



U.S. DEPARTMENT OF HOMELAND SECURITY

FISCAL YEAR 2011

HOMELAND SECURITY GRANT PROGRAM

**GUIDANCE AND APPLICATION KIT
SECTION I – APPLICATION AND REVIEW
INFORMATION**

MAY 2011



U.S. DEPARTMENT OF HOMELAND SECURITY

Title of Opportunity: Fiscal Year (FY) 2011 Homeland Security Grant Program (HSGP)

Funding Opportunity Number: DHS-11-GPD-067-000-02

Catalog of Federal Domestic Assistance (CFDA) Number: 97.067

Federal Agency Name: U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA)

Announcement Type: Initial

Dates: Completed applications must be submitted **no later than 11:59 p.m. EDT, June 20, 2011.**

Additional overview information:

- **Reformatted HSGP Guidance Kit.** Due to continued stakeholder feedback and recommendations, Grant Programs Directorate (GPD) has reformatted its FY 2011 HSGP Guidance and Application Kit. The Kit is now structured into two separate documents, referred to as *Section I* and *Section II*. While both are important documents for grantees to study and thoroughly familiarize themselves with, *Section I* is intended to help grantees during the application phase of the HSGP, whereas *Section II* is intended to help grantees in understanding the rules and regulations associated with administering federally-funded grant awards.
- **Overarching Priorities for FY 2011 State Homeland Security Program (SHSP) and Urban Areas Security Initiative (UASI).** DHS and FEMA leadership have identified three priorities which grantees are strongly encouraged to consider when developing their FY 2011 HSGP plans. These priorities – *Advancing “Whole Community” Security and Emergency Management; Building Prevention and Protection Capabilities; and Maturation and Enhancement of State and Major Urban Area Fusion Centers* – are spelled out in greater detail beginning on page four.
- **Enhanced Data Collection.** As part of the DHS Performance Management Initiatives, including the Quadrennial Homeland Security Review (QHSR) Report, FEMA will enhance data collection processes and tools to assess the use and impact of FY 2011 HSGP grant funds.
- **Homeland Security Strategy Updates.** Beginning in FY 2011, States and Urban Areas are strongly encouraged to update their Homeland Security Strategies every two years. States and Urban Areas are also encouraged to submit an updated version of their Homeland Security Strategies as part of their FY 2011 HSGP application submission.

- **Fusion Center Investment.** As maturation of the national network of fusion centers is one of the Department's highest priorities in FY 2011, DHS is requiring that at least one (1) fusion center Investment from a State to provide funding support to the State's primary fusion center, as designated by the Governor. Additionally, FY 2011 eligible UASI applicants will be required to provide an Investment to the DHS-recognized fusion center within the Urban Area. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission.
- **State Use of UASI Funds.** If the State Administrative Agency (SAA) intends to retain any UASI funds, the SAA must prepare an Investment that demonstrates how the retained funds will be used to directly support the designated Urban Area in the State. This Investment should be included in the designated Urban Area's Investment Justification (IJ).
- **Critical Emergency Supplies.** In furtherance of DHS' mission, critical emergency supplies such as shelf stable food products, water, and basic medical supplies are an allowable expense under the State Homeland Security Program (SHSP) and UASI.

CONTENTS

Contents.....	1
Part I. FUNDING OPPORTUNITY DESCRIPTION.....	2
Part II. AWARD INFORMATION	24
A. Funding Guidelines	32
Part III. ELIGIBILITY INFORMATION	49
A. Eligible Applicants.....	49
B. Governance	49
Part IV. APPLICATION AND SUBMISSION INFORMATION	51
A. Address to Request Application Package	51
B. Content and Form of Application	51
C. Environmental Planning and Historic Preservation Compliance	54
D. Submission Dates and Times	55
Part V. APPLICATION REVIEW INFORMATION	56
A. Review Criteria.....	56
B. Review and Selection Process	56
C. Anticipated Announcement and Award Dates	58
D. Intergovernmental Review	58
Part VI. OTHER INFORMATION	59

PART I.

FUNDING OPPORTUNITY DESCRIPTION

The Fiscal Year (FY) 2011 Homeland Security Grant Program (HSGP) is comprised of five interconnected grant programs:

- State Homeland Security Program (SHSP)
- Urban Areas Security Initiative (UASI)
- Operation Stonegarden (OPSG)
- Metropolitan Medical Response System (MMRS)
- Citizen Corps Program (CCP)

The HSGP is one tool among a comprehensive set of initiatives authorized by Congress and implemented by the Administration to help strengthen the Nation against risks associated with potential terrorist attacks.

The purpose of this package is to provide: (1) an overview of the HSGP and (2) the formal grant guidance and application materials needed to apply for funding under the program. The package outlines DHS management requirements for implementation of a successful application. The package also reflects changes called for in the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) (hereafter “9/11 Act”) and the *Department of Defense and Full-Year Continuing Appropriations Act, 2011* (Public Law 112-10).

The table below provides a quick overview of the programs included in FY 2011 HSGP.

FY 2011 Homeland Security Grant Program Overview

FY 2011 HSGP	Program Overview
SHSP	SHSP supports the implementation of State Homeland Security Strategies to address the identified planning, organization, equipment, training, and exercise needs to prevent, protect against, respond to, and recover from acts of terrorism and other catastrophic events. In addition, SHSP supports the implementation of the <i>National Preparedness Guidelines</i> , the <i>National Incident Management System (NIMS)</i> , the <i>National Response Framework (NRF)</i> , the <i>National Strategy for Information Sharing</i> , and the <i>National Infrastructure Protection Plan (NIPP)</i> .
UASI	UASI program funds address the unique planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and assists them in building an enhanced and sustainable capacity to prevent, protect against, respond to, and recover from acts of terrorism.

FY 2011 HSGP	Program Overview
OPSG	OPSG funds are intended to enhance cooperation and coordination among local, Tribal, territorial, State, and Federal law enforcement agencies in a joint mission to secure the United States' borders along routes of ingress from international borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with international water borders.
MMRS	MMRS program supports the integration of emergency management, health, and medical systems into a coordinated response to mass casualty incidents caused by any hazard. Successful MMRS grantees reduce the consequences of a mass casualty incident during the initial period of a response by having augmented existing local operational response systems before an incident occurs.
CCP	CCP's mission is to bring community and government leaders together to coordinate the involvement of community members and organizations in emergency preparedness, planning, mitigation, response, and recovery.

Funding Allocations Based Upon Risk

Based upon ongoing intelligence analysis and extensive security reviews, DHS continues to focus the bulk of SHSP, UASI, and OPSG funds based upon risk analyses. Risk is evaluated at the Federal level using an analytical model developed by DHS in conjunction with other Federal entities. Risk is defined as the product of three principal variables:

- *Threat* – the likelihood of an attack occurring
- *Vulnerability* – the relative exposure to an attack
- *Consequence* – the expected impact of an attack

The risk model used to allocate HSGP funds considers the potential risk of terrorism to people, critical infrastructure, and economic security to estimate the relative risk of terrorism faced by a given area. In evaluating risk, DHS considers the populations in a particular area that could be at risk, the concentration of people in the area, and specific characteristics of their location that might contribute to risk, such as Intelligence Community assessments of threat, proximity to national critical infrastructure, and the economic impact of an attack. In considering threat, DHS uses the Intelligence Community's best assessment of areas of the country and potential targets most likely to be attacked. For vulnerability and consequence, DHS considers the expected impact and consequences of successful attacks occurring in specific areas to people, the economy, national critical infrastructure, and national security facilities. In addition to updating population, economic, infrastructure and national security statistic to compute the risk formula, in FY 2011, the risk formula places greater weight on threat and calculates the contribution of vulnerability and consequence separately compared to FY 2010.

National Preparedness Guidelines

The *National Preparedness Guidelines* are instrumental in guiding our State, local, Tribal, and territorial stakeholders in meeting the Nation's most urgent needs. For additional information on the *National Preparedness Guidelines*, please see http://www.fema.gov/pdf/emergency/nrf/National_Preparedness_Guidelines.pdf.

SHSP and UASI Priorities for FY 2011

Priority One – Whole Community

Advancing “Whole Community” Security and Emergency Management. As the country experiences threats of terrorist attacks (foreign and domestic) and natural disasters, communities are challenged to develop collective, local abilities to withstand the potential impacts of these events, respond quickly, and recover in a way that sustains or improves the community's overall well-being. Achieving this collective capacity calls for innovative approaches across the community, including emergency management to build up existing practices, institutions, and organizations that help make local communities successful, and that can leverage this infrastructure if and when an incident occurs.

To address the priority, objectives have been identified and each is given a performance measure and associated reporting requirement to determine how effective grantees are in utilizing SHSP and UASI funding to prevent, prepare for, protect against, and respond to acts of terrorism and advance a whole community approach.

Objective One

Threat and Hazard Identification and Risk Assessment (THIRA). THIRA processes at all levels of government establish a foundation to justify and guide preparedness activities and investments. A common approach to that process will enable the whole community to maintain a baseline understanding of the risks that they face, facilitating efforts to identify capability and resource gaps, focus capability improvements, and inform the community of actions they can take to manage their risks. In order to qualify for FY 2011 funding, all grantees shall develop and maintain a THIRA.

THIRAs should include the range of threats and hazards faced by an applicant. The assessment should be based on analysis of the relative consequences of the various threats and hazards with consideration of empirical data to the maximum degree possible. An effective THIRA will allow the applicant to compare and prioritize risks, even if they are dissimilar, by identifying possible threats and hazards faced with respective probability estimates of their occurrence. THIRA findings should be incorporated into each applicant's preparedness strategy, planning, Investment Justification, and assessment documentation—addressing capability gaps identified during the THIRA process.

Current State Hazard Identification and Risk Assessments developed for the purposes of Pre-Disaster Mitigation (PDM) or Hazard Mitigation Grant Program (HMGP) that have

a terrorism component satisfy the FY 2011 SHSP and UASI requirement. Existing guidance on the development of a Hazard Mitigation Plan which includes references to guidance for the integration of man-made disasters into planning can be found in the *State Multi-Hazard Mitigation Planning Guidance (Mitigation Planning "Blue Book")* at <http://www.fema.gov/library/viewRecord.do?id=3115>.

FEMA has adopted this approach-and will further refine the process and disseminate guidance throughout FY 2011. An intergovernmental THIRA system is envisioned in the National Preparedness System in which jurisdictions' respective THIRAs can inform one another using a common methodological framework. Grantees should work with FEMA to incorporate emerging guidance into their THIRA as it becomes available.

Measurement Methods

- An approved State Hazard Mitigation Plan that includes a THIRA that has been coordinated with UASI(s) located in the State

Reporting

- Grantees are required to submit to the Regional Hazard Mitigation Officer the State Mitigation Plan that includes the State's THIRA

Objective Two

Planning. The Comprehensive Preparedness Guide (CPG) 101 v.2 September 2010 helps planners at all levels of government in their efforts to develop and maintain viable all-hazards, all-threats emergency operations plans (EOPs) by engaging the whole community in thinking through the life cycle of a potential crisis, determining required capabilities, and establishing a framework for roles and responsibilities. All SHSP and UASI grantees that maintain an EOP shall ensure their consistency with the CPG 101 v2.

Measurement Methods

- Completed 'Evaluation Matrix for Compliance with CPG 101 v.2 September 2010' by all SHSP and UASI grantees that maintain an EOP

Reporting

- Any SHSP or UASI grantee that maintains an EOP is required to submit the above referenced evaluation matrix annually and is required to include bi-annual updates on percentage completion of CPG 101 v.2 compliance within the Biannual Strategy Implementation Report (BSIR)

Objective Three

Organization – Typing of Equipment and Training. SHSP and UASI provide funding for equipment, training, and exercises for the prevention, protection against, response to and recovery from terrorism events. A well executed mission requires carefully managed resources (personnel, teams, facilities, equipment, and/or supplies) to meet incident needs. Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking will facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident.

Measurement Methods

- All equipment and training procured under this grant must be in support of the development or maintenance of an identified team or capability described and typed under the NIMS where such typing guidance exists as published by FEMA (e.g., Technical search and rescue equipment for urban search and rescue must be identified for use in the development of a NIMS defined Urban Search and Rescue (USAR) team or to outfit technical rescue specialists as typed single resources)

Reporting

- All grantees will report what equipment was purchased and what typed capability it supports in the BSIR
- All grantees will report in the BSIR the number of people trained in a given capability to support a reported number of defined resource typed teams (e.g., 63 responders were trained in structural collapse to support 23 Type 2 USAR Teams)
- All grantees will report the total number of a defined type of resource and capabilities built utilizing the resources of this grant as part of the BSIR

Priority Two – Building Prevention and Protection Capabilities

As the terrorist threat to the United States has evolved, DHS has sought to expand its capacity to detect and mitigate the threat posed by those who seek to carry out violent attacks against the people, government or critical infrastructure of the United States. In particular, the threat posed by homegrown terrorism is real and not limited to a single ideology. Foreign terrorist groups affiliated with al-Qa'ida, and individual terrorist thought leaders, are actively seeking to recruit or inspire Westerners to carry out attacks against western and United States targets. The United States must remain vigilant against homegrown and foreign terrorist threats.

DHS and FEMA encourages the use of SHSP and UASI funding to support programs and initiatives that directly support local efforts to understand, recognize, prepare for, prevent, and respond to pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with applicable privacy and civil rights/civil liberties protections. Such activities include, but are not limited to, development and

implementation of Fusion Liaison Officer Programs, the Nationwide Suspicious Activity Reporting (SAR) Initiative (NSI), the “If You See Something, Say Something” campaign as a component of the NSI, and local efforts. For more information, please see http://www.dhs.gov/xlibrary/assets/fact_sheet_reduce_violent_crime_080310.pdf.

Objective One

NSI training. All personnel funded with SHSP and UASI funding and engaged in the NSI will complete the Department’s NSI training.

Measurement Methods

- Percentage of SHSP and UASI funded personnel who are engaged in the NSI and have completed the training

Reporting

- Submission of a certification in the BSIR indicating the number of personnel involved in the NSI as well as the number of personnel who have completed the required training

Priority Three – Maturation and Enhancement of State and Major Urban Area Fusion Centers

One of the Department’s priorities in FY 2011 is to support recognized State and major Urban Area fusion centers and the maturation of the Information Sharing Environment (ISE). Fusion centers serve as focal points within the State and local environment for the receipt, analysis, gathering, and sharing of threat-related information between the Federal government and State, local, Tribal, territorial (SLTT) and private sector partners. Building a National Network of Fusion Centers (National Network) empowers law enforcement and homeland security personnel by helping them understand local implications of national intelligence, thus enabling them to better protect their communities.

A National Network also provides a mechanism for the Federal government to receive information from SLTT partners, which helps create a more complete intelligence picture at the National level. With timely, accurate information on potential terrorist threats, fusion centers can also directly contribute to and inform investigations initiated and conducted by Federal entities, such as the Joint Terrorism Task Forces led by the Federal Bureau of Investigation (FBI). The *2010 National Security Strategy* identifies fusion centers as critical in enlisting all of our intelligence, law enforcement, and homeland security capabilities to prevent acts of terrorism on American soil.

In support of this strategic vision, the Department is requiring recognized State and Major Urban Area fusion centers to participate in an annual assessment of their achievement of baseline capabilities, as outlined in the Global Justice Information Sharing Initiative’s (Global) *Baseline Capabilities for State and Major Urban Area Fusion*

Centers. The results from this assessment will help fusion centers identify gaps in their operational capabilities.

As maturation of the National Network is one of the Department's highest priorities in FY 2011, DHS is requiring that at least one (1) of the Investment for State or Urban Areas, in which the 72 DHS-recognized fusion centers reside, address funding support for the recognized fusion center. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission. All efforts should be made to address gaps that are identified by taking advantage of the service deliveries made available through the joint DHS and Department of Justice Fusion Process Technical Assistance Program. Additionally, any jurisdiction or agency that leverages HSGP-related funds to support intelligence- or fusion process-related activities (i.e., intelligence unit, real time crime information and analysis centers, etc.) must ensure these efforts are integrated and/or coordinated with the respective recognized State or Urban Area fusion centers.

Background

The *Baseline Capabilities for State and Major Urban Area Fusion Centers* (September 2008) identifies the baseline capabilities for fusion centers and the operational standards necessary to achieve each of the capabilities across the National Network of Fusion Centers. Fusion centers, in partnership with the Federal Government, prioritized four critical operational capabilities (COCs)¹, which align to the steps in the intelligence cycle. During the Baseline Capabilities Assessment (BCA)², fusion centers are assessed on their ability to perform the COCs.

Objective One

Baseline Capabilities. Fusion centers leveraging SHSP and/or UASI grant funds must prioritize the allocation of these grant funds to address any capability gaps identified as a result of the BCA. This will ensure the implementation of common and consistent operational standards across the National Network of Fusion Centers.

Fusion center priorities for FY 2011 focus on enhancing and maintaining their ability to execute the COCs at a fundamental level, which means that, at a minimum, fusion centers have approved plans, policies, or standard operating procedures (SOPs) for each COC that codify their business processes. No two localities are exactly alike, so each center should tailor its procedures to meet its local needs. However, it is essential that DHS gain a National perspective of fusion center network capabilities. To achieve that end, individual fusion center SOPs, plans, and policies must be developed in a standardized fashion.³ Those centers that have approved plans, policies, or SOPs for

¹ The four COCs are: (1) receive, (2) analyze, (3) disseminate, and (4) gather.

² In 2010, Federal, State, and local officials completed the first nationwide, in-depth assessment of fusion centers to evaluate fusion center's baseline level of capability and to establish strategic priorities for Federal government support. The BCA was conducted in two phases: (1) an online self assessment based on the *Baseline Capabilities for State and Major Urban Area Fusion Centers*; and (2) on-site validation assessments focused on the four COCs and P/CRCL protections.

³ The *COC Gap Mitigation Strategy Guidebook* (Guidebook) contains templates, as well as sample policies and other resources to assist fusion centers in developing and implementing plans, policies, and SOPs to execute the COCs at a fundamental level. The

each COC should also continue to fully implement these plans, policies, or SOPs, as well as other gaps identified during the fusion center's baseline capability assessment. FY 2011 fusion center priorities also focus specifically on maturing analytic capabilities as part of COC 2: Analyze.

Fusion centers leveraging SHSP and/or UASI grant funds are required to demonstrate, at a minimum, the following fundamental capabilities:

- *Receive*: A written plan, policy or SOP describing fusion center business processes for the receipt, handling, and storage of classified (SECRET) and unclassified information from Federal partners
- *Analyze*: A written plan, policy, or SOP describing fusion center business processes for assessing the local implications of threat-related information provided by Federal partners (DHS, FBI, etc.) through a formal risk analysis process. This process should determine what critical information needs to be provided to State, local, Tribal, and territorial (SLTT) and private sector partners to support prevention, protection, and other response-related operational planning efforts, and to inform these partners of behaviors and circumstances that may serve as pre-incident indicators of an emerging threat
- *Disseminate*: A written plan, policy, or SOP describing fusion center business processes for disseminating critical information to SLTT and private sector partners in the fusion center's area of responsibility
- *Gather*: A written plan, policy, or SOP describing fusion center business processes for gathering locally generated information, participating in the NSI, and sharing pertinent information with the local JTTF for investigation and DHS for further analysis
- *Privacy, Civil Rights, and Civil Liberties (P/CRCL) Protections*: An approved P/CRCL policy to ensure that P/CRCL protections are in place that are at least as comprehensive as the *ISE Privacy Guidelines*, and that all staff receive training on both the center's P/CRCL policies and 28 CFR Part §23. The development and updating of such policies provide an opportunity to engage the whole community

Measurement Methods

- Percentage of fusion centers with documented plans, policies, or SOPs describing fusion center business processes for receiving, handling, and storing classified and unclassified information in accordance with the metrics established by the DHS Office of Intelligence and Analysis (I&A)
- Percentage of fusion centers with documented plans, policies, or SOPs describing fusion center business processes for assessing local implications of threat-related information in accordance with the metrics established by the DHS I&A

- Percentage of fusion centers with documented plans, policies, or SOPs describing fusion center business processes for disseminating information to SLTT and private sector partners in accordance with the metrics established by the DHS I&A
- Percentage of fusion centers with documented plans, policies, or SOPs describing fusion center business processes for gathering locally generated information and participating in the NSI in accordance with the metrics established by the DHS I&A
- Percentage of fusion centers with an approved P/CRCL policy
- Percentage of fusion centers that have conducted an audit of their P/CRCL policy in accordance with the *Privacy Civil Rights and Civil Liberties Compliance Verification for the Intelligence Enterprise*⁴

Reporting

- Achievement of these capabilities will be evaluated through the following methods:
 - IJ will be based upon the courses of action to fill identified gaps from the BCA, and these assessment results must be included as part of the IJ
 - The SAA must certify the fusion center's participation in the annual BCA process by reporting:
 - Percentage compliance with executing the critical operational capabilities at a fundamental level as a part of the IJ
 - Percentage of achievement of the critical operational capabilities must be regularly reported in the BSIR
 - Exercises to evaluate the implementation of COCs and analytical proficiency, which will occur every two years. The SAA must certify the fusion center's participation in these exercises. This certification would be made to GPD as part of regular BSIR reporting.

Objective Two

Analytic Capabilities. All fusion center analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing gaps in analytic capability identified during the fusion center's BCA.

⁴ <http://it.ojp.gov/docdownloader.aspx?ddid=1285>

Measurement Methods

- Percentage of fusion center analytic personnel funded out of SHSP and UASI that have received/participated in training deemed to be compliant with the *Common Competencies for State, Local, and Tribal Intelligence Analysts*
- Percentage of fusion center analysts that require SECRET clearances have them (or have submitted requests for them)
- Percentage of fusion center analysts with access to sensitive but unclassified (SBU) systems⁵
- Percentage of fusion center analysts trained on 28 CFR Part §23
- Percentage of fusion center analyst with access to tools identified in the Analyst Toolbox⁶

Reporting

- Assessed through reporting methods identified in **Objective 1**

HSGP Priorities

Homeland Security Strategy Updates

Homeland Security Strategies are the basis for requesting HSGP funds, which are designed to implement the goals and objectives included in the strategies. FEMA strongly encourages States and Urban Areas to update their Homeland Security Strategies every two years to ensure that existing goals and objectives reflect all FEMA mission areas, the National Priorities, implementing the whole community approach to emergency planning and management to address the concerns and needs of local government, and existing citizen preparedness efforts. As outlined in the original *State and Urban Area Homeland Security Strategy: Guidance on Aligning Strategies with the National Preparedness Goal*, http://www.fema.gov/good_guidance/download/10144, State and Urban Area Homeland Security Strategies are designed to 1) provide a blueprint for comprehensive, enterprise-wide planning for homeland security efforts; and 2) provide a strategic plan for the use of related Federal, State, local, and private resources within the State and/or Urban Area before, during, and after threatened or actual domestic terrorist attacks, major disasters, and other emergencies. Homeland Security Strategies should reflect an ongoing process of review and refinement as new lessons, new priorities, and new challenges, threats, and hazards evolve. The Homeland Security Strategy update process provides context for ensuring that strategies reflect and support existing needs associated with the current homeland security environment. This effort will enable us as a Nation to strategically and efficiently build our programs and enhance capabilities within and across State boundaries.

⁵ SBU systems include HSIN, LEO, RISSNet, and HS SLIC

⁶ http://it.ojp.gov/documents/analyst_toolbox.pdf

The Homeland Security Strategy update process does **not require** States and Urban Areas to write a new strategy, but encourages them to tailor and update existing goal statements and supporting objectives. At a minimum, States and Urban Areas should ensure that their updated strategies continue to address all homeland security mission areas (**prepare for, protect against, respond to, recover from, and mitigate all hazards**) and reflect how their goals and objectives align to the National Priorities. If desired, States and Urban Areas may also conduct a more extensive update or rewrite of their strategies. When revisiting and updating the strategies, goals, and objectives, States and Urban Areas are strongly encouraged to consider collaboration across disciplines, jurisdictions, and agencies within the framework of the mission areas and based on a capability-based planning approach.

Collaboration with Tribes

DHS strongly encourages States, Urban Areas, and regions to work with Tribal nations in overall initiatives such as whole community emergency preparedness and management planning as well as other partnership areas.

Consolidation of Law Enforcement Terrorism Prevention-oriented Activities

Per the 9/11 Act, States are required to ensure that at least 25 percent (25%) of SHSP appropriated funds and 25 percent (25%) of UASI appropriated funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities (LETPA). This requirement does not include award funds from OPSG, MMRS, and CCP. Due to the consolidation of grant programs under the SHSP appropriation for FY 2011, the minimum allocation for LETPA will exceed 25 percent (25%). Please refer to the tables on pages 26 – 28 for LETPA minimum allocations for SHSP and UASI by jurisdiction.

Funds leveraged toward LETPA must prioritize activities associated with Priorities Two and Three, in particular those activities that focus on:

- Building Prevention and Protection Capabilities
- Maturation and Enhancement of State and Major Urban Area Fusion Centers.

Program-specific Priorities

State Homeland Security Program (SHSP)

The SHSP is a core assistance program that provides funds to build capabilities at the State, local, Tribal, and territorial levels, to enhance our national resilience to absorb disruptions and rapidly recover from incidents both natural and manmade as well as to implement the goals and objectives included in State homeland security strategies and initiatives in their State Preparedness Report (SPR).

Activities implemented under SHSP must support terrorism preparedness by building or enhancing capabilities that relate to the prevention of, protection from, response to, and recovery from terrorism in order to be considered eligible. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other

hazards. Grantees must demonstrate this dual-use quality for any activities implemented under this program that are not explicitly focused on terrorism preparedness.

SHSP Governance

Homeland security partners should examine how they integrate preparedness activities across disciplines, agencies, and levels of government, including State, territorial, local, and Tribal units of government. A cohesive planning framework should be incorporated that builds and implements homeland security initiatives which leverage DHS resources, as well as other Federal, State, territory, local, and Tribal resources. Specific attention should be paid to how all available preparedness funding sources (multiple Federal sources as well as State and local sources) can be effectively utilized in a collaborative manner to support the whole community approach to emergency preparedness and management and to the enhancement of overall capabilities.

The FY 2011 HSGP re-emphasizes the importance of creating or utilizing existing governing bodies to act on this guidance and coordinate grant resources. Examples include: State Senior Advisory Committees, Urban Area Working Groups, Statewide Interoperability Governing Board (SIGB), Area Maritime Security Committees, Citizen Corps Councils, MMRS Leadership, and Children's Working Groups.

As a reminder, the membership of the Senior Advisory Committee must, at a minimum, include the following State officials directly responsible for the administration of FEMA GPD grants, Centers for Disease Control and Prevention (CDC), Assistant Secretary for Preparedness and Response (ASPR) cooperative agreements, and Emergency Medical Services for Children (EMSC) grants: the SAA, ASPR Hospital Preparedness Program (HPP) Coordinator, and CDC Public Health Emergency Preparedness (PHEP) Program Director. In addition, program representatives from the following entities should be members of the committee: State Homeland Security Advisor (if this role is not also the SAA), State Emergency Management Agency Director, State Public Health Officer, State Public Safety Officer (and SAA for Justice Assistance Grants, if different), State Court Official, State EMS Director, State Trauma System Manager, Statewide Interoperability Coordinator, State Citizen Corps Point of Contact (POC), the State EMSC Coordinator, State Education Department, State Human Services Department, State Child Welfare Services, State Juvenile Justice Services, Urban Area POC, United States Coast Guard Area Command or Captain of the Port, Senior Members of the Regional Transit Security Working Group, Senior Security Officials from Major Transportation Systems, and the Adjutant General.

Urban Areas Security Initiative (UASI)

Since its inception in FY 2003, the intent of the UASI program has been to enhance regional preparedness in major metropolitan areas. The UASI program is a core program in the DHS mission to build the capacity of American society to be resilient in the face of disruptions, disasters, and other crises. The UASI program directly supports the National Priority on expanding regional collaboration in the *National Preparedness Guidelines* and is intended to assist participating jurisdictions in developing integrated

regional systems for prevention, protection, response, and recovery. Ultimately, the FY 2011 UASI program is intended to provide financial assistance to address the unique multi-discipline planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and to assist these Areas in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism. Activities implemented with UASI funds must support terrorism preparedness by building or enhancing capabilities that relate to the prevention of, protection from, response to or recovery from terrorism in order to be considered eligible. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees must demonstrate the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness.

Urban Areas must use UASI funds to employ regional approaches to overall preparedness and are encouraged to adopt regional response structures whenever appropriate. UASI program implementation and governance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, response, and recovery activities within the region. In some instances Urban Area boundaries cross State borders. States must ensure that the identified Urban Areas take an inclusive regional approach to the development and implementation of the FY 2011 UASI program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, State agencies, Statewide Interoperability Coordinators, Citizen Corps Council(s), MMRS jurisdictions, and campus law enforcement in their program activities.

Grantees must also demonstrate the integration of children and individuals with disabilities or access and functional needs into activities implemented under this program.

UASI Composition

Pursuant to provisions of the 9/11 Act, eligible FY 2011 UASI candidates were determined based on an analysis of relative risk of the 100 most populous Metropolitan Statistical Areas (MSAs), as defined by the Office of Management and Budget (OMB). MSAs are used by DHS to determine eligibility for participation in the program. *Part II* of this Guidance shows a table of Urban Areas selected for possible FY 2011 funding. *Geographical areas queried do not equate to minimum mandated membership representation of an Urban Area, nor does this guarantee funding for geographical areas queried.* Urban Area Working Groups (UAWGs) must continue to take a regional approach to membership but are not required to expand or contract existing Urban Area participation to conform to MSA composition as a result of this legislative change. Detailed information on MSAs is publicly available from the United States Census Bureau at <http://www.census.gov/population/www/metroareas/metrodef.html>.

UASI Program Requirements

The SAA will be responsible for ensuring compliance with the fiduciary and programmatic administration requirements of the FY 2011 UASI program.

- *Identify POCs.* The SAA must confirm a specific POC with the designated Urban Area. The SAA POCs are responsible for identifying and coordinating with the POC for the UAWG. This information must be provided to FEMA with the grant application. SAAs must work with existing Urban Areas to ensure that information for current POCs is on file with FEMA.
- *Define the Urban Area.* The SAA POC, in coordination with the candidate Urban Areas, must define the Urban Area, as it will apply to the FY 2011 UASI program. The identified city or combined entity represents the candidate Urban Area eligible to apply for funding under the FY 2011 UASI program. For those Urban Areas with a combined entity, that area represents the minimum area that must be part of the defined Urban Area. The definition of the Urban Area is limited to jurisdictions contiguous to the geographic area used to determine eligibility, or those jurisdictions in that area which have established formal mutual aid agreements. States may request a waiver for this limitation for regions previously established by Executive Order, law, or compact. For the purposes of the FY 2011 UASI program, the Washington, D.C. Urban Area will consist of the National Capital Region (NCR) as set forth in 10 U.S.C. §2674(f)(2). In coordination with the UAWG, the SAA POC may redefine the geographic boundaries of an existing Urban Area, as it will apply to the FY 2011 UASI program. The SAA POC must notify FEMA of this change.
- *Establish the UAWG.* Membership in the UAWG must provide either direct or indirect representation for all the jurisdictions and response disciplines (including law enforcement) that comprise the defined Urban Area. *It must also be inclusive of local MMRS leadership and Citizen Corps Council representatives.* The UAWG should also include officials responsible for the administration of CDC and ASPR cooperative agreements. Finally, it is also recommended that members advocating on behalf of vulnerable populations including youth, the elderly and individuals with functional needs, socio-economic factors and cultural diversity, be invited to provide representation.

The SAA POC must ensure that appropriate representation for the defined Urban Area is included per this guidance. FEMA strongly encourages that, wherever possible, previously established local working groups should be leveraged for this purpose to ensure that UASI resources are managed in the most efficient and effective manner possible. The UAWG may also support State efforts to develop the State Preparedness Report, particularly as it relates to UASI activities.

An overview of the UAWG structure and a list of members and their associated jurisdictions must be provided to FEMA along with the grant application. Urban Areas must notify the SAA of any updates to the UAWG structure or membership, of which the SAA must thereafter provide notification to FEMA.

- **Governance.** The jurisdictions identified in *Part II* of this Guidance package represent the candidate Urban Areas eligible to apply for funding. The UAWG will be responsible for coordinating the development and implementation of all program initiatives. States and Urban Areas must consider including counties within which the cities reside, contiguous jurisdictions, MSAs, operational areas, and mutual aid partners, as appropriate, in the governance process.

In keeping with sound project management practices, the UAWG must ensure that its approach to critical issues such as membership, governance structure, voting rights, grant management and administration responsibilities, and funding allocation methodologies are formalized in a working group charter or other form of standard operating procedure related to the UASI governance. The charter must also outline how decisions made in UAWG meetings will be documented and shared with UAWG members. The UAWG charter must be on file with FEMA prior to drawing down FY 2011 UASI funding and must be available to all UAWG members to promote transparency in decision-making related to the UASI program.

- **Urban Area Homeland Security Strategy.** Urban Areas must utilize their Urban Area Homeland Security Strategy as the basis for requesting funds to support Investments identified in their UASI IJ. There must be a clear correlation between the goals, objectives, and priorities identified in the Urban Area Homeland Security Strategy and proposed FY 2011 UASI program activities. In addition, the Urban Area Homeland Security Strategy must also be consistent with and supportive of the State Homeland Security Strategy. All Urban Areas receiving funding in FY 2011 must have an approved Urban Area Homeland Security Strategy.

UASI Allocation of Funds

The use and allocation of all grant funds available through the FY 2011 UASI program must focus on the Investments identified in the Urban Area's IJ and the implementation of the FEMA-approved Urban Area Homeland Security Strategy. The use of funds must also be consistent with the State Homeland Security Strategy, *National Preparedness Guidelines*, *Target Capabilities List (TCL)*,⁷ and overall UASI program guidelines. Funds used to support whole community and individual preparedness related efforts, such as engaging non-governmental organizations and vulnerable populations and demonstrating the integration of children and individuals with disabilities or access and functional needs in all phases of emergency management, participation of disaster volunteers in training, exercises and response and recovery operations, and educating the public should be coordinated with Citizen Corps Councils.

The UAWG, in coordination with the SAA POC, must develop a methodology for allocating funding available through the UASI program. The UAWG must reach consensus on all UASI funding allocations. If consensus cannot be reached within the

⁷ The TCL describes the capabilities related to the four homeland security mission areas: Prevent, Protect, Respond, and Recover. It defines and provides the basis for assessing preparedness. The TCL can be found at <https://www.rkb.us/hspd8.cfm>.

45-day time period allotted for the State to obligate funds to sub-grantees, the SAA must make the allocation determination. The SAA must provide written documentation verifying the consensus of the UAWG, or the failure to achieve otherwise, on the allocation of funds and submit it to FEMA immediately after the 45-day time period allotted for the State to obligate funds to sub-grantees.

Any UASI funds retained by the State must be used in direct support of the Urban Area. States must provide documentation to the UAWG and FEMA upon request demonstrating how any UASI funds retained by the State are directly supporting the Urban Area. If the SAA intends to retain any UASI funds, the SAA must prepare an Investment that demonstrates how the retained funds will be used to directly support the designated Urban Area in the State. This Investment should be included in the designated Urban Area's IJ.

Operation Stonegarden (OPSG)

OPSG provides funding to designated localities to enhance cooperation and coordination between Federal, State, local, Tribal, and territorial law enforcement agencies in a joint mission to secure the United States borders along routes of ingress from international borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with International water borders.

FY 2011 OPSG is intended to support United States border States and territories in:

- Increasing capability to prevent, protect against, and respond to border security issues
- Encouraging local operational objectives and capabilities to enhance National and State Homeland Security Strategies (such as the Federal Secure Borders Initiative and United States Customs and Border Protection (CBP)/Border Patrol (BP) strategies)
- Increasing coordination and collaboration among Federal, State, local, Tribal, and territorial law enforcement agencies
- Continuing the distinct capability enhancements required for border security and border protection
- Providing intelligence-based operations through CBP/BP Sector Level experts to ensure safety and operational oversight of Federal, State, local, Tribal, and territorial law enforcement agencies participating in OPSG operational activities
- Supporting a request to the Governor to activate, deploy, or redeploy specialized National Guard Units/Packages and/or elements of State law enforcement to increase or augment specialized/technical law enforcement elements operational activities
- Continuing to increase operational, material and technological readiness of State, local, Tribal, and territorial law enforcement agencies

OPSG Program Requirements

The FY 2011 OPSG funds must be used to increase operational capabilities of Federal, State, local, Tribal, and territorial law enforcement, promoting a layered, coordinated approach to law enforcement within United States border States and territories.

- *Federal, State, Local, Tribal, and Territorial OPSG Coordination Working Group.* It is recommended that Federal, State, local, Tribal, and territorial partners establish and maintain an OPSG Working Group with representation from all participating law enforcement agencies, co-chaired by representatives from CBP/BP, the SAA, and participating law enforcement agencies' OPSG program representatives.
- *Coordination Requirements.* All operational plans should be crafted in cooperation and coordination among Federal, State, local, Tribal, and territorial partners. Consideration will be given to applications that are coordinated across multiple jurisdictions. All applicants must coordinate with the CBP/BP Sector Headquarters with geographic responsibility for the applicant's location in developing and submitting an Operations Order with an embedded budget to the SAA.

After awards are announced, prospective grant recipients will re-scope the draft Operations Order and resubmit as a final Operations Order with an embedded budget, based on actual dollar amounts to be awarded. Final Operations Orders will be approved by the appropriate Sector Headquarters and forwarded to Headquarters, Office of Border Patrol, Washington, D.C., before funding is released.

Grantees may not begin operations, obligate, or expend any funds until the final Operations Order and embedded budget has been approved by FEMA GPD and CBP/BP Headquarters and any existing special conditions and/or restrictions are removed. FY 2011 OPSG activities are expected to maximize HSGP strategic planning efforts and integration with State, Tribal, territory, Urban Area, and local Homeland Security Strategies.

Metropolitan Medical Response System (MMRS)

The MMRS program provides funding to local or sub-State regional jurisdictions to support and enhance the integration of local emergency management, health, and medical systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident. Grantees must also demonstrate how their investments will increase the effectiveness of emergency preparedness planning and response for the whole community by integrating and coordinating activities implemented under this program for children and adults with disabilities and others with access and functional needs.

The responsibilities of the SAA are to:

- Prepare, with the assistance of the MMRS Program Manager(s), one Investment that clearly identifies the State's support for the integration of local emergency management, health, and medical services to improve the local response to mass casualty events using MMRS grant funds
- Ensure that MMRS is represented on State Homeland Security Working Groups and UAWGs so that the interests of the local health and medical communities are well represented
- Ensure all neighboring MMRS sub-grantees shall actively and demonstratively collaborate to develop a regional plan that supports the MMRS mission in cases where MMRS sub-grantees are located adjacent to one another
- Shall coordinate with the State health representatives who work in the Public Health Emergency Preparedness (PHEP) program, managed by CDC, and Hospital Preparedness Program (HPP), managed by the United States Department of Health and Human Services (HHS) Assistant Secretary for Preparedness and Response (ASPR), and Strategic National Stockpile

The responsibilities of MMRS sub-grantees are to:

- Establish and support designated MMRS leadership, such as a Steering Committee, to act as the designated POCs for program implementation
- Promote integration of local emergency management, health, and medical systems with their Federal and State counterparts through a locally established multi-agency, collaborative planning framework
- Promote sub-State regional coordination of mutual aid with neighboring localities
- Enhance, using MMRS funds, sub-State regional planning and training to expand and improve an integrated, inclusive health and medical response to mass casualty events
- Validate the sub-grantee's local emergency response capability to a mass casualty incident by means of a regular schedule of exercises that are Homeland Security Exercise and Evaluation Program (HSEEP)-compatible
- Coordinate all MMRS expenditures with the local health department and, where appropriate, local representatives who manage PHEP grants, managed by CDC, and HPP, managed by HHS-ASPR, and Strategic National Stockpile

MMRS Collaboration

MMRS sub-grantees are strongly encouraged to collaborate with local, regional, and State health and medical partners, such as Medical Reserve Corps Units and Citizen Corps Councils, as well as leverage other Federal programs, such as the HHS ASPR Hospital Preparedness Program and Emergency Systems for Advance Registration of Volunteer Health Professionals (ESAR-VHP), CDC Cities Readiness Initiative (CRI), PHEP, and Strategic National Stockpile Programs. The intent of collaboration should be to coordinate and support plans, processes, and strategies related to, but not limited to: Continuity of Government; Continuity of Operations; Age-Appropriate Equipment and Supplies Procurement; Emergency Triage and Pre-Hospital Treatment/Emergency

Medical Services; 9-1-1/Medical Dispatch; Fatality Management; Forward Movement of Patients; Hospital Evacuation; Interoperable Communications; Patient Tracking; Pharmaceutical and Medical Supply Management and Distribution; Public Education; Outreach and Information; Recruiting Volunteers; and Training. Plans, processes, and strategies should specifically address disability accessibility and functional needs and pediatric capabilities except where infants and children are not a specific concern, such as interoperable communications (which may be a concern for workers with hearing and vision disabilities).

The Medical Reserve Corps (MRC) program is administered by the HHS Office of the Surgeon General. MRC units are organized locally to meet the health and safety needs of their community. MRC members are identified, credentialed, trained, and prepared in advance of an emergency, and may be utilized throughout the year to improve the health and medical response system. MMRS jurisdictions are encouraged to actively collaborate with MRC unit representatives. MMRS funds may be used to support local MRC units if endorsed by the local MMRS Steering Committee. Local MRC units must submit proposals to the MMRS Steering Committee outlining the amount of funds requested, the purpose of the funds, and the specific goals that will be addressed by the MRC unit as outlined in the proposal. The MMRS Steering Committee shall ensure that the proposed MRC activities will support and complement the objectives of the MMRS program prior to approval of the MRC funds request. The following are examples of the types of allowable expenses that MMRS jurisdictions may consider when supporting/establishing MRC units:

- Implementing mechanisms to assure appropriate integration and coordination with existing local emergency response and health assets and capabilities (including provision of legal protections for volunteers)
- Developing plans to organize and mobilize the MRC unit in response not only to urgent needs, but also to address other public health needs in the community
- Implementing activities to address the needs of children and individuals with disabilities or access and functional needs
- Recruiting volunteers for the MRC unit including volunteers with subject matter expertise in assessing the acute medical and non-acute health, safety and maintenance of independence needs of survivors with disabilities to determine and provide appropriate assistance in the most integrated setting appropriate
- Tracking volunteer information
- Screening and verifying credentials
- Training
- Providing age-appropriate equipment and supplies for the MRC unit

Citizen Corps Program (CCP)

The Citizen Corps mission is to bring community and government leaders together to coordinate the involvement of community members and organizations in emergency preparedness, planning, mitigation, response, and recovery. The participation of community leaders in developing emergency plans is critical to the success of a comprehensive planning process. Community-based planning that involves the whole

community will reflect an accurate composite of that community and establish a viable, fully integrated and coordinated plan that emergency officials will execute when an incident occurs. Specific emphasis should be placed on community preparedness practices that increase the inclusion of people with disabilities into community planning initiatives. Effective preparedness activities will include strategies, projects, and tools for meeting the access and functional needs of workers with disabilities, as well as citizens with disabilities through increased physical, programmatic, and communications access for people who have physical, sensory, intellectual, cognitive, and mental health disabilities in compliance with applicable laws that require inclusive preparedness, response, recovery, and mitigation.

Because each State and territory will be receiving CCP funds in FY 2011, SAA's must prepare an Investment that clearly identifies their proposed activities and support for the CCP mission. SHSP and UASI funds, in alignment with overall strategy and targeted investments, may be used to support all activities and programs allowable within the CCP.

FY 2011 CCP funds provide resources for States, local, Tribal, and territorial communities to:

- Bring together the appropriate leadership to form and sustain a Citizen Corps Council
- Develop and implement a plan and amend existing plans, such as EOPs to achieve and expand citizen preparedness and participation
- Conduct public education and outreach
- Ensure clear, timely, and accessible alerts/warnings and emergency communications with the public
- Develop training programs for the public, including children, individuals with disabilities, and access and functional needs populations, for both all-hazards preparedness and volunteer responsibilities
- Provide reasonable accommodations and modifications to enable individuals with disabilities to fully participate
- Facilitate citizen participation in exercises
- Implement volunteer programs, like the Community Emergency Response Team (CERT) Program, and other activities to support emergency response services in response and recovery functions
- Involve citizens in surge capacity roles and responsibilities during an incident in alignment with the Emergency Support Functions and Annexes
- Conduct evaluations of programs and activities

As uniformed emergency responders constitute less than one percent (1%) of the total United States population, it is clear that citizens must be better prepared, trained, and practiced on how best to take care of themselves and assist others in those first crucial hours during and after a catastrophic incident. Individuals can reduce the demand for emergency assistance during catastrophic incidents by taking appropriate preparedness measures and actively contribute to the Nation's response capability by participating in

response and recovery activities. A knowledgeable, trained, and involved public will provide the Nation with a critical surge capacity to augment government efforts in a catastrophic incident. Through the *Ready Campaign* and the nationwide network of State and local Citizen Corps Councils, DHS will focus on strengthening citizen preparedness capabilities, particularly for children, individuals with disabilities or access and functional needs, and socially vulnerable populations. Timely alert and warning to American citizens during catastrophic events is critical to preservation of life and property.

CCP Program Requirements

All CCP grant recipients must register their Citizen Corps Council and/or CERT program and receive approval on the Citizen Corps website at <http://www.citizencorps.gov/>. In addition, all grant recipients must update / validate their Citizen Corps and/or CERT information, activity, and contacts located on the Citizen Corps and national program websites twice a year.

- *State and territory responsibilities.* Citizen preparedness and participation must be coordinated by an integrated body of government and nongovernmental representatives. States and local government recipients and sub-grantees of HSGP funds, including Urban Areas, must have such a body to serve as their Citizen Corps Council with membership that includes, but is not limited to: representatives from emergency management, homeland security, law enforcement, fire service, emergency medical services/public health or their designee, elected officials, the private sector (especially privately owned critical infrastructure), private nonprofits, nongovernmental organizations (including faith-based, community-based, and voluntary organizations), and advocacy groups for children, seniors, people with disabilities and others with access and functional needs. Representatives from existing Citizen Corps partners and affiliates active in the community should also be included on these Citizen Corps Councils. Furthermore, Citizen Corps Councils should include a MMRS representative, where applicable, along with advocates and specialists representing the unique needs of infants and children and representatives from the disability community.

Volunteer programs and assets, which are authorized to deploy in response and recovery operations, must meet the minimum training and equipment requirements, as determined by the national program office in coordination with the sponsoring State/territory.

Senior Advisory Committees (SACs) and UAWGs may serve as Citizen Corps Councils if the appropriate representatives are members, to include the State/UASI Citizen Corps Program Manager(s) and nongovernmental members. SAAs must coordinate all citizen involvement in emergency preparedness, planning, mitigation, response, and recovery funded with any source of HSGP funds with the State agency currently responsible for the administration of Citizen Corps. A listing of current State Citizen Corps Program Managers is available by visiting <http://www.citizencorps.gov/councils/> and selecting "Citizen Corps State

Contacts.”

State Citizen Corps Program Managers shall provide quarterly updates to the FEMA Regional Community Program Manager. These quarterly updates should include information on State and local Council activities or events such as community preparedness public education and outreach, volunteer integration, and training and exercises. State Citizen Corps Program Managers must also continue to provide program management via the administrative section of the Citizen Corps website, <http://www.citizencorps.gov>, to include managing the approval process for local Citizen Corps Councils and CERT programs, managing administrative section passwords for local users, and managing calendar events, subscribers, and e-mails to local Councils.

The community preparedness section(s) of State Homeland Security Strategies, policies, guidance, plans (including EOPs, the State Preparedness Report, and IJs), and evaluations should be reviewed by the body serving as the State Citizen Corps Council, where appropriate. Representatives from nongovernmental organizations that represent the demographic makeup of the community are expected to evaluate closely the functional areas of warnings, emergency public information, evacuation, mass care, resource management from nongovernmental sources, unaffiliated volunteer and donations management, and nongovernmental resource integration (goods and personnel) to support each emergency support function in the EOP. During this process, representatives should also evaluate capabilities with regard to infants and children and the integration of individuals with disabilities to ensure they are addressed throughout the EOP.

- *Coordination.* The SAA must coordinate the financial, programmatic, and administrative issues relating to the Citizen Corps mission with the State Citizen Corps Program Manager. Furthermore, the SAA must share the community preparedness information submitted in the State’s BSIR with the State Citizen Corps Program Manager. The State Citizen Corps Program Manager must also participate in the FEMA required monitoring process. In addition, all State Citizen Corps Program Managers must update/validate their Citizen Corps Council information, activity, and contacts located on the Citizen Corps website twice a year.

PART II. AWARD INFORMATION

Authorizing Statutes

The *Department of Defense and Full-Year Continuing Appropriations Act, 2011* (Public Law 112-10) and Section 2003 of the *Homeland Security Act of 2002*, as amended by section 101 of the *Implementing Recommendations of the 9/11 Commission Act*, 6 U.S.C. 604 authorized the FY 2011 HSGP.

Period of Performance

The period of performance of this grant is 36 months. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications as to why an extension is required. For more information on grant extensions, see *Section II, Part I.A.*

Available Funding

In FY 2011, the total amount of funds distributed under this grant program will be \$1,289,296,132. The available funding is summarized in the table below.

HSGP Programs	FY 2011 Allocation
State Homeland Security Program	\$526,874,100
Urban Areas Security Initiative	\$662,622,100
Operation Stonegarden	\$54,890,000
Metropolitan Medical Response System	\$34,929,932
Citizen Corps Program	\$9,980,000
Total	\$1,289,296,132

The specific information regarding funding allocations for the five HSGP programs are detailed below.

FY 2011 SHSP Allocations

FY 2011 SHSP funds will be allocated based on three factors: minimum amounts as legislatively mandated, DHS' risk methodology, and effectiveness.

Legislatively-mandated Minimum Amounts

Each State and territory will receive a minimum allocation under SHSP using the thresholds established in the 9/11 Act. All 50 States, the District of Columbia, and Puerto Rico will receive 0.355 percent of the total funds allocated for grants under Section 2004 of the *Homeland Security Act of 2002* (6 U.S.C. §101 *et seq.*), as amended by the 9/11 Act, for SHSP. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation

of 0.08 percent of the total funds allocated for grants under Section 2004 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act, for SHSP.

Allocations Based Upon DHS’ Risk Methodology

Risk will be evaluated at the Federal level using an analytical model developed by DHS in conjunction with other Federal entities. Please see *Part I* “Funding Opportunity Description – Funding Allocations Based Upon Risk.” The table below identifies the SHSP allocations based on DHS’ relative risk assessment.

FY 2011 SHSP Allocations

State/Territory	FY 2011 Allocation	Law Enforcement Terrorism Prevention Activities Minimum
Alabama	\$5,137,205	\$1,739,340
Alaska	\$5,137,205	\$1,739,340
American Samoa	\$1,157,680	\$391,964
Arizona	\$6,608,683	\$2,237,549
Arkansas	\$5,137,205	\$1,739,340
California	\$72,983,062	\$24,710,393
Colorado	\$5,489,930	\$1,858,764
Connecticut	\$5,137,205	\$1,739,340
Delaware	\$5,137,205	\$1,739,340
District of Columbia	\$5,285,216	\$1,789,453
Florida	\$16,505,787	\$5,588,481
Georgia	\$9,614,953	\$3,255,403
Guam	\$1,157,680	\$391,964
Hawaii	\$5,137,205	\$1,739,340
Idaho	\$5,137,205	\$1,739,340
Illinois	\$20,212,506	\$6,843,491
Indiana	\$5,663,221	\$1,917,437
Iowa	\$5,137,205	\$1,739,340
Kansas	\$5,137,205	\$1,739,340
Kentucky	\$5,137,205	\$1,739,340
Louisiana	\$6,902,499	\$2,337,028
Maine	\$5,137,205	\$1,739,340
Maryland	\$7,909,769	\$2,678,066
Massachusetts	\$7,787,858	\$2,636,790
Michigan	\$9,652,690	\$3,268,180
Minnesota	\$5,394,708	\$1,826,524
Mississippi	\$5,137,205	\$1,739,340
Missouri	\$5,528,978	\$1,871,985
Montana	\$5,137,205	\$1,739,340
Nebraska	\$5,137,205	\$1,739,340
Nevada	\$5,137,205	\$1,739,340

State/Territory	FY 2011 Allocation	Law Enforcement Terrorism Prevention Activities Minimum
New Hampshire	\$5,137,205	\$1,739,340
New Jersey	\$11,902,274	\$4,029,837
New Mexico	\$5,137,205	\$1,739,340
New York	\$91,192,861	\$30,875,814
North Carolina	\$7,709,831	\$2,610,372
North Dakota	\$5,137,205	\$1,739,340
Northern Mariana Islands	\$1,157,680	\$391,964
Ohio	\$10,775,036	\$3,648,180
Oklahoma	\$5,137,205	\$1,739,340
Oregon	\$5,137,205	\$1,739,340
Pennsylvania	\$13,545,257	\$4,586,114
Puerto Rico	\$5,137,205	\$1,739,340
Rhode Island	\$5,137,205	\$1,739,340
South Carolina	\$5,137,205	\$1,739,340
South Dakota	\$5,137,205	\$1,739,340
Tennessee	\$5,518,319	\$1,868,376
Texas	\$28,562,145	\$9,670,488
U.S. Virgin Islands	\$1,157,680	\$391,964
Utah	\$5,137,205	\$1,739,340
Vermont	\$5,137,205	\$1,739,340
Virginia	\$9,340,306	\$3,162,414
Washington	\$9,178,546	\$3,107,645
West Virginia	\$5,137,205	\$1,739,340
Wisconsin	\$5,137,205	\$1,739,340
Wyoming	\$5,137,205	\$1,739,340
Total	\$526,874,100	\$178,387,500

FY 2011 UASI Allocations

FY 2011 UASI funds will be allocated based upon the DHS' risk methodology and effectiveness.

Allocations Based Upon DHS' Risk Methodology

Eligible candidates for the FY 2011 UASI program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous metropolitan statistical areas in the United States, in accordance with the 9/11 Act. Based on that analysis, the eligible candidates have been grouped into two tiers according to relative risk. Tier I includes the 11 highest risk areas and will be allocated 81.6 percent (81.6%) of the total UASI funding available; Tier II includes the other 20 candidate areas and will be allocated the remaining 18.4 percent (18.4%) of the total UASI funding available. The tier approach was employed to allow applicants with a similar level of risk to

compete for funding on a level playing field. The table below identifies the eligible Urban Areas and their UASI allocations based on DHS' relative risk assessment.

FY 2011 UASI Allocations

Tier	State/Territory	Urban Area	FY 2011 Allocation	Law Enforcement Terrorism Prevention Activities Minimum
Tier I	California	Los Angeles/Long Beach Area	\$69,922,146	\$19,087,867
		Bay Area	\$42,827,663	\$11,691,413
		San Diego Area	\$16,208,500	\$4,424,717
	District of Columbia	National Capital Region	\$59,392,477	\$16,213,399
	Illinois	Chicago Area	\$54,653,862	\$14,919,817
	Massachusetts	Boston Area	\$18,933,980	\$5,168,739
	New Jersey	Jersey City/Newark Area	\$37,292,205	\$10,180,303
	New York	New York City Area	\$151,579,096	\$41,379,187
	Pennsylvania	Philadelphia Area	\$23,335,845	\$6,370,392
		Texas	Houston Area	\$41,452,916
	Dallas/Fort Worth/Arlington Area		\$25,097,410	\$6,851,277
Tier II	Arizona	Phoenix Area	\$7,755,447	\$2,117,140
	California	Anaheim/Santa Ana Area	\$8,941,135	\$2,440,817
		Riverside Area	\$3,700,465	\$1,010,180
	Colorado	Denver Area	\$4,968,954	\$1,356,462
	Florida	Miami/Fort Lauderdale Area	\$9,646,226	\$2,633,298
		Tampa Area	\$5,470,535	\$1,493,387
		Orlando Area	\$3,696,674	\$1,009,146
	Georgia	Atlanta Area	\$9,750,733	\$2,661,828
	Maryland	Baltimore Area	\$7,813,444	\$2,132,972
	Michigan	Detroit Area	\$9,437,120	\$2,576,215
	Minnesota	Twin Cities Area	\$6,116,913	\$1,669,840
	Missouri	St. Louis Area	\$5,973,100	\$1,630,581
	Nevada	Las Vegas Area	\$5,705,105	\$1,557,422
	North Carolina	Charlotte Area	\$3,244,400	\$885,680
	Ohio	Cleveland Area	\$3,590,432	\$980,143
		Cincinnati Area	\$3,491,256	\$953,069
	Oregon	Portland Area	\$5,025,160	\$1,371,806
	Pennsylvania	Pittsburgh Area	\$4,479,093	\$1,222,736
	Virginia	Norfolk Area	\$5,160,470	\$1,408,743
Washington	Seattle Area	\$7,959,338	\$2,172,799	
Total			\$662,622,100	\$ 180,887,500

FY 2011 OPSG Allocations

FY 2011 OPSG funds will be allocated based on risk-based prioritization using CBP’s Sector-specific border risk methodology to include, but not limited to: threat, vulnerability, miles of border, and other border-specific “law enforcement intelligence,” as well as feasibility of FY 2011 Operation Orders to designated localities within the United States border States and territories.

Eligible grantees under the FY 2011 OPSG are local units of government at the county level and federally-recognized Tribal governments in the States bordering Canada (including Alaska), southern States bordering Mexico, and States and territories with international water borders. **The SAA is the only entity eligible to apply to FEMA for FY 2011 OPSG funds on behalf of the county or similar level of government and federally-recognized Tribal governments.** Eligible States and territories without a county or similar level of government structure are authorized to accept applications on behalf of the alternative unit of local government. SAAs in this situation must advise FEMA in writing as to their intent. *Note: Not all applicants are guaranteed to receive funding under the FY 2011 OPSG.*

FY 2011 OPSG Eligible Applicants

States and Territories		
Alabama	Massachusetts	Pennsylvania
Alaska	Michigan	Rhode Island
Arizona	Minnesota	South Carolina
California	Mississippi	Texas
Connecticut	Montana	Vermont
Delaware	New Hampshire	Virginia
Florida	New Jersey	Washington
Georgia	New Mexico	Wisconsin
Hawaii	New York	Puerto Rico
Idaho	North Carolina	U.S. Virgin Islands
Louisiana	North Dakota	American Samoa
Maine	Ohio	Guam
Maryland	Oregon	Northern Mariana Islands

FY 2011 MMRS Allocations

FY 2011 MMRS funding will be divided evenly among the 124 MMRS jurisdictions listed below.

FY 2011 MMRS Funding Allocations

State	MMRS Jurisdictions	FY 2011 Allocation
Alabama	Birmingham, Huntsville, Mobile, and Montgomery	\$1,126,772
Alaska	Anchorage and Juneau	\$563,386
Arizona	Glendale, Mesa, Phoenix, and Tucson	\$1,126,772
Arkansas	Little Rock	\$281,693

State	MMRS Jurisdictions	FY 2011 Allocation
California	Anaheim, Bakersfield, Fremont, Fresno, Glendale, Huntington Beach, Long Beach, Los Angeles, Modesto, Oakland, Riverside, Sacramento, San Bernardino, San Diego, San Francisco, San Jose, Santa Ana, and Stockton	\$5,070,474
Colorado	Aurora, Colorado Springs, and Denver	\$845,079
Connecticut	Hartford	\$281,693
Florida	Fort Lauderdale, Hialeah, Jacksonville, Miami, Orlando, St. Petersburg, and Tampa	\$1,971,851
Georgia	Atlanta and Columbus	\$563,386
Hawaii	Honolulu	\$281,693
Illinois	Chicago	\$281,693
Indiana	Ft. Wayne and Indianapolis	\$563,386
Iowa	Des Moines	\$281,693
Kansas	Kansas City and Wichita	\$563,386
Kentucky	Lexington/Fayette and Louisville	\$563,386
Louisiana	Baton Rouge, Jefferson Parish, New Orleans, and Shreveport	\$1,126,772
Maryland	Baltimore	\$281,693
Massachusetts	Boston, Springfield, and Worcester	\$845,079
Michigan	Detroit, Grand Rapids, and Warren	\$845,079
Minnesota	Minneapolis and St. Paul	\$563,386
Mississippi	Jackson	\$281,693
Missouri	Kansas City and St. Louis	\$563,386
Nebraska	Lincoln and Omaha	\$563,386
Nevada	Las Vegas	\$281,693
New Hampshire	Northern New England MMRS	\$281,693
New Jersey	Jersey City and Newark	\$563,386
New Mexico	Albuquerque	\$281,693
New York	Buffalo, New York City, Rochester, Syracuse, and Yonkers	\$1,408,465
North Carolina	Charlotte, Greensboro, and Raleigh	\$845,079
Ohio	Akron, Cincinnati, Cleveland, Columbus, Dayton, and Toledo	\$1,690,158
Oklahoma	Oklahoma City and Tulsa	\$563,386
Oregon	Portland	\$281,693
Pennsylvania	Allegheny County and Philadelphia	\$563,386
Rhode Island	Providence	\$281,693
South Carolina	Columbia	\$281,693
Tennessee	Chattanooga, Knoxville, Memphis, and Nashville	\$1,126,772
Texas	Amarillo, Arlington, Austin, Corpus Christi, Dallas, El Paso, Fort Worth, Garland, Houston, Irving, Lubbock, San Antonio, and Southern Rio Grande	\$3,662,009
Utah	Salt Lake City	\$281,693
Virginia	Arlington County, Chesapeake, Newport News, Norfolk, Richmond, and Virginia Beach	\$1,690,158
Washington	Seattle, Spokane, and Tacoma	\$845,079
Wisconsin	Madison and Milwaukee	\$563,386
Total		\$34,929,932

FY 2011 CCP Allocations

CCP allocations are determined using the *USA PATRIOT Act* (Public Law 107-56) formula, which specifies that all 50 States, the District of Columbia, and Puerto Rico will receive a minimum of 0.75 percent of the total available grant funding, and that four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum of 0.25 percent of the total available grant funding. The balance of CCP funds are distributed on a population-share basis. In addition to CCP allocations, States and Urban Areas are encouraged to fully leverage all HSGP resources to accomplish the Citizen Corps mission.

FY 2011 CCP Funding Allocations

State/Territory	FY 2011 Allocation	State/Territory	FY 2011 Allocation
Alabama	\$165,261	Nevada	\$125,598
Alaska	\$88,400	New Hampshire	\$100,150
Arizona	\$202,479	New Jersey	\$241,785
Arkansas	\$130,482	New Mexico	\$113,729
California	\$787,232	New York	\$449,095
Colorado	\$172,251	North Carolina	\$255,665
Connecticut	\$142,270	North Dakota	\$87,348
Delaware	\$91,891	Ohio	\$295,296
District of Columbia	\$86,522	Oklahoma	\$146,046
Florida	\$431,897	Oregon	\$148,552
Georgia	\$264,257	Pennsylvania	\$316,336
Hawaii	\$99,702	Rhode Island	\$95,053
Idaho	\$104,667	South Carolina	\$162,725
Illinois	\$322,293	South Dakota	\$90,526
Indiana	\$198,057	Tennessee	\$196,008
Iowa	\$132,639	Texas	\$556,826
Kansas	\$129,160	Utah	\$128,962
Kentucky	\$157,802	Vermont	\$86,748
Louisiana	\$161,434	Virginia	\$226,861
Maine	\$99,948	Washington	\$203,809
Maryland	\$184,523	West Virginia	\$109,746
Massachusetts	\$201,612	Wisconsin	\$183,208
Michigan	\$264,694	Wyoming	\$85,319
Minnesota	\$175,981	Puerto Rico	\$147,336
Mississippi	\$131,442	U.S. Virgin Islands	\$27,048
Missouri	\$189,769	American Samoa	\$26,220
Montana	\$93,586	Guam	\$28,407
Nebraska	\$109,470	Northern Mariana Islands	\$25,877
Total			\$9,980,000

Cost Match

In FY 2011, grantees may provide an optional cost match; however, an applicant's willingness to contribute an optional cost match will not impact allocation amounts identified in the FY 2011 HSGP Guidance and Application Kit. Applicants interested in providing an optional cost match should enter the match amount on the SF-424 and SF-

424 A required in the application. IJs must also identify any matching funds (source and dollar amount) being provided.

FEMA administers cost match requirements in accordance with 44 CFR Part §13.24. To meet matching requirements, the grantee contributions must be reasonable, allowable, allocable, and necessary under the grant program and must comply with all Federal requirements and regulations.

Please refer to *Section II, Part I.E* for additional match guidance to include match definitions, basic guidelines, and governing provisions.

Pass Through Requirement

Awards made to the SAA for HSGP carry additional pass-through requirements. Pass-through is defined as an obligation on the part of the States to make funds available to local units of government, combinations of local units, or other specific groups or organizations. The State's pass-through period must be met within 45 days of the award date for the HSGP.⁸ Four requirements must be met to pass-through grant funds:

- There must be some action to establish a firm commitment on the part of the awarding entity
- The action must be unconditional on the part of the awarding entity (i.e., no contingencies for availability of SAA funds)
- There must be documentary evidence of the commitment
- The award terms must be communicated to the official grantee

FEMA will track the congressionally-mandated obligation of funds to local units of government through each State's Initial Strategy Implementation Plan (ISIP). In addition, FEMA strongly encourages the timely obligation of funds from local units of government to other sub-grantees, as appropriate.

The SAA must obligate at least 80 percent (80%) of the funds awarded under SHSP and UASI to local units of government within 45 days of receipt of the funds. For Puerto Rico, the SAA must also obligate at least 80 percent of the funds to local units of government within 45 days of receipt of the funds. Additionally, no pass-through requirements will be applied to the District of Columbia, Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands. Any UASI funds retained by the SAA must be used to **directly** support the designated Urban Areas in the State.

For SHSP and UASI programs involving obligation of funds, the State may retain some of the allocation of grant funds for expenditures made by the State on behalf of the local unit of government or Urban Area jurisdiction. This may occur only with the written consent of the local unit of government or Urban Area jurisdiction, with the written consent specifying the amount of funds to be retained and the intended use of funds. If

⁸ For purposes of the FY 2011 HSGP, receipt of funds means the date on which funds are available for expenditure (i.e., all special conditions prohibiting obligation, expenditure, and drawdown have been removed).

a written consent agreement is already in place from previous fiscal years, FEMA will continue to recognize it for FY 2011. If any modifications to the existing agreement are necessary to reflect new initiatives, States should contact their assigned FEMA Program Analyst.

The SAA must obligate 100 percent (100%) of the funds awarded under OPSG to local units of government within 45 days of receipt of the funds. There are no obligation requirements for MMRS or CCP. However, if funds are retained, the maximum amount that can be retained is equivalent to the percentage that the State can retain for M&A.

If funds are retained for CCP, consultation with local Citizen Corps Councils is required to ensure funds are expended in a manner that supports local or statewide efforts to educate, train, and involve citizens. Jurisdictions are encouraged to leverage available funding resources to support community preparedness and participation.

A. Funding Guidelines

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award.

Use of SHSP and UASI funds must be consistent with and supportive of implementation of the State Homeland Security Strategy. Linkages between specific projects undertaken with SHSP and UASI funds and strategic goals and objectives will be highlighted through regular required reporting mechanisms, including the BSIR.

The applicable SAAs will be responsible for administration of the FY 2011 HSGP. In administering the program, the SAA must work with the eligible applicants to comply with the following general requirements:

- *HSGP Priorities Threshold.* As noted before, FY 2011 HSGP applies to all capabilities with an emphasis on the eight National Priorities.
- *Law Enforcement Terrorism Prevention.* Per the 9/11 Act, States are required to ensure that at least 25 percent (25%) of SHSP appropriated funds and 25 percent (25%) of UASI appropriated funds are dedicated towards LETPA. This requirement does not include award funds from OPSG, MMRS, and CCP.

Please refer to the tables on pages 26 – 28 for LETPA minimum allocations for SHSP and UASI by jurisdiction.

- *Fusion Center Investment.* As maturation of the national network of fusion centers is one of the Department's highest priorities in FY 2011, DHS is requiring that at least one (1) fusion center Investment from a State to provide funding support to the State's primary fusion center, as designated by the Governor. Additionally, FY 2011 eligible UASI applicants will be required to provide an Investment to the DHS-recognized fusion center within the Urban Area. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission.
- *Management and Administration (M&A) Limits.* A maximum of up to five percent (5%) of HSGP funds awarded may be retained by the State, and any funds retained are to be used solely for management and administrative purposes associated with the HSGP award. States may pass through a portion of the State M&A allocation to local sub-grantees to support local management and administration activities. Sub-grantees may also retain a maximum of up to five percent (5%) of funding passed through by the State solely for management and administrative purposes associated with the HSGP award.
- *Allowable Costs.* A crosswalk of allowable costs across the HSGP programs can be found in *Part VI* of this Guidance package, along with additional detail on planning, organization, equipment, training, and exercises costs. The following pages outline global allowable costs guidance applicable to all programs included in the HSGP.

Allowable Investments made in support of the HSGP priorities as well as other capability-enhancing projects must fall into the categories of planning, organization, equipment, training, emergency management related disability accommodations and modifications, or exercises. Additional detail about each of these allowable expense categories, as well as sections on additional activities including explicitly unallowable costs, is provided. In general, grantees should consult their FEMA Headquarters Program Analyst (for SHSP, UASI, or OPSG questions) or FEMA Regional Program Analyst (for MMRS or CCP questions) prior to making any Investment that does not clearly meet the allowable expense criteria established by the Guidance.

Planning Activities (SHSP, UASI, OPSG, MMRS, CCP)

FY 2011 SHSP and UASI funds may be used for a range of emergency preparedness and management planning activities and that support Performance Objectives One (THIRA) and Two (Planning), by placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v.2 as well as development and maintenance of a THIRA. Planning efforts can also include the prioritizing of needs, building capabilities, updating preparedness strategies, allocating resources, and delivering preparedness programs across disciplines (e.g., Tribal governments, law enforcement, fire, EMS, health care systems, public health, behavioral health, public works, rural water associations, agriculture, information technology, and the general public, including people with disabilities) and levels of government. Planning provides a methodical way to engage the whole community in

thinking through the life cycle of potential crises, determining required capabilities, and establishing a framework for roles and responsibilities. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes.

States and Urban Areas are further encouraged to include disciplines responsible for the health, safety, education, rehabilitation, and care of infants and children and those responsible for integrating the accessibility and functional needs of children and adults with disabilities. Planning activities should focus on the four homeland security mission areas of prevention, protection, response, and recovery. HSGP funds should also be leveraged to integrate specialized programs, such as the Regional Catastrophic Preparedness Grant Program and the Voluntary Private Sector Preparedness Accreditation and Certification Program (PS-Prep™), into the overall framework at the State and Urban Area level. All jurisdictions are encouraged to work through Citizen Corps Councils, existing public-private partnerships that support emergency management, nongovernmental entities, and the general public in planning activities.⁹ Grantees must use the *CPG 101: Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans* in order to develop robust and effective plans. For additional information, please see http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf.

Organizational Activities (SHSP and UASI only)

Organizational activities include:

- Program management
- Outreach and marketing to support recruitment, as well as sustain and increase year around partnership efforts
- Structures and mechanisms for information sharing between the public and private sector
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors
- Operational Support
- As identified in priority one utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident

Section 2008 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act, allows the use of grant funds for the following activities:

- Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs resulting from a National Special Security Event. The NTAS replaces the color codes of the Homeland Security Advisory

⁹ Nongovernmental entities include the private sector, private nonprofits, faith-based, community, volunteer, and other nongovernmental organizations.

System (HSAS). For more information on the NTAS, please see <http://www.dhs.gov/files/programs/ntas.shtm>

- Establishing, enhancing, and staffing State and Major Urban Area fusion centers
- Paying salaries and benefits for personnel to serve as qualified intelligence analysts

States and Urban Areas must justify proposed expenditures of SHSP or UASI funds to support organization activities within their IJ submission by using historical data or other analysis.¹⁰ All States are allowed to utilize up to 50 percent (50%) of their FY 2011 SHSP funding and all Urban Areas are allowed up to 50 percent (50%) of their FY 2011 UASI funding for personnel costs.¹¹ At the request of a recipient of a grant, the Administrator may grant a waiver of the 50 percent (50%) limitation noted above.

- *Intelligence Analysts.* Per the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412), SHSP and UASI funds may be used to hire new staff and/or contractor positions to serve as intelligence analysts to enable information/intelligence sharing capabilities, as well as support existing intelligence analysts previously covered by SHSP or UASI funding. In order to be hired as an intelligence analyst, staff and/or contractor personnel must meet at least one of the following criteria:
 - Successfully complete training to ensure baseline proficiency in intelligence analysis and production within six months of being hired; and/or,
 - Previously served as an intelligence analyst for a minimum of two years either in a Federal intelligence agency, the military, or State and/or local law enforcement intelligence unit

As identified in priority one all fusion centers analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*, which outlines the minimum categories of training needed for intelligence analysts. These include subject-matter expertise, analytic methodologies, customer-service ethics, information handling and processing skills, critical thinking skills, computer literacy, and objectivity and intellectual honesty. A certificate of completion of such training must be on file with the SAA and must be made available to FEMA Program Analysts upon request. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing gaps in analytic capability identified during the fusion center's BCA.

- *Overtime Costs.* Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to

¹⁰ The effectiveness of a request for the use of funds for allowable organizational costs will be judged on the Investment Justification's ability to illustrate the need for such resources to effectively achieve a capability that will have a meaningful impact in the reduction of risk.

¹¹ Personnel costs (e.g., for intelligence analysts, operational overtime), as well as costs associated with planners, and equipment, training, and exercise related personnel costs are applied towards the 50 percent (50%) cap.

homeland security and specifically requested by a Federal agency. Allowable costs are limited to overtime associated with federally requested participation in eligible fusion activities including anti-terrorism task forces, Joint Terrorism Task Forces (JTTFs), Area Maritime Security Committees (as required by the *Maritime Transportation Security Act of 2002*), DHS Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams. Grant funding can only be used in proportion to the Federal man-hour estimate, and only after funding for these activities from other Federal sources (i.e. FBI JTTF payments to State and local agencies) has been exhausted. Under no circumstances should DHS grant funding be used to pay for costs already supported by funding from another Federal source.

- *Operational Overtime Costs.* In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism, operational overtime costs are allowable for increased security measures at critical infrastructure sites. FY 2011 SHSP or UASI funds for organizational costs may be used to support select operational expenses associated with increased security measures at critical infrastructure sites in the following authorized categories:
 - Backfill and overtime expenses (as defined in this Guidance) for staffing State or Major Urban Area fusion centers
 - Hiring of contracted security for critical infrastructure sites
 - Public safety overtime (as defined in this Guidance)
 - Title 32 or State Active Duty National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package (Note: Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package)
 - Increased border security activities in coordination with CBP, as outlined in Information Bulletin (IB) 135

FY 2011 SHSP or UASI funds may only be spent for operational overtime costs upon prior approval provided in writing by the FEMA Administrator.

Note: States with UASI jurisdictions can use funds retained at the State level to reimburse eligible operational overtime expenses incurred by the State (per the above guidance limitations and up to a maximum of 50 percent (50%) of the State share of the UASI grant). Any UASI funds retained by the State must be used in **direct** support of the Urban Area. States must provide documentation to the UAWG and FEMA upon request demonstrating how any UASI funds retained by the State would directly support the Urban Area.

Equipment Activities (SHSP, UASI, MMRS, CCP)

Equipment needs can be derived from the results of meeting supporting performance objectives for the identified priorities such as Advancing “Whole Community” Security and Emergency Management, Building Prevention and Protection Capabilities, and the Maturation and Enhancement of State and Major Urban Area Fusion Centers. As

identified in priority one, objective three; all equipment procured under SHSP and UASI must be in support of the development or maintenance of an identified team or capability described and typed under the NIMS where such typing guidance exists as published by FEMA. The 21 allowable prevention, protection, response, and recovery equipment categories and equipment standards for FY 2011 HSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at <https://www.rkb.us>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Grantees (including sub-grantees) that are using FY 2011 HSGP funds to support emergency communications activities should comply with the *FY 2011 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. Emergency communications activities include the purchase of Interoperable Communications Equipment and technologies such as voice-over-internet protocol bridging or gateway devices, or equipment to support the build out of wireless broadband networks in the 700 MHz public safety band under the Federal Communications Commission Waiver Order. SAFECOM guidance can be found at <http://www.safecomprogram.gov>.

Grantees interested in developing a public safety broadband network in the 700 MHz band in their jurisdictions must adhere to the technical standards set forth in the FCC Waiver Order, or any succeeding FCC orders, rules, or regulations pertaining to broadband operations in the 700 MHz public safety band. If any future regulatory requirement (from the FCC or other governmental entity) results in a material technical or financial change in the project, the recipient must submit a revised budget, associated documentation, and other material, as applicable, for review and approval by the Statewide Interoperability Coordinator (SWIC), or SWIC equivalent. Upon approval by the SWIC, the grantee shall then forward the approval and associated documentation to FEMA Grant Programs Directorate (GPD). The recipient shall also ensure projects support the Statewide Communication Interoperability Plan (SCIP) and are fully coordinated with the full-time SWIC in the State of the project.

Grantees (and sub-grantees) are required to provide the AEL number for all communications equipment purchased with grant award funding (plus a description of the equipment and the quantity purchased of each item) to the FEMA GPD once items are procured as part of periodic programmatic grant reporting.

Critical Emergency Supplies

In furtherance of DHS's mission, critical emergency supplies, such as shelf stable food products, water, and basic medical supplies are an allowable expense under SHSP and UASI. Prior to allocating grant funding for stockpiling purposes, each State must have FEMA's approval of a viable inventory management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning.

The inventory management plan and distribution strategy, to include sustainment costs, will be developed and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under UASI. GPD and LMD will establish guidelines and requirements for the purchase of these supplies under UASI and monitor development and status of the State's inventory management plan and distribution strategy.

Training Activities (SHSP, UASI, MMRS, CCP)

The whole community approach to emergency preparedness and management is a more inclusive approach that embraces all facets of society. Being prepared as a Nation means moving beyond a "government-centric" approach to emergency management. As a team, we need to implement training activities that serve the entire community while also leveraging the resources that the entire community brings to the table. All training procured under HSGP must be in support of the development or maintenance of an identified team or capability described and typed under the NIMS where such typing guidance exists as published by FEMA.

States, territories, and Urban Areas may use HSGP funds to develop a homeland security training program. Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP, UASI, MMRS, and CCP grant programs and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS, Department of Transportation). Allowable training topics include, but are not limited to, CBRNE terrorism, cyber/agriculture/food security, intelligence gathering and analysis, NIMS related training, citizen community and private sector preparedness, public-private partnership, interoperable and emergency communications, and training for volunteers and children and individuals with disabilities in disasters, pediatric medical surge, and evacuation, tracking (including patients), and sheltering with particular emphasis on children, keeping children with parents or guardians, addressing needs of unaccompanied minors, and integrating individuals with disabilities and accessibility and functional needs (i.e., those with language barriers) (See CPG 101, *Producing Emergency Plans: A Guide for All-Hazard Operations Planning for State, Territorial, Local and Tribal Governments*, HSGP Supplemental Resource: *Children in Disasters Guidance*, and other resources for additional information, http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf).

Training conducted using HSGP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the State or Urban Area training cycle. All training and

exercises conducted with HSGP funds should support the development and testing of the jurisdiction's EOP or specific annexes, and validation of completed corrective actions from previous exercises or real world events, where applicable.

Exercise Activities (SHSP, UASI, MMRS, CCP)

Exercise activities should involve the whole community team to include Federal partners, State, local, and Tribal leaders, the private sector, non-governmental organizations, faith based and community organizations, and most importantly, the general public. Exercises conducted with FEMA support should be managed and executed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP Guidance for exercise design, development, conduct, evaluation, and improvement planning is located at <https://hseep.dhs.gov>.

All exercises using HSGP funding must be NIMS compliant. More information is available online at the National Integration Center at <http://www.fema.gov/emergency/nims/index.shtm>.

All States and Urban Areas are required to conduct a Training and Exercise Planning Workshop (TEPW) and develop a Multi-Year Training and Exercise Plan (TEP) on an annual basis. Such plans should take into consideration anticipated training and exercise needs of the respective jurisdiction for at least the immediate year, with exercises being limited to provide responders the opportunity to utilize training received. Such plan should also include a training and exercise schedule and States' and Urban Areas' priority capabilities to focus the allocation of exercise resources. This Plan is to be submitted to the State's respective Exercise Program point of contact. The State Exercise Program point of contact should submit a copy of the Plan to hseep@dhs.gov. All scheduled training and exercises included in the Plan should be entered in the HSEEP National Exercise Schedule (NEXS) System, located in the HSEEP Toolkit on the HSEEP website. A TEPW user guide and a template of the Multi-Year Training and Exercise Plan can be found on the HSEEP website at <https://hseep.dhs.gov>. States and Urban Areas are also encouraged to participate in their respective FEMA Regional Training and Exercise Workshop (conducted annually) and coordinate/integrate State and Urban Area exercise initiatives accordingly.

Where applicable, the Training and Exercise Plans should include training and exercises that support specialized programs, such as the Regional Catastrophic Preparedness Grant Program.

Grantees must develop After Action Report/Improvement Plans (AAR/IPs) following the completion of exercises funded under this program; the use of HSEEP is strongly encouraged. AAR/IPs are to be submitted to hseep@dhs.gov. Please ensure the documents are encrypted (password-protected) and the password is also sent to hseep@dhs.gov via a separate email.

Grantees may use systems such as the HSEEP Corrective Action Program (CAP) for the tracking of corrective actions. Grantees may also share their AAR/IPs via Lessons

Learned Information Sharing (LLIS.gov) by clicking the “Submit to LLIS” icon on the LLIS.gov homepage (or through the CAP system).

States and Urban Areas are eligible for technical assistance for the design, development, conduct, and evaluation of emergency preparedness exercises. This assistance, administered by the FEMA National Exercise Division/Regional Exercise Support Program (RESP) must be applied for and utilized in coordination with the SAA. More information on the RESP and additional exercise support can be found at <https://hseep.dhs.gov>.

States and Urban Areas are encouraged to exercise their capabilities with regard to improving existing preparedness for catastrophic events and associated response operations through more effective collaboration with all members of a community, to include Federal, State, and local government partners, as well as the private sector, non-governmental organizations, and the citizens in and around an impacted area. This also includes consideration for infants and children across all aspects of response and recovery, including pediatric medical surge capabilities, integrating child congregate care systems (e.g. schools, child care, juvenile justice facilities, or group homes), and integrating the accessibility and functional needs of children and adults with disabilities.

States and Urban Areas are encouraged to include the private sector in exercises to maximize situational awareness and ensure efficient and effective use of all available resources during an emergency.

Personnel Activities (SHSP, UASI, MMRS, CCP)

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable FY 2011 HSGP planning, training, exercise, and equipment activities.

- A personnel cost cap of up to 50 percent (50%) of total **SHSP and UASI** program funds may be used for personnel and personnel-related activities as directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412). Grantees who wish to seek a waiver from the personnel cost cap must provide documentation explaining why the cap should be waived; waiver requests will be considered only under extreme circumstances. In general, the use of SHSP and UASI funding to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost. Activities that are considered “personnel” and “personnel-related,” and therefore count against the personnel cost cap of 50 percent (50%), include, but are not limited to:
 - Operational overtime
 - Overtime/backfill to participate in approved training or exercise deliveries
 - Salaries and personnel costs of intelligence analysts for intelligence and medical fusion center activities
 - Overtime to participate in intelligence sharing activities

- Salaries and personnel costs of planners, equipment managers, exercise coordinators, and/or training coordinators
- Salaries and personnel costs under the M&A category
- Contractor costs associated with performing the above activities
- Costs associated with providing reasonable accommodations and modifications for workers with disabilities
- Statewide Interoperability Coordinator (SWIC) or equivalent position

These activities are also subject to the funding and eligibility requirements detailed under the allowable cost categories. For further details, SAAs should refer to IB 358 or contact their FEMA Headquarters Program Analyst.

MMRS and CCP do not have a personnel cost cap.

FY 2011 HSGP funds may not be used to support the hiring of any personnel for the purposes of fulfilling traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

The following are definitions for the terms as used in this grant guidance:

- *Hiring.* State and local entities may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable FEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-FEMA program activities under any circumstances. Hiring will always result in a net increase of Full Time Equivalent (FTE) employees.
- *Overtime.* These expenses are limited to the additional costs which result from personnel working over and above 40 hours of weekly work time as a direct result of their performance of FEMA-approved activities specified in this guidance. Overtime associated with any other activity is not eligible.
- *Backfill-related Overtime.* Also called “Overtime as Backfill,” these expenses are limited to overtime costs which result from personnel who are working overtime (as identified above) to perform the duties of other personnel who are temporarily assigned to FEMA-approved activities outside their core responsibilities. Neither overtime nor backfill expenses are the result of an increase of FTE employees.
- *Supplanting.* Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

Construction and Renovation (SHSP, UASI)

Use of HSGP funds for construction is generally prohibited except as outlined below. Such construction shall be strictly limited and allowable only when it is a necessary component of a security system at critical infrastructure facilities. OPSG, CCP, and MMRS funds may not be used for any type of construction.

Project construction not exceeding \$1,000,000 is allowable as deemed necessary.

FEMA is legally required to consider the potential impacts of all HSGP projects on environmental resources and historic properties. Grantees must comply with all applicable environmental planning and historic preservation (EHP) laws, regulations, and Executive Orders (EOs) in order to draw down their FY 2011 HSGP grant funds. The following types of projects are considered to constitute construction or renovation and may require a review under Federal EHP laws and requirements prior to initiation of the project:

- Construction and renovation of guard facilities which are intended to provide enhanced security at grantee-designated critical infrastructure sites
- Renovation of and modifications, including the installation of security and communication equipment, to buildings and structures
- Any other construction or renovation efforts that change or expand the footprint of a facility or structure, including security enhancements to improve perimeter security
- Physical security enhancements including, but not limited to:
 - Lighting
 - Fencing
 - Closed-circuit television (CCTV) systems
 - Motion detection systems
 - Barriers, doors, gates, and related security enhancements

The erection of communications towers that are included in a jurisdiction's interoperable communications plan is allowed, subject to all applicable laws, regulations, and licensing provisions. Communication tower projects must be submitted to FEMA for EHP review. Per the *Department of Defense and Full-Year Continuing Appropriations Act, 2011* (Public Law 112-10), communications towers are not subject to the \$1,000,000 construction cap.

Before grantees can draw down funds for construction and renovation costs under HSGP, grantees must provide to FEMA:

- A description of the asset or facility, asset location, whether the infrastructure is publicly or privately owned, and the construction or renovation project
- Certification that a facility vulnerability assessment has been conducted
- An outline addressing how the construction or renovation project will address the identified vulnerabilities from the assessment
- Consequences of not implementing the construction or renovation project
- Any information requested by FEMA to ensure compliance with Federal EHP requirements

No projects initiated after September 9, 2010 without proper EHP review will be funded. Projects that were initiated or completed before an EHP review was concluded and

used HSGP funds will be de-obligated. To avoid unnecessary delays in starting a project, grantees are encouraged to pay close attention to the reporting requirements for an EHP review. For more information on FEMA's EHP requirements, SAAs should refer to IBs 329 and 345 or *Section II, Part I.B.5.5.6*.

Law Enforcement Terrorism Prevention-Oriented Allowable Costs (SHSP, UASI)

Sections 2006 and 2008 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act, includes, but is not limited to, the following allowable activities:

- Activities related to DHS Priorities II and III, in particular those activities that:
 - Build Prevention and Protection Capabilities
 - Mature and Enhance State and Major Urban Area Fusion Centers.
- Overtime expenses consistent with a State Homeland Security Plan, including enhanced operations in support of Federal agencies, border security, and border crossing enforcement
- Fusion center activities that support information sharing and analysis, target hardening, threat recognition, and terrorist interdiction
- Subject to the limitations on organization and personnel costs outlined above, overtime expenses consistent with a State Homeland Security Plan, including for the provision of enhanced law enforcement operations in support of Federal agencies, for increased border security, and border crossing enforcement
- Subject to the limitations on organization and personnel costs outlined above, establishing, enhancing, and staffing State and Major Urban Area fusion centers with appropriately qualified personnel
- Subject to the limitations on organization and personnel costs outlined above, paying salaries and benefits for personnel, including individuals employed by the grant recipient on the date of the relevant grant application, to serve as qualified intelligence analysts
- Supporting the implementation of activities associated with the Western Hemisphere Travel Initiative (WHTI), including the issuance of WHTI-compliant tribal identification cards
- Supporting the development and implementation of Fusion Liaison Officer Programs, the Nationwide Suspicious Activity Reporting (SAR) Initiative (NSI), Community-based outreach programs such as the "If You See Something, Say Something" Campaign as a component of the NSI, or other local efforts
- Any other terrorism prevention activity authorized by the Administrator, pursuant to authority provided by Congress directly or delegated to the Administrator by the Secretary

Operation Stonegarden (OPSG)

The intent of OPSG is to focus on operational aspects of enhancing coordination between Federal, State, local, Tribal, and territorial law enforcement agencies to increase the security of the United States Borders. While equipment is an allowable expense, the FY 2011 OPSG is not intended to be an equipment-centric grant.

- *Operational Overtime.* Operational overtime costs associated with law enforcement activities, in support of border law enforcement agencies for increased border security enhancement. Per the *PRICE of Homeland Security Act* (Public Law 110-412), all grantees are allowed to utilize up to 50 percent (50%) of their FY 2011 OPSG funding for personnel related costs, which include overtime activities. At the request of a grant recipient, the FEMA Administrator may waive the 50 percent (50%) personnel cap. Waiver decisions are at the discretion of the FEMA Administrator and will be considered on a case-by-case basis. A formal FY 2011 OPSG personnel waiver request should:
 - Be requested on official letterhead, include a written justification, and be signed by the authorized representative of the SAA
 - Include a budget and method of calculation of personnel costs both in percentage of the grant award and in total dollar amount. To avoid supplanting issues, the request must also include a three-year staffing history for the requesting entity
 - Include an approved Operations Order from the CBP/BP Sector office which supports the SAA's written justification
 - Be coordinated with the CBP Sector and Office of the Border Patrol
 - Be forwarded electronically by the SAA to FEMA GPD Program Analyst
- *Part Time Personnel.* FY 2011 OPSG funds may be used to pay additional current part time law enforcement personnel salaries in order to bring them to temporary full time status.
- *Travel, Per Diem, and Lodging.* Travel and per diem costs associated with the deployment/redeployment of personnel to border areas and for travel associated with law enforcement entities assisting other local jurisdictions in law enforcement activities. In addition, costs to support up to six (6) month deployment of law enforcement personnel to critical Southwest Border locations to support operational activities (travel costs must be in accordance with applicable travel regulations).
- *Vehicle and Equipment Rentals*
- *Vehicle/Equipment Maintenance*
- *Fuel Cost and/or Mileage Reimbursement.* There is no cap for reimbursement of operational activities.
- *Activate Reserve State, local, Tribal, and territorial law enforcement personnel.* Supporting a request to the Governor to activate, deploy, or redeploy specialized National Guard Units/Package and/or elements of State law enforcement to increase or augment specialized/technical law enforcement elements operational activities.
- *Backfill.* Costs associated with backfill for personnel supporting operational activities.
- *Law Enforcement Readiness.* Use of FY 2011 OPSG funds may be used to increase operational, material, and technological readiness of State, local, Tribal, and territorial law enforcement agencies.

OPSG Unallowable Costs. OPSG unallowable costs include costs associated with staffing and general IT computing equipment and hardware, such as personal

computers, faxes, copy machines, modems, etc. The FY 2011 OPSG is not intended as a hiring program. Therefore, applying funds toward hiring full-time or permanent sworn public safety officers is also unallowable. FY 2011 OPSG funding shall not be used to supplant inherent routine patrols and law enforcement operations or activities not directly related to providing enhanced coordination between local and Federal law enforcement agencies. Finally, construction and/or renovation costs are prohibited under OPSG. Applicants should refer to IB 358 or contact their FEMA Headquarters Program Analyst at (800) 368-6498 for guidance and clarification.

Maintenance and Sustainment Costs (SHSP, UASI, OPSG, MMRS, CCP)

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted. Grantees are reminded to be sensitive to supplanting issues. Maintenance contracts and warranties, repair and replacement costs, upgrades, and/or user fees for equipment that was not originally purchased with preparedness grant funding (or provided by DHS components listed in IB 336) may not be subsequently paid for with preparedness grant funding. Please refer to GPD's IBs 336 and 348, located at <http://www.fema.gov/government/grant/bulletins/index.shtm>.

Routine upkeep (e.g., gasoline, tire replacement, routine oil changes, monthly inspections, grounds, and facility maintenance, etc.) is the responsibility of the grantee and may not be funded with preparedness grant funding.

- *Maintenance Contracts and Warranties.* To increase the useful life of the equipment, maintenance contracts and warranties may be purchased using grant funding from one fiscal year to cover equipment purchased with funding from a different fiscal year. The use of grant funding for the purchase of maintenance contracts and warranties must meet the following conditions:
 - Maintenance contracts and warranties may only be purchased for equipment that has been purchased using FEMA preparedness grant funding
 - To avoid supplementing congressional appropriations for specific programs, maintenance contracts and warranties must be purchased using funds from the same grant program used to purchase the original equipment
 - The term of the maintenance contract or warranty shall not exceed the period of performance of the grant to which the contract is being charged
 - Equipment provided to States and local jurisdictions by the Commercial Equipment Direct Assistance Program (CEDAP) is also eligible for support through maintenance contracts and warranties since CEDAP is a one-time equipment grant program and not a recurring grant (SHSP and UASI programs only)
 - Equipment and support provided directly to States and local jurisdictions by any DHS component is also eligible for support through maintenance contracts or warranties once funding for those programs has ended. This includes the Domestic Nuclear Detection Office's (DNDO) limited duration

programs such as the Southeast Transportation Pilot (SETCP) and West Coast Maritime Pilot (WCMP) (SHSP and UASI programs only)

- *Repair and Replacement Costs.* The cost of repair and replacement parts for equipment purchased using FEMA preparedness grant funding is an allowable expense.
 - Repair and replacement parts may only be purchased for equipment that has been purchased using FEMA preparedness grant funding
 - To avoid supplementing congressional appropriations for specific programs, repair and replacement parts must be purchased using the same grant program used to purchase the original equipment
 - Repair and replacement parts for equipment provided to States and local jurisdictions by CEDAP are also eligible for support since CEDAP is a one-time equipment grant program and not a recurring grant (SHSP and UASI programs only)
 - Repair and replacement parts for equipment provided directly to States and local jurisdictions by any DHS component are also eligible for support once funding for those programs has ended. This includes the DNDO's limited duration programs such as the SETCP, and WCMP (SHSP and UASI programs only)

- *Upgrades.* FEMA preparedness grant funding may be used to upgrade previously purchased allowable equipment. For example, if the grantee purchased risk management software with HSGP funds in FY 2005 and would like to use FY 2009 grant funding to upgrade the software, this is allowable.
 - Upgrades may only be purchased for equipment that has been purchased using FEMA preparedness grant funding
 - To avoid supplementing congressional appropriations for specific programs, upgrades must be purchased using the same grant program used to purchase the original equipment
 - Upgrades for equipment provided to States and local jurisdictions by CEDAP are also eligible for support since CEDAP is a one-time equipment grant program and not a recurring grant (SHSP and UASI programs only)
 - Upgrades for equipment provided directly to States and local jurisdictions by any DHS component are also eligible for support once funding for those programs has ended. This includes the DNDO's limited duration programs such as the SETCP, and WCMP (SHSP and UASI programs only)

- *User Fees.* User fees are viewed as costs for specific services required maintaining and providing continued operation of equipment or systems. An example would be the recurring service fees associated with handheld radios or mobile data computers.
 - User fees may only be paid for equipment that has been purchased using FEMA preparedness grant funding

- To avoid supplementing congressional appropriations for specific programs, user fees must be paid for using the same grant program used to purchase the original equipment. The service time purchased shall not exceed the period of performance of the grant to which the user fee is being charged
 - User fees for equipment provided to States and local jurisdictions by CEDAP are also eligible for support since CEDAP is a one-time equipment grant program and not a recurring grant (SHSP and UASI programs only)
 - User fees for equipment provided directly to States and local jurisdictions by any DHS component also eligible for support once funding for those programs has ended. This includes the DNDO limited duration programs such as the SETCP, and WCMP (SHSP and UASI programs only)
 - Requests for maintenance, repair or replacement costs, upgrades or user fees for equipment purchased with funds from FEMA preparedness grants that no longer exist (e.g., Law Enforcement Terrorism Prevention Activities [LETPA]) are allowable. Sufficient documentation should be maintained to identify the original grant used to purchase the equipment (SHSP and UASI programs only)
- *Implementation.* Planned or actual expenditures for maintenance contracts and warranties, repair and replacement costs, upgrades, disability accommodations, and user fees must be reflected in the ISIP or BSIR.

Grantees must comply with all the requirements in 44 CFR Part §13 and 2 CFR Part §215.

Other Allowable Costs

Western Hemispheric Travel Initiative (SHSP)

In addition to the expenditures outlined above, SHSP funds may be used to support the implementation activities associated with the Western Hemisphere Travel Initiative (WHTI), including the issuance of WHTI-compliant Tribal identification cards. More information on the WHTI may be found at

http://www.dhs.gov/files/programs/gc_1200693579776.shtm or
http://www.getyouhome.gov/html/eng_map.html.

Other Secure Identification Initiatives

SHSP funds may also be used to support the Department's additional efforts to enhance secure identification. Activities that facilitate secure identification, including IT enhancements for identification management and verification systems are a priority. DHS is currently developing and implementing a number of high profile screening programs in which secure identification credentials figure prominently. These include the Driver's License Security Grant Program (DLSGP) which aims to enhance the security, integrity, and protection of licensing and identification systems across the country; the Transportation Worker Identification Credential (TWIC) program which

promotes tamper-resistant biometric credentials for workers who require unescorted access to secure areas of ports, vessels, outer continental shelf facilities, and all credentialed merchant mariners; and the credentialing of first responders which entails enhancing real-time electronic authentication of identity and attribute(s) (qualification, certification, authorization, and/or privilege) of emergency response/critical government personnel responding to terrorist attacks or other catastrophic events.

DLSGP specific allowable activities include: planning activities related to DLSGP compliance, related personal identification verification systems enhancements, personnel and management costs related to DLSGP compliance activities, and acquisitions for hardware and software related to ensuring compatibility with DLSGP technologies.

With respect to TWIC, specific allowable activities include: projects that involve new installations or upgrades to access control and identity management systems that exhibit compliance with TWIC standards and program specifications.

As to credentialing of first responders, specific allowable activities include: development of standards-based technologies, policies, protocols, and practices for portable and functional solutions to first responder identification and verification issues.

Note: Secure identification projects requested and funded under SHSP must directly support SHSP mission goals.

PART III.

ELIGIBILITY INFORMATION

A. Eligible Applicants

All 56 States and territories are eligible to apply for HSGP funds. The SAA is the only entity eligible to submit applications to FEMA for SHSP, UASI, OPSG, MMRS, and CCP.

B. Governance

National Incident Management System (NIMS) Implementation

In accordance with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the adoption of the NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities. The NIMS provides a consistent nationwide template to enable all levels of government, Tribal nations, nongovernmental organizations including voluntary organizations, and private sector partners to work together to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity.

Federal FY 2010 NIMS implementation must be considered prior to allocation of any Federal preparedness awards in FY 2011. Since FY 2007, the National Integration Center (NIC) has advised State, Tribal nation, and local governments to self assess their respective progress relating to NIMS implementation objectives in the NIMS Compliance Assistance Support Tool (NIMSCAST).¹² The list of objectives against which progress and achievement are assessed and reported can be found at <http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtm#item2>.

All State, Tribal nation, and local government grantees should update their respective NIMSCAST assessments and, if necessary, submit a Corrective Action Plan via NIMSCAST for FY 2010. Corrective Action Plans are only required if a jurisdiction fails to meet one of the NIMS implementation activities. Comprehensive information concerning NIMS implementation for States, Tribal nations, local governments, nongovernmental organizations, and the private sector is available through the NIC at FEMA's NIMS Resource Center at www.fema.gov/nims.

State, Tribal, and local governments should continue to implement NIMS training guidance (course curricula and instructor qualifications) contained in the *Five-Year NIMS Training Plan*, released in February 2008 and any successor guidance released by FEMA. [Note: Coursework and training developed and/or delivered by National Wildfire Coordinating Group (NWCG) meet the course and instructor requirements of

¹² As defined in the *Homeland Security Act of 2002* (Public Law 107-296), the term "State" means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States" 6 U.S.C. 101 (14).

the *Five-Year NIMS Training Plan*]. NIMS training guidance is available on FEMA's NIMS Resource Center at www.fema.gov/emergency/nims/NIMSTrainingCourses.

The primary grantee/administrator of FY 2011 HSGP award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

State Preparedness Report Submittal

Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 109-295), 6 U.S.C. §752(c), requires any State that receives Federal preparedness assistance to submit a State Preparedness Report to FEMA. States submitted the most recent State Preparedness Report in May of 2010, which meets this requirement to receive funding under the FY 2011 HSGP.

PART IV.

APPLICATION AND SUBMISSION INFORMATION

A. Address to Request Application Package

FEMA makes all funding opportunities available on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

B. Content and Form of Application

- 1. Application via Grants.gov.** All applicants must file their applications using the Administration’s common electronic “storefront” – <http://www.grants.gov>. Eligible grantees must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

The application must be started and submitted using Grants.gov after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required form:

- Standard Form 424, Application for Federal Assistance

When applicants apply through <http://www.grants.gov>, the Standard Form 424 in the initial Grants.gov application will need to be submitted. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Because FEMA will need to conduct an initial review of the application prior to the submission deadline of June 20, 2011, grantees are encouraged to initiate and complete the Standard Form 424 submission within Grants.gov by **no later than June 13, 2011**. Upon the completion of the initial review, FEMA will determine whether an application should proceed further and the applicant will be notified to complete their submission by fulfilling additional application requirements (e.g., budget, Investment Justification, Work Plan, etc.) listed below by **no later than June 20, 2011**.

The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. If you need assistance registering for the ND Grants system, please contact FEMA's Enterprise Service Desk at (888) 457-3362. Applicants are encouraged to begin their ND Grants registration at the time of solicitation to ensure they have adequate time to start and complete their application submission. The ND Grants system includes the following required forms and submissions:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- For SHSP, UASI, MMRS, and CCP funds, an IJ Report from the Grants Reporting Tool (see *Part VI.D* for HSGP Investment Justification Template and Instructions) (OMB Number 1660-0125/FEMA Form 089-1)
- For UASI funds, an overview of the UAWG structure and a list of members and their associated jurisdictions
- For OPSG funds, Operations Orders and Detailed Budget Summary from eligible local units of government at the county level and federally-recognized Tribal governments within States and territories (OMB Number 1660-0119/FEMA Form 089-16)
- For OPSG funds, inventory of Operations Orders in FEMA-provided template

The program title listed in the CFDA is "*Homeland Security Grant Program.*" The CFDA number is **97.067**.

- 2. Dun and Bradstreet Data Universal Numbering System (DUNS) Number.** The applicant must provide a DUNS number with their application. This number is a required field within <http://www.grants.gov> and for CCR. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at (866) 705-5711.
- 3. Valid CCR.** The application process also involves an updated and current registration by the applicant, which must be confirmed at <http://www.ccr.gov>.
- 4. Investment Justification (SHSP, UASI, MMRS, and CCP).** As part of the FY 2011 HSGP application process for SHSP, UASI, MMRS, and CCP funds, applicants must develop a formal IJ that addresses each Investment being proposed for funding. The IJ must demonstrate how proposed projects address gaps and deficiencies in current capabilities, not only for the general population, but also for children and

individuals with disabilities or access and functional needs. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Applicants must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

SHSP –

- For SHSP funds, applicants may propose up to 15 Investments (including Multi-Applicant Investments that support regional initiatives) within their IJ
- Applicants are required to propose at least one Investment in support of recognized fusion centers

UASI –

- IJ technical assistance is available; please consult your SAA for requesting assistance services from FEMA
- UASI jurisdictions may propose up to 15 Investments (including Multi-Applicant Investments that support regional initiatives) within their IJ
- Urban Areas are required to provide an Investment to the DHS-recognized fusion center within the Urban Area
- If UASI funds are used by the SAA in support of the Urban Area, the SAA must propose an Investment describing how UASI funds will be used by the SAA to directly support the Urban Area

MMRS -

- States receiving MMRS grant funds are required to prepare one Investment that clearly identifies the support for the integration of local emergency management, health, and medical services for mass casualties using MMRS grant funds across all MMRS jurisdictions

CCP –

- States and territories receiving CCP funds are required to prepare an Investment which outlines how funds will be used to facilitate both community and citizen preparedness and participation, and support the development and maintenance of an integrated emergency preparedness planning body of government and nongovernmental representatives

For specific instructions on completing and submitting Investments, including Multi-Applicant Investments, Fusion Centers, and SAA use of UASI funds, please refer in this kit to *Part VI.D* for HSGP Investment Justification Template (OMB Number 1660-0125/FEMA Form 089-1) and Instructions.

5. **OPSG - Operations Order and Detailed Budget Summary.** As part of the FY 2011 OPSG application process, each eligible local unit of government at the county level or federally-recognized Tribal government must develop their Operations Order in coordination with State and Federal law enforcement agencies, to include, but not limited to CBP/BP. Operations Orders that are developed at the county level should be inclusive of city, county, Tribal, and other local law enforcement agencies that are

eligible to participate in OPSG operational activities, and the Operations Order should address this in the Executive Summary. The details should include the names of the agencies, the points of contact, and the individual funding requests. All applications must be coordinated through the CBP sector office and that BP will forward application to the SAA for review.

For specific instructions on completing and submitting Operations Orders, please refer in this kit to *Part VI.E* for OPSG Operations Order Template (OMB Number 1660-0119/FEMA Form 089-16) and Instructions.

C. Environmental Planning and Historic Preservation (EHP) Compliance

FEMA is legally required to consider the potential impacts of all grant-funded projects on environmental resources and historic properties. For HSGP and other preparedness grant programs, this is accomplished via FEMA's EHP Review.

Grantees must comply with all applicable EHP laws, regulations, and Executive Orders (EOs) in order to draw down their FY 2011 HSGP grant funds. Any project with the potential to impact natural resources or historic properties cannot be initiated until FEMA has completed the required FEMA EHP review. Grantees that implement projects prior to receiving EHP approval from FEMA risk de-obligation of funds.

HSGP projects that involve the installation of equipment, exercises not specifically excluded from a FEMA EHP review per the GPD Programmatic Environmental Assessment (PEA) (for more information on the PEA see IB 345 and <http://www.fema.gov/pdf/government/grant/bulletins/fonsi.pdf>), ground-disturbing activities, new construction, including communication towers, or modification/renovation of existing buildings or structures must undergo a FEMA EHP review. Furthermore, for those proposed construction or renovation projects that are part of larger projects funded from a non-FEMA source (such as an EOC that is part of a larger proposed public safety complex), a FEMA EHP review must be complete before the larger project is initiated. For these types of projects, grantees must complete the FEMA EHP Screening Form (OMB Number 1660-0115/FEMA Form 024-0-01) and submit it, with all supporting documentation, to the GPD EHP team at GPDEHPInfo@fema.gov for review. Grantees should submit the FEMA EHP Screening Form for each project as soon as possible upon receiving grant award. Refer to IBs 329, 345, and 356 located at <http://www.fema.gov/government/grant/bulletins/index.shtm> and *Section II, Part I.B.5.5.6* for further details on EHP requirements.

The following activities would not require the submission of the FEMA EHP Screening Form: planning and development of policies or processes; management, administrative or personnel actions; classroom-based training; table top exercises; and acquisition of mobile and portable equipment (not involving installation).

D. Submission Dates and Times

All submissions will be received by **no later than 11:59 p.m. EDT, June 20, 2011**. Late applications will neither be considered nor reviewed. Only applications started through <http://www.grants.gov> and completed through the ND Grants system located at <https://portal.fema.gov> will be accepted.

PART V.

APPLICATION REVIEW INFORMATION

A. Review Criteria

SHSP and UASI

FY 2011 SHSP funds will be allocated based on three factors: minimum amounts as legislatively mandated, DHS' risk methodology, and effectiveness.

FY 2011 UASI funds will be allocated based on: DHS' risk methodology and effectiveness.

OPSG

The FY 2011 OPSG will use risk-based prioritization using CBP Sector-specific border risk to include, but not limited to: threat, vulnerability, miles of border, and other border-specific "law enforcement intelligence." Each applicant's final funding allocation will be determined by using a combination of the results of the risk analysis and feasibility of the Operations Orders.

- Operations Orders developed at the county level should be inclusive of city, county, Tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, with the emphasis on the **Executive Summary, Mission, and Budget**. This information will be used to evaluate the anticipated feasibility, need, and impact of the Operations Orders (see *Part VI.E*)
- Applications will be reviewed by the SAA and CBP/BP Sector Headquarters for completeness and adherence to programmatic guidelines as well as operational content prior to submission to FEMA
- SAA and CBP/BP OPSG Program leads will ensure a coordinated approach to maintain application and operations order pre-submission accountability

Following the review by State and CBP/BP Sector Headquarters, each application will be forwarded for review by a Federal review panel comprised of evaluators from components within FEMA and CBP/BP Headquarters level evaluators.

MMRS and CCP

MMRS and CCP investments will be reviewed by FEMA Regional Program Analysts, ensuring that the proposed content meets the mission, goals, and objectives identified in the MMRS and CCP sections embedded into the overall FY 2011 HSGP kit.

B. Review and Selection Process

SHSP/UASI

The following process will be used to make awards under the SHSP and UASI programs:

- FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of IJ by the established due dates
- FY 2011 HSGP applications will be evaluated through a review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Investments. The results from the review process may require applicants to revise submissions before the release of HSGP funding. State and Urban Area Homeland Security Strategies will be examined by the reviewers for context.

Note: Upon award, recipients may only fund Investments that were included in the FY 2011 IJ that were submitted to FEMA.

OPSG

The following process will be used to make awards under the OPSG program:

State and CBP/BP Sector Headquarters Review. Applications, including all required attachments, should be coordinated with CBP/BP and submitted by the local units of government at the county level or equivalent and federally-recognized Tribal governments to the SAA **no later than 11:59 p.m. EST, June 10, 2011**, to ensure adequate time for a State review of the applications. As part of the FY 2011 OPSG application, FEMA will provide the SAA with a template for the Inventory of Operations Orders.

FEMA directs the SAA to adequately consider applications from federally-recognized Tribal governments. The Inventory of Operations Orders **must** be submitted to FEMA with the applicable Operations Orders **no later than 11:59 p.m. EDT, June 20, 2011**.

Federal Review:

- FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of Operations Orders and Inventory of Operations Orders by the established due dates.
- FEMA and CBP/BP will use the results of both the risk analysis and the Federal review to make recommendations for funding to the Secretary of Homeland Security.

Note: The recipient is prohibited from obligating or expending funds provided through this award until each unique and specific county level or equivalent Operational Order/Fragmentary Operations Order with imbedded estimated operational budget has been reviewed and approved through an official email notice issued by FEMA removing this special programmatic condition.

Funds Transfer Restriction. The recipient is prohibited from transferring funds between programs (SHSP, UASI, OPSG, MMRS, and CCP).

C. Anticipated Announcement and Award Dates

FEMA will evaluate, act on applications, and make awards on or before September 30, 2011.

D. Intergovernmental Review

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. Executive Order 12372 can be referenced at <http://www.archives.gov/federal-register/codification/executive-order/12372.html>. The names and addresses of the SPOCs are listed on OMB's home page available at http://www.whitehouse.gov/omb/grants_spoc.

Part VI. OTHER INFORMATION

Section A. HSGP Allowable Costs

FY 2011 Allowable Cost Matrix

Allowable Program Activities Current as of FY 2011 Programs* See the respective program guidance for additional details and/or requirements *As of Publication	FEMA					
	HSGP					
	SHSP	UASI	OPSG	MMRS	CCP	LETPA
Allowable Planning Costs						
Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, response, and recovery activities	Y	Y		Y	Y	Y
Developing and implementing homeland security support programs and adopting ongoing DHS national initiatives	Y	Y		Y	Y	Y
Developing related terrorism prevention activities	Y	Y		Y	Y	Y
Developing and enhancing plans and protocols	Y	Y		Y	Y	Y
Developing or conducting assessments	Y	Y		Y	Y	Y
Hiring of full- or part-time staff or contract/consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)	Y	Y		Y	Y	Y
Conferences to facilitate planning activities	Y	Y		Y	Y	Y
Materials required to conduct planning activities	Y	Y		Y	Y	Y
Travel/per diem related to planning activities	Y	Y	Y	Y	Y	Y
Overtime and backfill costs (in accordance with operational Cost Guidance)	Y	Y	Y	Y	Y	Y
Other project areas with prior approval from FEMA	Y	Y	Y	Y	Y	Y
Issuance of WHTI-compliant Tribal identification cards	Y					
Activities to achieve planning inclusive of people with disabilities	Y	Y		Y	Y	
Allowable Organizational Activities						
Reimbursement for select operational expenses associated with increased security measures at critical infrastructure sites incurred (up to 50 percent of the allocation)	Y	Y				Y
Overtime for information, investigative, and intelligence sharing activities (up to 50 percent of the allocation)	Y	Y	Y			Y
Hiring of new staff positions/contractors/consultants for participation in information/intelligence analysis and sharing groups or fusion center activities (up to 50 percent of the allocation)	Y	Y				Y
Allowable Equipment Categories						
Personal Protective Equipment	Y	Y	Y	Y	Y	
Explosive Device Mitigation and Remediation Equipment	Y	Y	Y			Y

Allowable Program Activities Current as of FY 2011 Programs* See the respective program guidance for additional details and/or requirements *As of Publication	FEMA HSGP					
	SHSP	UASI	OPSG	MMRS	CCP	LETPA
	CBRNE Operational Search and Rescue Equipment	Y	Y	Y	Y	Y
Information Technology	Y	Y	Y	Y	Y	Y
Cyber Security Enhancement Equipment	Y	Y	Y	Y		Y
Interoperable Communications Equipment	Y	Y	Y	Y	Y	Y
Detection	Y	Y	Y	Y		Y
Decontamination	Y	Y	Y	Y	Y	
Medical	Y	Y	Y	Y	Y	
Power	Y	Y	Y	Y	Y	Y
CBRNE Reference Materials	Y	Y	Y	Y		Y
CBRNE Incident Response Vehicles	Y	Y	Y	Y	Y	
Terrorism Incident Prevention Equipment	Y	Y	Y			Y
Physical Security Enhancement Equipment	Y	Y	Y			Y
Inspection and Screening Systems	Y	Y	Y	Y		Y
Agriculture Terrorism Prevention, Response, and Mitigation Equipment	Y	Y		Y		
CBRNE Prevention and Response Watercraft	Y	Y				Y
CBRNE Aviation Equipment	Y	Y		Y		Y
CBRNE Logistical Support Equipment	Y	Y		Y	Y	Y
Intervention Equipment	Y	Y				Y
Public Alert and Warning Equipment	Y	Y				
Disability Access and Functional Needs	Y	Y		Y	Y	
Other Authorized Equipment	Y	Y		Y	Y	Y
Allowable Training Costs						
Overtime and backfill for emergency preparedness and response personnel attending FEMA-sponsored and approved training classes	Y	Y	Y	Y	Y	Y
Overtime and backfill expenses for part-time and volunteer emergency response personnel participating in FEMA training	Y	Y	Y	Y	Y	Y
Training workshops and conferences	Y	Y	Y	Y	Y	Y
Activities to achieve training inclusive of people with disabilities	Y	Y		Y	Y	
Full- or part-time staff or contractors/consultants	Y	Y		Y	Y	Y
Travel	Y	Y	Y	Y	Y	Y
Supplies	Y	Y	Y	Y	Y	Y
Tuition for higher education	Y	Y	Y	Y	Y	Y
Other items	Y	Y	Y	Y	Y	Y
Allowable Exercise Related Costs						
Design, Develop, Conduct, and Evaluate an Exercise	Y	Y		Y	Y	Y
Exercise planning workshop	Y	Y		Y	Y	Y
Full- or part-time staff or contractors/consultants	Y	Y		Y	Y	Y
Overtime and backfill costs, including expenses for part-time and	Y	Y		Y	Y	Y

Allowable Program Activities Current as of FY 2011 Programs* See the respective program guidance for additional details and/or requirements *As of Publication	FEMA HSGP					
	SHSP	UASI	OPSG	MMRS	CCP	LETPA
	volunteer emergency response personnel participating in FEMA exercises					
Implementation of HSEEP	Y	Y		Y	Y	Y
Activities to achieve exercises inclusive of people with disabilities	Y	Y		Y	Y	
Travel	Y	Y		Y	Y	Y
Supplies	Y	Y		Y	Y	Y
Other items	Y	Y		Y	Y	Y
Allowable Management & Administrative Costs						
Hiring of full- or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, and compliance with reporting and data collection requirements	Y	Y	Y	Y	Y	Y
Development of operating plans for information collection and processing necessary to respond to FEMA data calls	Y	Y	Y	Y	Y	Y
Costs associated with achieving emergency management that is inclusive of the access and functional needs of workers and citizens with disabilities	Y	Y		Y	Y	
Overtime and backfill costs	Y	Y	Y	Y	Y	Y
Travel	Y	Y	Y	Y	Y	Y
Meeting related expenses	Y	Y	Y	Y	Y	Y
Authorized office equipment	Y	Y	Y	Y	Y	Y
Recurring expenses such as those associated with cell phones and faxes during the period of performance of the grant program	Y	Y	Y	Y	Y	Y
Leasing or renting of space for newly hired personnel during the period of performance of the grant program	Y	Y	Y	Y	Y	Y

Section B. HSGP Examples of Allowable Expenses

Overview

The following provides guidance on allowable costs within planning, organization, equipment, training, and exercise activities.

Planning Activities Information

The *FY 2011 HSGP Guidance and Application Kit* defines five broad categories of allowable planning costs. Following are examples for each of the categories. A specific emphasis should be placed on the preparedness of child congregate care systems, providers and facilities, and especially school districts and child/day care. Additional examples are group residential facilities operated by State and local child welfare authorities, and juvenile detention facilities.

- Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, response, and recovery activities
- Developing and implementing homeland security support programs and adopting DHS national initiatives including but not limited to the following:
 - Implementing the *National Preparedness Guidelines*
 - Pre-event recovery planning
 - Implementing the *NIPP* and associated Sector Specific Plans
 - Enhancing and implementing SCIP and Tactical Interoperable Communications Plans (TICP) that align with the goals, objectives, and initiatives of the *National Emergency Communications Plan (NECP)*
 - Costs associated with the adoption, implementation, and adherence to NIMS compliance requirements, including implementing the NIMS National Credentialing Framework
 - Modifying existing incident management and EOPs to ensure proper alignment with the NRF coordinating structures, processes, and protocols
 - Establishing or enhancing mutual aid agreements
 - Developing communications and interoperability protocols and solutions
 - Conducting local, regional, and Tribal program implementation meetings
 - Developing or updating resource inventory assets in accordance to typed resource definitions issued by the NIC
 - Designing State and local geospatial data systems
 - Conducting public education and outreach campaigns, including promoting individual, family, and organizational emergency preparedness; alerts and warnings education; and evacuation plans as well as CBRNE prevention awareness
 - Designing programs to address targeting at-risk populations and engaging them in emergency management planning efforts
 - Activities, materials, services, tools and equipment to achieve planning, protection, response and recovery that is inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities)

- Preparing materials for State Preparedness Reports (SPRs)
- WHTI implementation activities including the issuance of WHTI-compliant Tribal identification cards
- Developing related terrorism prevention activities including:
 - Developing THIRA that reflects a representative make up and composition of the jurisdiction
 - Developing initiatives that directly support local efforts to understand, recognize, prepare for, prevent, and respond to pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with civil rights/civil liberties protections
 - Developing law enforcement prevention activities, to include establishing and/or enhancing a fusion center
 - Hiring an IT specialist to plan, develop, and implement the IT applications necessary for a fusion center
 - Developing and planning for information/intelligence sharing groups
 - Hiring contractors and consultants to make recommendations on the development of capabilities at State and Major Urban Area fusion centers; such centers should be designed in support of the analytic and other baseline capabilities as outlined in the Global Justice Information Sharing Initiative's (Global) *Baseline Capabilities for State and Major Urban Area Fusion Centers*
 - Integrating and coordinating the fire service, emergency management, public health care, public safety, and health security data-gathering (threats to human and animal health) within State and Major Urban Area fusion centers to achieve early warning, monitoring, and mitigation of threats
 - Integrating and coordinating private sector participation with fusion center activities
 - Developing and implementing preventive radiological/nuclear detection activities
 - Acquiring systems allowing connectivity to State, local, Tribal, territorial, and Federal data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate
 - Planning to enhance security during heightened alerts, terrorist incidents, and/or during mitigation and recovery
 - Multi-discipline preparation across first responder community, including EMS for response to catastrophic events and acts of terrorism
 - Accessible public information/education: printed and electronic materials, public service announcements, seminars/town hall meetings, and web postings coordinated through local Citizen Corps Councils
 - Citizen Corps volunteer programs and other activities to strengthen citizen participation
 - Conducting public education campaigns including promoting suspicious activity reporting; individual, family, and organizational emergency preparedness; promoting the *Ready* campaign; and/or creating State,

- regional, or local emergency preparedness efforts that build upon the *Ready* campaign
- Evaluating Critical Infrastructure Protection (CIP) security equipment and/or personnel requirements to protect and secure sites
 - CIP cost assessments, including resources (e.g., financial, personnel) required for security enhancements/deployments
 - Multi-Jurisdiction Bombing Prevention Plans (MJBPP)¹³
 - Underwater Terrorist Protection Plans
- Developing and enhancing plans and protocols, including but not limited to:
 - Community-based planning to advance “whole community” security and emergency management
 - Developing, enhancing, maintaining a current EOP that conforms to the guidelines outlined in the CPG 101 v.2
 - Developing or enhancing local, regional, or Statewide strategic or tactical interoperable emergency communications plans
 - Activities associated with a conversion from wideband to narrowband voice channels
 - Implementing SCIP and TICPs that align with the goals, objectives, and initiatives of the NECP
 - Developing protocols or standard operating procedures for specialized teams to incorporate the use of equipment acquired through this grant program
 - Developing terrorism prevention/protection plans
 - Developing plans, procedures, and requirements for the management of infrastructure and resources related to HSGP and implementation of State or Urban Area Homeland Security Strategies
 - Developing plans for mass evacuation and pre-positioning equipment
 - Developing or enhancing border security plans
 - Developing or enhancing cyber security plans
 - Developing or enhancing secondary health screening protocols at major points of entry (e.g., air, rail, port)
 - Developing or enhancing cyber risk mitigation plans
 - Developing or enhancing agriculture/food security risk mitigation, response, and recovery plans
 - Developing public/private sector partnership emergency response, assessment, and resource sharing plans
 - Developing or enhancing plans to engage and interface with, and to increase the capacity of, private sector/non-governmental entities working to meet the human service response and recovery needs of survivors
 - Developing or updating local or regional communications plans
 - Developing plans to support and assist jurisdictions, such as port authorities and rail and mass transit agencies

¹³ The SAA should examine current bombing prevention and explosive device response capabilities as an import risk reduction activity. An explosive device recognition capability analysis can assist in determining their opportunities for increasing the capability to execute steady State and threat initiated tasks to prevent and respond to a bombing incident.

- Developing or enhancing continuity of operations and continuity of government plans
- Developing or enhancing existing catastrophic incident response and recovery plans to include and integrate Federal assets provided under the NRF
- Developing plans and response procedures for adjudicating, validating and responding to an alarm from a chemical or biological detector (response procedures should include emergency response procedures integrating local first responders)
- Developing or enhancing evacuation plans
- Developing mechanisms for utilizing the National Emergency Family Registry and Locator System (NEFRLS)
- Developing or enhancing plans to prepare for surge capacity of volunteers
- Developing or enhancing the State emergency medical services systems
- Developing or enhancing plans for donations and volunteer management and the engagement/integration of private sector/non-governmental entities in preparedness, response, and recovery activities
- Developing or enhancing Bombing Prevention Plans
- Developing school preparedness plans
- Developing preparedness plans for child congregate care facilities, including group residential facilities, juvenile detention facilities, and public/private child care facilities
- Developing plans to educate youth on disaster preparedness
- Ensuring jurisdiction EOPs adequately address warnings, emergency public information, evacuation, sheltering, mass care, resource management from non-governmental sources, unaffiliated volunteer and donations management, and volunteer resource integration to support each Emergency Support Function, to include appropriate considerations for integrating activities, materials, services, tools and equipment to achieve planning inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities). Developing and implementing civil rights, civil liberties, and privacy policies, procedures, and protocols
- Designing and developing State, local, Tribal, and territorial geospatial data systems
- Developing and implementing statewide electronic patient care reporting systems compliant with the National Emergency Medical Services Information System (NEMSIS)
- Developing or conducting assessments, including but not limited to:
 - Developing pre-event recovery plans
 - Conducting point vulnerability assessments at critical infrastructure sites/key assets and develop remediation/security plans
 - Conducting or updating interoperable emergency communications capabilities assessments at the local, regional, or Statewide level
 - Developing border security operations plans in coordination with CBP

- Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
- Updating and refining threat matrices
- Conducting cyber risk and vulnerability assessments
- Conducting assessments and exercising existing catastrophic incident response and recovery plans and capabilities to identify critical gaps that cannot be met by existing local and State resources
- Conducting Bombing Prevention Capability Analysis
- Activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs across disciplines (e.g., law enforcement, fire, EMS, public health, behavioral health, public works, agriculture, information technology, and citizen preparedness)
- Activities that directly support the identification of pre-designated temporary housing sites
- Activities that support the identification and development of alternate care sites
- Conducting community assessments, surveys, and research of vulnerabilities and resource needs to determine how to meet needs and build effective and tailored strategies for educating individuals conducting assessments of the extent to which compliance with the integration mandate of disability laws is being achieved
- Conducting Citizen Corps program assessments and evaluations, citizen preparedness surveys, volunteer impact studies, and cost/benefit analysis
- Soft target security planning (e.g., public gatherings)
- Participating in the FEMA Gap Analysis Program

MMRS Planning. The MMRS Leadership shall ensure that local strategic goals, objectives, operational capabilities, and resource requirements align with State and Urban Area Homeland Security Strategies and sub-State regional strategies. Critical factors in planning are to ensure that MMRS jurisdictions have:

- Applicable and up to date plans for responding to mass casualty incidents caused by any hazards
- Applicable procedures and operational guides to implement the response actions within the local plan including patient tracking that addresses identifying and tracking children, access and functional needs population, and the elderly and keeping families intact where possible
- Identified resources for medical supplies necessary to support children during an emergency, including pharmaceuticals and pediatric-sized equipment on which first responders and medical providers are trained
- Subject matter experts, durable medical equipment, consumable medical supplies and other resources required to assist children and adults with disabilities to maintain health, safety and usual levels of independence in general population environments

CCP Planning. Integrating the whole community, including non-governmental entities, into the planning process is critical to achieve comprehensive community preparedness and resilience. To meet this important objective, HSGP funds may be used to support the following:

- Establishing and sustaining bodies to serve as Citizen Corps Councils
- Assuring that State and local government homeland security strategies, policies, guidance, plans, and evaluations include a greater emphasis on government/non-governmental collaboration, citizen preparedness, and volunteer participation
- Developing and implementing a community preparedness strategy for the State/local jurisdiction
- Developing or reproducing accessible public education and outreach materials to: increase citizen preparedness and knowledge of protective actions (to include the national Ready Campaign materials); promote training, exercise, and volunteer opportunities; and inform the public about emergency plans, evacuation routes, shelter locations, and public alerts/warnings
 - All public education and outreach materials must include the national or jurisdiction's Citizen Corps logo, tagline or website or the Ready logo, tagline, or website and comply with logo standards. For more information go to <http://www.citizencorps.gov>. In addition, all public education and outreach materials must be accessible to people with disabilities and must be provided in formats that allows access to information that is comparable to access available to others.
- Allowable expenditures include:
 - Media campaigns: Public Service Announcements (PSAs), camera-ready materials, website support, and newsletters
 - Outreach activities and public events: Booth displays, event backdrops or signs, displays and demonstrations, utilizing translation services, and informational materials such as brochures/flyers
 - Costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities
- Establishing, expanding, and maintaining volunteer programs and volunteer recruitment efforts that support disaster preparedness and/or response
 - Citizen support for emergency responders is critical through year-round volunteer programs and as surge capacity in disaster response. Citizen Corps funding may be used to establish, expand, or maintain volunteer programs that support disaster preparedness and/or response including but not limited to: Citizen Corps Affiliate Programs and Organizations, Community Emergency Response Teams (CERT), Fire Corps, Medical Reserve Corps (MRC), Neighborhood Watch/USAonWatch, Volunteers in Police Service (VIPS), and jurisdiction specific volunteer efforts
- Allowable expenditures include:
 - Recruiting, screening, and training volunteers (e.g., background checks)
 - Retaining, recognizing, and motivating volunteers

- Purchasing, maintaining, or subscribing to a system to track volunteers (to include identification and credentialing systems, and to track volunteer hours) and other available resources in compliance with applicable privacy laws
- Necessary non-structural accommodations to include persons with programmatic and communications access needs (e.g., sign language interpreters, Computer Assisted Realtime Translation (CART) and other modifications of policies and practices to fully include volunteers with disabilities)
- Evaluating volunteers
- Organizational activities supported with CCP funding are limited to 25 percent (25%) of the grantee's CCP funding. Organizational activities include hiring of full- or part-time staff or contractors for emergency management activities

Organization Activities Information

The following organization activities in support of public-private partnerships are allowable expenses.

- Program management:
 - Salary for a dedicated liaison who acts as the primary point of contact, coordinates the public-private partnership and ensures proper implementation of the strategic plan
 - Facilities, including meeting space and work space for private sector liaisons. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
 - Supplies needed to support regular communications and document partnership efforts
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident
- Outreach and marketing to support recruitment, as well as sustain and increase year around partnership efforts:
 - Support for in-person meetings, events, and conferences that bring the public and private sectors together
 - Web-based and social media tactics (webinars, emails, newsletters, alerts, databases, online collaboration tools, website development and maintenance, etc)
 - Traditional print and radio outreach (advertisements, localization of Ready public service announcements, etc)
 - Collateral (brochures, banners, fact sheets and other informational material)
- Structures and mechanisms for information sharing between the public and private sector:
 - Tools, software, programs, and other mechanisms that support two-way information sharing during normal and emergency operations

- Means to receive input or feedback from the private sector, and encourage participation from civic leaders from all sectors
- Regular and timely communications on subjects relating to all phases of emergency management, such as newsletters, emails, and alerts
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors
 - Web-based and new media platforms that allow real-time information exchange
 - Asset mapping, such as participation in FEMA's Total Asset Visibility and LogViz initiatives
 - A seat(s) in the emergency operation center, or virtual EOC
- Operational Support:
 - Tools for identifying and tracking available paid and unpaid disaster response resources
 - Dedicated space and equipment for private sector representation within a State, county, or city emergency operation center
 - A dedicated business emergency operations center that works with the State, county or city EOC (not construction)
 - Tools for real time information sharing between the public and private sector
 - Licensing, screening, or other requirements for access to real EOC or virtual EOC

Equipment Information

MMRS Equipment. MMRS grant funds are intended to ensure an appropriate supply of pharmaceuticals and equipment, personal protective equipment, as well as detection equipment for chemical, biological, radiological, nuclear, and explosive incidents for the first crucial hours of a response to a mass casualty incident.

Procurements should have a sound threat based justification with an aim to reduce the consequences of mass casualty incidents during the first crucial hours of a response.

Prior to procuring pharmaceuticals and equipment with MMRS grant funds, grantees must have in place an inventory management plan. The inventory management plan should avoid large periodic variations in supplies due to coinciding purchase and expiration dates. MMRS grantees are strongly encouraged to enter into rotational procurement agreements with vendors and distributors.

MMRS grant funds cannot be used to duplicate supplies already available through local and State sources, including local/regional public health offices and hospital associations, or other Federal programs.

Purchases of pharmaceuticals have to include a budget for the disposal of expired drugs within the period of performance of the FY 2011 HSGP. The cost of disposal cannot be carried over to another FEMA grant or grant period.

CCP Equipment. States and Urban Areas are encouraged to fully leverage all HSGP resources for equipment to support volunteer personnel in preparedness and response.

Any equipment purchased with CCP funding must be used for specific preparedness or volunteer training or by volunteers in carrying out their response functions. Examples of equipment used to support training and exercises for citizens include items such as burn pans or sample preparedness kits.

Expenditures for kits used in volunteer response (e.g., CERT or MRC kits / backpacks) or clothing for official identification must not exceed 30 percent (30%) of the total Citizen Corps Program allocation. Clothing for official identification includes those items that volunteers are required to wear when engaging in public safety activities or disaster response (e.g., t-shirts for CERT members, baseball caps for Neighborhood Watch/USAonWatch Program foot patrol members). To assure appropriate and consistent use, such clothing items must be issued by the agency that trains the volunteers.

CCP supported volunteer programs and assets, which are authorized to deploy in response and recovery operations, must meet the minimum training and equipment requirements, as determined by the national program office in coordination with the sponsoring State/territory.

Necessary accommodations that meet the disability related access and functional needs of participants should be provided.

Training Information and Requirements

Training Information Reporting System (“Web-Forms”). Web-Forms is an electronic form/data management system built to assist the SAA and its designated State/territory Training Point of Contact (TPOC) with the reporting of State and Federal sponsored training supported by HSGP funds. Web-Forms can be accessed through the FEMA Toolkit located at <http://www.firstrespondertraining.gov/admin>.

- *Types of Training.* FEMA resources include a number of different training sources:
 - *FEMA Provided Training.* These programs or courses are developed for and delivered by institutions and organizations funded by FEMA. This includes the Center for Domestic Preparedness (CDP), the Emergency Management Institute (EMI) and the National Training and Education Division (NTED) training partner programs funded through congressional Appropriations and the Competitive and Continuing Training Grant programs. Programs funded through appropriation include but are not limited to the National Domestic Preparedness Consortium (NDPC) and the Rural Domestic Preparedness Consortium (RDPC).
 - *Training Not Provided by FEMA.* These courses are either State sponsored or Federal sponsored, coordinated and approved by the SAA or their designated TPOC, and fall within the FEMA mission scope to

prepare State, local, Tribal, and territorial personnel to prevent, protect against, respond to, and recover from acts of terrorism or catastrophic events.

- *State Sponsored Courses.* These courses are developed for and/or delivered by institutions or organizations other than Federal entities or FEMA and are sponsored by the SAA or their designated TPOC.
- *Approved State Sponsored Course Catalog.* This catalog lists State/territory sponsored courses that fall within the FEMA mission scope and have been approved through the FEMA course review and approval process. An updated version of this catalog can be accessed at <http://www.firstrespondertraining.gov>.
- *Federal Sponsored Courses.* This catalog lists courses developed for and/or delivered by institutions funded by Federal entities other than FEMA.
- *Approved Federal Sponsored Course Catalog.* This catalog lists Federal-sponsored courses that fall within the FEMA mission scope, and have been approved through the FEMA course review and approval process. An updated version of this catalog can be accessed at <http://www.firstrespondertraining.gov>.
- *Additionally the new National Preparedness Directorate (NPD) Online Course Catalog (OCC)* allows access to courses delivered by the CDP, EMI, and NTED. It can be accessed at <http://training.fema.gov/occ/>.
- *Joint Training and Exercises with the Public and Private Sectors.* These courses are sponsored and coordinated by private sector entities to enhance public-private partnerships for training personnel to prevent, protect against, respond to, and recover from acts of terrorism or catastrophic events.
- *FEMA Provided Training.* FEMA funds the direct delivery of a variety of courses that States, Tribes, and territories can request to meet training needs. These courses are listed in the NTED approved course catalog listed at <http://www.firstrespondertraining.gov>.

Each FEMA training partner should contact the SAA or designated TPOC for locations within the State that are appropriate for the training. When the direct delivery funds are exhausted, the training partner can continue to offer the classes to the States through one of two methods—the Voluntary Training Enhancement Program (VTEP) or the Excess Delivery Acquisition Program (EDAP).

VTEP is a voluntary program designed to increase flexibility for States and territories while enhancing NTE's training delivery capability and complementing the current training partner pool. Funding from previous fiscal years **may** be used to support a State, territory, or Urban Area's implementation of this program. Through VTEP, the SAA has the authority to adopt various NTED provided programs for delivery by institutions within its State and local jurisdictions, and designate institutions as recognized providers for the identified standardized curriculum.

EDAP allows NTED training partner to charge for a course delivery when the Federal grant that developed the program is completed or more deliveries of a requested class are needed than the grant funds can accommodate. This cost per class is approved by FEMA so that States pay for the cost of instruction only, not the curriculum development costs that were paid by FEMA training grant funds. HSGP funds can be used to pay for the delivery of these classes within a State at the request of the SAA/TPOC.

Attending Training Not Provided by FEMA (State or Federal Sponsored Courses).

States, territories, and Urban Areas are not required to request approval from FEMA for personnel to attend training not provided by FEMA (State or Federal-sponsored courses) provided that the training is coordinated with and approved by the SAA or TPOC and falls within the FEMA mission scope and the jurisdiction's EOP and strategy of preparing State, local, Tribal, and territorial personnel or citizens to prevent, protect against, respond to, and recover from acts of terrorism or catastrophic events.

States, territories, and Urban Areas are required, within 30 days after attendance, to submit information through the SAA or TPOC via Web-Forms on all training not provided by FEMA, but supported with HSGP funds. This information will consist of course title, course description, mission area, level of training, the training provider, the date of the course, the number and associated disciplines of the individuals, and the sponsoring jurisdiction. States, territories, and Urban Areas intending to use FEMA funds to support attendance at training not provided by FEMA must ensure these courses:

- Fall within the FEMA mission scope to prepare State, local, Tribal, and territorial personnel to prevent, protect against, respond to, and recover from acts of terrorism and catastrophic events
- Build additional capabilities that: (a) support a specific training need identified by the State, territory, and Urban Area, and (b) comport with the State, territory, or Urban Area Homeland Security Strategy
- Address specific tasks and/or competencies articulated in FEMA's *Emergency Responder Guidelines* and the *Homeland Security Guidelines for Prevention and Deterrence*
- Address specific capabilities and related tasks articulated in the September 2007 version of the TCL
- Support the specific program training activities identified in the individual HSGP grant programs (SHSP, UASI, OPSG, MMRS, CCP) for which the funding will be used

In support of the continuing efforts to build common catalogs of approved training not provided by FEMA, the SAA/TPOC will be allowed three deliveries of the same course within a State/territory before the course is required to go through the NTED State course review and approval process. Additional course deliveries will be authorized during the review period. However, if the course is disapproved as part of the process, no additional FEMA funds can be dedicated to attending the course.

State and Federal-Sponsored Course Catalogs. Courses approved through NTED will be added to either the approved State Sponsored Course Catalog or the Federal Sponsored Course Catalog. Courses identified within these catalogs may be attended on an unlimited basis within any State/territory as long as the training is coordinated and approved by the SAA/TPOC. A full description of the NTED Course Development, Review, and Approval Process, as well as the approved course catalogs, can be found at http://www.firstrespondertraining.gov/odp_webforms. NTED will respond to the initial request for review within 15 days with one of the following outcomes:

- Course concept is approved as consistent with the State plan and the State should submit the full course package for subject matter expert review and comment.
- Course concept is disapproved as inconsistent with State plan, FEMA guidance, or is exactly the same as another course in the catalog (no need for another approval, refer to the curriculum already developed and approved).

At any time, the SAA/TPOC (for State-sponsored courses) or the Federal Agency POC (for Federal sponsored courses) may request the addition of a course to the corresponding approved catalog by submitting the associated Web-Form (i.e., Request for Addition to the Approved State-Sponsored Catalog) for review. If a class on the same subject is already in the catalog, the submitting State should provide documentation as to why the course is unique, after contacting the owner(s) of the other courses to review the curriculum. This step is required to avoid unnecessary duplication of similar courses in the catalog, allow States to share course development costs, permit all States to have access to new or unique courses developed by other providers, and allow States to direct their training dollars to delivery rather than development. If it is determined that the proposed course meets the above listed criteria, the providing entity (SAA/TPOC or Federal Agency POC) will be invited to submit the Course Review and Approval Request Form along with all supporting training materials.

For further information on developing courses using the instructional design methodology and tools that can facilitate the process, SAAs and TPOCs are encouraged to review the NTED Strategy for Blended Learning and access the Responder Training Development Center (RTDC) available at <http://www.firstrespondertraining.gov/rtdc/state/>.

FEMA funds must be used to supplement, not supplant, existing funds that have been appropriated for the same purpose. FEMA will conduct periodic reviews of all State, territory, and Urban Area training funded by FEMA. These reviews may include requests for all course materials and physical observation of, or participation in, the funded training. If these reviews determine that courses are outside the scope of this guidance, grantees will be asked to repay grant funds expended in support of those efforts.

States and territories are required to conduct an Improvement Plan Workshop and Training and Exercise Plan Workshop to identify best practices, capability gaps, key priorities, and major events over a multi-year time frame and to align training and exercises in support of those priorities. A Multi-year Training and Exercise Plan will be produced from the Training and Exercise Plan Workshop to include the State's training and exercise priorities, associated training and exercise capabilities, and a multi-year training and exercise schedule. Further guidance concerning the Multi-year Training and Exercise Plan can be found in the Exercises discussion immediately following.

Joint Training and Exercises with the Public and Private Sectors. Trainings and exercises designed to enhance private sector and public sector coordination are allowable. Overtime pay for first responders and emergency managers who participate in public-private training and exercises is allowable. In addition, States, territories, Tribes, and local units of government are encouraged to incorporate the private sector in government-sponsored training and exercises.

CCP Training. Training funded through the CCP includes but is not limited to: all-hazards safety such as emergency preparedness, basic first aid, life saving skills, crime prevention and terrorism awareness, school preparedness, public health issues, mitigation/property damage prevention, safety in the home, light search and rescue skills, principles of NIMS/ICS, community relations, volunteer management, serving and integrating people with disabilities, pet care preparedness, any training necessary to participate in volunteer activities, any training necessary to fulfill surge capacity roles, or other training that promotes individual, family, or community safety and preparedness. There is no cap on the number of deliveries State or local jurisdictions may conduct of non-responder community-based training workshops, seminars, demonstrations, or conferences. Examples include: CPR/AED training, identity theft workshops, terrorism awareness seminars, chain-saw safety demonstrations, and disability-inclusive community preparedness conferences.

Funding for CERT training includes the delivery of the CERT Basic Training Course, supplemental training for CERT members who have completed the basic training, the CERT Train-the-Trainer Course, and the CERT Program Manager Course. Any CERT Basic training conducted by State or local entities must: 1) include the topics covered in the FEMA CERT Basic Training Course; 2) be instructor-led; and 3) classroom-based, using lecture, demonstration, and hands-on practice throughout. Note that the Independent Study course, "Introduction to CERT" (IS 317) must not be substituted for classroom delivery of CERT Basic Training.

Supplemental training for CERT members who have completed the basic training includes modules available on the national CERT website, as well as other supplemental training that meets the following criteria:

- Relates to a reasonably foreseeable activity which CERT members might be tasked to perform in support of emergency services responders; or,
- Increases competency and understanding of the emergency management context in which CERT members may be asked to operate; or

- Enhances understanding of a particular local hazard CERT members might encounter in their response activities.

There is no cap on the number of deliveries State or local jurisdictions may conduct of the CERT Basic Training, the CERT Train-the-Trainer, Campus CERT Train-the-Trainer, Teen CERT Train-the-Trainer, or CERT Program Manager courses, or supplemental/advanced training for CERT program participants.

Any training supported with these CCP funds should be delivered with specific consideration to include all ages, ethnic and cultural groups, persons with disabilities, and access and functional needs populations at venues throughout the community, to include schools, neighborhoods, places of worship, the private sector, non-governmental organizations, and government locations. Expenditures to provide necessary non-structural accommodations for persons with disabilities and other access and functional needs is allowable (e.g., sign language interpreters, CART and other modifications of policies and practices to fully include participants with disabilities). Jurisdictions are also encouraged to leverage existing training provided via educational/professional facilities and to incorporate non-traditional methodologies such as the internet, distance learning, or home study whenever such delivery supports training objectives. Pilot courses and innovative approaches to training citizens and instructors are encouraged.

Instruction for trainers and training to support the Citizen Corps Council members in their efforts to manage and coordinate the Citizen Corps mission is also an allowable use of the FY 2011 CCP funding.

Allowable Training Costs

Allowable training-related costs include, but are not limited to, the following:

- *Developing, Delivering, and Evaluating Training.* Includes costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, disability accommodations, and equipment.
- *Overtime and Backfill.* The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs, are allowable. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- *Travel.* Costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.

- *Hiring of Full or Part-Time Staff or Contractors/Consultants.* Payment of salaries and fringe benefits to full or part-time staff or contractors/consultants must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent (15%) of the total allocation as specified in section E.6. In no case is dual compensation allowable (see above).
- *Certification/Recertification of Instructors.* States are encouraged to follow the NTE Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses that involve training of trainers. This information is contained in IB 193, issued October 20, 2005. Additional information can be obtained at http://www.fema.gov/good_guidance/download/10146.

Exercise Requirements

- *Training and Exercise Plan Workshop.* States and Urban Areas are required to conduct an annual Training and Exercise Plan Workshop (TEPW). A Multi-year Training and Exercise Plan must be developed from the workshops on an annual basis and submitted to the State's respective Exercise Program point of contact. The State Exercise Program point of contact should submit a copy of the plan to hseep@dhs.gov.

The Training and Exercise Plan will include the State's prioritized capability requirements and a Multi-Year Training and Exercise Plan (schedule) that supports the identified capabilities. In addition to submission of the Multi-Year Training and Exercise Plan to hseep@dhs.gov, all scheduled training and exercises should be entered in the HSEEP National Exercise Scheduling (NEXS) System, located in the HSEEP Toolkit on the HSEEP website <https://hseep.dhs.gov>. A TEPW user guides and a template of the Multi-Year Training and Exercise Plan can be found on the HSEEP website <https://hseep.dhs.gov>.

States must complete a cycle of exercise activity during the period of this grant. States and Urban Areas are encouraged to use exercises as an opportunity to meet the requirements of multiple exercise programs. To this end, grantees are encouraged to invite representatives/planners involved with other federally-mandated or private exercise activities. States and Urban Areas are encouraged to share, at a minimum, the multi-year training and exercise schedule with those departments, agencies, and organizations included in the plan.

- *Exercise Scenarios.* The scenarios used in HSGP-funded exercises must be based on the State/Urban Area's Homeland Security Strategy and plans. Acceptable scenarios for SHSP, UASI, MMRS, and CCP exercises include:

chemical, biological, radiological, nuclear, explosive, cyber, agricultural and natural or technological disasters. Exercise scenarios must be catastrophic in scope and size as defined by the *National Response Framework*.

The scenarios used in HSGP-funded exercises must focus on validating existing capabilities, must be large enough in scope and size to exercise multiple activities and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities. Exercise scenarios should align with objectives and capabilities identified in the Multi-year Training and Exercise Plan.

- *Special Event Planning.* If a State or Urban Area will be hosting a special event (e.g., Super Bowl, G-8 Summit), the special event planning should be considered as a training or exercise activities for the purpose of the Multi-Year Training and Exercise Plan. . The State or Urban Area should plan to use SHSP or UASI funding to finance training and exercise activities in preparation for those events. States and Urban Areas should also consider exercises at major venues (e.g., arenas, convention centers) that focus on evacuations, communications, and command and control. States should also anticipate participating in at least one Regional Exercise annually. States must include all confirmed or planned special events in the Multi-year Training and Exercise Plan.
- *Exercise Evaluation and Improvement.* Exercises should evaluate performance of the objectives and capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and improvement planning is defined in the Homeland Security Exercise and Evaluation Program located at <https://hseep.dhs.gov>.
- *Self-Sustaining Exercise Programs.* States are expected to develop a self-sustaining exercise program. A self-sustaining exercise program is one that is successfully able to implement, maintain, and oversee the Multi-year Training and Exercise Plan, including the development and delivery of HSGP-funded exercises. The program must utilize a multi-disciplinary approach to the development and delivery of exercises, and build upon existing plans, training, and equipment.
- *Role of Non-Governmental Entities in Exercises.* Non-governmental participation in all levels of exercises is strongly encouraged. Leaders from non-governmental entities should be included in the planning, conduct, and evaluation of an exercise. State, local, Tribal, and territorial jurisdictions are encouraged to develop exercises that test the integration and use of non-governmental resources provided by non-governmental entities, defined as the private sector and private non-profit, faith-based, community, disability, volunteer, and other non-governmental organizations. Non-governmental participation in exercises should be coordinated with the local Citizen Corps Council(s) and other

partner agencies. The scenarios used in HSGP-funded exercises must focus on validating existing capabilities, must comply with and be large enough in scope and size to exercise multiple activities and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities.

MMRS Exercises. The scenarios used in MMRS exercises should focus on incidents that would be catastrophic to the grant implementer's community and/or have national impact caused by any hazard. Grantees are encouraged to use scenarios with a focus on medical issues related to preparedness and response. Scenarios should test appropriate Target Capabilities that support the MMRS mission.

Citizen participation in exercises is strongly encouraged and should be coordinated with the local Medical Reserve Corps and Citizen Corps Council. Volunteer roles and responsibilities include, but are not limited to, backfilling non-professional tasks for first responders deployed on exercise planning and implementation, providing simulated victims, media, and members of the public, supporting surge capacity functions, and participating in the after-action review.

MMRS jurisdictions, in coordination with regional, Urban Area, and State exercises, and public health officials (e.g., EMS), are expected to schedule, design, conduct, and evaluate mass casualty exercises that are in compliance with both FEMA and CDC Public Health Emergency Preparedness Cooperative Agreement Exercise requirements and guidance.

CCP Exercises. Exercises specifically designed for or that include participation from non-governmental entities and the general public are allowable activities and may include testing public warning systems, evacuation/shelter in-place capabilities, family/school/business preparedness, and participating in table-top or full scale emergency responder exercises at the local, State, Tribal, territorial, or national level, to include the National Level Exercises (formally known as Top Officials Exercise [TOPOFF]).

Allowable Exercise Costs

Allowable exercise-related costs include:

- *Funds Used to Design, Develop, Conduct, and Evaluate an Exercise.* Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Grantees are encouraged to use government facilities to conduct meetings and conferences whenever possible.
- *Hiring of Full or Part-Time Staff or Contractors/Consultants.* Full or part-time staff may be hired to support exercise-related activities. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent (15%) of the total allocation. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) –

whichever is more stringent – must be followed. In no case is dual compensation allowable.

- *Overtime and Backfill.* The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development, and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- *Travel.* Travel costs are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of exercise project(s) or HSEEP programmatic requirements as described in the HSEEP website (e.g., Improvement Plan Workshops, Training and Exercise Plan).
- *Supplies.* Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).
- *Disability Accommodations.* Materials, services, tools and equipment for exercising inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities).
- *Other Items.* These costs include the rental of equipment (e.g., portable toilets, tents), food, gasoline, exercise signs, badges, etc., used specifically for exercises.

Unauthorized Exercise Costs

Unauthorized exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles), medical supplies, and emergency response apparatus (e.g., fire trucks, ambulances).
- Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs).

Section C. Allowable Planning, Training, and Exercise Examples Specific to Law Enforcement Terrorism Prevention-oriented Activities

Planning Activity Examples

Establishment/Enhancement of Fusion Centers:

- Hiring an IT specialist to plan, develop, and implement the IT applications necessary for the fusion center
- Support efforts to fully implement the Statewide fusion process, including coordination between State and Urban Area fusion centers, as well as other intelligence analytic entities located in the area of responsibility, such as intelligence units, real time crime information and analysis centers, HIDTAs, etc
- Hiring contractors and consultants to make recommendations on the development of capabilities at State and Major Urban Area fusion centers; such centers should be designed in support of the analytic and other baseline capabilities as outlined in the Global Justice Information Sharing Initiative's (Global) *Baseline Capabilities for State and Major Urban Area Fusion Centers*
- Hiring privacy and security officials to plan, develop, and implement privacy and security policies necessary to support the fusion center

Other Allowable Planning Activity Examples:

- Conducting point vulnerability analyses and assessments
- Soft target security planning (e.g., public gatherings)
- Developing border security operations plans in coordination with CBP
- Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
- Updating and refining threat matrices
- Integrating and coordinating private sector participation with fusion center activities
- Developing and implementing civil rights, civil liberties and privacy policies, procedures, and protocols
- Acquiring systems allowing connectivity to State, local, tribal, territorial, and Federal data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate

Training Activity Examples

Law enforcement terrorism prevention **and protection-oriented funds** may be used for a range of law enforcement terrorism prevention related training activities to enhance the capabilities of State and local personnel, including the following:

Establishment and/or Enhancement of Fusion Centers. Grant funds may be used to support intelligence analyst training in the following manners:

- *Participation in DHS approved intelligence analyst training.* States wishing to develop or sponsor intelligence analyst courses for a national audience should submit courses to FEMA for review and approval in accordance with the process outlined in *Parts II and VI* of this guidance document. The list of approved courses will be constantly updated and can be accessed in the FEMA catalog at http://www.firstrespondertraining.gov/odp_webforms.
- *Limited participation in non-FEMA approved intelligence analyst training.* States may send students to attend non-approved intelligence analysis courses for up to three offerings in accordance with the training process outlined in *Parts II and VI* of this guidance document.

A certificate of completion of all intelligence analysts training must be on file with the SAA and must be made available to Program Analysts upon request upon the hiring of personnel.

Funds utilized to establish or enhance recognized State and Major Urban Area fusion centers must support the development of a statewide fusion process that corresponds with the Global Justice/Homeland Security Advisory Council (HSAC) Fusion Center Guidelines and the *National Strategy for Information Sharing*, and achievement of a baseline level of capability as defined by Global's *Baseline Capabilities for State and Major Urban Area Fusion Centers*, a supplement to the Fusion Center Guidelines, located at <http://www.it.ojp.gov/documents/baselinecapabilitiesa.pdf>.

Additional Allowable Training Activities

Allowable costs include training courses that focus on:

- Building information sharing capacities (especially among law enforcement, non-law enforcement, other government agencies, and the private sector)
- Fusion Liaison Officer (FLO) Programs
- Methods of target hardening
- Facility law enforcement security personnel, to include facilities, vessels, and ports
- CBRNE, agriculture, and cyber threats
- History of terrorism and social environments contributing to threats
- Surveillance and counter-surveillance techniques
- Privacy, civil rights, and civil liberties regulations, policies, procedures, and protocols
- Critical Infrastructure Protection training, to include identifying/assessing critical infrastructure assets, vulnerabilities, and threats
- Cyber/agriculture/food security threats recognition and protective measures training
- Cultural awareness training for community engagement activities and undercover operations related to terrorist organizations
- Languages such as Arabic, Urdu, or Farsi which are spoken by known terrorists and terrorist organizations
- Joint training with other homeland security entities (e.g., U.S. Secret Service,

- CBP)
- Geospatial database use, design, development, and management training

Exercise Activity Examples

Law enforcement terrorism prevention protection-oriented funds may be used to design, develop, conduct, and evaluate terrorism prevention-related exercises, including the following:

- Exercises to evaluate the effectiveness of information sharing plans, policies, procedures, and protocols
- Exercises to evaluate facility and/or vessel security protection
- Exercises to evaluate area maritime security protection
- Exercises to evaluate threat recognition capabilities
- Exercises to evaluate cyber security capabilities
- Exercises to evaluate agricultural/food security capabilities
- Exercises to evaluate prevention readiness and techniques
- “Red Team” (force on force) exercises
- Interoperable communications exercises
- Critical infrastructure vulnerability, protection, and/or attack exercises

Where practical, these exercises should involve the public sector, non-governmental partners, trained citizen volunteers, and the general public. State and local governments should work with their Citizen Corps Councils to include volunteers from programs such as Volunteers in Police Service, Neighborhood Watch, and the general public, including people with disabilities.

States and Urban Areas are eligible for technical assistance for the design, development, conduct, and evaluation of terrorism prevention-focused exercises. This assistance, largely administered by the FEMA National Exercise Division/ Terrorism Prevention Exercise Program (TPEP), must be applied for and utilized in coordination with the SAA. More information on the TPEP and additional exercise support can be found at <https://hseep.dhs.gov>.

Section D. HSGP Investment Justification Template

IJ Application Instructions

States, territories, and Urban Areas are required to use the web-based IJ submission module provided by FEMA in the Grants Reporting Tool (GRT) for their FY 2011 HSGP submission. **Please allow enough time before (or no later than 11:59 p.m. EDT) June 20, 2011 to complete the IJ in the GRT and submit the required application materials using <http://www.grants.gov>.** Urban Areas should work in accordance with their respective State's timelines and processes identified by the SAA to ensure the Urban Area IJ is submitted by the SAA in compliance with the application deadline.

For instructions on how to log into the GRT and complete the IJ, please reference the *GRT Investment Justification Submission Technical User's Guide* located at <https://www.reporting.odp.dhs.gov/>. After the IJ application has been marked 'complete' in the GRT, SAAs on behalf of applicants must upload the IJs as attachments with the application using the ND Grants system located at <https://portal.fema.gov>. Please note that applicants should ensure that the IJ accounts for all funds requested by the applicant and the total funding requested does not exceed the funding allocations included in *Part II*.

Investment Justification Planning Worksheet

Applicants may use the Word-based *Investment Justification Planning Worksheet*, which is an optional, off-line tool, to help in drafting each Investment to be included as part of the final HSGP IJ. All responses completed in this worksheet must be transferred to the applicant's official IJ located in the GRT. The Worksheet is available at www.fema.gov/grants along with the FY 2011 HSGP Guidance materials.

Multi-Applicant Investments

States, territories, and Urban Areas may propose Multi-Applicant Investments, which represent a shared interest between two or more States and territories, or a shared interest between two or more Urban Areas, as one (or more) of their 15 Investment submissions. Urban Areas cannot submit a Multi-Applicant Investment in partnership with the State in which they are located. Each participating State or Urban Area must outline the specific components of the Multi-Applicant Investment for which it would be responsible and include that Investment in its own submission. For FY 2011, the Multi-Applicant Investments will continue to be evaluated like other Investments as part of the review process, but will not incorporate a bonus point structure.

Like last year, the FY 2011 HSGP Multi-Applicant submission process will require Multi-Applicant partners to identify a submitting partner who will only be required to initiate the Multi-Applicant Investment within the GRT by providing the Investment name(s) and the names of all partners. Once initiated, all partners will independently complete all sections of their Multi-Applicant Investment. Submitting partners should initiate the Multi-Applicant process early enough to allow all partners to complete their own Investments on time.

FY 2011 HSGP Investment Justification Outline

Question	Response	Review Criteria
Overall Investment Justification Portfolio		
Describe how the spectrum of terrorism and natural hazard risks that the State/territory/Urban Area faces influenced the development of this Investment Justification to include all Investments.	<i>Narrative</i> (1500 character max)	The response will be reviewed to provide context for the Investment Justification.
Identify the amount and percentage of funding that will be dedicated to Management & Administration expenditures.	<i>Amount/Percentage</i>	
I. Overview		
I.A Identify the Investment as: If the Investment is Ongoing, identify the Investment(s) from prior year(s):	<i>New, Ongoing</i> Fiscal Year and Investment Name	The response will be reviewed to provide context for the Investment.
I.B Provide the Investment name:	Short Title (100 character max)	
I.C Provide the applicant name	State/territory Urban Area	
I.D Select the Primary and Secondary Funding Program for this Investment:	<i>SHSP, UASI, MMRS, CCP</i>	
I.E Identify if this Investment focuses on building new capabilities or the sustainment of existing capabilities.	<i>New, Existing</i>	
I.F Provide a description of this Investment, including the planning, organization, equipment, training, and/or exercises that will be involved.	Narrative (2500 character max)	The response provides a detailed description and clear understanding of various activities that will be supported by this Investment.
II. Baseline		
II.A Identify the goals and objectives in your State and/or Urban Area Homeland Security Strategy supported by this Investment.	Narrative (1500 character max)	The response will be reviewed to provide context for the Investment.
II.B Describe existing capability levels that address the identified goals/objectives and what will be in place to support the Investment prior to the use of FY 2011 funds.	Narrative (1500 character max)	The response provides a clear understanding of existing capability levels and what capability gap(s) the Investment will address.
II.C Explain the capability gap(s) that this Investment is intended to address.	Narrative (1500 character max)	
III. Project Management and Milestones		
III.A Provide the proposed Primary and Secondary FY 2011 HSGP funding amount for this Investment. For SHSP and/or UASI Only: Identify if this is a fusion center Investment.	Amount	The response provides a clear demonstration and a comprehensive understanding of how the Investment supports identified Target Capabilities, primary POETE Solution Area, and LETPA.
III.B If applicable, provide the proposed funding amount that is expected to be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA)	Amount	
III.C Identify the Target Capabilities that are supported by this Investment. For each of the selected Target Capabilities, provide the proposed funding amount to be obligated from this Investment.	<i>Select all that apply</i> and Amount	
III.D Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.	<i>Planning, Organization, Equipment, Training, Exercise</i>	
III.E Identify up to ten projects/activities, with start and end dates, which will be implemented over the 36 month period of performance. Provide the following information: - Project Name - Funding Amount - Project Management Step - Start Month/Year - End Month/Year	Short title (100 character max) Amount <i>Initiate, Plan, Execute, Control, Close Out</i> Month/Year Month/Year	
III.F Does this Investment require new construction or renovation, retrofitting, or modification of existing structures?	<i>No, Yes</i>	The response will be reviewed to provide context for the Investment.
IV. Accomplishments and Impact		
IV.A Describe the outcomes that will be achieved as a result of this Investment. The outcomes should demonstrate improvement towards building capabilities described in Section II, Baseline.	Narrative (1500 character max)	The response provides a clear description of how the outcomes will be achieved during the FY 2011 HSGP period of performance. The response also describes how accomplishments will bridge capability gap(s) outlined in Section III, Baseline.
IV.B Identify the National Priorities that are supported by this Investment:	<i>Select all that apply</i>	The response will be reviewed to provide context for the Investment.

Section E. OPSG Operations Order Template

Operations Order Instructions

As part of the FY 2011 OPSG application process, each eligible local unit of government at the county level or federally-recognized Tribal government must develop their Operations Order in coordination with State and Federal law enforcement agencies, to include, but not limited to CBP/BP. Operations Orders that are developed at the county level should be inclusive of city, county, Tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, and the Operations Order should address this in the Executive Summary. The details should include the names of the agencies, the points of contact, and the individual funding requests. The OPSG Operations Order Template can be found at <http://www.grants.gov>.

Requirements Overview

The Operations Orders must:

- (1) Be created and submitted in Microsoft Word (*.doc)
- (2) Not exceed 6 pages in length with the emphasis on the Executive Summary, Mission, and Budget
- (3) Use the following file naming convention when submitting required documents as part of the FY 2011 OPSG application: "FY 2011 OPSG <State Abbreviation> - <Local Unit of Government Name>"

Due to the competitive nature of this program, separate attachments will neither be accepted nor reviewed.

Budget Requirements Overview

In an effort to streamline the application process, each applicant is required to submit an annual budget addressing OPSG related costs and expenses as part of the Operations Order. This budget should be detailed and should serve to:

- (1) Explain how the costs were estimated
- (2) Justify the need for the costs incurred

For clarification purposes, the Operations Order may include tables describing cost and expense elements (e.g., equipment, fuel, vehicle maintenance costs).

Executive Summary Overview

Details to include in the Operations Order Executive Summary:

- (1) Identify the organization name, point of contact, committees, and other structures accountable for implementing OPSG in your jurisdiction. Typically, this will be a program lead or manager overseeing operations and individuals assigned to that agency
- (2) Briefly describe how Federal, State, local, and Tribal law enforcement agencies will work together to establish and enhance coordination and collaboration on border security issues

**FY 2011 OPERATION STONEGARDEN (OPSG) OPERATIONS
ORDER AND BUDGET TEMPLATE**

**U.S. DEPARTMENT OF HOMELAND SECURITY BUREAU OF CUSTOMS
AND BORDER PROTECTION**

Op Order Name:	Operation	
Op Order Number:	<Completed by CBP>	
Op Dates:	From:	To:
Report Date:		

Executive Summary

I. SITUATION

A. General Situation:

B. Terrain/Weather:

C. Criminal Element:

D. Friendly Forces:

II. MISSION

III. EXECUTION

A. Management/Supervisor Intent:

B. General Concept:

C. Specific Responsibilities:

1.

2.

3.

D. Coordinating Instructions:

IV. BUDGET

Within the Operations Order, include budgets and operative spending plans in one-year increments (Year 1, Year 2, and Year 3). The annual operations should be practical and able to be completed within the 36-month period of performance. Grantees may not begin operations, obligate, or expend any funds until the final Operations Order and embedded budget has been approved by FEMA GPD and CBP/BP Headquarters and any existing special conditions and/or restrictions are removed.

The sample table provided below may be used as a guide to the applicant in the preparation of the budget and Operations Order to be submitted. Using the table below, compute the total estimated cost under the Narrative Justification column and indicates the amount of Federal funds requested under the Federal Request column that will support the project.

A.1 Example - Cost Estimates/Funding Requests (Year 1):

Administration/Logistics/Budget Request		Narrative Justification (Computation of Items)	Federal Request
Law Enforcement Operational Overtime		\$50 per hour OT rate x 11 personnel x 10 hours x 3 day detail x 4 quarters per year x 2 years	\$132,000.00
Fringe Benefits for Law Enforcement		\$27.55/hr x 1.5 OT = (\$41.33/hr) x (.062) = (\$2.56/hr FICA) x 5840 hrs/yr x 2 yrs	\$29,925.92
Travel, Lodging, and Per Diem for deployed LE and/or Federally sponsored (DHS/FEMA) border security task forces, conferences and/or mandatory training		Federal or below: approx miles of 3,500, 15 days single Occupancy @ \$150 for 5 people	\$1,750.00
General Equipment		Lines, personal flotation devices, GPS software updates, marine batteries, thermal imaging system	
Special Equipment (Requiring separate waiver i.e., Planes, boats, vehicles, SUVs, etc.)		Sea Hawk Boat, Explorer 4x4 Police with Package	\$75,000.00
Part-Time to Full-Time Law Enforcement Personnel			
Activated Reserve Law Enforcement Personnel			
Vehicles:	Vehicle Maintenance	46,800 miles per year x .18 cents per mile = \$8,424.00 x 2 yrs Tires, engine repair, other	\$16,848.00
	Fuel Cost	3,342 x \$4.50 per gallon = \$15,043/yr x 2 yrs	\$30,086.00
Total			\$285,609.92

A.2 Cost Estimates/Funding Requests (Year 2):
< INSERT COST ESTIMATES AND FUNDING REQUESTS TABLE >

A.3 Cost Estimates/Funding Requests (Year 3):
< INSERT COST ESTIMATES AND FUNDING REQUESTS TABLE >

V. COMMAND/CONTROL/COMMUNICATION

A. Chain of Command:

B. Unit Command:

C. Communications Detail:

D. Map Coordinates:

Notes:		
Longitude:	Latitude:	
Degrees:	Minutes:	Seconds:
Decimal:		
Location Zone:		

ANNEX

A. Administration Annex:

B. Execution Annex:

C. Command Annex:
Media Action Plan:

Legal Review:

Risks:

Photos:

Section F. HSGP Checklist

This checklist identifies the application requirements for each of the five sub-programs of HSGP. For more information, see *Part IV*.

FY 2011 Homeland Security Grant Program Checklist					
Checklist Item	SHSP	UASI	OPSG	MMRS	CCP
Investment Justification	Y	Y		Y	Y
UAWG Structure		Y			
Operations Order and Detailed Budget Summary			Y		
Inventory of Operations Orders			Y		
Standard Form 424	Y	Y	Y	Y	Y
Standard Form 424A	Y	Y	Y	Y	Y
Standard Form 424B	Y	Y	Y	Y	Y
Standard Form 424C	Y	Y	Y	Y	Y
Standard Form 424D	Y	Y	Y	Y	Y
Lobbying Form	Y	Y	Y	Y	Y
Standard Form LLL	Y	Y	Y	Y	Y
Certification Regarding Debarment	Y	Y	Y	Y	Y
Certification Regarding Drug-Free Workplace Requirements	Y	Y	Y	Y	Y
DUNS Number	Y	Y	Y	Y	Y
Valid Central Contractor Registry (CCR) Registration	Y	Y	Y	Y	Y