

Priority Question #1	What indicators, measures, methods, and data can better support the evaluation of the Homeland Security Grants Program (HSGP) effectiveness as it pertains to maintaining and improving State, local, Tribal and territorial (SLTT) and national preparedness?
Theory of Change	HSGP provides funds to support SLTT efforts to prevent terrorism and prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United states, including catastrophic events at the nexus of preventing, preparing for, protecting against, and responding to terrorism.
Strategic/Operational Decisions	If we understand existing empirical and other evidence, methods used, available data, and gaps, then we can identify where limited evidence is available and prioritize strategic efforts for future evidence-building. The question has the potential to engage and impact FEMA, CISA, TSA, USCG, CWMD, and S&T.
Learning Activity(s)	<input checked="" type="checkbox"/> Foundational Fact Finding <input type="checkbox"/> Policy Analysis <input type="checkbox"/> Performance Measurement <input type="checkbox"/> Evaluation
Data, Tools, & Methods	Foundational research will analyze existing HSGP studies, administrative data, and submissions to a FY20 Request For Information on a set of priority questions to understand existing data and evidence for HSGP’s influence on SLTT preparedness. Existing HSGP studies and administrative data include Homeland Security Grant Program Investment Benefit Pilot Study, Threat and Hazard Identification and Risk Assessment (THIRA) data, Biannual Strategic Implementation Report (BSIR) reporting from grantees, investment justifications, preparedness grant case studies, and Homeland Security Exercise and Evaluation Program documentation. New information include relevant research and evaluation studies, measures, and outcomes data per the RFI. The results will be used to establish and implement a community-informed logic model and system of indicators, measures, and methods that serve as the foundation for monitoring and evaluating grant effectiveness.
Challenges & Solutions	The effort may result in the identification of indicators for which FEMA does not currently collect data or for which valid and reliable data are not available from secondary sources of information. Changes in data or evidence requirements have personnel, budget, and timing implications for FEMA, other DHS Components with equities, projects, and FEMA-GO. Solution: National Preparedness Assessment Division will coordinate across all impacted projects, FEMA Grant Programs Directorate, and FEMA-GO. Full Information Collection Requests for new or revised collections should anticipate a 6-12 months lead time.

<p>Priority Question #2</p>	<p>What are the most effective ways to measure social return on investment related to prepared and resilient individuals and communities?</p>
<p>Theory of Change</p>	<p>FEMA’s Individual and Community Preparedness Division (ICPD) connects individuals, organizations, and communities with research and tools to build and sustain capabilities to prepare for any disaster or emergency, including but not limited to those declared under the Stafford Act.</p> <p>ICPD develops and shares preparedness resources and coordinates comprehensive disaster preparedness initiatives that empower communities to prepare for, protect against, respond to, and recover from a disaster. In addition, ICPD leads Resilience’s engagement with non-governmental partners from all sectors nationally, including neighborhood-based community groups. To this end, the Division is investing in research to better understand effective preparedness actions and ways to motivate the public to take those actions. Further, the Division seeks to understand the social returns of these actions in order to measure them to determine programmatic impact.</p> <p>Resilience, as established in PPD-8 (March 2011) and 21 PPD-21 (February 2013), is “the ability to prepare for anticipated hazards, adapt to changing conditions, and withstand and recover rapidly from disruptions. Activities, such as disaster preparedness—which includes prevention, protection, mitigation, response, and recovery—are key steps to resilience.”</p> <p>“Community” includes individuals, households, businesses, communities, community organizations, and other entities or categorizations of people outside the scope of State, Local, Tribal, and Territorial definitions.</p>
<p>Strategic/Operational Decisions</p>	<p>ICPD supports the Strategic Goal of <i>building a culture of preparedness</i> by connecting individuals, organizations, and communities with research and tools that build and sustain capabilities to prepare for any disaster or emergency. These connections can be categorized in five different focus areas (“Programmatic Initiatives”): Preparedness Actions, Capacity Building, Citizen Responder, Youth Preparedness, and Financial Preparedness</p> <p>ICPD’s goal is to achieve a culture of preparedness for the U.S population of over 322 million. Success is a culture where preparedness is part of everyday life: Americans know their relevant hazards and have taken actions to prepare themselves. Together, the whole community works to plan for and practice the community’s response to both likely and unexpected hazards.</p> <p>In keeping with both the FEMA 2018-2022 Strategic Plan <i>Strategic Goal 1: Build a Culture of Preparedness</i> and the Evidence Act of 2018, ICPD is implementing a robust evaluation strategy to measure the impact of the Division’s work. ICPD’s programs support and align to Strategic Plan Objective 1.3—Help People Prepare for Disasters. FEMA has established an aggressive set of performance measures to monitor while working towards this Objective. In addition, the Division’s work supports FEMA Strategic Goal 5 “Strengthen preparedness and resilience.” The Division seeks to evaluate the impact of its work by determining how it can calculate SROI for the preparedness actions that it encourages the public to take.</p>

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Data, Tools, & Methods	<p>Short Term: Baseline Assessment It is critical ICPD expand its data collection capabilities to acquire an accurate baseline assessment of programmatic benchmarks and outcomes. In FY20, ICPD created a unified program logic model, conducted more advanced analytics of existing data, collected additional data, and began standardizing data collection tools and methods to increase the validity of cross-program analysis. These metrics will be used to measure impacts, identify areas of improvement, and inform strategic planning going forward.</p> <p>Medium Term: Programmatic Impacts In FY21, ICPD will assess the impact(s) of each program—as outlined in the <i>Strategic Vision Objectives</i>—using the Stages of Change (Transtheoretical) Model.¹ This model, which posits that behavior change involves progress through five quantifiable stages, is widely accepted in the scientific community and used in ICPD to assess individual readiness to engage in a variety of disaster preparedness actions among US residents. This approach will allow for the identification of both the strengths, and gaps, of program initiatives. In addition, ICPD will continue to develop standardized data collection tools that help to identify the impact of its programs. ICPD will use these results to generate improvement, modification, or expansion plans that are program specific and in line with Agency priorities.</p> <p>Long Term: (Social) Return on Investment Long-term, ICPD will assess the return on investment (ROI) of individual or groups of programs. ICPD will assess not only direct economic impacts when possible (e.g., cost savings resulting from ICPD programs), but also the indirect social ROI (SROI). In this vein, ICPD will measure improvements in community capabilities, depending on the program. These may include socio-economic benefits such as reduced need for relief, time saved, lives saved, maintenance of or improvements in well-being, reliance on aid, etc.</p>
Challenges & Solutions	<p>Challenge: Social return on investment (SROI) is a relatively new concept, and there is limited understanding of it within the disaster preparedness research space.</p> <p>Solution: To begin its research into SROI, ICPD will work with key CBO stakeholders to develop an understanding of how they perceive SROI and their organizations’ role(s) in creating SROI. ICPD will use this insight to inform an iterative research process, which will help the Division to identify how to best measure SROI in the CBO context. This research, in turn, will help the Division determine how what additional research needs to be undertaken to understand SROI in the larger disaster preparedness space.</p>

¹ Prochaska JO, Velicer WF. (1997). The transtheoretical model of health behavior change. *Am J Health Promot.*;12(1):38-48. Review

Priority Question #3	As a Nation, how prepared are we to face the threats, hazards and risks of greatest concern?
Theory of Change	Annually, FEMA’s National Preparedness Assessment Division (NPAD), through the National Preparedness Report, seeks to summarize the progress made and challenges remaining in building and sustaining capabilities needed to prevent, protect against, mitigate, respond to, and recover from threats, hazards, and incidents that pose the greatest risk to the Nation.
Strategic/Operational Decisions	By offering all levels of government, the private and nonprofit sectors, and the public, practical insights into preparedness, opportunities can be identified to inform decisions about program priorities, resource allocation, and actions that can create more resilient communities.
Learning Activity(s)	<input checked="" type="checkbox"/> Foundational Fact Finding <input type="checkbox"/> Policy Analysis <input checked="" type="checkbox"/> Performance Measurement <input checked="" type="checkbox"/> Evaluation
Data, Tools, & Methods	Initial research will consider data on risks, capabilities, and gaps at the State, Local, Tribal, and Territorial (SLTT) level, as well as at the National level. Existing information includes, both the Community and National Threat and Hazard Identification Risk Assessments (THIRA) and Stakeholder Preparedness Reviews (SPR); operational data from exercises and real-world incidents; national preparedness data from other Federal departments and agencies; and other available sociological data that may impact, such as the social vulnerability index, census data, etc. New information will be identified and collected to answer a series of research questions that move us towards better answering the overarching priority question.
Challenges & Solutions	The effort may result in the identification of indicators for which FEMA does not currently collect data or for which valid and reliable data are not available from secondary sources of information. Changes in data or evidence requirements have personnel, budget, and timing implications for FEMA, other Federal Agencies with equities, projects, and potentially SLTT partners. Solution: National Preparedness Assessment Division will coordinate across all impacted projects and with key partners to identify opportunities to access this data and information an identify resource implications.