



# Homeland Security

## FY 2015 Homeland Security Grant Program (HSGP)

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### Overview

As appropriated by the *Department of Homeland Security Appropriations Act, 2015* (Pub. L. No. 114-4); and authorized by sec. 2002 of the *Homeland Security Act of 2002*, as amended (Pub. L. No. 107-296) (6 U.S.C. § 603); the Fiscal Year (FY) 2015 Homeland Security Grant Program (HSGP) provides funding to states, territories, urban areas, and other local and tribal governments to prevent, protect against, mitigate, respond to, and recover from potential terrorist attacks and other hazards.

*In Fiscal Year 2015, DHS will award \$1,044,000,000 to enhance the ability of states and territories to prevent, protect against, respond to and recover from potential terrorist acts and other hazards.*

The FY 2015 HSGP plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal (the Goal) of a secure and resilient Nation. HSGP is comprised of three grant programs: State Homeland Security Program (SHSP), Urban Area Security Initiative (UASI), and Operation Stonegarden (OPSG).

Per sec. 2006 of the Homeland Security Act of 2002, (Pub. L. No. 107–296), as amended (6 U.S.C. § 607), FEMA is required to ensure that at least 25 percent (25%) of grant funding appropriated for HSGP and THSGP are used for law enforcement terrorism prevention activities. FEMA meets this requirement, in part, by requiring all SHSP and UASI recipients to ensure that at least 25 percent (25%) of the combined HSGP funds allocated under SHSP and UASI are dedicated towards law enforcement terrorism prevention activities, as defined in 6 U.S.C. § 607, linked to one or more core capabilities within the Goal. The National Prevention Framework describes those activities that should be executed upon the discovery of intelligence or information regarding an imminent threat to the homeland, in order to thwart an initial or follow on terrorist attack, and provides guidance to ensure the Nation is prepared to prevent, avoid, or stop a threatened or actual act of terrorism. Activities outlined in the National Prevention Framework are eligible for use of LETPA focused funds. In addition, where capabilities are shared with the protection mission area, the National Protection Framework activities are also eligible. Other terrorism prevention activities proposed for funding under LETPA must be approved by the FEMA Administrator. The LETPA allocation can be from SHSP, UASI, or both. This requirement does not include award funds from Operation Stonegarden (OPSG). The LETPA minimum allocations for SHSP and UASI by jurisdiction are located in the FY 2015 Notice of Funding Opportunity (NOFO). The LEPTA allocation is in addition to the requirement that States must obligate at least 80 percent (80%) of the funds awarded under SHSP and UASI to local or Tribal units of government within 45 days of receipt of the funds.

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## Funding

In FY 2015, the total amount of funds distributed under the HSGP will be \$1,044,000,000. Below is the funding distribution across the three grant programs:

HSGP Programs	FY 2015 Allocation
State Homeland Security Program	\$402,000,000
Urban Area Security Initiative	\$587,000,000
Operation Stonegarden	\$55,000,000
<b>Total</b>	<b>\$1,044,000,000</b>

Based upon the requirements of the *Homeland Security Act of 2002*, as amended, DHS continues to inform final grant allocation decisions based upon risk. DHS defines risk as: “potential for an unwanted outcome resulting from an incident, event, or occurrence, as determined by its likelihood and the associated consequences” (see <http://www.dhs.gov/xlibrary/assets/dhs-risk-lexicon-2010.pdf>). DHS utilizes a comprehensive risk methodology focused on three principal elements:

- *Threat*
- *Vulnerability*
- *Consequence*

The risk methodology determines the relative risk of terrorism faced by a given area. It takes into account the potential risk of terrorism to people, critical infrastructure, and economic security. The threat analysis continues to account for threats from domestic violent extremists as well as international terrorist groups and those individuals inspired by terrorists abroad.

### ***SHSP Allocations***

FY 2015 SHSP funds will be allocated based on three factors: minimum amounts as statutorily mandated, DHS’ risk methodology, and anticipated effectiveness of proposed projects. The anticipated effectiveness is assessed based on the applicant’s description of how the proposed projects, as outlined in the applicant’s Investment Justification (IJ), align with the State Threat and Hazard Identification and Risk Assessment (THIRA). Each State and territory will receive a minimum allocation under SHSP using the thresholds established in the *Homeland Security Act of 2002*, as amended. All 50 States, the District of Columbia, and Puerto Rico will receive a minimum allocation of 0.35 percent of the total funds appropriated for grants under 6 U.S.C. §§ 604 and 605. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.08 percent of the total funds appropriated for grants under 6 U.S.C. §§ 604 and 605. For details on program-specific funding amounts, refer to the FY 2015 HSGP NOFO.

### ***UASI Allocations***

In the Explanatory Statement accompanying the FY 2015 appropriation for the Department of Homeland Security, Congress expressed its intent that the Secretary fund up to eighty-five percent (85%) of nationwide risk in the Urban Area Security Initiative program. In accordance with that intent, the Secretary designated twenty-eight (28) Urban Areas eligible for funding under the Urban

Area Security Initiative. This is a decrease from the thirty-nine (39) Urban Areas eligible in FY 2014.

FY 2015 UASI funds will be allocated based on DHS's risk methodology and anticipated effectiveness of proposed projects. The anticipated effectiveness is assessed based on the applicant's description of how the proposed projects, as outlined in the IJ, align with the Urban Area THIRA. The twenty-eight (28) eligible Urban Areas for the FY 2015 UASI program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous metropolitan statistical areas (MSAs) in the United States, in accordance with the *Homeland Security Act of 2002*, as amended. Detailed information on MSAs is publicly available from the United States Census Bureau at <http://www.census.gov/population/www/metroareas/metrodef.html>. For details on program-specific funding amounts, refer to the FY 2015 HSGP NOFO.

### ***OPSG Allocations***

The FY 2015 OPSG Risk Assessment is designed to identify the risk to border security and to assist with the distribution of funds for the grant program. Funding under OPSG is distributed based on the risk to the security of the border. The risk model used to allocate OPSG funds considers the potential risk that certain threats pose to border security and estimate the relative risk faced by a given area. In evaluating risk, DHS considers the populations in a particular area that could be at risk, the concentration of people in the area, and specific characteristics of their location that might contribute to risk, such as Intelligence Community assessments of threat and the potential impacts that the threats pose to the security of the border area. For vulnerability and consequence, DHS considers the expected impact and consequences of successful border events occurring in specific areas.

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### **Eligibility**

All 50 States, the District of Columbia, territories and Commonwealths are eligible to apply for SHSP funds. For those states, territories and Commonwealths that are eligible for UASI and/or OPSG funds, the state is the only entity eligible to submit applications to FEMA on behalf of UASI and OPSG applicants.

Eligible sub-recipients under the FY 2015 OPSG are local units of government at the county level and Federally-recognized Tribal governments in the states bordering Canada, states bordering Mexico, and states and territories with international water borders. All applicants must have active ongoing United States Border Patrol (USBP) operations coordinated through a USBP sector office. Eligible states and territories with a county or similar level of government structure are authorized to accept applications on behalf of the alternative unit of local government. States in this situation must advise FEMA in writing as to their intent to apply.

### **Other Eligibility Requirements**

#### ***Emergency Operation Plan (EOP)***

Recipients must update their EOP at least once every two years to comply with Comprehensive Preparedness Guide (CPG) 101 Version 2.0, *Developing and Maintaining Emergency Operations*

*Plans.* Recipients will use the Unified Reporting Tool (URT) to report their compliance with this reporting requirement.

### ***State Preparedness Report (SPR)***

The SPR is an annual capability assessment. Sec. 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Pub. L. No. 109-295), which requires an SPR from any state/territory receiving federal preparedness assistance administered by DHS. Each state submits an SPR to FEMA. Refer to the FY 2015 HSGP NOFO for additional guidance on SPR requirements.

### ***Threat and Hazard Identification and Risk Assessment (THIRA)***

FY 2015 HSGP award recipients must complete, or update (for FY 2014 HSGP recipients) their THIRA using the URT by December 31, 2015. Further details on the THIRA as it relates to HSGP Program requirements can be found in the FY 2015 NOFO. For additional guidance on THIRA, please refer to CPG 201, Second Edition, available at [www.fema.gov/plan](http://www.fema.gov/plan).

### ***National Incident Management System (NIMS) Implementation***

Prior to allocation of any Federal preparedness awards in FY 2015, recipients must ensure and maintain adoption and implementation of NIMS. Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs.

Although State, local, tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines, FEMA strongly encourages them to do so in order to leverage the Federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications is available under <https://www.fema.gov/national-incident-management-system>. Information regarding credentialing for personnel can be found at (NIMS Guideline for Credentialing of Personnel) [http://www.fema.gov/pdf/emergency/nims/nims\\_alert\\_cred\\_guideline.pdf](http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf).

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## **Funding Guidelines**

For FY 2015 HSGP, allowable investments made in support of the HSGP priorities as well as other capability-enhancing projects must fall into the categories of planning, organization, equipment, training, or exercises. The period of performance for HSGP is thirty-six (36) months from the date of award. For additional information regarding allowable costs, including management and administration costs, please see the FY 2015 HSGP NOFO.

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## **FY 2015 Key Changes**

The following key changes have been made to the FY 2015:

- The period of performance was changed to thirty-six months.

- Updates to the State and Urban Area Homeland Security Strategies are no longer required. References to this requirement have been removed from the 2015 HSGP NOFO.
  - The number of eligible Urban Areas has changed from 39 to 28 in FY 2015.
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## **Application Process and Evaluation Criteria**

### **Review Criteria**

FY 2015 HSGP applications will be evaluated through a review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed investments. Applicants will be required to align all IJs to at least one core capability identified in the Goal. Descriptions of projects should be clear and concise and should include whether the project supports a NIMS typed resource and whether assets are deployable/shareable. The grant funded activities of every project must align to the HSGP solution areas: Planning, Organization, Exercises, Training and/or Equipment (POETE). A project may have activities in more than one solution area.

### **Review and Selection Process**

#### ***SHSP and UASI***

Using a Reviewer Checklist, FEMA will verify compliance with all administrative and eligibility criteria identified in the NOFO and review the submission of risk-driven, capabilities-based IJs. Using previously submitted SPR data, FEMA will verify alignment of the proposed investments and projects to gaps identified through the THIRA/SPR process and national priorities identified in the NPR. IJs will be reviewed at both the investment and project level. The IJ will receive either an approval or conditional approval. Those IJs that are conditionally approved will be revised and must receive final approval prior to access to full funding.

Fusion Center investments will be jointly reviewed by FEMA and the DHS Office of Intelligence and Analysis for compliance with HSGP NOFO requirements to prioritize the alignment of requests with results from the annual Fusion Center Assessment Program. Investments that do not meet the requirements will be revised and must receive approval prior to accessing funds allocated to fusion center activities.

#### ***OPSG***

Applications will be reviewed by the SAA and USBP Sector Headquarters for completeness and adherence to programmatic guidelines and evaluated for anticipated feasibility, need, and impact of the Operations Orders.

FEMA will verify compliance with all administrative and eligibility criteria identified in the NOFO and required submission of Operations Orders and Inventory of Operations Orders by the established due dates. FEMA and USBP will use the results of both the risk analysis and the Federal review by DHS and FEMA to make recommendations for funding to the Secretary of Homeland Security.

FY 2015 OPSG funds will be allocated competitively based on risk-based prioritization using the USBP Sector-specific border risk methodology described above. Final funding allocations are determined by the Secretary, who may consider information and input from various law enforcement offices or subject matter experts within the Department. Factors considered include, but are not limited to: threat, vulnerability, miles of border, and other border-specific “law enforcement intelligence,” as well as feasibility of FY 2015 Operation Orders to designated localities within the United States Border States and territories.

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## **HSGP Resources**

There are a variety of resources available to address programmatic, technical, and financial questions, which can assist with HSGP.

- The FY 2015 HSGP NOFO. A copy is located online at: <http://www.fema.gov/grants> as well as on <http://www.grants.gov>.
- For additional program-specific information, please contact the Centralized Scheduling and Information Desk (CSID) help line at (800) 368-6498 or [AskCSID@dhs.gov](mailto:AskCSID@dhs.gov). CSID hours of operation are from 9:00 a.m. to 5:30 p.m. EDT, Monday through Friday.
- For financial-related questions, including pre-and post-award administration and technical assistance, applicants may contact the FEMA Grant Programs Directorate Call Center at (866) 927-5646 or via e-mail to [ASK-GMD@dhs.gov](mailto:ASK-GMD@dhs.gov).