citizen Corps volunteers assist professional security staffers in their preparedness and response operations, conduct security screenings, and act as street ambassadors. The program also provides CERT training to security managers and other professional staff at local stadiums.

- The District of Columbia's Citizen Corps program and Amtrak joined forces to provide CERT awareness training to Amtrak employees throughout the National Capitol Region at Union Station. The DC Metro Transit Police Department's Metro Citizen Corps program provides additional training to local residents who have completed the CERT basic training on Metro specific safety, including rail safety and emergency preparation and response and identification of terrorist activity. Participants tour the metro tunnels and learn how to safely cross over the electrified rail and open railcar doors in an emergency.
- In the Virgin Islands, Citizen Corps partnered with local hotels to provide staff with CERT training. To date, 77 participants have completed the training, including 40 staff members of the Ritz-Carlton Hotel.
- In Guam, CERT classes are generally offered once a month, and Terlaje estimates that 500 to 600 Guam residents have received CERT training since 2003. Some classes have consisted entirely of employees of the island's large hotel industry.
- New York City Citizen Corps partnered with the National Park Service to provide CERT training for a group of 50 Ellis and Liberty Islands' NPS employees, partners, and concession staff to ensure the safety of all employees and visitors to these iconic destinations.
- FEMA will continue to emphasize the importance of Government collaboration with the private sector and to inject consideration for transient populations in emergency preparedness planning, outreach, training, and exercises.

FEMA's Private Sector Division within the Office of External Affairs has made it a priority to proactively educate and coordinate with private sector entities before and after disasters. The Division works to promote preparedness across all industries. It has not worked directly with the hotel industry on preparedness issues; however, it has worked with the American Hotel and Lodging Association, to provide important information during the response and recovery phases of past disasters.

In addition, the Division continues to collaborate with DHS' Private Sector Office, the DHS Office of Infrastructure Protection and FEMA's Ready Campaign, integrating each component's existing relationships and capabilities into the Division's National outreach efforts with stakeholders.

The Division works with a number of National organization and associations with broad reach to deliver essential information to employees, members, and stakeholders of these entities. The Private Sector Division is increasing its focus on regular outreach to the private sector at large, using all tools available, including e-mail alerts and weekly preparedness tips to over 18,000 subscribers (and growing), as well as postings to media sites, such as Facebook, YouTube, and Twitter. The Division initiated a weekly Private Sector Preparedness tip during National Preparedness Month 2009, and distributes these tips through the means noted here.

In addition, the FEMA Private Sector Web Portal provides information and resources such as good practices in public-private partnerships, weekly preparedness tips, training opportunities, planning and preparedness resources, information on how to do business with FEMA, information regarding policies and Presidential directives impacting private sector engagement in emergency management, and more ([www.fema.gov/privatesector](http://www.fema.gov/privatesector)).

The Division also brings together public and private organizations to share good practices and learn from each other. For example, the Division recently worked with other FEMA partners to develop a workshop on private sector and emergency management integration, which was conducted during the 2009 National Conference on Community Preparedness hosted by Citizen Corps. In June 2009, the Division hosted a private sector roundtable with incoming FEMA senior leadership and two dozen National trade associations, with the intent of providing a forum for raising questions and interests on both sides that would further public-private and collaboration on issues related to resilience.

To reach the hotel and lodging industry, the Division can reach out through National associations like the American Hotel and Lodging Association, and works with the DHS Office of Infrastructure Protection, Commercial Facilities Sector Specific Agency, and the DHS Private Sector Office. During Hurricanes Gustav and Ike, this proved an effective way to get information on a pilot transitional housing assistance program to hotel and motel managers, as well as to people seeking shelter.

Looking forward, in 2010, the Division will be working more closely with DHS subject matter experts to deliver targeted information to different audiences, whether hotels or other venues.

On October 15, 2009, Department of Homeland Security Secretary Janet Napolitano announced new proposed standards for a 9/11 Act-required program, specifically, a voluntary, "Private Sector Preparedness Program," designed to assist the

private sector in improving its preparedness for disasters and emergencies. The goal of the PS-Prep program is to enhance operational resilience, business continuity management, and disaster and emergency management among participating private sector partners. As part of the implementation of the voluntary PS-Prep program, FEMA will work with the private sector and State and local emergency management to promote improved coordination and integration of emergency plans.

QUESTIONS FROM CHAIRMAN HENRY CUELLAR FOR WILLIAM “BILL” O. JENKINS, JR.

*Question 1.* Your testimony indicated that FEMA does not have performance metrics in place to gauge the impact of Citizen Corps grants on individual and community readiness. Has GAO, through other studies, found whether FEMA has performance metrics in place for other grant programs? If so, could FEMA use them as a model for creating metrics for Citizen Corps?

Answer. In September 2009, we testified on the results of our 2007 survey of Federal managers, which showed that FEMA ranked 28th out of 29 agencies in the use of performance information when making management decisions.<sup>1</sup> Several factors contributed to this low ranking, including inconsistent commitment of agency officials to use performance information and a weak alignment among agency, program, and individual goals. However, not all FEMA units ranked low. FEMA’s Mitigation Directorate was identified as a FEMA subcomponent that encouraged the use of performance information to plan and respond to events, and as a means to make improvements and achieve results.<sup>2</sup> Mitigation Directorate officials attributed their emphasis on performance and accountability to a leader who encouraged it. For example, the Mitigation Directorate set an annual performance target (93 percent of communities adopting current flood rate maps within a certain time frame) and incorporated the target into State grant agreements and regional performance scorecards. Performance was frequently monitored and communicated, for example through weekly conference calls with regional staff. While the metrics (sometimes referred to as measures) for Citizen Corps would be different, the model for encouraging the use of performance information adopted by the Mitigation Directorate might provide insights. Overall FEMA has taken steps, such as developing training on performance measurement, to improve the quality and use of performance information; however, we reported that these efforts have been limited.

While not specific to FEMA, our past work on Federal grants management may provide insights into the key strategies that could be useful in helping Citizen Corps design and implement grant performance accountability mechanisms, including program metrics, by which individuals or organizations are held accountable for meeting specific performance-related expectations.<sup>3</sup> Specifically, our review of literature on grant design, interviews with experts, and our review of selected cases identified five key strategies to facilitate the effective selection, design, and implementation of grant performance accountability mechanisms.<sup>4</sup> For example, one of the five key strategies—ensure mechanisms are of sufficient value to motivate behavior—entails ensuring that the grantor and grantee are clear on: (1) What a specific level of performance is worth to them, and (2) what it will cost to achieve that level of performance. Another strategy—ensuring appropriate measurement selection—entails ensuring that metrics represent performance that is within the grantee’s sphere of influence, can be reasonably achieved with the specified time frames, and tested over time to minimize unintended consequences or perverse incentives. In addition to these strategies, our report highlighted other factors critical to the success of designing and implementing grant performance accountability provisions, including the use of partnerships and collaboration and regular and effective oversight and feedback. We stated that these practices are often associated with high-performing orga-

<sup>1</sup>GAO, *Government Performance: Strategies for Building a Results-Oriented and Collaborative Culture in the Federal Government*, GAO-09-1011T (Washington, DC: September 24, 2009) and *Results-Oriented Management: Strengthening Key Practices at FEMA and Interior Could Promote Greater Use of Performance Information*, GAO-09-676 (Washington, DC: August 17, 2009).

<sup>2</sup>Flood Mitigation Assistance, a program under the Mitigation Directorate, provides grant funds to assist States and communities implement metrics that reduce or eliminate the long-term risk of flood damage to buildings, manufactured homes, and other structures insurable under the National Flood Insurance Program.

<sup>3</sup>GAO, *Grants Management: Enhancing Performance Accountability Provisions Could Lead to Better Results*, GAO-06-1046 (Washington, DC: September 29, 2006).

<sup>4</sup>The five key strategies are: (1) Ensure mechanisms are of sufficient value to motivate desired behaviors, (2) periodically renegotiate and revise mechanisms and measures, (3) ensure appropriate measurement selection, (4) ensure grantor and grantee technical capacity, and (5) ensure phased implementation.

nizations and organizations that effectively used performance information to manage.

In April 2009, we reported that FEMA has tried several methods of assessing preparedness and improvements in emergency preparedness that have been achieved through the use of Federal grants.<sup>5</sup> However, we found that FEMA did not have an effective method for measuring the results achieved with Federal emergency preparedness grants or an integrated approach for developing such metrics.<sup>6</sup> FEMA's Administrator is required under the Post-Katrina Emergency Management Reform Act of 2006 (Post-Katrina Act) to develop a comprehensive system (that is, the National Preparedness System) to assess, on an on-going basis, the Nation's prevention capabilities and overall preparedness with clear and quantifiable performance metrics and outcomes.<sup>7</sup> FEMA has work underway to develop National preparedness metrics that likely will include Citizen Corps metrics. Specifically, FEMA includes Community Preparedness and Participation as one of the 37 key target capabilities to be assessed in the National Preparedness System. FEMA officials said that a draft revision of the current version of this capability will be issued in the second quarter of fiscal year 2010 for public comment, and will include specific outcomes, metrics, and resources for implementation. The current version of this capability includes the number of local Citizen Corps Councils Nation-wide and the percent of the population served by a Citizen Corps Council as preparedness metrics. Based on our October 2009 testimony, the accuracy of these metrics could be improved, and they are not useful indicators of community preparedness.<sup>8</sup>

*Question 2.* FEMA Grants Directorate has told committee staff that the FEMA Regional Offices administer the Citizen Corps grant program. Yet FEMA's Preparedness Directorate is responsible for the programmatic aspects of Citizen Corps. Was GAO able to determine clear lines of responsibility and coordination for Citizen Corps between FEMA Preparedness Directorate, FEMA Grants Directorate, and the FEMA regional offices?

*Answer.* Our on-going work on FEMA's challenges with regard to community preparedness was not designed to examine whether FEMA had established clear lines of responsibility and coordination for Citizen Corps, between FEMA's National Preparedness Directorate, FEMA's Grant Programs Directorate and FEMA's regional offices. However, coordination and clear lines of responsibility between these organizations may be difficult because, as we reported in August 2009, FEMA has not consistently aligned its agency goals with those of its components.<sup>9</sup> Furthermore, in our October 2009 testimony, we reported that FEMA had not developed a strategic plan for implementing the National Preparedness System, or established how its community preparedness programs fit within the system.<sup>10</sup> Aligning agency-wide goals and objectives and aligning performance metrics at each operating level with those goals and objectives is an effective management practice. FEMA has a strategic plan, but in our recent work FEMA officials acknowledged that the goals and metrics are at the agency level and that establishing performance goals at the regional or division level would help FEMA to cascade organizational goals down to the individual staff level.<sup>11</sup>

Responsibility for Homeland Security Grant Program administration and management was transferred from the Grant Programs Directorate (GPD) to new Regional Grant Program Divisions based on a February 2008 FEMA memorandum outlining a Concept of Operations for Regional-National Preparedness. GPD Investment officers were responsible for managing grant programs until capabilities were developed in the regions, based on the memorandum. As of October 30, 2009, five grant programs had been transferred to the regions, including the Citizen Corps program grant in 2008, according to FEMA grant officials.<sup>12</sup> The 2008 memorandum outlined

<sup>5</sup> GAO, *National Preparedness: FEMA Has Made Progress, but Needs to Compete and Integrate Planning, Exercise, and Assessment Efforts*, GAO-09-369 (Washington, DC: April 30, 2009).

<sup>6</sup> GAO, *Actions Taken to Implement the Post-Katrina Emergency Management Reform Act of 2006*, GAO-09-59R (Washington, DC: November 21, 2008). For a description of the methodological and coordination challenges FEMA faces in developing a Comprehensive Assessment System, see GAO-09-369.

<sup>7</sup> The Post-Katrina Act was enacted as title VI of the Department of Homeland Security Appropriations Act, 2007, Pub. L. No. 109-295, 120 Stat. 1355, 1394-1463 (2006).

<sup>8</sup> GAO, *Emergency Management: Preliminary Observations on FEMA's Community Preparedness Programs Related to the National Preparedness System*, GAO-10-105T (Washington, DC: October 1, 2009).

<sup>9</sup> GAO-09-676

<sup>10</sup> GAO-10-105T.

<sup>11</sup> GAO-09-676.

<sup>12</sup> The other four grants transferred to the regions included the Emergency Management performance grant, Metropolitan Medical Response System program grant, Emergency Operations Center grant, and the Driver's License Security grant program (formerly REAL ID).

the relationship envisioned between the regions and FEMA headquarters as one in which the National Preparedness Directorate (NPD) develops National policies, while FEMA regions are to implement and manage programs across Federal agencies, States, Tribes, local jurisdictions, non-governmental organizations, the private sector, and citizens. NPD issued Preparedness Priorities and Programmatic Guidance for the Regions in August 2009 establishing regional expectations and guidance for regions to use in preparing their regional annual program plans. One of the Deputy Administrator's seven preparedness priorities outlined in the guidance is Community and Individual Preparedness.<sup>13</sup> The Community Preparedness Division, had one priority—Citizen Corps and community preparedness.<sup>14</sup> The regional plans were expected to be submitted by October 1 to cover the period of October 1, 2009 to September 30, 2010. Our work did not include whether the plans were submitted.

While not a focus of our review of the Citizen Corps program, we have several observations from our work related to coordination and lines of responsibility among the Preparedness Directorate, GPD, and FEMA Regional Offices that may be valuable as new relationships are being developed.

- Citizen Corps program officials stated that they have worked with FEMA grant officials to establish grant guidance for the Citizen Corps grant program and other Homeland Security grants used for community preparedness purposes. GPD is to ensure that grant requirements are followed. For example, grant guidance requires Citizen Corps grant recipients to register their Citizen Corps Council on the website and to manage their program and contact information. This information is used by the Citizen Corps program officials as an indication of the program's accomplishments. As our October 1, 2009 testimony indicated, the requirement to manage program information was not always met because we found registered Citizen Corps Councils that were not active.<sup>15</sup>
- Citizen Corps program officials also stated that it has been difficult to use grant-related data to obtain information for program management purposes. Officials indicated, and our work also reflected, that it is difficult to extract data from GPD's database to specifically identify the amount of funding awarded for community preparedness purposes and how the funding was used. These officials also said they found Citizen Corps grant program data collected from FEMA's on-site grant monitoring process to be difficult to analyze because the information is in narrative form and not easy to aggregate. Further, Citizen Corps officials said they were limited in the number of Citizen Corps questions that could be included for use by FEMA officials during their monitoring visits to grant recipients. Citizen Corps grant questions were included for on-site monitoring in 2007 and 2008. However GPD officials said that there are no Citizen Corps questions planned for 2009 grant monitoring because there is a limit on the questions that can be addressed during such visits and the Citizen Corps grants are relatively small.

QUESTION FROM HONORABLE DINA TITUS FOR WILLIAM "BILL" O. JENKINS, JR.

*Question.* What assessment work has GAO done to evaluate DHS and FEMA on their work with the private sector, specifically the hospitality industry? Is it GAO's estimate that FEMA has done enough to build strong educational and operational relationships with the hospitality industry? If not, what steps would you recommend for FEMA?

*Answer.* We have done very limited work with regard to the private sector and disaster assistance and recovery, including the hospitality industry, and we have not assessed FEMA's efforts to build relationships with the industry. Thus, we are not positioned to recommend what steps FEMA could take to build these relationships. Hotels are one form of immediate post-disaster housing that FEMA has used in the past. Concerns over FEMA's provision of temporary housing assistance following Hurricane Katrina led to the development of the National Disaster Housing Strategy, which is to address the mix of temporary housing options that could be used following a disaster.

<sup>13</sup>The Community and Individual Preparedness priority is to execute programs in the region and support initiatives from headquarters or the region that promote comprehensive community preparedness, especially individual preparedness and accountability.

<sup>14</sup>Regions are required to address the Deputy Administrator's priorities but not all the Division priorities. Four of the 10 National Preparedness Directorate (NPD) Divisions included regional priorities in the memorandum. In addition to the Community Preparedness Division, the other three divisions established multiple priorities for the regions, covering areas such as exercises, training, and technological hazards. The 2009 guidance indicates a need to balance resources across various regional needs.

<sup>15</sup>GAO-10-105T.

## QUESTIONS FROM CHAIRMAN HENRY CUELLER FOR WENDY L. SMITH

*Question 1.* How is your Community Emergency Response Team—or CERT—effective in increasing the level of community emergency preparedness? How do you know?

Answer. Many of our team members join for the specific purpose of coordinating emergency preparedness teams within their faith-based organizations, workplaces or neighborhoods. The City of McAllen's team is remarkable in its diversity, with team members ranging from homemakers to professors to health professionals, representing various ethnicities and ages. Recruiting is done primarily by word of mouth by these trained participants. The effectiveness of the program is measured by the waiting lists for future classes.

*Question 2.* What can FEMA do to help localities improve their community preparedness efforts?

Answer. Additional funding is always welcome so that more volunteers can be trained. However, eliminating categorical restrictions within the grant, allowing more flexibility in the areas where funds are really needed, will also help local governments expand community preparedness efforts.

*Question 3.* What are the challenges to getting citizens prepared for a disaster and how can FEMA, working with its partners, take steps to address these challenges?

Answer. Complacency is a challenge, but we have found that introducing programs into the school system results in a greater impact on adults and children alike. This has worked particularly well with the City of McAllen's recycling program. We have one of the highest recycling rates in the State, while at the same time growing a generation of environmental stewards. If children are conscious of the need for individual disaster preparedness, those around them will be as well.

*Question 4.* To what extent do social groups, such as neighborhoods, the workplace, schools, and faith communities, motivate people to become prepared? How can the emergency management community better leverage these groups to improve individual readiness?

Answer. Social groups, like the ones listed, are the primary method by which we recruit volunteers and communicate the message of community preparedness. These groups often have disaster response committees which are coordinated by CERT-trained volunteers. Targeted marketing through churches, schools, hospitals and other large employers improves individual readiness more efficiently than one-to-one contact.

*Question 5.* How can the Ready Campaign best complement State and local emergency awareness efforts?

Answer. The Ready Campaign is a useful tool for those citizens who already have an interest in emergency planning. Additional marketing and expanded local/State information within the site would aid State and local emergency awareness efforts.

**PREPAREDNESS: PART II**  
**WHAT HAS \$29 BILLION IN HOMELAND SECURITY GRANTS BOUGHT AND HOW DO WE KNOW?**

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**Tuesday, October 27, 2009**

U.S. HOUSE OF REPRESENTATIVES,  
COMMITTEE ON HOMELAND SECURITY,  
SUBCOMMITTEE ON EMERGENCY COMMUNICATIONS,  
PREPAREDNESS, AND RESPONSE,  
*Washington, DC.*

The subcommittee met, pursuant to call, at 10:05 a.m., in Room 311, Cannon House Office Building, Hon. Henry Cuellar [Chairman of the subcommittee] presiding.

Present: Representatives Cuellar, Richardson, Cleaver, Titus, Thompson (ex officio), Rogers, and McCaul.

Also present: Representative Kilroy.

Mr. CUELLAR [presiding]. The Subcommittee on Emergency Communications, Preparedness, and Response will come to order. The subcommittee is meeting today to receive testimony regarding “Preparedness, What Has the \$29 Billion in Homeland Security Grants Bought, and How Do We Know?”

Good morning and on behalf of the Members of the subcommittee, let me welcome our three witnesses that we have here today. In particular I note we have three Parliament members from the Republic of Austria. Are you still here? Yes. You are back there. If you all want to stand up, and we want to welcome you. I think you are up here with the State Department and looking at how we do things in Homeland Security, and we appreciate you all coming to visit us. So thank you very much. Welcome.

The subcommittee is holding this hearing to receive testimony on FEMA’s initiative to measure the return on investment from the Homeland Security Grant Program. Congress has appropriated \$29 billion for homeland security grants since fiscal year 2002. This number does not include the \$4.17 billion that Congress approved for fiscal year 2010. So when you add that amount, you are talking about way, \$32, \$33 billion in the last 7 years that we have had this part of the system.

Congress and FEMA must know what the taxpayers have gotten for their money. We need to understand how much more prepared our communities are as a result of homeland security grants; that is, what are the results, what results are we trying to measure when we look at this? It is for this reason that Congress has directed FEMA to establish performance metrics that would allow

States and urban areas to demonstrate the capabilities they have built and sustained with Federal funding.

FEMA calls its effort to measure the return on homeland grants the Cost-to-Capabilities Initiative, the C2C. FEMA describes the C2C as a tool that will allow States and urban areas to objectively measure the impact of homeland security grants on the preparedness levels. FEMA wants C2C to replace the current method of awarding homeland security grants by 2010. FEMA brought in 17 States and cities this summer to test the C2C prototype. To better understand the C2C, the committee asked all participants to fill out a survey with their feedback on the project. I want to highlight a couple of the concerns with the C2C project that stakeholders identified for us.

For example, the first one was that C2C is being sold as a tool that would objectively measure the capability gained or sustained for each homeland security dollar. But in reality, C2C remains entirely subjective. Grantees are simply asked to guess the impact of the grants on their preparedness levels. I thought C2C was supposed to get rid of that guesswork and look more at the results.

The second concern that was brought up is that the C2C does not take into account the risk or the threat levels for a particular State or a city. Without taking into account risk, C2C cannot lead the effective distribution of homeland security grants.

These are not the only flaws with the C2C that were brought up by the stakeholders, and they raise serious questions about whether FEMA will be ready to mandate C2C for homeland security grants next year. Texas, Mr. McCaul, our State, is currently testing the tool right now. I am eager to get their feedback because it seems that C2C may have too many flaws to make it worth the effort.

I hope we can have a forward-leaning discussion today on C2C and the larger question of how FEMA is measuring preparedness. Joining us to wrestle with this issue is FEMA's Deputy Administrator for National Preparedness, Mr. Tim Manning. Thank you for being here with us; good seeing you again.

Mr. Manning, you inherited the C2C from your predecessor, and I would like for you to tell us whether Administrator Fugate and Secretary Napolitano intend moving forward with the C2C and, if so, how FEMA will correct its many weaknesses. Certainly I want to have a discussion on that because, as you know, I did do my dissertation on performance measures, and this is a little different from what I have seen.

But joining Mr. Manning are two homeland security advisers who have tested the C2C tool. I am pleased to welcome Mr. David Maxwell, Director of Arkansas' Department of Emergency Management, and thank you for being here. I would like to extend my congratulations to you, Mr. Maxwell, for recently assuming the presidency of the National Emergency Management Association. So we look forward to your testimony.

C2C is also intended for cities that are party of this urban area security initiative. I am pleased to also say that we have Ms. Crandall, who is a Director of Homeland Security for Franklin County in Ohio. Ms. Crandall, I want to thank you very much for being here with us today.



I want to thank all of you, Mr. Manning, Ms. Crandall, and Mr. Maxwell for being here. Measuring preparedness is a difficult task. I think if you look at the 50 living laboratories of the 50 States, we have gone through this already. The Federal Government is behind on performance measures, is behind on coming up with the measures. If anybody says that it is difficult we understand the definition of what results are to be difficult. But if you look at the different 50 States, you can certainly get a lot of ideas of what is out there so you can measure preparedness.

Again, I hope this hearing will help us better understand how FEMA can successfully move forward on that.

Before recognizing the Ranking Member, I need to mention that the Members of this subcommittee also are not very happy with FEMA's new policy of limiting preparedness grants from being used to keep vital homeland security equipment operational. FEMA never briefed the committee on the policy before it was released, and I believe it clearly violates the 9/11 Act.

I am glad that Ms. Kilroy, Representative Kilroy, identified this policy as one that would hurt her district, and she has introduced legislation to overturn FEMA's policy, and I support the bill and I hope to advance it this fall. Hopefully FEMA could maybe take some action before we get to this point. I anticipate Members will have questions for our three witnesses about the policy and its impact on homeland security.

I would ask for unanimous consent to enter into the record two statements. The first statement is a National Governors' Association statement on C2C. The second is the National Emergency Management Association statement on Ms. Kilroy's legislation that addresses FEMA's policy on grant funding for maintenance projects. Hearing no objection, it is so ordered.

[The information follows:]

#### STATEMENT OF THE NATIONAL GOVERNORS ASSOCIATION

The National Governors Association (NGA) wishes to thank Chairman Cuellar, Ranking Member Rogers, and other distinguished Members of the subcommittee for holding this hearing and allowing Governors the opportunity to participate in this important discussion regarding homeland security funding.

The following statement will focus on three areas of importance to Governors and their homeland security advisors: (1) The importance of measuring homeland security capabilities; (2) the State role in managing and administering grant funds, including measuring, assessing and reporting State-wide capabilities; and (3) the importance of ensuring that capabilities are not only built and developed, but also maintained over time.

#### MEASURING CAPABILITIES

Governors believe Federal funding provided to States should focus on developing or enhancing common core capabilities and support efforts to measure the effectiveness of grant funds in building and maintaining preparedness and response capabilities (see appendix A, NGA homeland security policy). As States and urban areas face varying threats and vulnerabilities and utilize different approaches to allocate homeland security resources, Federal leadership in providing tools and a common methodology to assess baseline capabilities is critical.

To help address this issue, the Grant Programs Directorate (GPD) at the Federal Emergency Management Agency (FEMA) has recently conducted pilot programs in several States and urban areas to test the Cost-to-Capability (C2C) initiative. C2C attempts to measure the effectiveness of the State Homeland Security Grant Program (SHSGP) and the Urban Areas Security Initiative (UASI) grant program by asking grantees to utilize the National Planning Scenarios and the Target Capabilities List (TCL) to categorize projects. Grantees are then asked to assign capability

gains and sustainment percentages to the associated grant-funded projects. As envisioned and tested by GPD, C2C would be used to make recommendations for the award and use of grant funds in future years.

C2C has the potential to reduce the evaluation and reporting burden placed on States. Currently, FEMA's National Preparedness Directorate (NPD) and GPD require States to submit the same information using different processes to produce the same outcome. For instance, NPD requires information using different processes to produce the same outcome. For instance, NPD requires States to report on capabilities and investments through the State Preparedness Report. Similarly, GPD requires States and urban areas to submit detailed investment justifications, including information regarding capability development and resource needs, as part of the peer review process used to assess the effectiveness of grant applications. C2C or a similar initiative could be very helpful if it were used to bridge the gap between NPD and GPD by utilizing a single process to collect the necessary information to assess the effectiveness of grant programs.

While C2C is well-intentioned, it will require significant modification and greater coordination among FEMA divisions in order to produce meaningful assessments. The following summarizes some of the feedback received from participants in the first of two pilot projects:

- *C2C's reliance upon documents that are under on-going revision will make it difficult to assess capability development over time.*—C2C relies on the TCL and National Planning Scenarios; however, both of these documents are currently being revised by FEMA. C2C would require States to assess the percentage of capability gain and sustainment against the existing TCLs to form a baseline, making it difficult if not impossible to demonstrate progress over time.
- *C2C does not provide sufficient guidance to grantees to assign value to projects.*—The initiative requires grantees to assign percents of capability gain and sustainment to both the development of entire capabilities and to individual projects. Without the use of common benchmarks or metrics, which are not defined clearly in the current TCL, assessments would be entirely subjective making their use inappropriate to determine the allocation of future grant funds. Assessing State-wide capability gains/sustainment at the local project level is particularly challenging and may not be the best methodology.
- *C2C would be more effective if it incorporated consideration of specific threats facing States and urban areas and the resulting regional risk.* In its current form, C2C relies upon the National Planning Scenarios that do not apply to all grantees in all areas and, therefore, have not been used by many grantees in their planning processes. One alternative would be to use existing State and urban area homeland security strategies that have been used for years to guide the grants process. These strategies have long been important in identifying priorities for enhancing local, regional, and State capabilities to prevent, protect against, respond to, and recover from terrorist attacks, natural disasters, and other man-made events. Utilizing existing strategic plans of grantees would make C2C more practical and effective for all users.
- *C2C should be adjusted to allow for risk-based local allocations.*—C2C assumes that all States allocate the 80 percent local share of grant funds based on a competitive process; however, there are several States that utilize a risk-based methodology to allocate the local share of the funds. In order to be fully utilized by all States, C2C must be adjusted to allow for the use of risk-based local allocations.
- *C2C does not differentiate between the State share (20 percent) of funds and the local share (80 percent) in producing investment options.*—For instance, the optimal investment portfolio recommended by C2C may propose local projects for only 50 percent of the grant funds, which is not currently permissible under law.
- *C2C is not intuitive or user-friendly.*—The current C2C prototype employs a complicated methodology with limited transparency on critical elements. For example, the prioritization of the Target Capabilities is done by ranking the National Planning Scenarios but the linkage between the two is not entirely clear. FEMA should work with State and local stakeholders to ensure the system is both intuitive and transparent.

#### STATE ROLE IN MANAGING GRANT FUNDS

Federal funds provide critical support to State and local efforts to prevent, prepare for, and respond to terrorist attacks, natural disasters, and man-made events. States play an important role in building, coordinating, managing, and assessing the use of such funds to support homeland security capabilities throughout the State.

As discussed above, States establish homeland security strategies and plans that are updated on an on-going basis. These strategies guide the use of Federal, State, and local funds to build and sustain critical capabilities such as interoperable emergency communications, hazardous materials response (HAZMAT), and critical infrastructure protection. The planning, administration, and oversight of Federal funds is an extremely important and labor intensive effort, given the numerous grant programs, open contracts, and significant amount of funds (Federal and State) currently being administered by States.

Since the establishment of the Department of Homeland Security, Federal reporting requirements have increased. For instance, States are required to complete an annual State Preparedness Report in which they must self-assess current capability levels. This report is time-consuming to put together, and it must assess funding received from all preparedness grants. Participation in working groups and pilot programs such as C2C are also important but time-consuming.

As these requirements have increased over time, the amount of grant funding States may use for management and administrative (M&A) purposes has been reduced from 5 percent to 3 percent for many of the major grant programs. Prior to fiscal year 2008, States were permitted to use up to 5 percent of grant funds for M&A purposes. The Implementing Recommendations of the 9/11 Commission Act of 2007 (Pub. L. 110-53) limited M&A to only 3 percent of the grant award, which has put a strain on the ability of States to fulfill their management and oversight responsibilities and meet the increasing reporting requirements of the grant programs. The often short deadlines associated with the grant programs further exacerbate the challenges facing State Administrative Agencies and highlight the need for additional resources.

Given the increased emphasis on accountability and to ensure the effective use of grant funding, allowing 5 cents of every dollar to support the planning, management, and oversight of the funds is a wise investment. Additionally, greater flexibility to "pool" M&A funds across different FEMA preparedness grant programs would improve the effectiveness and efficiency of State oversight activities. Currently, M&A from different grants must be discretely accounted for. This is onerous and puts personnel managing multiple grants in a difficult position trying to figure out how much time is spent on what grant and what grant year. This is even more challenging at the local, county, and municipal level where fewer people manage more grants.

As the Federal Government and Congress consider changes to the grant programs and their affiliated requirements, Governors urge consideration for greater flexibility in the use of grant funds to meet such requirements. Restoring the ability to use up to 5 percent of funds for M&A will help ensure that grants are used as effectively as possible by providing proper oversight and coordination. It will also support critical planning and assessment activities (such as State participation in C2C or similar initiatives) that provide the basies for the on-going development, revision, and implementation of National homeland security priorities.

#### SUSTAINMENT OF HOMELAND SECURITY CAPABILITIES

An additional concern to Governors is the ability to not only build homeland security capabilities but also to sustain them over time. Many capabilities, such as interoperable communications, intelligence, and information sharing through fusion centers, and HAZMAT response, have been built using a combination of Federal, State, and local funds. While building these capabilities requires an infusion of funds, more moderate but consistent levels of funding are required to maintain necessary systems and equipment and ensure personnel receive proper training. Without sufficient flexibility in the homeland security grant programs to allow for the sustainment of capabilities, preparedness, and response capabilities that have been identified as National priorities will be severely weakened or lost entirely.

FEMA recently informed States that they may only use grant funds to pay for maintenance agreements, user fees, and other sustainment costs as long as the equipment was purchased with FEMA preparedness grant funding and the costs fall within the performance period of the grant that was used to purchase the equipment. This policy is inconsistent with past practice and will have a severe adverse effect on many States.

As discussed in a letter sent by NGA to Homeland Security Secretary Napolitano (Appendix B), this policy is inconsistent with the stated goal of the Homeland Security Grant Program and will have the unintended consequence of reducing capabilities and wasting scarce resources. Without greater flexibility to use grant funds for sustainment purposes, many projects may be cancelled and equipment may need to be replaced well before its serviceable lifetime would otherwise end. For example,

information technology projects that support interoperable communications systems or intelligence fusion centers are dependent upon the maintenance of software agreements, technology upgrades and user fees throughout the life of the system. If grant funds from current and future years cannot be used to support these costs, it will have an immediate negative effect on these national homeland security priorities. As another example, level A HAZMAT response teams must maintain the ability to operate in hazardous environments. To do so requires that annual recalibration and preventative maintenance be performed on equipment monitoring and hazard prediction systems.

Together, governments at all levels have invested billions of dollars over past several years to build capabilities to prepare for and respond to acts of terrorism, natural disasters, and other man-made events. Governors urge the Federal Government and Congress to revise the current FEMA policy on sustainment funding to ensure that the partnership among States and the Federal Government to build, support, and maintain homeland security and emergency management capabilities continues and the taxpayers' dollars are used in the most cost effective manner.

#### CONCLUSION

On behalf of the Nation's Governors, thank you for the opportunity to provide comments on the important issue of homeland security funding. Homeland security is a joint responsibility involving State and local governments and their Federal partners. Intergovernmental cooperation and coordination is essential to protect the safety and security of the country. Thank you for your consideration of the State role in this partnership and the challenges and opportunities it creates.

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#### STATEMENT OF THE NATIONAL EMERGENCY MANAGEMENT ASSOCIATION

Chairman Cueller, Ranking Member Rogers, and Members of the subcommittee, as President of the National Emergency Management Association (NEMA) I appreciate the opportunity to submit this statement for the record regarding H.R. 3837. NEMA represents the directors of emergency management in the 50 States, territories, and District of Columbia. The legislation introduced by Congresswoman Kilroy is in response to a recent ruling by the Grant Programs Directorate (GPD) at the Federal Emergency Management Agency (FEMA) regarding allowable sustainment costs in grant funding.

The new policy clarification issued through FEMA-GPD has created a major impact on States' ability to sustain homeland security and emergency management capabilities as grantees will no longer be able to pay for maintenance agreements, user fees, and other sustainment costs for equipment outside the performance period of the grant that was used to purchase the equipment. For nearly 10 years, State and local governments have invested billions of dollars in critical lifesaving equipment with Federal grant assistance. State and local governments are willing partners in sharing the cost burden in conjunction with Federal grants, but this recent ruling will cause an undue burden on many organizations across the country.

As sensitive communications, detection, and other lifesaving equipment is purchased long-term maintenance and calibration contracts are often required to maintain a state of readiness and effectiveness. These sustainment costs have traditionally been an allowable expense under available grant funding, but this recent ruling has discontinued the policy. Should this policy not be reversed and the eligibility of these costs be called into question, States would be faced with an insurmountable challenge of maintaining this lifesaving equipment without the assistance of grant funds used to originally purchase the assets.

Equipment purchases and maintenance are not the only aspects of emergency management suffering as a result of this policy. The grant guidance for the Urban Area Security Initiative (UASI) of 2008 states the UASI program is, "intended to assist participating jurisdictions in developing integrated regional systems for prevention, protection response and recovery" (p. 30). Utilizing multiple grants has allowed UASI regions to identify weaknesses, design solutions, and deploy regional systems through investments to local jurisdictions that collectively create a regional system or capability. There are several regional UASI initiatives that will be seriously jeopardized if UASI funds may no longer be used to sustain these efforts.

While State and local governments are willing to share some of the burden with the Federal Government, the cost of this policy is well beyond the means of governments in this time of economic crisis. We do not, however, wish to see these grant programs become block grants for nothing more than maintenance and sustain-

ability costs. NEMA has therefore requested Secretary Napolitano intervene to assist in overturning this policy as swiftly as possible.

As for NEMA's position on H.R. 3837, at this time the bill remains under consideration by the Homeland Security and Legislative Committees of NEMA and should there be recommended changes, we will submit those to the House Homeland Committee Staff accordingly. We agree with the legislation in principle, and have assisted with obtaining co-sponsors, but we are also carefully analyzing each aspect of the bill to ensure all the measures are appropriate. It is our hope this issue can be resolved administratively through FEMA, DHS, the Office of Management and Budget, and the administration prior to resorting to legislative options.

Thank you for this opportunity to address the subcommittee through this written statement. NEMA stands ready to work with committee staff to resolve this unfortunate situation as expeditiously as possible be it through legislative or administrative channels.

Mr. CUELLAR. So with that let me again thank our witnesses for their participation. I look forward to hearing your testimony and working with you to ensure that we all are getting the best results for our homeland security dollars.

The Chair now recognizes my friend the Ranking Member of the subcommittee, the gentleman from Alabama, Mr. Rogers, for an opening statement.

Mr. ROGERS. Thank you, Mr. Chairman, for calling this important hearing and I want to thank the witnesses for taking time out of your busy schedules to be with us. I know you have other things you could be spending this time on. Being here is important, and I appreciate your preparing for this hearing and being here.

As you heard the Chairman, this hearing is being held to examine how FEMA is meeting Congressional mandates to measure the Nation's preparedness levels as well as to establish performance metrics for State and local homeland security grant programs. DHS grants are essentially increasing our Nation's level of preparedness. We must ensure that these programs continue to receive robust funding. It is concerning that more than 8 years after September 11, FEMA still cannot answer the question: How prepared are we? Since 2006, Congress has mandated FEMA to develop tools to answer this question and to assess the achievement and effectiveness of its grants programs.

As a result of one such Congressional directive in 2008, FEMA launched the Cost-to-Capabilities Initiative. Unfortunately, this committee has learned from many States and localities that the new cost-to-capabilities tool is very subjective and is not user friendly and has not yet found a way to accurately measure preparedness. So I am interested in learning how FEMA plans to improve C2C.

I am also interested in discussing the feedback and recommendations the agency received from the States and locals that participated in the first phase of C2C.

I want to hear from the panel on how FEMA is harmonizing C2C with all the other preparedness benchmarks required by the Congress, including the target capabilities list, the comprehensive assessment system, and the State preparedness report.

Finally, I want to underscore the importance of the Fire and SAFER Grants Programs in achieving preparedness capabilities as well. I am interested in learning how the effectiveness of these programs is being measured in coordination with other key homeland security programs.

The Fire Grants Reauthorization Act of 2009 was recently marked up by the Science and Technology Committee, and this bill will likely be on the floor soon. As we were talking before this meeting, I sent a letter to Chairman Thompson stating my support for his request that this committee receive a sequential referral of that bill. This bill authorizes and makes significant changes in the Fire Grant Program. It is important that our committee and this subcommittee in particular assert its jurisdiction to provide key input on this bill before it is considered on the floor.

With that, I want to thank our witnesses again for being here. I thank the Chairman for calling the hearing and yield back my time.

Mr. CUELLAR. Thank you, Mr. Rogers. Other Members of the subcommittee are reminded that under the committee rules, opening statements may be submitted for the record.

[The statement of Hon. Richardson follows:]

PREPARED STATEMENT OF THE HONORABLE LAURA RICHARDSON

OCTOBER 27, 2009

Mister Chairman, thank you for convening this very important hearing today focusing on the return on investment from homeland security grants. I know of your commitment to this issue.

Thank you Mr. Manning, Ms. Crandall, and Mr. Maxwell for taking the time to be here today to discuss this important issue. It is an important duty of Congress to provide adequate funding so agencies like FEMA are able to carry out their mission. But it is equally important that we can account for those funds so the American public knows that taxpayer dollars are spent efficiently and effectively. Congress should take every opportunity to weed out waste in Government, especially in the current economic climate.

The Cost to Capability (C2C) prototype is a tool established by FEMA to help States and urban areas evaluate the effectiveness of programs funded in whole or in part by homeland security grants. In this way, State and local governments will be armed with the information regarding what works and what does not, and the Federal Government will have empirical data which can be used to determine funding priorities.

The 37th Congressional District of California, which I am privileged to represent, has a vital interest in ensuring that homeland security resources are used effectively. My district is located in Southern California, which is no stranger to natural disasters ranging from earthquakes to mudslides to wildfires. The 37th district is also home to many high-value terrorist targets, such as the Port of Long Beach.

While I am happy to hear that FEMA is making an effort to measure the return on investment from homeland security grants using the C2C application, I am troubled by some of the concerns expressed by States and urban agencies, particularly those in the Los Angeles/Long Beach urban area in my home State of California.

For example, it is my understanding that the Los Angeles/Long Beach urban area was one of the cities selected to participate in the first C2C pilot. The purpose of this pilot program was to test the C2C program measurement capabilities. After participating in the study, city officials identified a number of concerns about the prototype, all of which call into question its effectiveness as an analytic tool. These problems led the city of Los Angeles to conclude that the C2C prototype is inadequate as an accounting and reporting tool.

Specifically, L.A. Mayor Villaraigosa identified the following concerns:

1. The prototype does not include a methodology for evaluating capability enhancements and capability sustainment, which means that reports provided by the tool have little or no utility in assessing homeland security investments.
2. The prototype tool does not account for local funding contributions (many States and localities invest significant amounts of their own funds) which has the effect of overstating the impact of Federal contributions.
3. The prototype does not analyze how dollars spent on homeland security impact more than one target capability.
4. Information entered is inconsistent in terms of the parties and jurisdictions participating, so the mixture of data results in inaccurate reports and analysis.

5. The prototype does not identify risk factors that should and do dictate how local homeland security funds are allocated.

Mister Chairman, it is important that FEMA collects and reports reliable data so decisions can be made on the basis of sound and accurate factual information. Homeland security is too important for FEMA to rely on inaccurate reports on preparation levels produced from mixed and incomplete data.

A good analytic tool is one that takes into account homeland security strategies already in place, such as in Los Angeles and in California. A good analytic tool takes into account that resources should be invested in the places of the greatest need, and it would reliably and accurately identify where those places are. The potential costs are simply too great, not just in monies wasted, but in lives lost in the event of a public emergency for which we have not adequately prepared.

I look forward to working with the committee and hearing from our panel of witnesses in how we can redevelop this tool to better identify those areas. Thank you again, Mr. Chairman, for convening this hearing. I yield back the balance of my time.

Mr. CUELLAR. Again, to the panel of witnesses, the first witness will be Mr. Tim Manning, who serves as the Deputy Administrator for National Preparedness at the Federal Emergency Management Agency, and again thank you for being here. Of course our second witness is Ms. Kathy Crandall, Director of Homeland Security and Justice Programs for Franklin County in the State of Ohio, and of course the third and final witness is Mr. David Maxwell, Director of the Arkansas Department of Emergency Management and State Homeland Security Adviser.

Again, we are happy that you are here. I hope you are happy, too. Without objection, the witnesses' full statements will be inserted in the record, and I will now ask Mr. Manning to summarize his statement for 5 minutes.

**STATEMENT OF TIMOTHY W. MANNING, DEPUTY ADMINISTRATOR, NATIONAL PREPAREDNESS, FEDERAL EMERGENCY MANAGEMENT AGENCY, DEPARTMENT OF HOMELAND SECURITY**

Mr. MANNING. Thank you, Mr. Chairman. Chairman Cuellar, Ranking Member Rogers, Chairman Thompson, good morning, Members of the subcommittee, on behalf of Administrator Fugate, it is a privilege to be here this morning before you today to discuss our ability to identify and measure the benefits that are accrued from nearly a decade of homeland security spending.

The Post-Katrina Emergency Management Reform Act of 2006 requires the implementation of a National comprehensive system to assess emergency management efforts. The PKEMRA states that preparedness must be expressed in terms of measurable capabilities that are aligned with definable inputs and the ability to perform specific tasks.

Intuitively, we could answer the question "Are we better prepared?" with a "Yes." We could validly point to the amount and type of equipment that has been purchased, the physical security improvements that have been made, and the planning, training improvements that have occurred and conclude that, yes, we are better prepared. However, intuitive conclusions are not good enough, and DHS and FEMA are committed to answering the questions of preparedness with a greater degree of accuracy.

The many new programs enacted since September 11 have substantially contributed to the National preparedness but along the way have added significant new reporting requirements to our

stakeholders. In 2007, FEMA commissioned the analysis of Federal preparedness requirements in order to assess the impact of the 41 preparedness programs and over 270 preparedness requirements on State emergency management and homeland security agencies.

Published in fiscal year 2009, the analysis of State and local officials' views on Federal preparedness requirements report outlines the views and recommendations of 20 States and urban areas and presents 75 different recommendations from State and local officials for improving the reporting process for Federal requirements. Many of the findings and recommendations focus on the need to reduce the volume of reporting requirements and develop a more efficient system for collecting data from State emergency management and homeland security agencies.

In this past August, FEMA developed a reporting requirements working group consisting of representatives from all of the various FEMA offices and directorates and officials from State, local, and Tribal governments throughout the country. The goal of this working group is to make the collection of data from State, territorial, Tribal, local governments more efficient, transparent, and predictable but, more importantly, a more reliable indicator of the effectiveness of our policies.

The working group will seek ways to enhance communications between FEMA and its partners in emergency management and homeland security agencies throughout the country. Enhancing the communications process will not only reduce duplication of existing requirements, but will also enhance the utility of preparedness data for all levels of government.

Finally, the working group will provide realistic and measurable recommendations for data collection priorities. That is the future. But today FEMA has a number of existing approaches and measurement systems for preparedness. These include the Cost-of-Capabilities Initiative developed by FEMA's Grants Program Directorate.

C2C was designed as a multiyear effort to develop, test, and implement a method to better enable State and local and Federal Governments to strategically manage the portfolio of homeland security grant programs and optimize the impact of those grant dollars. In its initial phase, C2C conducted a "look back" and a "look forward" to determine the best measures of capability gained through the application of grant dollars that supported the National Strategy on Homeland Security, the National preparedness guidelines, and should look to support individual State homeland security strategies and priorities.

The look back confirmed that neither GPD nor its predecessor offices at the Department had ever asked grantees to measure outcomes from grant dollars and therefore the existing data tell us very little about our return on investment or level of performance. FEMA's GPD developed in an accomplishments report a summary of additional findings from fiscal years 2003 through 2007 in May of this year. This report lists the accomplishments of over \$10 billion in homeland security grant spending, and with the committee's permission I would like to enter it into the record.\*

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\*The document has been retained in committee files.



Another initiative underway to assess preparedness and response capability is FEMA's Gap Analysis Program. GAP was designed to be a multiyear program that allows States to evaluate levels of preparedness through analysis of varying data sets. There are many other efforts underway, but I would like to use the balance of my time to underscore one final point.

Establishing meaningful frameworks for the measurement of preparedness is a priority at FEMA, and we look forward to working with the committee and Congress toward a methodology that will inform future decision-making without placing undue burden on our partners in Tribal, State, and local governments.

Mr. Chairman, Ranking Member Rogers, thank you for allowing me to be here today, and Members of the subcommittee, I appreciate the opportunity to testify and I am happy to answer any questions you may have.

[The statement of Mr. Manning follows:]

PREPARED STATEMENT OF TIMOTHY W. MANNING

Chairman Cuellar, Ranking Member Rogers, Members of the subcommittee, I am Timothy Manning, and I serve as Deputy Administrator of the Federal Emergency Management Agency (FEMA). On behalf of Administrator Fugate, it is a privilege to appear before you today to discuss our ability to identify and measure the benefits that have accrued from nearly a decade of homeland security spending.

Mr. Chairman, since fiscal year 2002, the Department of Homeland Security's (DHS) homeland security grant programs have provided more than \$27 billion to State, local, Tribal, and territorial jurisdictions across the Nation. These funds are a direct investment in enhancing the Nation's capability to prepare for, protect against, and respond to a full range of natural and man-made hazards. Given the size of this investment, it is critical for us as stewards of Federal dollars, to be returned. At the end of the day, we need to answer some very fundamental questions. The most fundamental of these is simply: "What have we bought?" Once we are able to answer this basic question, we should then be able to ask the more important one that logically follows, "Are we better prepared?"

The Post Katrina Emergency Management Reform Act of 2006 (PKEMRA) requires the implementation of a National, comprehensive system to assess emergency management efforts. PKEMRA states that preparedness must be expressed in terms of measurable capabilities that are aligned with definable inputs (e.g., people, training, and equipment) and the ability to perform specific tasks. Section 649 of PKEMRA requires the FEMA Administrator to "establish a specific tasks." Section 649 of PKEMRA requires the FEMA Administrator to "establish a comprehensive system to assess, on an on-going basis, the Nation's prevention capabilities and overall preparedness, including operational readiness." The law also requires annual Federal and State preparedness reports, including the results of a comprehensive and strategic assessment of capabilities and resources at all levels of government.

Intuitively, we could answer the question "Are we better prepared?" with a "Yes." We could validly point to the amount and type of equipment that has been purchased, the physical security improvements that have been made, and the planning and training improvements that have occurred, and conclude that we are better prepared. Our National, State, local, Tribal, and territorial efforts have certainly increased our interagency planning across the spectrum of preparedness. This is in itself an achievement that greatly improves our ability to act decisively in a crisis.

However, intuitive conclusions are not good enough. DHS and FEMA are committed to answering questions of preparedness with a greater degree of accuracy.

This is not to say that this is an easy task. "Are we prepared?" and "Are we better prepared?" are questions that we have wrestled with throughout the history of these grant programs. In the end, the answer to these questions will be found in rigorous analysis and the development of precise metrics which will enable us to connect dollars spent to results achieved and ultimately to improvements in preparedness.

There are several efforts currently underway to measure our preparedness by identifying gaps in our preparedness and response capability and attempting to measure improvements supported by our multi-billion dollar National investments.

“COST-TO-CAPABILITIES” (C2C)

One existing approach which has been underway for the last 18 months, and which we continue to evaluate, assess, and improve, is the “Cost-to-Capabilities” (C2C) initiative developed by FEMA’s Grant Programs Directorate (GPD).

C2C resulted from GPD’s need to better inform itself as well as its stakeholders about the impact of grant dollars on both State and National preparedness. Beginning in early 2008, GPD took an extensive look at what has been done to date with preparedness grant dollars and, from that, developed the C2C Initiative. C2C was designed as a multi-year effort to develop, test, and implement a method to better enable local, State, Tribal, and Federal levels of governments to strategically manage the portfolio of homeland security grant programs and optimize the impact of those grant dollars on preparedness efforts.

C2C’s objective is to identify the information and develop the tools needed to effectively manage GPD’s homeland security and preparedness grant programs. With the tools and measurements generated by the C2C initiative, we hope that grantees will be able to maximize their local preparedness investment strategies and align their grant dollars with the Nation’s homeland security priorities. The tools and measurements could lead to changes in the Nation’s homeland security strategy, translating into a clear prioritization of capabilities-based investments that all levels of government can use. C2C tools are meant to inform grantees’ use of inherently finite grant funding and better measure how grants increase the capability of States and local communities to respond to all-hazards.

In its initial phase, C2C conducted a look back and a look forward to determine the best measures of capability gained through the application of grant dollars that supported the National Strategy on Homeland Security, the National Preparedness Guidelines and should support individual State homeland security strategy and priorities. The “look back” confirmed that GPD and its predecessor offices at the Department had never asked grantees to measure outcomes from grant dollars. Therefore, existing data tells us very little about our return on investment or our level of preparedness. GPD developed an Accomplishments Report; Summary of Initial Findings (fiscal year 2003–2007), in May of this year. This report identifies the uses and accomplishments of over \$10 billion in Homeland Security grant funding. With the committee’s permission, I would like to enter this report into the hearing record.

GAP ANALYSIS PROGRAM

Another major initiative underway to assess FEMA’s preparedness and response capability is FEMA’s Gap Analysis Program (GAP), which focuses on the performance of six distinct phases. These six phases are: (1) Selection of Disaster Scenario, (2) Estimation of Response Requirements, (3) Measurement of Baseline Preparedness, (4) Identification of Gaps, (5) Development and Implementation of Strategies, and (6) Evaluation and Application of Lessons Learned. These phases are driven by the Capabilities-Based Preparedness Process outlined in the DHS National Preparedness Guidelines (NPG) and are designed to provide emergency management agencies at all levels of government with greater situational awareness of response resources and capabilities. Like the NPG, GAP is an all-hazards, risk-based, and capabilities-driven program.

Once data is collected, users can measure any scenario against the GAP data to generate additional response requirements and can apply multiple concurrent scenarios or scenarios in succession. GAP provides its greatest value, in this all-hazards functionality. States are encouraged to reference their Statewide Hazard Mitigation Plan is required by the Stafford Act in the development of a disaster scenario, which helps ensure the selected hazard has been prioritized through a process of hazard identification and risk assessment. GAP provides flexibility to States in the scenario development process to ensure the scenario is useful to States’ needs while still giving FEMA and other Federal partners a better understanding of potential requests from States. This flexibility has the added benefit of allowing better integration of GAP into existing efforts the States and Federal Government may already have planned or underway.

In wake of the terrorist attacks of September 11, 2001, many new Federal programs were created to enhance the overall preparedness of our Nation by providing State, territory, local, Tribal, and territorial governments assistance in building and sustaining their capability to effectively prepare for, protect against, respond to, recover from and mitigate natural disaster and terrorist attacks. While these new initiatives have bolstered our Nation’s level of preparedness, they have also created new Federal requirements for State, territory, local, Tribal, and territorial emergency management and homeland security agencies. FEMA’s key partners in emer-

gency management and homeland security report that the existing volume of requests for information is placing a significant strain on their resources.

In 2007, FEMA commissioned the *Analysis of Federal Preparedness Requirements* in order to assess the impact of 41 preparedness programs and 275 preparedness requirements on State emergency management and homeland security agencies. Published in fiscal year 2009, the *Analysis of State and Local Officials' Views on Federal Preparedness Requirements* report outlines the views and recommendations from 20 States as well as the New York and Los Angeles Urban Areas and presents 75 recommendations from State and local officials for improving the reporting process for Federal requirements. Many of the findings and recommendations focus on the need to reduce the volume of reporting requirements and to develop a more efficient system for collecting data from State emergency management and homeland security agencies.

FEMA has engaged State, local, Tribal, and territorial government officials as well as representatives from the National Emergency Management Association and committed to seek opportunities to consolidate and reduce duplicative or similar reporting requirements. In March 2009, FEMA's Office of Policy and Program Analysis was tasked by the Acting FEMA Administrator with leading an effort to identify ways to reduce the impact of FEMA's information collection requirements on State, local, Tribal, and territorial governments while continuing to provide the information used to assist Federal decision-makers. This initiative engaged FEMA Offices and Directorates as well as officials representing State, local, Tribal, and territorial governments.

On July 17, 2009, FEMA Administrator Graig Fugate issued a moratorium on new requests for information that require a response by, or action from any State, local, Tribal, and territorial government. In addition, Administrator Fugate directed a more thorough review of FEMA's reporting requirements to include an assessment of the agency's needs for information as identified by individual Offices and Directorates and information required by legislation such as the PKEMRA.

This past August, FEMA developed the Reporting Requirements Working Group, consisting of representatives from FEMA Offices and Directorates and officials from State, local, Tribal, and territorial governments. The goal of this Working Group is to make the collection of data from State, territorial, local, and Tribal governments more efficient, transparent, and predictable.

FEMA must better communicate its own information needs and understand the information needs of State, local, and Tribal governments. To achieve this goal, the working group has begun developing a calendar of all FEMA reporting requirements in order to provide recommendations for consolidating similar requests and identifying ways to better align its processes with the addition, the Working Group will seek ways to enhance communication between FEMA and its partners in emergency management and homeland security agencies throughout the country. Enhancing the communication process will not only reduce duplication of existing requirements, but it will also help enhance the utility of preparedness data for all levels of government. Finally, the Working Group will provide realistic and measurable recommendations for data collection priorities.

#### CONCLUSION

Continuing to establish a meaningful framework for the measurement of preparedness is a priority at FEMA, and we look forward to working with this committee and the Congress toward priority at FEMA, and we look forward to working with this committee and the Congress toward a methodology that will inform future decision-making without placing undue burden on our partners in Tribal, State, local, and territorial government. Thank you Mr. Chairman, Ranking Member Rogers and Members of the subcommittee, for the opportunity to testify today. I am happy to answer any questions you may have.

Mr. CUELLAR. Mr. Manning, thank you very much.

At this time, I would like to recognize Ms. Crandall to summarize her statement for 5 minutes.

**STATEMENT OF KATHY B. CRANDALL, DIRECTOR, OFFICE OF  
HOMELAND SECURITY & JUSTICE PROGRAMS, COLUMBUS  
URBAN AREA, FRANKLIN COUNTY BOARD OF COMMIS-  
SIONERS,  
FRANKLIN COUNTY, OHIO**

Ms. CRANDALL. Good morning, Mr. Chairman, Members.

The Columbus urban area participated in a Cost-to-Capability Initiative. We were in the first group to test that program. I would like to say that C2C is a program that supports capability-based planning and decision-making process. It identifies a weighted score to prioritize investments and to maximize capability gained while validating sustainment cost and clearly indicating investments that would not be cost-efficient or maintain sustainability.

The initiative does support the States and urban areas in maximizing the development, funding, and implementation of our preparedness projects. When utilized as a decision-making tool, C2C can give us a reduction in jurisdictional and disciplinary bias within our working groups. It evens that out. It gives us a defined return on investment unlike our narrative reporting has historically provided. It identifies geography-based gaps in preparedness, and we have never seen that outcome in our planning previously. It can collate multiple funding streams, including non-FEMA DHS funding streams to support a single project.

There is a clear and concise corollary of tasks to development and sustainment by the target capabilities, and there is data-driven reporting that clearly conveys the level and cost of capabilities gained in sustainment.

As with any assessment and evaluation tool, C2C can and should be modified in enhancement capabilities that are risk threat specific to each State and urban area.

Our experience on the negative side of C2C was that they have used the National scenarios as the base for C2C. In doing that, each State and urban area's specific analysis for threat risk and the strategies that we have built to address the threat risk are ignored. Instead, we are looking at the value base of the National scenarios toward the target capabilities.

So we suggest that there is an assigned value to each target capability based on the individual State and urban area strategy, and that data collection supports a comprehensive strategy for moving forward based on historical progress and to provide a clear State and local position through collective and shared data for both capability gain and sustainment.

We feel we need to integrate precision and performance reporting between the National Preparedness Directorate and the National Grants Directorate. If we do that, there is an elimination of the expensive and subjective peer review process. It would eliminate narrative-based investment justifications and the cost of that peer review process with the investment justifications, reduce reporting requirements through enhanced collaboration between GPD and NPD, and increase value through objective data-based reporting. We would also be able to reduce or eliminate the opinion-based guesswork assessment and evaluation of the State and local preparedness.

One of the largest pieces of C2C is how we are sustaining that which we build. GPD has consistently addressed building and sustaining capabilities in the grant guidance, planning, training, and exercising. The investment justification template actually addresses sustainment. What are you doing? How are you going to sustain what you are using money for in this project?

With a long-term approach to sustaining capabilities developed by the investment, and having participated in peer review 2 of the last 3 years, I can say that most States and urban areas say that they are going to sustain these projects with Federal grant dollars from DHS.

In Ohio, in the urban area, we have a State-wide information-sharing network that is connected through our State's attorney general, and our smaller suburbs and jurisdictions cannot possibly afford the monthly air cards to keep that information-sharing system moving. For intelligence gathering, we are using rapid ID and automated license plate readers. Those too take monthly air cards from now until forever to be able to work, and we have to be able to sustain the equipment that we purchased and have that on-going cost met by Federal funds.

Interoperable communications is probably the largest user of sustainment dollars for the Columbus urban area in the State of Ohio. Shared systems, new towers, ACU 1,000 mobile bridges, mobile and portable radios that have to be repaired, batteries, et cetera. Then we have our CBRNE—the chemical, biological, radiological, nuclear, and explosive detection. The meters that we have purchased have to be calibrated. Their sensitivity is so extremely high, and that is an on-going maintenance cost as well as the PPE that has to be replaced every time OSHA or NIOSH changes the standards. That is on-going cost. Then we have technology and training, and each upgrade of technology takes seat licensing or you have to pay for the next upgrade of that software. Those are sustainment costs that we need.

Billions of dollars have been expended Nation-wide to build capabilities to prepare and protect our critical infrastructure and key resources across this country. The National Association of Counties has stated that every county in the country will be negatively impacted if we do not use sustaining dollars to be able to support that which we have already built. Tens of millions have been spent in the Columbus urban area and throughout Ohio on equipment and training critical on building our priority target capabilities to strengthen our preparedness.

Columbus urban area needs FEMA preparedness grant funding to support sustainment costs and requests that the policy of GPD be reversed.

Thank you.

[The statement of Ms. Crandall follows:]

PREPARED STATEMENT OF KATHY B. CRANDALL

THE COST TO CAPABILITY (C2C) INITIATIVE

The Cost to Capability (C2C) program supports a capability-based planning and decision-making process. It identifies a weighted score to prioritize investments to maximize capability gain and validate sustainment costs while clearly indicating investments that would not be cost-efficient increasing or maintaining capability. The

C2C initiative supports the States and urban areas in maximizing the development, funding, and implementation of preparedness projects. C2C also supports programs to build, enhance, and sustain the target capabilities necessary for an effective state of preparedness.

When utilized as a decision-making tool, the positive elements that C2C offers are:

- Reduction in jurisdictional and disciplinary bias in Urban Area Working Group;
- Defined Return on Investment (R.O.I.);
- Clear target capability gains and cost of sustainment;
- Identified geo-based gaps in preparedness;
- Delivery of data-driven prioritized funding options with allowance for State and local override to meet evolving trends and conditions;
- Collation of multiple funding streams (including non-FEMA/DHS) to support a single project;
- Clear and concise corollary of tasks to the development and sustainment of target capabilities;
- Data-driven reporting that clearly conveys level and cost of capability gain and sustainment.

As with any assessment and evaluation tool, C2C can be modified and should be enhanced with system capabilities that are risk/threat specific to each State/urban area. The current underpinning of the C2C initiative is the National Scenarios. The National Scenarios provide a broad-based preparedness assessment country-wide; however, they do not prioritize target capabilities identified by the State/urban area as addressed in their respective strategies. The Grants Program Directorate (GPD) can refine the C2C system capabilities to reflect the respective user's threat, risk, and need by incorporating the State/urban area strategy with assigned values as part of the base formula behind the program. Non-transparent algorithms that drive C2C must be supported by user selected priority target capability values based on the threat and risk identified by the State/urban area and not as identified by the National Scenarios.

Suggested capabilities that a C2C enhancement must address include:

- Assigned value to each target capability based on individual State/urban area strategy;
- Data collection to support a comprehensive strategy for moving forward based on historical progress;
- Ability to provide a clear State and local preparedness position through collective and shared data for capability gains and sustainment;
- Integrated position and performance reporting to Grants Program Directorate (GPD) and National Preparedness Directorate.

The Comprehensive Assessment System (CAS) developed and implemented by the National Preparedness Directorate (NPD) is intended to continually assess overall preparedness as required by Congress. Within the CAS is the State Preparedness Report (SPR). The SPR is to be completed by all States/urban areas as the foundation for C2C which is under the Grants Program Directorate (GPD) and contained within a separate system. Integration of assessment, evaluation, and reporting functions between NPD and GPD must be built into C2C to eliminate redundancy and greatly reduce ineffective time burdens placed on the grantees. Projected C2C system capabilities and enhancement can maximize State and local grantee's time, reduce cost, and eliminate redundancy in reporting.

Potential time/cost savings resulting from integration and implementation of C2C:

- Elimination of expensive, subjective Peer Review process;
- Elimination of the narrative based Investment Justifications;
- Reduction in reporting requirements through enhanced NPD and GPD collaboration;
- Increased value through objective data-based reporting;
- Reduced and/or eliminated opinion-based (guesswork) assessment and evaluation of State and local preparedness.

#### USE OF FEMA/DHS FUNDS FOR SUSTAINMENT COSTS

The clarification below was received in email form on September 22, 2009 by all States and urban area Points of Contact. In preparation to testify before the Congressional committee, I contacted the National Association of Counties (NACo) to ascertain their position on the sustainment issue. NACo is in full agreement that this FEMA/Grants Program Directorate (GPD) policy is contrary to past practice, phased planning, and implementation, and most importantly, to protecting the foundation of preparedness that we have built across the Nation.

## GPD CLARIFICATION STATEMENT

*Sent on behalf of C. Gary Rogers, Director, Grants Program Directorate/Grants Development & Administration Division*

Below is a clarification of the FEMA/Grant Programs Directorate policy regarding the use of preparedness grant funding for sustainment costs:

“Grantees may use FEMA preparedness grant funding to pay for maintenance agreements, user fees, and other sustainment costs as long as the equipment was purchased with FEMA preparedness grant funding and the sustainment costs fall within the performance period of the grant that was used to purchase the equipment. These sustainment costs are eligible under the equipment category unless the equipment is M&A related (grants management equipment). Grantees may not use future year preparedness grant funding to pay for additional agreements and user fees. These on-going sustainment costs are the responsibility of the grantee. For example, the purchase of 2-way devices to provide connectivity and interoperability between local and interagency organizations to coordinate CBRNE response operations is allowable. Grant funds may be used to cover only those services provided during the grant performance period in which the device was purchased. All on-going expenses after the performance period has expired may not be paid for with FEMA preparedness grant funding. Devices purchased for those individuals involved in coordinating response operations or for eligible planning activities are eligible under the ‘equipment’ category. If purchasing devices for those individuals involved with the grants management portion of these programs, then the costs are eligible under M&A. Please ensure that these costs do not supplant previously budgeted line items.”

GPD has consistently addressed the building and sustaining of capabilities in grant guidance, planning, training, and exercising. The Investment Justification template includes a section specific to Sustainability and asks, “What is the long-term approach to sustaining the capabilities developed by this investment?” Having participated in Peer Review 2 of the past 3 years, I can testify that most States and urban areas answered the question stating that they would rely on Federal funding to continue to sustain the investment.

*Examples of State (Ohio) and Urban Area (Columbus) Projects Adversely Impacted*

- *Information Sharing.*—Ohio Law Enforcement Information Network: this State-wide system connects every law enforcement agency in the State with the State’s Attorney General’s Office. It requires monthly air cards for all users for connectivity through their respective wireless provider as well as maintenance agreements for the mobile data terminals.
- *Intelligence Gathering.*—Rap ID (digital fingerprint identification scanners), Livescan (digital fingerprint entry system) and Automated License Plate Reader Technology: local, regional, and State-wide systems developed and implemented to capture data, shared with three F.B.I. databases and requiring maintenance agreements and monthly air cards for all users for connectivity through their respective wireless provider. Additionally, geospatial mapping capabilities at the primary State fusion center is under an annual maintenance contract agreement. This intelligence gathering is critical to the success of Ohio’s fusion centers.
- *Interoperable Communications.*—Shared systems, new towers, ACU 1000 mobile bridges, mobile and portable radios, and communications vehicles have been purchased to ensure voice and data interoperability for incident command and control. Every piece of equipment requires on-going maintenance, user fees, licenses, upgrades to technology, and/or batteries.
- *Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Detection.*—The meters and monitors required to detect CBRNE are extremely sensitive and must be tested and calibrated on an on-going basis to ensure reliability. Personal Protection Equipment (PPE) required by NFPA and OSHA is constantly being tested and upgraded to enhance the level of protection resulting in repair, replacement parts, and additional equipment being certified and recommended.
- *Technology & Training.*—Each upgrade of technology and equipment requires users to be trained on that technology and/or equipment capability. In addition costs for seat licenses, user fees, software upgrades, program integration, and data storage are on-going capital expenditures.

*Columbus Urban Area Supports Sustainment Funding*

Billions of dollars have been expended Nation-wide to build capabilities to prepare and protect our critical infrastructure and key resources across the country. The Na-

tional Association of Counties (NACo) has stated that every county in the country will be adversely affected by this policy. Tens of millions of dollars have been spent in the Columbus Urban Area and throughout the State of Ohio on equipment and training critical to building our priority target capabilities to strengthen our preparedness. The sustainment of these capabilities is an on-going cost that requires homeland security funding to support in full—or in part—augment State and local funds. The Columbus Urban Area needs FEMA preparedness grant funding to support sustainment costs and requests that the policy of GPD be reversed.

Mr. CUELLAR. Thank you again, Ms. Crandall, for your testimony. At this time I would like to recognize Mr. Maxwell to summarize his statement for 5 minutes.

**STATEMENT OF DAVID MAXWELL, DIRECTOR & HOMELAND SECURITY ADVISOR, ARKANSAS DEPARTMENT OF EMERGENCY MANAGEMENT**

Mr. MAXWELL. Thank you, Chairman Cuellar, Ranking Member Rogers, Chairman Thompson, and the Members of this subcommittee, for your invitations today to talk about the FEMA Cost-to-Capability Pilot I.

I am testifying today on behalf of the State of Arkansas. My staff participated in the C2C Pilot I in July here in Washington, DC. Our staff, after spending the week testing the program and providing feedback to the FEMA program staff, came back to the State to test the program using Arkansas-specific information from fiscal year 2008 and fiscal year 2009 Homeland Security Grant Program. They found the concept of the tool innovative and a step in the right direction in regards to providing a connection between dollars spent toward homeland security goals and the capabilities that are produced as a result of these dollars.

Arkansas, as a recipient of these funds, is committed to and supports building and measuring our capability. However, the tool that is not distinguished between actual dollars spent and its correlation to an actual increase or a decrease in the capability of the State or local jurisdiction. I am not comfortable with the tool being able to take so many factors into account and it results in an accurate reflection of our capability and preparedness levels. I am also concerned that the tool requires a subjective judgment of our base capabilities and, perhaps more importantly, how much an investment has increased a capability.

As a State Director, I do not want this tool to be used as a “report card” to publish our preparedness efforts. The tool should be used as a macro-level planning piece to help determine the Nation’s preparedness levels. Arkansas is committed to the openness of our business practices, but the potential exists to highlight perceived potential weaknesses in our preparedness efforts, and this only gives terrorists an additional area to exploit.

The C2C tool relies on the State preparedness report data, a ranking of the National preparedness planning scenarios, and the State’s assertion of its own capability as baseline data to determine a relationship between dollars spent and a capability gained. I am not convinced that this tool can accurately measure those disparate pieces of data.

Much of the tool is dependent on subjective data determined solely by the States. The States’ preparedness report is a basis for much of the tool’s baseline data. While a great deal of effort goes



into producing an accurate SPR, without a detailed set of standards such as those used by the Emergency Management Accreditation Program, we cannot be assured that the tool correctly analyzes the data. Thus, the results of the C2C tool could produce an inaccurate picture of the State's true capability level.

Currently no standards exist to measure capability or sustainment gains in the C2C tool.

Sustainment is another important issue, and with the addition of this tool, there becomes two definitions of sustainment used within the grant allocation process. Dollars used to sustain a capability are extremely difficult to measure. Dollars used to sustain current equipment can be measured. For the 10 years of the grant program, substantial investments have been made with the assistance from these Federal funds.

Current equipment and future purchases are in jeopardy if funds cannot be used to sustain equipment beyond the initial grant performance period.

Sustainment is an important part of the grant process. Investments, a core principle of the grant process, are the backbone of the equipment acquisition process for both the SAA and the subgrantees. If we truly want to be effective, efficient, and prudent with our grant dollars, we cannot be forced to purchase new replacement equipment solely because we are not allowed to expend grant dollars to sustain our equipment.

As we study C2C further, we as an emergency management community must realize that no matter what tools we have at our disposal, the teams of people at the State and local level responsible for this program must be taken into account. This tool should always remain a decision support tool.

I appreciate this committee's attention to this matter. I also want to thank the full committee for its study of the C2C tool. FEMA has done good work, but the work is never done and major refinements are needed. We must continue to work to protect our cities, States, and our Nation.

Thank you very much.

[The statement of Mr. Maxwell follows:]

PREPARED STATEMENT OF DAVID MAXWELL

OCTOBER 27, 2009

INTRODUCTION

Thank you Chairman Cuellar, Mr. Rogers (Ranking Member) and honorable Members of this subcommittee for your invitation to speak today on the FEMA Cost-to-Capability Pilot I. I am David Maxwell, Director and Homeland Security Adviser for the Arkansas Department of Emergency Management. I am testifying today on behalf of the State of Arkansas. My staff participated in the C2C Pilot I in July here in Washington, DC.

COST-TO-CAPABILITY REVIEW

Members of my staff, as well as a staff member from the Arkansas Department of Information Systems, traveled to Washington to participate in the Pilot of the Cost-to-Capability project. After spending a week testing the program and providing feedback to the FEMA program staff, they came back to the State to test the program using Arkansas-specific information from the fiscal year 2008 and fiscal year 2009 Homeland Security Grant Program. They found the concept of the tool innovative and a step in the right direction in regards to providing a clear connection between dollars spent towards homeland security goals and the capabilities that are

produced as a result of those dollars. Arkansas, as a recipient of these funds, is committed to and supports building and measuring our capability. However, the tool does not distinguish between actual dollars spent and its correlation to an actual increase or decrease on the capability of a State or local jurisdiction. I'm not comfortable with the tool being able to take so many factors into account and it result in an accurate reflection of our capability and preparedness levels. I am also concerned that the tool requires a subjective judgment of our base capabilities and perhaps more importantly how much an investment has increased a capability. As a State Director, I do not want this tool to be used as a "report card" to publish our preparedness efforts. This tool should be used as a macro-level planning piece to help determine the Nation's preparedness levels. Arkansas is committed to the openness of our business practices but the potential exists to highlight perceived potential weaknesses in our preparedness efforts and this only gives terrorists an additional area to exploit. The C2C tool relies on State Preparedness Report data, a ranking of National Planning Scenarios and the State's assertion of its own capability as the baseline data to determine a relationship between dollars spent and a capability gain. I am not convinced that this tool can accurately measure these disparate pieces of data.

As I stated in my response to the House Committee on Homeland Security's questions about this project, my hesitation and concern come from the calibration of the data used to determine a final capability score and portfolio ranking.

Much of the tool is dependent on data determined solely by the States. The State Preparedness Report is the basis for much of the tool's baseline data. While a great deal of effort goes into producing an accurate SPR, without a carefully detailed set of standards, such as those used by the Emergency Management Accreditation Program (EMAP) process, we cannot be assured that the tool correctly analyzes that data. Thus, the results of the C2C tool could produce an inaccurate picture of the State's true capability level. Currently, no such standards exist to measure capability or sustainment gains in the C2C tool.

The issue of sustainability also concerns me with regards to the C2C tool. After the SPR data is entered into the tool, one of the next steps is to assign a dollar figure to each project and Target Capability or Capabilities that are associated with that project. These dollar figures are assigned to gain capability or to sustain a capability. Without some objective measure, the States are using a "best guess" method to determine preparedness and capability levels as they assign these allocations. Arkansas currently awards its HSGP dollars on a population formula basis. When you distribute the volume of projects and Target Capabilities that these projects are associated with, it becomes almost impossible to determine that \$1,500 of a \$6 million award equals a .005% increase in the Interoperable Communications Target Capability. The user burden with this tool is extensive.

The tool asks for two complete "percentage" gains. One determines the overall gain in capability. For example, a Fusion Center project may be rated by the C2C tool at a current 30% capability. The state then has to determine how much of an increase this project and its new funding gives the state. If the project only gives the state a 5% gain, the State then must determine the dollar amount associated with that 5% gain.

To follow up with sustainment issues, with the addition of this tool, there become two definitions of sustainment used within the grant allocation process. Dollars used to sustain a capability are extremely difficult to measure. Dollars used to sustain current equipment can be measured. For the 10 years of the grant program, substantial investments have been made with assistance from these Federal grants. Current equipment and future purchases are in jeopardy if funds cannot be used to sustain equipment beyond the initial grant performance period.

Sustainment is an important part of the grant process. Investments, a core principle of the grant application process, are the backbone of the equipment acquisition process for both the SAA and the sub-grantees. If we truly want to be effective, efficient, and prudent with our grant dollars, we cannot be forced to purchase new, replacement equipment solely because we are not allowed to spend money to keep our current equipment in working order. For example, Arkansas and our local jurisdictions have purchased expensive bomb-handling equipment. If we are not allowed to expend sustainment dollars out of future grant programs, the cost of maintenance would quickly exceed local budgets. This equipment is vital to the mission of the Homeland Security Grant Program. Sustainment is an issue that we care deeply about and more should be done to ensure that it is an allowable cost in each grant program and can be used on equipment purchased in any of the prior grant programs under the HSGP.

## CONCLUSION

As we study C2C further, we—as an Emergency Response Community—must realize that no matter what tools we have at our disposal, the people responsible for this program must be taken into account. These teams of people at a State level are vital to continued success of this tool. Their judgments and experience help to shape this program. No tool will ever completely override this judgment and experience. As long as this program remains the State's responsibility to execute and administer, deference should be given as to the allocation and distribution of the funds. This tool should always remain a “decision-support” tool. If it does, our State, as well as others, can continue to evaluate all relevant data to ensure we continue to fulfill the mission of the HSGP and continue protecting our States from future terrorist attacks.

I appreciate this subcommittee's attention to this matter. I also want to thank the full committee for its study of the C2C tool. FEMA has done good work, but the work is never done. We must continue to work to protect our cities and States and the Nation.

Mr. CUELLAR. Mr. Maxwell, thank you very much. At this time without objection, the gentlewoman from Ohio, Ms. Kilroy is authorized to sit for the purposes of questioning the witnesses during the hearing today.

Ms. KILROY. Thank you, Mr. Chairman.

Mr. CUELLAR. At this time, I also would like to recognize the Chairman of the full committee, Mr. Thompson, from the State of Mississippi.

Mr. THOMPSON. Thank you very much, Mr. Chairman. I apologize for being a little late. I was detained at another meeting.

I have heard the witnesses this morning, and I have been concerned about how much money we have, as an agency, spent on going toward grants and refining different programs. The C2C program that we have heard a lot of conversation about this morning continues to cause me significant concern. It has been around in one form or another for a little while. But Congress since 2006 has kind of nourished FEMA in this direction to come up with some measurement instrument, and it still appears to be a work in progress.

I would hope that, Mr. Manning, you can help resolve that issue with us. We spend a good bit of money, as you know, trying to do what is right to help communities when they are in need, as well as going forward in the planning and preparation.

One of the issues that I do want to address during the question-and-answer period is we gave communities significant moneys to buy equipment, and rightfully so. We told them going in that you can take this money and you can help keep it up and then in the middle of the stream we said, oh, by the way, we have changed our mind. Well, most States and localities can't operate that fast. I think it puts those States and localities in very difficult positions.

There are a lot of other things we could talk about. Mr. Chairman, you talked about that maintenance issue, also. That concerns a lot of us because when we go home we see these individuals in church, we see them in our various other affiliations, and they are very concerned about it. I am glad that Representative Kilroy has taken the lead in overturning this policy. Sometimes we have to do it at committee level when we can't get the agency to do it. A lot of money we need to put it in, we need to work with our State and locals. We brought people to town. My own State, Mr. Maxwell, had

similar concerns about what you raised in your testimony. We need to involve people more before we just roll out these policies.

I think, Mr. Chairman, as we go forward with the questions, I think you will see some of these issues brought out. I thank both of you gentlemen for pulling together this hearing. Thank you very much.

Mr. CUELLAR. Thank you, Mr. Chairman. At this time, I would like to remind each Member that he or she will have 5 minutes to question the panel, and I will recognize myself for 5 minutes.

Mr. Manning, I do understand you inherited this so we understand that fully. FEMA piloted the C2C project this summer with 17 States, urban areas, and Tribal governments. I understand that the pilot participants identified a lot of weaknesses with the tool.

Why did FEMA initiate a second pilot program this fall with 17 additional stakeholders without changing the tool to reflect the first pilot?

Mr. MANNING. Mr. Chairman, thank you for the question. The initial phase of the field trials of the C2C system, the tool looked at 17 different jurisdictions. Midway through that analysis, there was a determination made by the Grants Program Directorate that the 17 jurisdictions that were being looked at didn't fully account for the various sizes and complexities of the different jurisdictions that needed to be evaluated. So they selected an additional 17 to go through the trial. There was never an intent to change the system or to not change the system before going to the next phase of an analysis or to go live with it—

Mr. CUELLAR. I am sorry, Mr. Manning, so the 17 States and cities or areas did not fit what? Aren't we trying to fit the tool to match the customer instead of trying to get the customer to match the tool? That is what it sounds like you all are doing.

Mr. MANNING. Mr. Chairman, I am sorry if that is how I made it sound. No. The intent, it is my understanding the Grants Program Directorate, GPD, wanted to bring in additional cities, additional information prior to making the changes to the interface. There were concerns recognized very early on with some of the methodology and most certainly the interface, the programming of how the tool worked, which is a lot of the early input, before the methodological concerns came up. The addition of an additional 17 jurisdictions was simply to increase the amount of data available prior to the analysis and the large change to the system.

Mr. CUELLAR. Did you take any of the input from those 17 States, cities, counties, local folks, and make any adjustments to the tool?

Mr. MANNING. Prior to the second phase? No, Mr. Chairman.

Mr. CUELLAR. Isn't that the purpose why you have a pilot program?

Mr. MANNING. As it has been explained to me, that was the intent of adding the 17 was to get more data before making the substantial changes to the system prior to another phase of either piloting, testing, or rolling out.

Mr. CUELLAR. Basic question. Title of the hearing today, "Preparedness: What Has the \$29 Billion in Homeland Security Grants Bought, and How Do We Know?" Answer that question.

Mr. MANNING. Mr. Chairman, the C2C is often looked at as simply the tool that is being tested in these first—

Mr. CUELLAR. Forget the C2C. Can you answer that question?

Mr. MANNING. Mr. Chairman, I believe there is a first step towards answering that question in what is actually the first phase of the Cost to Capabilities Initiative, which is the look-back report that was provided in early May 2009, and that is a cataloging, going back, scrubbing all the records, of cataloging what was actually bought, what was actually exercised and what was actually done with the grant money from 2003 through 2007.

Mr. CUELLAR. We have to account to the taxpayers. If somebody asked me in Austin, Texas, 6th Street, somewhere around there, they ask me, you all just spent \$29 billion since 2002. What have you provided on the issue of preparedness? How do I respond to that question, besides saying well, we work in a C2C tool, on the fact that there is some reports. How do I answer that question?

Mr. MANNING. Mr. Chairman, I think it is, we have clearly improved our level of preparedness, we have clearly improved our ability to identify emerging terrorist threats and plots throughout the activities at the fusion centers and things that didn't exist prior to these grant programs. There is demonstrable improvement over the last many years. Aside from what we have been able to catalog for the actual items, that equipment that responders use to respond to potential acts of terrorism and emergencies and disasters every day, and aside from being able to point to the training, the exercise, the net increases in the number of people who are trained and certified to be able to respond to weapons of mass destruction incidents, we have solid data to be able to point to. Beyond that, we have not historically done anywhere near as good a job at measuring what we have actually in a net respect gained over the last 8 years.

Mr. CUELLAR. Let me interrupt because my time is up. But let me just ask you. If I was to measure your performance, I am talking about the Agency's performance or even State levels, I am sure that two States here, Ohio and Arkansas, have done this, basic questions to ask agencies in a budgeted program review, basic questions and you get the answers on this. What is your program's or agency's primary purpose? No. 1. What citizens are you trying to affect? What key results are expected from the use of the taxpayers funds? What key results are expected from the taxpayer funds?

What are the key performance indicators that you use to track progress attaining results? What were the results in the most recent years? How do these results compare to your target? Have any of the results been unexpectedly good or unexpectedly poor?

How do results compare to other benchmarks, and let's say Ohio versus Arkansas or Texas whatever? If the targets were missed, why were those targets missed? What is the variants? What is currently being done to improve deficiencies? What actions does your new proposed budget include in improved results? How would the results change if your funding would be increased by 5 percent or decreased by 5 percent?

So, questions, there are a couple other questions. Free advice. How much did you pay for your C2C?

Mr. MANNING. Mr. Chairman, I don't have the answer to that.  
Mr. CUELLAR. You have got to have a general idea. I know you do.

Mr. MANNING. I know it is somewhere in the \$5 million range, as I understand.

Mr. CUELLAR. Free advice for \$5 million. I think we can do a little better and, Mr. Manning, I don't mean to be harsh on you because you took over this, but I think sometimes it is better to not defend something that is not working. Just say we already invested \$5 million, and we are trying to make it work, go from 17 localities to another 17 to find the right feedback on that. I can give you this for free and, in fact, without objection I will put this part of the record, the basic questions on that. But you can get the same measurements. Now there is a lot of work in getting that information. I understand that. But to spend \$5 million on a tool, I would ask you to reconsider that.

At this time I would like to recognize the Ranking Member for his 5 minutes of questioning.

Mr. ROGERS. Thank you, Mr. Chairman, and again I thank the witnesses.

Mr. Manning, a little over a month ago, Ranking Member Gus Bilirakis and I sent a letter to Administrator Fugate and one to Secretary Napolitano that I would like to have admitted into the record if there is no objection——

Mr. CUELLAR. No objection.

[The information follows:]

BENNIE G. THOMPSON, MISSISSIPPI  
CHAIRMAN



PETER T. KING, NEW YORK  
RANKING MEMBER

**One Hundred Eleventh Congress  
U.S. House of Representatives  
Committee on Homeland Security  
Washington, DC 20515**

September 17, 2009

The Honorable W. Craig Fugate  
Administrator  
Federal Emergency Management Agency  
Department of Homeland Security  
Washington, D.C. 20472

Dear Administrator Fugate:

As Ranking Members of the Subcommittees on Management, Investigations, and Oversight and Emergency Communications, Preparedness, and Response of the Committee on Homeland Security, we write to express our strong opposition to the Federal Emergency Management Agency's (FEMA) September 4, 2009 decision to award a nearly \$1 million Fire Prevention and Safety grant to the ACORN Institute of New Orleans, Louisiana. This organization has engaged in questionable, and in some cases unlawful behavior, and should not receive Federal funds.

According to the grant guidance for the Fiscal Year 2008 Fire Prevention and Safety Grant Program issued in February 2009, "[e]ligible applicants for [Fire Prevention and Safety grants] include fire departments and national, regional, state, local, or community organizations that are *recognized for their experience and expertise in fire prevention and safety programs and activities.*" (emphasis added) While the ACORN Institute is a national organization, we are unaware of their "recognized...experience and expertise in fire prevention and safety programs and activities."

However, even if the ACORN Institute has the relevant experience and expertise, it should still not receive Federal funding of this sort because it is not worthy of the public trust. ACORN employees have been charged with voter fraud in multiple states. In addition, ACORN employees were recently caught on tape encouraging prostitution, tax fraud, and human trafficking. This is not the type of organization to which scarce homeland security resources should be provided.

We are not alone in our distrust of ACORN and belief that the organization should not receive Federal funds. Earlier this week the United States Senate voted overwhelmingly to bar funding under the Fiscal Year 2010 Departments of Transportation, Treasury, and Housing and Urban Development Appropriations Act from being provided to ACORN. Majority Leader Steny Hoyer indicated that the House of Representatives may also take action related to Federal funding for ACORN. In addition, the United States Census Bureau terminated its affiliation with

ACORN for the 2010 census citing public concern and the potential for a negative impact on the census.

We urge FEMA to rescind ACORN's Fire Prevention and Safety grant and give it to another reputable organization in the New Orleans area. We look forward to your prompt attention to this matter.

Sincerely,



GUS M. BILIRAKIS  
Ranking Member  
Subcommittee on Management,  
Investigations, and Oversight



MIKE ROGERS  
Ranking Member  
Subcommittee on Emergency  
Communications, Preparedness, and  
Response



BENNE G. THOMPSON, MISSISSIPPI  
CHAIRMAN



PETER T. KING, NEW YORK  
RANKING MEMBER

**One Hundred Eleventh Congress  
U.S. House of Representatives  
Committee on Homeland Security  
Washington, DC 20515**

October 9, 2009

The Honorable Janet Napolitano  
Secretary  
Department of Homeland Security  
Washington, D.C. 20528

Dear Secretary Napolitano:

Republican Members of the Committee on Homeland Security recently contacted Administrator Fugate expressing strong opposition to the Federal Emergency Management Agency's (FEMA) September 4, 2009 decision to award a nearly \$1 million Fire Prevention and Safety grant to the ACORN Institute of New Orleans, Louisiana. We were pleased to learn from FEMA officials that the agency has not, and will not, provide any of this funding to ACORN, an organization that has engaged in questionable, and in some cases unlawful practices, and is not worthy of the public trust.

ACORN employees have been charged with voter fraud in multiple states and some were recently caught on tape encouraging prostitution, tax fraud, and human trafficking. This is not the type of organization to which Federal resources should be provided, and we were pleased to learn that the Internal Revenue Service and the United States Census Bureau have severed ties with ACORN.

We must ensure that our limited homeland security resources are provided to state, local, tribal, and public and private organizations with security expertise and that will use this funding in a manner that most enhances our homeland security. To that end, we would appreciate your response to the following questions.

1. Has ACORN, or any of its affiliates, received funding, other than the FEMA award noted above, from the Department of Homeland Security (Department) or one of its components? If so, please provide a listing of the amount of funding, from which Department entity it was provided, the purpose for which it was provided, whether the funding has been spent, and whether the Department or the relevant component has conducted oversight to ensure the funds were spent in accordance with the terms of the award.
2. What mechanisms are in place at the Department and within its components to ensure that recipients of the Department's funding have not engaged in unlawful activities prior to the provision of funds?

3. What mechanisms are in place at the Department and within its components to rescind and recoup funding provided to organizations that do not comply with the conditions of the award or otherwise have engaged in unlawful activities? Are you utilizing, or do you have plans to use, any of these mechanisms to recoup funding from ACORN?

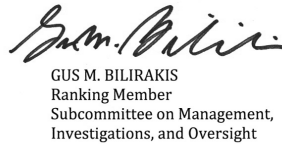
In light of the importance of fully protecting taxpayer dollars, we would appreciate receiving your response by no later than October 23, 2009. We look forward to working with you to ensure the Department's resources are spent as efficiently and effectively as possible.

Thank you for your time and personal attention to this matter.

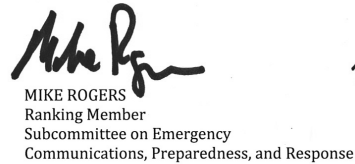
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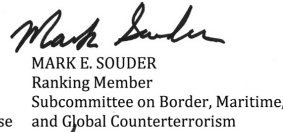
PETER T. KING  
Ranking Member



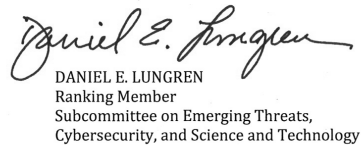
GUS M. BILIRAKIS  
Ranking Member  
Subcommittee on Management,  
Investigations, and Oversight



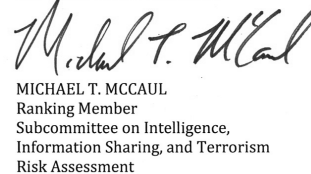
MIKE ROGERS  
Ranking Member  
Subcommittee on Emergency  
Communications, Preparedness, and Response



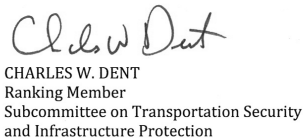
MARK E. SOUDER  
Ranking Member  
Subcommittee on Border, Maritime,  
and Global Counterterrorism



DANIEL E. LUNGREN  
Ranking Member  
Subcommittee on Emerging Threats,  
Cybersecurity, and Science and Technology



MICHAEL T. MCCAUL  
Ranking Member  
Subcommittee on Intelligence,  
Information Sharing, and Terrorism  
Risk Assessment



CHARLES W. DENT  
Ranking Member  
Subcommittee on Transportation Security  
and Infrastructure Protection

Mr. ROGERS [continuing]. In which we were expressing opposition to ACORN receiving a million dollar fire grant. I represent a large, rural, poor Congressional district and \$1 million goes a long way with all these volunteer fire departments. I understand you all stopped it. We haven't received a formal response. But why was ACORN going to receive a fire grant? Can you tell us that?

Mr. MANNING. Certainly, Congressman Rogers. The grants that ACORN received under the fire grant programs were awarded, were selected by a peer review panel of the Fire Service. There was a peer review panel empaneled by the Fire Service of members of the Fire Service to identify grant applications that would be effective. This particular part of the grant what ACORN's proposal was, was fire protection activities in low-income areas, specifically installing smoke detectors in low-income areas, in inner cities. That was what the grant was for.

Mr. ROGERS. Thank you very much. I have another question. The FEMA policy interpretation on the use of grant funds such as they cannot be utilized to sustain equipment is very concerning to me. A striking example of how this may negatively impact homeland

security preparedness in response is the Securing Cities Initiative. In order to exist beyond 3 years, DHS has a strategic plan for the program States that homeland security grants funding could be leveraged to expand the capability as deemed useful by the region. This grants strategy is, in fact, frequently touted as the perfect solution for New York City to fund its vital homeland security program.

My question is, how do you propose New York City maintain millions of dollars worth of radiological detection equipment if the administration is not requesting funds for it any more and suggesting that they apply to the grant program that would be rejected for that purpose under FEMA's new policy?

Mr. MANNING. Mr. Rogers, the policy, FEMA's policy, GPD's policy, on the limitations of expenditures for maintenance and sustainment, has been in place since the beginning of the grant, beginning of the grants. It has been a—while not well understood and not well explained over time, it has been in place in part of the grant programs. There are questions in the guidance every year about how does the jurisdiction intend to sustain the investment made under this year's grants?

There are no limitations on maintenance for sustainment within the grant cycle that the equipment is procured. So over a multi-year grant those activities are available under the grant funds.

It has been GPD's, it has been FEMA's policy, DHS's policy prior to it being in FEMA that the responsibility for the upkeep for taking on the maintenance tail of procurement be transferred to the grantee with the expiration of that particular grant cycle. What we did in the last, what FEMA did in the last few months, as I said, it was unclear. The guidance was unclear and vague over the years. There was repeated questions of us by grantees for clarification. FEMA issued this clarification of the existing policy, but in such a way, clear enough, that it appeared to be new to many grantees and has expressed a number of concerns, which while we had heard anecdotally prior, we are now hearing very explicit examples of where that is a concern.

I can assure you that that issue is receiving the highest level of attention. We are looking at all the concerns that are being raised by the grantees. The explicit examples, as we heard in testimony this morning, are very helpful to allow us to examine our policy in depth and figure what is the best thing for the safety of the American public.

Mr. ROGERS. Thank you. Ms. Crandall—

Ms. KILROY. Would the gentleman yield?

Mr. ROGERS. Sure.

Ms. KILROY. I would invite the gentleman, which is concerned about the maintenance of the safety in New York City and other communities across our country, to consider cosponsoring legislation that would make this a requirement.

Mr. ROGERS. I am, thank you.

Ms. KILROY. Thank you.

Mr. ROGERS. Ms. Crandall, you mentioned earlier in your testimony how the lack of sustainment funds could affect your interoperability of your communication system. This is deviating a little bit from the subject matter of this hearing, but it piqued my inter-

est. Are you finding that you have solved your challenges with interoperability within your system or not?

Ms. CRANDALL. We have solved our problems in the Columbus urban area, yes, we have.

Mr. ROGERS. I am so proud to here somebody has finally done that. That is the first person I have come before this committee to tell me that they have solved that.

Mr. Maxwell, I want to note that you are the only person on this committee without an accent, and I am proud to have you here. What recommendations—in particular, you talked to about C2C—what specific recommendations do you have for FEMA that would improve the C2C Initiative?

Mr. MAXWELL. I think with Mr. Manning's help, we are working toward defining what is "preparedness." We have talked around standards for preparedness for years and years and years, and I don't think there is a common understanding of what is preparedness, what capabilities do we need.

I think as we go forward, we have to define those things, establish some standards that are flexible enough to meet the needs of rural States and urban States, rural communities, urban communities.

Mr. ROGERS. So it is just a definitional problem as far as you are concerned?

Mr. MAXWELL. I think so. A lot of it is establishing those standards so we can clearly, across the board, identify what we have done and what we need to do.

Mr. ROGERS. Thank you very much. I yield back.

Mr. CUELLAR. Thank you, Mr. Rogers. At this time I recognize the Chairman from Mississippi, Mr. Thompson.

Mr. THOMPSON. Thank you very much. I have followed with great interest the questions that have been raised so far.

Mr. Manning, you have inherited this responsibility. Have you and the Secretary, Mr. Fugate, whomever, had an opportunity to study this C2C program and determine whether it makes sense or we might need to do it like we have done all these other programs when there is some question as to their viability?

Mr. MANNING. Mr. Chairman, we have looked closely at all of our initiatives. One of the very first things that Administrator Fugate did when he came on board was to issue a moratorium on new data calls essentially, new big initiatives that go out to our partners at the State and local, Tribal governments for new bits of information.

We had by different counts, different numbers, but five major initiatives on par with C2C collecting data from our partners, grantees, and State, local, and Tribal governments. The C2C initiative, one of them, the first part with the look back was a very effective cataloging, I think, of what we have done to date. The next part was to be to look forward. Now at the same time we have another, a number of other initiatives looking at similar things, and as part of that moratorium the administrator directed me to establish this working group, on which Mr. Maxwell serves, to identify all the different things we are asking at the same time and what is the best way to do that, with the hope that in the future, we have an effective, we do exactly as you are describing, Mr. Chairman, of taking C2C and where it is similar to the GAP program, or the Com-

prehensive Assessment System, or the NIMSCAST, or any others, and do it once so we have a methodologically sound data collection that results in outcomes, not simply outputs as the Chairman has pointed out in the past, and has the least amount of impact on our grantees as possible, allows them to get on with their work with preparing the Nation for emergencies and disasters.

Mr. THOMPSON. Well, maybe I need to say when are you going to finish? I heard what you said. What I am really trying to get at is you are basically prepared to go forward with the program at this point?

Mr. MANNING. Mr. Chairman, we do not intend to use it for making grant allocation decisions, as described previously. It is a good assessment system that we have to take, we have to take the input we have heard into account and make sure that system is correct before it goes—

Mr. THOMPSON. So what are you going to use it for?

Mr. MANNING. Mr. Chairman, it was designed to assess the increase in capability. I think what we are planning to do is to take a close look at the results of the pilot. We have to look closely at the results of the entire—our evaluation of how well the system worked as well as the input taken from the partner governments that have worked with us, both the first and second half of the two gangs of 17 that helped us in that.

We will use it in conjunction with our State preparedness reports, the other assessments systems, but ultimately, Mr. Chairman, to identify a unified single way of assessing what we are doing and do it correctly. It does nobody any good, Mr. Chairman, I think, to go forward with a program that has not been completely vetted and doesn't have the support of the grantees, doesn't necessarily meet the methodologic rigor that we require in order to make informed decisions.

Mr. THOMPSON. The term that the committee has been provided is that C2C will put meaningful measures in place that show how homeland security grants are used to enhance the Nation's preparedness.

Now if I just heard what you said is you are now going to modify that to do something else.

Mr. MANNING. Mr. Chairman, I think the system, the C2C system, was designed specifically to look at capability increases. While there are certainly, as pointed out in the other witnesses' testimony this morning very ably, there are problems with how it does that at the benchmark level, in the beginning. But, if we can solve some of those issues, it may measure the increases in capability effectively. However, it doesn't take risk into account. It doesn't take threat into account. So before we can use it or anything like it to make any kind of—it can inform our decision-making but it can't be used to make funding allocation decisions until it is consistent with the Post-Katrina Emergency Management Reform Act.

Mr. THOMPSON. I guess my point is if you keep moving the ball, can you imagine what our State and locals are going through with this? It is a real challenge. The committee was provided with this chart, which it looks good, like, you know, most charts we get presented. But when you start trying to put the realities of the how things get done, I can understand Mr. Maxwell's concern about

definitions and some other things. I would suggest to you, sir, that you probably need to revisit, and I think this is a 3-week-old chart of this process. Some of the testimony that we heard today is a little inconsistent with what we hear, what we have on this chart. I would suggest that you probably have your people look at it again.

I yield back, Mr. Chair.

Mr. CUELLAR. Thank you, Mr. Chairman. At this time, I would like to recognize the gentleman from Texas, Mr. McCaul.

Mr. MCCAUL. Thank you, Mr. Chairman. Mr. Manning, I think I heard you correctly, you said that C2C does not take into account threat or risk levels. You know from the inception of this committee and when the Department was created, we have attempted to tie funding to the areas of greatest threat and risk. So to me that is disturbing. I know, Ms. Crandall, you said that C2C should be modified to take into account threat and risk. In your words you said it is ignored under the C2C.

That is probably the biggest flaw, if you will, that I see in the system. I know you just sort of inherited this. But I would like to get comments from the two of you on that and how you can modify it and change it so that it is threat- and risk-based.

Mr. MANNING. Mr. McCaul, I think whether or not we can modify this existing system to incorporate risk, I actually don't have the answer to that. The purpose of the pilots is to see how effective this system may have been in measuring increases or potential increases in the capability to respond to essentially our policy-driven planning scenarios, the target capabilities list and the National planning scenarios.

Incorporating threat and risk I believe is something that probably has to happen with the output of the C2C system. We think of risk as threat, vulnerability, and consequence. With the C2C being the increase in capability or another way to look at the vulnerability of a particular jurisdiction, invert that, it is something that can be used to inform our idea of risk and then make the funding decisions. That was probably as far as where we were able to go with the system.

It is simply meant to measure the increase in capability that can be gained from the application of resources with grant dollars.

Mr. MCCAUL. Ms. Crandall, what is your take on that?

Ms. CRANDALL. I think we are looking at two different pieces here. At the FEMA-DHS level, they were looking at how to measure capability, gain, sustainment and the cost of it across the country. They based that on the National scenarios.

The problem with that is that the National scenarios are not fully implemented or needed in every State and urban area. We have our own threat risk and need clearly identified and written in our strategy. When you try to nationally judge and evaluate something and you put up standards that don't apply—prime example, when I did cost to capability for the Columbus urban area, improvised explosive device came out to be one of the lowest things we needed to worry about when in reality it is the top thing we worry about based on our assessment evaluation. Things that are prevalent in Arkansas and Texas we will never see in the State of Ohio.

So to build a target capability to be able to evacuate Columbus, Ohio, with 3 days' warning is absurd because it will never happen to us. We don't have hurricanes. So the problem comes into can C2C be formulated to come down to the threat risk of my urban area so that for me that cost to capability is what we need in Columbus and not what we see Nationally in a very broad-based program.

Mr. McCAUL. I think that is great advice to Mr. Manning. I think that this money in my view is not to be used to supplant State and local budgets so they can spend money elsewhere. It really should be designed based on the risk and the threat in the area and where can we direct the dollars throughout the country where they are most needed? This has really been a problem since the inception of this.

Mr. McCAUL. Also, it is so subjective. There is no objectivity to this at all. You just simply send the survey to the locals, and they fill out: Does this help you make you more prepared? Of course, you are going to say yes because they want to continue the flow of dollars to their jurisdiction.

It seems to me that there needs to be something more objective in place to oversee how the dollars are spent; otherwise, we are going to be looking at duplicative spending and waste, fraud, and abuse. Do you have any thoughts on that, Mr. Manning?

Mr. MANNING. Certainly, Congressman McCaul. I think you hit on what is probably the most difficult part of the methodological problems with the system as it was rolled out there. Everything is based on what is currently a fairly subjective ranking of your level of capability against one of the target capabilities. In order to have measurable data, in order to have useful data that is empirically sound across all of the jurisdictions, it has to be done the same way across every one of the jurisdictions. Currently, we would have 118 different measurements for every one of those sliding scales. Until we can come up with a sound methodology for determining that based on capability in the beginning, we are going to have that problem. That is something that is certainly at the core of the concerns.

Mr. McCAUL. I agree with that. I see my time has expired. Thank you, Mr. Chairman.

Mr. CUELLAR. Thank you very much. At this time, I would like to recognize the gentlewoman from Nevada, Ms. Titus.

Ms. TITUS. Thank you, Mr. Chairman.

Nevada was selected as one of the 17 in the second phase of the pilot program. I wonder if you can tell me kind of why Nevada was chosen. I also would like to be updated on how it does in that pilot program. I will be talking to the people in Nevada as well.

Then my second point, I would like to ask you about the urban areas security grants. My district in Las Vegas contains one of the most well-known unique tourist destinations in the world. We have people coming from all over the globe to visit there, and this also makes us, unfortunately, a target for terrorists.

Yet, the current model for allocating those grants I don't think takes into account some of those unique qualities of Las Vegas. For example, it doesn't take into account the long-term impact, which is pretty unimaginable. Also, when you have formulas just based

on population, that doesn't take into account the millions of tourists who are there who also have special needs. So I wonder if you could tell us what you are doing to improve those allocation metrics so that we can do a better job of giving out those grants.

Mr. MANNING. Certainly. If I may start with the last question and work my way back. The current risk formula is being evaluated. We continually evaluate how we do all of our programs and policies, and we are looking at how we think of risk, how we think of threat, and how the grant distribution decisions are made.

As to the tourist population, there is transient population, visitors, visitor data. Those data are used in the determination of population daytime, nighttime populations and numbers from various sources on tourists and visitors are brought into bear on those calculations. Whether they receive the right amount of ranking, that is something that we are examining and we will continue to examine.

As to why Nevada was selected for the second round of the pilots on the cost capability assessment, that was Nevada is a good representative State of some of the unique attributes of the western United States. I come from New Mexico. We have very similar concerns there, the high density or high population centers surrounded by vast rural areas and small towns and communities. There are aspects to time and distance and geography in the western United States that don't manifest in the eastern United States, especially in building capabilities, things like special response teams where a plainer view on the map they may look like you can get there in an hour, but in fact, it takes six to get around a mountain range. Things like that. So it was aspects, those types of aspects that were looked at trying to grow the number of 17 to make sure that they were a representative sampling of jurisdictions taken into account in the first round of analysis of the tool.

Ms. TITUS. Thank you. Would you keep me updated on how Nevada is doing? Like I said, I will talk to the people in Nevada, too. Your reassessment of those metrics for the grants, will they be ready for the next cycle of allocations or not?

Mr. MANNING. Ma'am, we will continue to evaluate these things, all of these systems and work through the administration and the Secretary. As we find, as we identify places for changes in policy, we will make those recommendations to the Secretary. I don't have an answer directly to your question.

Ms. TITUS. It is just on-going. It is not time-certain.

Mr. MANNING. Yes, ma'am.

Ms. TITUS. Thank you. Thank you, Mr. Chairman.

Mr. CUELLAR. Thank you, Ms. Titus. At this time, we would like to recognize the gentleman from Missouri, Mr. Cleaver.

Mr. CLEAVER. Thank you, Mr. Chairman.

Mr. Manning, is there maybe an unspoken assumption in the agency that an increase in spending directly correlates with an increase in capability?

Mr. MANNING. Yes, sir. I think that the fundamental concept of how we were implementing these grant programs, they are inherently designed to increase capability. I think there is—yes, sir, there would be the presumption that as we implement new programs, there would be some measurable increase in capability.



However, we constantly strive to measure that effectiveness. Whether they are efficient and effective in increasing capability or preparedness is certainly the question and what we are trying to measure.

Mr. CLEAVER. I think several other Members, I think Mr. McCaul mentioned the subjectivity here and you heard probably more than you want to hear today. But that is a very real and strong concern that I have. I have a list of all the agencies in my Congressional district in Missouri that would be impacted by this, and I have this weird belief that I was sent up here to protect our interests. So I am very concerned about that. But I guess—and I got here late.

I am in a markup in Financial Services, so I apologize for being here late. But maybe the most significant question for me, and maybe the Chairman has already dealt with this, I don't understand why there were no changes made prior to the implementation of the second pilot program. I think the Chairman requested that.

Mr. MANNING. Congressman Cleaver, I think the simplest way to answer the question would be to consider it two halves of the same assessment. It wasn't designed to be a phase one, make changes; phase two, to test the changes. It was going out with phase one and kind of adaptive methodology in the evaluation system. I think they went with phase one, their initial 17, realized that they weren't collecting the data they needed to be able to make a valid assessment. They certainly were getting input. They were certainly collecting valuable information on the effectiveness of the programming, of the code, of the philosophy behind the system. But they wanted to measure against, as I was describing a minute ago, with other jurisdictions. Not simply to find jurisdictions that fit the tool better, but to find other jurisdictions that stressed the tool, that had different planning considerations behind the jurisdictions that maybe didn't come into account with places like New York and California or Columbus. I think in my experience, too, granted, while I wasn't involved in that decision-making, I always prefer more data than less data, and I think they were simply trying to get more information to be able to make decisions on how to change the tool before they moved forward. That is how I understand it.

Mr. CLEAVER. I appreciate that. You know, I guess what happens if we say to our constituents that changes are going to be made, and then only to discover that they were not? I understand what happened. I am not sure that I have a high level of appreciation for not being told what was going on. I have—I mean, the Chairman was quite eloquent and capable of doing it, of dealing with this himself. It was just something that troubled me.

Finally, let's move back to this subjectivity, because subjectivity, and at least with regard to this program, depends a lot on who is inputting the data. Can you say something to me that would cause me to believe that the data inputter has something that would reduce the subjectivity? Or do we just understand this is going to be subjective, very subjective, and that is just the way it is and let's move on?

Mr. MANNING. Mr. Cleaver, I cannot. I think that is the biggest flaw to the system that has been identified. I recognize that as well, and—when I saw the system, and I think that is something that is being closely looked at.

Now, Mr. Maxwell commented in his remarks about how do we measure. When we talk about are we prepared, we have to define preparedness. We have to decide against which, against what are we trying to prepare. So I am not sure that we will ever be able to get away from some degree of subjectivity.

Mr. CLEAVER. I agree. Let me tell you my nightmare. I happen to believe in earmarks. I believe that that is the only thing that the Constitution says that Members of Congress are supposed to do is spend, spend the money. That is the only description of Congress in the Constitution. But I always have, and the reason I support it, because I have this nightmare that there is somebody down in the basement who has never gone west of the Mississippi River making decisions about Kansas City, Missouri. I just don't feel comfortable with them, whether they are in the basement or upstairs, because—well, this—I will do this, I will do that. I understand that, unfortunately, God only created humans, so we don't know what else we can deal with and there is going to be subjectivity there. But I would surely hope that there could be put in place something that would at least monitor the subjectivity or in some instances interfere with it if things go awry. Maybe there is nothing that we can do about it.

I needed to express my concern about my own State, my own district with regard to—you know, I tell people I am from Kansas City, and they say, well, how are things in Kansas? I mean. So, and they don't even know the difference. I was mayor, and people would say, are you mayor both of Kansas City, Missouri and Kansas City, Kansas? I would say, yeah, just like the mayor of New York and the mayor of New York in Montreal. But people—I mean, I don't want those people making decisions about my community and they have absolutely no understanding of it. Thank you, Mr. Chairman.

Mr. CUELLAR. Thank you, Mr. Cleaver. At this time I would like to recognize the gentlewoman from Ohio, Ms. Kilroy, for 5 minutes.

Ms. KILROY. Thank you, Mr. Chairman, very much. I appreciate the opportunity to join you this morning. As you know, I am very concerned about the FEMA's new policy restricting preparedness grants for being used to maintain homeland security equipment. The clarification, Mr. Manning, that you discussed certainly does look like a reversal of course to those in the trenches. Someone who came from local government, came from county, I know very well how the planning for the use of the equipment and the cost of this equipment, and now complicated by lower funds available for local government in these economic times is a very major concern. The reversal, of course, right now certainly does need to have your highest attention as you said. I also want to make sure, though, that Congress restates its intent, because I believe that this policy violates Congressional intent. That is why I introduced legislation, H.R. 3837, the Sure Act, to make sure that the agency does re-course on this. I want to thank Chairman Cuellar and Chairman Thompson for cosponsoring this bill and for working with me on

this issue. I hope that it is something that the State and county organizations that are facing this issue takes to their bodies, such as the Emergency Management Association, look forward to working with you and hopefully getting your input.

I am also concerned because, as you heard in questioning from Mr. Rogers and Ms. Crandall's testimony, that Franklin County and its first responders, its local officials, its elected officials made interoperability and protecting the first responders our top priorities for usage of UASI grants and other funds that might be available for us. I would like to ask Ms. Crandall to elaborate on how the interoperability might be adversely affected should this policy remain in place.

Ms. CRANDALL. Thank you. The interoperable communications, as I stated previously, is probably the largest investment that we have to sustain. There is a migration currently from analogue, 800 megahertz to digital, 700 megahertz to improve and expand beyond Ohio and across the country the capability for interoperability.

The equipment that we purchased with homeland security dollars and local dollars and justice dollars not only has to be maintained on a consistent basis to keep those towers up and running, but we also have to now migrate some of that equipment that we have spent tens of millions on from an analogue platform to a digital platform. The planning that went into interoperability in the Columbus urban area was over a 2-year period. We have used 50 percent of homeland security funds since the beginning of homeland security grants to build that capability to reach the highest level of interoperability on the spectrum and the continuum that is put out by FEMA/DHS.

If we can't upgrade the towers, if we can't flash upgrade radios, if we can't continue to buy batteries and pay repair costs, if we can't use the interoperability for data, which is the next step, and instead have to buy all new equipment to run parallel, the cost will be staggering in the duplicity for absolutely no reason.

Ms. KILROY. Thank you. It is always a major concern, and a concern that came about taking a look at the reports from some National incidents about where the vulnerabilities were we needed to address. But it was also local peer-to-peer discussions that allowed that to happen.

I am also somewhat concerned that this C2C system now won't allow for that unity of purpose to be able to be generated and also have that State and local input.

So I would like to again ask Mr. Maxwell and Ms. Crandall about how your local communities see the assessment of your local threatened risk with the C2C system and obtaining unity among your very first responders.

Ms. CRANDALL. For the Columbus urban area, the urban working group as we work through C2C we had to do the State preparedness report as an urban area because it is the base of C2C. We started there, and we started with the discussion of where is it going to take us if we are valuing preparedness for wildfires and hurricanes and issues that do not apply to the State of Ohio, let alone to the Columbus urban area.

The frustration is great. National scenarios, again, very broad-based and perhaps Nationally most important. But to the Colum-

bus urban area and the State of Ohio, we wrote a strategy after evaluating and assessing to tell us where our vulnerabilities were, to tell us the level of target capabilities we have that are critical to faith, and prepare for the threat and risks specific to us. C2C doesn't allow for that at this time.

Ms. KILROY. I would say, Mr. Manning, that I am concerned that the C2C is trying to be too much of a one-size-fits-all and too much Washington-based and, as Mr. Cleaver indicated, not taking in the concerns of local communities. We—if you refer back to our founding, it is one if by land, two if by sea. Well, we won't have two if by sea in Franklin County and Union County and Madison County in Ohio, and but we do have real threats that should be monitored, should be assessed, and should have the most effective strategy to prepare for. Could you address the Nationalization of this process?

Mr. MANNING. Certainly. Yes, ma'am. In the assessment of the level of capability, that is ultimately to the grantee, to the user. So in the case of Franklin County, the determination of the baseline, where are they against—and how capable are they against a particular capability. That determination is made by Franklin County. But where the problem lies, Mr. Cleaver is alluding to, and I believe that you are alluding to, as well as some of the foundational documents that aren't part of C2C but on which C2C is built, and that is the target capabilities list, the National planning scenario, some of the doctrinal things that DHS has generated over the years. They presume—the target capabilities, for example, were a policy that was trying to establish baseline capabilities that need to be achieved in every community across the country. That was recognized pretty quickly to be unachievable; that the level of capability needed by Franklin County is not probably the same as needed by Luna County in New Mexico.

So there is a new—there was a revision in process to try to base that on population. However, that doesn't take into account the complexities of various jurisdictions that we have all I am sure experienced, again, as Mr. Cleaver is alluding to, from Kansas City. So we recognize that as well. These are all important things and that were identified. Ultimately the purpose of a pilot study to assess whether a new system will achieve its intended goals, in this case, measuring the level of capability, again, I think we have identified a number of significant shortfalls in the system that need to be addressed prior to it being used for anything other than a simple narrow look into the effectiveness of the grant program based on the assessed, the stated goals of a particular jurisdiction.

Ms. KILROY. Thank you, Mr. Chairman. I yield back.

Mr. CUELLAR. Ms. Kilroy, thank you very much. At this time, I recognize the gentlewoman from California, Ms. Richardson, for 5 minutes.

Ms. RICHARDSON. Thank you, Mr. Chairman.

Mr. Manning, based upon what you have heard so far today, what would your recommendation to the Secretary and the administrator be?

Mr. MANNING. Ms. Richardson, I believe the recommendation would be that the cost capabilities pilot, while we need to examine closely—continue the analysis of all the data collected, that the system as it currently stands is useful to assess a particular jurisdic-

tion's increase in capability over their stated beginning point, and beyond that can be used possibly to help inform grant decision-making, but not—it is not a system that can be used to solely make grant distribution decisions.

Ms. RICHARDSON. Have you seen the letter from the mayor in my area dated September 21 to the Secretary, mayor of Los Angeles, the second largest city in this Nation? Have you read this?

Mr. MANNING. Yes, ma'am.

Ms. RICHARDSON. So how, if you have read this, can you say this system was useful if the whole point of the pilot was to evaluate the system?

Mr. MANNING. Ma'am, I don't believe that the system—the concerns addressed in Mayor Villaraigosa's letter are valid, are directly on point. They hit with all of the points we have discussed this morning, the fact that it doesn't take risk into account, the fact that there are critical points in the methodology which are subjective.

When I describe that I think that it is useful, I think it is not useful, it may not be a useful tool as originally intended, as piloted and reflected in the mayor's letter. It may be useful in simply measuring the gain from one point to another as assessed by the jurisdiction, which is very different from being useful and making any kind of grant distribution allocations.

Ms. RICHARDSON. I just got through with flying 24 hours from Samoa, so I am going to apologize for my frankness. There is no such thing as being half pregnant. You are either pregnant or you are not. In my opinion, when you look at the second largest city in this Nation that participated in a pilot that says provided no guidance or value for assessing homeland security investments, are not based upon the methodology approach, and as a result, the project scores will be inconsistent or accurate, even though I am going through—there are seven points here.

I don't understand how you can say, well, it might be useful for this, it might be not useful for that. You know, the American public is spending hard-earned money that many people don't have shoes on their feet, you know, don't have jobs, we are spending money continuing to implement something that you know does not work.

To me, in my opinion, that is the epitome of wasteful spending and the Government's continued failure to listen and to adjust. We don't need to continue what we know does not work. We should put—in my opinion, you should put your feet on the brakes and re-evaluate and get something that does make sense and then continue your process. But to continue something with 17 other locations that you know doesn't work, I mean, help me understand how you can, in your professional opinion, do that.

Mr. MANNING. Yes, ma'am. I agree that there are significant problems with the methodology to use that system to cross-analyze multiple jurisdictions. Absolutely.

Ms. RICHARDSON. Isn't that the point of what the tool is for?

Mr. MANNING. The tool—yes, ma'am. That is why we are doing the pilot study, was to collect all of the problems with the system, to identify if there are problems. Which we have. We have received those same comments from many other jurisdictions that have gone through the pilot program.

Ms. RICHARDSON. So why are you continuing it?

Mr. MANNING. We are continuing the pilot program. We are continuing to the conclusion of the pilot program and the analysis of all the data so we can make our final decision and make a recommendation through to the administrator and the Secretary.

Ms. RICHARDSON. You don't have a recommendation right now?

Mr. MANNING. I am aware of all the concerns, but I don't have—the pilots are not complete and we haven't looked at all of the data. We certainly have heard the concerns and understand the concerns of Los Angeles and New York and Houston and other jurisdictions. Yes, ma'am.

Ms. RICHARDSON. Okay. You are familiar with the cost and the time and everything. How much does it cost to do this program?

Mr. MANNING. Ma'am, I don't have the information on a per jurisdiction basis or the pilot, the expected cost to completion. But I can collect that information and provide it to you.

Ms. RICHARDSON. My time has expired. What I would say to you, from my experience and from your testimony and what I have heard from my colleagues, I believe, as I said, this is a perfect example of Government waste and abuse and poor work. I would hope that, rather than us continuing down this road, that you would properly make some evaluations and stop. Then as you go forward and make true evaluations—and I can't stress enough. If you come from a district which Secretary Napolitano has flown over it, where you have refineries and ports and airports and water treatment facilities and all that, if it is not working here, you are wasting our time. I have got to tell you, like I said, coming from countries and places America Samoa who really need our help and need FEMA to be active, I just think this is an embarrassment. Thank you.

Mr. CUELLAR. Thank you, Ms. Richardson. Mr. Manning, I don't know if you noticed, there is a tsunami of concerns on this issue. Do you have anybody that liked this C2C?

Mr. MANNING. Mr. Chairman.

Mr. CUELLAR. Besides the contractor.

Mr. MANNING. Mr. Chairman, I have not—to my knowledge, I have not received any letters in support.

Mr. CUELLAR. Who is your customer, if I can use that term?

Mr. MANNING. Absolutely. The customers are the grantees, the State and local governments and the American people.

Mr. CUELLAR. So if your customers, along with the oversight committee, ourselves, are having concerns about this, I understand as you mentioned to Ms. Richardson you are going through the process to finish your pilot program. But I hope that you consider this. I still ask you to go back and just go back to the basics. If you go to mission performance, you have got to look at what is your mission, what is your goal, what is your strategy. As you develop the goals and the strategies of performance measures, you are going to come up with, I think Mr. Maxwell brought up, Mr. Rogers, is your definitional issues. It takes a long time.

For example, as Mr. Rogers mentioned, what is preparedness? Who is going to define that? You are going to have a definitional issue there. So do you prepare that, or do you get in with the organizations and come up with what preparedness comes up? It might

be different what Ohio might want and what California might want or Texas might want or Arkansas, but you have got to develop at least some basic structures that fits under the definition of preparedness. I think if you don't go back to the basics—and, again, we understand, Mr. Manning, you are in a difficult situation because you are picking up the baton where it was left. But I still ask you to go back, just go back to what I gave you this for free. I think it was—you mentioned \$5 million when you answered my question before she got in.

But out of curiosity, the committee, I am going to ask you to submit the information what the cost of the software was for this, and if you can provide that information. But I think what we are seeing here is the focus is using a software to substitute basically what we can do, that is, on the performance measures. What goes in is going to come out on that. I am not using those terms. I haven't had 24 hours on the airplane, so I will be more a bit more diplomatic. But basically what is going in is going out on that. But I would say that—I mean, I would say you have just got to go back to the basics and don't put your eggs on this tool, because I think everybody is saying we don't like this tool. I think if you sat down and asked the association Mr. Maxwell is going to be the new president or is the president on, and say, okay, what should be our mission, what should be the indicators, what is the performance measures, what is the strategy, what is the goal, where do we have issues with definitions.

I think if you do that you will save yourself \$5 million plus, and I think you will save yourself a lot of headaches also. Mr. Manning, you are doing a good job. This is it, but I know on the strategic plan that we asked you, I think you are one of the first ones that has given us that information before anybody. It is a new leaf turned. I know you are in a difficult situation. But I want to ask you to seriously consider the tsunami of negativisms that you are getting in from the locals and from the oversight committee.

Mr. Rogers? Anybody want to add anything else before we go? Mr. Cleaver, any Kansas City things? All right. Ms. Kilroy, thank you for the bill that you filed. I appreciate the leadership.

At this time, I want to thank all the witnesses for being here. Members on the subcommittee might have additional questions for the witnesses, and we ask you to respond to that as soon as you can. Ask you to do that. Also, members, I want to ask you, with your permission, without objection, the chart on how the CQC—if you haven't seen that, I would ask that be made part of the record, but before that is made part of the record, I want to pass that on and have you hand that over to the clerk so you can get an idea.\* We are making this very complicated, and I would ask you to really seriously consider modifying this to something that works a lot easier.

Mr. Manning, I would love to sit down with your staff, whoever your persons are on performance, and ask you to sit down and we will give you some ideas, some suggestions. It is up to you. You are the Executive branch. But we would like to give you some sugges-

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\*The information has been retained in committee files.

tions. Hearing no further business, the hearing is adjourned.  
Thank you.

[Whereupon, at 11:38 a.m., the subcommittee was adjourned, and  
the hearings were concluded.]



## APPENDIX

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### QUESTIONS FROM CHAIRMAN HENRY CUELLAR FOR TIMOTHY W. MANNING

*Question 1.* Your testimony suggests that FEMA may choose not to integrate the Cost to Capability (C2C) tool into the fiscal year 2011 Homeland Security Grant Program (HSGP) as initially envisioned. Recognizing that the administrator inherited this program from his predecessor, what is FEMA's time line for reviewing the two C2C pilot programs and making a decision on C2C's future?

*Question 2.* Please describe how FEMA intends to incorporate feedback from C2C's two pilot programs into the final tool.

Answer. FEMA has requested a rollup of all comments related to the first two C2C pilots from pilot participants. This information will be reviewed along with other evaluation and assessment efforts currently being conducted in FEMA. FEMA wants to ensure that State and local jurisdictions are only asked to provide data once (instead of multiple times) and that this data can be shared across all applicable programs in FEMA.

We have received a number of useful suggestions relative to measuring the effectiveness of grant funds. We will determine a course forward based on all available data and ensure that our partners in Congress are briefed on our future course.

*Question 3.* Why did FEMA choose to base the C2C tool on the National planning scenarios rather than target capabilities? Please explain how the C2C tool maps target capabilities to the National planning scenarios.

Answer. The C2C prototype utilized the National planning scenarios in a simple approach to prioritize the target capabilities. The approach used both the scenarios and the target capabilities in a two-step process that resulted in a set of relative weights for all target capabilities. The process was adopted because of its intuitive nature and its ability to compensate for inconsistencies in the input data and still generate a consistent result. With the understanding that the current effort is a pilot of a prototype, it was assumed that the prioritization approach could change based on grantee input. The other parts of the prototype are independent of the prioritization approach, but require that the prioritization results in relative importance weights for the target capabilities.

*Question 4a.* Please provide the following information for each of these programs: Cost to Capability pilot, Target Capabilities List, Comprehensive Assessment System, Federal Preparedness Report, Catastrophic Resource Report, and the State Preparedness Report:

The amount spent per fiscal year since the Congressional authorization of the program;

*Question 4b.* whether any of the work for the program has ever been or is currently being completed by a contractor;

*Question 4c.* the contract number(s) for any and all work that has been or currently is being completed by a contractor; and,

*Question 4d.* a breakdown of the number of Federal employees and number of contractors per project.

Answer.

Cost to Capability Pilot:

1. The amount spent per fiscal year since the Congressional authorization of the program: \$4.2M FY 2008, \$2.7M FY 2009 (coverage through Sep 2010).
2. Whether any of the work for the program has ever been or is currently being completed by a contractor:
3. The contract number(s) for any and all work that has been or currently is being completed by a contractor: FY 2008 and FY 2009 contract: (TAD) GS-23F-9755H; Task Order #: HSHQVT-07-F-00015; Sep 2009 through present contract: (C2C) HSFEEEM-09-F-0263
4. A breakdown of the number of Federal employees and number of contractors per project: All FY 2008 work completed by 0.5 Federal FTE program director

and 21.5 contractor FTEs; all FY 2009 work through Aug 2009 completed by 0.7 Federal FTEs (program director and systems advisor) and 13.5 contractor FTEs; as of Aug 2009, work split between 5.5 contractor FTE on new contract, 13.75 contractor FTE on old contract for pilot report surge and short-term transition and 4.5 Federal FTE (full time director and staff).

Target Capabilities List:

1. The amount spent per fiscal year since the Congressional authorization of the program:
2. Whether any of the work for the program has ever been or is currently being completed by a contractor:
3. The contract number(s) for any and all work that has been or currently is being completed by a contractor:
4. A breakdown of the number of Federal employees and number of contractors per project:

In the on-going Target Capabilities List (TCL) Implementation project, the role of contract support is to provide the Program Office with management and administrative assistance, coordination support to participating Federal, State, and local subject matter experts, meeting facilitation, and research and analysis on policy guidance, standards and statutory requirements influencing capability development. The draft capabilities are the product of feedback from the Federal, State, and local subject matter experts to the Program Office.

In fiscal year 2007, FEMA spent \$863,000 on the development and finalization of Version 2.0 of the TCL through Contract #HSHQDC-07-F-00203 with 3 contractor FTEs and 4 Federal FTEs. The initiative to update the TCL in accordance with Section 646 of the Post-Katrina Emergency Management Reform Act of 2006 began in fiscal year 2008, with FEMA spending approximately \$1,780,000 on the TCL Implementation Project through Contract #GS-10F-0148J and #SP0700-03-D-1380-0151-06 SV TAT 06-25 and dedicated 2 federal FTEs to the effort with 10 FTE contractors provided support. In fiscal year 2009, FEMA spent approximately \$1,900,000 on the TCL Implementation Project with Contract #HSFEHQ-08-A-1889 and #HSFEHQ-08-J-0005 dedicating 3.5 Federal FTEs and 10 contractor FTEs to the effort.

Comprehensive Assessment System:

Federal Preparedness Report:

Catastrophic Resource Report:

State Preparedness Report:

1. The amount spent per fiscal year since the Congressional authorization of the program:
2. Whether any of the work for the program has ever been or is currently being completed by a contractor:
3. The contract number(s) for any and all work that has been or currently is being completed by a contractor:
4. A breakdown of the number of Federal employees and number of contractors per project:

In fiscal year 2008, FEMA spent approximately \$6,800,000 on the Comprehensive Assessment System (CAS) and State Preparedness Report (SPR) through the following contracts. These efforts were overseen by approximately 2 Federal FTEs. Approximately \$2,000,000 through Contract #N65236-03-D-7849 was applied to the initial organization of the CAS Working Group, data collection and support with 10 contractor FTEs, and then an award of approximately \$4,000,000 to Contract #GS23F8096H at the end of the year for analysis of SPR and CAS data. Analysis of catastrophic resources was included in this contract. Approximately \$800,000 from Contract #GS-10F-0184J supported the SPR analysis and the Federal Preparedness Report with approximately 5 contractor FTEs.

In fiscal year 2009, FEMA spent approximately \$7,000,000 on the SPR and the CAS through the following contracts. Contracts #HSHQDC-07-X-00245 and #HGS10F0374U for \$3,100,000 provided support for development of the SPR Survey Tool with .5 Federal FTE and 21 contractor FTEs. The CAS was supported by Contract N65236-03-D-7849 for \$1,650,000 overseen by 1 Federal FTE and approximately 7 contractor FTEs, and then supported by Contract #GS23F8096H for \$2,500,000 awarded at the end of the fiscal year.

*Question 5.* FEMA has stated its goal in revising the target capabilities list is to develop capabilities for three tiers of locations, based largely on population. How does FEMA plan to identify the critical capabilities—and tasks—for each of these tiers? How does it expect to validate them? What is the timeline for completing this review of the 37 target capabilities?

Answer. FEMA works closely with the lead departments, agencies, and offices with lead subject matter expertise in the development of each target capability. FEMA also leverages existing stakeholder working groups (e.g., NIMS Resource Typing Groups, National Advisory Council, the Interagency Board) to obtain subject matter experts to assist in their development. For each capability, a working group will be formed comprised of Federal, State, and local government representatives to define the risk factors, critical target outcomes, and resource elements for each capability. Workshops are hosted by the FEMA Regions inviting practitioners from their respective States and localities.

To the greatest extent possible, existing policy, doctrine, and standards are used to form the basis for the TCL guidance. For example, the *National Emergency Communications Plan* provides goals for the “Communications” capability, the *Baseline Capabilities for State and Major Urban Area Fusion Centers* provides goals for the “Intelligence” capability, and the measures being developed by the Logistics Management Directorate for the new Logistics Capability Assessment Tool (LCAT) provide the goals for the “Critical Resource Logistics” capability.

FEMA will soon create a Task Force comprised of State, Tribal, local, and Federal stakeholders to examine all aspect of preparedness grants, including benchmarking efforts such as the Target Capabilities List. We will be in a better position to plan our way forward according to timelines when we have received critical input from this Task Force.

*Question 6.* To what extent, and how, is the gap analysis for hurricane preparedness useful for developing preparedness measures for the broader National preparedness system?

Answer. Data collection is a critical component of effective planning which is the essential element of preparedness. The data collected thru GAP or any other effort is designed to identify potential shortfalls and vulnerabilities within local, State, and Federal capabilities as compared against requirements for key categories for specific disaster scenarios. By identifying these needs prior to the advent of a disaster, strategies for addressing the vulnerabilities can and should be developed.

*Question 7.* What roles does the Emergency Management Accreditation Program play in assessing State disaster preparedness, including assessing the clarity of roles and responsibilities? What are its principal uses and limitations?

Answer. The Emergency Management Accreditation Program (EMAP) provides guidance, technical assistance, and evaluating the efficacy of State and Urban Area emergency management programs. EMAP is operated by the National Emergency Management Association. EMAP supports the emergency management community through its use of the standards development process among emergency management practitioners to determine the *Emergency Management Standard*, as well as to use a peer review process to evaluate emergency management program effectiveness. The *Emergency Management Standard* assists State and local jurisdictions in reviewing their emergency management programs. The *Emergency Management Standard* provides standards in context of *Program Management and Program Elements* and specifies programs, policies, or procedures.

Through the use of peer reviews, States or Urban Areas are able to understand what program elements need to be created or improved. The collaborative process also fosters and promotes the sharing of lessons learned and best practices among communities. The limitation of the EMAP standard is that it is focused primarily on the programmatic aspect of emergency management and does not generally specify the level of capability to be built or maintained. As such, the EMAP standard should be used to compliment the guidance found in other standards and the TCL. FEMA is working directly with EMAP and NEMA to ensure connectivity among our efforts.

*Question 8.* In developing preparedness metrics, in what ways does FEMA plan to use capabilities-based planning versus scenario-based analyses? What, in your view, are the benefits and limitations of each approach?

Answer. The Comprehensive Preparedness Guide (CPG)–101 “Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans” (March 2009) outlines the three common approaches to developing plans to include: Scenario-, Function-, and Capabilities-based planning. CPG–101 further recognizes that most planners use a combination of these approaches. For example, a jurisdiction may develop an all-hazards emergency operations base plan that outlines activities and roles and responsibilities for the delivery of certain functions or capabilities, but use scenarios to test the planning assumptions and desired functions or capability levels.

The current measures within the Target Capabilities List (TCL) are organized by capability—not scenario. However, since the targets or goals are intended to build capabilities to address large-scale, non-routine events, scenarios, and historical

events are often used to inform measure development. Thus, consistent with CPG-101, a hybrid approach is employed in measure development.

The benefits of a capability-based process include not restricting the applicability of the measure to a limited set of scenarios. A capabilities-based approach ensures an all-hazards focus. However, the complementary use of scenarios and historical events are very useful to test and validate the appropriateness of the capability measures.

*Question 9.* What are FEMA's priorities in the next 12 and next 24 months for developing and implementing measures of preparedness?

Answer. FEMA's priorities include working closely with its stakeholders and partners to develop and refine the measures, as well as to update and modify them to ensure that they are useful, measurable, and applicable across the Nation. FEMA's priorities also include updating its exercise evaluation, assessment, training development, and other efforts to closely align with the updated measures.

Within the next 24 months, FEMA endeavors to build a more bottom-up approach to how a community uses and evaluates preparedness measures. FEMA is considering the feasibility of a local, State, Tribal, and Federal Preparedness Task Force that may play a role in reviewing the current manner in which FEMA develops and uses preparedness measures, as well as how such measures are applied to evaluate and improve capabilities.

*Question 10.* What are the most critical challenges that FEMA and its partners face in developing preparedness measures? What is FEMA's plan for addressing these challenges and in what period of time?

Answer. There are numerous challenges inherent in establishing measures for emergency management. First and foremost, any such measures must recognize that State and local governments—not the Federal Government—are primarily responsible for emergency management. Therefore, preparedness measures must be written in close collaboration with State and local government representatives in a manner that recognizes the different risks and needs that exist across the Nation. To address this challenge, FEMA will leverage the use of subject matter experts from State and local governments to assist in the development of measures from the very start.

Another challenge to preparedness measure development is the fact that the departments and agencies with lead subject matter expertise and responsibility for the capability are often external to FEMA. For this reason, a great deal of coordination is necessary among Federal partners.

FEMA is considering the feasibility of a Task Force to be comprised of local, State, Tribal, and Federal officials to examine preparedness efforts and measures that may be applied. Consultation with these stakeholders will allow FEMA to develop aggressive, yet realistic timelines for the implementation of effective preparedness measures.

*Question 11.* We understand that FEMA this summer approved dozens of fiscal year 2009 homeland security grant projects that are intended to keep vital first responder equipment operational. Does FEMA intend to notify grantees/subgrantees that they may no longer use funding for these previously-approved projects given the 22 September 2009 policy announcement on maintenance projects?

Answer. The September 22, 2009 email to States and locals was notification clarifying the existing policy regarding maintenance/sustainment to include maintenance, upgrades, repairs-replacement parts, and user fees. The use of funding for maintenance and sustainment has never been allowable other than during the period of performance of the grant under which the equipment was purchased. Once a grant's period of performance ends, the grantee is responsible for maintaining equipment purchased with grant funds. Because we believed that grantees may not have been clear on the policy, the September 22 email was sent to all grantees. Based on a number of issues, FEMA reviewed the existing policy and revised the policy to allow grantees to use funds for maintenance and sustainment in active and future grant awards as of November 20, 2009.

*Question 12.* The consequence of FEMA's new policy is that grantees will be forced to discard perfectly usable equipment if they cannot afford to maintain it. Does it not then follow that grantees will have to use future homeland security grants to buy brand new equipment at a cost far greater than simply maintaining the equipment they currently have?

Answer. Under FEMA's previous policy, the grantee is responsible for maintaining equipment once the period of performance of the grant under which the equipment was purchased expires. However, working with DHS and the administration, FEMA conducted a careful review of this policy, and revised the existing policy on Friday, November 20. FEMA issued an Information Bulletin (#336) noting that effective immediately, the use of FEMA preparedness grant funds for maintenance contracts,

warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted. However, the bulletin notes that routine upkeep is the responsibility of the grantee and may not be funded with preparedness grant funding, and that maintenance contracts and warranties are only an allowable expenditure for equipment purchased with FEMA preparedness grants.

QUESTIONS FROM CHAIRMAN HENRY CUELLAR FOR KATHY B. CRANDALL

*Question 1.* How do Franklin County and the Columbus Urban Area Working Group (UAWG) measure its preparedness capabilities? What was the process for developing these performance measures?

Answer. The Columbus Urban Area Working Group (UAWG) developed our strategy based on the Target Capabilities pertinent to our identified threat, risk, and need. Each capability has a respective impact area defined by need not geography. The UAWG performs an annual assessment and evaluation of the progress on meeting the goals of the strategy and modifies accordingly. The implementations step(s) to meet the objective for each goal is the performance measure. The metrics for each measure are in accordance with the Universal Tasks required under the respective Target capability.

*Question 2.* Does Franklin County and the Columbus UAWG prepared for disasters using capabilities based planning, scenario-based planning, or both? What, in your view, are the benefits and limitations of each approach at the Federal level?

Answer. The Columbus Urban Area utilizes capability and scenario-based planning. Local scenario-based planning is utilized specific to our Urban Area to identify the capabilities we need to build, enhance, and sustain. National scenarios are not used for planning purposes because they are too broad-based and fail to incorporate local threat, risk, and need.

*Capability-Based.*—The benefit at the Federal level is a clear and refined picture of prevention, protection, response, and recovery capability and cost of capability at the local level. The limitation at the Federal level is clearly the unique individualized assessment and evaluation of each urban area is much more timely and costly to identify, track, and compare preparedness efforts across the Nation.

*Scenario-Based.*—The benefit at the Federal level of using the National scenarios is that it reduces individualization and acts as a National equalizer to reduce the effort of measuring preparedness. The limitation at the Federal level is the lack of specificity to risk and threat in respective local/State jurisdictions presents a false state of preparedness.

*Question 3.* To what extent has your agency been involved in FEMA's Target Capabilities Implementation Project? Please describe, in your view, the strengths and weaknesses with this project.

Answer. I am not aware of a specific "Target Capabilities Implementation" project. The National Framework identifies the Target Capabilities and we have been advised that those are under revision and update. GPD has completed the "Program Accomplishments Report" that assessed grant funds utilized to support Target Capabilities. These are the only two initiatives I am aware of in progress or undertaken recently and we did not participate in either project.

*Question 4.* Approximately how much of your fiscal year 2009 Homeland Security Grant Program award were you intending to use to maintain previously purchased homeland security equipment? Had FEMA approved these investments prior to its September 22, 2009 policy announcement?

Answer. Approximately \$735,000 of the award was dedicated to maintenance and sustainment of previous investments. FEMA has reviewed the proposed fiscal year 2009 investments through the Peer Review process and did not deny in whole or in part any investment.

*Question 5.* FEMA has suggested that its maintenance policy was always in place but loosely enforced. Had FEMA ever previously prohibited your agency from maintaining homeland security equipment with subsequent preparedness grants?

Answer. The Columbus urban area has experienced differing decisions from FEMA based on the GPD/NPD personnel answering the question or reviewing the proposed project. Situation specifics have dictated a FEMA response to prohibit use of funds more often than allowed.

QUESTIONS FROM CHAIRMAN HENRY CUELLAR FOR DAVID MAXWELL

*Question 1.* Has Arkansas developed its own means of measuring current and future capability levels? If so, please describe the process for developing these measures. Are there lessons learned from your experience that would be beneficial for FEMA as they develop preparedness metrics?

Answer. Arkansas is in the initial phase of developing a capabilities assessment tool. This tool will focus on the equipment purchased with Homeland Security Grant Program. This tool will rely heavily on the Target Capabilities List that has been developed. Each piece of equipment has been identified as serving a specific TC. We will be working with a contractor to develop the methodology to achieve this analysis.

*Question 2.* Does Arkansas prepare for disasters using capabilities-based planning, scenario-based planning, or both? What, in your view, are the benefits and limitations of each approach at the Federal level?

Answer. Arkansas uses an all-hazards functional approach to planning with the format of our plan falling in line with the National Response Framework. Arkansas uses the principles in FEMA's Comprehensive Planning Guidance documents in all planning efforts. I feel strongly that at least at the State and local levels the all-hazards functional approach gives the best results.

A limitation of capabilities-based planning is being unprepared for events beyond your current capability. A limitation of scenario-based planning is real events will rarely, if ever, match the chosen scenario(s). These types of plans will often stovepipe the planning effort.

Whatever planning approach is utilized it is the planning process of getting all of the parties involved that is most important. We can develop great-looking/-sounding plans on paper but if the users of the plan have not been involved in the development the plan will most likely fail.

*Question 3.* What have been the strengths and weaknesses of the State Preparedness Report? What recommendations, if any, would you make to FEMA on improving the SPR?

Answer.

Strengths of the SPR include:

The report provides a single-source reporting mechanism for information to FEMA. The one-stop-shop approach prevents multiple reporting requirements from different parts of FEMA for basically the same information.

The report gives an overall view of the program instead of fragmented or stovepiped pieces of information.

Weaknesses of the SPR:

The report has had at least 3 formats which makes consistency difficult at best.

The newest format which has not been finalized and implemented as of today (11/13/2009) streamlines the entries to numerical scores but does not define the numerical values so it is very subjective.

The first iteration of the SPR was narrative and difficult to extract meaningful information. The second iteration was a spreadsheet and although simplified it was very difficult to compile each unique State's capabilities and situations into a comprehensive National report. The fine line between being able to aggregate the State reports to develop a National report and leaving out each State's unique capabilities is difficult to balance.

Recommendations:

Clearly define the numerical scores in the latest tool so States are compiling information in a consistent manner that can then be rolled up into a comprehensive National preparedness report.

*Question 4.* To what extent has your agency been involved in FEMA's Target Capabilities Implementation Project? Please describe, in your view, the strengths and weaknesses with this project, as applicable.

Answer. ADEM Planning Branch Manager is a representative on the Planning Target Capability Working Group. The working group is in place to provide input from the user community that FEMA seeks as the Target Capabilities are updated.

One of the main strengths of this project is providing standards for overall preparedness at various levels of government by breaking capabilities down into classes and specifying target capabilities for jurisdictions of different sizes.

The Implementation Project's weakest point may be in attempting to set measurable Target Outcomes. Not every capability is quantifiable. Target Capabilities are not currently used in our planning effort at either the State or Local level in Arkansas. We do not feel the TCLs are beneficial to the planning process.

The ADEM Exercise Section Chief participated in a Target Capabilities List (TCL) Version 3.0 Capabilities Framework Workshop. A draft copy of the Weapons of Mass Destruction/Hazardous Materials TC was distributed for comment. The framework consisted of three matrices: 1. Performance classes; 2. Performance objectives; and 3. Resource elements.

*1. Performance classes.*—The classes are too broad. The recommendation was made to make the classes temporary so they can be used as a guide to measure

performance. In relation to Arkansas under the current performances, some counties will never meet the risk factors. Not all jurisdictions are affected by certain natural disasters.

2. *Performance Objectives*.—In order to evaluate using the matrix outlining the performance objectives a user guide with more clarity of the text, and definitions of terms would be beneficial. Concern was expressed that limiting response to within a certain time frame is not realistic for some rural areas.

3. *Resource elements*.—Designed to provide guidance for meeting target outcomes and metrics through capability-based planning. Tables were not user-friendly because they ignore the issue of mutual aid and make the assumption that resources are available when needed; they do not seem to link to training and ignore the stair-step approach used to respond to emergencies. More explanation of the resource elements and headings would be beneficial. The current TCL does not link planning, training, and exercise. The direction of the new TCL once completed will benefit jurisdictions measuring their capabilities. Arkansas has not conducted an exercise utilizing the new TCL.

*Question 5.* Approximately how much of your fiscal year 2009 Homeland Security Grant Program award were you intending to use to maintain previously purchased homeland security equipment? Had FEMA approved these investments prior to its September 22, 2009 policy announcement?

Answer. Arkansas does not budget a specific amount dedicated to sustainment. Arkansas awards its SHSGP dollars to 77 jurisdictions on a population basis. Each jurisdiction develops a budget of anticipated expenditures. Each jurisdiction can determine the appropriate budget amount for sustainment expenses. They do not have a pre-determined budget allowance for sustainment expenses.

*Question 6.* FEMA has suggested that its maintenance policy was always in place but loosely enforced. Had FEMA ever previously prohibited your agency from maintaining homeland security equipment with subsequent preparedness grants?

Answer. FEMA has not previously disallowed any sustainment purchases made by sub-grantees. Sustainment has been a part of the submitted Investment Justifications during previous applications.

