



U.S. DEPARTMENT OF HOMELAND SECURITY

**FISCAL YEAR 2011**

**EMERGENCY OPERATIONS CENTER  
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 Emergency Operations Center (EOC) Grant Program

**Regional Funding Opportunity Number:**

Grant Program Name	Opportunity Number
Emergency Operations Center (EOC) Grant Program – Region I	DHS-11-GPD-052-001-01
Emergency Operations Center (EOC) Grant Program – Region II	DHS-11-GPD-052-002-01
Emergency Operations Center (EOC) Grant Program – Region III	DHS-11-GPD-052-003-01
Emergency Operations Center (EOC) Grant Program – Region IV	DHS-11-GPD-052-004-01
Emergency Operations Center (EOC) Grant Program – Region V	DHS-11-GPD-052-005-01
Emergency Operations Center (EOC) Grant Program – Region VI	DHS-11-GPD-052-006-01
Emergency Operations Center (EOC) Grant Program – Region VII	DHS-11-GPD-052-007-01
Emergency Operations Center (EOC) Grant Program – Region VIII	DHS-11-GPD-052-008-01
Emergency Operations Center (EOC) Grant Program – Region IX	DHS-11-GPD-052-009-01
Emergency Operations Center (EOC) Grant Program – Region X	DHS-11-GPD-052-010-01

**Catalog of Federal Domestic Assistance (CFDA) Number:** 97.052

**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 EOC Guidance Kit.** Due to continued stakeholder feedback and recommendations, Grants Program Directorate (GPD) has reformatted its FY 2011 EOC Grant Program 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 EOC Grant Program, whereas *Section II* is intended to help grantees in understanding the rules and regulations associated with administering federally-funded grant awards.
- **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 EOC grant funds. Grantees will not be asked to provide

additional data, but may be required to modify existing data reporting processes to collect more useful performance information.

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## PART I.

# FUNDING OPPORTUNITY DESCRIPTION

The Department of Homeland Security (DHS) Fiscal Year (FY) 2011 Emergency Operations Center (EOC) Grant Program is intended to improve emergency management and preparedness capabilities by supporting flexible, sustainable, secure, strategically located, and fully interoperable EOCs with a focus on addressing identified deficiencies and needs. Fully capable emergency operations facilities at the State and local levels are an essential element of a comprehensive national emergency management system and are necessary to ensure continuity of operations and continuity of government in major disasters or emergencies caused by any hazard. The EOC Grant Program is authorized by section 614 of the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 U.S.C. 5196c) as amended by section 202 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (hereafter “9/11 Act”). Funds for the FY 2011 EOC Grant Program are appropriated under the *Department of Defense and Full-Year Continuing Appropriations Act, 2011* (Public Law 112-10).

The FY 2011 EOC Grant Program will provide \$14,101,740 for construction or renovation of a State, local, or Tribal government’s primary EOC as defined by the State Administrative Agency (SAA) during the application process. Per the National Fire Protection Association (NFPA), an EOC is defined as a “facility or capability from which direction and control is exercised in an emergency. This type of center or capability is designated to ensure that the capacity exists for the leadership to direct and control operations from a centralized facility or capability in the event of an emergency.”<sup>1</sup>

**Eligible EOCs requesting funding may request up to \$1,000,000 for construction projects or up to \$250,000 for renovation projects through the FY 2011 EOC Grant Program.**

During the FY 2010 EOC Grant Program, FEMA received a total of 347 individual competitive EOC project applications from State, local, and Tribal governments. FEMA was able to select 20 EOC projects for the \$10,157,500 of available FY 2010 competitive funding. Recognizing the limited amount of funding available in FY 2011, consideration will be given to EOC projects that are not already receiving prior years’ EOC Grant Program funding.

The FY 2011 EOC Grant Program is not intended to fund the construction or renovation of State, local, or Tribal fusion centers. If an EOC and a fusion center are collocated,

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<sup>1</sup> For more information, please see NFPA 1600, *Standard on Disaster/Emergency Management and Business Continuity Programs*, December 1, 2006 (<http://www.nfpa.org/assets/files/pdf/nfpa1600.pdf>)

EOC grant funds may only be used to support renovation or construction related to the EOC.

“Construction,” as defined in this program, refers to building a new facility or any changes to the footprint of an existing facility, while “renovation” refers to internal improvements to an existing facility.

## PART II.

# AWARD INFORMATION

### **Authorizing Statutes**

The *Department of Defense and Full-Year Continuing Appropriations Act, 2011* (Public Law 112-10) and section 614 of the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 U.S.C. 5196c) as amended by section 202 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) authorized the FY 2011 EOC Grant Program.

### **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 \$14,101,740. Eligible EOCs requesting funding may request up to \$1,000,000 for construction projects or up to \$250,000 for renovation projects through the FY 2011 EOC Grant Program. Under the FY 2011 EOC Grant Program, EOCs may propose only one construction or renovation Investment Justification (IJ). All funding is subject to the regulations and requirements of this guidance and application kit.

### **Cost Match**

The FY 2011 EOC Grant Program has a 75 percent (75%) Federal and 25 percent (25%) grantee cash- or in-kind cost match requirement. The matching requirement is mandated by section 614 of the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 U.S.C. 5196c). Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds. In accordance with 48 U.S.C. 1469a, match requirements are waived for the U.S. territories of American Samoa, Guam, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands.

FEMA administers cost matching requirements in accordance with 44 CFR Part §13.24. To meet these 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.

## 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.

FY 2011 EOC Grant Program funds may only be expended for EOC construction or renovation costs and Management and Administration (M&A) costs to support the project. Allowable costs include EOC design, construction, and renovation costs including, but not limited to, hardening of the structure and building envelope to resist hazards and the hardening of systems to better resist damage and contamination from natural disasters and terrorist attacks. Funds must be spent in compliance with rules and regulations noted in this EOC Grant Program Guidance and Application Kit. In addition, planning costs to support the EOC construction or renovation activities are allowable.

The following pages outline general allowable and unallowable EOC Grant Program cost guidance.

- 1. Management and Administration (M&A).** M&A activities are those defined as directly relating to the M&A of EOC Grant Program funds, such as financial management and monitoring. A maximum of up to five percent (5%) of FY 2011 EOC Grant Program funds awarded may be retained by the State and any funds retained are to be used solely for M&A purposes associated with the award. Sub-grantees may also use up to five percent (5%) of the FY 2011 EOC Grant Program funds awarded to them by the State to be used solely for M&A purposes associated with the award.
- 2. Allowable Costs.** EOC Grant Program funds may only be expended for EOC construction or renovation costs. Funds must be spent in compliance with rules and regulations noted in this EOC Grant Program Guidance and Application Kit.

## ***Planning***

Planning costs to support the EOC construction or renovation activities are allowable. These planning activities include the following:

- Developing plans, protocols, or procedures for the operation and use related to new capabilities as a result of the construction or renovation
- Conducting physical security assessments
- Ensuring EOC continuity of operations
- Analyzing constructed or renovated space to support the design and implementation of protection systems (e.g., fire protection and suppression, atmospheric filtration, explosives mitigation)

## ***Equipment***

Only equipment integral to EOC construction and renovation activities is allowable. The allowable equipment categories for FY 2011 EOC Grant Program are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by FEMA at <https://www.rkb.us>.

The select allowable equipment includes equipment from the following AEL categories:

- Explosive Device Mitigation and Remediation (Category 2)
- Information Technology (Category 4)
- Cyber-Security Enhancement Equipment (Category 5)
- Interoperable Communications Equipment (Category 6)
- Power Equipment (Category 10)
- Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Reference Materials (Category 11)
- Physical Security Enhancement Equipment (Category 14)
- CBRNE Logistical Support Equipment (Category 19)
- Other Authorized Equipment (Category 21)

If State agencies and/or local governments have questions concerning the eligibility of equipment not specifically addressed in the AEL, they should contact their FEMA Regional Program Analyst through FEMA's Grant Programs Directorate (GPD) Centralized Scheduling and Information Desk (CSID) at (800) 368-6498 or [AskCSID@dhs.gov](mailto:AskCSID@dhs.gov) for clarification.

Grantees (including sub-grantees) that are using FY 2011 EOC Grant Program 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.

### ***Construction and Renovation***

“Construction,” as defined in this program, refers to building a new facility or any changes to the footprint of an existing facility, while “renovation” refers to internal improvements to an existing facility. As noted previously, eligible EOCs may request up to \$1,000,000 for construction projects or up to \$250,000 for renovation projects through the FY 2011 EOC Grant Program.

FY 2011 EOC grantees using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. 3141 et seq.). Grant recipients must ensure that their contractors or sub-contractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor wage determinations, is available from the following website: <http://www.dol.gov/compliance/laws/comp-dbra.htm>.

All proposed construction and renovation activities must undergo an Environmental Planning and Historic Preservation (EHP) review, including approval of the review from FEMA, prior to undertaking any action related to the project. Any applicant that is proposing a construction or renovation project under the FY 2011 EOC should pay special attention to the EHP requirements contained in *Section I, Part IV.C* of the Guidance. Failure of a grant recipient to meet these requirements may jeopardize Federal funding.

**3. Unallowable Costs.** FY 2011 EOC Grant Program funds may not be spent towards organization, training, or exercise costs. In addition, FY 2011 EOC Grant Program funds may not be spent towards:

- Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc.), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems and ammunition
- Costs to support the hiring of emergency managers or the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities
- Activities unrelated to the completion and implementation of EOC construction or renovation
- Other items not in accordance with the portions of the AEL and allowable costs listed above

## PART III.

# ELIGIBILITY INFORMATION

### A. Eligible Applicants

All 56 States and territories are eligible to apply for FY 2011 EOC Grant Program funds. Recognizing the limited amount of funding available in FY 2011, consideration will be given to EOC projects that are not already receiving prior years' EOC Grant Program funding.

The Governor of each State and territory is required to designate a SAA to apply for and administer the funds awarded under the FY 2011 EOC Grant Program. **The SAA is the only eligible entity able to apply for the available funding on behalf of each eligible State, local, and Tribal government's primary EOC.**

### 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).<sup>2</sup> 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

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<sup>2</sup> 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).

concerning NIMS implementation for States, Tribal nations, and local governments, nongovernmental organizations, and the private sector is available through the NIC at FEMA's NIMS Resource Center at <http://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 the *Five-Year NIMS Training Plan*]. NIMS training guidance is available on FEMA's NIMS Resource Center at <http://www.fema.gov/emergency/nims/NIMSTrainingCourses>.

The primary grantee/administrator of FY 2011 EOC Grant Program 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 EOC Grant Program.

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, IJ, 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) (if applicable)
- Standard Form 424D, Standard Assurances (Construction) (if applicable)
- 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
- Investment Justification (Office of Management and Budget [OMB] Number 1660-0124/FEMA Form 089-3)
- SAA Prioritization of Investment Justifications (in rank order) in FEMA-provided template (OMB Number 1660-0124/FEMA Form 089-18)

**All Standard Forms and Certifications should be completed and submitted by the SAA only.**

The program title listed in the CFDA is "*Emergency Operations Center (EOC) Grant Program*." The CFDA number is **97.052**.

- 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.** As part of the FY 2011 EOC Grant Program application process, applicants must develop a formal IJ that addresses the construction or renovation Investment proposed for funding and demonstrate how the selected review criteria and proposed EOC project information will improve emergency

management and preparedness capabilities. Under the FY 2011 EOC Grant Program, EOCs may propose only one construction or renovation IJ.

FEMA has developed an Excel-based template that establishes the required IJ content and helps ensure that submissions are organized in a consistent manner while addressing key data requirements. **Failure to address these data elements in the prescribed format, including the strict formatting guidelines, could potentially result in the rejection of the IJ from review consideration.**

If the available template is not used, the IJ must: 1) Be created and submitted in Microsoft Word (\*.doc) or text (\*.text); 2) **Not exceed five (5) single-spaced pages, in 12 point Times New Roman font, with a minimum of 1” margins.** The eligible EOC is required to adhere to and include the following section headings, page restrictions, character limitations and scoring criteria within the IJ. Separate attachments **will neither be accepted nor reviewed**. Additionally, scanned or imaged applications will not be accepted.

All applications must use the following file naming convention when submitting required documents as part of the FY 2011 EOC: “FY 2011 EOC <State Abbreviation> - <EOC Name>.”

**IJs should be sent electronically to the SAA no later than 11:59 p.m. EDT, June 13, 2011, to ensure adequate time for a State review of EOC applications. If an extension to the deadline is required, applicants must consult with their respective SAA.**

**FY 2011 EOC Grant Program Investment Justification and Scoring Criteria**

Question	Scoring Criteria
<b>I. APPLICANT INFORMATION</b>	
<p><b>Investment Heading:</b></p> <ul style="list-style-type: none"> <li>• Emergency Operations Center Name</li> <li>• FY 2011 EOC Grant Program Project Name</li> <li>• Indicate whether a State, local, or Tribal EOC</li> <li>• Physical address of facility (if the EOC is a new construction and an address has not been assigned, provide the city and State in which the EOC will be located)</li> <li>• Dun and Bradstreet Number<sup>3</sup></li> <li>• Identify any FY 2008, 2009 or 2010 EOC Grant Program funding received, including amount</li> <li>• Investment Type: Construction or Renovation<sup>4</sup> <ul style="list-style-type: none"> <li>- If Construction Investment, please indicate whether construction is of a new facility or an addition to an existing facility</li> <li>- If Renovation Investment, please indicate the year</li> </ul> </li> </ul>	<p>This information is for informational purposes only and will not be scored <b>(0 points)</b></p>

<sup>3</sup> FY 2011 EOC applications can only be submitted with a **current** and **valid** DUNS number; pending DUNS number **will not be accepted**

<sup>4</sup> “Construction” as defined in this program, refers to building a new facility or any changes to the footprint of an existing facility, while “renovation” refers to internal improvement to an existing facility”

Question	Scoring Criteria
<p>that the original facility was constructed</p> <ul style="list-style-type: none"> <li>• Total Cost of proposed EOC Project <ul style="list-style-type: none"> <li>- Requested FY 2011 EOC Grant Program Federal funds<sup>5</sup></li> <li>- Grantee matching funds (0.25 x total amount of Federal funds received)</li> </ul> </li> </ul> <p><b>Match Requirement:</b></p> <ul style="list-style-type: none"> <li>• Response Instructions: Describe how the 25 Percent (25%) program match requirement for the FY 2011 EOC Grant Program award will be met</li> </ul> <p><b>(800 Character Max not including spaces)</b></p>	
<b>II. OVERALL</b>	
<p><b>Overall Purpose of Investment:</b></p> <ul style="list-style-type: none"> <li>• Response Instructions: Describe at a high level what will be implemented and accomplished by this Project Investment</li> </ul> <p><b>(1,800 Character Max not including spaces)</b></p>	<p>The response describes what will be implemented and accomplished by this Investment <b>(4 points)</b></p>
<b>III. NEEDS ASSESSMENT</b>	
<p><b>Needs Assessment:</b></p> <ul style="list-style-type: none"> <li>• Response Instructions: Certify that a facility assessment has been conducted (to include the date and conductor of assessment). Outline how the project will address the identified deficiencies or needs identified in the assessment. Address the impact of project (loss of services) on population/risk.</li> </ul> <p><b>(1,800 Character Max not including spaces)</b></p>	<p>The response describes how the project will address identified deficiencies and needs <b>(4 points)</b></p>
<b>IV. INVESTMENT IMPACT</b>	
<p><b>Investment Impact:</b></p> <ul style="list-style-type: none"> <li>• Response Instructions: Describe how the project will enhance emergency management capabilities for the State, local, or Tribal applicant; also noting how the project will be accomplished in a cost effective manner</li> </ul> <p><b>(1,500 Character Max not including spaces)</b></p>	<p>The response describes how the Investment will mitigate needs and deficiencies outlined in the Needs Assessment portion of the IJ <b>(6 points)</b></p>
<b>V. PRE-EXISTING PLANNING</b>	
<p><b>Pre-Existing Planning:</b></p> <ul style="list-style-type: none"> <li>• <b>Facility Assessment</b> Response Instructions: Describe any pre-existing planning that has taken place relative to the deficiencies noted in the facility assessment, including: <ul style="list-style-type: none"> <li>- Architectural plans developed</li> <li>- Permits in Place</li> <li>- Explanation of proposed project including design criteria to address the identified hazards and threats</li> </ul> </li> <li>• Describe any pre-existing planning that has taken place relative to the proposed project</li> <li>• <b>Hazard-Resistance Guidance</b> Response Instructions:</li> </ul>	<p>The response describes how the Facility Assessment and Hazard-Resistance Guidance have helped identify and mitigate against the needs and deficiencies described in the Investment challenges portion of the IJ <b>(9 points)</b></p>

<sup>5</sup> An EOC may request up to \$1,000,000 for a construction project or up to \$250,000 for a renovation project

Question	Scoring Criteria
<p>Describe hazard-resistance design guidance utilized as part of the pre-existing planning, such as, but not limited to:</p> <ul style="list-style-type: none"> <li>- FEMA 426/452 for identifying and mitigating terrorist and other threats</li> <li>- FEMA 361 and FEMA 543 for identifying and mitigating flood and wind hazards</li> <li>- FEMA 310 (ASCE 31) and FEMA 356 for identifying and mitigating seismic hazards</li> </ul> <ul style="list-style-type: none"> <li>• <b>Deficiencies/Needs</b> Response Instructions: Describe any current activities that have taken place relative to rectifying the deficiencies or needs identified in the assessment</li> </ul> <p><b>(2,200 Character Max not including spaces)</b></p>	
<b>VI. FUNDING PLAN</b>	
<p><b>Funding Plan:</b></p> <ul style="list-style-type: none"> <li>• Response Instructions: This section will focus solely on the amount of Federal funds being requested for this construction or renovation project <b>(up to \$1,000,000 for construction projects or up to \$250,000 for renovation projects)</b> <ul style="list-style-type: none"> <li>- Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular Investment</li> </ul> </li> <li>• <b>Budget Narrative</b> – Each State, local, and Tribal EOC applicant must outline proposed costs in the categories identified in the budget detail worksheet</li> <li>• <b>Budget Detail Worksheet</b> – Each State, local, and Tribal EOC applicant must complete and attach the <i>SF 424C: Budget Information – Construction Programs</i> available at <a href="http://www.grants.gov/agencies/aapproved_standard_for_ms.jsp#1">http://www.grants.gov/agencies/aapproved_standard_for_ms.jsp#1</a></li> </ul> <p><i>Note: Investments will be evaluated on the expected impact on security relative to the amount of the Investment (i.e., cost effectiveness)</i></p> <p><b>(800 Character Max not including spaces)</b></p>	<p>The response references the appropriate activities and outlines estimated costs used specifically for the Investment <b>(4 points)</b></p>

Question	Scoring Criteria
<b>VII. FUNDING SOURCES</b>	
<p><b>Supplemental Funding:</b></p> <ul style="list-style-type: none"> <li>• Response Instructions: In addition to the required cash- or in-kind match, discuss other funding sources (e.g., non-FY 2011 EOC Grant Program funds, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this Investment <ul style="list-style-type: none"> <li>▪ If no other funding resources have been identified beyond the required cash or in-kind match, or if none are necessary, provide rationale as to why the requested FY 2011 EOC Grant Program funding is sufficient for the implementation and sustainment of this Investment</li> </ul> </li> </ul> <p><b>(800 Character Max not including spaces)</b></p>	<p>The response addresses aggregate funds required and provides rationale for what is estimated to be sufficient funding for implementation and sustainment of Investment <b>(4 points)</b></p>
<b>VIII. INVESTMENT CHALLENGES</b>	
<p><b>Investment Challenges:</b></p> <ul style="list-style-type: none"> <li>• Response Instructions: List and identify potential challenges to effective implementation of this Investment over the period of performance. Provide a brief description of how each challenge will be addressed and mitigated, and indicate a probability of occurrence (high, medium, or low). Be sure to address the following: <ul style="list-style-type: none"> <li>- The necessary steps and stages that will be required for successful implementation of the Investment</li> <li>- Identify areas of possible concern or potential pitfalls in terms of Investment implementation</li> <li>- Explain why those areas present the greatest challenge to a successful Investment implementation</li> </ul> </li> </ul> <p><b>(2,000 Character Max not including spaces)</b></p>	<p>The information provided will be scored based on the indication of an understanding of the Investment's risk, including cost and schedule <b>(4 points)</b></p>
<b>IX. PROJECT MANAGEMENT</b>	
<p><b>Project Management:</b></p> <ul style="list-style-type: none"> <li>• Response Instructions: Explain how the management team members will organize and work together in order to successfully manage the Investment</li> </ul> <p><b>(2,000 Character Max not including spaces)</b></p>	<p>Response describes, at a high-level, the roles and responsibilities of the management team, governance structures, and subject matter expertise required to manage the Investment <b>(2 points)</b></p>

Question	Scoring Criteria
<b>X. MILESTONES</b>	
<p><b>Milestones:</b></p> <ul style="list-style-type: none"> <li>• Response Instructions: Provide descriptions of up to 10 major milestones that are critical to the success of the Investment: <ul style="list-style-type: none"> <li>- Milestones are for this discrete Investment – those that are covered by the requested FY 2011 EOC Grant Program funds and will be completed over the period of performance for the grant</li> <li>- Milestones should be kept to high-level, major tasks that will need to occur</li> <li>- Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone</li> <li>- Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met</li> <li>- List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above)</li> </ul> </li> </ul> <p><b>(1,000 Character Max not including spaces)</b></p>	<p>Milestones collectively present a clear sequence of events that will allow the Investment to reach its objectives for this period of performance <b>(3 points)</b></p>

### **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 the EOC Grant Program 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 EOC Grant Program 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.

Not all projects require a FEMA EHP review. For example, the following activities would not require a FEMA EHP review: 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). However, any proposed project funded through the EOC Grant Program that involves the installation of equipment, ground-disturbing activities, new construction, including communication towers, or modification/renovation of existing buildings or structures, must undergo the FEMA EHP review process. 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.

Upon receiving notification from your Program Analyst on the type of EHP documentation needed for the FEMA EHP review, 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](mailto:GPDEHPInfo@fema.gov). If you have any additional questions please contact CSID at (800) 368-6498, Monday through Friday, 8:00 a.m. – 6:00 p.m. EST. Refer to Information Bulletins (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.

#### **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

FEMA recognizes that each State, local, and Tribal jurisdiction has unique emergency management needs. Construction and renovation projects will be reviewed based on how well they address the following criteria:

- State-identified priorities
- Quality of justification
- Preexisting planning

Applications will be reviewed for completeness, adherence to programmatic guidelines, feasibility, and how well the IJ addresses the improvement of emergency management and preparedness capabilities.

Recognizing the limited amount of funding available, consideration will be given to projects that have not received funding through the EOC Grant Program in the past.

### B. Review and Selection Process

Applications will be reviewed in two phases to leverage local knowledge and understanding of the applicant's emergency management and preparedness capabilities, while also ensuring coordination and alignment with Federal, State, and local preparedness efforts.

- **State Review:** All IJs should be submitted by the eligible State, local, or Tribal government's primary EOC to the SAA **no later than 11:59 p.m. EDT, June 13, 2011**, to ensure adequate time for a State review and consolidation of IJs.

The SAA, in coordination with the State Emergency Management Agency, will review all IJs to score and prioritize the projects. The SAA has the discretion to include other State, local government, or Tribal representatives to participate in the State review.

FEMA will provide each SAA with the *FY 2011 EOC Scoring Worksheet* (see *Section I, Part VI*) and the *FY 2011 Prioritization of Investment Justifications Template*, which will allow the SAA to provide the scores from the State Review along with a prioritized list of EOC projects, ranked in consideration of two factors:

- Need – The relative need for the EOC Investment compared to the other applicants
- Impact – The potential impact of the EOC Investment on achieving maximum emergency management and preparedness capabilities at minimal cost

It is up to the discretion of the SAA and State Emergency Management Agency how the two factors above are used to review Investments. At the end of the State Review, the following [items] should be submitted as part of the official application:

- Completed Prioritization of Investment Justifications Template
- Investment Justifications

**The completed template must be submitted by the SAA to FEMA with the applicable IJs no later than 11:59 p.m. EDT, June 20, 2011.**

- **National Review:** Once the SAA submits all applications and its *FY 2011 Prioritization of Investment Justifications Template*, FEMA will convene a National Review Panel. The Investment Justifications that have the highest State score and priority, and add up to 150 percent (150%) of funds available, will be selected for review by the National Review Panel; the Panel will consist of representatives from the National Emergency Management Association (NEMA), International Association of Emergency Managers (IAEM), and FEMA Regional staff. Applications are sorted in order of highest to lowest score and funding is allocated until all funds are exhausted. FEMA Headquarters will use the results of the reviews to make funding recommendations to the Secretary of Homeland Security.

**NOTE: Upon award, the recipient may only fund construction and renovation activities that were included in the FY 2011 EOC Grant Program IJ submitted to FEMA and evaluated through the National review process.**

### **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](http://www.whitehouse.gov/omb/grants_spoc).

# PART VI. OTHER INFORMATION

## Section A. Investment Justification Template

FY 2011 EOC Investment Justification	
I. Applicant Information	
<b>Investment Heading:</b>	
Emergency Operations Center Name:	<input type="text"/>
FY 2011 EOC Grant Program Project Name:	<input type="text"/>
Indicate whether a State, local, or Tribal EOC:	<input type="text"/>
Indicate the physical address of the EOC: <i>(if the EOC is a new construction and an address has not been assigned, provide the city and state in which the EOC will be located)</i>	<input type="text"/>
Dun and Bradstreet Number:	<input type="text"/>
Identify any FY 2010 EOC Grant Program funding received, including amount:	<input type="text"/>
Identify any FY 2011 EMPG funding allocated, including amount:	<input type="text"/>
Investment Type: Construction or Renovation	<input type="text"/>
If Construction Investment, please indicate whether construction is of a new facility or an addition to an existing facility	<input type="text"/>
If Renovation Investment, please indicate the year that the original facility was constructed	<input type="text"/>
Total cost of proposed EOC project:	<input type="text"/>
Requested FY 2011 EOC Grant Program Federal funds	<input type="text"/>
Grantee matching funds (must be at least 25% of requested Federal funds)	<input type="text"/>
<b>Match Requirement</b>	
Describe how the 25% program cash- or in-kind match requirement for the FY 2011 EOC Grant Program award will be met. <b>(800 character max - not including spaces)</b>	<input type="text"/>

## II. Overall

Describe at a high level what will be implemented and accomplished by this Project Investment  
**(1,800 character max - not including spaces)**

## III. Needs Assessment

Certify that a facility assessment has been conducted (to include the date and conductor of assessment). Outline how the project will address the identified deficiencies or needs identified in the assessment. Address the impact of project (loss of services) on population/risk.  
**(1,800 character max - not including spaces)**

#### IV. Investment Impact

Describe how the project will enhance emergency management capabilities for the State, local, or tribal applicant; also noting how the project will be accomplished in a cost effective manner.

**(1,500 character max - not including spaces)**

#### V. Pre-Existing Planning

**Facility Assessment:** Describe any pre-existing planning that has taken place relative to the deficiencies noted in the facility assessment, including:

- Architectural plans developed
- Permits in Place
- Explanation of proposed project including design criteria to address the identified hazards and threats

Describe any pre-existing planning that has taken place relative to the proposed project.

**Hazard-Resistance Guidance:** Describe hazard-resistance design guidance utilized as part of the pre-existing planning, such as, but not limited to:

- FEMA 426/452 for identifying and mitigating man-made and terrorist threats
- FEMA 361 and FEMA 543 for identifying and mitigating flood and wind hazards
- FEMA 310 (ASCE 31) and FEMA 356 for identifying and mitigating seismic hazards

**Deficiencies/Needs:** Describe any current activities that have taken place relative to rectifying the deficiencies or needs identified in the assessment.

**(2,200 character max - not including spaces)**

## VI. Funding Plan

This section will focus solely on the amount of Federal funds being requested for this construction or renovation project **(up to \$1,000,000 for construction projects or up to \$250,000 for renovation projects)**.

Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular Investment.

- Budget Narrative – Each State, local, and Tribal EOC applicant must outline proposed costs in the categories identified in the budget detail worksheet.
- Budget Detail Worksheet – Each State, local, and Tribal EOC applicant must complete and attach the SF 424C: Budget Information – Construction Programs available at: [http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp#1](http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1)

*Note: Investments will be evaluated on the expected impact on security relative to the amount of the Investment (i.e., cost effectiveness).*

**(800 character max - not including spaces)**

## VII. Funding Sources

### Supplemental Funding:

In addition to the required cash- or in-kind match, discuss other funding sources (e.g., non-FY 2011 EOC Grant Program funds, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this Investment.

If no other funding resources have been identified beyond the required cash or in-kind match, or if none are necessary, provide rationale as to why the requested FY 2011 EOC Grant Program funding is sufficient for the implementation and sustainment of this Investment.

**(800 character max - not including spaces)**

### VIII. Investment Challenges

List and identify potential challenges to effective implementation of this Investment over the period of performance. Provide a brief description of how each challenge will be addressed and mitigated, and indicate a probability of occurrence (high, medium, or low). Be sure to address the following:

- The necessary steps and stages that will be required for successful implementation of the Investment;
- Identify areas of possible concern or potential pitfalls in terms of Investment implementation; and,
- Explain why those areas present the greatest challenge to a successful Investment implementation.

(2,000 character max - not including spaces)

### IX. Project Management

Explain how the management team members will organize and work together in order to successfully manage the Investment.

(2,000 character max - not including spaces)

### X. Milestones

Provide descriptions of up to 10 major milestones that are critical to the success of the Investment:

- Milestones are for this discrete Investment – those that are covered by the requested FY2011 EOC Grant Program funds and will be completed over the period of performance for the grant;
- Milestones should be kept to high-level, major tasks that will need to occur;
- Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone;
- Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and
- List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).

**(1,000 character max - not including spaces)**

	Milestone	Start Date	Completion Date
<b>Remaining Characters in Table: 1000</b>			
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

#### Instructions for Finalizing the IJ

If you are using Excel 2007, please be sure to save the final version of your IJ for submission in the **Excel 97-2003 format**. Instructions can be found on the Introduction tab in the "Helpful Hints" section. Excel 2007 or PDF formats can not be accepted.

Please provide a copy of this Investment Justification to the SAA by 11:59 p.m. Eastern Daylight Time (EDT) on Month DD, YYYY.

## Section B. FY 2011 EOC Grant Program Scoring Worksheet for SAAs

The FY 2011 EOC Scoring Worksheet Template below will be used by the SAA to review and score FY 2011 EOC applications consistent with the guidelines provided in the FY 2011 EOC Investment Justification and Selection Criteria as well as ensure consistency with programmatic requirements. SAAs will receive a separate, Excel-based FY 2011 EOC Scoring Worksheet upon the release of the Guidance.

Each applicant's final score, along with the SAA's prioritization, will be used to determine the applicants that will advance to the Federal review process.

### FY 2011 EOC Grant Program Scoring Worksheet

FISCAL YEAR (FY) 2011 EMERGENCY OPERATIONS CENTER (EOC) GRANT PROGRAM INVESTMENT JUSTIFICATION SCORING WORKSHEET	
State/Territory	<input style="width: 90%;" type="text"/>
Name of EOC	<input style="width: 90%;" type="text"/>
Investment Name	<input style="width: 90%;" type="text"/>
Construction or Renovation Investment	<input style="width: 90%;" type="text"/>
<i>Scoring Legend</i>	
<b>Did Not</b>	The applicant provided <b>no</b> response
<b>Poorly</b>	The applicant's response is <b>incomplete</b> and <b>does not</b> address all of the required information
<b>Partially</b>	The applicant's response is <b>complete</b> but <b>minimally</b> addresses all of the required information
<b>Satisfactorily</b>	The applicant's response is <b>complete</b> and <b>moderately</b> addresses all of the required information
<b>Fully</b>	The applicant's response is <b>complete</b> and <b>fully</b> addresses all of the required information
<i>I. Applicant Information (Unscored)</i>	
<b>1. Did the applicant provide all of the required information?</b>	
No	The applicant <b>did not</b> provide all of the required information
Yes	The applicant <b>did</b> provide all of the required information
<input style="width: 20px; height: 20px;" type="checkbox"/>	<input style="width: 90%; height: 20px;" type="text"/>
<i>II. Overall (Total of 4 possible points)</i>	
<b>2. How well did the applicant describe, at a high level, what will be implemented and accomplished in this</b>	
0	= The applicant <b>did not</b> describe what will be implemented and accomplished in this Investment
1	= The applicant <b>poorly</b> described what will be implemented and accomplished in this Investment
2	= The applicant <b>partially</b> described what will be implemented and accomplished in this Investment
3	= The applicant <b>satisfactorily</b> described what will be implemented and accomplished in this Investment
4	= The applicant <b>fully</b> described what will be implemented and accomplished in this Investment
Score	<input style="width: 20px; height: 20px;" type="text"/>
<input style="width: 20px; height: 20px;" type="checkbox"/>	<input style="width: 90%; height: 20px;" type="text"/>

*III. Needs Assessment (Total of 4 possible points)*

**3. How well did the applicant address identified deficiencies and needs within their facility assessment?**

- 0 = The applicant **did not** certify that a facility assessment had been conducted
- 1 = The applicant **poorly** addressed identified deficiencies and needs within their facility assessment
- 2 = The applicant **partially** addressed identified deficiencies and needs within their facility assessment
- 3 = The applicant **satisfactorily** addressed identified deficiencies and needs within their facility assessment
- 4 = The applicant **fully** addressed identified deficiencies and needs within their facility assessment

Score

*IV. Investment Impact (Total of 6 possible points)*

**4. Did the applicant describe how the Investment will enhance emergency management capabilities?**

- 0 = The applicant **did not** describe how the Investment will enhance emergency management capabilities
- 1 = The applicant **poorly** described how the Investment will enhance emergency management capabilities
- 2 = The applicant **partially** described how the Investment will enhance emergency management capabilities
- 3 = The applicant **satisfactorily** described how the Investment will enhance emergency management capabilities
- 4 = The applicant **fully** described how the Investment will enhance emergency management capabilities

Score

**5. Did the applicant address impact of the Investment on population/risk?**

- 0 = **No**, the applicant **did not** address impact of the Investment on population/risk
- 1 = **Yes**, the applicant **addressed** impact of the Investment on population/risk

Score

**6. Did the applicant describe how the proposed Investment will be accomplished in a cost effective manner?**

- 0 = **No**, the applicant **did not** describe how the proposed Investment will be accomplished in a cost effective manner
- 1 = **Yes**, the applicant **described** how the proposed Investment will be accomplished in a cost effective manner

Score

*V. Pre-Existing Planning (Total of 9 possible points)*

**7. Did the narrative describe any pre-existing planning efforts that have taken place relative to the deficiencies noted in the facility assessment?**

- 0 = **No**, the narrative **did not** describe any pre-existing planning efforts
- 1 = **Yes**, the narrative **described** pre-existing planning efforts

Score

**8. For FY 2011, a facility assessment must comprehensively address three priority areas:**

- Architectural plans developed
- Permits are in place
- Proposed Investment explanation, including design criteria to address the identified hazards and threats

**Do the deficiencies mentioned in the facility assessment address all three aforementioned priority areas?**

- 0 = The applicant addressed **none of the three** facility assessment priority areas
- 1 = The applicant addressed **one of the three** facility assessment priority areas
- 2 = The applicant addressed **two of the three** facility assessment priority areas
- 3 = The applicant addressed **all three** of the facility assessment priority areas

Score

*V. Pre-Existing Planning (Total of 9 possible points)*

**9. Does the applicant describe how the Facility Assessment and Hazard –Resistance Guidance was utilized as part of the pre-existing planning?**

- 0 = **No**, the applicant **does not** describe how the Facility Assessment and Hazard –Resistance Guidance was utilized as part of the pre-existing planning
- 1 = **Yes**, the applicant **does** describe how the Facility Assessment and Hazard –Resistance Guidance was utilized as part of the pre-existing planning

Score

**10. How well did the applicant describe any current activities that have taken place relative to rectifying the deficiencies or needs identified in the assessment?**

- 0 = The applicant **did not** describe any current activities that have taken place relative to rectifying the deficiencies or needs identified in the assessment
- 1 = The applicant **poorly** described any current activities that have taken place relative to rectifying the deficiencies or needs identified in the assessment
- 2 = The applicant **partially** described any current activities that have taken place relative to rectifying the deficiencies or needs identified in the assessment
- 3 = The applicant **satisfactorily** described any current activities that have taken place relative to rectifying the deficiencies or needs identified in the assessment
- 4 = The applicant **fully** described any current activities that have taken place relative to rectifying the deficiencies or needs identified in the assessment

Score

*VI. Funding Plan (Total of 4 possible points)*

**11. Did the applicant provide a funding plan?**

- 0 = No (please proceed to question 13)
- 1 = Yes (please proceed to question 12)

Score

**12. Did the applicant make funding requests that are reasonable and justified by direct linkages to activities outlined in the Investment?**

- 0 = The applicant **did not provide** funding requests that are reasonable and justified by direct linkages to activities outlined in the Investment
- 1 = The applicant **did provide funding requests**, but there were **no direct linkages** to activities outlined in the Investment
- 2 = The applicant **provided funding requests that were** reasonable and **justified by direct linkages** to activities outlined in the Investment

Score

**13. Did the applicant complete and attach the SF 424C form?**

- 0 = **No**, the applicant **did not** complete and attach the SF 424C form
- 1 = **Yes**, the applicant **completed and attached** the SF 424C form

Score

*VII. Funding Sources (Total of 4 possible points)*

**14. Was a supplemental funding description provided (Unscored)?**

- No** No, a supplemental funding description was not provided (please proceed to question 16)
- Yes** Yes, a supplemental funding description was provided (please proceed to question 15)

VII. Funding Sources (Total of 4 possible points)

15. How well did the applicant describe any additional funding sources that will be utilized for implementation and/or continued sustainment of the Investment?

- 0 = The applicant **did not** describe any additional funding sources that will be utilized for implementation and/or continued sustainment of the Investment
- 1 = The applicant **poorly** described any additional funding sources that will be utilized for implementation and/or continued sustainment of the Investment
- 2 = The applicant **partially** described any additional funding sources that will be utilized for implementation and/or continued sustainment of the Investment
- 3 = The applicant **satisfactorily** described any additional funding sources that will be utilized for implementation and/or continued sustainment of the Investment
- 4 = The applicant **fully** described any additional funding sources that will be utilized for implementation and/or continued sustainment of the Investment

Score

16. Was a rationale provided as to why the requested FY 2011 EOC Grant Program funding is sufficient for the implementation and sustainment of the Investment?

- 0 = The applicant **did not** provide a rationale relative to additional funding sources that will be utilized for implementation and/or continued sustainment of the Investment
- 1 = The applicant provided a **poor** rationale relative to additional funding sources that will be utilized for implementation and/or continued sustainment of the Investment
- 2 = The applicant provided a **fair** rationale relative to additional funding sources that will be utilized for implementation and/or continued sustainment of the Investment
- 3 = The applicant provided a **satisfactory** rationale relative to additional funding sources that will be utilized for implementation and/or continued sustainment of the Investment
- 4 = The applicant provided an **excellent** rationale relative to additional funding sources that will be utilized for implementation and/or continued sustainment of the Investment

Score

VIII. Investment Challenges (Total of 4 possible points)

17. Were potential Investment challenges identified with an indication of a probability of occurrence?

- 0 = **No**, Investment challenges **were not** identified with an indication of probability of occurrence
- 1 = **Yes**, Investment challenges **were** identified with an indication of a probability of occurrence

Score

18. In addressing Investment challenges, applicants should fulfill the following three objectives:

- List and describe the necessary steps and stages that will be required for successful implementation of the Investment
- Identify areas of possible concern or potential pitfalls in terms of Investment implementation
- Explain why those areas present the greatest challenge to a successful Investment implementation

Did the applicant's response fulfill all three objectives?

- 0 = The applicant's response **did not fulfill any of the three** aforementioned areas of emphasis
- 1 = The applicant's response fulfilled **one of the three** aforementioned areas of emphasis
- 2 = The applicant's response fulfilled **two of the three** aforementioned areas of emphasis
- 3 = The applicant's response fulfilled **all three** aforementioned areas of emphasis

Score

*IX. Project Management (Total of 2 possible points)*

**19. The applicant should describe, at a high-level, the roles and responsibilities of the management team, governance structures, and subject matter expertise required to both manage AND implement the Investment.**

**Did the response fulfill both of these objectives (management AND implementation)?**

- 0 = The response **did not** describe management team roles and responsibilities, governance structure, and necessary subject matter expertise required to fulfill both objectives
- 1 = The response described the management team roles and responsibilities governance structure, and subject matter expertise required to **fulfill one of the two objectives (management OR implementation)**
- 2 = The response described the management team roles and responsibilities, governance structure, and subject matter expertise required to **fulfill both objectives (management AND implementation)**

Score

*X. Milestones (Total of 3 possible points)*

**20. A description of major milestones should fulfill three objectives:**

- Identify the **planned start date** associated with the identified milestone
- Identify the **planned completion date** when all actions related to the milestone will be completed and overall milestone outcome is met
- List any relevant information that will be critical to the successful completion of the milestone. Did the description of the major milestones fulfill all 3 objectives?

**Did the description of the major milestones fulfill all three objectives?**

- 0 = The description fulfilled **none of the three** aforementioned objectives
- 1 = The description fulfilled **one of the three** aforementioned objectives
- 2 = The description fulfilled **two of the three** aforementioned objectives
- 3 = The description fulfilled **all three** aforementioned objectives

Score

*Total Score*

**Total Investment Justification Score:**

Based on a possible score of 40, this Investment Justification scored a