



U.S. DEPARTMENT OF HOMELAND SECURITY

FY 2013 NATIONAL PREPAREDNESS GRANT PROGRAM

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Grant Programs Directorate

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FY 2013 NATIONAL PREPAREDNESS GRANT PROGRAM

Over the past nearly 10 years, we have seen how federal investments in state, territory, tribal and local preparedness capabilities have developed significant national capacity to prevent, protect against, respond to and recover from all kinds of disasters and threats. The Fiscal Year (FY) 2013 National Preparedness Grant Program (NPGP) seeks to sustain and continue to build on these capabilities to create robust national capacity based on cross-jurisdictional and readily deployable state and local assets.

As recognized in the National Preparedness Goal, a secure and resilient Nation is one with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk. With this in mind, the FY 2013 NPGP will work to develop, maintain, and sustain core capabilities in the National Preparedness Goal.

Purpose of the Program

The FY 2013 NPGP will:

- Focus on the development and sustainment of the core capabilities identified in the National Preparedness Goal.
- Utilize the capability estimation process employed by applicants and verified by DHS to determine capability and resource deficiencies to inform the competitive process.
- Build a robust national preparedness capacity based on cross-jurisdictional and readily deployable state and local assets.

FY 2012 grants will prepare grantees for the transition to new requirements in FY 2013 in the following ways:

- Begin the process of transitioning from 16 separate preparedness grant programs¹ in FY 2011 to a more streamlined model within the construct of the FY 2012 appropriations.
- Continuing the transition to address the core capabilities outlined in the National Preparedness Goal.
- Implement a two year period of performance with very limited extensions.

Changes from Previous Years in FY 2013

Elevate national preparedness capabilities by focusing on regionally and nationally deployable assets

Over the last 10 years we have recognized that Federal Emergency Management and Homeland Security (EMHS) funds are most effective when they develop and sustain capabilities that are cross-jurisdictional, readily deployable, and multipurpose. We also know that threats, risks, hazards, and their consequences vary across the United States. Therefore, the NPGP will

¹ Emergency Management Performance and Assistance to Fire Fighters grant programs are not included

focus on the development and sustainment of National Incident Management System (NIMS)-typed capabilities that can be utilized nationally and regionally, like canine explosive detection teams, Urban Search and Rescue Teams, Hazardous Materials (HAZMAT) teams, as well as other deployable assets.

As part of the peer review process, all EMHS resources will be considered in the context of their availability and utility to multiple jurisdictions, regions and the nation. The peer review process will require that resources, regardless of funding source, are complementary and that mutual aid and similar agreements allow for their use across jurisdictional boundaries for a wide range of threats and hazards. This will aid in preventing the use of federal funds to replicate capabilities that are in close proximity. Jurisdictions must also maintain membership in the Emergency Management Assistance Compact (EMAC) to facilitate the mutual aid of capabilities in order to be eligible for funding.

Building and sustaining core capabilities

The NPGP will optimize the development and sustainment of core capabilities as outlined in the National Preparedness Goal. Particular emphasis will be placed on building and sustaining capabilities that address high consequence events that pose the greatest risk to the security and resilience of the United States and along its borders and can be utilized to address multiple threats and hazards. Grantees will map their proposed investments to one or more specific core capabilities and will incorporate effectiveness measures that facilitate accountability. This clear linkage will enable all levels of government to collectively demonstrate how the proposed investment will build and sustain core capabilities necessary to strengthen the Nation's preparedness. The FY 2013 NPGP will encourage the use of complete lifecycle planning of inventories and resources. This will allow grantees to plan and budget for equipment upgrades, develop and maintain skills through training and exercises, and update plans and procedures to enable delivery of core capabilities across the prevention, protection, mitigation, response, and recovery mission areas.

Evaluation of new assets and capability requests

Proposals from states and high threat urban areas for the development of new assets and capabilities and for which a need is identified in the Threat Hazard Identification and Risk Assessment (THIRA) will be placed in a competitive pool. These proposals will be evaluated on the ability for a jurisdiction to build and sustain the capability as not just a local, but a nationally deployable resource that will increase one or more core capabilities for the region (i.e. FEMA Region).

Risk and vulnerability assessments

FEMA will base funding allocations on prioritized core capabilities as well as comprehensive threat/risk assessments and gap analyses. Specifically, allocations will consider current threat data (including domestic extremist threat input from the FBI), the needs identified in each state's Threat Hazard Identification and Risk Assessment, the Strategic National Risk Assessment and

National Preparedness Report, and a regional risk assessment of gaps in national core capabilities (the FEMA Regional THIRA). Emphasis will be placed on building core capabilities that can be utilized nationally and regionally.

Consolidation of grants

To increase efficiency, FEMA will consolidate current grant programs into a comprehensive NPGP (excluding EMPG and Fire grants). The NPGP will enable grantees to develop and sustain core capabilities outlined in the National Preparedness Goal instead of requiring grantees to meet the mandates from multiple individual, often disconnected, grant programs.

Consolidating grant programs will support the recommendations of the Redundancy Elimination and Enhanced Performance for Preparedness Grants Act (REEPPG) and streamline the grant application process. This increased efficiency will enable grantees to focus on how federal funds can add value to the jurisdiction's prioritization of threats, risks and consequences while contributing to national preparedness capabilities.

Multiyear Program Guidance

To further increase the efficiency of the NPGP, FEMA will issue multiyear guidelines. Multiyear grants programs will enable FEMA to focus its efforts on measuring progress towards building and sustaining the core capabilities identified in the National Preparedness Goal.

Project Based Approach to Developing and Monitoring Capabilities

Starting in FY 2013, grant awards will be based on validated assessments of the needs and gaps for the jurisdiction and region where the project will be implemented. Consistent with the recommendations made in the 2011 REEPPG report, FEMA will use project-based monitoring as the principal means of measuring project progress. Project-based monitoring is a method of following projects from creation to completion, providing basic data to measure impact over time, improving accountability, and enabling FEMA to identify progress made in preparedness and determine current and future gaps.

Peer Review

All FEMA funded grant projects will be validated via peer review to ensure that projects support the development and sustainment of regional and national core capabilities. The peer review process will incorporate pieces of the DHS/Infrastructure Protection (IP) State, Local, Tribal, and Territorial Government Coordinating Council structure and engage representatives from stakeholder agencies from the jurisdiction receiving grant funds, peers from comparable jurisdictions, federal preparedness coordinators and analysts from multiple State and Regional grant program offices, DHS component representatives, and representatives from national associations. Grantees will be expected to justify why they prioritize funding particular projects and how these projects will, over the lifecycle of funding, sustain current capabilities as

well as address gaps in capabilities. Proposals for the development of new assets will be carefully evaluated to ensure that all new capabilities can be leveraged as a national resource that will benefit the region as a whole in addition to the state or local jurisdiction. This approach will expedite awards, while at the same time, increase accountability over the use of federal grant funds. Additionally, direct involvement by regional FEMA representatives during the review process will assist in targeting funds for regionally critical projects, and will reduce the redundancy of like assets throughout the Region.

Allocation of FY 2013 Grant Funding

All NPGP awards will be risk-informed. FEMA will base funding allocations on prioritized core capabilities as well as comprehensive threat/risk assessments and gap analyses. FY 2013 funding will be prioritized across the following focus areas, each of which will be supported via one or more investment justification:

Core Capabilities

Since the focus of the NPGP is to develop and sustain the core capabilities identified in the National Preparedness Goal, the program will prioritize nationally deployable NIMS-typed capabilities. This will include funding that states typically invest in preparedness activities (including the portion of the Transit Security Grant Program (TSGP) that is allocated for operational packages) that could be utilized anywhere in the country via EMAC or other mutual aid/assistance agreements. Such capabilities are identified in the National Preparedness Goal and include mass search and rescue operations, intelligence and information sharing, border security and border protection operations, cyber security, community resilience, and economic recovery. In addition, a portion of this funding may be used by states and high threat urban areas to sustain core capabilities that may or may not be deployable, such as interoperable communications systems, mitigation-related capabilities, and fusion centers. FEMA will prioritize funding based on whether:

- The capability is one of the core capabilities identified in the National Preparedness Goal;
- The capability meets one of the NIMS resource types;
- The applicant must belong to or be located in member States of EMAC, except for American Samoa and the Commonwealth of the Northern Mariana Islands, which are not required to belong to EMAC at this time;
- The capability can be utilized anywhere in the nation upon request;
- The capability addresses a risk or hazard identified in both the FEMA Regional and state THIRA; and
- FEMA has determined that the capability is not redundant.

Applications not meeting the above criteria will not be eligible for grant funding. It is anticipated that funding will be allocated in the following manner:

- Each state and territory will receive a base level of funding allocated in accordance with a population driven formula such as that for the EMPG program.
- The remainder of the state awards will be determined competitively, based on the criticality of the specific capability according to the Regional THIRA as evaluated by the criteria above as well as the applicant's ability to complete the project within the two year period of performance.
- FEMA will also take into account a grantee's prior performance in executing projects based on grant monitoring and amount of funds returned to the Treasury at the end of the period of performance.
- Priorities will vary by region according to the risks and hazards therein (i.e. hurricane risk for Gulf and East Coast states, terrorism for large urban areas, flooding in the Mid West and earthquakes and wildfires on the West Coast). The prioritization of deployable capabilities will bear directly on the FEMA Regional THIRA.

Another portion of the funding will be placed in a competitive pool for the development of new capabilities for which a need is identified in the THIRA and a corresponding resource estimation and implementation strategy are provided. These proposals will be evaluated by a national review panel for the ability for a jurisdiction to build and sustain the capability as not just a local, but a nationally deployable resource that will increase one or more core capabilities for the region (i.e. FEMA Region). All jurisdictions applying for competitive funds must affirm membership in EMAC and commit to regional and national deployment as needed. In addition, competitive applications will be required to address a capability gap identified in one of the FEMA Regional THIRAs, identify that the proposed new capability does not duplicate one that already exists within a reasonable response time and describe how the capability will be fully established within the two year period of performance.

Enhancing Terrorism Prevention and Protection Capabilities:

As the terrorist threat to the United States has evolved, the terrorism prevention community has sought to enhance capabilities to detect and mitigate the threat posed by those who seek to carry out violent attacks against the people, government, or critical infrastructure of the United States. The threat posed by homegrown terrorism is real and not limited to a single ideology. Foreign terrorist groups affiliated with al-Qaida and individual terrorist thought leaders are actively seeking to recruit or inspire Westerners to carry out attacks against western and United States targets. The Nation must remain vigilant against homegrown and foreign terrorist threats.

In support of the National Preparedness Goal's Prevention and Protection core capabilities, the forthcoming National Prevention and Protection Frameworks, and the Strategic Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States, NPGP will seek to prioritize programs and initiatives that directly support local

efforts to enable interdiction and disruption of terrorist activity through enhanced understanding and recognition of pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with applicable privacy, civil rights, and civil liberties protections. Examples of such programs and initiatives include, but are not limited to, maturation and enhancement of fusion center and intelligence analysis activities, implementation of the Nationwide Suspicious Activity Reporting Initiative, and the “If you see something, say something” campaign to raise public awareness of terrorism and violent crime indicators.

Critical Infrastructure/Key Resource Protection:

Finally, a priority focus area is critical infrastructure and key resource protection and long-term vulnerability reduction. This category includes physical security enhancements of:

- Level 1 and 2 CIKR sites in the National Critical Infrastructure Prioritization Program (NCIPP);
- Transit facilities on the Top Transit Asset List (TTAL);
- Port facilities identified in Port Wide Risk Management Plans;
- At-risk non-profit organizations

A national review panel comprised of FEMA Federal Preparedness Coordinators, DHS Office of Infrastructure Protection, Transportation Security Agency, US Coast Guard, Customs and Border Protection, Maritime Administration and others will review applications and allocate funding based on national risk prioritization using a combination of the existing TTAL, Maritime Security Risk Assessment Model score and National Critical Infrastructure Prioritization Program list.

Continuous Feedback

DHS will continue to solicit stakeholder feedback to ensure NPGP enables all levels of government to build and sustain, in a collaborative way, the core capabilities necessary to prepare for incidents that pose the greatest risk to the security of the Nation.