



Calhoun: The NPS Institutional Archive
DSpace Repository

Theses and Dissertations

1. Thesis and Dissertation Collection, all items

2022-09

THE SOCIOECONOMIC IMPACT OF DHS GRANT FUNDING

Davidson, Lisa C.

Monterey, CA; Naval Postgraduate School

<http://hdl.handle.net/10945/71003>

Copyright is reserved by the copyright owner.

Downloaded from NPS Archive: Calhoun



Calhoun is the Naval Postgraduate School's public access digital repository for research materials and institutional publications created by the NPS community. Calhoun is named for Professor of Mathematics Guy K. Calhoun, NPS's first appointed -- and published -- scholarly author.

Dudley Knox Library / Naval Postgraduate School
411 Dyer Road / 1 University Circle
Monterey, California USA 93943

<http://www.nps.edu/library>



**NAVAL
POSTGRADUATE
SCHOOL**

MONTEREY, CALIFORNIA

THESIS

**THE SOCIOECONOMIC IMPACT OF DHS
GRANT FUNDING**

by

Lisa C. Davidson

September 2022

Co-Advisors:

Glen L. Woodbury
Laura Arney

Approved for public release. Distribution is unlimited.

THIS PAGE INTENTIONALLY LEFT BLANK

REPORT DOCUMENTATION PAGE			<i>Form Approved OMB No. 0704-0188</i>	
Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188) Washington, DC, 20503.				
1. AGENCY USE ONLY (Leave blank)		2. REPORT DATE September 2022	3. REPORT TYPE AND DATES COVERED Master's thesis	
4. TITLE AND SUBTITLE THE SOCIOECONOMIC IMPACT OF DHS GRANT FUNDING			5. FUNDING NUMBERS	
6. AUTHOR(S) Lisa C. Davidson				
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Naval Postgraduate School Monterey, CA 93943-5000			8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES) N/A			10. SPONSORING / MONITORING AGENCY REPORT NUMBER	
11. SUPPLEMENTARY NOTES The views expressed in this thesis are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government.				
12a. DISTRIBUTION / AVAILABILITY STATEMENT Approved for public release. Distribution is unlimited.			12b. DISTRIBUTION CODE A	
13. ABSTRACT (maximum 200 words) Every year, the Department of Homeland Security (DHS) allocates billions of dollars to preserving the safety of the United States. The traditional view of homeland security suggests that fighting terrorism is the key to success, but what does DHS do to carry out its other mission areas and impact the human security of this country? How does DHS leverage these billions of dollars to impact the economic prosperity and resilience of communities? This thesis sought to determine to what extent grants administered by DHS had a socioeconomic impact on communities. It also examined whether socioeconomic vulnerability should be factored into DHS's grant funding distribution decisions. Using a geospatial analysis of publicly available grant data and the American Community Survey, this research found that between 2011 and 2020, there were no substantial impacts on the socioeconomic demographics in areas where DHS grant-funded activities were performed. The data analysis found that, overwhelmingly, DHS obligates its non-disaster grant funds to a very small number of zip codes throughout the homeland and that most communities do not see consistent investments in their areas. Executive Order (EO) 13985 answers the question of whether DHS should consider using its grants to advance equity and access to its programs, and this research presents areas in which DHS could further the goals of this EO by implementing the use of socioeconomic indicators in the allocation of some of its programs.				
14. SUBJECT TERMS DHS grants, socioeconomic impact, place-based funding initiatives, geospatial analysis			15. NUMBER OF PAGES 157	
			16. PRICE CODE	
17. SECURITY CLASSIFICATION OF REPORT Unclassified	18. SECURITY CLASSIFICATION OF THIS PAGE Unclassified	19. SECURITY CLASSIFICATION OF ABSTRACT Unclassified	20. LIMITATION OF ABSTRACT UU	

THIS PAGE INTENTIONALLY LEFT BLANK

Approved for public release. Distribution is unlimited.

THE SOCIOECONOMIC IMPACT OF DHS GRANT FUNDING

Lisa C. Davidson
Director, Recovery Division, FEMA Region 10, Department of Homeland Security
BPA, Seattle University, 2007
MUP, University of Washington, 2015

Submitted in partial fulfillment of the
requirements for the degree of

**MASTER OF ARTS IN SECURITY STUDIES
(HOMELAND SECURITY AND DEFENSE)**

from the

**NAVAL POSTGRADUATE SCHOOL
September 2022**

Approved by: Glen L. Woodbury
Co-Advisor

Laura Armey
Co-Advisor

Erik J. Dahl
Associate Professor, Department of National Security Affairs

THIS PAGE INTENTIONALLY LEFT BLANK

ABSTRACT

Every year, the Department of Homeland Security (DHS) allocates billions of dollars to preserving the safety of the United States. The traditional view of homeland security suggests that fighting terrorism is the key to success, but what does DHS do to carry out its other mission areas and impact the human security of this country? How does DHS leverage these billions of dollars to impact the economic prosperity and resilience of communities? This thesis sought to determine to what extent grants administered by DHS had a socioeconomic impact on communities. It also examined whether socioeconomic vulnerability should be factored into DHS's grant funding distribution decisions. Using a geospatial analysis of publicly available grant data and the American Community Survey, this research found that between 2011 and 2020, there were no substantial impacts on the socioeconomic demographics in areas where DHS grant-funded activities were performed. The data analysis found that, overwhelmingly, DHS obligates its non-disaster grant funds to a very small number of zip codes throughout the homeland and that most communities do not see consistent investments in their areas. Executive Order (EO) 13985 answers the question of whether DHS should consider using its grants to advance equity and access to its programs, and this research presents areas in which DHS could further the goals of this EO by implementing the use of socioeconomic indicators in the allocation of some of its programs.

THIS PAGE INTENTIONALLY LEFT BLANK

TABLE OF CONTENTS

I.	INTRODUCTION.....	1
A.	RESEARCH QUESTION	1
B.	PROBLEM STATEMENT	1
C.	LITERATURE REVIEW	4
	1. Homeland Security and Human Security	4
	2. DHS Grants and Risk	7
	3. Homeland Security, Economic Security, and Social Vulnerability.....	8
	4. Summary.....	13
D.	RESEARCH DESIGN AND METHODOLOGY	14
E.	THESIS ROADMAP	15
II.	LEGAL FRAMEWORK OF DHS GRANTS	17
A.	INTENT AND SCOPE OF DHS GRANT FUNDING	17
	1. Accessing DHS Grant Funding.....	19
	2. DHS-Funded Grants.....	23
B.	GRANT OVERSIGHT	26
	1. Transparency.....	26
	2. Program Audits and Reviews	28
C.	CONCLUSION	31
III.	PLACE-BASED FUNDING INITIATIVES AND DEMOGRAPHICS BASED ASSESSMENT TOOLS.....	33
A.	NEIGHBORHOOD REVITALIZATION INITIATIVE	34
B.	PROMISE ZONES INITIATIVE	37
C.	SOCIAL VULNERABILITY INDEX	42
D.	UNITED NATIONS FRAMEWORKS.....	44
	1. Human Security Approach	44
	2. Sendai Framework for Disaster Risk Reduction	47
E.	COMPARATIVE ANALYSIS.....	50
F.	CONCLUSION	51
IV.	DATA COLLECTION AND ANALYSIS	53
A.	DATA SOURCES	53
	1. Grant Opportunities from Grants.gov.....	53
	2. Catalog of Federal Domestic Assistance from SAM.gov.....	55
	3. DHS-Funded Grants.....	57

4.	American Community Survey	61
B.	DATA CONSOLIDATION.....	67
C.	CONCLUSION	67
V.	DISTRIBUTION OF NON-DISASTER DHS GRANTS AND SOCIOECONOMIC IMPACT	69
A.	GEOGRAPHIC DISTRIBUTION	69
1.	By State	69
2.	By Zip Code.....	71
B.	FISCAL YEAR DISTRIBUTION.....	73
1.	Grant and Zip Code Distribution.....	74
2.	Socioeconomic Profile.....	74
C.	SUMMARY BY PROGRAM.....	76
D.	SUMMARY BY NUMBER OF GRANTS.....	78
1.	Grant and Zip Code Distribution.....	78
2.	Socioeconomic Profile.....	80
E.	SUMMARY BY FUNDING LEVEL	82
1.	Grant and Zip Code Distribution.....	82
2.	Socioeconomic Profile.....	83
F.	SUMMARY BY QUARTILE	84
1.	Grant and Zip Code Distribution.....	84
2.	Socioeconomic Profile.....	85
G.	OVERALL SOCIOECONOMIC IMPACT.....	86
H.	CONCLUSION	86
VI.	ANALYSIS AND CONCLUSION	89
A.	RESEARCH FINDINGS.....	89
B.	AREAS FOR FUTURE RESEARCH.....	90
C.	POLICY RECOMMENDATIONS	90
	APPENDIX A. DHS AGENCIES.....	93
	APPENDIX B. DHS CFDA NUMBERS.....	95
	APPENDIX C. AMERICAN COMMUNITY SURVEY DATA USED.....	101
	APPENDIX D. TOP 10 FUNDED DHS GRANT PROFILES	103
A.	HOMELAND SECURITY GRANT PROGRAM	103
B.	ASSISTANCE TO FIREFIGHTERS GRANT	104
C.	EMERGENCY MANAGEMENT PERFORMANCE GRANT	106

D.	STAFFING FOR ADEQUATE FIRE AND EMERGENCY RESPONSE (SAFER).....	107
E.	EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM	109
F.	BOATING SAFETY FINANCIAL ASSISTANCE	111
G.	PORT SECURITY GRANT PROGRAM	112
H.	RAIL AND TRANSIT SECURITY GRANT PROGRAM.....	114
I.	FLOOD MITIGATION ASSISTANCE	115
J.	COOPERATING TECHNICAL PARTNERS.....	117
	LIST OF REFERENCES	119
	INITIAL DISTRIBUTION LIST	133

THIS PAGE INTENTIONALLY LEFT BLANK

LIST OF FIGURES

Figure 1.	Analysis of Total Annual Appropriations for DHS Grants.	18
Figure 2.	CDC Social Vulnerability Index Factors	43
Figure 3.	CFDA Analysis for Inclusion in Research.....	59
Figure 4.	Concentration of Non-disaster DHS Grants by State (2011–2020).....	70
Figure 5.	Concentration of Non-disaster DHS Grants by Zip Code (2011– 2020).	71
Figure 6.	Annual Obligations of Non-disaster DHS Grants (2011–2020).	73
Figure 7.	Top 10 Highest-Funded Non-disaster DHS Grant Programs (2011– 2020).	77

THIS PAGE INTENTIONALLY LEFT BLANK

LIST OF TABLES

Table 1.	DHS Funding Reported on Grants.gov, June 2022.....	21
Table 2.	Criteria Used for Application and Evaluation for Promise Zone Designation by Round.....	39
Table 3.	UN’s Human Security Root Causes of Insecurity.	46
Table 4.	Comparative Analysis of Indicators Used in Place-Based Initiatives and Demographic-Based Assessment Tools.....	50
Table 5.	Summary of Grants.gov Data Extract and Field Descriptions.....	54
Table 6.	ACS Demographic Data Points Used.	64
Table 7.	Cumulative Obligations by State or Territory.	69
Table 8.	Top 25 Places of Performance for Non-disaster DHS Grants by Zip Code (2011–2020).	72
Table 9.	Total Fiscal Year Obligations and Number of Primary Places of Performance.	74
Table 10.	Socioeconomic Profile of Primary Places of Performance Compared to the National Average	75
Table 11.	Number of Zip Codes Receiving Each Cumulative Grant Total.	79
Table 12.	Socioeconomic Demographic Profile by Number of Cumulative Grants (2011–2020)	81
Table 13.	Summary of Distribution across Levels.....	83
Table 14.	Socioeconomic Demographic Profile of Places of Performance by Level	83
Table 15.	Summary of Distribution across Quartiles.....	84
Table 16.	Socioeconomic Demographic Profile of Places of Performance by Quartile	85
Table 17.	Agencies Combined under DHS since Its Creation.....	93

Table 18.	CFDAs Examined in This Thesis.	95
Table 19.	ACS Data Points for Socioeconomic Analysis, 2011–2020.....	101

LIST OF ACRONYMS AND ABBREVIATIONS

ACS	American Community Survey
AFG	Assistance to Firefighters Grants
BRIC	Building Resilient Infrastructure and Communities
CBP	Customs and Border Protection
CDC	Centers for Disease Control and Prevention
CDP	Criteria Development Panel
CFDA	Catalog of Federal Domestic Assistance
CISA	Cybersecurity and Infrastructure Security Agency
DHS	Department of Homeland Security
DoD	Department of Defense
DRF	Disaster Relief Fund
DRRA	Disaster Recovery Reform Act
DUNS	Data Universal Number System
EMPG	Emergency Management Performance Grant
EO	executive order
EZ/EC	Empowerment Zones and Enterprise Communities
FEMA GO	FEMA Grants Outcomes
FEMA	Federal Emergency Management Agency
FFATA	Federal Funding Accountability and Transparency Act
FMA	Flood Mitigation Assistance
FSRS	FFATA Subaward Reporting System
FY	fiscal year
GAO	Government Accountability Office
GSA	General Services Administration
HHS	Department of Health and Human Services
HSGP	Homeland Security Grant Program
HUD	Department of Housing and Urban Development
IAE	Integrated Award Environment
IPR	Intercity Passenger Rail
ND	non-disaster

NOFA	notice of funds availability
NOFO	notice of funding opportunity
NPPD	National Protection and Programs Directorate
NRI	Neighborhood Revitalization Initiative
OIG	Office of the Inspector General
OMB	Office of Management and Budget
OPSG	Operation Stonegarden
PD&R	(Office of) Policy Development and Research
PSGP	Port Security Grant Program
R&D	research and development
S&T	Science and Technology Directorate
SAA	State Administrative Agencies
SAFER	Staffing for Adequate Fire and Emergency Response
SAM	System for Award Management
SHSP	State Homeland Security Program
SLTT	state, local, tribal, and territorial
SVI	Social Vulnerability Index
TSA	Transportation Security Administration
TSGP	Transit Security Grant Program
UASI	Urban Areas Security Initiative
UEI	unique entity identifier
UN	United Nations
USCG	United States Coast Guard
USDA	United States Department of Agriculture
WMD	weapons of mass destruction

EXECUTIVE SUMMARY

For 20 years, part of the mission of the Department of Homeland Security (DHS) has been to “preserve and uphold the nation’s prosperity and economic security” and to “strengthen preparedness and resilience.”¹ How can this mission be measured? The dominant “realist” view of homeland security follows a military mindset focusing on reducing terrorism risks. The “human security” view believes that addressing social vulnerability is a way to reduce risk.² This thesis examines the role of health, food, shelter, and other humanitarian elements in homeland security.³ As the literature emphasizes, socioeconomic demographics affect social vulnerability and economic stability and shape a community’s resilience. The analysis completed for this thesis looks at the socioeconomic impact that the investment of homeland security grant funds has had in communities over the period of 2011–2020.

DHS derives its authority to make grants from a variety of legislation and appropriations. Included in this research is an examination of the legal framework of DHS grants, the intent and scope of DHS grants, and the oversight systems that are in place to monitor grant performance. The consolidation of existing federal agencies into DHS as a single entity after the events of September 11, 2001, led to duplicated effort and challenges in the implementation of grant programs. Increased transparency and public access to information on federal spending, as well as audits and reviews for government entities such as the Offices of the Inspector Generals, have drawn congressional and public scrutiny of how DHS has implemented its programs.

Because this thesis questions whether DHS should factor socioeconomic impact into its grant funding distribution decisions, a review of other federal and international

¹ “Mission,” Department of Homeland Security, December 7, 2021, <https://www.dhs.gov/mission>.

² Fathali M. Moghaddam and James N. Breckenridge, “Homeland Security and Support for Multiculturalism, Assimilation, and Omniculturalism: Policies among Americans,” *Homeland Security Affairs* 6, no. 3 (September 2010), <https://calhoun.nps.edu/handle/10945/25096>.

³ Moghaddam and Breckenridge.

programs and frameworks that do just that is included. The Department of Housing and Urban Development (HUD)'s Neighborhood Revitalization Initiative, the White House's Promise Zone Initiative, and the Department of Health and Human Services (HHS)'s use of the Social Vulnerability Index (SVI) are examples of programs within the federal government that look at the socioeconomic vulnerabilities of communities to target federal investment. The United Nations' Human Security Approach and Sendai Framework are international examples of place-based approaches to security. Across the programs and frameworks examined, two themes emerged: vulnerability of people and place. Commonalities across these were income, poverty, employment, age, gender, disability, race/ethnicity, and housing. These indicators became the basis for the analysis of the socioeconomic impact of DHS grant funds.

Using publicly available data from Grants.gov, SAM.gov, and USAspending.gov, a data set was created for the period of 2011–2020 that included information on DHS programs, obligated amounts, and primary places of performance. This data set was combined with data from the American Community Survey (ACS) for the common indicators identified in the analysis of other federal and international programs/frameworks. The geospatial analysis of this combined data set found that the investment of non-disaster DHS grants had no significant impact on the socioeconomic demographics of the primary places of performance. However, it did find that the distribution of grant funds across the homeland benefits areas in very different ways. The data used in this thesis focused on non-disaster grants and grants that had the potential to make a place-based impact, excluding those that had a direct benefit to individuals such as funding for training programs operated by DHS. In the 10-year period reviewed, 25 percent of the obligations (\$7.22 billion) occurred in just four zip codes, which include two state capitals and two areas where state/national agencies operate. These same zip codes were the primary place of performance for over 100 grants. However, 50 percent of the zip codes, or 8,853, received fewer than five grants and less than \$1 million in total obligations.

The analysis for this thesis detected no socioeconomic impact from non-disaster DHS grants over the course of a decade nor allocations based on socioeconomic factors. This thesis offers suggestions for DHS to leverage existing grant programs to factor

demographic data into the allocation of grant funds and further areas of research to demonstrate and measure the impact its funds are having on homeland security.

THIS PAGE INTENTIONALLY LEFT BLANK

ACKNOWLEDGMENTS

To the ladies of the CHDS Garden Club, I quite simply could not have done this without you. Your unwavering support, endless care packages, and countless Zoom happy hours got me to where I am today. I am grateful for your friendship and comforted by the knowledge that the homeland security enterprise has the likes of you serving this nation. To my parents and the friends who have seen me through not just one but two master's programs, bless your hearts. Never let me do this again!

The world was an entirely different place, and I was a different person, when I started this program in 2019. To my committee, Mr. Glen Woodbury and Dr. Laura Armev, and my writing support team of Marianne Taflinger and Noel Yucuis, thank you for the time and effort you put into making sure I didn't give up on myself and this program; every email and phone call you responded to kept me going all these years.

Through wildfires, floods, and global pandemics, I am grateful to the FEMA Region 10 Recovery Team and Office of the Regional Administrator for giving me the time and space I needed to complete this program. It was never easy to step away, but I knew that when I did, you all would be just fine without me.

THIS PAGE INTENTIONALLY LEFT BLANK

I. INTRODUCTION

We cannot secure liberty and guarantee security simply by spending more and more money in the name of security. . . . We similarly cannot mortgage our children and grandchildren’s future by funding unnecessary and ineffective programs, even including those that have important missions.

—Tom Coburn, former U.S. senator¹

A. RESEARCH QUESTION

To what extent have grants administered by the Department of Homeland Security (DHS) had a socioeconomic impact on communities, and should socioeconomic vulnerability be factored into DHS’s grant funding distribution decisions?

B. PROBLEM STATEMENT

Part of the mission of DHS is to “preserve and uphold the nation’s prosperity and economic security” and to “strengthen preparedness and resilience.”² DHS accomplishes some of this mission by providing grant funding for a wide range of DHS goals, including preparedness, research, and infrastructure protection, as well as mapping the nation’s flood-prone areas.³ Along these lines, the Federal Emergency Management Agency (FEMA), a DHS component, has led several campaigns to promote financial literacy as a means to strengthen a community’s preparedness and resilience.⁴ DHS measures grant performance with outputs—such as the number of reports issued, the percentage of event participation, and training or exercises conducted—but it lacks metrics for outcomes. Specifically, it has no metric for gauging whether its grant programs improve prosperity

¹ Tom A. Coburn, *Safety at Any Price: Assessing the Impact of Homeland Security Spending in U.S. Cities* (Washington, DC: U.S. Senate, 2012), 1–2, <https://www.hsdl.org/?view&did=726637>.

² “Mission,” Department of Homeland Security, December 7, 2021, <https://www.dhs.gov/mission>.

³ “Find and Apply for Grants,” Department of Homeland Security, June 28, 2022, <https://www.dhs.gov/how-do-i/find-and-apply-grants>.

⁴ Federal Emergency Management Agency, “Financial Literacy, Overcoming Liquid Asset Poverty,” PrepTalks Discussion Guide (Washington, DC: Federal Emergency Management Agency, 2018), 1.

and economic security or whether they strengthen preparedness and resilience.⁵ Moreover, FEMA’s preparedness grants do not account for poverty rates, the percentage of low-income households in the community, or other economic factors in allocating funds. Instead, authorizing legislation—with its own set of eligible applicants and beneficiaries, and each with its own process for allocating and awarding funds—governs each grant. Without consistently applying these factors to allocations, linking grant funds to mission accomplishment for DHS proves daunting.

Collecting data on the impact of federal investment through DHS grants on the prosperity, economic security, and preparedness of the nation could improve the targeting of grants and increase their impact. The Homeland Security Act of 2002 established DHS and expressly authorized it to fund grants.⁶ Since that time, DHS has posted 1,346 funding opportunities online, accounting for an estimated \$117 billion in funding.⁷ Public entities have collected data on these grants, enabling analysis to determine what, if any, impact DHS has made toward accomplishing its mission. The U.S. Census Bureau recorded socioeconomic data in the 2020 Decennial Census and its American Community Survey, which it publishes annually. Evaluating these alongside grant funding is one method to examine the impact in areas where DHS has concentrated funding.

The federal government has previously used data-driven socioeconomic analysis to concentrate federal funding and maximize investments. In the 2013 State of the Union address, President Obama announced the Promise Zones Initiative as a means for improving opportunities within communities. The premise of this place-based initiative built on a collaborative approach to addressing community revitalization through partnerships across all levels of government, the business community, citizens, and local organizations. Requirements for areas designated “promise zones” include a data-driven plan with specified outcomes for job creation, the economy, education, housing, and public safety. Implementation of the plans comes with intensive federal support and funding

⁵ Federal Emergency Management Agency, Grant Programs Directorate, *FEMA Preparedness Grants Manual* (Washington, DC: Federal Emergency Management Agency, 2019), 176.

⁶ Homeland Security Act of 2002, Pub. L. No. 107–296, 116 Stat. 2135 (2002), <https://www.congress.gov/bill/107th-congress/house-bill/5005>.

⁷ “Search Grants,” Department of Health and Human Services, accessed June 27, 2022, <https://www.grants.gov/web/grants/search-grants.html>.

prioritization.⁸ This initiative uses many of the same factors as the Social Vulnerability Index, another data-driven tool, to make place-based funding decisions. Developing a place-based methodology for distributing grant funds will allow homeland security to assess a community’s capacity to plan for, respond to, and recover from a disaster.⁹ Tools and lessons learned from other federal programs that measure economic impact could be a viable means for DHS’s documenting its progress toward accomplishing its mission.

In acknowledgment of the federal government’s impact on shaping the prosperity of the nation and its people, on the first day of his administration, January 20, 2021, President Biden issued Executive Order (EO) 13985. This EO acknowledges the disparities across communities and how the implementation of laws and public policies creates unequal opportunities for individuals. The need for a whole-of-government equity agenda became evident when the economic and health crisis of the COVID-19 pandemic and the challenges of climate change exacerbated inequities. President Biden’s response drives a comprehensive systematic approach “to advancing equity for all, including people of color and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality.”¹⁰ The administration specifically highlights the impact of addressing income, education, and housing disparities in underserved communities on the nation’s economy; it estimates that addressing equity could spur a \$5 trillion increase in gross domestic product in five years. The Office of Management and Budget (OMB) must work with federal agencies to assess opportunities and strategies to allocate federal resources in a manner that invests in underserved communities.¹¹ Factoring socioeconomic vulnerability into DHS’s grant funding distribution decisions could be a means for the department to support the intent of the EO.

⁸ “Fact Sheet: President Obama’s Promise Zones Initiative,” White House, Office of the Press Secretary, January 8, 2014, <https://obamawhitehouse.archives.gov/the-press-office/2014/01/08/fact-sheet-president-obama-s-promise-zones-initiative>.

⁹ Federal Emergency Management Agency, “Mapping Risks and Vulnerabilities to Increase Resilience Planning” (Washington, DC: Federal Emergency Management Agency, 2016), 3.

¹⁰ Exec. Order No. 13985, 86 Fed. Reg. 14 (January 25, 2021), <https://www.regulations.gov/document/EPA-HQ-OPPT-2021-0202-0010>.

¹¹ Exec. Order No. 13985.

C. LITERATURE REVIEW

This review examines the role of homeland security beyond terrorism, the allocation of DHS grant funds, and the connection between economic security, social vulnerability, and homeland security. The research traces a shift in viewing homeland security through the lens of ensuring the security of people in the community rather than protecting the nation from terrorist threats.

1. Homeland Security and Human Security

Whether homeland security should address socioeconomic vulnerability depends on one's understanding of the field. Although many people think of homeland security as dealing with terrorism, "safeguarding the United States from domestic catastrophic destruction" falls within the homeland security mission.¹² Differences of opinion on the relevance of economic security to homeland security stem from clashing schools of thought between practitioners and researchers. The dominant "realist" approach to security studies presents a military mindset whereas the "human security" system examines the role of health, food, shelter, and other humanitarian elements.¹³ Aligning with the realist view, researchers examining value models for homeland security advise that "one of the most challenging tasks of homeland security policymakers is to allocate their limited resources to reduce terrorism risks cost effectively."¹⁴ In support of this idea, others believe that revealing the funding allocation method of those defending homeland security may expose a vulnerability. In other words, from this perspective, secrecy and deception in funding allocation help deter more attacks and reduce risk.¹⁵ The human security view that

¹² Richard White, "Three Myths about Homeland Security," *Current Politics and Economics of the United States, Canada and Mexico* 19, no. 3 (2017): 397.

¹³ Fathali M. Moghaddam and James N. Breckenridge, "Homeland Security and Support for Multiculturalism, Assimilation, and Omniculturalism: Policies among Americans," *Homeland Security Affairs* 6, no. 3 (September 2010), <https://calhoun.nps.edu/handle/10945/25096>.

¹⁴ Ralph L. Keeney and Detlof von Winterfeldt, "A Value Model for Evaluating Homeland Security Decisions," *Risk Analysis: An International Journal* 31, no. 9 (September 2011): 1470, <https://doi.org/10.1111/j.1539-6924.2011.01597.x>.

¹⁵ Jun Zhuang and Vicki M. Bier, "Reasons for Secrecy and Deception in Homeland-Security Resource Allocation," *Risk Analysis: An International Journal* 30, no. 12 (December 2010): 1737–43, <https://doi.org/10.1111/j.1539-6924.2010.01455.x>.

addressing socioeconomic vulnerability reduces risk would support a move toward factoring those vulnerabilities into DHS grant allocation.

To better understand the drivers of funding decisions under the realist perspective, one must understand the fundamentals of the approach. Charles Glaser describes realism as “the dominant theory of international politics” comprising a set of broad theories that provide a framework for security decisions of international state actors.¹⁶ Shared elements of realism hold that without an international authority for enforcement, there would be anarchy—and power, population, and technology backed by wealth define it. The realist framework has unitary actors whose states are rational actors; states assess their power and capabilities against opposing states; and states are more important than other international institutions and are driven by the economic and military competition of war.¹⁷ In this theory, security or the ability to protect against attack is achieved through power, and power is achieved through “territory, population, economic resources, and military capabilities.”¹⁸ The United Nations (UN) describes this traditional view of security as concern over protection from external aggression and of national interests.¹⁹ The allocation of resources, in accordance with the realist view, targets threats security of the nation and not security of the person.

Contrary to the realist approach, the human security approach emphasizes the “welfare of ordinary people.”²⁰ Roland Paris uses the terms “hot air” and “hodgepodge” in his analysis of the usefulness of human security for policymakers and scholars because it lacks a precise definition and adopts broad categories, from physical security to mental health.²¹ The UN embraces this vagueness, warning that “human security is more easily

¹⁶ Charles Glaser, “Realism,” in *Contemporary Security Studies*, ed. Alan Collins, 4th ed. (Oxford: Oxford University Press, 2007), 14.

¹⁷ Glaser, 14–15.

¹⁸ Glaser, 18.

¹⁹ United Nations Development Program, *Human Development Report 1994* (New York: Oxford University Press, 1994), 22.

²⁰ Roland Paris, “Human Security: Paradigm Shift or Hot Air?,” *International Security* 26, no. 2 (2001): 87, <https://doi.org/10.1162/016228801753191141>.

²¹ Paris, 88, 93.

identified through its absence than its presence.”²² The first major statement on this approach appears in the UN’s 1994 *Human Development Report*.²³ According to the UN, the elements of human security are a universal concern of all nations regardless of their wealth; its components are interdependent and not defined by a country’s borders. Human security “is easier to ensure through prevention,” and it is people-centered.²⁴ The two main aspects of this approach are safety from chronic threats (e.g., hunger, disease, and repression) and protection from sudden disruptions to daily life; these aspects can be human-made, natural, or a combination of the two.²⁵ It is not a defensive posture but individuals’ will to care for themselves, meet their own essential needs, and earn a living that drives this position.²⁶ According to the UN, people experience insecurity when “natural disasters, violent conflicts, chronic and persistent poverty, health pandemics, international terrorism, and sudden economic and financial downturns impose significant hardships and undercut prospects for sustainable development, peace and stability.”²⁷ This approach guides a people-centered system that emphasizes prevention and protection and the interdependency of human systems such as politics, economies, and cultures.²⁸ Paris suggests that the value of the human security approach is perhaps in its use as a category of research for security studies.²⁹ He does, however, acknowledge that security studies have evolved from the more traditional or realist view focused on external threats to a state to a more inclusive view of the security of individuals, groups, the economy, and environment.³⁰ Whether the allocation of resources should follow the evolution of these views on homeland security is central to the research question of this thesis.

²² United Nations Development Program, *Human Development Report*, 33.

²³ Paris, “Human Security,” 89.

²⁴ United Nations Development Program, *Human Development Report*, 22–23.

²⁵ United Nations Development Program.

²⁶ United Nations Development Program, 24.

²⁷ United Nations Trust Fund for Human Security, *Human Security Handbook: An Integrated Approach for the Realization of the Sustainable Development Goals and the Priority Areas of the International Community and the United Nations System* (New York: United Nations Human Security Unit, 2016), 5, <https://www.un.org/humansecurity/wp-content/uploads/2017/10/h2.pdf>.

²⁸ United Nations Trust Fund for Human Security, 6.

²⁹ Paris, “Human Security,” 96.

³⁰ Paris, 97.

2. DHS Grants and Risk

The realist approach aligns with the view that secrecy in fund allocation defends its integrity whereas the human security approach likely endorses the need for a transparent and systematic approach to funding homeland security. The Congressional Budget Office estimated the federal government funded \$40 billion in security activities in 2004 alone.³¹ The allocations to more than 200 different appropriations accounts included programs not explicitly addressing homeland security.³² Accounting for appropriations that might benefit but are not specifically targeted toward homeland security makes it difficult to track all the spending.³³ Former DHS Secretary Michael Chertoff said that the department needed to identify and prioritize risk, which he defined as “understanding the threat, the vulnerability, and the consequences.”³⁴ Chertoff believed that DHS should use this information to find a cost-effective way to use its resources.³⁵ Researchers have examined the potential benefit of using value models for homeland security decision-making. This methodology relies on risk assessments and risk management, which require threat, vulnerability, consequence, and cost analyses. Constructing a value model such as this necessitates defining the relevant objectives, metrics for those objectives, value judgments, and attitudes toward risk. These researchers propose that the application of a value model could result in a better investment of the \$40–\$50 billion DHS annual budget. Such a system would measure consequences and help report on the progress made toward achieving DHS’s strategic objectives.³⁶ To what extent does making “better investments” minimize risk by addressing the socioeconomic vulnerabilities and measuring the impact of DHS investment in communities? The way grants are allocated is one way DHS can use its resources to address each of the six missions of its strategic plan.

³¹ Matthew Schmit, Melissa Merrell, and Gerard Trimarco, “Federal Funding for Homeland Security” Economic and Budget Issue Brief (Washington, DC: Congressional Budget Office, 2004), 3, <https://permanent.access.gpo.gov/gpo45069/homeland-security.pdf>.

³² Schmit, Merrell, and Trimarco, 1.

³³ Schmit, Merrell, and Trimarco, 1.

³⁴ Michael Chertoff, “U.S. Department of Homeland Security Second Stage Review Remarks,” Department of Homeland Security Press Office, July 13, 2005, <https://www.hsdl.org/?view&did=474644>.

³⁵ Chertoff.

³⁶ Keeney and von Winterfeldt, “A Value Model for Evaluating Homeland Security Decisions,” 1471.

3. Homeland Security, Economic Security, and Social Vulnerability

One view broadening the understanding of the DHS mission beyond counterterrorism conceives its role as supporting the nation’s economic security. This view acknowledges the role of Customs and Border Protection, a DHS component agency, as inseparable from economic security as it “enhanc[es] the Nation’s global economic competitiveness.”³⁷ In her Naval Postgraduate School thesis, Christa Brzozowski finds that the U.S. economy and commercial enterprises that feed it are essential to national influence, power, and security.³⁸ Similar to Brzozowski, in his writings about the myths of homeland security, Richard White argues that national strength derives from the ability not only to combat terrorism but also to protect infrastructure that supports the national economy. He defines transportation, water, energy, and communications as essential infrastructure components. White proposes redefining homeland security as “safeguarding the United States from domestic catastrophic destruction.”³⁹ This definition implies that while nothing will ever be completely safe from a catastrophe, the role of homeland security requires taking actions to safeguard the nation and its ability to prevent, protect, respond, and recovery from such events.⁴⁰ The writings of Brzozowski and White provide a link between the realist and human security views—by addressing the condition of one, the other improves.

This expanded view of DHS supports the belief that other elements of the department’s mission threaten societal disruption more than terrorism. Specifically, Henry Willis writes that when evaluating societal disruption over time, more economic damage and threat to lives result from disasters, accidents, and crime than terrorism.⁴¹ Within this

³⁷ “About CBP,” Customs and Border Protection, February 24, 2022, <https://www.cbp.gov/about>; Department of Homeland Security, *2014 Quadrennial Homeland Security Review* (Washington, DC: Department of Homeland Security, 2014), 31, <https://www.dhs.gov/publication/2014-quadrennial-homeland-security-review-qhsr>.

³⁸ Christa Brzozowski, “The Department of Homeland Security’s Role in Protecting the National Economy” (master’s thesis, Naval Postgraduate School, 2017), 2, <https://www.hsdl.org/?view&did=805946>.

³⁹ White, “Three Myths about Homeland Security,” 397.

⁴⁰ White, 398.

⁴¹ Henry H. Willis, *Building on the Quadrennial Homeland Security Review to Improve the Effectiveness and Efficiency of the Department of Homeland Security* (Santa Monica, CA: RAND Corporation, 2014), 3.

school of thought, research features socioeconomic vulnerability and its impact on DHS's ability to accomplish its missions to "preserve and uphold the nation's prosperity and economic security" and to "strengthen preparedness and resilience."⁴² A community's resilience can be determined by its socioeconomic and demographic factors, or social vulnerability.⁴³ This research on social vulnerability and homeland security assesses factors that influence a community's economic strength to identify risks, vulnerabilities, and the capacity to respond to and recover from catastrophes. For example, according to Dilek Ozceylan and Erman Coskun, previous research finds a "causal link between social vulnerability and a society's characteristics such as socioeconomic class, gender, race and ethnicity origin, age, disability, population density, migration rate, culture of prevention, health standards, social equality, traditional values and beliefs."⁴⁴ A similar school of thought suggests

indicators of economic vulnerability are income level, the population below the poverty line, home ownership, median home value, average rent, percent of population who earns more than a certain amount in a certain time, savings rates, the level of social dependence, unemployment, employment of women, and the unequal distribution of land.⁴⁵

These indicators of economic strength and social vulnerability provide data points for socioeconomic analysis.

American and international researchers have examined socioeconomic vulnerability and its impact on community preparedness and resiliency. For instance, researchers in Turkey found that disasters, social structure, and economic strength affect a region's vulnerability and effectiveness in the recovery process. Resilient communities have established infrastructure and strong social and economic structure.⁴⁶ In their

⁴² Department of Homeland Security, "Mission."

⁴³ Barry E. Flanagan et al., "A Social Vulnerability Index for Disaster Management," *Journal of Homeland Security and Emergency Management* 8, no. 1 (2011): 1, <https://doi.org/10.2202/1547-7355.1792>.

⁴⁴ Dilek Ozceylan and Erman Coskun, "The Relationship between Turkey's Provinces' Development Levels and Social and Economic Vulnerability to Disasters," *Journal of Homeland Security and Emergency Management* 9, no. 1 (2012): 2, <https://doi.org/10.1515/1547-7355.1981>.

⁴⁵ Ozceylan and Coskun, 2.

⁴⁶ Ozceylan and Coskun, 2.

contribution to *Mapping Vulnerability*, Delica-Willison and Willison write about the growing view that improving a community's socioeconomic status, protecting and preserving its environment, and taking preventive measures would likely reduce the negative results from disasters.⁴⁷ Public health and emergency response researchers have also found that socioeconomic factors can lead to major problems during homeland security incidents. For example, “under-served, under-represented, populations will likely experience significantly worse health outcomes” in a major health crisis, such as an anthrax or other disease outbreak.⁴⁸ Socioeconomic barriers can impede a response to bioterrorism or an emerging health threat. This finding supports the research in determining that economic inequality can inhibit access to life-saving resources.⁴⁹ The impact of these inequities was highlighted during the COVID-19 pandemic and, as previously mentioned, provided a catalyst for the Biden administration's EO to examine the allocation of resources in underserved communities.

This type of research is long-standing; since the 1970s, disaster management has designated social vulnerability as a concept in disasters. During that era, researchers determined that vulnerability in socioeconomic factors affects community resilience; demographics could be indicators of a range of aspects, from compliance with evacuation orders to disaster recovery.⁵⁰ With that knowledge, research continues to examine the role of socioeconomic factors in disaster response. Most notably, research following Hurricane Katrina discovered that local, state, and federal governments had not accounted for socioeconomic barriers in preparedness planning and execution.⁵¹ Overcoming these

⁴⁷ Zenaida Delica-Willison and Robin Willison, “Vulnerability Reduction: A Task for the Vulnerable People Themselves,” in *Mapping Vulnerability: Disasters, Development and People*, ed. Greg Bankoff, Georg Frerks, and Dorothea Hilhorst (New York: Earthscan, 2004), 150, ProQuest.

⁴⁸ Don Neuert, “Bridging the Gap: To What Extent Do Socioeconomic Barriers Impede Response to Emerging Public Health Threats?” (master's thesis, Naval Postgraduate School, 2017), 3, <https://www.hsdl.org/?view&did=800930>.

⁴⁹ Neuert, 2–3.

⁵⁰ Lorelei Juntunen, “Addressing Social Vulnerability to Hazards,” *TsuInfo Alert* 8, no. 2 (April 2006): 3, https://file.dnr.wa.gov/publications/ger_tsuinfo_2006_v8_no2.pdf.

⁵¹ Dennis P. Andrulis, Nadia J. Siddiqui, and Jenna L. Gantner, “Preparing Racially and Ethnically Diverse Communities for Public Health Emergencies,” *Health Affairs* 26, no. 5 (September 2007): 1269–79, <https://doi.org/10.1377/hlthaff.26.5.1269>.

barriers requires “knowing the location of socially vulnerable communities.”⁵² With this, “planners can more effectively target and support community-based efforts to mitigate and prepare for disaster events.”⁵³ This approach evolves into viewing preparedness through a community resilience lens.⁵⁴ Nevertheless, the literature does not address how DHS can measure its progress in preparing the nation and upholding its economic security and prosperity by incorporating socioeconomic factors and data points of social vulnerability into its grant distribution.

American cities are undergoing significant demographic shifts that may adversely affect their stability. Given prior research demonstrating how a community’s socioeconomic profile affects its homeland security, understanding those shifts and their supporting data has been the focus of other federal agencies. In 2014, HUD Secretary Julián Castro uses the term “Century of Cities” to describe the second decade of the 21st century.⁵⁵ This era represents the gentrification of city and urban centers, which also leads to a suburban shift in demographics. He notes that the federal government needs to reinvest in communities, particularly those experiencing demographic shifts.⁵⁶ An analysis of census data between 2000 and 2008 finds that poor households increased in suburban areas at a rate five times that of cities, leading to a population growth of 25 percent.⁵⁷ For the first time in history, more of the country’s poor live in the suburbs than in metropolitan areas. The suburbanization of poverty describes this process: more than one-third of households across the nation are in suburban areas, accounting for 1.5 million more poor households in the suburbs than in cities.⁵⁸ This number includes households considered

⁵² Flanagan et al., “A Social Vulnerability Index for Disaster Management,” 14.

⁵³ Flanagan et al., 14.

⁵⁴ Neuert, “Bridging the Gap,” xvi.

⁵⁵ Julián Castro, “Remarks at the National Alliance to End Homelessness 2014 National Conference,” Department of Housing and Urban Development, July 30, 2014, <https://archives.hud.gov/remarks/castro/speeches/2014-07-30.cfm>.

⁵⁶ Cheye-Ann Corona, “Examining Promise Zones: Prioritizing Affordable Housing during Revitalization,” *Harvard Journal of Hispanic Policy* 28 (2016): 44–62.

⁵⁷ Elizabeth Kneebone and Emily Garr, *The Suburbanization of Poverty: Trends in Metropolitan America, 2000 to 2008* (Washington, DC: Brookings Institution, 2010), 1, https://media.timesfreepress.com/docs/2010/02/Brookings_report_on_poverty_0208.pdf.

⁵⁸ Kneebone and Garr, 1.

low-income and those at or below the poverty level. Since the poor no longer geographically cluster in cities, the sprawling suburbs need to address their needs.⁵⁹ As the demographics of the suburbs shift, the economic security of those areas can be expected to change along with the vulnerability of those communities.

Understanding the socioeconomic stability of a community helps homeland security practitioners better understand its resiliency. As the 20th century closed, Dennis Mileti, who has written extensively about the societal aspects of disasters, provided a list of six objectives for mitigating hazards and halting compounding losses from catastrophic disasters.⁶⁰ FEMA still experiences the phenomenon of increasing costs that Mileti noted in the 1990s. It estimates that it spent more on disaster recovery in the two years following Hurricanes Harvey, Irma, and Maria and the California wildfires than it did in its first 37 years.⁶¹ Not only has the cost of disaster recovery grown astronomically since President Jimmy Carter established FEMA by EO in 1979, but the number of annual disaster declarations has steadily increased.⁶² In FEMA's first 20 years, only three years had more than 100 declared disasters. With few exceptions, the number of annual declarations were fewer than 50. The opposite can be said of the 21st century: in FEMA's last 20 years, between 2000 and 2020, only three years had fewer than 100 declarations.⁶³ With these trends, unsurprisingly, the 2017 *National Security Strategy* included the following statement on resilience: "Resilience includes the ability to withstand and recover rapidly from deliberate attacks, accidents, natural disasters, as well as unconventional stresses, shocks, and threats to our economy and democratic system."⁶⁴

⁵⁹ Kneebone and Garr.

⁶⁰ Dennis S. Mileti, *Disasters by Design: A Reassessment of Natural Hazards in the United States* (Washington, DC: Joseph Henry Press, 1999), 20, ProQuest; "Dennis Mileti," National Hazards Center, accessed September 14, 2022, <https://hazards.colorado.edu/dennis-mileti>.

⁶¹ Brock Long, "Why Will FEMA Spend as Much in Past 2 Years as the Previous 37? Here's How Disaster Aid Works," *Hill*, June 3, 2019, <https://thehill.com/opinion/energy-environment/446635-why-will-fema-spend-as-much-in-past-2-years-as-the-previous-37>.

⁶² "About Us," Federal Emergency Management Agency, June 7, 2022, <https://www.fema.gov/about-agency>.

⁶³ "Declared Disasters," Federal Emergency Management Agency, accessed September 19, 2022, <https://www.fema.gov/disaster/declarations>.

⁶⁴ Donald J. Trump, *National Security Strategy of the United States of America* (Washington, DC: White House, 2017), <https://www.whitehouse.gov/wp-content/uploads/2017/12/NSS-Final-12-18-2017-0905.pdf>.

The *National Security Strategy* also lists priority actions for fragile states. Of particular interest is the section on encouraging aspiring partners, noting that the United States will prioritize actions when a foreign state’s weaknesses or failures would magnify a threat to the homeland. These actions use diplomatic, military, and economic means to assist that aspiring partner and, therefore, lessen the threat to the homeland. Similarly, Mileti’s objectives for socioeconomic outcomes include enhancing quality of life by having “access to income, education, health care, housing, and employment.”⁶⁵ His outcomes also include fostering resiliency and responsibility, so a community can withstand a catastrophic event. According to Mileti, the essential nature of a vibrant local economy, and both intra and intergenerational equity, is one that reduces “hazards across all ethnic, racial, and income groups, and between genders equally.”⁶⁶ Thus, economic stability lessens the threat. Juntunen also writes that the hazard determines vulnerability to a lesser degree than social, economic, and political processes. She also recognizes that demographics such as disability, income levels, and non-English-speaking households contribute to greater vulnerability and worse outcomes than for the general population.⁶⁷ While the *National Security Strategy* addresses economic stability abroad, the current allocation methods of DHS do not address the weaknesses of the homeland in the same manner.

4. Summary

The existing literature contextualizes the role of homeland security in economic security. As the literature emphasizes, socioeconomic demographics affect social vulnerability and economic stability and shape a community’s resilience: the capacity to respond to and recover from disasters and mitigate risk and vulnerability. Factoring demographics into allocating federal funds addresses the phenomenon of changing American communities. The literature indicates a homeland security benefit in examining the impact of DHS grants on communities and the potential need to consider socioeconomic impacts in funding decisions.

⁶⁵ Mileti, *Disasters by Design*, 21.

⁶⁶ Mileti, 21.

⁶⁷ Juntunen, “Addressing Social Vulnerability to Hazards.”

D. RESEARCH DESIGN AND METHODOLOGY

Research for this thesis used geospatial and quantitative data analysis. The research process included the following steps: data collection and cleaning, geospatial analysis and mapping, and socioeconomic analysis. The data collection and cleaning phase began with obtaining the historical information on DHS grant funding from various sources. These sources included DHS funding information from websites managed by the General Services Administration (GSA) and the Department of Health and Human Services (HHS).⁶⁸ The consolidation of these sources resulted in a comprehensive list of DHS grant funding programs. This list was then used to obtain information on funds awarded under these programs from data sets operated under the requirements of the Federal Funding Accountability and Transparency Act, such as those maintained by the Department of Treasury and GSA.⁶⁹ Throughout this process, data sets were reviewed and cleaned to remove redundant information, identify missing fields, and ensure a unique identifier for each entry. This portion of the research consumed the greatest amount of time to ensure the integrity of the data. The results of this phase helped define the scope of the socioeconomic analysis.

The data set of DHS grants identified the geographic location of the primary places of performance for each grant, which was used to map and analyze concentrations of funding. Those zip codes from this data set were used for the socioeconomic analysis. Data on the indicators described in Chapters III and IV were obtained from the U.S. Census Bureau's American Community Survey. A series of data visualizations demonstrating the geographic impact of DHS grants in maps and tables is provided in Chapter V. The impact of the place-based funding of DHS grants on communities' socioeconomic indicators inform the policy recommendations in Chapter VI.

⁶⁸ "About the Grants.gov Program Management Office," Department of Health and Human Services, accessed September 14, 2022, <https://www.grants.gov/web/grants/support/about-grants-gov.html>; "Assistance Listings," System for Award Management, accessed September 19, 2022, <https://sam.gov/content/assistance-listings>.

⁶⁹ "Home Page," USA Spending, accessed September 14, 2022, <https://www.usaspending.gov/>; "Home Page," Federal Funding Accountability and Transparency Act Subaward Reporting System, accessed September 14, 2022, <https://www.fsr.gov/index?>.

E. THESIS ROADMAP

Chapter II provides the background and legal framework for DHS grants that describes how grants are awarded and which organizations oversee those grants. Chapter III examines place-based funding initiatives and demographic-based assessment tools used in other federal agencies and international frameworks. This chapter concludes with an analysis of common factors that are used in this research. Chapter IV describes the data collection and analysis that occurred to complete the analysis of the distribution of grants and their socioeconomic impact in Chapter V. Finally, Chapter VI provides a summary of findings, areas for future research, and policy recommendations.

THIS PAGE INTENTIONALLY LEFT BLANK

II. LEGAL FRAMEWORK OF DHS GRANTS

The problem statement of this thesis notes that part of the DHS mission is to “preserve and uphold the nation’s prosperity and economic security” and to “strengthen preparedness and resilience.”⁷⁰ DHS’s four associated goals are as follows: “enforce U.S. trade laws and facilitate lawful international travel and trade, safeguard the U.S. transportation system, maintain U.S. waterways and maritime resources, and safeguard U.S. financial systems.”⁷¹ These goals focus on financial systems, the accessibility and vitality of waterways, safe travel, and international commerce, but they do not specifically address the economic strength of communities. Economic security is one of six defined mission areas that, as with other areas, DHS accomplishes with grants. This chapter explores the legal framework of DHS including intent and scope, grant availability and accessibility, and oversight of DHS grants. The mechanisms employed for grant oversight, such as audits, reviews, and the transparency act, are also included. In sum, the current system of administering grants does not allow DHS to verify the impact of its funding on homeland security.

A. INTENT AND SCOPE OF DHS GRANT FUNDING

DHS annual grant allocations for programs under its authority have ranged from a low of \$735 million in 2002 to a peak of \$3.53 billion in 2004; between 2014 and 2016, grant allocations held steady at approximately \$1.7 billion.⁷² The Congressional Research Service determined these amounts through an analysis of DHS appropriations, as shown in Figure 1.⁷³ The United States consistently spends billions of grant dollars preparing for and protecting against disasters, yet those expenditures have not led to a reduction in the costs to recover from disasters; thus, the cost of recovery continues its upward trajectory. Annual

⁷⁰ Department of Homeland Security, “Mission.”

⁷¹ “Preserve and Uphold the Nation’s Prosperity and Economic Security,” Department of Homeland Security, March 1, 2022, <https://www.dhs.gov/preserve-and-uphold-nations-prosperity-and-economic-security>.

⁷² Shawn Reese, *Department of Homeland Security Preparedness Grants: A Summary and Issues*, CRS Report No. R44669 (Washington, DC: Congressional Research Service, 2016), 16.

⁷³ Reese, 17.

and supplemental appropriations to the Disaster Relief Fund (DRF), administered by FEMA, have grown from millions of dollars annually to tens of billions of dollars during the 2005–2017 period. The years with catastrophic disasters—such as Hurricanes Katrina, Rita, Harvey, Irma, and Maria—saw more than \$50 billion appropriated. Since FEMA became a part of DHS, upwards of \$5 billion has typically been appropriated for supplemental DRF annually.⁷⁴

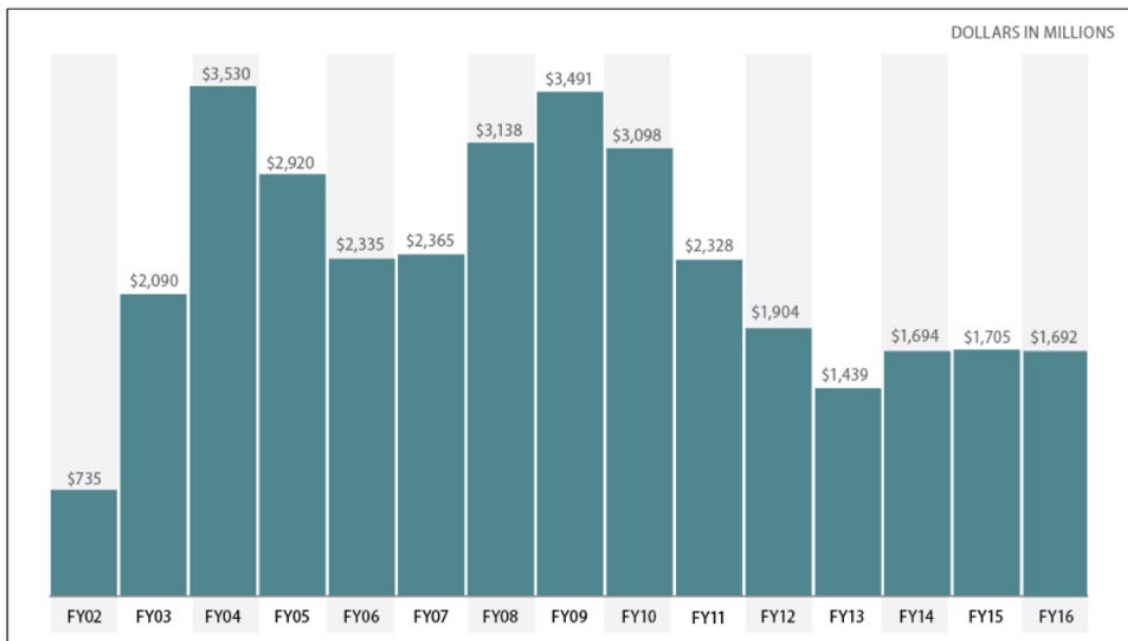


Figure 1. Analysis of Total Annual Appropriations for DHS Grants.⁷⁵

However, this thesis does not evaluate the impact of disaster funding but examines the impact of non-disaster grants. The history of non-disaster grants dates back to 1996 when the Defense against Weapons of Mass Destruction (WMD) Act (also known as the Nunn-Lugar-Domenici Act) authorized the federal government’s funding of grants to “prepare for, prevent, and respond to” incidents across the nation.⁷⁶ Funding has since evolved from intending solely to address WMD terrorist attacks to encompassing

⁷⁴ William L. Painter, *The Disaster Relief Fund: Overview and Issues*, CRS Report No. R45484 (Washington, DC: Congressional Research Service, 2019), 40.

⁷⁵ Source: Reese, *Department of Homeland Security Preparedness Grants*, 17.

⁷⁶ Reese, 1.

emergency preparedness and the broad array of homeland security missions. Various federal agencies have been responsible for overseeing these preparedness grants, beginning with the Department of Defense (DoD) and ending with FEMA, as of this writing. Local, state, tribal, and quasi-governmental public authorities almost exclusively win these grants. DHS's intent for these grants is to enhance regions' and localities' ability "to prepare for, prevent and respond to terrorist attacks and other disasters."⁷⁷ In practical terms, DHS grant recipients employ funds to address "planning, equipment, training, and exercise needs."⁷⁸

1. Accessing DHS Grant Funding

The DoD's WMD grants predate the creation of DHS but do not represent the beginning of federal grant funding. The government has been awarding grants for quite some time though not until the Federal Grant and Cooperative Agreement Act of 1977 did contracts separate from grants. This act distinguished procurement actions or contracts from federal assistance or grants and cooperative agreements.⁷⁹ A distinguishing characteristic of grants and cooperative agreements is that the awarding agency must be involved in the administration of each.⁸⁰ In the subsequent decades, various reforms and policy changes refined the federal grant process. The creation of Grants.gov marked a significant change. The *President's Management Agenda* for fiscal year (FY) 2002 included a provision under its "E-government" strategy requiring the federal government to improve its use of the internet, specifically in applying for and managing grants through a common website.⁸¹ Since its inception in 2002, Grants.gov has become a repository for over 1,000 grant programs and a centralized location for grant seekers to obtain information

⁷⁷ Department of Homeland Security, "Find and Apply for Grants."

⁷⁸ Department of Homeland Security.

⁷⁹ Federal Grant and Cooperative Agreement Act of 1977, Pub. L. No. 95-224, 92 Stat. 3 (1978), <https://www.govinfo.gov/content/pkg/STATUTE-92/pdf/STATUTE-92-Pg3.pdf>.

⁸⁰ "Federal Grant and Cooperative Agreement Act (1977)," Department of Health and Human Services, accessed September 14, 2022, <https://www.grants.gov/learn-grants/grant-policies/federal-grant-cooperative-agreement-act-1977.html>.

⁸¹ George W. Bush, *The President's Management Agenda* (Washington, DC: Office of Management and Budget, 2002), <https://georgewbush-whitehouse.archives.gov/omb/budget/fy2002/mgmt.pdf>.

about and apply for federal funding.⁸² Data for this thesis were obtained from this publicly available resource, which resulted from the implementation of the E-government strategy.

At its creation, also in 2002, DHS combined 22 federal agencies and departments, as outlined in Appendix A.⁸³ The Homeland Security Act of 2002 (Pub. L. No. 107–296, 116 Stat. 2135) established DHS and expressly outlined its authority to issue grants.⁸⁴ Since its creation, DHS’s mission has expanded beyond an exclusive focus on counterterrorism. As indicated in the *2014 Quadrennial Homeland Security Review*, the homeland security enterprise encompasses missions to “Prevent Terrorism and Enhance Security; Secure and Manage Our Borders; Enforce and Administer Our Immigration Laws; Safeguard and Secure Cyberspace; and Strengthen National Preparedness and Resilience.”⁸⁵ DHS, which operates without a statutory definition of homeland security, tackles all these missions, leading to some ambiguity in federal investments.⁸⁶ In the context of grant funding, this ambiguity might affect the use and distribution of funds that could have a significant impact given the sheer value of grants awarded by DHS. Table 1 summarizes the 1,346 DHS funding opportunities and \$117.5 billion in estimated funding posted to Grants.gov since its inception, as of June 2022; these figures do not account for disaster-related grants.⁸⁷ The vast amounts of funding, the breadth of mission areas, and ambiguity in what constitutes homeland security impact the ability to measure outcomes.

⁸² Department of Health and Human Services, “About the Grants.gov Program Management Office.”

⁸³ “Who Joined DHS,” Department of Homeland Security, May 25, 2022, <https://www.dhs.gov/who-joined-dhs>.

⁸⁴ Homeland Security Act of 2002.

⁸⁵ Department of Homeland Security, *2014 Quadrennial Homeland Security Review*, 14.

⁸⁶ William L. Painter et al., *Selected Homeland Security Issues in the 116th Congress*, CRS Report No. R45701 (Washington, DC: Congressional Research Service, 2019), <https://fas.org/sgp/crs/homesecl/R45701.pdf>.

⁸⁷ “Grants.gov Home Page,” Department of Health and Human Services, accessed September 14, 2022, <https://www.grants.gov/web/grants>.

Table 1. DHS Funding Reported on Grants.gov, June 2022.⁸⁸

Agency Name (per grants.gov data)	Grants	Estimated Funding
Department of Homeland Security	7	\$1,054,758,009
Department of Homeland Security – FEMA	878	\$108,597,594,914
Office of Procurement Operations – Grants Division	192	\$784,794,931
Preparedness - OG&T	1	\$27,000,000
Region 1	25	\$782,024,489
Region 2	26	\$706,288,380
Region 3	21	\$700,102,991
Region 4	25	\$678,426,351
Region 5	26	\$704,769,030
Region 6	26	\$708,441,070
Region 7	25	\$673,337,667
Region 8	24	\$671,881,083
Region 9	26	\$708,118,768
Region 10	26	\$706,654,035
Transportation Security Administration	3	\$23,000,000
United States Coast Guard	15	\$65,294,039
Grand Total	1346	\$117,592,485,757

DHS is one of many federal departments and agencies that posts its discretionary funding applications on the Grants.gov website. Seekers of federal funding can use the Grants.gov learning and resource centers to obtain information on the funding process. Additionally, a search function allows entities seeking funding opportunities to focus on the grant by keyword or funding opportunity numbers. Another mechanism for searching is the Catalog of Federal Domestic Assistance (CFDA), a repository for all federal assistance available to various organizations including state, local, tribal, territorial, public, and quasi-public entities, as well as non-profit agencies and individuals.⁸⁹ Each assistance program has a unique five-digit identifying number for tracking the program from funding opportunities through audits. The assistance supports projects, services, and activities

⁸⁸ Source: Department of Health and Human Services, “Search Grants.”

⁸⁹ Department of Health and Human Services, “Grants.gov Home Page”; “CFDA Transition Frequently Asked Questions,” General Services Administration, n.d.

through various funding activities, from grants to loans, to scholarships, to insurance. The complete listing appears at SAM.gov.⁹⁰ The CFDA is one of 10 systems in the Integrated Award Environment (IAE) mandated through a presidential E-government initiative. The IAE aims to create innovative processes and technologies to improve systems and operations for entities that award, administer, and receive federal assistance.⁹¹ The ability of researchers to access records related to federal assistance is another outcome of this initiative.

Postings on Grants.gov refer the potential applicant to additional information and requirements for each funding opportunity.⁹² This listing may include links to notices of funding opportunities (NOFOs) or notices of funds availability (NOFAs) posted on agency websites or in the *Federal Register*. Besides the unique requirements of each grant program outlined in the authorizing statute and implementing regulations, these notices often outline the requirements of compliance with the funding. One such item is the requirement for applicants to have a unique identifier. This process was initially implemented through the assignment of a Data Universal Number System (DUNS) number and registration in the System for Awards Management (SAM).⁹³ Beginning in 2022, the unique entity identifier (UEI) replaced the DUNS number, thereby streamlining the process and using SAM.gov to complete the identification and validation of those doing business with the federal government.⁹⁴ Just as the CFDA creates an easy mechanism to track all grants of the same funding type or source by their unique identifier, the UEI creates an easy mechanism for tracking recipients by theirs.

⁹⁰ System for Award Management, “Assistance Listings.”

⁹¹ “Integrated Award Environment (IAE),” General Services Administration, accessed September 14, 2022, <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae>.

⁹² Department of Health and Human Services, “Grants.gov Home Page.”

⁹³ “Select D-U-N-S Package,” Dun & Bradstreet, accessed September 19, 2022, <https://www.dnb.com/duns-number/get-a-duns.html>; “Home Page,” System for Award Management, accessed September 14, 2022, <https://sam.gov/SAM/pages/public/index.jsf>.

⁹⁴ “Unique Entity Identifier Update,” General Services Administration, accessed June 12, 2022, <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/iae-systems-information-kit/unique-entity-identifier-update>.

2. DHS-Funded Grants

According to data available from the GSA in 2022, the CFDA lists 63 active DHS funding opportunities; historically, 135 CFDA numbers have been assigned to DHS grants.⁹⁵ Since many grant programs predate DHS, unsurprisingly, the department has many systems to manage its grant programs. The process for reviewing applications, selecting recipients, awarding funds, and managing grants is greatly inconsistent. For instance, FEMA, a DHS component, has undertaken its Grants Management Modernization Program since 2015. For recipients of grant funding from that agency, the FEMA Grants Outcomes (FEMA GO) platform aims to provide a project management system from award through closeout.⁹⁶ As with its systems, grant funding opportunities available through DHS continue to evolve through the reauthorization of existing legislation or newly enacted laws. For instance, the Disaster Recovery Reform Act (DRRA) of 2018 has provided new grant opportunities funded by FEMA to increase the DHS portfolio. Under this act, communities experiencing wildfires and earthquakes now have an opportunity to access hazard mitigation grant funding and pre-disaster mitigation funding.⁹⁷ The Building Resilient Infrastructure and Communities (BRIC) program, implemented under Provision 1234 of DRRA, includes funding set aside for state, tribal, and territorial governments, though applicant eligibility depends on having a major disaster declaration within the last seven years at the time of application.⁹⁸ The landscape of the grant environment is continually changing, from the means of obtaining, maintaining, and accessing data to the types of grants made available.

New programs enacted into law join grants awarded across the country and have helped shape the field of homeland security. Research grants from DHS's Science and

⁹⁵ System for Award Management, "Assistance Listings."

⁹⁶ "FEMA Grants Outcomes (FEMA GO)," Federal Emergency Management Agency, February 2022, https://www.fema.gov/sites/default/files/documents/fema_fema-grants-outcomes-frequently-asked-questions.pdf.

⁹⁷ FAA Reauthorization Act of 2018, Pub. L. No. 115–254, 132 Stat. 3186 (2018), <https://www.congress.gov/bill/115th-congress/house-bill/302/text>.

⁹⁸ "About BRIC: Reducing Risk through Hazard Mitigation," Federal Emergency Management Agency, accessed September 15, 2022, <https://www.fema.gov/grants/mitigation/building-resilient-infrastructure-communities/about>; Department of Homeland Security, "Notice of Funding Opportunity (NOFO) Fiscal Year 2021 Building Resilient Infrastructure and Communities" (Washington, DC: Department of Homeland Security, 2021), 9.

Technology (S&T) Directorate fund innovative technologies to secure the nation. Grants for the Transportation Security Administration (TSA) secure the nation’s ports, pipelines, railways, roads, maritime systems, and other critical transportation infrastructure. Along with TSA, FEMA—under the National Preparedness System—shares some of the grant responsibilities for the transportation infrastructure funding awarded by DHS. FEMA’s other non-disaster grants are also components of the National Preparedness System.⁹⁹ The components of this system include “identifying and assessing risk, estimating capability requirements, building and sustaining capabilities, planning to deliver capabilities, validating capabilities, and reviewing and updating.”¹⁰⁰ Additional grant programs funded under this system are the Homeland Security Grant Program (HSGP), the Tribal Homeland Security Grant Program, and the Emergency Management Performance Grant (EMPG).¹⁰¹ Recipients use HSGP funds primarily for intelligence and analytical functions of fusion centers and law enforcement terrorism prevention capabilities.¹⁰² FEMA also awards grants to law enforcement agencies for extraordinary personnel costs incurred at the direction of another DHS component, the Secret Service, through the Presidential Residence Protection Assistance Grant.¹⁰³ These grants are intended to address threats and hazards of homeland security and do so through a variety of means.¹⁰⁴ The nature of these grants and the ties to pre-existing infrastructure for many of them may not be conducive to factoring socioeconomic vulnerability into the distribution of their funding.

In addition to funding preparedness, research, and infrastructure protection, DHS also funds the mapping of national flood-prone areas through grants.¹⁰⁵ Through FEMA,

⁹⁹ Department of Homeland Security, “Find and Apply for Grants.”

¹⁰⁰ Federal Emergency Management Agency, *National Preparedness System* (Washington, DC: Department of Homeland Security, 2011), i.

¹⁰¹ Department of Homeland Security, “Find and Apply for Grants.”

¹⁰² “Homeland Security Grant Program (HSGP),” Department of Homeland Security, May 26, 2022, <https://www.dhs.gov/homeland-security-grant-program-hsgp>.

¹⁰³ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year (FY) 2018 Presidential Residence Protection Assistance Grant” (Washington, DC: Department of Homeland Security, 2018), https://www.fema.gov/sites/default/files/2020-07/FY_2018_PRPA_NOFO.pdf.

¹⁰⁴ “DHS Grants,” Department of Homeland Security, accessed September 15, 2022, <https://www.dhs.gov/dhs-grants>.

¹⁰⁵ Department of Homeland Security, “Find and Apply for Grants.”

DHS funds food, shelter, and emergency services through the Emergency Food and Shelter Program, which was authorized by the McKinney-Vento Homeless Assistance Act of 1987 (Pub. L. No. 100–77, 101 Stat. 482).¹⁰⁶ This grant is administered in partnership with non-profit organizations through a national board chaired by FEMA, with the United Way as secretariat and fiscal agent.¹⁰⁷ First responders through the U.S. Fire Administration, an entity within FEMA, can access Assistance to Firefighters Grants (AFGs), Staffing for Adequate Fire and Emergency Response (SAFER) Grants, and Fire Prevention and Safety Grants. These grants fund health and safety protection for firefighters and the public and provide financial assistance to promote fire prevention programs and to help keep firefighters in the community.¹⁰⁸ AFG and SAFER were reauthorized in 2017 to provide \$750 million annually under each program through FY2023.¹⁰⁹ This funding is not distributed using a geographical formula, but typically, AFG awards have gone to rural volunteer fire departments and SAFER funding to urban areas. Since their inception, these grants alone have brought over \$12 billion to communities.¹¹⁰ Similarly, one of DHS’s newest grants, BRIC awards, does not factor in needs-based geographical formulas but does provide an increased federal cost share to the economically disadvantaged rural communities that are granted funds. The technical evaluation criteria also provide additional scoring for those communities.¹¹¹ This funding has the potential to allow communities with populations of 3,000 or fewer, with an average annual income of 80 percent or less that of the national per capita income, to afford the associated cost share of the grant.¹¹² The nature of these grants may be more conducive to factoring socioeconomic vulnerability into the distribution of their funding since they already serve homeless populations or rural and economically disadvantaged areas.

¹⁰⁶ Stewart B. McKinney Homeless Assistance Act, Pub. L. No. 100–77, 101 Stat. 482 (1987), <https://www.congress.gov/100/statute/STATUTE-101/STATUTE-101-Pg482.pdf>.

¹⁰⁷ “Emergency Food and Shelter Program,” Federal Emergency Management Agency, accessed August 9, 2022, <https://www.fema.gov/grants/emergency-food-and-shelter-program>.

¹⁰⁸ “Fire Service Grants and Funding: Assistance to Firefighters Grants Programs,” U.S. Fire Administration, August 16, 2022, <https://www.usfa.fema.gov/grants/index.html>.

¹⁰⁹ Painter et al., *Selected Homeland Security Issues*.

¹¹⁰ Painter et al.

¹¹¹ Department of Homeland Security, “Building Resilient Infrastructure and Communities,” 27.

¹¹² Department of Homeland Security, 12.

B. GRANT OVERSIGHT

AFG and SAFER are just two examples of DHS grants that award funds without a geographical focus. Following the government shutdown in 2019, Congress passed the Further Additional Continuing Appropriations Act (Pub. L. No. 116–5, 133 Stat. 10), which included a \$56 billion budget for DHS.¹¹³ The total enacted budget for FY2019—including appropriations through enacted legislation, net discretionary budget authority, offsetting collections, funds carried over from previous appropriations, and other resources—was \$63.7 billion.¹¹⁴ As more and more grant funding is allocated to DHS to administer the management of its data, tracking of its outcomes and effectiveness is likely to become increasingly complex. For instance, data publicly available from Grants.gov do not export with a unifying data element such as the CFDA from USAspending.gov or SAM.gov. Moreover, redacting information for some funding recipients in DHS reports through FSRS and USAspending.gov challenges transparency, thereby limiting the ability to analyze the overall impact of DHS grants on communities.

1. Transparency

Authorizing legislation determines administration of each grant, which has its own set of eligible applicants and beneficiaries and process for allocating and awarding funds. Thus, what impact do these variables have on DHS’s ability to provide oversight of the use of funds? To ensure that various grant programs use funds as intended, many mechanisms by different entities exercise oversight. Reform efforts, transparency, and public access to information on federal grant funding over the years have increased. For instance, the OMB, as required by the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. No. 109–282, 120 Stat. 1186) maintains the FFATA Subaward Reporting System (FSRS).¹¹⁵ The FSRS is a reporting mechanism used by grant or contract recipients to track

¹¹³ Further Additional Continuing Appropriations Act, 2019, Pub. L. No. 116–5, 133 Stat. 10 (2019), <https://www.congress.gov/bill/116th-congress/house-joint-resolution/28/text>.

¹¹⁴ William L. Painter, *Comparing DHS Component Funding, FY2019: In Brief*, CRS Report No. R45262 (Washington, DC: Congressional Research Service, 2019), <https://fas.org/sgp/crs/homesecc/R45262.pdf>.

¹¹⁵ Federal Funding Accountability and Transparency Act Subaward Reporting System, “Home Page”; Federal Funding Accountability and Transparency Act of 2006, Pub. L. No. 109–282, 120 Stat. 1186 (2006), <https://www.congress.gov/bill/109th-congress/senate-bill/2590/text>.

any subgrant or subcontract greater than or equal to \$25,000 or \$30,000, respectively.¹¹⁶ Once entered into the FSRS, information becomes searchable for the public through USAspending.gov, which in 2018 alone tracked \$4.11 trillion in federal spending. The website aims to “ensure taxpayers can see how their money is being used in communities across America.”¹¹⁷ Including \$26.8 billion in FEMA spending through the DRF, a total of \$106.9 billion in 2018 was reported on USAspending.gov for DHS.¹¹⁸

In 2014, the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards or “Uniform Requirements” combined many of the OMB circulars that govern federal awards into a single regulation at 2 C.F.R. § 200.¹¹⁹ The audit requirement contributes to the overall oversight of federal funds. Any non-federal entity expending \$750,000 or more in federal funds must have a single or program-specific audit conducted.¹²⁰ Auditors, obtained through procurement or directly from a federal agency, use compliance supplements to 2 C.F.R. § 200 to ensure the completion of specific audit requirements associated with each CFDA.¹²¹ These changes, along with many others, happened in response to a series of EOs and memoranda issued during the Obama administration.¹²²

Public reporting and audits completed by the receiving entities are just some of the elements of grant oversight. The awarding federal agency also has oversight responsibilities. Terms of the grant agreement or other funding documents signed by the awarding and receiving entities typically outline these requirements. Not all programs or agencies use the same methods for oversight. In some cases, auditors review detailed

¹¹⁶ Federal Funding Accountability and Transparency Act Subaward Reporting System, “Home Page.”

¹¹⁷ “FAA Spending,” Federal Aviation Administration, accessed September 19, 2022, <https://sbo.faa.gov/Inline.cfm?PageName=FAA%20Spending>.

¹¹⁸ USA Spending, “Home Page.”

¹¹⁹ Dave Mader, “Transforming the Landscape of Federal Financial Assistance,” *White House* (blog), December 18, 2014, <https://obamawhitehouse.archives.gov/blog/2014/12/18/transforming-landscape-federal-financial-assistance>.

¹²⁰ Grants and Agreements, 2 C.F.R. § 200 (2022), https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl.

¹²¹ Grants and Agreements, 2 C.F.R. app. XI § 200.

¹²² “Uniform Guidance,” Chief Financial Officers Council, accessed September 19, 2022, <https://www.cfo.gov/financial-assistance/resources/uniform-guidance.html>.

financial statements before recipients are permitted to draw grant funds. In other cases, a programmatic review may occur when all the grant funds have been expended and the recipient requests a closeout of the grant. Some agencies and programs use desktop monitoring to review compliance with the funding requirements while others complete on-site monitoring to review supporting documentation and verify the grant-funded projects or activities.

2. Program Audits and Reviews

External to the program staff and agencies that award funds, the Offices of the Inspector General (OIG) have acted as independent and objective parties to provide oversight through audits and investigations since the passage of the Inspector General Act of 1978 (5 U.S.C. §§ 1–13).¹²³ Currently, 74 inspectors general serve in the U.S. government, of which 65 derive their authority from the act and 9 from separate statutes.¹²⁴ The DHS OIG is responsible for oversight of the department and its component agencies with the following mission: “to provide independent oversight and promote excellence, integrity, and accountability within DHS.”¹²⁵ In 2021 alone, the DHS OIG issued 73 reports, received 31,801 hotline complaints, and questioned \$98,269,816 in costs.¹²⁶ In addition to the OIG, the Government Accountability Office (GAO) serves as the supreme audit institution for the U.S. government. It establishes governmental auditing and internal control standards, as well as manuals and best practices.¹²⁷ Through July 31, 2022, the GAO prepared a cumulative total of 2,925 reports and testimonies on DHS.¹²⁸ At the

¹²³ Inspector General Act of 1978, 5 U.S.C. §§ 1–13 (1978 & Supp. 5 2006), <https://www.govinfo.gov/app/details/USCODE-2011-title5/USCODE-2011-title5-app-inspector/>.

¹²⁴ Kathryn A. Francis, *Statutory Inspectors General in the Federal Government: A Primer*, CRS Report No. R45450 (Washington, DC: Congressional Research Service, 2019), <https://crsreports.congress.gov/product/pdf/R/R45450/4>.

¹²⁵ “About Us,” Department of Homeland Security, Office of Inspector General, accessed September 15, 2022, <https://www.oig.dhs.gov/about>.

¹²⁶ Department of Homeland Security, Office of Inspector General.

¹²⁷ “Role as an Audit Institution,” Government Accountability Office, accessed July 31, 2022, <https://www.gao.gov/about/what-gao-does/audit-role>.

¹²⁸ “Reports & Testimonies,” Government Accountability Office, accessed July 31, 2022, <https://www.gao.gov/reports-testimonies>.

request of Congress, the GAO also conducts audits and issues reports on a variety of items of federal interest, including funding oversight.¹²⁹

Another source of oversight for federal funding is congressional committees. For instance, the 2015 *Review of the Department of Homeland Security's Missions and Performance* by the ranking member of the Committee on Homeland Security and Governmental Affairs provided an assessment of DHS's ability to carry out its mission.¹³⁰ The report challenged the effectiveness of oversight of the more than \$38 billion in homeland security grants awarded through FEMA at that time; it questioned whether DHS could track the funds and whether it had helped secure the nation or merely subsidized routine expenses for state and local governments. It also contested the accountability for and the effectiveness of grant funding provided under the fusion centers, the Urban Areas Security Initiative Program, and the Port Security Grant Program.¹³¹ The methods employed by DHS to administer its grants consistently draw the attention of oversight agencies, resulting in not only questioned costs but also questions regarding its ability to carry out mission requirements through grants.

According to former DHS Secretary Jeh Johnson, "The creation of DHS in 2003 was the largest realignment in government since 1947 when the Department of Defense was created."¹³² In his memo entitled "Strengthening Departmental Unity of Effort," Johnson calls for enhancing coordinated operations and strategic decision-making across DHS leadership to increase effectiveness.¹³³ Johnson attempted to address the issues associated with stove-piping or working in silos, the resulting redundancy, and the associated need for greater efficiency to accomplish DHS missions.¹³⁴ Concerns about

¹²⁹ "For Congress," Government Accountability Office, accessed July 31, 2022, <https://www.gao.gov/about/what-gao-does/for-congress>.

¹³⁰ Tom A. Coburn, *A Review of the Department of Homeland Security's Missions and Performance* (Washington, DC: U.S. Senate, 2015), <https://www.hsdl.org/?abstract&did=761088>.

¹³¹ Coburn.

¹³² Steve Watkins, "DHS Head: Cybersecurity, Unity of Effort Top Priorities," *Federal Times*, January 9, 2015, <https://www.federaltimes.com/enterprise-view/2015/01/09/dhs-head-cybersecurity-unity-of-effort-top-priorities/>.

¹³³ Jeh Charles Johnson, "Strengthening Departmental Unity of Effort" (official memorandum, Washington, DC: Department of Homeland Security, 2014), <https://www.hsdl.org/?abstract&did=805139>.

¹³⁴ Watkins, "DHS Head."

duplicating efforts have emerged during many oversight audits; one review by Senator Coburn found that the S&T Directorate’s “research and development projects may be unnecessary or duplicative of other government or private sector research.”¹³⁵ Specifically, DHS components had expended at least \$255 million in research and development, did not report it to the OMB, and failed to coordinate with S&T. The concern was that a lack of coordination within DHS could have led to duplication of the seven different “components’ work and other public and private sector research.”¹³⁶

Research and development (R&D) and the complexity thereof within DHS funding systems demonstrate the need for interagency coordination. In 2017 alone, budgets for seven different DHS components funded R&D.¹³⁷ Dating back to 2012, the GAO identified coordination as an area of oversight concern because of so many funding streams. Additionally, multiple funding appropriations have directed DHS to develop and implement policies for oversight, coordination, and tracking of R&D. Another area of coordination pertains to the security of pipelines. The TSA within DHS administers a federal program for pipeline security; to date, no established regulatory framework guides it, and programs depend on industry compliance with voluntary guidelines. The Department of Transportation, the Department of Energy, the Federal Energy Regulatory Commission, and the DHS Cybersecurity and Infrastructure Security Agency (CISA)—formerly the National Protection and Programs Directorate (NPPD)—are just a few of the other agencies with a vested interest and funding in this area.¹³⁸ These redundancies, occurring without DHS coordination, are indicative of stovepipes in the system and opportunities for continued alignment and increased effectiveness in achieving the DHS mission.

A 2012 audit of FEMA’s State Homeland Security Program (SHSP), Urban Areas Security Initiative (UASI), Port Security Grant Program, and Transit Security Grant Program also identified the potential for overlap. The GAO’s *2019 Annual Report*:

¹³⁵ Coburn, *Missions and Performance*, 135.

¹³⁶ Coburn, 136.

¹³⁷ Painter et al., *Selected Homeland Security Issues*.

¹³⁸ Painter et al.

Additional Opportunities to Reduce Fragmentation, Overlap, and Duplication and Achieve Billions in Financial Benefits recommends action from Congress to require that DHS report on FEMA’s progress to remove duplications in its preparedness grant programs. The GAO further recommends that subsequent congressional actions include limiting the scope of funding projects to documented capability gaps.¹³⁹ This recommendation stems from unaddressed actions from the GAO’s 2012 audit of homeland security grants.¹⁴⁰ This issue is not solely internal to DHS, as the administration’s new competitive grant program for mitigation, administered by HUD, may duplicate efforts across departments, and FEMA funds numerous pre- and post-disaster mitigation grants.¹⁴¹ Duplications both within DHS and with other federal agencies present challenges in assessing the impact of these funds.

C. CONCLUSION

For 20 years, DHS has allocated funds to address the security of the homeland through a diverse portfolio of grants serving different needs and threats. DHS’s methodology in implementing its grant program has been affected by increased awareness, transparency, and oversight of grants across the federal government. The sum of funding DHS expends subjects its grant management to frequent scrutiny. A lack of coordination across component agencies results in duplication of effort, questioned costs, and ambiguity surrounding the impact of these expenditures on homeland security. This thesis looks at the potential for the use of socioeconomic indicators as an alternate method to measure the impact of these grants.

¹³⁹ Jessica Lucas-Judy and J. Christopher Mihm, *2019 Annual Report: Additional Opportunities to Reduce Fragmentation, Overlap, and Duplication and Achieve Billions in Financial Benefits*, GAO-19-285SP (Washington, DC: Government Accountability Office, 2019), <https://www.gao.gov/products/GAO-19-285SP>.

¹⁴⁰ Andrew Von Ah and Christopher P. Currie, “Action Tracker: Homeland Security/Law Enforcement: Homeland Security Grants (2012–17),” Government Accountability Office, accessed September 15, 2022, https://www.gao.gov/duplication/action_tracker/Homeland_Security_Grants_%282012-17%29/action1.

¹⁴¹ Coburn, *Missions and Performance*.

THIS PAGE INTENTIONALLY LEFT BLANK

III. PLACE-BASED FUNDING INITIATIVES AND DEMOGRAPHICS BASED ASSESSMENT TOOLS

Done effectively, place-based strategies account for how a neighborhood—both the built environment and the social and economic fabrics—affects the people who live there.

—Cheye-Ann Corona¹⁴²

For decades, the federal government has implemented place-based initiatives to address revitalization needs in communities across the country. These initiatives encompass “those that provide funding, flexibility, technical assistance or other support to help selected communities (or regions) align their efforts across multiple governmental programs, organizations and departments to serve communities in a more effective and efficient manner.”¹⁴³ During the Clinton administration, tax incentives and federal investments rewarded empowerment zones and enterprise communities (EZ/EC) for providing economic opportunities in designated areas.¹⁴⁴ The Omnibus Budget Reconciliation Act of 1993 first authorized these zones and led to the competitive selection of areas of high poverty, unemployment, and blight conditions to address economic revitalization and job creation through strategic plans developed with input from all community stakeholders.¹⁴⁵ Former HUD secretary Henry Cisneros commented that portions of this program focused solely on community living conditions without addressing other drivers such as job training and transportation.¹⁴⁶ Cheye-Ann Corona, a scholar writing for the *Harvard Journal of Hispanic Policy*, advises that “while this [was] a laudable attempt at revitalization, the federal government must reinvest in our communities by acknowledging demographic shifts, cultural relevancy, the need for affordable housing,

¹⁴² Corona, “Examining Promise Zones,” 53.

¹⁴³ “Place-Based Initiatives Pilot,” Office of Elementary and Secondary Education, accessed June 26, 2022, <https://oese.ed.gov/place-based-initiatives/>.

¹⁴⁴ Corona, “Examining Promise Zones,” 53.

¹⁴⁵ “Empowerment Zones,” Department of Housing and Urban Development, accessed September 15, 2022, https://www.hud.gov/hudprograms/empowerment_zones.

¹⁴⁶ Corona, “Examining Promise Zones,” 53.

and asset-based development.”¹⁴⁷ The federal place-based funding initiatives that followed EZ/ECs took a more whole-of-community approach to improving economic conditions of a community. In 2011, the OMB asked that federal agencies include information in their budget proposals on how they were modernizing the government’s place-based policies, programs, or initiatives; however, DHS’s budget justification for 2011 referenced no place-based polices.¹⁴⁸ The EZ/EC is an early example of the use of federal appropriation laws and policies to impact target funding to improve communities’ economies.

Although the EZ/EC program focused on economic revitalization, as described in Chapter I, a community’s socioeconomic status and demographics can also affect its security. This chapter explores some of the place-based funding initiatives implemented by the U.S. government in the early 21st century, the socioeconomic indicators used in the funding process, and the methods used to measure the results of these programs. It also examines the human security and disaster risk-reduction frameworks and socioeconomic indicators of the UN to explore how frameworks used outside the United States measure security. Additionally, it examines the socioeconomic indicators used to calculate the Social Vulnerability Index. In this thesis, a comparison of common indicators that appear across these frameworks forms the basis of the analysis of the socioeconomic impact of non-disaster DHS grants.

A. NEIGHBORHOOD REVITALIZATION INITIATIVE

Following the efforts undertaken during the 1990s and building on those earlier place-based programs, the Obama administration announced the Neighborhood Revitalization Initiative (NRI) to the nation’s mayors in 2008. Through this initiative, the White House brought together federal agencies engaged in housing, education, health, economic support, and law enforcement. It aimed to provide opportunities to high-poverty

¹⁴⁷ Corona, 45.

¹⁴⁸ Peter R. Orszag et al., “Developing Effective Place-Based Policies for the FY 2011 Budget” (official memorandum, Washington, DC: White House, 2009); Department of Homeland Security, *Departmental Management and Operations: Fiscal Year 2011 Congressional Budget* (Washington, DC: Department of Homeland Security, 2011), https://www.dhs.gov/sites/default/files/publications/dhs_congressional_budget_justification_fy2011.pdf.

neighborhoods experiencing distress, manifesting in the interrelated problems of “struggling schools, little access to capital, high unemployment, poor housing, persistent crime, and other challenges . . . so residents [could] reach their full potential.”¹⁴⁹ Designing programs to be “interdisciplinary, place-based, local-led, data and results driven, and flexible” was the foundation of the NRI.¹⁵⁰ The four key opportunities provided by this initiative included the integration of place-based programs, technical assistance grants, neighborhood revitalization grants, and shared best practices.¹⁵¹ The first five programs in this collaborative strategic initiative were HUD’s Choice Neighborhoods, the Department of Education’s Promise Neighborhoods, the Department of Justice’s Byrne Criminal Justice Innovation, and HHS’s Community Health Center and Behavioral Health Services.¹⁵² Though all the programs emphasize place-based outcomes—as one example of using socioeconomic indicators to allocate grants funds—this section explores HUD’s Choice Neighborhoods grant program.

To be eligible to apply, the neighborhood has to include a population with a poverty rate or extremely low income of at least 20 percent with the co-occurrence of Part I violent crime rates of at least 1.5 times that of its city/county/parish, or long-term vacancy rates or substandard housing of at least 1.5 times that of its city/county/parish, or a low-performing public school in the neighborhood or 20 percent of students attending a low-performing public school outside the neighborhood.¹⁵³ Using these indicators to establish a threshold, an eligible neighborhood’s socioeconomic demographics are represented by a family of four with a household income of less than \$25,625 or 30 percent of the area’s median

¹⁴⁹ Office of Urban Affairs, “Neighborhood Revitalization Initiative,” Obama White House Archives, accessed September 15, 2022, <https://obamawhitehouse.archives.gov/administration/eop/oua/initiatives/neighborhood-revitalization>.

¹⁵⁰ Corona, “Examining Promise Zones,” 54.

¹⁵¹ Office of Urban Affairs, “Neighborhood Revitalization Initiative.”

¹⁵² “The White House Neighborhood Revitalization Initiative,” White House, accessed June 20, 2022, <https://www.hud.gov/sites/documents/NEIGHBOR-REV.PDF>.

¹⁵³ Department of Housing and Urban Development, “HUD’s Fiscal Year (FY) 2010 NOFA for the Choice Neighborhoods Initiative: Round 1 NOFA,” Docket No. FR-5415-N-25 (Washington, DC: Department of Housing and Urban Development, 2010), 15, https://www.hud.gov/sites/documents/DOC_9823.PDF.

income.¹⁵⁴ This family lives in a neighborhood that is 1.5 times more likely to experience “aggravated assault, rape, murder, and robbery” than the surrounding area.¹⁵⁵ Further, the neighborhood has 1.5 times more vacant housing units or units without plumbing, electricity, or heating, and children attend a school ranked in the bottom 10 percent of the state.¹⁵⁶ These well-defined socioeconomic indicators provide a means for allocating federal funding to communities based on a measurable need.

With clearly defined eligibility criteria and socioeconomic conditions to measure, HUD’s Office of Policy Development and Research (PD&R) has undertaken a study to evaluate the Choice Neighborhoods program. Researchers use different methods to provide qualitative and quantitative data on the neighborhoods, including initial and follow-up surveys of neighborhood residents; existing demographics about housing markets, jobs, education, crime, and other socioeconomic factors; and perspectives from various stakeholders.¹⁵⁷ The socioeconomic impact of these grants is measured over a long period, with this initial research completed in 2015 for the first grants funded under the program; post-implementation assessments will occur once construction is complete and all funds are expended.¹⁵⁸ HUD’s Office of PD&R in 2015 conducted the first evaluation of the program—documenting the conditions of the housing, people, and neighborhoods and establishing baselines for housing conditions, occupancy, languages spoken, employment,

¹⁵⁴ “Poverty Thresholds,” U.S. Census Bureau, accessed September 15, 2022, <https://www.census.gov/data/tables/time-series/demo/income-poverty/historical-poverty-thresholds.html>; “Income Limits: 2020 FAQs,” Department of Housing and Urban Development, Office of Policy Development and Research, accessed September 15, 2022, https://www.huduser.gov/portal/datasets/il.html#2020_faq.

¹⁵⁵ Department of Housing and Urban Development, “NOFA for the Choice Neighborhoods Initiative: Round 1 NOFA,” 12.

¹⁵⁶ “Why Teachers Teach at Low-Performing Schools: Representation Matters,” *American University School of Education* (blog), April 10, 2020, <https://soeonline.american.edu/blog/why-representation-matters-in-low-performing-schools>; Department of Housing and Urban Development, “HUD’s Fiscal Year (FY) 2010 NOFA for the Choice Neighborhoods Initiative,” 56.

¹⁵⁷ “Choice Neighborhoods Evaluation: Overview,” Department of Housing and Urban Development, Office of Policy Development and Research, accessed September 15, 2022, https://www.huduser.gov/portal/choice_neighborhood_eval.html.

¹⁵⁸ “Choice Neighborhoods Evaluation: Phase 2—Follow-up Study,” Department of Housing and Urban Development, Office of Policy Development and Research, accessed September 15, 2022, https://www.huduser.gov/portal/choice_neighborhood_eval.html#phase2-tab.

incomes, and crime.¹⁵⁹ The data collection and analysis of this place-based funding initiative also identified additional areas for future research. The recommendations include collecting data on energy use before and after the investment and potential spillover benefits to areas surrounding Choice Neighborhood recipients, as well as examining which employment and education case management social services produced the best outcomes and how federal funds were leveraged and to what extent they spurred external investment.¹⁶⁰ Though the outcome and impact of this program funded under the NRI has yet to be determined, HUD clearly defined the structure and metrics to evaluate the socioeconomic impact of its implementation. Such a data-driven federal program could serve as a model for other federal agencies.

B. PROMISE ZONES INITIATIVE

Following the implementation of programs under the NRI, President Obama announced the Promise Zones Initiative during his 2013 State of the Union address as a means of improving opportunities within communities. The premise of the initiative built on a collaborative approach to addressing community revitalization through partnerships across all levels of government, the business community, citizens, and local organizations. Areas designated as promise zones by the White House have data-driven plans with specified outcomes for job creation, the economy, education, housing, and public safety implemented with intensive federal support and priority in funding. Additionally, this designation provides communities with the administration's and third-party expert's support to measure outcomes and maintain accountability for goals and implementation of the strategic plan and helps in accessing resources, including a full-time AmeriCorps VISTA team.¹⁶¹ Although the designation does not directly provide funding, through technical assistance, federal staff support, and preference points on competitive grants,

¹⁵⁹ Rolf Pendall et al., *Choice Neighborhoods: Baseline Conditions and Early Progress* (Washington, DC: Department of Housing and Urban Development, Office of Policy Development and Research, 2015), xvi, <https://www.huduser.gov/portal/sites/default/files/pdf/Baseline-Conditions-Early-Progress.pdf>.

¹⁶⁰ Pendall et al., 100.

¹⁶¹ White House, Office of the Press Secretary, "Promise Zones Initiative."

these communities have greater access to federal grant programs.¹⁶² This initiative provides another example of how the federal government has incorporated place-based factors into program delivery.

The White House invited 33 communities, previously selected to participate in other federal revitalization programs and eligible to apply in the first round of designations.¹⁶³ For subsequent rounds, administrators used the *Federal Register* to solicit applications from areas that met the established demographic criteria.¹⁶⁴ HUD selected urban designees, and the U.S. Department of Agriculture (USDA) chose tribal and rural designees.¹⁶⁵ The evaluation criteria used in each round to determine qualification, need, and the socioeconomic demographics appear in Table 2; additional qualitative criteria were also applied.¹⁶⁶

¹⁶² “Promise Zones Application Material and FAQ Archive,” Department of Housing and Urban Development, September 2015, <https://www.hudexchange.info/resource/3869/promise-zones-archived-application-materials/>.

¹⁶³ “List of Communities Eligible for 2013 Promise Zones Designation,” Department of Housing and Urban Development, accessed September 15, 2022, <https://files.hudexchange.info/resources/documents/Promise-Zones-2013-List-of-Eligible-Communities.pdf>.

¹⁶⁴ Promise Zones Initiative: Second Round Application Process, 79 Fed. Reg. 184 (September 23, 2014), <https://www.govinfo.gov/content/pkg/FR-2014-09-23/pdf/2014-22569.pdf>.

¹⁶⁵ Department of Housing and Urban Development, “Promise Zones Application Material.”

¹⁶⁶ Department of Housing and Urban Development.

Table 2. Criteria Used for Application and Evaluation for Promise Zone Designation by Round.¹⁶⁷

Designation	Round One	Round Two	Round 3
Qualifying Criteria (Urban (U), Rural (R), Tribal (T))			
Area	One or more census tract(s) (U) One or more census tract(s) including one or more non-metro counties(R) One or more census tract(s), reservation, or consortia (T)	One or more census tract(s) (U)(R), One or more census tract(s), reservation, or consortia (T)	One contiguous boundary and cannot include separate geographic areas (U) One or more contiguous census tract(s) (R) One or more contiguous census tract(s), reservation, or consortia (T)
Poverty*	Above 20% overall (all) At least one census tract above 30% (U)(R)	Above 33% (U) Above 20% overall (R)(T) At least one census tract above 30% (R)	At or above 32.5% (U) Above 20% overall (R)(T) At least one census tract above 30% (R)(T)
Population	10,000 to 200,000 (U) 6,000 to 200,000 (R) No more than 200,000 (T)	10,000 to 200,000 (U) 6,000 to 200,000 (R) No more than 200,000 (T)	10,000 to 200,000 (U)(R) No more than 200,000 (T)
Support	Local leadership commitment (all) Tribal leadership commitment (T)	Local leadership commitment (all) Tribal leadership commitment (T)	Affirmatively demonstrate support from all mayors or chief executives of UGLGs (U) Local leadership commitment (R)(T)
Boundaries	(U) encompasses existing grant boundaries/ partners with grantee. (R)(T) significantly overlaps existing grant programs/partners with grantee.	(R)(T) significantly overlaps existing grant programs/partners with grantee.	N/A
Jurisdiction	(R)(T) applications across jurisdictional lines must clearly identify a lead applicant.	(R)(T) applications across jurisdictional lines must clearly identify a lead applicant.	(R)(T) applications across jurisdictional lines must clearly identify a lead applicant.
Selection Criteria: Need			
Poverty rate or extremely low income	Higher concentration of households residing within the proposed Promise Zone (all)		Higher concentration of households residing within the proposed Promise Zone (all)
Crime	Higher rate of Part I serious and violent crimes (all)	Higher rate of Part I serious and violent crimes (U)(R)	Description of the nature and scope of crime in the proposed Promise Zone (U)
Employment	Lower employment rate (all)	Lower employment rate (all)	Lower employment rate (all)
Housing	Higher long-term vacancy rate (U)	Higher long-term vacancy rate (U)	N/A

¹⁶⁷ Adapted from Department of Housing and Urban Development, “Promise Zones Application Material,” 3.

After three rounds of national competition, a total of 22 urban, rural, and tribal areas were designated under the initiative between 2014 and 2016. The designations, originally made in 2014 and 2016, were intended to last for 10 years but were subsequently all extended to 2026.¹⁶⁸ One of the earliest criticisms of the initiative came from Congresswoman Maxine Waters, who, in a letter to HUD Secretary Shaun Donovan, expressed being “deeply concerned that the Administration’s current [place-based], neighborhood revitalization initiatives are not reaching many of the highest need, hardest hit communities across our country.”¹⁶⁹ She further advised that the application process favored communities with existing capacity and did not reach communities with the greatest need.¹⁷⁰ Communities designated as promise zones have not necessarily received additional direct funding for their inclusion in the initiative. However, they have received prioritization or additional scoring points in competitively funded grant programs. In 2016, HUD’s Office of Evaluation found that there were 12 agencies encompassing 58 grant programs offering advantages to designated communities.¹⁷¹ Although the impacts of these designations have yet to be seen, this initiative will provide a long-term analysis of the impact of concentrating federal funding based on socioeconomic need.

HUD and the USDA are gathering data on the effectiveness of the program; HUD has primary oversight responsibility for the 14 urban designees, and USDA has primary responsibility for oversight of the 8 rural and tribal designees.¹⁷² Within HUD’s OIG, the Office of Evaluation has issued management recommendations since assessing HUD’s

¹⁶⁸ “Promise Zones Overview,” Department of Housing and Urban Development, accessed June 20, 2022, <https://www.hudexchange.info/programs/promise-zones/promise-zones-overview>; Sarah Zapolsky et al., *Promise Zones: Initial Implementation Assessment Report* (Washington, DC: Department of Housing and Urban Development, Office of Policy Development and Research, 2019), 2, <https://www.huduser.gov/portal/publications/PZ-Initial-Implementation.html>.

¹⁶⁹ Maxine Waters to Shaun Donovan, June 24, 2014, https://financialservices.house.gov/uploaded_files/rm_waters_recommendations_for_promise_zones_second_round_application_criteria.pdf.

¹⁷⁰ Waters.

¹⁷¹ Department of Housing and Urban Development, Office of the Inspector General, *Assessing HUD Plans for Evaluating Urban Promise Zones and HUD Grant Programs Participating in Promise Zones*, OIG Report No. 2016-OE-0010 (Washington, DC: Department of Housing and Urban Development, 2017), <https://www.hudoig.gov/sites/default/files/documents/2016-OE-0010.pdf>.

¹⁷² Department of Housing and Urban Development, Office of the Inspector General.

plan to evaluate the designated zones.¹⁷³ HUD developed a Promise Zones Communications, Reporting & Data Sharing Framework that requires monthly, quarterly, and annual reports, as well as success stories, to facilitate communication between organizations involved in the implementation of each urban designee.¹⁷⁴ This communication supplements the OMB-issued guidance on reporting requirements, an online data collection tool, and memorandum detailing how federal agencies should prioritize their investments in promise zones.¹⁷⁵ In September 2018, five years into the initiative, HUD issued a desk guide, providing a resource and associated trainings for participating urban promise zones to support the development of data and evaluation frameworks to document progress.¹⁷⁶ According to the desk guide, it “walk[s] users through the process of developing and using a [Promise Zone] Data and Evaluation Framework.”¹⁷⁷ An initial implementation assessment report, published by HUD’s Office of PD&R in 2019, focused on the experiences of those implementing the initiative rather than the overall effectiveness or impact on communities.¹⁷⁸ Data on the long-term impact has not been reported to date, but the initial assessment provided recommendations for future place-based initiatives. These included ensuring long-term, sustainable support from federal agencies through a memorandum of understanding or interagency agreement, local and federal senior leader buy-in, dedicated program support staff, information sharing, a

¹⁷³ Department of Housing and Urban Development, Office of the Inspector General.

¹⁷⁴ Department of Housing and Urban Development, “Overview of Urban Promise Zones Communications, Reporting & Data Sharing Framework,” Predecisional Draft (Washington, DC: Department of Housing and Urban Development, 2015), <https://www.hud.gov/sites/documents/PZ-FRAMEWORK.PDF>.

¹⁷⁵ Shaun Donovan, “Prioritizing Federal Investments in Promise Zones” (official memorandum, Washington, DC: Office of Management and Budget, 2016), https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/memoranda/2016/m_16_23.pdf.

¹⁷⁶ “Urban Promise Zones Data and Evaluation Framework,” Department of Housing and Urban Development, accessed September 15, 2022, <https://www.hudexchange.info/programs/promise-zones/data-and-evaluation-framework/>.

¹⁷⁷ Office of Field Policy and Management and Department of Housing and Urban Development, *Promise Zone Data and Evaluation Framework Desk Guide* (Washington, DC: Department of Housing and Urban Development, 2018), 140, <https://files.hudexchange.info/resources/documents/Promise-Zone-Data-and-Evaluation-Framework.pdf>.

¹⁷⁸ Zapolsky et al., *Promise Zones*, 2.

clear organizational structure, and more technical assistance.¹⁷⁹ The lessons learned from this initiative could be used as the basis for subsequent programs and allocation methods.

C. SOCIAL VULNERABILITY INDEX

Another federal agency using socioeconomic indicators to inform program implementation is the Centers for Disease Control and Prevention (CDC)'s Agency for Toxic Substances and Disease Registry, which relies on its Geospatial Research, Analysis and Services Program database to identify communities vulnerable to natural disasters or human-made threats. Like the HUD programs, the CDC's program has established a set of indicators to assess a community. However, unlike the HUD programs, the CDC provides a tool to inform the implementation of other programs rather than a unique funding program. This tool is the Social Vulnerability Index (SVI), with 15 socioeconomic and demographic data points from the U.S. Census that help produce geospatial maps of overall social vulnerability.¹⁸⁰ The SVI can be applied to every census tract across America to identify "communities that will most likely need support before, during, and after a hazardous event."¹⁸¹ The SVI database generates maps displaying outputs in four overarching themes: socioeconomic status, household composition, race/ethnicity/language, and housing/transportation.¹⁸² See Figure 2 for the SVI's factors and themes.

¹⁷⁹ Zapolsky et al., 20–22.

¹⁸⁰ "CDC/ATSDR Social Vulnerability Index," Agency for Toxic Substances and Disease Registry, October 2020, https://www.atsdr.cdc.gov/placeandhealth/svi/fact_sheet/pdf/SVI_FactSheet_v10152020-H.pdf.

¹⁸¹ Agency for Toxic Substances and Disease Registry.

¹⁸² "CDC Social Vulnerability Index," Centers for Disease Control and Prevention and Agency for Toxic Substances and Disease Registry, 2020, https://www.atsdr.cdc.gov/placeandhealth/svi/fact_sheet/pdf/SVI_FactSheet_v10152020-H.pdf.

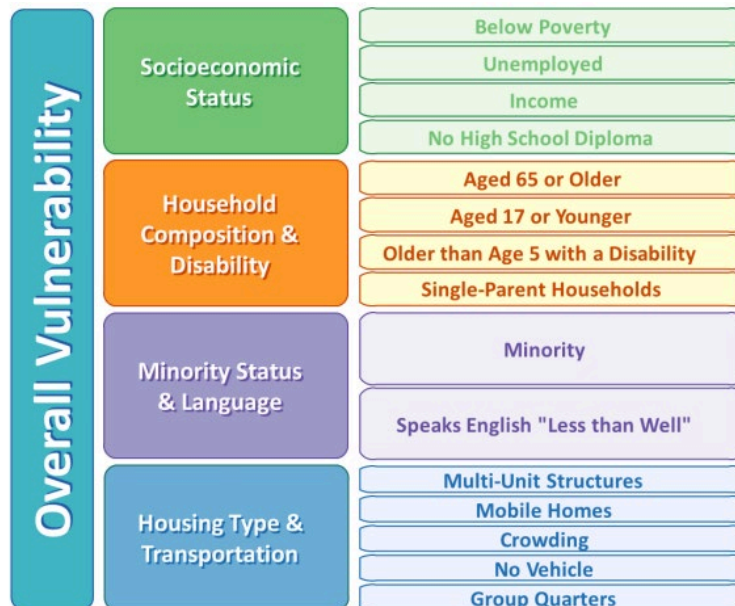


Figure 2. CDC Social Vulnerability Index Factors¹⁸³

Relating to the tool’s ability to address areas of concern for the homeland security enterprise, the CDC lists the following uses:

- Allocate emergency preparedness funding by community need.
- Estimate the type and amount of needed supplies such as food, water, medicine, and bedding.
- Decide how many emergency personnel are required to assist people.
- Identify areas in need of emergency shelters.
- Create a plan to evacuate people, accounting for those who have special needs, such as those without vehicles, the elderly, or people who do not speak English well.
- Identify communities that will need continued support to recover following an emergency or natural disaster.¹⁸⁴

In a guidance document for emergency managers, the CDC recommends using the SVI to identify, plan for, and engage with at-risk groups to reduce vulnerabilities and improve

¹⁸³ Source: Centers for Disease Control and Prevention, *CDC SVI 2018 Documentation*, 3.

¹⁸⁴ Centers for Disease Control and Prevention, *CDC SVI 2018 Documentation* (Atlanta: Centers for Disease Control and Prevention, 2018), 1, https://svi.cdc.gov/Documents/Data/2018_SVI_Data/SVI2018Documentation.pdf.

outcomes.¹⁸⁵ This nexus to emergency management aligns with FEMA’s mission and offers a potential application of the SVI in FEMA’s non-disaster grants. During its response to the COVID-19 pandemic, FEMA’s disaster assistance programs used the SVI to inform the allocation of resources and personnel.¹⁸⁶ In this instance, coordination between the CDC, the Health Resources and Services Administration, and FEMA relied on the SVI for criteria in selecting vaccine sites to distribute initial and limited supplies of vaccines.¹⁸⁷

The CDC makes the SVI data publicly available for entities interested in implementing this tool in their planning efforts.¹⁸⁸ This method provides a geospatial database for targeting efforts to address community vulnerabilities. Through continued partnership and promotion of the SVI, the CDC in its federal emergency response and recovery efforts can assist fellow agencies with implementing existing and new place-based initiatives.

D. UNITED NATIONS FRAMEWORKS

Expanding on the indicators the United States has used in its place-based initiatives to evaluate vulnerability, this section explores the socioeconomic and demographic data used in the UN’s international frameworks. The intent of assessing these frameworks is to identify indicators used internationally to promote security and economic stability.

1. Human Security Approach

Evaluating and understanding the socioeconomic and demographic indicators of insecurity allows stakeholders to address those threats. As previously described, human security emphasizes the “welfare of ordinary people.”¹⁸⁹ The UN’s *Human Development*

¹⁸⁵ Centers for Disease Control and Prevention, *Planning for an Emergency: Strategies for Identifying and Engaging At-Risk Groups* (Atlanta: Centers for Disease Control and Prevention, 2015), 1.

¹⁸⁶ Federal Emergency Management Agency, *COVID-19 Pandemic Operational Guidance: All-Hazards Incident Response and Recovery* (Washington, DC: Federal Emergency Management Agency, 2021), 31.

¹⁸⁷ Alyssa M. Hundrup, *COVID-19: Federal Efforts to Provide Vaccines to Racial and Ethnic Groups*, GAO-22-105079 (Washington, DC: Government Accountability Office, 2022), 13, <https://www.gao.gov/assets/gao-22-105079.pdf>.

¹⁸⁸ Centers for Disease Control and Prevention, *Planning for an Emergency*, 14.

¹⁸⁹ Paris, “Human Security,” 87.

Report of 1994 provides a list of socioeconomic indicators and examines the possibility of monitoring decline through those indicators as an early warning system of risks to human security that trigger preventive actions.¹⁹⁰ The threats to human security include economic, food, health, environmental, personal, community, and political security factors. Threats to economic security include a lack of basic income and unemployment while socioeconomic factors affecting employment security include age, gender, ethnicity, disability, temporary or part-time employment, self-employment, inflation, poverty rates, and homelessness.¹⁹¹ Food security refers to access to food distribution systems and income and employment that provide the financial ability to pay for food.¹⁹² The poor who live in rural communities and children in those environments experience greater health security threats than others. Health security can be defined by the per capita number of doctors, health care expenditures, insurance rates, and maternal mortality.¹⁹³ Access to clean water and sanitation, air pollution, development in disaster prone areas, and natural disasters threaten environmental security. Poverty and land shortages exacerbate these threats.¹⁹⁴ This approach directly ties socioeconomic indicators to security.

In addition to the indicators that affect a person's ability care and feed oneself and one's family, societal and personal threats further influence human security. The indicators continue with personal security—threats of violence from physical torture, war, ethnic tension, crime or street violence, rape or domestic violence, child abuse, suicide, and drug use.¹⁹⁵ Ethnic tension rooted in competition for limited opportunities for employment or access to social services affects community security. Indigenous communities are more vulnerable to human security threats, experiencing more violence, higher suicide rates, and other disparities. Membership in community, family, racial or ethnic groups, and other

¹⁹⁰ United Nations Development Program, *Human Development Report*, 38.

¹⁹¹ United Nations Development Program, 25–26.

¹⁹² United Nations Development Program, 27.

¹⁹³ United Nations Development Program, 28.

¹⁹⁴ United Nations Development Program, 29.

¹⁹⁵ United Nations Development Program, 30.

community groups also contribute to human security.¹⁹⁶ Societies that provide for basic human rights represent political security. The number of human rights violations reported by Amnesty International, the UN Educational, Scientific and Cultural Organization’s index of press freedom, and the ratio of military to social spending are indicators of political security.¹⁹⁷ The UN describes six additional emerging threats in the areas of population growth, terrorism, migration, economic disparities, drug production and trafficking, and environmental degradation.¹⁹⁸ The UN’s *Human Security Handbook* easily conveys the various types of insecurity and their root causes, as shown in Table 3.

Table 3. UN’s Human Security Root Causes of Insecurity.¹⁹⁹

TYPE OF INSECURITY	ROOT CAUSES
Economic insecurity	Persistent poverty, unemployment, lack of access to credit and other economic opportunities
Food insecurity	Hunger, famine, sudden rise in food prices
Health insecurity	Epidemics, malnutrition, poor sanitation, lack of access to basic health care
Environmental insecurity	Environmental degradation, resource depletion, natural disasters
Personal insecurity	Physical violence in all its forms, human trafficking, child labour
Community insecurity	Inter-ethnic, religious and other identity-based tensions, crime, terrorism
Political insecurity	Political repression, human rights violations, lack of rule of law and justice

The human security approach developed into a system that brings together community stakeholders across the government and private sector to work with civil society and local communities to address complex challenges. This approach aims to employ prevention to address vulnerability by focusing on root causes, taking early action,

¹⁹⁶ United Nations Development Program, 31–32.

¹⁹⁷ United Nations Development Program, 32–33.

¹⁹⁸ United Nations Development Program, 34.

¹⁹⁹ Source: United Nations Trust Fund for Human Security, *Human Security Handbook*, 7.

and identifying emerging risks. When the local level takes action, it creates opportunities for resilience.²⁰⁰ The UN continues to implement the approach described in 1994, describing it as “a proven analytical and planning framework.”²⁰¹ The UN Trust Fund for Human Security provides financial support to this approach and has assisted 90 countries with implementing more than 220 different programs “to reduce the likelihood of conflict; overcome the obstacles to social, economic and sustainable development; and promote the realization of human rights for all.”²⁰² Additionally, the UN has teams that use these indicators to prepare human security reports that feature mapping and other data analysis tools to produce an overview of threats within a country.²⁰³ A practical application of this approach occurs in three phases—analysis/mapping/planning, implementation, and rapid assessment—that rely heavily on data. This process identifies where vulnerabilities exist, pinpoints root causes, implements a plan to address them, and then quickly evaluates the impact.²⁰⁴ The United States has not participated in human security projects funded by the UN Trust Fund.²⁰⁵ This framework provides a long, detailed list of measurable indicators and can evaluate areas lacking human security that are vulnerable to threats.

2. Sendai Framework for Disaster Risk Reduction

The substantial increase in DHS costs for disaster recovery, as detailed in Chapter I, provides an impetus for examining options for reducing risk and impact while also allowing DHS to accomplish these aspects of its mission. The Sendai Framework, endorsed by the UN General Assembly, is an international place-based approach to addressing vulnerabilities and disaster risk. It advocates “the substantial reduction of disaster risk and

²⁰⁰ United Nations Trust Fund for Human Security, 10.

²⁰¹ “What Is Human Security?,” United Nations Trust Fund for Human Security, accessed September 15, 2022, <https://www.un.org/humansecurity/what-is-human-security/>.

²⁰² “The United Nations Trust Fund for Human Security,” United Nations Trust Fund for Human Security, accessed September 15, 2022, <https://www.un.org/humansecurity/wp-content/uploads/2018/04/UN-Trust-Fund-for-Human-Security.pdf>.

²⁰³ Oscar A. Gómez and Des Gasper, *Human Security: A Thematic Guidance Note for Regional and National Human Development Report Teams* (New York: United Nations Development Programme, 2013), 16.

²⁰⁴ United Nations Trust Fund for Human Security, *Human Security Handbook*, 18–19.

²⁰⁵ United Nations Trust Fund for Human Security, “Trust Fund for Human Security.”

losses in lives, livelihoods and health and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries.”²⁰⁶ A part of the larger UN’s 2030 Agenda for Sustainable Development, this framework supports such global efforts as the Paris Agreement on Climate Change, the Addis Ababa Action Agenda on Financing for Development, the New Urban Agenda, and Sustainable Development Goals. Though the primary role under this framework involves the member state (national government), the country’s local government, private sector, and other stakeholders share responsibility for implementation.²⁰⁷ One focus areas is to provide a framework for holistic disaster risk management that reduces the economic impact across all levels to reduce the number of deaths and other losses caused by disasters.²⁰⁸ By aligning with this framework, DHS’s non-disaster grant funds could also provide a means of reducing the economic impact of disasters.

Eighty-seven countries, including Canada, have voluntarily committed to the 15-year framework—with India the first to produce an implementation plan in 2017—thus demonstrating the international commitment to the framework.²⁰⁹ Yet the United States has not voluntarily committed to the Sendai agreement.²¹⁰ The U.S. has abstained from participating despite progress reports and lessons learned from the Hyogo Framework that found “reducing disaster risk is a cost-effective investment in preventing future losses.”²¹¹ Following the 2015 conference, the United States issued a statement suggesting it had

²⁰⁶ “What Is the Sendai Framework for Disaster Risk Reduction?,” United Nations Office for Disaster Risk Reduction, accessed September 15, 2022, <https://www.undrr.org/implementing-sendai-framework/what-sf>.

²⁰⁷ United Nations Office for Disaster Risk Reduction.

²⁰⁸ “Transforming Our World: The 2030 Agenda for Sustainable Development,” United Nations Department of Economic and Social Affairs, accessed September 15, 2022, <https://sustainabledevelopment.un.org/post2015/transformingourworld>.

²⁰⁹ Lucy Plummer, “India Becomes First Country to Create National Plan for Disaster Risk Reduction, Earns UN Praise,” *Better India* (blog), May 25, 2017, <https://www.thebetterindia.com/102294/india-un-disaster-reduction-national-plan/>.

²¹⁰ “Explanation of Position of the United States for the Sendai Framework for Disaster Risk Reduction 2015–2030,” U.S. Mission to International Organizations in Geneva, March 19, 2015, <https://geneva.usmission.gov/2015/03/19/sendai-framework-for-disaster-risk-reduction-2015-2030/>.

²¹¹ United Nations, *Sendai Framework for Disaster Risk Reduction 2015–2030* (Geneva: United Nations, 2015), 9.

strongly supported Sendai's predecessor—the Hyogo Framework for Action—and questioned the efficacy of the new framework. The concerns included a lack of an internationally accepted definition of the “right to development,” the obligation for the transfer of technology, and coordination that did not acknowledge existing authorities and competencies of international bodies or private-sector relationships.²¹² The principles of this framework could still be used in the allocation of funds even without the official commitment.

In its analysis of the Hyogo Agreement, the UN has documented that as climate change intensifies, disasters are increasing in number and impact globally; climate change is outpacing the efforts to address vulnerabilities. These disasters affect the environment, health, economics, cultures, and societies. The lessons learned from the framework suggest that addressing socioeconomic conditions of a community, such as poverty and demographic change, mitigates risk. It also encourages governments to engage with “women, children and youth, persons with disabilities, poor people, migrants, indigenous peoples, volunteers, the community of practitioners and older persons” in a people-centered approach to addressing risk.²¹³ One guiding principle of the Sendai agreement is to include gender, age, and cultural perspectives in the policies and practices of disaster risk reduction. Another principle further defines “inclusive risk-informed decision-making” as one that includes sex, age, and disability information with science-based data in a multi-hazard approach to disaster risk reduction.²¹⁴ It further recommends that a part of disaster risk reduction invest in resilience at the national and local levels through work to end poverty by funding health, employment, food security and nutrition, housing, and education programs.²¹⁵ The United States is not unique in its experience with increased frequency, intensity, and costs of disasters. However, it is not a signatory to this international framework that aims to provide countries with a means of addressing the

²¹² U.S. Mission to International Organizations in Geneva, “Position of the United States.”

²¹³ United Nations, *Sendai Framework*, 10.

²¹⁴ United Nations, 13.

²¹⁵ United Nations, 19.

issue. The allocation of federal resources is not aligned with these human-based risks to security.

E. COMPARATIVE ANALYSIS

Table 4 consolidates the indicators used in these various programs and frameworks into three categories: people, place, and community. Many indicators appear in several of the frameworks, with the most commonalities impacting people. Indicators that appeared in three or more of the frameworks served as the basis for the socioeconomic analysis in this thesis.

Table 4. Comparative Analysis of Indicators Used in Place-Based Initiatives and Demographic-Based Assessment Tools

Indicator	Choice Neighborhoods	Promise Zones	Social Vulnerability Index	Human Security Approach	Sendai Framework
People					
Income	X	X	X	X	X
Poverty	X	X	X	X	X
Employment		X	X	X	
Age			X	X	X
Gender			X	X	X
Disability			X	X	X
Race/ethnicity			X	X	X
Language			X		
Population		X		X	X
Place					
Housing	X		X		X
Vacancy	X	X			
Mobility			X		
Homelessness				X	
Community					
Education	X				X
Crime	X	X			
Food Security				X	X
Health				X	X

F. CONCLUSION

This chapter outlined the federal and international frameworks used to measure community vulnerability. Though each framework addresses specific desired outcomes, some general categories of indicators appear across many of them. These common factors, as identified in Table 4, form the basis for the geospatial analysis of socioeconomic factors for DHS grants. At first glance, the indicators used in HUD programs and UN frameworks may not have a direct link to DHS. However, recall that part of the DHS mission is economic security, preparedness, and resilience, which the department realizes through grant funding.²¹⁶ The use of these indicators by other programs and frameworks demonstrates that the same might be applicable in addressing economic and homeland security. The geospatial analysis detailed in Chapter V examines the distribution of DHS grants and uses these indicators to assess the socioeconomic changes in communities that receive DHS grants.

²¹⁶ Department of Homeland Security, “Mission.”

THIS PAGE INTENTIONALLY LEFT BLANK

IV. DATA COLLECTION AND ANALYSIS

The scope of this research encompasses the information contained in publicly available databases, relying exclusively on resources posted on federal government websites. This chapter describes the data sources used to complete the analysis. Each section provides information on the source, the data obtained for this analysis, the processing of this data, the information obtained from the data, and the challenges the data presented. These data sets are the basis for the geospatial analysis completed to answer to what extent grants administered by the DHS had a socioeconomic impact on communities, the first element of the research question.

A. DATA SOURCES

This section provides information on the data accessed through public websites that maintain information on grants for all federal agencies and demographic data collected by the U.S. Census Bureau. It details how grant seekers can find information about funding opportunities, how the grants are identified, and where grant activity is reported.

1. Grant Opportunities from Grants.gov

As described in Chapter II, Grants.gov is the electronic system used to centralize grant opportunities for the federal government.²¹⁷ The HHS manages the system, one benefit of which is to “make it easier to research and find federal grant opportunities.”²¹⁸ Researchers can search basic fields that include keywords, the opportunity number, and the CFDA. Additional fields include opportunity status, funding instrument type, eligibility, category, and agency.²¹⁹ I searched Grants.gov to glean the number and type of DHS grant offerings. This search included all archived, closed, posted, and forecasted offerings, filtered for an agency: “All Department of Homeland Security (DHS).” The data extract identified that the first DHS funding opportunities were posted to Grants.gov in 2007.

²¹⁷ Department of Health and Human Services. “About the Grants.gov Program Management Office.”

²¹⁸ Department of Health and Human Services.

²¹⁹ Department of Health and Human Services, “Search Grants.”

Between 2007 and June 2022, 1,346 total opportunities were posted.²²⁰ A summary of the data fields available in the extract appears in Table 5. These data began to distill the quantity and types of grants made available by DHS but did not reveal grant-level data by recipient.

Table 5. Summary of Grants.gov Data Extract and Field Descriptions.²²¹

Data Field	Description
Opportunity Number	A unique identifier for each grant opportunity.
Opportunity Title	The program title—may include the fiscal year or another identifier.
Agency Code	The code of the agency offering the grant. For DHS, this includes DHS and the region or component agency.
Agency Name	The agency name offering the grant.
Estimated Funding	The anticipated funding amount available under the grant.
Expected Number of Awards	The anticipated number of individual awards to be made.
Grantor Contact	The contact information for the grant offering. Data vary but may include name, email, phone number, and address.
Agency Contact Phone	Not used for DHS grants.
Agency Contact Email	Email address for the grantor contact.
Estimated Post Date	A date appears in this field only for forecasted grants.
Estimated Application Due Date	A date appears in this field only for forecasted grants.
Posted Date	The date the grant offering posted.
Close Date	The date the grant offering closed.
Last Update Date/Time	The date/time the last update was made, or the date created if it is never updated.
Version	The version number of either the forecast (estimate) or synopsis (posted/closed).
Opportunity Status	archived, posted, closed.

²²⁰ Department of Health and Human Services.

²²¹ Adapted from “Grants.gov Online Help,” Department of Health and Human Services, accessed July 26, 2022, <https://www.grants.gov/help/html/help/index.htm?rhcsh=1&callingApp=custom#t=XMLExtract%2FXMLExtract.htm&rhcsh=1&callingApp=custom>; Department of Health and Human Services, “Search Grants.”

As shown in Table 5, the data extract contains general information regarding the grant offerings but does not include substantive data regarding which grants were awarded or the CFDA number associated with those grants. Additionally, my analysis found that the data fields do not reflect a consistent format from year to year, resulting in variances in opportunity title and agency name, for example. These data were not conducive for use in further geospatial analysis. However, Grants.gov is a viable resource for grant seekers to learn how to access information on how to apply for current DHS grant funding opportunities and general information regarding federal grants.

2. Catalog of Federal Domestic Assistance from SAM.gov

I could not complete further analysis or gain a comprehensive view of the DHS grants program from Grants.gov due to the inconsistency in opportunity title and lack of a CFDA. This data source also provided only a summary of what has been offered but does not encompass what grants DHS *may* offer—programs that are authorized but not funded. The GSA’s System for Award Management (SAM.gov) is a website used to

- Register to do business with the U.S. Government
- Update, renew, or check the status of your entity registration
- Search for entity registration and exclusion records
- Search for assistance listings (formerly CFDA.gov), wage determinations (formerly WDOL.gov), contract opportunities (formerly FBO.gov), and contract data reports (formerly part of FPDS.gov)
- View and submit BioPreferred and Service Contract Reports
- Access publicly available award data via data extracts and system accounts.²²²

For grant research, the assistance listings available at SAM.gov provide a means for identifying what federal assistance is available. Users can view the assistance listings through a web-based search function that provides the records individually or through an extract. Researchers can select domain “assistance listings” and then search by keyword, dates, federal organization, eligibility, assistance type, location, or status to obtain additional details about each federal program. The web-based search platform also

²²² “About This Site,” System for Award Management, accessed July 26, 2022, <https://sam.gov/content/about/this-site>.

provides the option to search for active and inactive records. For each CFDA, the assistance listings provide a brief description of the program, the department or agency authorized to implement that program, and the name of the sub-tier or component agency that delivers the program. The CFDA overview also lists whether the program is currently funded, when the assistance listing was last updated, and what type of assistance is provided.²²³ The CFDA title is hyperlinked to a detailed description of the program. In addition to application and historical information, a link is provided to available opportunities posted on Grants.gov.²²⁴ Identifying the CFDA numbers assigned to DHS programs and their program descriptions helped to define the scope of the programs for further analysis.

I searched SAM.gov to determine which grant programs DHS was authorized to fund. In total, 135 CFDA numbers existed for DHS, of which 63 were active records and 72 inactive in June 2022. The toggle in the search function allows the user to view all 135 records, but the data extract includes only active CFDA.²²⁵ Since this thesis aims to assess the impact of all non-disaster DHS grants and not just those with active CFDA numbers, I completed additional research to obtain a full listing of all DHS CFDA numbers. The Single Audit Resource Center, which provides guidance for auditors of federal programs and details of each program for use in their reviews during OMB Circular A-133 audits, maintains a complete listing of 135 CFDA listings.²²⁶ My comparison of the two data sets identified the active and inactive CFDA numbers, and I generated a data file of their numbers and program titles.

With the complete list of DHS CFDA, I could review the programs to determine which CFDA should be excluded from further analysis. Exclusions were necessary because this research focused solely on non-disaster grants, as DHS has an opportunity to establish a process for their distribution. In contrast, disaster-funded grants are limited to

²²³ System for Award Management (Assistance Listings + All Words + Active; accessed June 6, 2022), https://sam.gov/search/?index=cfd&page=1&pageSize=25&sort=-modifiedDate&sfm%5Bstatus%5D%5Bis_active%5D=true.

²²⁴ System for Award Management.

²²⁵ System for Award Management, “Assistance Listings.”

²²⁶ Single Audit Resource Center (Federal Agency: 97 – United States Department of Homeland Security; accessed August 14, 2020), <https://singleaudit.org/search/advanced/>.

communities/households affected by disasters declared for federal assistance by the president. The distribution of these funds occurs in impacted areas after the declaration, and eligibility for assistance is based on disaster-caused damages and not a competitive selection process. Educational institution grants, such as for the Emergency Management Institute and Center for Homeland Security and Defense, were excluded because a lot of the funding pays for student travel and stipends or faculty salaries, but not for homeland security–related activities in the community where the education takes place. To determine a place-based benefit for those programs, student-level data would need to be obtained—which are not publicly available—to see whether the training students received at each institute benefited their communities when they returned. The non-disaster grant programs were included in this research because they could be targeted to specific communities based on established criteria.

Identifying non-disaster grants involved using the authorization field to filter out programs that were authorized by the Robert T. Stafford Disaster Relief and Emergency Assistance Act in the aftermath of a presidentially declared disaster. The further review excluded grants to research institutes or those that fund training at institutions such as FEMA’s Emergency Management Institute. The latter was excluded due to the nature of the funding that provides an individual benefit to the student, and education courses are not presumed to have a place-based benefit because the funding is not used for projects within communities. In total, 40 of the 135 CFDA numbers were excluded: 25 active and 15 inactive. A list of all resulting DHS CFDA numbers appears in Appendix B. The intent of this process for identifying CFDA numbers was to limit the scope to just those grants that could have a socioeconomic impact on communities rather than a direct benefit to an institution or individual student or the result of a declared disaster.

3. DHS-Funded Grants

The 1,346 grant opportunities listed on Grants.gov, as referenced in Subsection 1, provide an understanding of the extent of funding available through DHS but do not provide details on which entities received the grants. The Department of the Treasury’s FSRS on the public-facing website USAspending.gov reports on federal spending. The

mission of this site is to allow the American public to “follow the money from the Congressional appropriations to the federal agencies and down to local communities and businesses.”²²⁷ This system, implemented in support of FFATA, provides users with a vast array of search functions and data access. Among the 17 advanced search options are award type, time period (FY or date range), CFDA program, and agency. Search results can be toggled for prime awards and sub-awards and are displayed in four ways: spending by award on a table; a bar chart of spending over time by year, quarter, or month; a map of spending by geographic area by place of performance or recipient location; and spending by category. The data are then available for download by award or transaction.²²⁸ The data dictionary crosswalk for USAspending.gov describes the 454 data points it collects.²²⁹ Eighty-nine of these data points are included in extracts of grant data.²³⁰ The FSRS provides access to the best public data available on where DHS grant funds have been used to implement grant programs and the geospatial information to complete the socioeconomic analysis.

In July 2022, I completed an advanced search for grants with an awarding agency name of “Department of Homeland Security (DHS)” and identified 92,516 prime awards made under 95 CFDA numbers for a total of \$201,838,512,103.20 in obligations.²³¹ This data extract encompasses all DHS prime awards reported on USAspending.gov. Figure 3 details the process used to identify which data would be included in the subsequent geospatial analysis of the socioeconomic impact of non-disaster DHS grants. This processing relied on the data sets obtained from SAM.gov and USAspending.gov. The first three levels of Figure 3 convey the information as it is presented in the data. Of the 135 total CFDA numbers for DHS—63 active and 72 inactive numbers—94 are included in the prime awards reported in the USAspending.gov data set. Those 94 include 41 inactive and 53 active DHS CFDA numbers. Identifying the status of these CFDA numbers was important in further

²²⁷ “Mission,” USA Spending, accessed July 26, 2022, <https://usaspending.gov/about>.

²²⁸ “Advanced Search,” USA Spending, accessed July 3, 2022, <https://usaspending.gov/search>.

²²⁹ “Data Dictionary,” USA Spending, accessed July 27, 2022, <https://usaspending.gov/data-dictionary>.

²³⁰ USA Spending, “Advanced Search.”

²³¹ USA Spending, “Home Page.”

analyzing which programs have/had the greatest socioeconomic impact, if any. Inactive programs no longer provide DHS with the opportunity to provide a socioeconomic impact through grant funds but may become the subject of further research and case studies to determine what role DHS funding had in changing the conditions of areas. The active CFDAs provide an ongoing means for further research to assess socioeconomic impact over time. The final level of Figure 3 represents the outcome of applying the excluded CFDAs, identified in the process described in Subsection 2, to the USAspending.gov data set to limit the scope of the data for further analysis. I used this information to identify 34 CFDAs for removal from the final data set; this research focused on the 60 remaining CFDA numbers of which 26 were inactive and 34 active as of July 2022.

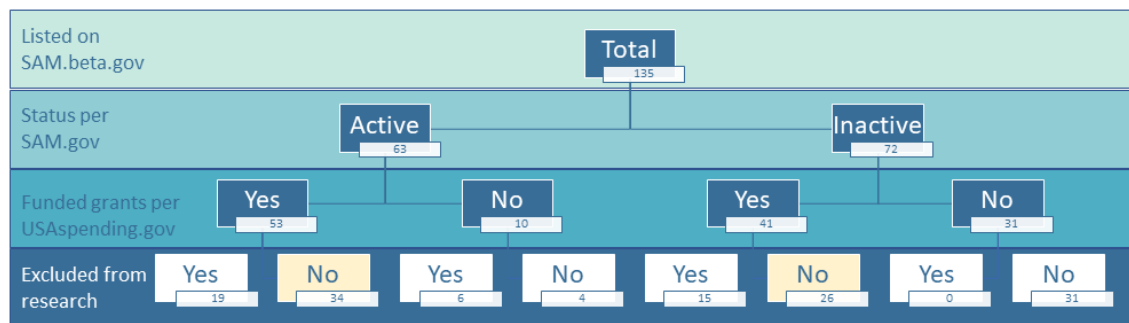


Figure 3. CFDA Analysis for Inclusion in Research²³²

To determine which data points would be relevant to the geospatial analysis, the data dictionary crosswalk was used to review the 89 data points in the grant data. The prime award data included location information for both the recipient and the primary place of performance.²³³ I selected the primary place of performance because this analysis focused on the socioeconomic impact of DHS in communities. As such, the location—described as “where the predominant performance of the award will be accomplished”—was the more relevant data point, as it described where the funds were expended, as opposed to the

²³² Source: System for Award Management, “Assistance Listings”; Department of Health and Human Services, “Search Grants.”

²³³ USA Spending, “Advanced Search.”

address of the recipient/legal entity, which represented a legal business address.²³⁴ The city, state, and zip code of the primary place of performance were selected as data points for the location. The USAspending.gov data set also included the county and congressional district, though their geographic boundaries were not selected—the reasoning for which is described in the following subsection. Another data point needed for the analysis was the amount of funding provided for each grant. The field “total obligated amount” accounted for all modifications to the grant over time. The field “total funding amount” incorporated both the federal and non-federal funding amounts. The obligated amount was selected because this socioeconomic analysis focused on the impact of federal grant funds, and this field omitted the non-federal share. The data set included grants reported for all fiscal years. This research focused on the impact of non-disaster DHS grant funding over time. The field of “award base action date fiscal year,” representing the fiscal year that the grant was issued/signed by the government or the binding agreement was made, was selected.²³⁵ These fields provided the geographic and financial information necessary for further analysis.

Of note, the data quality of the extract from USAspending.gov presented many challenges. Researchers planning to use this data source should be prepared to dedicate time and resources to validate the accuracy and consistency of the data reported. Variances in the naming conventions of CFDA numbers and titles required attention to ensure that the correct grants were included. There was not a consistent format for zip codes, so many records required further review to determine the appropriate city, state, and zip code to use for the primary place of performance. United States Postal Service data were used to verify the accuracy of zip codes in the USAspending.gov data set. Data entry errors, and a lack of data validation, allowed users entering the grant information to submit zip codes for inaccurate states. For instance, a single zip code might have been reported in both Maryland and Massachusetts because the state names are adjacent in an alphabetical list and the wrong one was selected. Upon completion of substantial data cleansing, the grant data were

²³⁴ USA Spending, “Data Dictionary.”

²³⁵ USA Spending.

ready for comparing socioeconomic indicators among locations where grant-funded activities were performed.

4. American Community Survey

With a complete data set of the grants administered by DHS and reported on USA Spending.gov, the next step was to identify the indicators to use as a proxy to assess the socioeconomic impact those grants had on communities. These indicators are contained in the U.S. Census Bureau's American Community Survey (ACS), administered annually. The results of this survey form the basis for funding distributions of many federal and state programs and information on the conditions of people and places throughout the nation.²³⁶ The ACS provides one- and five-year estimates on social, housing, economic, and demographic data. Social data include citizenship, disability, education, language, and marital status, among other data points. Examples of data for housing include owner/renter status, home amenities, utilities, occupancy, and cost. A survey of economic indicators includes occupation, employment status, poverty, and income, among other items. The demographic data capture information on such things as population, age, sex, and race.²³⁷ Although the U.S. Census Bureau conducts the Decennial Census every 10 years, the ACS goes out monthly to approximately 3.5 million households and delves further into the living conditions of American communities.²³⁸ The ACS was selected as the data source for this socioeconomic analysis because it covers a broader set of indicators and is more current due to the collection and publication of data on an annual basis and not every 10 years.

The U.S. Census and the ACS differ in how data are collected and reported. The former intends to collect data on age, sex, race, Hispanic origin, and owner/renter status for every person in all territories, states, and the District of Columbia; this limited data set

²³⁶ "About the American Community Survey," U.S. Census Bureau, June 2, 2022, <https://www.census.gov/programs-surveys/acs/about.html>.

²³⁷ "Subjects Included in the Survey," U.S. Census Bureau, September 13, 2022, <https://www.census.gov/programs-surveys/acs/guidance/subjects.html>.

²³⁸ "The Importance of the American Community Survey and the Decennial Census," U.S. Census Bureau, January 7, 2022, <https://www.census.gov/programs-surveys/acs/about/acs-and-census.html>.

is published every 10 years.²³⁹ Alternatively, the annually released ACS provides either one- or five-year estimates. The difference between the two sets of ACS lies in the scope of data collected. The one-year estimate includes only populations over 65,000, and the five-year ACS accounts for all areas, without population limitations. The U.S. Census Bureau recommends using the five-year estimates for research that prioritizes accuracy over frequency. According to the U.S. Census Bureau, its first issuance of the five-year ACS estimates occurred in 2009.²⁴⁰ These five-year estimates are an average of the data collected over 60 months. For instance, the values reported in the 2020 data represent the average between January 1, 2016, and December 31, 2020.²⁴¹ This research uses the ACS five-year estimates because they are the most reliable ACS data, covering the largest sample size and including the socioeconomic indicators identified in Chapter III for analysis.²⁴²

The indicators referenced in three or more frameworks in Chapter III served as the demographic data points targeted for analysis with ACS data. I used the “explore census data” function available at [Data.census.gov](https://data.census.gov) to determine which ACS tables included the data point that coincided with those indicators. This function allows users to enter search terms such as age, year, or location and return a list of all ACS tables, maps, and Census.gov web pages that include the indicator and search parameters. Data can be previewed on the web browser but are also available for download by year and by one-year or five-year ACS estimates.²⁴³ The ACS data are collected and published in several geographic areas, “from broad geographic regions to cities, towns, county subdivisions,

²³⁹ U.S. Census Bureau.

²⁴⁰ “When to Use 1-Year or 5-Year Estimates,” U.S. Census Bureau, August 25, 2022, <https://www.census.gov/programs-surveys/acs/guidance/estimates.html>.

²⁴¹ U.S. Census Bureau, *American Community Survey Multiyear Accuracy of the Data (5-Year 2016–2020)* (Washington, DC: U.S. Census Bureau, 2020).

²⁴² U.S. Census Bureau, “When to Use 1-Year or 5-Year Estimates.”

²⁴³ “Explore Census Data,” U.S. Census Bureau, accessed August 22, 2020, <https://data.census.gov/cedsci/>.

and block groups.”²⁴⁴ As previously mentioned, one of the fields selected for the USAspending.gov grant data was the zip code because it was the smallest common geographic unit available between both data sets. Zip Code Tabulation Areas data were obtained from Data.census.gov for selected indicators. Having the common field across both data sets allowed the data to be matched easily. ACS data were exported in a separate file for each year by ACS table, many tables consisting of tens to hundreds of individual data points. Within each export, from year to year, the location of the selected indicator might have varied slightly by location or title. Appendix C includes a full description of the ACS tables and data points that were used in the socioeconomic analysis of this research. ACS data exports were available from 2011 through 2020, which contributed to the timeframe for the analysis in this thesis.

The data points included in Table 6 were selected from the available ACS data after completing a search by the demographic indicator title. Although each demographic could be examined in myriad ways, the selected data points represent a proxy for those indicators based on the information examined in Chapter III and form the foundation of the socioeconomic analysis in this thesis.

²⁴⁴ “Areas Published,” U.S. Census Bureau, September 8, 2022, <https://www.census.gov/programs-surveys/acs/geography-acs/areas-published.html>.

Table 6. ACS Demographic Data Points Used.²⁴⁵

Demographic	Description
Age	Median age (years)
Sex	Percent of population that is male
Disability	Percent of total civilian noninstitutionalized population with a disability
Employment	The unemployment rate of the population 16 years and over
Median income	Median household income (in 2020 adjusted dollars)
Poverty	Percent below poverty level
Race	Percent of total population that is white
Population	Estimate of the total population
Housing	Percent of total housing units that are vacant

Additional details regarding the demographics selected and the reasoning behind the selection appear in the following subsections describing indicators of people and place.

a. People

The first common indicator among all place-based initiatives and demographic assessment tools is income. A household’s ability to pay for basic goods and needs directly affects its human and economic security. The ACS datapoint of median household income was selected for the analysis. According to the U.S. Census Bureau, the median household income accounts for the income of all members of the household ages 15 years and older, regardless of familial relationship. The median is the distribution of income based on the total number of household members including those without income. The extracted data are in 2020 adjusted dollars.²⁴⁶ The second indicator common among all of the tools reviewed is poverty. The threats to human and economic security for poverty are quite

²⁴⁵ U.S. Census Bureau, “Explore Census Data.”

²⁴⁶ “Census Quick Facts: Median Household Income,” U.S. Census Bureau, accessed July 27, 2022, <https://www.census.gov/quickfacts/fact/note/US/INC110220>.

similar to income. However, poverty may also influence health security when it limits access to clean water and sanitation.²⁴⁷ A community with higher poverty rates may also be at higher risk.²⁴⁸ The ACS uses the OMB’s Direct 14 to determine a household’s income relative to the established poverty level.²⁴⁹ Poverty thresholds are determined by the size of the family and the number of children. In 2020, the thresholds ranged from \$13,171 for a single individual to \$50,035 for a family of nine or more with at least eight children. A geographical area’s poverty rate is the number of households at or below the poverty rate for their family size and number of children compared to the total number of households in that area.²⁵⁰ Households whose incomes are below the area’s median income or under the poverty level are often supported by federally funded programs that provide housing, food, medical care, and other items needed to address their basic needs. The household income of an area—the zip code in the case of this research—can be an indicator of need (or not) for federal financial support. As it relates to the mission of DHS, the geographic area’s household median income and poverty rates can also be indicators of its economic security.

Unlike income and poverty, the remaining indicators were consistent across three of the five frameworks. Many of these indicators are factors affecting economic security: disability, employment, age, gender, and race/ethnicity.²⁵¹ Communities with higher or lower rates in these indicators may experience a higher SVI.²⁵² The population is another indicator selected and is, according to the UN, an emerging threat in areas of rapid population growth due to its connections to environmental degradation, poverty, migration, and depletion of non-renewal resources.²⁵³ The ACS data point selected for disability is the percent of the noninstitutionalized population with “a long-lasting physical, mental, or

²⁴⁷ United Nations Development Program, *Human Development Report*, 29.

²⁴⁸ United Nations Development Program, 29.

²⁴⁹ “Glossary,” U.S. Census Bureau, accessed July 27, 2022, <https://www.census.gov/glossary/>.

²⁵⁰ U.S. Census Bureau, “Poverty Thresholds.”

²⁵¹ United Nations Development Program, *Human Development Report*, 25–26.

²⁵² Centers for Disease Control and Prevention and Agency for Toxic Substances and Disease Registry, “CDC Social Vulnerability Index.”

²⁵³ United Nations Development Program, *Human Development Report*, 34.

emotional condition.”²⁵⁴ Disabled persons may need some level of additional support from the community to do routine activities. The unemployment rate is the percentage of unemployed persons in the labor force for a geographical area. For the ACS, unemployed is defined as those 16 years or older who could work—and are seeking work—but have been without a job in the last four weeks.²⁵⁵ These persons may experience human and economic insecurity at a higher rate than those who are employed. The median age represents the midpoint age for the demographic area—half of the population is younger and half is older than the median age.²⁵⁶ Areas with both high and low median ages may rely on community support more than others. A person’s biological sex is recorded in the ACS as male or female. This analysis used the percent of the population that was male, expecting more economic insecurity in places where more of the population was female. Race and ethnicity are measured by the ACS in numerous ways, but white was the data point selected to represent the racial diversity of a community; the higher the percentage of white people in the population, the less diverse the geographic area. Population alone, referring to the total number of people living in a geographic area, was selected to determine both communities experiencing growth or decline over time and how many people were being served in communities defined as the primary places of performance for DHS grants.²⁵⁷ These selected data points formed the basis of the analysis of socioeconomic impact on people.

b. Place

The ability to meet the basic housing needs of a community greatly affects human and economic security. Housing costs can be expected to rise in communities with low vacancy rates. Alternatively, communities with high vacancy rates can be expected to

²⁵⁴ “Glossary: Disability,” U.S. Census Bureau, accessed September 19, 2022, <https://www.census.gov/glossary/?term=Disability>.

²⁵⁵ “Glossary: Unemployment Rate,” U.S. Census Bureau, accessed September 19, 2022, <https://www.census.gov/glossary/?term=Unemployment%20rate>.

²⁵⁶ “Glossary: Median Age,” U.S. Census Bureau, accessed September 19, 2022, <https://www.census.gov/glossary/?term=Median%20age>.

²⁵⁷ “Glossary: Population,” U.S. Census Bureau, accessed September 19, 2022, <https://www.census.gov/glossary/?term=Population>.

generate less tax revenue, limiting the local government’s ability to provide essential services. Housing and vacancy were reported in multiple frameworks, with housing common across three. Various frameworks referred to housing affordability, conditions, and vacancy. This research elected to use the vacancy rate as a proxy for housing conditions in a community because it could signify different challenges a community faced depending on whether it was high or low. A house is considered vacant for the ACS if no one resides there during the survey; the data point capturing the percentage of vacant housing units compares vacant units to total units in the geographic area.²⁵⁸ Identifying ACS data points was the final step before beginning the analysis of the socioeconomic impact of non-disaster DHS grants.

B. DATA CONSOLIDATION

The consolidation of the data sets for geospatial analysis followed the collection of DHS grant and ACS data. Grant data were limited to the period of 2011–2020 to align with the published ACS data available in 2022. Selecting grant data for these fiscal years resulted in 32,554 records remaining, representing a total of \$28,440,942,227 in DHS grant obligations. The associated primary place of performance for those grants represented 10,076 unique five-digit zip codes across the country. Of those 10,076 locations, the ACS contained data for 9,598 zip codes. The zip codes served as the unifying data element between the two resources, creating a single consolidated data set of grants and socioeconomic indicators to begin the analysis described in Chapter V.

C. CONCLUSION

I used available data from the public websites Grants.gov, SAM.gov, and USAspending.gov to distill the universe of DHS grants. Obtaining the data from these websites presented many challenges since data fields were not consistently used across systems and the data inputs were not restricted to validated fields. Despite the challenges with the data, I made a comprehensive list of DHS grants and limited the scope based on

²⁵⁸ “Glossary: Vacant Housing Unit,” U.S. Census Bureau, accessed September 19, 2022, <https://www.census.gov/glossary/?term=Vacant%20housing%20unit>.

the programs' intent and authorizations to non-disaster grants. The availability of ACS data at the zip code level for the indicators selected from the demographic data representing the vulnerabilities to people and place allowed for further analysis of the socioeconomic impact of these DHS grants.

V. DISTRIBUTION OF NON-DISASTER DHS GRANTS AND SOCIOECONOMIC IMPACT

The distribution of DHS grants refers not only to where the funds have gone geographically but also to which programs receive the highest funding and the socioeconomic profile of the zip codes that received grants. A series of charts and maps conveys the information represented in the data. This section describes the findings of the consolidated data.

A. GEOGRAPHIC DISTRIBUTION

The analysis of geographic distribution is presented in both state and zip code perspectives. The intent of this analysis was to determine the distribution of non-disaster grant funds across the nation—where were the programs delivered, what was the funding level, and where was the funding concentrated?

1. By State

The geographic distribution is represented in Table 7 as the concentration of funding per state/territory based on the primary place of performance. The totals represent the cumulative obligations from 2011–2020.

Table 7. Cumulative Obligations by State or Territory.²⁵⁹

Cumulative Obligations	# States or Territories
Less than \$1M	2
\$1 mil to \$100M	6
\$100 mil to \$500M	33
\$500mil to \$1B	9
Over \$1B	8

²⁵⁹ Adapted from USA Spending, “Advanced Search.”

These values are presented geospatially in Figure 4 on a map of the nation. The places of performance within the states of New York and California had the highest concentration of obligations, over \$3 billion in the 10-year period between 2011 and 2020. Five additional states and one district had obligations between \$1–\$2 billion: Florida, Illinois, New Jersey, Texas, Virginia, and the District of Columbia. In contrast, the U.S. trust territories of the Marshall Islands and the Federated States of Micronesia obligated less than \$500,000 during this same period. As seen in Table 7, most states or territories had cumulative obligations of \$100 million to \$500 million for geographical areas within their boundaries. Seventy-five percent of the funds were distributed to 17 of the 58, or 29 percent, of the state or territories that received funding. The remaining 25 percent of the funding was distributed across 41 states and territories in much smaller amounts to address the requirements and needs of homeland security in those areas. The states with the highest concentration of non-disaster grant program implementation might have a greater propensity for socioeconomic impact than those that received substantially smaller amounts of funding.

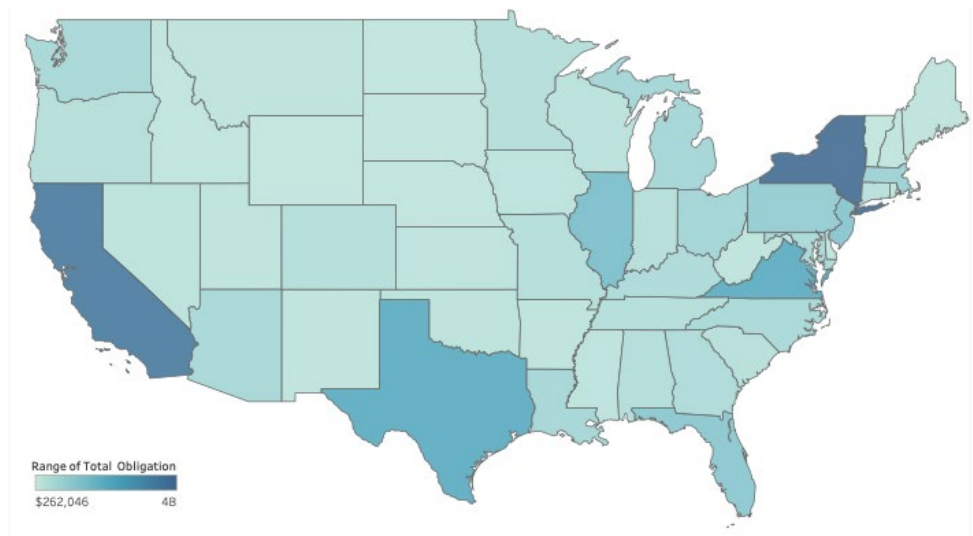


Figure 4. Concentration of Non-disaster DHS Grants by State (2011–2020).²⁶⁰

²⁶⁰ Adapted from USA Spending, “Advanced Search.”

2. By Zip Code

Geographic disbursement experiences even greater disparity at the zip code level. Figure 5 maps the distribution of obligations by zip code, the smallest of dots representing those with less than \$1 million and scaling up to the highest-funded zip code at \$2.68 billion. The map provides a view at a glance of zip codes that receive substantially more funding than others. This view demonstrates that even within the states with the highest concentration of funding, there is uneven distribution of funding throughout the state.

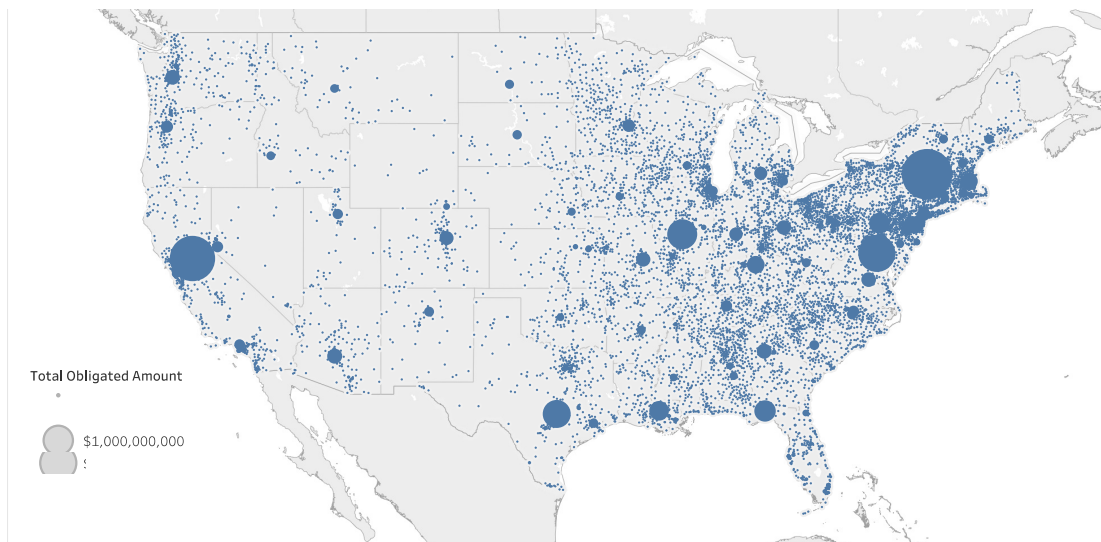


Figure 5. Concentration of Non-disaster DHS Grants by Zip Code (2011–2020).²⁶¹

This map view shows that some places of performance receive exceedingly large amounts of funding compared to the rest of the nation. The top 25 places of performance are recorded in Table 8. Most of these zip codes coincide with state capitals, state government offices, or state departments of emergency management. Presumably, these funds are not being expended for the direct benefit of the surrounding community, though the primary place of performance for the grant lists that zip code. Funding in these areas likely serves the state agencies to a greater extent than the community. During the 10-year

²⁶¹ Adapted from USA Spending, “Advanced Search.”

period examined in this research, \$13.87 billion of the \$28.44 billion (or 49 percent of all funding) was obligated to these zip codes. The concentration of funding in this limited number of zip codes skews the data and is not a viable way to assess the impact. The socioeconomic impact of these grants is unlikely to be tied to the reported geographic location. For this reason, additional approaches to assessing the impact and distribution are included in this chapter.

Table 8. Top 25 Places of Performance for Non-disaster DHS Grants by Zip Code (2011–2020).²⁶²

State	City	Zip Code	Total Obligations
ARIZONA	PHOENIX	85007	237,314,932
CALIFORNIA	MATHER	95655	2,154,127,015
COLORADO	ENGLEWOOD	80112	207,973,765
DISTRICT OF COLUMBIA	WASHINGTON	20032	649,212,062
		20017	183,049,453
FLORIDA	TALLAHASSEE	32399	479,508,385
GEORGIA	ATLANTA	30316	233,946,764
ILLINOIS	SPRINGFIELD	62703	943,449,650
INDIANA	INDIANAPOLIS	46204	190,300,776
KENTUCKY	FRANKFORT	40601	328,279,916
LOUISIANA	BATON ROUGE	70806	403,664,051
MARYLAND	REISTERSTOWN	21136	191,492,677
MASSACHUSETTS	BOSTON	02116	297,331,730
MISSOURI	JEFFERSON CITY	65102	216,216,711
NEW JERSEY	TRENTON	08691	299,562,596
		08625	253,830,363
NEW YORK	ALBANY	12226	2,683,051,822
OHIO	COLUMBUS	43235	218,930,435
PENNSYLVANIA	HARRISBURG	17110	449,149,947
TEXAS	AUSTIN	78711	819,358,917
		78765	329,826,099
		78773	198,411,799
VIRGINIA	ALEXANDRIA	22314	1,443,832,740
	RICHMOND	23236	228,194,097
WASHINGTON	CAMP MURRAY	98430	228,495,866

²⁶² Adapted from USA Spending, “Advanced Search.”

B. FISCAL YEAR DISTRIBUTION

Over the course of the 10-year period analyzed, the annual obligation of funds, as seen in Figure 6, ranged from \$2.35 billion in 2012 to \$3.59 billion in 2020. The average annual obligation was \$2.84 billion. The level of non-disaster grant funding obligated for DHS programs remained relatively unchanged throughout the period of 2011–2020, with exception of a rapid increase in 2020. The non-disaster DHS grants are a steady source of funding for communities, with 10 programs encompassing a significant portion of that funding. This section examines the distribution of funding per year and the socioeconomic impact of that distribution.

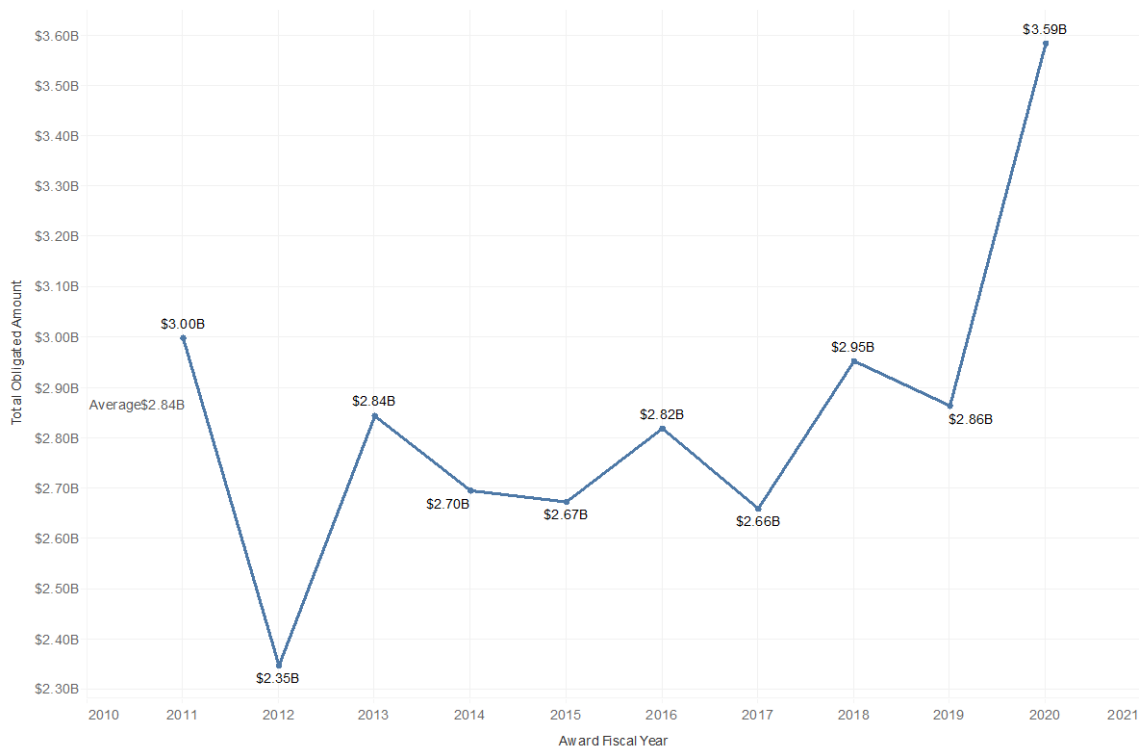


Figure 6. Annual Obligations of Non-disaster DHS Grants (2011–2020).²⁶³

²⁶³ Adapted from USA Spending, “Advanced Search.”

1. Grant and Zip Code Distribution

As seen in Table 9, the number of grants and primary places of performance did not substantially vary from year to year during the period of 2013–2019. There was rapid growth between 2011 and 2012, expanding both the number of grants and the number of zip codes by over 60 percent. A more moderate growth rate of 44 percent in the number of grants and 35 percent in the places of performance occurred between 2012 and 2013. In the years that followed, both measures varied by approximately 5 percent above or below the prior year. As it pertains to this research, these data demonstrate that each year, a limited number of the nation’s zip codes may have a socioeconomic impact in the primary place of performance.

Table 9. Total Fiscal Year Obligations and Number of Primary Places of Performance.²⁶⁴

Fiscal Year	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Obligations	3.00B	2.35B	2.84B	2.70B	2.67B	2.82B	2.66B	2.95B	2.86B	3.59B
# Grants	1,227	1,970	2,827	2,645	2,756	2,586	2,379	2,542	2,401	3,011
# Zip Codes										

2. Socioeconomic Profile

This subsection looks at the socioeconomic profile of the primary places of performance compared to the national average for that year. The indicators described in Chapter III are the basis for this analysis. Table 10 displays the number of zip codes in three categories: the number at or above the national average, the number below the national average, and the number for which that demographic indicator was not reported. The percentage of zip codes not reported was minimal and ranged from 0 to 2 percent for all indicators and all years. Note that the ACS data were available for 9,598 of the 10,076 zip codes reported as primary places of performance for the DHS grants included in this research. The completeness of these data varies from year to year, with not all indicators

²⁶⁴ Adapted from USA Spending, “Advanced Search.”

reported for each zip code each year. I examined the data vis-à-vis the national average to build a profile of community types that are receiving these grants.

Table 10. Socioeconomic Profile of Primary Places of Performance Compared to the National Average

Demographic	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Age	37	37.2	37.3	37.4	37.6	37.7	37.8	37.9	38.1	38.2
At or Above	6,762	6,784	6,825	6,831	6,801	6,785	6,809	6,761	6,737	6,669
Below	2,781	2,767	2,724	2,719	2,748	2,757	2,728	2,777	2,806	2,868
Not Reported	55	47	49	48	49	56	61	60	55	61
Sex - Male	49.2	49.2	49.2	49.2	49.2	49.2	49.2	49.2	49.2	49.2
At or Above	4,969	4,989	5,049	5,095	5,131	5,101	5,114	5,073	5,114	5,046
Below	4,584	4,568	4,511	4,465	4,428	4,454	4,441	4,481	4,440	4,509
Not Reported	45	41	38	38	39	43	43	44	44	43
Sex - Female	50.8	50.8	50.8	50.8	50.8	50.8	50.8	50.8	50.8	50.8
At or Above	4,732	4,739	4,726	4,650	4,602	4,615	4,609	4,657	4,626	4,670
Below	4,821	4,818	4,834	4,910	4,957	4,940	4,946	4,897	4,928	4,885
Not Reported	45	41	38	38	39	43	43	44	44	43
Disability	N/A	12	12.1	12.3	12.4	12.5	12.6	12.6	12.6	12.7
At or Above	-	5,735	5,746	5,756	5,799	5,812	5,785	5,797	5,795	5,678
Below	-	3,815	3,807	3,796	3,751	3,735	3,761	3,748	3,750	3,868
Not Reported	-	48	45	46	48	51	52	53	53	52
Employment	8.7	9.3	9.7	9.2	8.3	7.4	6.6	5.9	5.3	5.4
At or Above	3,887	3,899	3,924	3,818	3,875	3,917	3,839	3,817	3,907	3,713
Below	5,655	5,646	5,625	5,728	5,668	5,616	5,697	5,719	5,632	5,823
Not Reported	56	53	49	52	55	65	62	62	59	62
Median Income	52762	53046	53046	53482	53889	55322	57652	60293	62843	64994
At or Above	3,717	3,734	3,757	3,766	3,775	3,745	3,736	3,695	3,650	3,672
Below	5,786	5,773	5,732	5,724	5,652	5,690	5,675	5,705	5,753	5,705
Not Reported	95	91	109	108	171	163	187	198	195	221
Poverty	N/A	14.9	15.4	15.6	15.5	15.1	14.6	14.1	13.4	12.8
At or Above	-	3,927	3,893	3,883	3,898	3,928	3,957	3,951	4,052	3,960
Below	-	5,606	5,642	5,649	5,632	5,597	5,567	5,568	5,471	5,562
Not Reported	-	65	63	66	68	73	74	79	75	76
Race	76.3	76.5	76.4	76.3	76.1	76	75.7	75.5	75.3	75.1
At or Above	7,560	7,577	7,574	7,574	7,580	7,561	7,550	7,543	7,528	7,530
Below	1,993	1,980	1,986	1,986	1,979	1,994	2,005	2,011	2,026	2,025
Not Reported	45	41	38	38	39	43	43	44	44	43
Housing	12.4	12.5	12.5	12.5	12.3	12.2	12.2	12.2	12.1	11.6
At or Above	4,129	4,099	4,098	4,201	4,320	4,364	4,449	4,512	4,534	4,557
Below	5,397	5,428	5,434	5,329	5,210	5,163	5,078	5,014	4,991	4,968
Not Reported	72	71	66	68	68	71	71	72	73	73
Population	306,603,772	309,138,711	311,536,594	314,107,084	316,515,021	318,558,162	321,004,407	322,903,030	324,697,795	326,569,308
Total Served	134,954,903	133,913,657	135,900,611	136,847,058	137,721,497	138,537,861	139,404,834	140,172,886	140,909,525	141,761,865
Percent Served	44.02%	43.32%	43.62%	43.57%	43.51%	43.49%	43.43%	43.41%	43.40%	43.41%

As described in Chapter IV, the socioeconomic indicators focus on the people and the place. Over the course of these 10 years, the communities where DHS-funded grant activities did not observe a statistically significant change from year to year. However, the variance in the distribution of grant funds to places at or above or below the national average is apparent. Communities with populations aged below the national average make up approximately 30 percent of the primary places of performance, meaning that communities consisting of older populations are nearly twice as likely to be the place of

performance for these grants. This pattern does not hold true for sex, as both male and female are at or near 50 percent for above and below. The number of non-institutionalized persons with disabilities above the national average is roughly 60 percent of the zip codes. The distribution across the financial indicators is consistent across unemployment, median income, and poverty rates. The distribution for all three of these is nearly 40 percent at or above the national average and 60 percent below. What this means in practical terms is that the primary places of performance for 60 percent of the locations where the grant-funded programs are carried out have lower unemployment rates and less poverty but lower incomes than the other communities. These communities are overwhelmingly less diverse than the national average, with nearly 80 percent of primary places of performance reporting populations with a race of white only. The vacancy rate of housing in these areas is roughly 45 percent above the national average and 55 percent below across this period. In addition to these socioeconomic indicators, the grants reach only 43 percent of the population based on the reported primary place of performance. These grants, intended to help secure the homeland, impact less than half of the nation's population. Any socioeconomic benefit of these grants would be limited to a select number of communities.

C. SUMMARY BY PROGRAM

Ten programs account for \$26,495,316,661, or 93 percent, of the \$28,440,942,227 total obligations of the 60 CFDA numbers included in the consolidated data; these programs are profiled in Appendix D. As described in greater detail in Chapter IV, for grants included in this research, DHS grants obligated approximately \$28.44 billion in funding under 60 CFDA numbers between 2011 and 2020. Appendix D summarizes the 10 highest-funded grants during this era. A grant profile of each examines the most recent appropriation, authorizing legislation, eligible applicants, and other information for each CFDA. Descriptions of the current method of allocation, program intent, application process, performance measures, and place-based provisions are also included. Figure 7 provides the program title, CFDA, and total obligated amount from 2011–2020 for these grants. The information contained in Appendix D is meant to examine whether these DHS grants, which obligated the greatest funding, could be used to target funding based on a socioeconomic need.

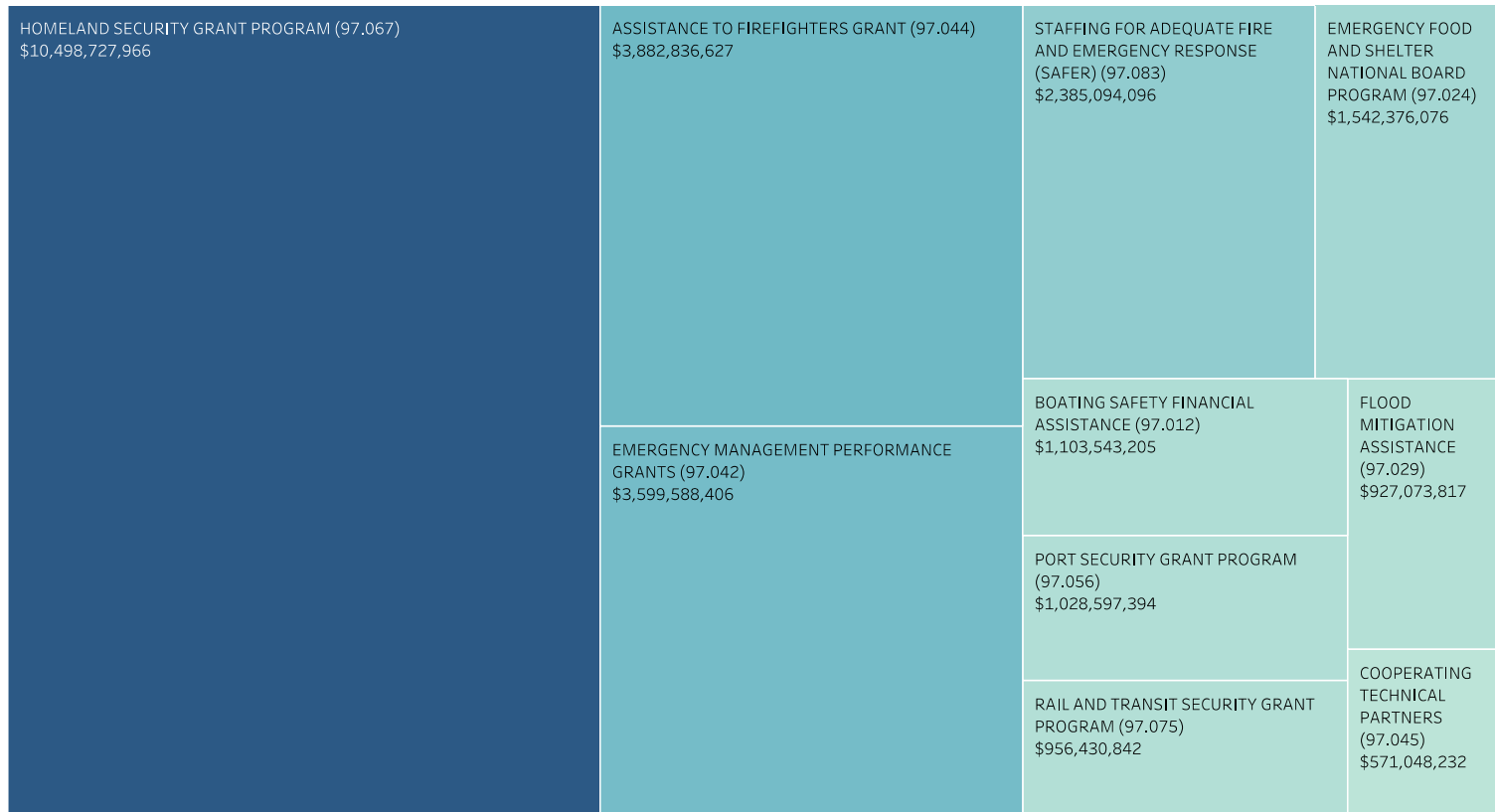


Figure 7. Top 10 Highest-Funded Non-disaster DHS Grant Programs (2011–2020).²⁶⁵

²⁶⁵ Adapted from USA Spending, “Advanced Search.”

D. SUMMARY BY NUMBER OF GRANTS

As noted in the distribution across zip codes, certain communities receive a substantial portion of the funding. This section examines that finding further, looking this time not at the amount of funds obligated but at the number of grant programs the zip code has received over the 2011–2020 period. Are DHS grant activities being performed in places consistently over time, with the potential for socioeconomic impact over time, or are activities limited in those areas? The distribution of grants per zip code and the socioeconomic impact of that distribution are included in this section.

1. Grant and Zip Code Distribution

In my analysis of the number of grants listing each zip code as a primary place of performance, I found that 4,355 zip codes were the primary place of performance for grant activities only once. Alternatively, three communities were the primary place of performance for over 100 activities. Table 11 provides a summary of the range of grants per zip code. I observed that 54 percent of the zip codes were the place of performance for five or fewer activities, meaning that funds were used in those communities for fewer than half the years examined. Another 32 percent had an average of one to two activities per year, represented by the cumulative grants' primary places reported for those zip codes, ranging from 10 to 25 over the 10-year period. Table 11 depicts these data, listing the number of zip codes in the left column and the count of grants in the right. For instance, a single unique zip code was recorded as the primary place of performance for 127 grants, and 2,058 zip codes were recorded as the location for two.

Table 11. Number of Zip Codes Receiving Each Cumulative Grant Total.²⁶⁶

# of Zip Codes	Cumulative Grant Total
1	47 48 49 50 53 58 59 60 62 63 66 68 70 75 90 94 127
2	23 29 30 32 38 40 43 46 52 54 79 86 101
3	33 34 39 42 44 45 55 56
4	26 28 31 35 37
5	25 27 36 41
6	22 24
8	21
9	20
13	18
18	19
19	17
20	16
25	15
27	14
32	13
41	12
59	11
71	10
94	9
143	8
206	7
319	6
497	5
758	4
1,205	3
2,058	2
4,335	1

This distribution of grants conveys that very few places of performance receive a consistent investment of non-disaster DHS grant funds. This finding suggests a limited potential for grants to have a socioeconomic impact since there is no long-term, place-based investment in the areas.

²⁶⁶ Adapted from USA Spending, “Advanced Search.”

2. Socioeconomic Profile

This subsection examines the demographic breakdown of the primary places of performance based on the number of grants received. I selected the groupings as proxies for the estimated grants per year during the 10-year period. For examples, 100 grants average 10 grants per year, and one grant represents one per decade. Like the profile based on zip codes, this analysis conveys minimal variation in sex, with male and female at approximately 50 percent for all groupings except the three primary places of performance with over 100 grants. The most drastic difference between these groupings is the percent of the population served in the primary place of performance. The population that resides in areas that received 1–25 grants in the 10-year period account for 86 percent of the grants. The population of these areas totals 140,006,393—or 43 percent of the total U.S. population of 326,569,308—as cited in the 2020 ACS. In contrast, 1,755,472 reside in the primary places of performance for the other 14 percent of grants, those receiving 50 or more grants in the same period—home to less than one-half of a percent of the population. Table 12 contains the breakdown by grouping of the average socioeconomic indicator. The diversity of the zip codes tends to increase as the number of grants does, with the percent reporting white only at 87.54 percent for areas that were a primary place of performance for a single grant, compared to 77.13 for those over 100. The opposite is true for the poverty rate, which coincides with more grants

Table 12. Socioeconomic Demographic Profile by Number of Cumulative Grants (2011–2020)

# of Grants	# of Zip Codes	% of Grants	2020 Populations	% of Populations	Median Income	Poverty	Unemployment	Vacancy Rate	AVERAGE				
									Age	Male	Female	Race (White)	Disability
1 grant	4,335	13.32%	45,254,153	13.86%	\$57,100	13.80%	7.18%	15.86%	42	49.86%	50.14%	87.54%	14.53%
5 or less	4,518	40.70%	69,869,740	21.40%	\$56,782	14.55%	7.66%	14.44%	41	49.67%	50.33%	84.79%	14.45%
10 or less	833	18.60%	18,003,690	5.51%	\$55,260	16.64%	8.17%	12.99%	39	49.63%	50.37%	79.67%	14.40%
25 or less	290	13.28%	6,878,810	2.11%	\$54,055	20.08%	8.40%	12.37%	37	50.03%	49.97%	76.53%	13.59%
50 or less	71	7.89%	1,384,528	0.42%	\$58,986	18.60%	7.65%	14.31%	34	51.01%	48.99%	65.19%	11.59%
100 or less	26	5.20%	340,166	0.10%	\$56,060	16.58%	7.01%	10.62%	36	52.10%	47.90%	71.48%	13.49%
over 100	3	1.01%	30,778	0.01%	\$46,935	20.03%	5.48%	9.58%	32	58.88%	41.12%	77.13%	11.54%

This view of the distribution of grants demonstrates that the places of performance that receive a consistent investment of non-disaster DHS grant funds are not serving communities with large populations. This finding limits the potential for grants to have a socioeconomic and human security impact as there are fewer residents in areas receiving the greatest number of grants.

E. SUMMARY BY FUNDING LEVEL

Next, I examined the grants not by location of funding, number of grants, or annual obligations but by the cumulative total of funding received. This section summarizes four levels of grant data based on the total amount of funding obligated to each zip code for all programs over the course of the 2011–2020 period: Level 1, less than \$1 million; Level 2, between \$1 million and \$10 million; Level 3, between \$10 million and \$100 million; and Level 4, more than \$100 million. The intent of this analysis was to see whether there was any impact on communities based on the amount of DHS dollars invested in the place of performance. The grant and zip code distribution and socioeconomic impact of each level are included in this section.

1. Grant and Zip Code Distribution

In my analysis of the data by level, I found that over 82 percent of zip codes received a cumulative total obligation in 10 years of less than \$1 million. As I noted in the section on distribution by zip code, funding was heavily concentrated in a small percentage of zip codes. Table 13 provides a summary of the number of grants, zip codes, and obligations of each level. One finding is that Level 4, consisting of places of performance that had over \$100 million, consisted of 43 zip codes, representing 0.43 percent of the zip codes included in this research, but nearly 57 percent of the obligated funding. The average obligation for grants was also significantly higher in Level 4 than other levels. My observation is that while zip codes in Level 1 cover a larger geographic area and greater numbers of grants, the lower funding level results in a lower probability of socioeconomic impact. An average obligation of \$122,817 cannot have the same impact as an average obligation of over \$8 million.

Table 13. Summary of Distribution across Levels.²⁶⁷

Levels	# of Zip Codes	% of Zip Codes	Count of Grants	% of Grants	% of Obligations	Average Obligations	Total Obligations
1 - Less than \$1mil	8,292	82.29%	17,149	52.68%	7.41%	\$122,817.21	\$2,106,192,261.13
2 - \$1mil to \$10mil	1,549	15.37%	9,383	28.82%	14.05%	\$425,831.54	\$3,995,577,356.84
3 - \$10mil to \$100mil	192	1.91%	4,074	12.51%	21.62%	\$1,509,229.45	\$6,148,600,784.79
4 - \$Over \$100mil	43	0.43%	1,948	5.98%	56.93%	\$8,311,381.84	\$16,190,571,824.36

2. Socioeconomic Profile

The socioeconomic profile of the grants by funding level is consistent with the other views, except for median income, whose increases trend upward as the total cumulated obligation does. The disparity in distribution at this level is seen in the percent of the population served by these grants. Level 1, with the lowest obligations, serves the greatest proportion of the population. Table 14 displays the demographic profile for the four funding levels.

Table 14. Socioeconomic Demographic Profile of Places of Performance by Level

Levels	# of Grants	% of Grants	2020 Populations	% of Populations	Median Income	Poverty	Unemployment	Vacancy Rate	AVERAGE				
									Age	Male	Female	Race (White)	Disability
1 - Less than \$1mil	17,149	52.68%	98,206,331	30.07%	\$56,715	13.97%	7.33%	15.37%	42	49.80%	50.20%	87.17%	14.65%
2 - \$1mil to \$10mil	9,383	28.82%	38,980,446	11.94%	\$56,439	17.28%	8.46%	12.35%	38	49.48%	50.52%	76.63%	13.58%
3 - \$10mil to \$100mil	4,074	12.51%	3,817,550	1.17%	\$58,168	20.58%	8.26%	13.90%	35	51.72%	48.28%	67.34%	12.35%
4 - \$Over \$100mil	1,948	5.98%	757,538	0.23%	\$67,929	16.15%	7.41%	10.00%	35	48.63%	51.37%	65.00%	11.27%

This view of the distribution of grants by funding level illustrates that the places of performance receiving the greatest funding through non-disaster DHS grants have a higher median income than those receiving minimal investment. As observed in other analyzes, funding by level also finds that the communities where the primary places of performance are occurring are not serving most of the population. The investment of funds in these zip codes is not having a substantial impact on economic security, with no exceptional differences in unemployment or poverty rates from those receiving less investment.

²⁶⁷ Adapted from USA Spending, “Advanced Search.”

F. SUMMARY BY QUARTILE

My final analysis of this data set was done by assigning zip codes to a quartile. Assessing the distribution as a percent of the total obligations per zip code yielded another view of the place-based impact of these grants. One-quarter of the \$28,440,942,227 in total obligations is \$7,110,235,557. The quartiles, as they are represented in Table 15, vary slightly from this number. This is a result of using the total obligations by zip code to establish the dividing line between each quartile. For instance, the four zip codes in the first quartile account for \$7,22,461,277.31; adding the zip code with the fifth highest obligations raises the total by another \$819,358,917.48, driving it well beyond the value of 25 percent. The distribution across quartiles by number of grants, zip codes, and socioeconomic impact is provided in this section.

1. Grant and Zip Code Distribution

The contrast in funding distribution is most apparent when summarized by quartile, as shown in Table 15. For the period 2011–2020, 25 percent of the funding was obligated to just four zip codes in the first quartile. Over \$7 billion was invested in places of performance, accounting for 0.04 percent of all zip codes included in this data set. Alternatively, over 98 percent of zip codes make up the fourth quartile and largest percentage of grants at nearly 85 percent. The first three quartiles represent fewer than 2 percent of the total zip codes that receive funding. Quartile analysis further demonstrates that funding is concentrated heavily in a small number of geographic areas.

Table 15. Summary of Distribution across Quartiles.²⁶⁸

Quartile	# of Zip Codes	% of Zip Codes	Count of Grants	% of Grants	% of Obligations	Average Obligations	Total Obligations
first	4	0.04%	194	0.60%	25.40%	\$37,239,490.86	\$7,224,461,227.31
second	24	0.24%	1,181	3.63%	25.13%	\$6,050,833.53	\$7,146,034,402.26
third	137	1.36%	3,588	11.02%	24.92%	\$1,974,972.27	\$7,086,200,516.31
fourth	9,911	98.36%	27,591	84.75%	24.56%	\$253,134.94	\$6,984,246,081.24

²⁶⁸ Adapted from USA Spending, “Advanced Search.”

2. Socioeconomic Profile

As with the percent of the zip codes included in the first quartile, a minimal percentage (0.02 percent) of the total U.S. population residing in the zip codes included in this data set live in the four zip codes of the first quartile. Nearly 99 percent of the population resides in the places of performance for the fourth quartile. Like the analysis by level, the first quartile has a much higher median income than the other quartiles. Table 16 provides a summary of the demographic indicators for each quartile.

Table 16. Socioeconomic Demographic Profile of Places of Performance by Quartile

Quartile	# of Grants	% of Grants	2020 Populations	% of Populations	Median Income	Poverty	Unemployment	Vacancy Rate	AVERAGE				
									Age	Male	Female	Race (White)	Disability
first	194	0.60%	69,186	0.02%	\$80,953	17.79%	9.86%	10.03%	36	47.74%	52.26%	68.09%	10.76%
second	1,181	3.63%	414,827	0.13%	\$61,444	16.78%	7.54%	9.16%	34	47.92%	52.08%	66.47%	11.61%
third	3,588	11.02%	2,632,355	0.81%	\$57,909	20.86%	8.16%	13.43%	35	51.48%	48.52%	66.41%	12.56%
fourth	27,591	84.75%	138,645,497	42.46%	\$56,701	14.51%	7.51%	14.90%	41	49.76%	50.24%	85.43%	14.47%

As noted before, four zip codes are the primary place of performance for 25 percent of the grant funds. The second and third quartile, or fewer than 1.5 percent of the zip codes, account for another 50 percent. Moreover, 98 percent of the places of performance receive the final 25 percent. This disparity across quartiles indicates that fiscal investment of non-disaster DHS grants is made in areas that serve very few geographic areas and a small percentage of the population. I observed that the areas of the fourth quartile, serving the highest percentage of the population of all quartiles, have the lowest median income and highest vacancy rates. These areas are also more diverse, with the smallest proportion of people reporting white only as their race. Like the analysis of the data by zip codes, funding in zip codes that represent state capitals and other places of low concentration has the potential to skew the data, thus making such measurements impractical for assessing the impact.

G. OVERALL SOCIOECONOMIC IMPACT

Differences between regressions were used to see whether there was a measurable impact of receiving non-disaster DHS grants on any of the socioeconomic indicators. Arguably, from the previous analysis, it does not appear that DHS grants are targeted toward communities with the most socioeconomic need. However, differences between approaches allow for the notion that communities that receive grants (the treated) and those that do not (the untreated) are different in ways that cannot be expressly measured. The difference in approach allows researchers to ask whether communities that received grants in the first five-year period of the study (2010–2014) experienced measurable improvements in their socioeconomic indicators between the first and second period.²⁶⁹

To control for the problem with state capitals' receiving high concentrations of funding—funding not likely reinvested in the surrounding communities—a second set of regressions excluded communities with more than two grants and those with fewer. Additionally, because some of these grants inevitably go to affluent communities, I excluded all communities above the national average in a third round of analysis. There were no significant impacts to the socioeconomic demographics observed in any of these analyses. It is possible that an analysis over an extended period would observe long-term impacts. However, this decade of data indicates no socioeconomic impact after the investment of non-disaster grants from DHS.

H. CONCLUSION

The various methods of analyzing these non-disaster DHS grants found that to no extent did they have a socioeconomic impact on the places of performance where grant activities were carried out. While there were some variances in the socioeconomic profiles of those places, these were not the most drastic disparities observed in the analysis. What my analysis found was that funding is heavily concentrated in several ways. Some states and zip codes receive a large proportion of the funding, especially compared to populations

²⁶⁹ Shahidur R. Khandker, Gayatri B. Koolwal, and Hussain A. Samad, *Handbook on Impact Evaluation: Quantitative Methods and Practices* (Washington, DC: World Bank, 2010), <https://openknowledge.worldbank.org/handle/10986/2693>.

of those places of performance. Also, some grant programs have great potential to make a significant impact should place-based allocation be implemented due to the amount of funds invested in them. Another finding is that funding has been distributed in a way that concentrates the most grants and dollars in areas that do not benefit the greatest expanse of the homeland. These analyses did not find a socioeconomic impact or support that socioeconomics should be a factor in allocating funds. However, it did clearly demonstrate that the current allocation of funding goes to serve a subset or a small portion of the nation and not the homeland in a consistent manner.

THIS PAGE INTENTIONALLY LEFT BLANK

VI. ANALYSIS AND CONCLUSION

To what extent have grants administered by DHS had a socioeconomic impact on communities, and should socioeconomic vulnerability be factored into DHS's grant funding distribution decisions? The conclusion of this thesis provides a summary of the research findings, recommendations for areas of future research, and policy recommendations for DHS to consider.

A. RESEARCH FINDINGS

The answer to the first portion of the research question—To what extent have grants administered by DHS had a socioeconomic impact on communities?—is none. Whether a primary place of performance received a million or a billion dollars of funding, one grant or one hundred, a grant one year or multiple grants every year for a decade, there were no significant impacts on the socioeconomic indicators examined in this research. As observed in the various analyses presented in Chapter V, the activities funded by non-disaster DHS grants occurs in a very small percentage of primary places of performance, and those areas correspond with a small fraction of the population.

The answer to the second part of the research question—Should socioeconomic vulnerability be factored into DHS's grant funding distribution decisions?—is yes, maybe. As described in Chapter VI, some DHS programs have very specific facilities targeted for the use of grant funds whereby socioeconomic vulnerability should not be factored into funding decisions. These are grants that serve areas such as ports and railways where the homeland security threat is to the facility. However, others have the potential for factoring it in. The SVI is already being factored into FEMA's non-disaster mitigation grant programs, and another program bases its allocations on population. Another DHS grant provides for cost-share reductions for areas based on population. One program has started to strongly encourage consideration of how grant activities support underserved, at-risk communities. For grants with statutory requirements for states to pass a percentage of funds through to local and tribal governments, there is potential to incorporate socioeconomic vulnerability into the distribution. Regardless, the question of whether DHS should do so

has been answered through the issuance of the 2021 equity EO. The question is now how and when DHS will implement strategies to invest in underserved communities.

B. AREAS FOR FUTURE RESEARCH

One of my consistent struggles with this thesis was the quality of the data from the FFATA-mandated websites. A suggested area of future research is an examination of the systems implemented under that act and opportunities to improve the interoperability of the systems and the quality of the data. Another area within DHS is to examine the authorizing statutes and implementing regulations for all non-disaster grant programs to determine to what extent, within the existing framework, DHS can begin to incorporate the intent of the EO into the allocation of funds. This future research should also examine the DHS grant programs that continue to focus heavily on terrorism and determine whether there is flexibility to assess options for addressing other areas of the DHS mission, such as economic security, into the programs' priorities. Additionally, DHS should examine the barriers to grant applications across all its grant programs and look for opportunities to do outreach in underserved communities and provide technical assistance to new applicants to help them navigate the process. This thesis examined the socioeconomic impact of grants that were awarded—but not applications rejected or never submitted. A final suggested area of future research would be in case studies of the primary places of performance found through this research to have high concentrations of funding or numbers of grants, examining the impact of those grants on the geographic area to determine whether other measures could be used to assess the impact of DHS's non-disaster grant funding.

C. POLICY RECOMMENDATIONS

To maximize the potential of DHS's non-disaster grant funds, implementing the goals of the EO, DHS should consider a pilot program like the Promise Zones Initiative that makes a deliberate effort to concentrate funding in a geographic area and establish measurable outcomes to determine how that investment impacts the security of the community. Another suggestion would be to improve consistency in the application process. As seen in Appendix D, nearly every one of the top 10 funding programs has a different process and different length of time that applicants need to follow to submit their

applications. Simplifying and aligning the policy for receiving and reviewing grant applications across DHS may help reduce barriers to accessing funds and improve efficiencies. The final recommendation is to improve the policies to require performance measures that more accurately report outcomes for improving homeland security.

THIS PAGE INTENTIONALLY LEFT BLANK

APPENDIX A. DHS AGENCIES

Table 17. Agencies Combined under DHS since Its Creation.²⁷⁰

Prior to 9/11	After the Creation of DHS
The U.S. Customs Service (Treasury)	U.S. Customs and Border Protection - inspection, border and ports of entry responsibilities U.S. Immigration and Customs Enforcement - customs law enforcement responsibilities
The Immigration and Naturalization Service (Justice)	U.S. Customs and Border Protection - inspection functions and the U.S. Border Patrol U.S. Immigration and Customs Enforcement - immigration law enforcement: detention and removal, intelligence, and investigations U.S. Citizenship and Immigration Services - adjudications and benefits programs
The Federal Protective Service	U.S. Immigration and Customs Enforcement until 2009); currently resides within the National Protection and Programs Directorate
The Transportation Security Administration (Transportation)	Transportation Security Administration
Federal Law Enforcement Training Center (Treasury)	Federal Law Enforcement Training Center
Animal and Plant Health Inspection Service (part)(Agriculture)	U.S. Customs and Border Protection - agricultural imports and entry inspections
Office for Domestic Preparedness (Justice)	Responsibilities distributed within FEMA
The Federal Emergency Management Agency (FEMA)	Federal Emergency Management Agency
Strategic National Stockpile and the National Disaster Medical System (HHS)	Returned to Health and Human Services, July, 2004
Nuclear Incident Response Team (Energy)	Responsibilities distributed within FEMA
Domestic Emergency Support Teams (Justice)	Responsibilities distributed within FEMA
National Domestic Preparedness Office (FBI)	Responsibilities distributed within FEMA

²⁷⁰ Source: Department of Homeland Security, "Who Joined DHS."

Prior to 9/11	After the Creation of DHS
CBRN Countermeasures Programs (Energy)	Science & Technology Directorate
Environmental Measurements Laboratory (Energy)	Science & Technology Directorate
National BW Defense Analysis Center (Defense)	Science & Technology Directorate
Plum Island Animal Disease Center (Agriculture)	Science & Technology Directorate
Federal Computer Incident Response Center (GSA)	US-CERT, Office of Cybersecurity and Communications in the National Protection and Programs Directorate
National Communications System (Defense)	Office of Cybersecurity and Communications in the National Protection and Programs Directorate
National Infrastructure Protection Center (FBI)	Dispersed throughout the Department, including Office of Operations Coordination and Office of Infrastructure Protection
Energy Security and Assurance Program (Energy)	Integrated into the Office of Infrastructure Protection
U.S. Coast Guard	U.S. Coast Guard
U.S. Secret Service	U.S. Secret Service

APPENDIX B. DHS CFDA NUMBERS

This table summarizes the status of the CFDA's examined for this research. The “active” columns refer to their status on SAM.gov and the Single Audit Resource Center.²⁷¹ If the CFDA number was included in the data pulled from the USA Spending website, it is marked as “reported.”²⁷² The “excluded” column comprises grants that were excluded for the reasons described in Chapter IV.

Table 18. CFDA's Examined in This Thesis.²⁷³

CFDA	Program Name/Status	Active	Reported	Excluded
97.001	2008: Deleted (Special Projects/Pilot Demonstrations)	-	✓	-
97.002	2003 (B): Research Projects	-	-	-
97.003	2003 (B): Agriculture Inspection	-	-	-
97.004	2014: Archived (State Domestic Preparedness Equipment Support Program)	-	-	-
97.005	State and Local Homeland Security National Training Program	✓	✓	✓
97.006	2009: Archived (State and Local Homeland Security Exercise Support)	-	✓	-
97.007	Homeland Security Preparedness Technical Assistance Program	✓	✓	-
97.008	Non-Profit Security Program	✓	✓	-
97.009	Cuban/Haitian Entrant Program	✓	✓	-
97.010	Citizenship Education and Training	✓	✓	-
97.011	2010: Archived (Boating Safety)	-	-	-
97.012	Boating Safety Financial Assistance	✓	✓	-
97.013	2012: Archived (State Access to the Oil Spill Liability Trust Fund)	-	-	-
97.014	2009: Archived (Bridge Alteration)	-	-	-
97.015	2010: Archived (Secret Service Training Activities)	-	-	-
97.016	2014: Archived (Reimbursement for Firefighting on Federal Property)	-	-	-
97.017	2004: Pre-Disaster Mitigation (PDM) Competitive Grants	-	✓	-

²⁷¹ System for Award Management, “Assistance Listings”; Single Audit Resource Center.

²⁷² USA Spending, “Advanced Search.”

²⁷³ Adapted from System for Award Management, “Assistance Listings”; Single Audit Resource Center; USA Spending, “Advanced Search.”

CFDA	Program Name/Status	Active	Reported	Excluded
97.018	National Fire Academy Training Assistance	✓	✓	✓
97.019	2012: Archived (National Fire Academy Educational Program)	-	-	-
97.020	2010: Archived (Hazardous Materials Training Program)	-	✓	-
97.021	2010: Archived (Hazardous Materials Assistance Program)	-	✓	-
97.022	Flood Insurance	✓	-	-
97.023	Community Assistance Program State Support Services Element (CAP-SSSE)	✓	✓	-
97.024	Emergency Food and Shelter National Board Program	✓	✓	-
97.025	National Urban Search and Rescue (US&R) Response System	✓	✓	✓
97.026	Emergency Management Institute Training Assistance	✓	-	✓
97.027	Emergency Management Institute (EMI) Independent Study Program	✓	-	✓
97.028	Emergency Management Institute (EMI) Resident Educational Program	✓	-	✓
97.029	Flood Mitigation Assistance	✓	✓	-
97.030	Community Disaster Loans	✓	-	✓
97.031	Cora Brown Fund	-	-	-
97.032	Crisis Counseling	✓	✓	✓
97.033	Disaster Legal Services	✓	-	✓
97.034	Disaster Unemployment Assistance	✓	-	✓
97.035	2004: Deleted (Individual and Family Grants)	-	✓	✓
97.036	Disaster Grants - Public Assistance (Presidentially Declared Disasters)	✓	✓	✓
97.037	2004: Deleted (Disaster Housing Program)	-	✓	✓
97.038	2005: Deleted (First Responder Counter-Terrorism Training Assistance)	-	-	-
97.039	Hazard Mitigation Grant	✓	✓	✓
97.040	Chemical Stockpile Emergency Preparedness Program	✓	✓	-
97.041	National Dam Safety Program	✓	✓	-
97.042	Emergency Management Performance Grants	✓	✓	-
97.043	State Fire Training Systems Grants	✓	✓	-
97.044	Assistance to Firefighters Grant	✓	✓	-
97.045	Cooperating Technical Partners	✓	✓	-
97.046	Fire Management Assistance Grant	✓	✓	✓
97.047	BRIC: Building Resilient Infrastructure and Communities	✓	✓	✓
97.048	Federal Disaster Assistance to Individuals and Households in Presidential Declared Disaster Areas	✓	✓	✓

CFDA	Program Name/Status	Active	Reported	Excluded
97.049	Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households	-	✓	✓
97.050	Presidential Declared Disaster Assistance to Individuals and Households - Other Needs	✓	✓	✓
97.051	2005: Deleted (State and Local All Hazards Emergency Operations Planning)	-	-	-
97.052	Emergency Operations Center	✓	✓	-
97.053	Citizens-Community Resilience Innovation Challenge	-	✓	-
97.054	2003 (B): Transferred from 83.565	-	-	-
97.055	Interoperable Emergency Communications	✓	✓	-
97.056	Port Security Grant Program	✓	✓	-
97.057	Intercity Bus Security Grants	✓	✓	-
97.058	2012: Archived (Operation Safe Commerce (OSC) Cooperative Agreement Program)	-	-	-
97.059	2013: Archived (Truck Security Program)	-	✓	-
97.060	2010: Archived (Port Security Research and Development Grant)	-	-	-
97.061	Centers for Homeland Security	✓	✓	✓
97.062	Scientific Leadership Awards	✓	✓	✓
97.063	2004: 97.063 Pre-Disaster Mitigation Disaster Resistant Universities	-	-	-
97.064	2010: Archived (Debris Removal Insurance)	-	-	-
97.065	Archived (Homeland Security Advanced Research Projects Agency)	-	✓	-
97.066	2014: Archived (Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program)	-	✓	-
97.067	Homeland Security Grant Program	✓	✓	-
97.068	Competitive Training Grant	-	✓	✓
97.069	2014: Archived (Aviation Research Grants)	-	✓	✓
97.070	Map Modernization Management Support	-	✓	-
97.071	2012: Archived (Metropolitan Medical Response System)	-	-	-
97.072	2012: Archived (National Explosives Detection Canine Team Program)	-	✓	-
97.073	State Homeland Security Program (SHSP)	-	-	-
97.074	2010: Archived (Law Enforcement Terrorism Prevention Program (LETTP))	-	-	-
97.075	Rail and Transit Security Grant Program	✓	✓	-
97.076	CyberTipline	✓	✓	-

CFDA	Program Name/Status	Active	Reported	Excluded
97.077	Homeland Security Research, Development, Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Threat Detection	✓	✓	-
97.078	Buffer Zone Protection Program (BZPP)	-	✓	-
97.079	2010: Archived (Public Alert Radios for Schools)	-	-	-
97.080	Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection	-	✓	-
97.081	2010: Archived (Law Enforcement Training and Technical Assistance)	-	-	-
97.082	Earthquake Consortium	✓	✓	-
97.083	Staffing for Adequate Fire and Emergency Response (SAFER)	✓	✓	-
97.084	2012: Archived (Hurricane Katrina Case Management Initiative Program)	-	-	-
97.085	2010: Archived (9/11 Heroes Stamp Program)	-	-	-
97.086	2012: Archived (Homeland Security Outreach, Education, and Technical Assistance)	-	✓	✓
97.087	Alternative Housing Pilot Program	-	✓	✓
97.088	Disaster Assistance Projects	✓	✓	✓
97.089	Driver's License Security Grant Program	✓	✓	-
97.090	2012: Archived (Law Enforcement Officer Reimbursement Agreement Program)	-	✓	-
97.091	Homeland Security Biowatch Program	✓	✓	-
97.092	Repetitive Flood Claims	✓	✓	-
97.093	Fire Service Hazardous Materials Preparedness and Response	-	✓	-
97.094	2012: Archived (Prevention Advocacy Resources and Data Exchange Program)	-	✓	-
97.095	2012: Archived (Safe Kids Worldwide)	-	✓	✓
97.096	2010: Archived (Commercial Equipment Direct Assistance Program [CEDAP])	-	-	-
97.097	Training Resource and Data Exchange	-	✓	✓
97.098	2012: Archived (Disaster Donations Management Program)	-	✓	✓
97.099	2012: Archived (Residential Fire Safety & Fire Sprinkler Initiatives)	-	-	-
97.100	2010: Archived (Airport Checked Baggage Screening Program)	-	-	-
97.101	National Fallen Firefighters Memorial	-	-	-
97.102	Alternatives to Detention (ATD) Case Management Program (CMPP)	✓		

CFDA	Program Name/Status	Active	Reported	Excluded
97.103	Degrees at a Distance Program	-	✓	✓
97.104	Homeland Security–Related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program	-	✓	✓
97.105	2012: Archived (Firefighter Health and Safety)	-	✓	-
97.106	Securing the Cities Program	✓	✓	-
97.107	National Incident Management System (NIMS)	✓	✓	✓
97.108	Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies	✓	✓	-
97.109	Disaster Housing Assistance Grant	-	✓	✓
97.110	Severe Repetitive Loss Program	✓	✓	-
97.111	Regional Catastrophic Preparedness Grant Program (RCPGP)	✓	✓	-
97.112	2012: Archived (Border Infrastructure Improvement Projects)	-	-	-
97.113	Rail and Transit Security Grant Program (ARRA)	-	✓	-
97.114	Emergency Food and Shelter National Board Program (ARRA)	-	✓	-
97.115	Assistance to Firefighters Grant (ARRA)	-	✓	-
97.116	Port Security Grant Program (ARRA)	-	✓	-
97.117	2012: Archived (TSA Airport Checked Baggage Inspection System Program [ARRA])	-	✓	-
97.118	2012: Archived (Advanced Surveillance Program [ASP])	-	-	-
97.119	2012: Archived (Olympics First Responder Training)	-	-	-
97.120	Border Interoperability Demonstration Project	✓	✓	-
97.121	2014: Archived (Radiological/Nuclear Detection Pilot Evaluations Program)	-	✓	-
97.122	Bio-Preparedness Collaboratory	-	✓	-
97.123	Multi-State Information Sharing and Analysis Center	✓	✓	✓
97.124	Interoperable Communications and Training Project	-	✓	✓
97.125	2014: Archived (Virginia Operational Integration Cyber Center of Excellence)	-	✓	-
97.126	National Special Security Event	-	✓	-
97.127	Cybersecurity Education and Training Assistance Program (CETAP)	✓	✓	✓
97.128	National Cyber Security Awareness	✓	✓	✓
97.129	Securing Critical Underground Infrastructure Pilot Program	-	✓	✓
97.130	National Nuclear Forensics Expertise Development Program	✓	✓	✓

CFDA	Program Name/Status	Active	Reported	Excluded
97.131	Emergency Management Baseline Assessments Grant (EMBAG)	✓	-	-
97.132	Financial Assistance for Countering Violent Extremism	✓	✓	-
97.133	Preparing for Emerging Threats and Hazards	✓	✓	-
97.134	Presidential Residence Protection Security Grant	✓	✓	✓
97.137	State and Local Cybersecurity Grant Program Tribal Cybersecurity Grant Program	✓	-	-

APPENDIX C. AMERICAN COMMUNITY SURVEY DATA USED

Table 19. ACS Data Points for Socioeconomic Analysis, 2011–2020.²⁷⁴

Demographic	ACS Table	Description	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020		
Age	DP05	DP05_0017E	Estimate!!SEX AND AGE!!Median age (years)	BM	BM	BM	BM	BM	BM					
		DP05_0018E	Estimate!!SEX AND AGE!!Total population!!Median age (years)							BQ	KQ	BQ	BQ	
Sex	DP05	DP05_0002PE	Percent!!SEX AND AGE!!Male	G	G	G	G	G	G	G	IG	G	G	
		DP05_0003PE	Percent!!SEX AND AGE!!Female	K	K	K	K	K	K	K	IK	K	K	
Disability	S1810	S1810_C03_001E	Percent with a disability!!Estimate!!Total civilian noninstitutionalized population	N/A	FS	FS	FS	JS	JS	JS	JS	JS	JS	
Employment	S2301	S2301_C04_001E	Unemployment rate!!Estimate!!Population 16 years and over	GA	GA	GA	GA	HE	HE	HE	HE	HE	HE	
Median Income	S1903	S1903_C02_001E	Median income (dollars)!!Estimate!!Households	BK	BK	BK	BK	BK	BK					
	S1903	S1903_C03_001E	Estimate!!Median income (dollars)!!HOUSEHOLD INCOME BY RACE AND HISPANIC OR LATINO ORIGIN OF HOUSEHOLDER!!Households							FG	FG	FG	FG	
Poverty	S1701	S1701_C03_001E	Percent below poverty level!!Estimate!!Population for whom poverty status is determined	N/A	GE	GE	GE	IM	IM	IM	IM	IM	IM	
Race	DP05	DP05_0059PE	Percent!!RACE!!White	IA	IA									
			Percent!!RACE!!Race alone or in combination with one or more other races!!Total population!!White				IA	IA	IA	IA				
		DP05_0064PE	Percent Estimate!!Race alone or in combination with one or more other races!!Total population!!White							IU	EB	IU	IU	
Population	DP05	DP05_0001E	Estimate!!SEX AND AGE!!Total population	A	A	A	A	A	A	A	IA	A	A	
Housing	DP04	DP04_0003PE	Percent!!HOUSING OCCUPANCY!!Total housing units!!Vacant housing units	K	K	K	K	K	K	L	K	K	K	

²⁷⁴ Adapted from U.S. Census Bureau, “Explore Census Data.”

THIS PAGE INTENTIONALLY LEFT BLANK

APPENDIX D. TOP 10 FUNDED DHS GRANT PROFILES

A. HOMELAND SECURITY GRANT PROGRAM

Encompasses: State Homeland Security Program (SHSP), Urban Area Security Initiative (UASI), and Operation Stonegarden (OPSG).²⁷⁵

2011–2020 Funding Obligated: \$10,498,727,966.²⁷⁶

2022 Appropriation: \$1.12B (\$415M SHSP, \$615M UASI, and \$90M OPSG).²⁷⁷

Authorizing Legislation: “Section 2002 of the Homeland Security Act of 2002 (Pub. L. No. 107–296, as amended) (6 U.S.C. § 603).”²⁷⁸

CFDA: 97.067.²⁷⁹

DHS Component: FEMA.²⁸⁰

Eligible Applicants: The State Administrative Agencies (SAAs) of “all 56 states and territories, including 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.”²⁸¹

Application Process: FEMA provides a 30-day window to submit an initial application in the Grants.gov portal and the final application in its Non-Disaster (ND) Grants System.²⁸²

Funding Decisions: Allocation for the SHSP and UASI grants are predetermined and included in the NOFO. Allocation of OPSG is based on a border security risk assessment and the anticipated effectiveness of the grants. For approval of SHSP and UASI grants, the investment justification must allocate a minimum of 12

²⁷⁵ Federal Emergency Management Agency, Grant Programs Directorate, *FEMA Preparedness Grants Manual* (Washington, DC: Federal Emergency Management Agency, 2020), 7.

²⁷⁶ USA Spending, “Advanced Search.”

²⁷⁷ “Homeland Security Grant Program,” Federal Emergency Management Agency, accessed July 31, 2022, <https://www.fema.gov/grants/preparedness/homeland-security>.

²⁷⁸ Federal Emergency Management Agency.

²⁷⁹ Federal Emergency Management Agency.

²⁸⁰ Federal Emergency Management Agency.

²⁸¹ Federal Emergency Management Agency.

²⁸² Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Homeland Security Grant Program” (Washington, DC: Department of Homeland Security, 2022).

percent to the four target areas (“Soft Targets/Crowded Places, Intelligence and Information Sharing, Countering Domestic Violent Extremism, and Community Preparedness and Resilience”).²⁸³ Additional funding priorities for FY2022 that do not have an associated minimum funding percentage include enhancing cybersecurity and election security. All projects must have a nexus to terrorism. The FY2022 national priority for the OPSG is “enhancing information and intelligence sharing and analysis, and cooperation with federal agencies.”²⁸⁴

Program Intent: “Risk-based grants to assist [state, local, tribal, and territorial] SLTT efforts in preventing, preparing for, protecting against, and responding to acts of terrorism” by building, sustaining, and delivering capabilities.²⁸⁵

SHSP: Assists SLTT governments.

UASI: Assists high-threat, high-density urban areas.

OPSG: Enhances cooperation between SLTT law enforcement agencies and Customs and Border Protection (CBP), United States Border Patrol to secure U.S. borders along Canada, Mexico, and international waters.²⁸⁶

Performance Measures: For SHSP and UASI, percent of funding or projects allocated, and projects identified that address a capability gap. For OPSG, the number of arrests and value of drug seizures.²⁸⁷

Place-Based Provision: The SAAs are statutorily mandated to pass-through 80 percent of SHSP and UASI funds “to local units of government, combinations of local units, tribal governments, or other specific groups or organization.”²⁸⁸

B. ASSISTANCE TO FIREFIGHTERS GRANT

2011–2020 Funding Obligated: \$3,882,836,627.²⁸⁹

2021 Appropriation: \$414M.²⁹⁰

²⁸³ Department of Homeland Security.

²⁸⁴ Department of Homeland Security.

²⁸⁵ Federal Emergency Management Agency, Grant Programs Directorate, *FEMA Preparedness Grants Manual*, 2020, 7.

²⁸⁶ Federal Emergency Management Agency, Grant Programs Directorate, 7.

²⁸⁷ Department of Homeland Security, “Notice of Funding Opportunity Fiscal Year 2022 Homeland Security Grant Program.”

²⁸⁸ Department of Homeland Security.

²⁸⁹ USA Spending, “Advanced Search.”

²⁹⁰ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2021 Assistance to Firefighters Grant (AFG) Program” (Washington, DC: Department of Homeland Security, 2021), 5, https://www.fema.gov/sites/default/files/documents/fema_fy21-afg-nofo.pdf.

Authorizing Legislation: “Section 33 of the Federal Fire Prevention and Control Act of 1974, Pub. L. No. 93-498, as amended (15 U.S.C § 2229); and Section 4013 of the American Rescue Plan Act of 2021, Pub. L. No. 117-2.”²⁹¹

CFDA: 97.044.²⁹²

DHS Component: FEMA.²⁹³

Eligible Applicants: State fire academies or fire departments and nonaffiliated emergency medical services organizations, “operating in any of the 50 states, as well as fire departments in the District of Columbia, the Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Puerto Rico, or any federally recognized Indian tribe or tribal organization.”²⁹⁴

Application Process: FEMA provides a 39-day window to initiate its application in the Grants.gov portal as well as submit a final application in FEMA’s Grants Outcomes System (FEMA GO).²⁹⁵

Funding Decisions: Fire service professionals form the Criteria Development Panel (CDP) and recommend to FEMA the funding priorities and criteria each year. FEMA then reviews applications against those priorities and ranks them.²⁹⁶ The ranking occurs after a pre-scoring process that is completed electronically, a peer review panel process, and a technical evaluation process.²⁹⁷

Program Intent: “To provide critically needed resources that equip and train emergency personnel to recognized standards, enhance operational efficiencies, foster interoperability, and support community resilience.”²⁹⁸

Performance Measures: The percent of recipients who equipped 100 percent of on-duty active members with personal protective equipment, who reported “grant award [that] brought them into compliance with . . . standards,” who successfully replaced fire vehicles, who achieved level I or level II firefighter training, who

²⁹¹ Department of Homeland Security, 3.

²⁹² Department of Homeland Security, 3.

²⁹³ Department of Homeland Security, 3.

²⁹⁴ Department of Homeland Security, 5–6.

²⁹⁵ Department of Homeland Security, 13.

²⁹⁶ Department of Homeland Security, 19.

²⁹⁷ Department of Homeland Security, 20–21.

²⁹⁸ Department of Homeland Security, 3.

maintained physical or mental operational readiness, or whose facility projects brought them into compliance with housing and readiness standards.²⁹⁹

Place-Based Provision: For applicants serving an area with fewer than 20,000, the non-federal cost share is reduced from 15 percent to 5 percent; for an area of 20,000 to one million, it is 10 percent; for over one million, it remains 15 percent.³⁰⁰ A portion of the peer review includes an evaluation of financial distress described by the applicant.³⁰¹

C. EMERGENCY MANAGEMENT PERFORMANCE GRANT

2011–2020 Funding Obligated: \$3,599,588,406³⁰²

2022 Appropriation: \$405.1M³⁰³

Authorizing Legislation: “Section 662 of the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA), as amended, (Pub. L. No. 109-295) (6 U.S.C. § 762); the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (Pub. L. No. 93-288) (42 U.S.C. §§ 5121 et seq.); the Earthquake Hazards Reduction Act of 1977, as amended (Pub. L. No. 95-124) (42 U.S.C. §§ 7701 et seq.); and the National Flood Insurance Act of 1968, as amended (Pub. L. No. 90-448) (42 U.S.C. §§ 4001 et seq.).”³⁰⁴

CFDA: 97.042.³⁰⁵

DHS Component: FEMA.³⁰⁶

Eligible Applicants: “State or territorial governments (the State Administrative Agency or the state’s Emergency Management Agency)” of “all 56 states and territories, as well as the Republic of the Marshall Islands and the Federated States of Micronesia.”³⁰⁷

²⁹⁹ Department of Homeland Security, 4–5.

³⁰⁰ Department of Homeland Security, 8.

³⁰¹ Department of Homeland Security, 23.

³⁰² USA Spending, “Advanced Search.”

³⁰³ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Emergency Management Performance Grant (EMPG) Program” (Washington, DC: Department of Homeland Security, 2022).

³⁰⁴ Department of Homeland Security, 5.

³⁰⁵ Department of Homeland Security, 4.

³⁰⁶ Department of Homeland Security, 3.

³⁰⁷ Department of Homeland Security, 28.

Application Process: FEMA provides a 61-day window to submit an initial application in the Grants.gov portal and submit the final application in its ND Grants System.³⁰⁸

Funding Decisions: A base amount equaling 0.75 percent of the total allocated funds are set aside for each of the 50 states, the District of Columbia, and Puerto Rico; 0.25 percent is set aside for each of the four territories; a base of \$100,000 is set aside for the Federated States of Micronesia and for the Republic of the Marshall Islands. The remaining balance is distributed based on population.³⁰⁹

Program Intent: “Provide funds to assist state, local, tribal, and territorial emergency management agencies in obtaining the resources required for implementation of the National Preparedness System and the National Preparedness Goal . . . of a secure and resilient nation.”³¹⁰

Performance Measures: Percent of funded projects and dollars spent that align with capability gaps, percent of funded projects that address high-priority core capabilities, percent of funding allocated to FEMA Regional Administrator priorities, percent of planning/training/exercise projects aligned with identified capability gaps.³¹¹

Place-Based Provision: “States and territories are strongly encouraged to explore how EMPG Program-funded activities can address the needs of underserved, at-risk communities to help ensure consistent and systematic, fair, just and impartial treatment of all individuals before, during and after a disaster.”³¹² Equity considerations in the implementation of FY2022 grants “should be factored” but will not be required until FY2023.³¹³

D. STAFFING FOR ADEQUATE FIRE AND EMERGENCY RESPONSE (SAFER)

2011–2020 Funding Obligated: \$2,385,094,096.³¹⁴

³⁰⁸ Department of Homeland Security, 31, 36–37.

³⁰⁹ Department of Homeland Security, 20–21.

³¹⁰ Federal Emergency Management Agency, Grant Programs Directorate, *FEMA Preparedness Grants Manual*, 2020, 8.

³¹¹ Federal Emergency Management Agency, “Notice of Funding Opportunity Fiscal Year 2022 Emergency Management Performance Grant,” 20.

³¹² Federal Emergency Management Agency, 9–10.

³¹³ Federal Emergency Management Agency, 10.

³¹⁴ USA Spending, “Advanced Search.”

2021 Appropriation: \$560M.³¹⁵

Authorizing Legislation: “Section 34 of the Federal Fire Prevention and Control Act of 1974, Pub. L. No. 93-498, as amended (15 U.S.C § 2229a); and Section 4013 of the American Rescue Plan Act of 2021, Pub. L. No. 117-2.”³¹⁶

CFDA: 97.083.³¹⁷

DHS Component: FEMA.³¹⁸

Eligible Applicants: “Fire departments operating in any of the 50 states, as well as fire departments in the District of Columbia, the Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Puerto Rico, or any federally recognized Indian tribe or tribal organization.”³¹⁹

Application Process: FEMA provides a 32-day window to submit an application through FEMA GO.³²⁰

Funding Decisions: As with the AFG, fire service professionals form the CDP and recommend the funding priorities and criteria, which are then used by FEMA to review and rank applications. Additional financial and narrative reviews are completed to support selection using electronic pre-scoring, peer review panel, and a technical evaluation process.³²¹

Program Intent: “The SAFER Program provides funding directly to fire departments and volunteer firefighter interest organizations to assist in increasing the number of firefighters to help communities meet industry minimum standards and attain 24-hour staffing to provide adequate fire protection from fire and fire-related hazards, and to fulfill traditional missions of fire departments.”³²²

³¹⁵ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2021 Staffing for Adequate Fire and Emergency Response (SAFER) Grant Program” (Washington, DC: Department of Homeland Security, 2021), 5.

³¹⁶ Department of Homeland Security, 3.

³¹⁷ Department of Homeland Security, 3.

³¹⁸ Department of Homeland Security, 3.

³¹⁹ Department of Homeland Security, 6.

³²⁰ Department of Homeland Security, 12.

³²¹ Department of Homeland Security, 17–20.

³²² Department of Homeland Security, 3.

Performance Measures: The percent of “majority career” or “majority volunteer” structural fire responses that comply with the applicable standards; percent of recipients who used support and reported that grants increased compliance.³²³

Place-Based Provision: No economic hardship waivers are available for SAFER.³²⁴

E. EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM

Encompasses: “Funds local social service organizations aiding our nation’s hungry and homeless and for organizations providing humanitarian assistance to migrant families and individuals encountered by DHS.”³²⁵

2011–2020 Funding Obligated: \$1,542,376,076.³²⁶

2022 Appropriation: \$280M (\$130M for regular program and \$150M for humanitarian relief).³²⁷

Authorizing Legislation: “Section 311 of the McKinney-Vento Homeless Assistance Act of 1987 (Pub. L. No. 100-77, as amended) (42 U.S.C. §11341); Department of Homeland Security Appropriations Act, 2022, Section 543 (Pub. L. No. 117-103).”³²⁸

CFDA: 97.024.³²⁹

DHS Component: FEMA.³³⁰

Eligible Applicants: “Local nonprofit, faith-based, and governmental organizations in the United States that have provided, or will provide, shelter and other supportive

³²³ Department of Homeland Security, 4.

³²⁴ Department of Homeland Security, 7.

³²⁵ Federal Emergency Management Agency, “Emergency Food and Shelter Program.”

³²⁶ USA Spending, “Advanced Search.”

³²⁷ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Emergency Food and Shelter National Board Program DHS Appropriations Act, 2022, Section 543 (\$150 Million – Humanitarian Relief)” (Washington, DC: Department of Homeland Security, 2022), 1, <https://www.grants.gov/web/grants/view-opportunity.html?oppId=339390>; Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Emergency Food and Shelter National Board Program (\$130 Million – Regular Program)” (Washington, DC: Department of Homeland Security, 2022), <https://www.grants.gov/web/grants/view-opportunity.html?oppId=339534>.

³²⁸ Department of Homeland Security, “Notice of Funding Opportunity Fiscal Year 2022 Emergency Food and Shelter National Board Program (\$130 Million),” 4.

³²⁹ Department of Homeland Security, 4.

³³⁰ Federal Emergency Management Agency, “Emergency Food and Shelter Program.”

services to families and individuals encountered by DHS.”³³¹ For the regular program, the National Board is the only eligible applicant for DHS’s NOFO.³³² This FEMA-chaired board has members from the American Red Cross; Catholic Charities, USA; the Jewish Federations of North America; National Council of the Churches of Christ in the USA; the Salvation Army; and the United Way Worldwide.³³³ The National Board then uses a formula to determine eligible jurisdictions to which it awards funds.³³⁴ For humanitarian relief funds, again, the National Board is the only eligible applicant for DHS.³³⁵

Application Process: For the regular program, FEMA provides a four-day window to submit an initial application on Grants.gov and a final application through FEMA’s ND Grants System.³³⁶ For humanitarian relief funds, FEMA provides a two-day window to submit an initial application on Grants.gov and a final application through FEMA’s ND Grants System.³³⁷ The National Board subsequently provides a 42-day window for eligible applicants to apply for reimbursement of incurred costs through the Supplemental Funding Info feature on the Emergency Food and Shelter Program website. For advanced funding, applicants must contact their Local Board to submit a Special Funding Request.³³⁸

Funding Decisions: The National Board is awarded the full allocation of funds if all application requirements are met.³³⁹ For the regular program, the National Board then awards funds to a Local Board using “a formula involving population, poverty, and unemployment data to determine the eligibility of a civil jurisdiction.”³⁴⁰ For humanitarian relief funds, the National Board reviews applicants for such things as proximity to Immigration Customs Enforcement (ICE)/CBP facilities and their

³³¹ Federal Emergency Management Agency.

³³² Department of Homeland Security, “Notice of Funding Opportunity Fiscal Year 2022 Emergency Food and Shelter National Board Program (\$130 Million),” 9.

³³³ “About the Emergency Food and Shelter Program,” United Way, accessed August 9, 2022, <https://www.efsp.unitedway.org/efsp/website/websiteContents/about.cfm#ssac>.

³³⁴ “How Areas Qualify,” Emergency Food and Shelter National Board Program, accessed August 9, 2022, <https://www.efsp.unitedway.org/efsp/website/websiteContents/index.cfm?template=qualify.cfm>.

³³⁵ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Emergency Food and Shelter National Board Program DHS Appropriations Act,” 10.

³³⁶ Department of Homeland Security, “Notice of Funding Opportunity Fiscal Year 2022 Emergency Food and Shelter National Board Program (\$130 Million),” 9, 15, 17.

³³⁷ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Emergency Food and Shelter National Board Program DHS Appropriations Act,” 10, 16, 18.

³³⁸ “Supplemental Funding Information Details,” Emergency Food and Shelter National Board Program, accessed August 9, 2022, <https://www.efsp.unitedway.org/efsp/website/websiteContents/index.cfm?template=supFundingInfoDetails.cfm>.

³³⁹ Department of Homeland Security, “Notice of Funding Opportunity Fiscal Year 2022 Emergency Food and Shelter National Board Program (\$130 Million),” 22.

³⁴⁰ Emergency Food and Shelter National Board Program, “How Areas Qualify.”

release data, number of migrants service, and other factors such as subject-matter expertise and discretion.³⁴¹

Program Intent: The regular program is “used for a broad range of services, including mass shelter, mass feeding, food pantries and food banks, utility bill payments to prevent cut-offs, rent/mortgage payments to prevent evictions/foreclosures, and transition assistance from shelters to stable living conditions.”³⁴² The humanitarian relief funds “help defray the costs that state and local service agencies (non-profit, faith-based, and governmental) have or may incur in providing shelter and other services to families and individuals encountered by the Department of Homeland Security.”³⁴³

Performance Measures: Number of meals served, nights of lodging provided, rent/mortgage or utility payments made, medical care or COVID-19 testing provided, or number of other services.³⁴⁴

Place-Based Provision: For the regular program, “factors considered in the formula are national population, unemployment, and poverty rates.”³⁴⁵ Humanitarian relief funds are “solely intended for migrants crossing the Southwest Border.”³⁴⁶

F. BOATING SAFETY FINANCIAL ASSISTANCE

2011–2020 Funding Obligated: \$1,103,543,205.³⁴⁷

2022 Appropriation: \$5,966,082.

Authorizing Legislation: “Recreational Boating Safety, Public Law 117–58, 46 U.S.C. 131.”³⁴⁸

³⁴¹ Emergency Food and Shelter National Board Program, *Humanitarian Relief Funding Guidance Fiscal Year 2022* (Alexandria, VA: Emergency Food and Shelter National Board Program, 2022), <https://www.efsp.unitedway.org/efsp/website/websiteContents/PDFs/HumanitarianGuidance.pdf>.

³⁴² Federal Emergency Management Agency, “Emergency Food and Shelter Program.”

³⁴³ Emergency Food and Shelter National Board Program, *Humanitarian Relief Funding Guidance*, 5.

³⁴⁴ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Emergency Food and Shelter National Board Program DHS Appropriations Act,” 10; Department of Homeland Security, “Notice of Funding Opportunity Fiscal Year 2022 Emergency Food and Shelter National Board Program (\$130 Million),” 9.

³⁴⁵ Federal Emergency Management Agency, “Emergency Food and Shelter Program.”

³⁴⁶ Emergency Food and Shelter National Board Program, *Humanitarian Relief Funding Guidance*, 3.

³⁴⁷ USA Spending, “Advanced Search.”

³⁴⁸ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) National Nonprofit Organization Recreational Boating Safety (RBS) Grant Program” (Washington, DC: Department of Homeland Security, 2021), 2, <https://www.grants.gov/web/grants/view-opportunity.html?oppId=336823>.

CFDA: 97.012.³⁴⁹

DHS Component: United States Coast Guard (USCG).³⁵⁰

Eligible Applicants: “Nonprofit with 501(c) (3) IRS Status (Other than Institution of Higher Education).”³⁵¹

Application Process: The USCG provides a 71-day window to apply through Grants.gov.³⁵²

Funding Decisions: Subject-matter experts review and rank the applications and then present their recommendations to the BSX-2 Branch and Division Chiefs for review, the Office Chief completes another review, and then the Director of Inspections and Compliance approves the awards.³⁵³

Program Intent: “To reduce the number of accidents, injuries, and deaths on America’s waterways and to provide a safe enjoyable experience for the boating public.”³⁵⁴

Performance Measures: Applicants develop two metrics for their project that gauge outcomes and identify accomplishments.³⁵⁵

Place-Based Provision: None. Areas of interest are programmatic and not geographic.³⁵⁶

G. PORT SECURITY GRANT PROGRAM

2011–2020 Funding Obligated: \$1,028,597,394.³⁵⁷

2022 Appropriation: \$100M.³⁵⁸

³⁴⁹ Department of Homeland Security, 1.

³⁵⁰ Department of Homeland Security, 1.

³⁵¹ Department of Homeland Security, 4.

³⁵² Department of Homeland Security, 5–6.

³⁵³ Department of Homeland Security, 18.

³⁵⁴ Department of Homeland Security, 2.

³⁵⁵ Department of Homeland Security, 2.

³⁵⁶ Department of Homeland Security, App. A.

³⁵⁷ USA Spending, “Advanced Search.”

³⁵⁸ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Port Security Grant Program” (Washington, DC: Department of Homeland Security, 2022), 2, <https://www.fema.gov/grants/preparedness/port-security/fy-22-nofo>.

Authorizing Legislation: “Section 102 of the Maritime Transportation Security Act of 2002 (Pub. L. No. 107–295, as amended) (46 U.S.C. § 70107).”³⁵⁹

CFDA: 97.056.³⁶⁰

DHS Component: FEMA.³⁶¹

Eligible Applicants: “All entities subject to an [Area Maritime Security Plan] AMSP, as defined by 46 U.S.C. § 70103(b), may apply for [Port Security Grant Program] PSGP funding. Eligible applicants include but are not limited to port authorities, facility operators, and state and local government agencies.”³⁶²

Application Process: FEMA provides a 31-day window to submit an initial application on Grants.gov and a final application through the ND Grants System.³⁶³

Funding Decisions: “The PSGP uses a risk-based methodology for making funding decisions whereby each Port Area’s relative threat, vulnerability, and consequences from acts of terrorism are considered.”³⁶⁴ This includes an initial screening, field review, and national review that applies scoring criteria to the applications. An additional financial review is completed for applicants recommended for funding. The Secretary of Homeland Security makes the final funding decision.³⁶⁵

Program Intent: “Provides funds to state, local, and private sector maritime partners to support increased port-wide risk management and protect critical surface transportation infrastructure from acts of terrorism, major disasters, and other emergencies.”³⁶⁶

Performance Measures: “Percentage of funding allocated by the recipient to core capabilities to build or sustain the national priorities.”³⁶⁷ The priority areas for FY2022 are enhancing cyber security, enhancing the protection of soft targets and crowded places, planning, training and awareness, equipment and capital projects, and exercises.³⁶⁸

³⁵⁹ Department of Homeland Security, 4.

³⁶⁰ Department of Homeland Security, 3.

³⁶¹ Department of Homeland Security, 3.

³⁶² Department of Homeland Security, 14.

³⁶³ Department of Homeland Security, 21, 25.

³⁶⁴ Department of Homeland Security, 44.

³⁶⁵ Department of Homeland Security, 47–49.

³⁶⁶ Department of Homeland Security, 5.

³⁶⁷ Department of Homeland Security, 13.

³⁶⁸ Department of Homeland Security, 8–13.

Place-Based Provision: “FEMA may place a risk-based funding cap on Port Areas to ensure a broad distribution of program funds among multiple Port Areas.”³⁶⁹

H. RAIL AND TRANSIT SECURITY GRANT PROGRAM

Encompasses: Transit Security Grant Program (TSGP) and Intercity Passenger Rail (IPR) Program.³⁷⁰

2011–2020 Funding Obligated: \$956,430,842.³⁷¹

2022 Appropriation: \$103M (\$93M for the TSGP and \$10M for the IPR).³⁷²

Authorizing Legislation: For the TSGP, “Section 1406 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Pub. L. No. 110–53) (6 U.S.C. § 1135).”³⁷³ For the IPR, “Section 1513 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Pub. L. No. 110–53) (6 U.S.C. § 1163).”³⁷⁴

CFDA: 97.075.³⁷⁵

DHS Component: FEMA.³⁷⁶

Eligible Applicants: For the TSGP, “passenger rail, intra-city bus and ferry systems” listed in the NOFO.³⁷⁷ For the IPR, “the National Railroad Passenger Corporation (Amtrak) is the only eligible entity.”³⁷⁸

³⁶⁹ Department of Homeland Security, 49.

³⁷⁰ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Transit Security Grant Program” (Washington, DC: Department of Homeland Security, 2022), <https://www.grants.gov/web/grants/view-opportunity.html?oppId=340311>; Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Intercity Passenger Rail Program” (Washington, DC: Department of Homeland Security, 2022), <https://www.grants.gov/web/grants/view-opportunity.html?oppId=340308>.

³⁷¹ USA Spending, “Advanced Search.”

³⁷² Department of Homeland Security, “Fiscal Year 2022 Transit Security Grant Program,” 6; Department of Homeland Security, “Fiscal Year 2022 Intercity Passenger Rail Program,” 6.

³⁷³ Department of Homeland Security, “Fiscal Year 2022 Transit Security Grant Program,” 3.

³⁷⁴ Department of Homeland Security, “Fiscal Year 2022 Intercity Passenger Rail Program,” 3.

³⁷⁵ Department of Homeland Security, “Fiscal Year 2022 Transit Security Grant Program,” 3; Department of Homeland Security, “Fiscal Year 2022 Intercity Passenger Rail Program,” 3.

³⁷⁶ Department of Homeland Security, “Fiscal Year 2022 Transit Security Grant Program,” 3; Department of Homeland Security, “Fiscal Year 2022 Intercity Passenger Rail Program,” 3.

³⁷⁷ Department of Homeland Security, “Fiscal Year 2022 Transit Security Grant Program,” 7.

³⁷⁸ Department of Homeland Security, “Fiscal Year 2022 Intercity Passenger Rail Program,” 8.

Application Process: FEMA provides a 31-day window to submit an initial application on Grants.gov and a final application through the ND Grants System.³⁷⁹

Funding Decisions: For the TSGP, applications are reviewed for “completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed investments.”³⁸⁰ Scores are then assigned for risk group, risk mitigation, regional collaboration component, and national priority areas.³⁸¹ For the IPR, Amtrak receives the grant if it complies with the requirements in the NOFO.³⁸²

Program Intent: “TSGP provides funds to transit agencies to protect critical surface transportation infrastructure and the traveling public from acts of terrorism.”³⁸³ “The IPR provides funds to Amtrak to protect critical surface transportation infrastructure and the traveling public from acts of terrorism.”³⁸⁴

Performance Measures: “Percentage of funding allocated by the recipient to core capabilities to build or sustain the national priorities.”³⁸⁵ The priority areas for FY2022 are enhancing cyber security, enhancing the protection of soft targets and crowded places, planning, training and awareness, equipment and capital projects, and exercises.³⁸⁶

Place-Based Provision: The TSGP is “based upon daily unlinked passenger trips (ridership) and transit systems that serve historically eligible Urban Area Security Initiative (UASI) urban areas.”³⁸⁷ For the IPR, there is none.³⁸⁸

I. FLOOD MITIGATION ASSISTANCE

2011–2020 Funding Obligated: \$927,073,817.³⁸⁹

³⁷⁹ Department of Homeland Security, “Fiscal Year 2022 Transit Security Grant Program,” 11, 13; Department of Homeland Security, “Fiscal Year 2022 Intercity Passenger Rail Program,” 9, 11.

³⁸⁰ Department of Homeland Security, “Fiscal Year 2022 Transit Security Grant Program,” 25.

³⁸¹ Department of Homeland Security, 26–27.

³⁸² Department of Homeland Security, “Fiscal Year 2022 Intercity Passenger Rail Program,” 22.

³⁸³ Department of Homeland Security, “Fiscal Year 2022 Transit Security Grant Program,” 3.

³⁸⁴ Department of Homeland Security, “Fiscal Year 2022 Intercity Passenger Rail Program,” 3.

³⁸⁵ Department of Homeland Security, “Fiscal Year 2022 Transit Security Grant Program,” 6; Department of Homeland Security, “Fiscal Year 2022 Intercity Passenger Rail Program,” 6.

³⁸⁶ Department of Homeland Security, “Fiscal Year 2022 Transit Security Grant Program,” 5–6; Department of Homeland Security, “Fiscal Year 2022 Intercity Passenger Rail Program,” 5–6.

³⁸⁷ Department of Homeland Security, “Fiscal Year 2022 Transit Security Grant Program,” 7.

³⁸⁸ Department of Homeland Security, “Fiscal Year 2022 Intercity Passenger Rail Program.”

³⁸⁹ USA Spending, “Advanced Search.”

2021 Appropriation: \$160M.³⁹⁰

Authorizing Legislation: “Section 1366 of The National Flood Insurance Act of 1968, as amended (Pub. L. No. 90–448) (42 U.S.C. § 4104c).”³⁹¹

CFDA: 97.029.³⁹²

DHS Component: FEMA.³⁹³

Eligible Applicants: “Each state, territory, the District of Columbia, and federally recognized tribal government shall designate one agency to serve as the applicant for [Flood Mitigation Assistance] FMA funding.”³⁹⁴ Sub-applicants to the designated agency are “local governments, including cities, townships, counties, special district governments, and tribal governments.”³⁹⁵

Application Process: FEMA provides a 120-day window to submit the application through FEMA GO.³⁹⁶

Funding Decisions: FEMA ranks sub-applications and then funds up to the established limit for each priority. The FY2021 priorities were project scoping, community flood mitigation projects, technical assistance, flood hazard mitigation planning, individual flood mitigation projects, and benefit to the National Flood Insurance Program.³⁹⁷

Program Intent: “FMA aims to implement projects that reduce flood risks posed to repetitively flooded properties insured under the National Flood Insurance Program.”³⁹⁸

Performance Measures: The benefit–cost analysis, performance against program objectives, and the “total properties mitigated that carry a Severe Repetitive Loss (SRL) and Repetitive Loss (RL).”³⁹⁹

³⁹⁰ Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2021 Flood Mitigation Assistance” (Washington, DC: Department of Homeland Security, 2021), 6.

³⁹¹ Department of Homeland Security, 3.

³⁹² Department of Homeland Security, 3.

³⁹³ Department of Homeland Security, 3.

³⁹⁴ Department of Homeland Security, 6.

³⁹⁵ Department of Homeland Security, 7.

³⁹⁶ Department of Homeland Security, 12.

³⁹⁷ Department of Homeland Security, 25–31.

³⁹⁸ Department of Homeland Security, 4.

³⁹⁹ Department of Homeland Security, 5.

Place-Based Provision: Projects benefiting an area that includes a census tract with an SVI score of 0.0751 or greater receive priority scoring.⁴⁰⁰

J. COOPERATING TECHNICAL PARTNERS

2011–2020 Funding Obligated: \$571,048,232.⁴⁰¹

2022 Appropriation: \$104M.⁴⁰²

Authorizing Legislation: “Section 1360 of the National Flood Insurance Act of 1968 (Pub. L. No. 90–448), as amended (42 U.S.C. § 4101) and The Biggert-Waters Flood Insurance Reform Act of 2012 (Pub. L. No. 112–141), 126 Stat. 916 as amended (42 U.S.C. 4101b).”⁴⁰³

CFDA: 97.045.⁴⁰⁴

DHS Component: FEMA.⁴⁰⁵

Eligible Applicants:

- City or township governments
- County governments
- Federally recognized tribal governments
- Nonprofits with 501(c)(3) IRS status, other than institutions of higher education
- Institutions of higher education as defined by section 101 of the Higher Education Act of 1965 (20 U.S.C. § 1001)
- Public Housing Authorities/Indian housing authorities
- Special district governments
- Territories
- State governments, including the District of Columbia.⁴⁰⁶

⁴⁰⁰ Department of Homeland Security, 4.

⁴⁰¹ USA Spending, “Advanced Search.”

⁴⁰² Department of Homeland Security, “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Cooperating Technical Partners (CTP) Program” (Washington, DC: Department of Homeland Security, 2022), 6, <https://www.grants.gov/web/grants/view-opportunity.html?oppId=341017>.

⁴⁰³ Department of Homeland Security, 3.

⁴⁰⁴ Department of Homeland Security, 3.

⁴⁰⁵ Department of Homeland Security, 3.

⁴⁰⁶ Department of Homeland Security, 8.

Application Process: FEMA provides a 42-day window to submit an initial application on Grants.gov and a final application through the ND Grants System.⁴⁰⁷

Funding Decisions: FEMA Regional Mitigation staff applications for eligibility and compliance with the NOFO. Reviews prioritize funding selections based on program priorities, past performance, technical capability and capacity, partner contributions, and special criteria non-profits, and Letter of Map Revision applicants.⁴⁰⁸ FEMA grants management staff review for compliance with “grants management principles, such as administrative requirements and cost principles.”⁴⁰⁹

Program Intent: Cooperating Technical Partners “exists to strengthen and enhance the effectiveness of the National Flood Insurance Program.”⁴¹⁰ It helps achieve DHS and FEMA’s strategic goals by “fostering strong federal, state, tribal, territorial, regional, and local partnerships to identify flood risks, reduce flood losses, and promote community resilience.”⁴¹¹

Performance Measures: This program has established output measures for its five overarching goals: updated flood hazard data, public awareness/outreach, hazard mitigation planning, enhanced digital platform, and alignment and synergies. These 23 measures include touch points with communities, numbers of change requests (avoidance of), mitigation actions, meeting/training attendance, and website activity, among others.⁴¹²

Place-Based Provision: Projects located in “historically underserved or disadvantaged communities” or areas of “‘High’ SVI ranking (.60–.79) and with a ‘Very High’ SVI ranking (.80–1.0)” receive additional consideration.⁴¹³

⁴⁰⁷ Department of Homeland Security, 12.

⁴⁰⁸ Department of Homeland Security, 27–29.

⁴⁰⁹ Department of Homeland Security, 27.

⁴¹⁰ Department of Homeland Security, 3.

⁴¹¹ Department of Homeland Security, 4.

⁴¹² Department of Homeland Security, 68–70.

⁴¹³ Department of Homeland Security, 27.

LIST OF REFERENCES

- Agency for Toxic Substances and Disease Registry. “CDC/ATSDR Social Vulnerability Index.” October 2020. https://www.atsdr.cdc.gov/placeandhealth/svi/fact_sheet/pdf/SVI_FactSheet_v10152020-H.pdf.
- American University School of Education* (blog). “Why Teachers Teach at Low-Performing Schools: Representation Matters.” April 10, 2020. <https://soeonline.american.edu/blog/why-representation-matters-in-low-performing-schools>
- Andrulis, Dennis P., Nadia J. Siddiqui, and Jenna L. Gantner. “Preparing Racially and Ethnically Diverse Communities for Public Health Emergencies.” *Health Affairs* 26, no. 5 (September 2007): 1269–79. <https://doi.org/10.1377/hlthaff.26.5.1269>.
- Brzozowski, Christa. “The Department of Homeland Security’s Role in Protecting the National Economy.” Master’s thesis, Naval Postgraduate School, 2017. <https://www.hsdl.org/?view&did=805946>.
- Bush, George W. *The President’s Management Agenda*. Washington, DC: Office of Management and Budget, 2002. <https://georgewbush-whitehouse.archives.gov/omb/budget/fy2002/mgmt.pdf>.
- Castro, Julián. “Remarks at the National Alliance to End Homelessness 2014 National Conference.” Department of Housing and Urban Development, July 30, 2014. <https://archives.hud.gov/remarks/castro/speeches/2014-07-30.cfm>.
- Centers for Disease Control and Prevention. *CDC SVI 2018 Documentation*. Atlanta: Centers for Disease Control and Prevention, 2018. https://svi.cdc.gov/Documents/Data/2018_SVI_Data/SVI2018Documentation.pdf.
- . *Planning for an Emergency: Strategies for Identifying and Engaging At-Risk Groups*. Atlanta: Centers for Disease Control and Prevention, 2015.
- Centers for Disease Control and Prevention and Agency for Toxic Substances and Disease Registry. “CDC Social Vulnerability Index.” 2020. https://www.atsdr.cdc.gov/placeandhealth/svi/fact_sheet/pdf/SVI_FactSheet_v10152020-H.pdf.
- Chertoff, Michael. “U.S. Department of Homeland Security Second Stage Review Remarks.” Department of Homeland Security Press Office, July 13, 2005. <https://www.hsdl.org/?view&did=474644>.
- Chief Financial Officers Council. “Uniform Guidance.” Accessed September 19, 2022. <https://www.cfo.gov/financial-assistance/resources/uniform-guidance.html>.

- Coburn, Tom A. *A Review of the Department of Homeland Security's Missions and Performance*. Washington, DC: U.S. Senate, 2015. <https://www.hsdl.org/?abstract&did=761088>.
- . *Safety at Any Price: Assessing the Impact of Homeland Security Spending in U.S. Cities*. Washington, DC: U.S. Senate, 2012. <https://www.hsdl.org/?view&did=726637>.
- Corona, Cheye-Ann. "Examining Promise Zones: Prioritizing Affordable Housing during Revitalization." *Harvard Journal of Hispanic Policy* 28 (2016): 44–62.
- Customs and Border Protection. "About CBP." February 24, 2022. <https://www.cbp.gov/about>.
- Delica-Willison, Zenaida, and Robin Willison. "Vulnerability Reduction: A Task for the Vulnerable People Themselves." In *Mapping Vulnerability: Disasters, Development and People*, edited by Greg Bankoff, Georg Frerks, and Dorothea Hilhorst, 145–58. New York: Earthscan, 2004. ProQuest.
- Department of Health and Human Services. "About the Grants.gov Program Management Office." Accessed September 14, 2022. <https://www.grants.gov/web/grants/support/about-grants-gov.html>.
- . "Federal Grant and Cooperative Agreement Act (1977)." Accessed September 14, 2022. <https://www.grants.gov/learn-grants/grant-policies/federal-grant-cooperative-agreement-act-1977.html>.
- . "Grants.gov Home Page." Accessed September 14, 2022. <https://www.grants.gov/web/grants>.
- . "Grants.gov Online Help." Accessed July 26, 2022. <https://www.grants.gov/help/html/help/index.htm?rhcsh=1&callingApp=custom#t=XMLExtract%2FXMLExtract.htm&rhcsh=1&callingApp=custom>.
- . "Preserve and Uphold the Nation's Prosperity and Economic Security." March 1, 2022. <https://www.dhs.gov/preserve-and-uphold-nations-prosperity-and-economic-security>.
- . "Search Grants." Accessed June 27, 2022. <https://www.grants.gov/web/grants/search-grants.html>.
- Department of Homeland Security. *Departmental Management and Operations: Fiscal Year 2011 Congressional Budget*. Washington, DC: Department of Homeland Security, 2011. https://www.dhs.gov/sites/default/files/publications/dhs_congressional_budget_justification_fy2011.pdf.

- . “DHS Grants.” Accessed September 15, 2022. <https://www.dhs.gov/dhs-grants>.
- . “Find and Apply for Grants.” June 28, 2022. <https://www.dhs.gov/how-do-i/find-and-apply-grants>.
- . “Homeland Security Grant Program (HSGP).” May 26, 2022. <https://www.dhs.gov/homeland-security-grant-program-hsgp>.
- . “Mission.” December 7, 2021. <https://www.dhs.gov/mission>.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year (FY) 2018 Presidential Residence Protection Assistance Grant.” Washington, DC: Department of Homeland Security, 2018. https://www.fema.gov/sites/default/files/2020-07/FY_2018_PRPA_NOFO.pdf.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2021 Assistance to Firefighters Grant (AFG) Program.” Washington, DC: Department of Homeland Security, 2021. https://www.fema.gov/sites/default/files/documents/fema_fy21-afg-nofo.pdf.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2021 Building Resilient Infrastructure and Communities.” Washington, DC: Department of Homeland Security, 2021.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2021 Flood Mitigation Assistance.” Washington, DC: Department of Homeland Security, 2021.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2021 Staffing for Adequate Fire and Emergency Response (SAFER) Grant Program.” Washington, DC: Department of Homeland Security, 2021.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Cooperating Technical Partners (CTP) Program.” Washington, DC: Department of Homeland Security, 2022. <https://www.grants.gov/web/grants/view-opportunity.html?oppId=341017>.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Emergency Food and Shelter National Board Program DHS Appropriations Act, 2022, Section 543 (\$150 Million – Humanitarian Relief).” Washington, DC: Department of Homeland Security, 2022. <https://www.grants.gov/web/grants/view-opportunity.html?oppId=339390>.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Emergency Food and Shelter National Board Program (\$130 Million – Regular Program).” Washington, DC: Department of Homeland Security, 2022. <https://www.grants.gov/web/grants/view-opportunity.html?oppId=339534>.

- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Emergency Management Performance Grant (EMPG) Program.” Washington, DC: Department of Homeland Security, 2022.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Homeland Security Grant Program.” Washington, DC: Department of Homeland Security, 2022.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Intercity Passenger Rail Program.” Washington, DC: Department of Homeland Security, 2022. <https://www.grants.gov/web/grants/view-opportunity.html?oppId=340308>.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Port Security Grant Program.” Washington, DC: Department of Homeland Security, 2022. <https://www.fema.gov/grants/preparedness/port-security/fy-22-nofo>.
- . “Notice of Funding Opportunity (NOFO) Fiscal Year 2022 Transit Security Grant Program.” Washington, DC: Department of Homeland Security, 2022. <https://www.grants.gov/web/grants/view-opportunity.html?oppId=340311>.
- . “Notice of Funding Opportunity (NOFO) National Nonprofit Organization Recreational Boating Safety (RBS) Grant Program.” Washington, DC: Department of Homeland Security, 2021. <https://www.grants.gov/web/grants/view-opportunity.html?oppId=336823>.
- . *2014 Quadrennial Homeland Security Review*. Washington, DC: Department of Homeland Security, 2014. <https://www.dhs.gov/publication/2014-quadrennial-homeland-security-review-qhsr>.
- . “Who Joined DHS.” May 25, 2022. <https://www.dhs.gov/who-joined-dhs>.
- Department of Homeland Security, Office of Inspector General. “About Us.” Accessed September 15, 2022. <https://www.oig.dhs.gov/about>.
- Department of Housing and Urban Development. “Empowerment Zones.” Accessed September 15, 2022. https://www.hud.gov/hudprograms/empowerment_zones.
- . “HUD’s Fiscal Year (FY) 2010 NOFA for the Choice Neighborhoods Initiative: Round 1 NOFA.” Docket No. FR-5415-N-25. Washington, DC: Department of Housing and Urban Development, 2010. https://www.hud.gov/sites/documents/DOC_9823.PDF.
- . “List of Communities Eligible for 2013 Promise Zones Designation.” Accessed September 15, 2022. <https://files.hudexchange.info/resources/documents/Promise-Zones-2013-List-of-Eligible-Communities.pdf>.

- . “Overview of Urban Promise Zones Communications, Reporting & Data Sharing Framework.” Predecisional Draft. Washington, DC: Department of Housing and Urban Development, 2015. <https://www.hud.gov/sites/documents/PZ-FRAMEWORK.PDF>.
- . “Promise Zones Application Material and FAQ Archive.” September 2015. <https://www.hudexchange.info/resource/3869/promise-zones-archived-application-materials/>.
- . “Promise Zones Overview.” Accessed June 20, 2022. <https://www.hudexchange.info/programs/promise-zones/promise-zones-overview>.
- . “Urban Promise Zones Data and Evaluation Framework.” Accessed September 15, 2022. <https://www.hudexchange.info/programs/promise-zones/data-and-evaluation-framework/>.

Department of Housing and Urban Development, Office of the Inspector General. *Assessing HUD Plans for Evaluating Urban Promise Zones and HUD Grant Programs Participating in Promise Zones*. OIG Report No. 2016-OE-0010. Washington, DC: Department of Housing and Urban Development, 2017. <https://www.hudoig.gov/sites/default/files/documents/2016-OE-0010.pdf>.

Department of Housing and Urban Development, Office of Policy Development and Research. “Choice Neighborhoods Evaluation: Overview.” Accessed September 15, 2022. https://www.huduser.gov/portal/choice_neighborhood_eval.html.

———. “Choice Neighborhoods Evaluation: Phase 2—Follow-up Study.” Accessed September 15, 2022. https://www.huduser.gov/portal/choice_neighborhood_eval.html#phase2-tab.

———. “Income Limits: 2020 FAQs.” Accessed September 15, 2022. https://www.huduser.gov/portal/datasets/il.html#2020_faq.

Donovan, Shaun. “Prioritizing Federal Investments in Promise Zones.” Official memorandum. Washington, DC: Office of Management and Budget, 2016. https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/memoranda/2016/m_16_23.pdf.

Dun & Bradstreet. “Select D-U-N-S Package.” Accessed September 19, 2022. <https://www.dnb.com/duns-number/get-a-duns.html>

Emergency Food and Shelter National Board Program. “How Areas Qualify.” Accessed August 9, 2022. <https://www.efsp.unitedway.org/efsp/website/websiteContents/index.cfm?template=qualify.cfm>.

- . *Humanitarian Relief Funding Guidance Fiscal Year 2022*. Alexandria, VA: Emergency Food and Shelter National Board Program, 2022. <https://www.efsp.unitedway.org/efsp/website/websiteContents/PDFs/HumanitarianGuidance.pdf>.
- . “Supplemental Funding Information Details.” Accessed August 9, 2022. <https://www.efsp.unitedway.org/efsp/website/websiteContents/index.cfm?template=suppFundingInfoDetails.cfm>.
- Federal Aviation Administration. “FAA Spending.” Accessed September 19, 2022. <https://sbo.faa.gov/Inline.cfm?PageName=FAA%20Spending>.
- Federal Emergency Management Agency. “About BRIC: Reducing Risk through Hazard Mitigation.” Accessed September 15, 2022. <https://www.fema.gov/grants/mitigation/building-resilient-infrastructure-communities/about>.
- . “About Us.” June 7, 2022. <https://www.fema.gov/about-agency>.
- . *COVID-19 Pandemic Operational Guidance: All-Hazards Incident Response and Recovery*. Washington, DC: Federal Emergency Management Agency, 2021.
- . “Declared Disasters.” Accessed September 19, 2022. <https://www.fema.gov/disaster/declarations>.
- . “Emergency Food and Shelter Program.” Accessed August 9, 2022. <https://www.fema.gov/grants/emergency-food-and-shelter-program>.
- . “FEMA Grants Outcomes (FEMA GO).” February 2022. https://www.fema.gov/sites/default/files/documents/fema_fema-grants-outcomes-frequently-asked-questions.pdf.
- . “Financial Literacy, Overcoming Liquid Asset Poverty.” PrepTalks Discussion Guide. Washington, DC: Federal Emergency Management Agency, 2018.
- . “Homeland Security Grant Program.” Accessed July 31, 2022. <https://www.fema.gov/grants/preparedness/homeland-security>.
- . “Mapping Risks and Vulnerabilities to Increase Resilience Planning.” Washington, DC: Federal Emergency Management Agency, 2016.
- . *National Preparedness System*. Washington, DC: Department of Homeland Security, 2011.
- Federal Emergency Management Agency, Grant Programs Directorate. *FEMA Preparedness Grants Manual*. Washington, DC: Federal Emergency Management Agency, 2019.

- Federal Emergency Management Agency, Grant Programs Directorate. *FEMA Preparedness Grants Manual*. Washington, DC: Federal Emergency Management Agency, 2020.
- Federal Funding Accountability and Transparency Act Subaward Reporting System. “Home Page.” Accessed September 14, 2022. <https://www.fsrs.gov/index?>
- Flanagan, Barry E., Edward W. Gregory, Elaine J. Hallisey, Janet L. Heitgerd, and Brian Lewis. “A Social Vulnerability Index for Disaster Management.” *Journal of Homeland Security and Emergency Management* 8, no. 1 (2011). <https://doi.org/10.2202/1547-7355.1792>.
- Francis, Kathryn A. *Statutory Inspectors General in the Federal Government: A Primer*. CRS Report No. R45450. Washington, DC: Congressional Research Service, 2019. <https://crsreports.congress.gov/product/pdf/R/R45450/4>.
- General Services Administration. “CFDA Transition Frequently Asked Questions.” n.d.
- . “Integrated Award Environment (IAE).” Accessed September 14, 2022. <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae>.
- . “Unique Entity Identifier Update.” Accessed June 12, 2022. <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/iae-systems-information-kit/unique-entity-identifier-update>.
- Glaser, Charles. “Realism.” In *Contemporary Security Studies*, edited by Alan Collins, 13–19. 4th ed. Oxford: Oxford University Press, 2007.
- Gómez, Oscar A., and Des Gasper. *Human Security: A Thematic Guidance Note for Regional and National Human Development Report Teams*. New York: United Nations Development Programme, 2013.
- Government Accountability Office. “For Congress.” Accessed July 31, 2022. <https://www.gao.gov/about/what-gao-does/for-congress>.
- . “Reports & Testimonies.” Accessed July 31, 2022. <https://www.gao.gov/reports-testimonies>.
- . “Role as an Audit Institution.” Accessed July 31, 2022. <https://www.gao.gov/about/what-gao-does/audit-role>.
- Hundrup, Alyssa M. *COVID-19: Federal Efforts to Provide Vaccines to Racial and Ethnic Groups*. GAO-22-105079. Washington, DC: Government Accountability Office, 2022. <https://www.gao.gov/assets/gao-22-105079.pdf>.

- Johnson, Jeh Charles. “Strengthening Departmental Unity of Effort.” Official memorandum. Washington, DC: Department of Homeland Security, 2014. <https://www.hsdl.org/?abstract&did=805139>.
- Juntunen, Lorelei. “Addressing Social Vulnerability to Hazards.” *TsuInfo Alert* 8, no. 2 (April 2006): 1–11. https://file.dnr.wa.gov/publications/ger_tsuinfo_2006_v8_no2.pdf.
- Keeney, Ralph L., and Detlof von Winterfeldt. “A Value Model for Evaluating Homeland Security Decisions.” *Risk Analysis: An International Journal* 31, no. 9 (September 2011): 1470–87. <https://doi.org/10.1111/j.1539-6924.2011.01597.x>.
- Khandker, Shahidur R., Gayatri B. Koolwal, and Hussain A. Samad. *Handbook on Impact Evaluation: Quantitative Methods and Practices*. Washington, DC: World Bank, 2010. <https://openknowledge.worldbank.org/handle/10986/2693>.
- Kneebone, Elizabeth, and Emily Garr. *The Suburbanization of Poverty: Trends in Metropolitan America, 2000 to 2008*. Washington, DC: Brookings Institution, 2010. https://media.timesfreepress.com/docs/2010/02/Brookings_report_on_poverty_0208.pdf.
- Long, Brock. “Why Will FEMA Spend as Much in Past 2 Years as the Previous 37? Here’s How Disaster Aid Works.” *Hill*, June 3, 2019. <https://thehill.com/opinion/energy-environment/446635-why-will-fema-spend-as-much-in-past-2-years-as-the-previous-37>.
- Lucas-Judy, Jessica, and J. Christopher Mihm. *2019 Annual Report: Additional Opportunities to Reduce Fragmentation, Overlap, and Duplication and Achieve Billions in Financial Benefits*. GAO-19-285SP. Washington, DC: Government Accountability Office, 2019. <https://www.gao.gov/products/GAO-19-285SP>.
- Mader, Dave. “Transforming the Landscape of Federal Financial Assistance.” *White House* (blog), December 18, 2014. <https://obamawhitehouse.archives.gov/blog/2014/12/18/transforming-landscape-federal-financial-assistance>.
- Mileti, Dennis S. *Disasters by Design: A Reassessment of Natural Hazards in the United States*. Washington, DC: Joseph Henry Press, 1999. ProQuest.
- Moghaddam, Fathali M., and James N. Breckenridge. “Homeland Security and Support for Multiculturalism, Assimilation, and Omniculturalism: Policies among Americans.” *Homeland Security Affairs* 6, no. 3 (September 2010). <https://calhoun.nps.edu/handle/10945/25096>.
- National Hazards Center. “Dennis Mileti.” Accessed September 14, 2022. <https://hazards.colorado.edu/dennis-mileti>.

- Neuert, Don. “Bridging the Gap: To What Extent Do Socioeconomic Barriers Impede Response to Emerging Public Health Threats?” Master’s thesis, Naval Postgraduate School, 2017. <https://www.hsdl.org/?view&did=800930>.
- Office of Elementary and Secondary Education. “Place-Based Initiatives Pilot.” Accessed June 26, 2022. <https://oese.ed.gov/place-based-initiatives/>.
- Office of Field Policy and Management and Department of Housing and Urban Development. *Promise Zone Data and Evaluation Framework Desk Guide*. Washington, DC: Department of Housing and Urban Development, 2018. <https://files.hudexchange.info/resources/documents/Promise-Zone-Data-and-Evaluation-Framework.pdf>.
- Office of Urban Affairs. “Neighborhood Revitalization Initiative.” Obama White House Archives. Accessed September 15, 2022. <https://obamawhitehouse.archives.gov/administration/eop/oua/initiatives/neighborhood-revitalization>.
- Orszag, Peter R., Melody Barnes, Adolfo Carrion, and Lawrence Summers. “Developing Effective Place-Based Policies for the FY 2011 Budget.” Official memorandum. Washington, DC: White House, 2009.
- Ozceylan, Dilek, and Erman Coskun. “The Relationship between Turkey’s Provinces’ Development Levels and Social and Economic Vulnerability to Disasters.” *Journal of Homeland Security and Emergency Management* 9, no. 1 (2012). <https://doi.org/10.1515/1547-7355.1981>.
- Painter, William L. *Comparing DHS Component Funding, FY2019: In Brief*. CRS Report No. R45262. Washington, DC: Congressional Research Service, 2019. <https://fas.org/sgp/crs/homsec/R45262.pdf>.
- . *The Disaster Relief Fund: Overview and Issues*. CRS Report No. R45484. Washington, DC: Congressional Research Service, 2019.
- Painter, William L., Michael E. DeVine, Bart Elias, Kristin Finklea, John Frittelli, Jill C. Gallagher, Frank Gottron, et al. *Selected Homeland Security Issues in the 116th Congress*. CRS Report No. R45701. Washington, DC: Congressional Research Service, 2019. <https://fas.org/sgp/crs/homsec/R45701.pdf>.
- Paris, Roland. “Human Security: Paradigm Shift or Hot Air?” *International Security* 26, no. 2 (2001): 87–102. <https://doi.org/10.1162/016228801753191141>.
- Pendall, Rolf, Leah Hendey, David Greenberg, Kathryn L. S. Pettit, Diane Levy, Amy Khare, Megan Gallagher, et al. *Choice Neighborhoods: Baseline Conditions and Early Progress*. Washington, DC: Department of Housing and Urban Development, Office of Policy Development and Research, 2015. <https://www.huduser.gov/portal/sites/default/files/pdf/Baseline-Conditions-Early-Progress.pdf>.

- Plummer, Lucy. “India Becomes First Country to Create National Plan for Disaster Risk Reduction, Earns UN Praise.” *Better India* (blog), May 25, 2017. <https://www.thebetterindia.com/102294/india-un-disaster-reduction-national-plan/>.
- Reese, Shawn. *Department of Homeland Security Preparedness Grants: A Summary and Issues*. CRS Report No. R44669. Washington, DC: Congressional Research Service, 2016.
- Schmit, Matthew, Melissa Merrell, and Gerard Trimarco. “Federal Funding for Homeland Security.” Economic and Budget Issue Brief. Washington, DC: Congressional Budget Office, 2004. <https://permanent.access.gpo.gov/gpo45069/homeland-security.pdf>.
- Single Audit Resource Center. (Federal Agency: 97 – United States Department of Homeland Security; accessed August 14, 2020). <https://singleaudit.org/search/advanced/>.
- System for Award Management. “About This Site.” Accessed July 26, 2022. <https://sam.gov/content/about/this-site>.
- . “Assistance Listings.” Accessed September 19, 2022. <https://sam.gov/content/assistance-listings>.
- . (Assistance Listings + All Words + Active; accessed June 6, 2022). https://sam.gov/search/?index=cfda&page=1&pageSize=25&sort=-modifiedDate&sfm%5Bstatus%5D%5Bis_active%5D=true.
- . “Home Page.” Accessed September 14, 2022. <https://sam.gov/SAM/pages/public/index.jsf>.
- Trump, Donald J. *National Security Strategy of the United States of America*. Washington, DC: White House, 2017. <https://www.whitehouse.gov/wp-content/uploads/2017/12/NSS-Final-12-18-2017-0905.pdf>.
- United Nations. *Sendai Framework for Disaster Risk Reduction 2015–2030*. Geneva: United Nations, 2015.
- United Nations Department of Economic and Social Affairs. “Transforming Our World: The 2030 Agenda for Sustainable Development.” Accessed September 15, 2022. <https://sustainabledevelopment.un.org/post2015/transformingourworld>.
- United Nations Development Program. *Human Development Report 1994*. New York: Oxford University Press, 1994.
- United Nations Office for Disaster Risk Reduction. “What Is the Sendai Framework for Disaster Risk Reduction?” Accessed September 15, 2022. <https://www.undrr.org/implementing-sendai-framework/what-sf>.

- United Nations Trust Fund for Human Security. *Human Security Handbook: An Integrated Approach for the Realization of the Sustainable Development Goals and the Priority Areas of the International Community and the United Nations System*. New York: United Nations Human Security Unit, 2016. <https://www.un.org/humansecurity/wp-content/uploads/2017/10/h2.pdf>.
- . “The United Nations Trust Fund for Human Security.” Accessed September 15, 2022. <https://www.un.org/humansecurity/wp-content/uploads/2018/04/UN-Trust-Fund-for-Human-Security.pdf>.
- . “What Is Human Security?” Accessed September 15, 2022. <https://www.un.org/humansecurity/what-is-human-security/>.
- United Way. “About the Emergency Food and Shelter National Board Program.” Accessed August 9, 2022. <https://www.efsp.unitedway.org/efsp/website/website/Contents/about.cfm#ssac>.
- USA Spending. “Advanced Search.” Accessed July 3, 2022. <https://usaspending.gov/search>.
- . “Data Dictionary.” Accessed July 27, 2022. <https://usaspending.gov/data-dictionary>.
- . “Home Page.” Accessed July 17, 2019. <https://www.usaspending.gov/>.
- . “Mission.” Accessed July 26, 2022. <https://usaspending.gov/about>.
- U.S. Census Bureau. “About the American Community Survey.” June 2, 2022. <https://www.census.gov/programs-surveys/acs/about.html>.
- . “Areas Published.” September 8, 2022. <https://www.census.gov/programs-surveys/acs/geography-acs/areas-published.html>.
- . *American Community Survey Multiyear Accuracy of the Data (5-Year 2016–2020)*. Washington, DC: U.S. Census Bureau, 2020.
- . “Census Quick Facts: Median Household Income.” Accessed July 27, 2022. <https://www.census.gov/quickfacts/fact/note/US/INC110220>.
- . “Explore Census Data.” Accessed August 22, 2020. <https://data.census.gov/cedsci/>.
- . “Glossary.” Accessed July 27, 2022. <https://www.census.gov/glossary/>.
- . “Glossary: Disability.” Accessed September 19, 2022. <https://www.census.gov/glossary/?term=Disability>.

- . “Glossary: Median Age.” Accessed September 19, 2022. <https://www.census.gov/glossary/?term=Median%20age>.
- . “Glossary: Population.” Accessed September 19, 2022. <https://www.census.gov/glossary/?term=Population>.
- . “Glossary: Unemployment Rate.” Accessed September 19, 2022. <https://www.census.gov/glossary/?term=Unemployment%20rate>.
- . “Glossary: Vacant Housing Unit.” Accessed September 19, 2022. <https://www.census.gov/glossary/?term=Vacant%20housing%20unit>.
- . “The Importance of the American Community Survey and the Decennial Census.” January 7, 2022. <https://www.census.gov/programs-surveys/acs/about/acs-and-census.html>.
- . “Poverty Thresholds.” Accessed September 15, 2022. <https://www.census.gov/data/tables/time-series/demo/income-poverty/historical-poverty-thresholds.html>.
- . “Subjects Included in the Survey.” September 13, 2022. <https://www.census.gov/programs-surveys/acs/guidance/subjects.html>.
- . “When to Use 1-Year or 5-Year Estimates.” August 25, 2022. <https://www.census.gov/programs-surveys/acs/guidance/estimates.html>.
- U.S. Fire Administration. “Fire Service Grants and Funding: Assistance to Firefighters Grants Programs.” August 16, 2022. <https://www.usfa.fema.gov/grants/index.html>.
- U.S. Mission to International Organizations in Geneva. “Explanation of Position of the United States for the Sendai Framework for Disaster Risk Reduction 2015–2030.” March 19, 2015. <https://geneva.usmission.gov/2015/03/19/sendai-framework-for-disaster-risk-reduction-2015-2030/>.
- Von Ah, Andrew, and Christopher P. Currie. “Action Tracker: Homeland Security/Law Enforcement: Homeland Security Grants (2012–17).” Government Accountability Office. Accessed September 15, 2022. https://www.gao.gov/duplication/action_tracker/Homeland_Security_Grants_%282012-17%29/action1.
- Waters, Maxine. Maxine Waters to Shaun Donovan, June 24, 2014. https://financialservices.house.gov/uploadedfiles/rm_waters_recommendations_for_promise_zones_second_round_application_criteria.pdf.
- Watkins, Steve. “DHS Head: Cybersecurity, Unity of Effort Top Priorities.” *Federal Times*, January 9, 2015. <https://www.federaltimes.com/enterprise-view/2015/01/09/dhs-head-cybersecurity-unity-of-effort-top-priorities/>.

- White House. “The White House Neighborhood Revitalization Initiative.” Accessed June 20, 2022. <https://www.hud.gov/sites/documents/NEIGHBOR-REV.PDF>.
- White House, Office of the Press Secretary. “Fact Sheet: President Obama’s Promise Zones Initiative.” January 8, 2014. <https://obamawhitehouse.archives.gov/the-press-office/2014/01/08/fact-sheet-president-obama-s-promise-zones-initiative>.
- White, Richard. “Three Myths about Homeland Security.” *Current Politics and Economics of the United States, Canada and Mexico* 19, no. 3 (2017): 393–408.
- Willis, Henry H. *Building on the Quadrennial Homeland Security Review to Improve the Effectiveness and Efficiency of the Department of Homeland Security*. Santa Monica, CA: RAND Corporation, 2014.
- Zapolsky, Sarah, Mindy Ault, Justin Brock, Jagruti Rekhi, and Dylan Sweeney. *Promise Zones: Initial Implementation Assessment Report*. Washington, DC: Department of Housing and Urban Development, Office of Policy Development and Research, 2019. <https://www.huduser.gov/portal/publications/PZ-Initial-Implementation.html>.
- Zhuang, Jun, and Vicki M. Bier. “Reasons for Secrecy and Deception in Homeland-Security Resource Allocation.” *Risk Analysis: An International Journal* 30, no. 12 (December 2010): 1737–43. <https://doi.org/10.1111/j.1539-6924.2010.01455.x>.

THIS PAGE INTENTIONALLY LEFT BLANK

INITIAL DISTRIBUTION LIST

1. Defense Technical Information Center
Ft. Belvoir, Virginia
2. Dudley Knox Library
Naval Postgraduate School
Monterey, California