

Homeland Security Grant Program

Preparedness Directorate
Office of Grants and Training
Tracy A. Henke, Assistant Secretary



Effectiveness Analysis

HSGP Awards Based on a Stakeholder-Driven Review of Effectiveness

The Homeland Security Grant Program (HSGP) provides funding to States, Territories, and Urban Areas to enhance their ability to prevent, protect against, respond to, and recover from terrorist attacks, major disasters, and other emergencies.

Fiscal Year 2006 (FY06) marks the first time that DHS asked State and Urban Area applicants to develop Investment Justifications as part of their HSGP applications. The purpose of the Investment Justifications was to demonstrate the anticipated **effectiveness** of State and Urban Area's proposed solutions in meeting identified needs. The HSGP application review process incorporated peer reviewers to evaluate the anticipated effectiveness of these proposed solutions. Peer review teams assigned effectiveness scores to individual investments and an overall effectiveness score to each State and Urban Area's submission. Effectiveness scores are paired with the DHS risk analysis scores to determine final HSGP allocations.

*In Fiscal Year 2006, DHS' Homeland Security Grant Program (HSGP) will award approximately **\$1.7 billion** to States, Territories, and Urban Areas to enhance their ability to prevent, protect against, respond to, and recover from terrorist attacks, major disasters, and other emergencies.*

This process introduced the first competitive grant review for the HSGP, and created incentives for States to develop innovative solutions to effectively leverage HSGP funds for the management and implementation of their overall homeland security program.

FY06 HSGP Allocations Incorporate Effectiveness

For FY06, HSGP funding allocations are based primarily on two factors:

1. analysis of relative **risk** to assets as well as risk to populations and geographic areas.
2. the anticipated **effectiveness** of State and Urban Area grant proposals in addressing their identified homeland security needs.

These factors are used to determine the allocation amounts for the following programs under HSGP: the State Homeland Security Program (SHSP), the Urban Areas Security Initiative (UASI), and the Law Enforcement Terrorism Prevention Program (LETPP). In addition, a base award will be allocated under SHSP and LETPP according to the USA PATRIOT Act formula. All UASI funding will be allocated based on risk and effectiveness factors.

DHS' new funding criteria (based on risk and anticipated effectiveness of proposed solutions to identified needs) was designed to ensure that State and Urban Area HSGP expenditures align with the National Priorities established by the Interim National Preparedness Goal.

Effectiveness

In FY05 States and Urban Areas updated their Homeland Security Strategies to align with the Interim National Preparedness Goal and the National Priorities. Building from this strategic perspective, as part of the FY06 homeland security planning process, States and Territories conducted a multi-jurisdictional and multi-disciplinary review of their homeland security program and priority capabilities. The results of this program and capability review were utilized to develop an Enhancement Plan that serves as a program management tool outlining a collaborative, inclusive approach to addressing prioritized needs.

The Enhancement Plan serves as the foundation for State, Territory, and Urban Area resource requests through their Investment Justifications as part of the FY06 HSGP application process. In order to successfully demonstrate **effectiveness** in meeting identified needs, States, Territories, and Urban Areas were asked to detail how each investment will support the Initiatives in the Enhancement Plan and how FY06 HSGP funds will be used in the 24-month grant cycle.

Criteria for Evaluating Effectiveness

Peer reviewers were asked to review the FY06 HSGP applications to evaluate the anticipated **effectiveness of the proposed solutions in addressing need and increasing capabilities to meet the National Priorities.**

83% of respondents agreed or strongly agreed that the FY 2006 HSGP Peer Review resulted in objective, consistent, and defensible scores and feedback.

The individual Investments were evaluated against five overarching criteria:

- **Relevance:** The relationship of the Investment to the tenets of the Interim National Preparedness Goal. Relevance is gauged through the Investment's connection to the National Priorities, target capabilities, State/Urban Area Homeland Security Strategy goals and objectives, and Initiatives from the Program and Capability Enhancement Plan.
- **Regionalization:** The ability to communicate, plan, and collaborate across disciplines and jurisdictions to leverage scarce resources for common solutions. Regionalization encourages States and Urban Areas to coordinate preparedness activities more effectively within and across jurisdictional boundaries by spreading costs, pooling resources, sharing risk, and increasing the value of their preparedness investments through collaborative efforts.
- **Sustainability:** The ability to sustain a target capability once the benefits of an investment are achieved through identification of funding sources that can be used beyond the current grant period.
- **Implementation Approach:** Demonstration that the appropriate collaboration of people, resources, and tools are (or will be) in place to manage the Investment, address priorities, and deliver results through appropriate expenditure of any funding received.
- **Impact:** The effect that implementing (or not implementing) an Investment has on risk. Impact addresses the effect that the Investment will have on threats, vulnerabilities, and/or consequences of catastrophic events that applicants might face.

In addition to scoring each investment individually, peer reviewers also examined the **Overall Vision** presented in the entire submission by evaluating: presentation of a complete picture of homeland security planning, relevance to the Interim National Preparedness Goal, connection to the State's Enhancement Plan, innovativeness, and overall feasibility.