



Role of the THIRA/SPR in the Homeland Security Grant Program

Purpose

The purpose of this document is to provide State Administrative Agencies (SAAs), Threat Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) participants, stakeholders and subject matter experts with a brief overview of the relationship between the Homeland Security Grant Program (HSGP) and the THIRA/SPR. This document does not list every reporting requirement for HSGP recipients. For a complete explanation of requirements, grant recipients should review the HSGP Notice of Funding Opportunity (NOFO) for the relevant grant year at <https://www.fema.gov/homeland-security-grant-program> and the Preparedness Grants Manual at <https://www.fema.gov/grants/preparedness/manual>.

HSGP Eligibility and Funding Allocations

HSGP eligibility and the amount of funding allotted for each state, territory, or high-risk urban area is **based on legislative authority and the fiscal year appropriation amount**. The NOFO outlines funding allocations for each state, territory, and high-risk urban area. While FEMA requires HSGP grant recipients to tie grant investments to support closing capability gaps or sustaining capabilities identified in the SPR, **the THIRA/SPR is not a factor in determining funding allocations**. For details on program-specific funding amounts, please refer to the NOFO for the relevant funding year, located at <https://www.fema.gov/homeland-security-grant-program>.

Relationship between THIRA/SPR and HSGP Programmatic Reporting Requirements

FEMA requires only State Homeland Security Program (SHSP) and Urban Area Security Initiative (UASI) recipients to complete the THIRA/SPR. HSGP recipients must complete the Biannual Strategy Implementation Report (BSIR) as directed in the Preparedness Grants Manual to ensure grant dollars are invested in allowable projects. The BSIR requires grant recipients to reference data in the THIRA/SPR. The purpose of the BSIR is to help recipients and FEMA manage and monitor grants effectively.

The Role of the THIRA/SPR in HSGP

FEMA requires SHSP and UASI recipients to complete both the THIRA and the SPR (see **Figure 1**). The THIRA is a process that communities use to better understand their risks and set targets for building and sustaining capabilities to address those risks. Communities then use the SPR to estimate and describe their current capabilities, indicate and describe gaps

between their current capabilities and targets, and identify approaches for addressing those gaps and sustaining current capabilities. They also estimate and describe how they have lost, built, and sustained capability over the previous year, and what funding sources they used to build and sustain their capabilities. Since a community's THIRA/SPR assesses capabilities and resources from all funding sources, this information helps FEMA better understand the impact of all grant programs in helping communities build and sustain their capabilities.



Figure 1: The steps of the THIRA and SPR processes.



Investment Justifications and the SPR

HSGP applicants must complete investment justifications (IJ) when they apply for HSGP funds. States, territories, and high-risk urban areas must justify proposed expenditures of SHSP or UASI funds to support organization activities within their IJ submission. When grant applicants complete IJs, they must articulate how that investment will address a capability gap or sustainment need they have identified in their SPR. States, territories, and high-risk urban areas can use descriptions of capability gaps, intended approaches for addressing gaps, intended approaches for sustaining current capabilities, and functional area gaps in their SPRs to develop their IJs. There are several areas in the SPR where states, territories, and high-risk urban areas can identify gaps and sustainment needs suitable for including in their IJs:

- **Capability Gaps Identified in SPR Step 2:** States, territories and high-risk urban areas can tie their IJs to the capability gaps they identify in SPR Step 2. States, territories, and high-risk urban areas identify and describe planning, organization, equipment, training, and exercises (POETE) gaps that they must address to achieve or sustain their desired level of preparedness.
- **Intended Approaches for Addressing Capability Gaps and Sustaining Capability in SPR Step 2:** States, territories, and high-risk urban areas can also tie their IJs to the intended approaches for addressing gaps and sustainment needs they identify in SPR Step 2. IJs should include projects and investments that align with these intended approaches.
- **Additional Functional Area Gaps:** The core capabilities encompass several functional areas in which a state, territory, or high-risk urban area may have a gap or sustainment need, but FEMA only requires states, territories, and high-risk urban areas to address some of these areas in SPR Step 2. However, states, territories, and high-risk urban areas can indicate POETE gaps in the

remaining functional areas in the Additional Functional Area Gaps portion of the SPR. States, territories, and high-risk urban areas can tie IJs to these gaps as well.

Reporting Investments of Grant Funds in SPR Step 3

In SPR Step 3, states, territories, and high-risk urban areas indicate how they have used different funding sources to build and sustain their capabilities. This helps them and FEMA better understand the impact of grant funding and other funding sources on community efforts to build and sustain capabilities. States, territories, and high-risk urban areas also describe if they have used capabilities that were built and/or sustained with grant funds in a real-world incident during the reporting year. Sharing this information helps FEMA understand how states, territories, and high-risk urban areas are using grant funding to improve disaster outcomes.

Biannual Strategy Implementation Report (BSIR) and the SPR

In each grant recipient's BSIR, as part of programmatic monitoring, the recipient must describe how expenditures support closing capability gaps or sustaining capabilities identified in the THIRA and SPR. FEMA uses the BSIR to understand how recipients spent grant dollars within the grant period of performance. States, territories, and high-risk urban areas can use project information from their BSIRs to develop future SPRs, as well. For example, they can incorporate previous projects and investments into SPR Step 1 where they describe efforts to build and sustain capability over the past year, and document that they used HSGP funding to support those efforts in SPR Step 3.