



# Homeland Security

## Fiscal Year 2019 Homeland Security Grant Program

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### Overview

As appropriated by the *Department of Homeland Security Appropriations Act, 2019*, Pub. L. No. 116-6, and authorized by sections 2002 to 2004 of the *Homeland Security Act of 2002*, Pub. L. No. 107-296, codified as amended at 6 U.S.C. §§ 603-605, the Department of Homeland Security (DHS)/Federal Emergency Management Agency's (FEMA) Fiscal Year (FY) 2019 Homeland Security Grant Program (HSGP) provides funding to states, territories, urban areas, and local and tribal governments to prevent, protect against, mitigate, respond to, and recover from potential terrorist attacks and other hazards.

*In Fiscal Year 2019, DHS is providing \$1.095 billion to enhance the ability of states, local governments, tribes, and territories to prevent, protect against, respond to, and recover from potential terrorist acts and other hazards.*

The FY 2019 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. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. Among the five basic homeland security missions noted in the DHS Quadrennial Homeland Security Review, HSGP supports the goal to Strengthen National Preparedness and Resilience.

HSGP is composed of three grant programs:

- State Homeland Security Program (SHSP);
- Urban Area Security Initiative (UASI); and
- Operation Stonegarden (OPSG).

Together, these grant programs fund a range of activities, including planning, organization, equipment purchase, training, exercises, and management and administration across all core capabilities and mission areas.

Per section 2006 of the *Homeland Security Act of 2002*, codified as amended at 6 U.S.C. § 607, DHS/FEMA is required to ensure that at least 25 percent of grant funding appropriated for grants awarded under HSGP's authorizing statute is used for law enforcement terrorism prevention activities (LETPA). DHS/FEMA meets this requirement, in part, by requiring all SHSP and UASI recipients to ensure that at least 25 percent of the combined HSGP funds allocated under SHSP and UASI are dedicated toward law enforcement terrorism prevention activities, as defined in 6 U.S.C. § 607, and 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 as 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.

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## Funding

In FY 2019, the total amount of funds under the HSGP is \$1,095,000,000. Below is the funding distribution across the three grant programs:

HSGP Programs	FY 2019 Allocation
State Homeland Security Program	\$415,000,000
Urban Area Security Initiative	\$590,000,000
Operation Stonegarden	\$90,000,000
<b>Total</b>	<b>\$1,095,000,000</b>

Based upon the requirements of the *Homeland Security Act of 2002*, as amended, DHS/FEMA 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; and*
- *Consequence.*

The risk methodology determines the relative risk of terrorism faced by a given area. It includes 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 2019 SHSP funds are allocated based on two factors: minimum amounts as legislatively mandated, and DHS’s risk methodology.

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 each receive 0.35 percent of the total funds allocated for grants under Sections 2003 and 2004 of the *Homeland Security Act of 2002*, as amended. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) each receive a minimum allocation of 0.08 percent of the total funds allocated for grants under Sections 2003 and 2004 of the *Homeland Security Act of 2002*, as amended. For details on program-specific funding

amounts, refer to the FY 2019 HSGP NOFO and [Preparedness Grants Manual](#), located at [www.fema.gov/grants](http://www.fema.gov/grants).

### ***UASI Allocations***

In the Explanatory Statement accompanying the FY 2019 Appropriation, Congress expressed its intent that the Secretary fund up to 85 percent of nationwide risk in the UASI program. In accordance with that intent, the Secretary designated 31 urban areas eligible for funding under the UASI program. This is a decrease from the 32 urban areas eligible in FY 2018.

FY 2019 UASI funds are 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 Investment Justification (IJ), align with the urban area Threat and Hazard Identification and Risk Assessment (THIRA). The eligible urban areas for the FY 2019 UASI program are 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 section 2003 of the *Homeland Security Act of 2002*, codified as amended at 6 U.S.C. § 604. Detailed information on MSAs is publicly available from the United States Census Bureau at <https://www.census.gov/programs-surveys/metro-micro.html>. For details on program-specific funding amounts, refer to the FY 2019 HSGP NOFO and [Preparedness Grants Manual](#), located at [www.fema.gov/grants](http://www.fema.gov/grants).

### ***OPSG Allocations***

The FY 2019 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. Entities eligible for funding are the state, local, and tribal law enforcement agencies that are located along the border of the United States.

Based upon ongoing intelligence analysis and extensive security reviews, DHS/Customs and Border Protection (CBP) continues to focus the bulk of OPSG funds based upon risk analyses. 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/CBP considers intelligence, situational awareness, criminal trends, and statistical data specific to each of the border sectors, and the potential impacts that these threats pose to the security of the border area. For vulnerability and consequence, DHS/CBP considers the expected impact and consequences of successful border events occurring in specific areas.

Threat and vulnerability are evaluated based on specific operational data from DHS/CBP. Threat components present in each of the Sectors are used to determine the overall threat score. These components are: terrorism, criminal aliens, drug trafficking organizations, and alien smuggling organizations.

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## **Eligibility**

The State Administrative Agency (SAA) is the only entity eligible to submit HSGP applications to DHS/FEMA, including those applications submitted on behalf of UASI and OPSG applicants. Tribal governments may not apply directly for HSGP funding; however, funding may be available to tribes under the SHSP and OPSG through the SAA. All 56 states and territories, which includes

any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, are eligible to apply for SHSP funds.

Eligible high-risk urban areas for the FY 2019 UASI program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous MSAs in the United States.

Under the FY 2019 OPSG Program, subrecipients eligible to apply for and receive a subaward directly from the SAA are divided into three tiers. Tier 1 entities are local units of government at the county level or equivalent and Federally-recognized tribal governments that are on a physical border in states bordering Canada, states bordering Mexico, and states and territories with international water borders. Tier 2 eligible subrecipients are those not located on the physical border or international water border but are contiguous to a Tier 1 county. Tier 3 eligible subrecipients are those not located on the physical border or international water border but are contiguous to a Tier 2 eligible subrecipient. Tier 2 and Tier 3 eligible subrecipients may be eligible to receive funding based on border security risk as determined by the U.S. Border Patrol (USBP), as described in the FY 2019 HSGP NOFO and [Preparedness Grants Manual](#), located at [www.fema.gov/grants](http://www.fema.gov/grants).

## **Other Eligibility Requirements**

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

Prior to allocation of any federal preparedness awards in FY 2019, recipients must ensure and maintain adoption and implementation of NIMS. Detailed information on NIMS requirements are in the [Preparedness Grants Manual](#), located at [www.fema.gov/grants](http://www.fema.gov/grants).

### **Emergency Management Assistance Compact (EMAC) Membership**

In support of the Goal, recipients must belong to, be in, or act as a temporary member 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. All assets supported in part or entirely with FY 2019 HSGP funding must be readily deployable and NIMS-typed when possible to support emergency or disaster operations per existing EMAC agreements. In addition, funding may be used for the sustainment of core capabilities that, while they may not be physically deployable, support national response capabilities such as Geographic/Geospatial Information Systems (GIS), interoperable communications systems, capabilities as defined under the mitigation mission area of the Goal, and fusion centers.

### **Law Enforcement Terrorism Prevention Activities (LETPA)**

Per section 2006 of the *Homeland Security Act of 2002*, Pub. L. No. 107–296, codified as amended at 6 U.S.C. § 607, FEMA is required to ensure that at least 25 percent of grant funding appropriated for grants awarded under HSGP’s authorizing statute are used for LETPA. FEMA meets this requirement, in part, by requiring all recipients allocate at least 25 percent of the combined HSGP funds allocated under SHSP and UASI towards LETPA, as defined in 6 U.S.C. § 607. The LETPA allocation can be from SHSP, UASI, or both. The 25 percent LETPA allocation is in addition to the 80 percent pass through requirement to local units of government and tribes.

## **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.

## **Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR)**

By December 31, 2019, states, territories, and high-risk urban areas are required to complete a THIRA/SPR for all 32 core capabilities. Also beginning in 2019, jurisdictions are only required to submit a THIRA every three years to establish a consistent baseline for assessment. Although the THIRA will only be required every three years, jurisdictions will continue to be required to submit an SPR annually. Details of the new process are included in the [Comprehensive Preparedness Guide 201, Third Edition](#) (CPG 201), Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) Guide (May 2018).

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## **Funding Guidelines**

For FY 2019 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 36 months.

Management and administration (M&A) activities are those directly relating to the management and administration of HSGP funds, such as financial management and monitoring. A maximum of up to 5 percent of HSGP funds awarded may be retained by the state, and any funds retained are to be used solely for M&A purposes associated with the HSGP award. Subrecipients may also retain a maximum of up to five percent of funding passed through by the state solely for M&A purposes associated with the HSGP award. In retaining these funds, states may retain a maximum of 2.5 percent of the OPSG allocation, which must be withheld from the pass-through to each subrecipient county in an equal percentage. The SAA may also retain additional funding from its SHSP award to manage and administer the OPSG award, but that additional amount is also capped at an amount equal to 2.5 percent of the OPSG award.

For additional information regarding allowable costs, including M&A costs, please refer to the FY 2019 HSGP NOFO and [Preparedness Grants Manual](#), located at [www.fema.gov/grants](http://www.fema.gov/grants).

## **Application Process and Evaluation Criteria**

### **Review Criteria**

FEMA will evaluate FY 2019 HSGP applications through a review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed investments. Applicants are required to align all projects 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. All assets supported in part or entirely with FY 2019 HSGP funding must be readily deployable to support emergency or disaster operations per existing EMAC agreements.

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. All grant projects across all POETE elements must address capability targets and gaps identified through the THIRA once every three years and SPR process annually.

Grant projects must be: 1) both feasible and effective at reducing the risks for which the project was designed; and 2) able to be fully completed within the three-year period of performance.

FEMA uses the information provided in the application and after the submission of the first Biannual Strategy Implementation Report, to determine the feasibility and effectiveness of the grant project. Information that assists in the feasibility and effectiveness determination includes the following:

- Scope of work (purpose and objectives of the project, identification of what is being protected, identification of core capability addressed and whether the core capability is identified in the SPR, where applicable, as a priority);
- Desired outcomes, including expected long-term impact where applicable, and discussion of which core capability gap it helps to close and how;
- Summary of status of planning and design accomplished to date (e.g., included in a capital improvement plan); and
- Project schedule.

Recipients are expected to conform, as applicable, with accepted engineering practices, established codes, standards, modeling techniques, and best practices, and participate in the development of case studies demonstrating the effective use of grant funds, as requested.

## **Review and Selection Process**

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

To ensure the effectiveness of proposed investments and projects, all applications will undergo a federal review. The federal review will be conducted by FEMA Headquarters (HQ) Program Analysts. HQ Program Analysts will use a checklist to verify compliance with all administrative and eligibility criteria identified in the NOFO. All proposed investments in core capability POETE elements should align to a capability gap in the SPR. IJs will be reviewed at both the investment and project level. A program hold may be placed on any investment which is found to be noncompliant.

Fusion Center investments are reviewed by FEMA and the DHS Office of Intelligence and Analysis (I&A) for compliance with FY 2019 HSGP NOFO requirements to align investments to a designated Fusion Center, align investments with both the financial itemization and improvement or sustainment of performance measures, and effectively address performance measures identified in each fusion center's individual assessment data. Investments that do not meet the requirements will be revised by the recipient 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.

DHS/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. DHS/FEMA and USBP will use the results of both the risk analysis and the federal review by DHS/FEMA to make recommendations for funding to the Secretary of Homeland Security.

FY 2019, OPSG funds will be allocated competitively based on risk-based prioritization using the OPSG Risk Assessment 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 2019 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 2019 HSGP NOFO and [Preparedness Grants Manual](#) are located online at <http://www.fema.gov/grants> as well as <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@fema.gov](mailto:AskCSID@fema.gov). CSID hours of operation are from 9 a.m. to 6 p.m. ET, Monday through Friday.
- For support regarding financial grant management and budgetary technical assistance, applicants may contact the DHS/FEMA Grant Operations Help Desk via e-mail at [ASK-GMD@fema.gov](mailto:ASK-GMD@fema.gov).