

# **Capital Area Council of Governments FY 2019 State Homeland Security Program Regional Grant Process**

## **General Information**

Texas uses a regional approach for the Homeland Security Grant Program (HSGP), providing an allocation through each Council of Governments (COG) for regional projects, subject to approval by the state. The allocation to the Capital Area Council of Governments (CAPCOG) includes amounts for the State Homeland Security Program (SHSP). Specific use of SHSP funds is approved by the CAPCOG Executive Committee and awarded by the state for the selected regional projects.

## **Program Requirements**

The SHSP is a core assistance program that provides funds to build and/or maintain capabilities at the state and regional levels. It is used to implement the goals and objectives included in state homeland security strategies, initiatives derived from gap identification in the CAPCOG Regional Stakeholder Preparedness Review (SPR) and target capabilities in the CAPCOG Regional Threat and Hazard Identification and Risk Assessment (THIRA). Activities implemented under the SHSP must support terrorism preparedness by building, enhancing, or sustaining/maintaining capabilities that relate to the prevention of, protection from, response to and recovery from terrorism. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees may demonstrate this dual-use to qualify for any activities implemented under this program that are not solely focused on terrorism preparedness.

*Law Enforcement Activities:* It is anticipated that the requirement that at least 25% of the regional allocation for SHSP programs must be spent on law enforcement activities will be continued in FY 2020. The Fusion Center is not considered as part of the Law Enforcement Terrorism Prevention Activity (LEPTA) allocation.

The designated State Administrative Agency (SAA) for administering the Homeland Security Grant Program in Texas is the Office of the Governor (OOG) Public Safety Office (PSO), Homeland Security Grant Division (HSGD).

*Non-Profit Security Grant Program (NSGP):* It is anticipated that nonprofit organizations in the region that may be considered at high-risk for terrorism based on their ideology, mission or beliefs will be eligible for grant funding through NSGP. These grants are managed directly by the HSGD and CAPCOG's

role is to promote the grant opportunity to the various non-profits. The funding for these grants are not from SHSP funds and do not impact the remainder of our grant process. Staff may be asked to assist in ranking these grants.

FEMA has established an additional requirement in 2019 of completing the National Cyber Security Review (NCSR), a cybersecurity assessment, in order to receive funding under SHSP. Jurisdictions receiving funding through SHSP must complete the NCSR during the time frame designated by FEMA and submit the certificate of submission to both the OOG and to the Homeland Security Division of CAPCOG. Jurisdictions who fail to complete the assessment will not be eligible for future SHSP funding through the grant cycle. The NCSR must be completed between October 1<sup>st</sup> and November 30<sup>th</sup> each year before the grant award and through its completion.

## **Eligibility**

According to current State of Texas guidelines, potential sub-recipients for SHSP grant funds include state agencies, regional councils of governments, units of local government, nonprofit organizations, universities or colleges and Native American tribes.

Eligible applicants may submit projects that are consistent with the applicable state or regional Threat and Hazard Identification and Risk Assessment (THIRA) as well as the Regional or Stakeholder Preparedness Review (SPR). Applicant must also meet the following eligibility requirements:

- Grantees are required to maintain adoption and implementation of the National Incident Management System (NIMS). Grantees must use standardized resource management concepts for resource typing, credentialing, and an inventory to facilitate the effective identification, dispatch, deployment, tracking and recovery of resources.
- Cities and counties must have a current emergency management plan or be a legally established member of an inter-jurisdictional emergency management program with a plan on file with the Texas Division of Emergency Management (TDEM). Plans must be maintained throughout the entire grant performance period and must be at least at the Intermediate Level. If you have questions concerning your emergency management plan preparedness level, contact your city or county emergency management coordinator (EMC) or the Homeland Security Division of the CAPCOG. For questions concerning plan deficiencies, contact TDEM at [tdem.plans@dps.texas.gov](mailto:tdem.plans@dps.texas.gov).
- In order for an applicant to be eligible, the county (or counties) in which the applicant is located must have a 90 percent average on both adult and juvenile criminal history dispositions reported to the Texas Department of

Public Safety for calendar years 2014 through 2018. This requirement must be met by August 1, 2019.

- Eligible applicants operating a law enforcement agency must be current on reporting Part I violent crime data to the Texas Department of Public Safety (DPS) for inclusion in the annual Uniform Crime Report (UCR). To be considered eligible for funding, applicants must have submitted a full twelve months of accurate data to DPS for the most recent calendar year.
- Eligible applicants must have a DUNS (Data Universal Numbering System) number assigned to its agency (to request a DUNS number, go to <http://fedgov.dnb.com/webform/displayHomePage.do>).
- Eligible applicants must be registered in the federal System for Award Management (SAM) database located at <https://www.sam.gov/> and maintain an active registration throughout the grant period.
- Eligible applicants MUST attend a grant workshop hosted by CAPCOG to be able to apply for grant funding. CAPCOG Staff will host two workshops for returning applicants, one for new applicants and one for organizations considering applying for funding under the Non Profit Security Grant Program.
- Eligible applicants MUST have a physical location within the 10-county CAPCOG region.

### **Project Submission and Approval Process**

#### **Step 1: CAPCOG Executive Committee approves the *FY 2020 Homeland Security Program Regional Grant Process***

- Upon recommendation of the CAPCOG Homeland Security Task Force (HSTF), the CAPCOG Executive Committee will approve the *FY 2020 Homeland Security Grant Program Regional Grant Process*.
- Planned date: October 9, 2019

#### **Step 2: CAPCOG announces the approval of the *FY 2020 Homeland Security Program Regional Grant Process***

- Following Executive Committee approval of the *FY 2020 Homeland Security Program Regional Grant Process*, a copy of the process document will be posted on the CAPCOG web site and a link to the posting will be e-mailed to all counties and cities within the CAPCOG region.

- This notification is intended to:
  - Identify requirements and deadlines for submission of applications for FY 2020 SHSP funding;
  - Invite interested jurisdictions to participate in the mandatory grant application workshop which will be scheduled for December 2020
- Date: October 18, 2020

### **Step 3: CAPCOG completes the regional THIRA, SPR and THSSP-IP**

- CAPCOG Regional Threat and Hazard Identification and Risk Assessment (THIRA)

The THIRA follows a four-step process, as described in FEMA's *Comprehensive Preparedness Guide 201, Second Edition*:

1. Identify the Threats and Hazards of Concern. Based on a combination of past experience, forecasting, expert judgment, and other available resources, the region identifies a list of the threats and hazards of primary concern to the area.
2. Give the Threats and Hazards Context. The Region describes the threats and hazards of concern, showing how they may affect the community.
3. Establish Capability Targets. The Region assess each threat and hazard in context to develop a specific capability target for each relevant core capability. The capability target defines success for the capability.
4. Apply the Results. The Region estimates the required resources per core capability to meet the capability targets.

The THIRA helps the region determine what is needed to prepare for, what resources are required to respond, and what current gaps exist in capability. Communities in the region can use this information to help them efficiently build and sustain preparedness capabilities.

- CAPCOG's Stakeholder Preparedness Review (SPR)

The SPR is a two-step process in which communities assess their current abilities to deliver the desired outcomes they established in Step 3 of the THIRA:

1. For each core capability, the Region analyzes their ability to achieve the desired outcome in each of five elements: planning, organization, equipment, training, and exercises.
2. The Region provides context for their assessment by rating the priority they place on each core capability and describing their capability gaps and recent advances.

Together, the Regional THIRA and SPR help communities determine what they need to prepare for and what the regional gaps are. Communities can use this information to help them build and sustain preparedness capabilities. These identified resource gaps will provide the basis for identifying and prioritizing projects for FY 2020 SHSP funding.

- CAPCOG's Texas Homeland Security Strategic Plan-Implementation Plan (THSSP-IP)

The document outlines how the jurisdictions and agencies within CAPCOG plan to implement the Texas Homeland Security Strategic Plan. The implementation plan further develops the THIRA/SPR capability targets and existing gaps by identifying current and proposed activities and their measurable objectives that align the region's priorities with the state's priorities and ultimately synchronizes homeland security activities across the state.

- Completion date: November 30, 2019 (THIRA, SPR); December 31, 2019 (THSSP-IP)

#### **Step 4: CAPCOG aligns projects with the CAPCOG Homeland Security Task Force Strategic Planning Guide**

- The 2019-2020 CAPCOG *Homeland Security Task Force Strategic Planning guide* identifies several areas where additional capacity is needed to address regional risks and hazards identified in the THIRA, SPR and THSSP-IP, as well as the state's priorities as identified by the Texas Department of Public Safety. Projects submitted under the 2020 Homeland Security Grant Program should seek to build regional capacity in the following areas:

Planning

*Mitigation*

*Wildfire Response Planning*

*Auto aid / Regional Assistance Plan*

*Medical Preparedness (Pre-hospital, hospital, surge, mass casualty, bioterrorism)*

**Technology and Communications**

*CAD Data Sharing Efforts*

*Regional Radio Interoperability*

*EOC Data Sharing Efforts*

*Regional 911*

*Regional Data Network*

*Emerging New Technologies and Best Practices*

**Response Coordination**

*Regional Equipment Standardization Planning (RESET/LESET)*

**Recovery and Resiliency**

*Cyber Protection / Ransom Ware*

*Pre- and Post-Disaster Mitigation*

**Training and Outreach**

*Public Information Coordination*

*Training and Exercises*

*Regional PIO/Joint Information System/Social Media Planning*

*Elected Official Briefings on Regional Strategies*

*Regional Wildfire Protection Plan*

*Flood Forecasting Initiative(s)*

- The following priorities were identified by the state for FY 2019 and are expected to remain in effect for FY 2020
  - Fusion Centers
    - Funding support for a recognized fusion center (please refer to <http://www.dhs.gov/fusion-center-locations-and-contact-information>).
    - Must directly align to and reference any capability gaps identified during the center's most recent individual Fusion Center Assessment Report.
    - Facilitating the implementation of plans and procedures to work in conjunction with the Texas Joint Crime Information Center, and achieve and maintain baseline capabilities for Major Urban Area Fusion Centers.
    - Implementing suspicious activity reporting tools for fusion centers.
    - Urban Areas Security Initiative jurisdictions that are no longer separately funded will be allowed to submit a request for the Regionally Recognized Fusion Center in their jurisdiction directly to HSGD.
  - Intelligence and Information Sharing (Non-Fusion Center requests)

- Enabling interdiction and disruption of terrorist activity through enhanced understanding and recognition of pre-operational activity and other crimes that may be precursors or indicators of terrorist activity.
  - Reporting suspicious activity.
  - Implementing or sustaining public information and warning systems to relay information regarding terrorism threats.
- Special Response Teams and First Responder Capabilities (including Border Security capabilities)
  - Detecting chemical, biological, radiological, nuclear and explosives (CBRNE) or weapons of mass destruction (WMD).
  - Sustaining and enhancing tactical teams including HAZMAT response and decontamination, Urban Search and Rescue, and SWAT.
  - Sustaining equipment needs, including personal protective equipment, WMD pharmaceuticals, calibration and maintenance for WMD-related detection and identification systems, and closely related investments to update or sustain current equipment.
  - Sustaining and enhancing border security detection, prevention and response capabilities.
  - Planning, training, exercises, and equipment to enhance interdiction capabilities against border security threats.
- State and Regional Planning
  - Developing state and regional risk and preparedness assessments.
  - Core capability development planning, to include typing and tracking of equipment and special response teams.
  - Planning and execution of training and exercises focused on terrorism prevention, protection and response.
  - Multi-jurisdictional operational planning to include plans for regional operational coordination of terrorism prevention, protection, and response capabilities.
  - Maintaining or updating Emergency Operations Plans, consistent with guidance in CPG 101.v2 and the whole community approach to security and emergency management
  - Planning and implementation of initiatives to enhance the Citizen Corps Program and other community resilience initiatives.
  - Planning for continuity of operations.
- Operational Coordination

- Establishing and maintaining a unified and coordinated operational structure and process that integrates critical stakeholders.
  - Implementing WebEOC and other situational awareness and decision support tools.
  - Conducting or participating in incident management training and/or exercises.
- Critical Infrastructure
  - Identifying critical infrastructure, collecting and maintaining data, and prioritizing critical infrastructure assets, clusters, and systems.
  - Assessing critical infrastructure vulnerabilities and interdependencies, particularly those involving multiple sites and/or sectors.
  - Planning, training, exercises, equipment, and modeling enabling responsible jurisdictions to mitigate threats to and vulnerabilities of critical infrastructure facilities, assets, networks, and systems.
  - Analyzing critical infrastructure threats and information sharing with private sector partners.
  - Enhancing public awareness education and communications and increasing reporting of suspicious activities related to critical infrastructure.
- All capabilities being built or sustained must have a clear linkage to one or more Core Capabilities in the National Preparedness Goal.
- Many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees may demonstrate this dual-use quality for any activities implemented under this program. Activities implemented under SHSP must support terrorism preparedness by building or sustaining capabilities that relate to the prevention of, protection from, mitigation of, response to, and recovery from terrorism.

### **Step 5: CAPCOG conducts FY 2019 SHSP workshop**

- Attendance at this workshop is required for all applicants submitting projects to be prioritized for FY 2020 SHSP funding through CAPCOG. Projects submitted by applicants not represented at this workshop will be ranked as Tier 3 (See 2 Step 8, below.)
- At this workshop, potential applicants will receive an explanation of:
  - who can apply and what activities are eligible;
  - requirements for problem statement with supporting data, goal statement, project activity explanations, current and target output and outcome measures, and budget categories & line items;

- applicable rules, regulations, eligibility requirements and certifications required for each funding opportunity;
- state strategies or funding priorities identified by the OOG;
- threats, hazards, and capability gaps identified through regional THIRA and SPR, and other assessments related to homeland security issues, as applicable;
- local policies or procedures that affect CAPCOG's prioritization process;
- process for creating, submitting, and certifying applications to the OOG; and important grant deadlines.
- Includes the project period for each funding opportunity as stated in the Request for Applications (RFA) issued by the OOG.
- Includes any prohibitions stated in the RFA issued by the OOG.
- Date: Scheduled to occur on December 10 and 12, 2019 for returning applicants, Dec. 10 for new applicants and Dec. 12 for organizations applying for funding under the Non Profit Security Program.

#### **Step 6: Applicants submit project applications via eGrants and project worksheet to the COG**

- Project applications must be submitted using the eGrants web-based application.
- Project worksheet must be submitted to CAPCOG (available on CAPCOG Website).
- CAPCOG staff will assist with submission process upon request as time allows prior to close of the CAPCOG application period.
- Key Date: CAPCOG Application Period – January 13 – January 23, 2020
- Key Date: Applicants MUST submit the application to CAPCOG by January 23, 2020.
- Key Date: Applicants MUST submit project worksheet to CAPCOG by January 23, 2020.
- Key Date: Applicant Certifying Official must certify application in eGrants by February 27, 2020.

#### **Step 7: CAPCOG reviews project applications submitted into eGrants**

- CAPCOG staff will review and provide feedback on applications created by applicants upon request, on a first come-first served basis, as time allows by the deadline. Officials should certify applications after the review.

Dates: CAPCOG Application Period – January 13 – January 23, 2020.  
 Applicants MUST submit the application and grant project worksheet to CAPCOG by January 23, 2020.

## **Step 8: HSTF Committees assign priorities to projects based upon tiers**

- CAPCOG Homeland Security staff will provide a list of project applications indicating which projects have been assigned to each committee.
  - Committee chairs may request that projects be reassigned to another committee.
  - Reassignment will require the concurrence of CAPCOG Homeland Security staff and the chairs of the involved committees.
- Each standing committee of the HSTF will meet to discuss assigned projects within their area of interest and place them in a priority order and Tier by group consensus.
- The committees will assign each project to one of the following tiers:
  - Tier 1: Projects that align with focus areas identified in step 5 of this process (see CAPCOG HSTF Strategic Planning Framework, CAPCOG Regional THIRA, Stakeholder Preparedness Review).
  - Tier 2: Projects eligible under HSGP grant program, but do not address any of the regional priorities identified in the HSTF Strategic Plan
  - Tier 3: Projects that are not ranked because they do not fall within either Tier 1 or Tier 2 or because the applicant jurisdiction did not attend the mandatory SHSP project application workshop or submit a completed project worksheet.

Project applications submitted by non-profit organizations will not be ranked. These grants are submitted directly to the Office of the Governor under the Non-profit Security Grant Program. Applications must indicate how improvements will be designed to harden the target.

- Anticipated dates: January 24, 2020 – February 7, 2020

## **Step 9. Organize prioritize projects**

- Committee chairs will submit reviewed projects with CAPCOG staff who will work with an appointed team to prepare the project submittals for the HSTF's final review, revision and ranking meeting.
- First, a review of all Tier 2 projects will be conducted for potential eligibility to be classified as a Tier 1 project.
- Second, Tier 1 projects from all committees will be prioritized first.
  - Priorities will be based on consensus informed by the most recent version of the region's HSTF Strategic Planning Framework and Regional THIRA.
- Next, Tier 2 projects from all committees will be prioritized.
  - Priorities will be based upon the most recent version of the region's *Capabilities-based/Risk-informed Funding Allocation* document
- Anticipated date: February 2020

## **Step 10: Homeland Security Task Force Approves prioritized project list**

The CAPCOG Homeland Security Task Force will review and may revise the prepared list of 2019 HSGP projects and will, by a vote of its members, approve a recommendation to the CAPCOG Executive Committee.

- Date: March 5, 2020

## **Step 11: CAPCOG Executive Committee approves prioritized project list**

- The CAPCOG Executive Committee will review and may revise the prioritized list of 2019 HSGP projects and will, by a vote of its members, approve a recommendation to the OOG.
- Date: March 11, 2020

## **Step 12: Office of the Governor sends potential projects to CAPCOG**

- Following an initial review, the OOG will forward the project applications to CAPCOG for final review and prioritization.

Date: Mid-March 2020

## **Step 13: CAPCOG staff reconciles project list and priorities and sends final prioritized list to the Office of the Governor**

- Upon receipt of the list from the OOG of projects that have received preliminary approval, CAPCOG staff will verify project information, including recommended funding amount, assign priorities and return the final list to the OOG.
- Date: On or before March 31, 2020

## **Step 14: Office of the Governor approves prioritized project list**

- The OOG will review and approve projects for funding.
- With the assistance of CAPCOG staff members, as determined by the OOG procedures, applicants with projects selected for funding will complete any required activities in eGrants.
- Based upon the project application, the OOG will designate a performance period for each project.
- Anticipated date: August 2020

## **Performance Period and Closeout**

**Responsibilities.** Sub-recipients of SHSP grant funds are responsible for attending grant workshops, meeting grant deadlines, ordering required equipment, reporting online or to data calls as requested by the state, complying with audits, maintaining records, and all other sub-recipient requirements as specified in the agreement with the state. In addition to regional planning and grant administration duties as required by the state, CAPCOG staff members provide support to the sub-recipients to include informing them of state and federal guidance and deadlines, holding grant workshops, assisting with eligibility requirements, assisting with online reporting, providing liaison with the OOG, compiling information from or for data calls, supporting the HSTF and committees, and coordinating among projects and/or among jurisdictions involved in a project.

**Reporting on Grant Progress.** Sub-recipients will report on grant progress to the OOG each quarter of the performance period (January, April, July, October).

**Unused Funds.** At any point during the performance period, the sub-recipient may request to use uncommitted funds for another project. This may occur whether these funds remain from costs savings in an initial project or whether needs have changed and the initial project is unnecessary or of a lower priority. Using grant funds for another purpose other than the project initially awarded will require approval of the HSTF and the CAPCOG Executive Committee.

The OOG will report on unused funds to CAPCOG every quarter. Every six months during the performance period CAPCOG may request that uncommitted or unobligated funds be released to CAPCOG for reallocation to other projects in the region. First priority for uncommitted funds will go to the next partial or unfunded project on the project funding list approved for the grant year.

For applicants requesting to use funds for a project not previously approved through the grant process: If the amount of proposed reallocation request is less than \$1,000, CAPCOG's Director of Homeland Security is authorized to approve the proposed use of the funds. If the amount of unused funds is greater than or equal to \$1,000 but less than \$5,000, the HSTF is authorized to approve the proposed use of the funds. If the amount of unused funds is greater than or equal to \$5,000, the HSTF shall make a recommendation to the CAPCOG Executive Committee for approval of the proposed use of the funds.