



U.S. DEPARTMENT OF HOMELAND SECURITY

**FISCAL YEAR 2011**

**TRIBAL 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 Tribal Homeland Security Grant Program (THSGP)

**Funding Opportunity Number:** DHS-11-GPD-067-000-01

**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 THSGP Guidance Kit.** Due to continued stakeholder feedback and recommendations, GPD has reformatted its FY 2011 THSGP 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 THSGP, whereas *Section II* is intended to help grantees in understanding the rules and regulations associated with administering federally-funded grant awards.
- **Priorities for FY 2011 DHS/FEMA Preparedness Grant Programs.** DHS and FEMA leadership have identified a priority which grantees are strongly encouraged to consider when developing their FY 2011 DHS/FEMA Preparedness Grant Program plans. This priority is – *Advancing “Whole Community” Security and Emergency Management* – and is 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 THSGP 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.
- **Optional 25 percent (25%) Cost Match.** In FY 2011, grantees may include an optional 25 percent (25%) cost match for each Investment. **Note: no extra points will be added to the effectiveness score for including a cost match.**
- **Self-Certification of Eligibility.** In FY 2011, applicants will self certify whether they meet the eligibility requirements outlined in the 9/11 Act. Self-certification will be

completed on the THSGP Eligibility Certification Form in the Investment Justification template.

- **Revised Scoring Methodology.** Due to the competitive nature of this program, applicants that have not received prior funding under THSGP will receive an extra five (5) points for each Investment.
- **Tribal Training Point of Contact (TPOC).** After the award is accepted, each Tribal grantee must designate a point of contact who will be responsible for coordinating attendance at State and Federal training events.
- **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 THSGP. Prior to allocating grant funding for stockpiling purposes, each Tribe 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.

# CONTENTS

Contents.....	3
Part I. FUNDING OPPORTUNITY DESCRIPTION.....	4
Part II. AWARD INFORMATION .....	6
A.    Funding Guidelines .....	7
Part III. ELIGIBILITY INFORMATION .....	17
A.    Eligible Applicants.....	17
B.    Governance .....	18
Part IV. APPLICATION AND SUBMISSION INFORMATION .....	19
A.    Address to Request Application Package .....	19
B.    Content and Form of Application .....	19
C.    Environmental and Historic Preservation Compliance .....	21
D.    Submission Dates and Times .....	21
Part V. APPLICATION REVIEW INFORMATION .....	22
A.    Review Criteria.....	22
B.    Review and Selection Process .....	22
C.    Anticipated Announcement and Award Dates .....	23
D.    Intergovernmental Review .....	23
Part VI. OTHER INFORMATION .....	24

## PART I.

# FUNDING OPPORTUNITY DESCRIPTION

Fiscal Year (FY) 2011 Tribal Homeland Security Grant Program (THSGP) is one tool among a comprehensive set of measures 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 guidance for Tribal applicants and includes: (1) an overview of the THSGP 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 *Homeland Security Act of 2002*, as amended by Section 101 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (hereafter “9/11 Act”), 6 U.S.C. §606, eligible Tribes are able to apply directly for THSGP funding.<sup>1</sup> This guidance is meant to provide clear direction for those eligible Tribes seeking to apply for THSGP funding.

### ***Priority for FY 2011***

DHS and FEMA leadership have identified one priority which grantees are encouraged to consider when developing their FY 2011 Preparedness Grant Program plans. This priority is:

### ***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 enable a baseline understanding of the risks the whole community faces, to facilitate efforts to identify capability and resource gaps, to focus capability improvements, and to inform the community of actions they can take to reduce their threats and risk grantees

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<sup>1</sup> Eligible Tribes may apply directly to FEMA for THSGP funding. Applying for, or receiving, THSGP funds does not preclude grantees from requesting regular SHSP funding from their respective State Administrative Agency (SAA) as long as the projects contained within each application are not the same.

should develop a hazard, threat and risk assessment as part of the Investment Justification (IJ).

***National Preparedness Guidelines***

DHS published the eight National Priorities in the *National Preparedness Guidelines* that 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](http://www.fema.gov/pdf/emergency/nrf/National_Preparedness_Guidelines.pdf).

***Consolidation of Law Enforcement Terrorism Prevention-oriented Activities***

Consistent with the 9/11 Act, Tribes are required to ensure that at least 25 percent (25%) of THSGP appropriated funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.

***Governance***

Homeland security partners should examine how they integrate preparedness activities across disciplines, agencies, and levels of government, including State, territory, 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 can be effectively utilized in a collaborative manner to support the enhancement of overall capabilities.

The FY 2011 THSGP re-emphasizes the importance of creating or utilizing existing governing bodies to act on this guidance and coordinate grant resources. Examples include: State, regional, local, Tribal, and Urban Area Senior Advisory Committees, Working Groups, Interoperability Governing Boards, Area Maritime Security Committees, Citizen Corps Councils, and leadership from local Metropolitan Medical Response System (MMRS) communities.

## PART II.

# AWARD INFORMATION

### **Authorizing Statutes**

Sections 2004 and 2005 of the *Homeland Security Act of 2002*, as amended by Section 101 of the *Implementing Recommendations of the 9/11 Commission Act of 2007*, 6 U.S.C. 605-606, authorized funds to be allocated towards tribes. The *Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10)* authorized the FY 2011 THSGP funding.

### **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 \$10,000,000. The FY 2011 THSGP funds will be allocated based on Tribal eligibility per the 9/11 Act (self-certified), and the effectiveness of the applicant's THSGP Investment Justification (as determined through a peer review process).

### **Award History**

In an effort to assist with FY 2011 planning and application development, the table below provides a historical overview of THSGP application submissions and funding.

	FY 2008	FY 2009	FY 2010
Total Funds Available	\$1,645,000	\$1,788,000	\$10,000,000
Number of Applications Received	17	20	48
Number of Applications Funded	12	13	24
Average Award Amount	\$137,083	\$137,538	\$416,667

### **Cost Match**

In FY 2011, grantees may provide an optional 25 percent (25%) cost match. A grantee's willingness to contribute an optional cost match will **not** impact application scores. Grantee contributions must be from non-Federal sources. The grantee's contribution may be met through cash or in-kind contributions.

FEMA administers cost matching 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.

## **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.

In administering the FY 2011 THSGP grant award, the Tribe must comply with the following general requirements:

- 1. THSGP Priorities Threshold.** As noted before, FY 2011 THSGP applies to all capabilities with an emphasis on the eight National Priorities.
- 2. Law Enforcement Terrorism Prevention.** Per the 9/11 Act, Tribal grantees are required to ensure that at least 25 percent (25%) of THSGP award funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.
- 3. Management and Administration (M&A) Limits.** A maximum of up to five percent (5%) of funds awarded may be retained by the Tribal grantee, and any funds retained are to be used solely for management and administration purposes associated with the THSGP award.
- 4. Allowable Costs.** The following pages outline global allowable costs guidance applicable to THSGP.

Allowable Investments made in support of the THSGP Priorities as well as other capability-enhancing projects must fall into the categories of planning, organization, equipment, training, 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 prior to making any Investment that does not clearly meet the allowable expense criteria established by the guidance.

## Planning Activities

Planning efforts can include the prioritizing of needs, building capabilities, updating preparedness strategies, allocating resources, and delivering preparedness programs across disciplines (e.g., 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.

Planning activities should focus on the four homeland security mission areas of prevention, protection, response, and recovery. All jurisdictions are encouraged to work through Citizen Corps Councils, nongovernmental entities, and the general public in planning activities.<sup>2</sup> Tribes are encouraged to include disciplines responsible for the health, safety, education, and care of infants and children and those responsible for integrating the accessibility and functional needs of children and adults with disabilities. 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](http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf).

## Organization Activities

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:

- Paying salaries and benefits for personnel to serve as qualified intelligence analysts
- 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

Tribes must justify proposed expenditures of THSGP funds to support organization activities within their Investment Justification submission by using historical data or other analysis.<sup>3</sup> All Tribes are allowed to utilize up to 50 percent (50%) of their FY 2011 THSGP funding for personnel related costs, which include organizational activities, as directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412).<sup>4</sup> At the request

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<sup>2</sup> Nongovernmental entities include the private sector, private nonprofits, faith-based, community, volunteer, and other nongovernmental organizations.

<sup>3</sup> 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.

<sup>4</sup> Both organizational costs (e.g., intelligence analysts, operational overtime) and planning, equipment, training, exercise personnel costs are applied towards the 50 percent (50%) personnel cap.

of a grantee of a grant, the Administrator may grant a waiver of the limitation noted above (50 percent).

- **Intelligence Analysts** – Per the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412), THSGP 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 THSGP 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 local, State, and/or Tribal law enforcement intelligence unit
- **Overtime costs.** Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to 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 Tribal 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.

### **Equipment Activities**

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 and Building Prevention and Protection Capabilities. The 21 allowable prevention, protection, response, and recovery equipment categories and equipment standards for FY 2011 THSGP 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 THSGP 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 during any periodic programmatic grant reports.

### **Training Activities**

Tribes are strongly encouraged to use THSGP funds to develop or enhance a Tribal homeland security training program. Allowable training-related costs under THSGP include the establishment, support, conduct, and attendance of training specifically identified under THSGP and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS, DOT). Allowable training topics include, but are not limited to, CBRNE, terrorism, cyber/agriculture/food security, intelligence gathering and analysis, NIMS-related training, citizen and community preparedness, and interoperable and emergency communications. Additional training topics should include training for volunteers, infants and children, and individuals with disabilities in disasters, pediatric medical surge, and evacuation and sheltering with particular emphasis on children, keeping children with parents or guardians, addressing needs of unaccompanied minors, and integrating the accessibility and functional needs of children and adults with disabilities (see CPG 101). All training procured under THSGP 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.

Training conducted using THSGP 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 should be identified in the AAR/IP. All training and exercises conducted with THSGP funds should support the development and testing of the jurisdiction's Emergency Operations Plan (EOP) or specific annexes, where applicable they may also include development of plans tied to the 15 national planning scenarios, or other Tribe-specific planning scenarios.

### **Exercise Activities**

Exercises implemented with grant funds should evaluate performance of the capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program located at <https://hseep.dhs.gov>. Tribes are encouraged to exercise their capabilities with regards to infants and children across all aspects of response and recovery, including medical surge capabilities and integrating the accessibility and functional needs of children and adults with disabilities. HSEEP Guidance for exercise design, development, conduct, evaluation, and improvement planning is located at <https://hseep.dhs.gov>. The HSEEP Library provides sample exercise materials and templates.

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

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](mailto:hseep@dhs.gov). Please ensure the documents are encrypted (password-protected) and the password is also sent to [hseep@dhs.gov](mailto: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).

### **Personnel Activities**

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

- A personnel cap of up to 50 percent (50%) of total THSGP program funds may be used for personnel activities as directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412). Once a grant is awarded, grantees who wish to seek a waiver from the personnel 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 THSGP funding to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost. Activities that are considered “personnel,” and therefore count against the personnel 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
- 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

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

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

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

- **Hiring** – Tribal 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 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 full-time equivalent 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**

Use of THSGP 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. 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 THSGP 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 deobligated. 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 Activities Allowable Costs**

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:

- Overtime expenses consistent with a homeland security plan, including enhanced operations in support of Federal agencies, border security, and border crossing enforcement
- Subject to the limitations on organization and personnel costs outlined above, overtime expenses consistent with a 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, 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
- Any other terrorism prevention activity authorized by the Administrator, pursuant to authority provided by Congress directly or delegated to the Administrator by the Secretary

### **Other Allowable Costs – Maintenance and Sustainment**

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) 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
- **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
- **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
- **User Fees.** User fees are viewed as costs for specific services required to maintain and provide 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

- **Implementation.** Planned or actual expenditures for maintenance contracts and warranties, repair and replacement costs, upgrades and user fees must be reflected in the Initial Strategy Implementation Plan (ISIP) or Biannual Strategy Implementation Report (BSIR).

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

### **Other Allowable Costs – 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 THSGP. Prior to allocating grant funding for stockpiling purposes, each Tribe 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 THSGP. GPD and LMD will establish guidelines and requirements for the purchase of these supplies under THSGP and monitor development and status of the Tribe's inventory management plan and distribution strategy. Linkages between specific projects undertaken with THSGP funds and strategic goals and objectives will be highlighted through regular required reporting mechanisms, including the Biannual Strategy Implementation Report (BSIR).

### **Other Allowable Costs - Secure Identification**

In addition to the expenditures outlined above, THSGP funds may be used to support the development and production of enhanced Tribal documents (e.g., Enhanced Tribal Cards [ETCs]) designed to meet the requirements of the Western Hemisphere Travel Initiative (WHTI). More information on the WHTI may be found at [http://www.dhs.gov/files/programs/gc\\_1200693579776.shtm](http://www.dhs.gov/files/programs/gc_1200693579776.shtm) or [http://www.getyouhome.gov/html/eng\\_map.html](http://www.getyouhome.gov/html/eng_map.html).

When completing the Investment Justification Template, please refer to [http://www.fema.gov/pdf/emergency/nrf/National\\_Preparedness\\_Guidelines.pdf](http://www.fema.gov/pdf/emergency/nrf/National_Preparedness_Guidelines.pdf) for a list of the National Priorities and Target Capabilities that best fit the proposed activities and costs. If you need further assistance in determining the National Priorities and Target Capabilities that fit your proposed WHTI project, please contact the Centralized Scheduling and Information Desk (CSID) by phone at (800) 368-6498 or by e-mail at [AskCSID@dhs.gov](mailto:AskCSID@dhs.gov), Monday through Friday, 8:00 a.m. – 6:00 p.m. EST.

## PART III.

# ELIGIBILITY INFORMATION

### A. Eligible Applicants

In order to be eligible to receive THSGP funding, grantees must be considered “directly eligible Tribes.” Per the 9/11 Act, the term “directly eligible Tribe” means –

- (A) any Indian Tribe –
  - (i) that is located in the continental United States;
  - (ii) that operates a law enforcement or emergency response agency with the capacity to respond to calls for law enforcement or emergency services;
  - (iii)
    - (I) that is located on or near (50 miles) an international border or a coastline bordering an ocean (including the Gulf of Mexico) or international waters (excluding shoreline border around the Great Lakes);
    - (II) that is located within 10 miles of a system or asset included on the prioritized critical infrastructure list established under section 210E(a)(2) [please refer to section 1001 of the 9/11 Act] or has such a system or asset within its territory;
    - (III) that is located within or contiguous to 1 of the 50 most populous metropolitan statistical areas in the United States; or
    - (IV) the jurisdiction of which includes not less than 1,000 square miles of Indian country, as that term is defined in section 1151 of title 18, United States Code; and
  - (iv) that certifies to the Secretary that a State has not provided funds under section 2003 [UASI] or 2004 [SHSP] to the Indian Tribe or consortium of Indian Tribes for the purpose for which direct funding is sought; and
- (B) a consortium of Indian Tribes, if each Tribe satisfies the requirements of subparagraph (A).

In summary, eligible Tribes must meet the requirements set forth in (A) (i), and (A) (ii), and (A) (iv). Tribes must also meet one of the requirements set forth in (A) (iii); either (A) (iii) (I), or (A) (iii) (II), or (A) (iii) (III), or (A) (iii) (IV). Finally, (B) may also be satisfied, if each Tribe satisfies the requirements of subparagraph (A).

In FY 2011, applicants must self-certify as to whether they meet the eligibility requirements. Self-certification will be provided on the THSGP Eligibility Certification Form as part of Application Investment Justification. Any questions regarding an applicant’s proximity to a Critical Infrastructure and Key Structures (CI/KR) site, as described in the eligibility criteria, may be directed to the State Administrative Agency

(SAA). Any additional questions regarding the overall self-certification of eligibility process may be directed to the Centralized Scheduling and Information Desk (CSID). CSID can be reached by phone at (800) 368-6498 or by e-mail at [AskCSID@dhs.gov](mailto:AskCSID@dhs.gov), Monday through Friday, 8:00 a.m. – 6:00 p.m. EST.

## **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 has advised State, local, and Tribal nation governments to self assess their respective progress relating to NIMS implementation objectives in the NIMS Compliance Assistance Support Tool (NIMSCAST).<sup>5</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 concerning NIMS implementation for States, Tribal nations, local governments, nongovernmental organizations, and the private sector is available through the National Integration Center (NIC) at FEMA's NIMS Resource Center at [www.fema.gov/nims](http://www.fema.gov/nims).

State, local, and Tribal 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 [www.fema.gov/emergency/nims/NIMSTrainingCourses](http://www.fema.gov/emergency/nims/NIMSTrainingCourses).

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

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<sup>5</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).

## 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 <http://www.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 10, 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
- THSGP Investment Justification (Office of Management and Budget [OMB] Number 1660-0113/FEMA Form 089-22)
  - see *Part VI* – THSGP Application “Investment Justification” Template and Instructions for a description of the IJ and the IJ submission process

The program title for the THSGP (formerly known as State Homeland Security Program Tribal) listed in the CFDA is “State Homeland Security Program Tribal”. 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 (IJ).** As part of the FY 2011 THSGP application process, 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 programs and capabilities. 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 the application kit. **Applicants will find additional information regarding the THSGP IJ template, FEMA Form 089-22 (OMB Number 1660-0113), in Part VI.**

### **C. Environmental and Historic Preservation Compliance**

FEMA is legally required to consider the potential impacts of all grant-funded projects on environmental resources and historic properties. For THSGP 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 THSGP 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](mailto: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

FY 2011 THSGP funds will be allocated based on two factors: Risk: Tribal eligibility per the 9/11 Act (self-certified) and Effectiveness: the score of the of the applicant's THSGP IJ (as determined through a peer review process).

With respect to the effectiveness criteria, THSGP IJ's will be evaluated through a peer review process for completeness, adherence to programmatic guidelines and the anticipated effectiveness of the proposed Investment(s). Only the information included in the IJ will be scored in the review process.

Due to the competitive nature of the THSGP, applicants who have not received funding in prior years will receive an additional five (5) points for each Investment.

Tribes are encouraged to participate as reviewers in the FY 2011 peer review process. The in-person THSGP Peer Review Conference will be hosted by GPD in Washington, DC during the week of July 11, 2011. FEMA GPD seeks peer reviewers who are:

- Applicants will self-certify to Tribal eligibility per the 9/11 Act
- Experienced professionals, including Native American Association leaders/members, with experience in Tribal relations as it relates to homeland security and/or emergency management
- Representative of a variety of disciplines relating to homeland security and/or emergency management
- Familiar with the peer review process

Participation in the process will provide reviewers the unique opportunity to gain insight into the evaluation process and to learn innovative ideas being utilized by their peers. Those interested in participating in the peer review process should contact the CSID. CSID can be reached by phone at (800) 368-6498 or by e-mail at [AskCSID@dhs.gov](mailto:AskCSID@dhs.gov), Monday through Friday, 8:00 a.m. – 6:00 p.m. EST.

Please refer to *Section I, Part VI – THSGP Application 'Investment Justification' Template and Instructions* for the IJ questions and scoring criteria.

### B. Review and Selection Process

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

- Applicants will self-certify to Tribal eligibility per the 9/11 Act
- FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of an IJ by the established due dates
- Eligible applications will be reviewed and scored through a peer review process to analyze the anticipated effectiveness of proposed Investments
- FEMA will use the results of the peer review effectiveness scores to make recommendations for funding to the Secretary of Homeland Security

*Note: Upon award, THSGP grantees may only fund Investments that were included in the FY 2011 IJs that were submitted to FEMA and evaluated through the peer review process.*

Funds will not be made available for obligation, expenditure, or drawdown until the applicant's budget and budget narrative have been approved by FEMA.

### **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. THSGP Allowable Expenses

#### Overview

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

#### Planning Activities Information

There are five broad categories of allowable planning costs. Following are examples of allowable costs for each of the categories. As noted on page five, an emphasis of this year's grant is to enhance and expand capabilities through partnerships. 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 scenario plans that incorporate the range of prevention, protection, response, and recovery activities for a scenario
- 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
  - Costs associated with the adoption, implementation and adherence to NIMS compliance requirements; including implementing the NIMS National Credentialing Framework
  - Modifying existing incident management and Emergency Operations Plans (EOPs) to ensure proper alignment with the National Response Framework (NRF) coordinating structures, processes, and protocols
  - Establishing or enhancing mutual aid agreements
  - Developing communications and interoperability protocols and solutions
  - Conducting Tribal program implementation meetings
  - Developing or updating resource inventory assets in accordance to Resource Type Definitions developed and published by the National Integration Center (NIC)
  - Designing Tribal geospatial data systems
  - Conducting public education and outreach campaigns, including promoting individual, family and business emergency preparedness;

- alerts and warnings education; and evacuation plans as well as improvised explosive device (IED) or bombing prevention awareness
  - Developing and producing enhanced Tribal documents (e.g., Enhanced Tribal Cards (ETCs)) designed to meet the requirements of the Western Hemisphere Travel Initiative (WHTI)
- Developing related terrorism prevention activities including:
  - 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
  - Hiring an IT specialist to plan, develop, and implement the IT applications necessary to share information with a fusion center
  - Participating in information/intelligence sharing groups
  - Integrating and coordinating the sharing of information with the private sector
  - Acquiring systems allowing connectivity to Federal, local, State, and Tribal, 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 the first responder community, including EMS for response to catastrophic events and acts of terrorism
  - Conducting public education campaigns, including promoting individual, family, and business emergency preparedness, promoting the *Ready* campaign, and/or creating State, regional, local, or Tribal preparedness efforts that build upon the *Ready* campaign. Information on the *Ready* campaign can be found online at <http://www.ready.gov/>
  - 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)<sup>6</sup>
  - 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

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<sup>6</sup>The tribal entity should examine current bombing prevention and explosive device response capabilities as an important risk reduction activity. An explosive device recognition capability analysis can assist in determining opportunities for increasing the capability to execute steady state and threat initiated tasks to prevent and respond to a bombing incident.

- Developing, enhancing, maintaining a current EOP that conforms to the guidelines outlined in the CPG 101 v.2
- Developing or enhancing Tribal strategic or tactical interoperable emergency communications plans
- Developing protocols or standard operating procedures (SOPs) for specialized teams to incorporate the use of equipment acquired through this grant program
- Developing terrorism prevention/deterrence plans
- Developing plans, procedures, and requirements for the management of infrastructure and resources related to THSGP and implementation of 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 victims
- 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
- Developing or enhancing continuity of operations (COOP) 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 or enhancing evacuation plans
  - Developing mechanisms for utilizing the National Emergency Family Registry and Locator System (NEFRS)
- Developing or enhancing citizen surge capacity
- 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

- 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 access and functional needs populations
- Developing and implementing civil rights, civil liberties and privacy policies, procedures, and protocols
- Designing and developing Tribal geospatial data systems
- 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 Tribal level
  - Developing border security operations plans in coordination with U.S. Customs and Border Patrol (CBP)
  - 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 State, local, and Tribal 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
  - Conducting community assessments, surveys, and research of vulnerabilities and resource needs, and determine citizen education and participation to meet the needs
  - Soft target security planning (e.g., public gatherings)

## Training Information and Requirements

1. **Tribal Training Point of Contact (TPOC).** After the award is accepted, each Tribal grantee must designate a point of contact who will be responsible for coordinating attendance at State and Federal training events. The Tribal TPOC must contact the CSID to provide the name and position of the Tribal TPOC. CSID can be reached by phone at (800) 368-6498 or by e-mail at [AskCSID@dhs.gov](mailto:AskCSID@dhs.gov), Monday through Friday, 8:00 a.m. – 6:00 p.m. EST.

2. **Training Information Reporting System (“Web-Forms”).** Web-Forms is an electronic form/data management system built to assist Tribes and their designated Tribal TPOC with the reporting of State and Federal sponsored training supported by THSGP funds. Web-Forms are utilized by the Tribal TPOC and can be accessed through the FEMA Toolkit located at <http://www.firstrespondertraining.gov/admin>.
3. **Types of Training.** FEMA facilitates a host of different training sources:
- **FEMA Provided Training.** These courses or programs are developed and/or delivered by institutions and organizations funded directly by FEMA. This includes the Center for Domestic Preparedness (CDP), Emergency Management Institute (EMI), the National Domestic Preparedness Consortium (NDPC), National Fire Academy, the Rural Domestic Preparedness Consortium (RDPC), and FEMA Training Partners funded through the Competitive and Continuing Training Grant programs.
  - **Online Course Catalog (OCC).** The complete National Preparedness Directorate (NPD) / National Training and Education (NTE) course catalog for NTE’s CPD, EMI, and NTED can be accessed at <http://training.fema.gov/occ/>.
  - **Training Not Provided by FEMA.** Tribes may attend State or Federal sponsored courses under the provision that the course deliveries fall within the FEMA mission scope to prepare personnel to prevent, protect against, respond to, and recover from acts of terrorism or catastrophic events.
  - **Federal Sponsored Courses.** These courses developed for and/or delivered by institutions funded by Federal entities other than FEMA.
  - **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 State or their designated TPOC.
  - **Approved State and Federal Course Catalogs.** These catalogs list State and Federal sponsored courses that State, territorial, local, and Tribal officials can attend and 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/>.

**FEMA Provided Training.** FEMA funds the direct delivery of a variety of courses that Tribes can request to meet training needs. These courses are listed in the FEMA approved course catalog listed at <http://www.firstrespondertraining.gov/>.

Each FEMA training partner should be directly contacted by the designated Tribal TPOC to schedule direct deliveries of course in locations that are appropriate for the training. When the direct delivery funds are exhausted, the training partner can continue to offer the classes to Tribes 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 Tribes while enhancing FEMA's training delivery capability and complementing the current training partner pool. Funding from previous fiscal years **may** be used to support a Tribe's implementation of this program. Through VTEP, the Tribe has the authority to adopt various National Training and Education Division provided programs for delivery by institutions within its jurisdictions, and designate institutions as recognized providers for the identified standardized curriculum.

EDAP allows a FEMA 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 Tribes pay for the cost of instruction only, not the curriculum development costs that were paid by FEMA training grant funds. THSGP funds can be used to pay for the delivery of these classes to a Tribe.

**Attending Training Not Provided by FEMA (State or Federal Sponsored Courses).** State, territorial, local, and Tribal governments 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 Tribe TPOC and falls within the FEMA mission scope and the Tribe's EOP and strategy of preparing personnel or citizens to prevent, protect against, respond to, and recover from acts of terrorism or catastrophic events.

Tribal TPOC's will submit attendance data into Web-Forms on all training not provided by FEMA, but supported with THSGP funds. This information will consist of the course title, course description, mission area, level of training, training provider, date of the course, number and associated disciplines of the individuals, and sponsoring jurisdiction. Tribes intending to use THSGP funds to support attendance at training not provided by FEMA must ensure these courses:

- Fall within the FEMA mission scope to prepare Tribes 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 Tribe, and (b) comport with the State, Tribe, or territory 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 THSGP for which the funding will be used
- Comport with all applicable Federal, State, local, and Tribal regulations, certifications, guidelines, and policies deemed appropriate for the type and level of training

In support of the continuing efforts to build common catalogs of approved training not provided by FEMA, the Tribal TPOC will be allowed three deliveries of the same course within their respective before the course is required to go through the FEMA 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 by FEMA will be added to either the 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/Tribe. A full description of the FEMA Course Development, Review, and Approval Process, as well as the approved course catalogs, can be found at <http://www.firstrespondertraining.gov/>.

FEMA 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 Tribal plan and the Tribe should submit the full course package for subject matter expert review and comment
- Course concept is disapproved as inconsistent with the Tribal 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 Tribal 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 Tribe Sponsored Catalog) for review. If a class on the same subject is already in the catalog, the submitting Tribe 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 and/or Tribes to share course development costs, permit all States and Tribes to have access to new or unique courses developed by other providers, and allow States and Tribes 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 (Tribal 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, Tribal TPOCs are encouraged to review the FEMA Strategy for Blended Learning and access the Responder Training Development Center (RTDC) available at <http://www.firstrespondertraining.gov/>.

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 Tribal 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.

### **Allowable Training Costs**

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

- **Developing, Delivering, and Evaluating Training** – This includes costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, 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 local or State unit(s) of 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 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** – Full or part-time staff may be hired to support training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the Tribe and have the approval of the awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses. In no case is dual compensation allowable (see above).
- **Certification/Recertification of Instructors** – Certification and/or recertification of instructors is an allowable cost. Tribes are encouraged to follow the FEMA 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.

### **Exercise Requirements**

1. **Training and Exercise Plan Workshop.** Tribes are required to conduct an annual Training and Exercise Plan Workshop (TEPW) in accordance with HSEEP Guidance located at <https://hseep.dhs.gov>. Such plans should take into consideration anticipated training and exercise needs of the Tribe for at least the immediate year, with exercises being limited to provide responders the opportunity to utilize training received. In lieu of a Tribal TEPW, Tribes may

participate in a State and/or regional TEPW if coordinated with the appropriate State(s) in advance. A Multi-year Training and Exercise Plan (TEP) must be produced from the T&EPW and submitted to the Tribe's respective Exercise Manager and Program Analyst. This plan must be updated annually. The plan and the schedule must be submitted to [hseep@dhs.gov](mailto:hseep@dhs.gov) within 90 days of the TEPW, and should reflect all exercises that are being conducted by the Tribe. Please ensure the documents are encrypted (password-protected) and the password is also sent to [hseep@dhs.gov](mailto:hseep@dhs.gov) via a separate email. All scheduled training and exercises must be entered in the National Exercise Schedule (NEXS) located in the HSEEP Toolkit on the HSEEP website <https://hseep.dhs.gov>. A template of the Multi-year TEP may be found in the HSEEP Library located at <https://hseep.dhs.gov>.

Tribes must complete a cycle of exercise activity during the period of this grant. Tribes 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. Tribes are encouraged to share, at a minimum, the multi-year TEP with those departments, agencies, and organizations included in the plan, and TEPs must be coordinated with the appropriate State(s).

Further guidance concerning TEPWs can be found in the HSEEP Guidance.

- 2. Exercise Scenarios.** The scenarios used in THSGP-funded exercises must be based on the Tribe's Homeland Security Strategy and plans. Acceptable scenarios for THSGP 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 THSGP-funded exercises must focus on validating existing capabilities and be large enough in scope and size to exercise multiple tasks and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations. Exercise scenarios should also be based on the Multi-year TEP.

- 3. Special Event Planning.** If a Tribe will be hosting a special event (e.g., Super Bowl, G-8 Summit) they are approved to participate in a Tier I or Tier II exercise as approved by the National Exercise Program (NEP) Executive Steering Committee per the NEP Implementation Plan, they should plan to use State Homeland Security Program (SHSP) funding to finance training and exercise activities in preparation for those events. Tribes should also anticipate participating in at least one Regional Exercise annually. Tribes must include all confirmed or planned special events in the Multi-year TEP.

- 4. Exercise Evaluation.** All exercises will be capabilities and performance-based and evaluated using Exercise Evaluation Guides (EEGs) found on the HSEEP website at <https://hseep.dhs.gov>. An After-Action Report/Improvement Plan (AAR/IP) must be prepared and submitted to [hseep@dhs.gov](mailto:hseep@dhs.gov) within 90 days, following every exercise, regardless of type or scope. Please ensure the documents are encrypted (password-protected) and the password is also sent to [hseep@dhs.gov](mailto:hseep@dhs.gov) via a separate email. All applicants are encouraged to use the Lessons Learned Information Sharing System (LLIS) located at <http://www.llis.gov> as a source for lessons learned and to exchange best practices.
- 5. Self-Sustaining Exercise Programs.** Tribes 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 TEP, including the development and delivery of THSGP-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.
- 6. 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. Tribal 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, volunteer, and other non-governmental organizations. Non-governmental participation in exercises should be coordinated with the local Citizen Corps Council(s).

### **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 strongly encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities.
- **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. 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 local unit(s) of 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, TEPWs).
- **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).
- **Other Items.** These costs include the rental of equipment (e.g., portable toilets, tents), food, refreshments, gasoline, exercise signs, badges, etc.

### **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) 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 B. Allowable Planning, Training, and Exercise Examples Specific to Law Enforcement Terrorism Prevention-oriented Activities**

### **Planning Activity Examples**

- Developing mass evacuation plans
- Conducting point vulnerability analyses and assessments
- Soft target security planning (e.g., public gatherings)
- Developing border security operations plans in coordination with CBP
- Updating and refining threat matrices
- Integrating and coordinating the sharing of information with the private sector
- Developing and implementing civil rights, civil liberties and privacy policies, procedures, and protocols
- Acquiring systems allowing connectivity to data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate
- Designing and developing Tribal geospatial data systems
- Costs associated with the adoption, implementation, and adherence to NIMS compliance requirements including implementing the NIMS National Credentialing Framework

### **Training Activity Examples**

Law Enforcement Terrorism Prevention-oriented funds may be used for a range of law enforcement terrorism prevention related training activities to enhance the capabilities of Tribal personnel. A certificate of completion of all intelligence analyst training must be on file with the Tribe and must be made available to FEMA Headquarters Program Analysts upon request upon the hiring of personnel. 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)
- 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
- Utilizing National Virtual Translation Center (NVTC) services
- Joint training with other homeland security entities (e.g., U.S. Secret Service, CBP)
- Use of interoperable communications equipment
- Collection, analysis, mapping, integration, and dissemination of geospatial data and imagery
- Geospatial database use, design, development, and management training
- Volunteer participation to support law enforcement and community policing activities related to increased citizen awareness of terrorism activities, to include the Volunteers in Police Service and Neighborhood Watch programs

### **Exercise Activity Examples**

Law enforcement terrorism prevention-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 NIMS implementation. This includes costs associated with exercising components of the NIMS National Credentialing Framework.
- 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” (e.g., 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. Tribes should work with their Citizen Corps Councils to include volunteers from programs such as Volunteers in Police Service, Neighborhood Watch, and the general public. Tribes can find the contact information for their local Citizen Corps Councils at <http://www.citizencorps.gov/>.

## Section C. Investment Justification (IJ) Template

Tribes must use the Excel-based THSGP Investment Justification Template (OMB Number 1660-0113) for their FY 2011 THSGP application submission. If using a more recent version of Excel (e.g., Excel 2007) applicants should save the final version of the IJ in the Excel 2003 format before submitting. The THSGP Investment Justification Template can be found at <http://www.fema.gov/grants> or <http://www.grants.gov>.

When applying for THSGP funding, it is recommended that Tribes use the name of the Tribe as listed in the Federal Register, which can be found at <http://www.bia.gov/idc/groups/xraca/documents/text/idc011463.pdf>. Applicants can also contact the Centralized Scheduling and Information Desk (CSID) to confirm the Tribe name as listed in the Federal Register. CSID can be reached by phone at (800) 368-6498 or by e-mail at [AskCSID@dhs.gov](mailto:AskCSID@dhs.gov), Monday through Friday, 8:00 a.m. – 6:00 p.m. EST.

After the THSGP Investment Justification Template has been completed in Excel, please upload the Investment Justification Template as an attachment with the other required application materials (see *Section I, Part IV.B*) to <http://www.grants.gov> no later than 11:59 p.m. EDT **June 20, 2011**.

### FY 2011 THSGP Investment Justification Outline

Question	Response	Scoring Criteria
<b>I. Background (N/S)</b>		
I.A Provide the Tribe name	Short title (100 char. max.)	N/S
I.B Provide the Investment name:	Short title (100 char. max.)	
I.C Provide a baseline understanding of the spectrum of terrorism and natural hazard risks and demographics that the Tribe faces and influenced the development of this Investment Justification (IJ).	Narrative (2,500 char. max.)	
<b>II. Overview (25%)</b>		
II.A Identify the Investment as: If ongoing, describe the Investment's current state and what will be accomplished prior to the application of FY 2011 funds. <i>Please note, if this Investment is marked "New", please move to question II.B.</i>	<i>New, Ongoing</i>  Narrative (1500 char. max.)	N/S
II.B Identify if this Investment focuses on building new capabilities or the sustainment of existing capabilities	<i>Building, Sustainment</i>	
II.C Provide a description of this Investment, including the planning, organization, equipment, training, and/or exercises that will be involved.	Narrative (1500 char. max.)	The response provides a detailed description and clear understanding of various activities that will be supported by this Investment.
<b>III. Baseline (25%)</b>		
III.A Identify the goals and objectives that will be supported by this Investment. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i>	Narrative (1500 char. max.)	N/S
III.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 char. max.)	The response provides a clear understanding of existing capability levels and what capability gap(s) the Investment will address.
III.C Explain the capability gap(s) that this Investment is intended to address. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i>	Narrative (1500 char. max.)	

Question	Response	Scoring Criteria
<b>IV. Project Management and Milestones (25%)</b>		
IV.A Provide the proposed FY 2011 THSGP funding amount for this Investment.	Amount	N/S
IV.B Identify the amount and percentage of funding that will be dedicated to Management and Administration (M&A) expenditures. <i>Please note, M&amp;A cannot exceed XX percent (X%) of the total award amount.</i>	Amount/Percentage	N/S
IV.C If applicable, provide the proposed funding amount that is expected to be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA). <i>Please note, at least 25 percent (25%) of the total amount awarded to recipient must be dedicated towards LETPA.</i>	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.
IV.D 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.	Select all that apply and Amount	
IV.E Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.	Planning, Organization, Equipment, Training, Exercise	
IV.F Each grantee must submit a detailed budget narrative, in addition to SF-424A, explaining related costs and expenses as a part of the application. This budget narrative should be detailed and should serve to: (1) explain how the costs were estimated, and (2) justify the needs for the costs incurred to the measurable achievement outcomes as stated in the Investment Justification.	Narrative (1500 char. max.)	The response provides a clear explanation of how the funds will be utilized and demonstrates the need to achieve the outcomes.
IV.G 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:		The response also provides a clear description of projects/activities that will demonstrate progress towards achieving the Investment.
- Project Name	Short title (100 char. max.)	
- Funding Amount	Amount	
- Project Management Process	Initiate, Plan, Execute, Control, Close Out	
- Start Month/Year	Month/Year	
- End Month/Year	Month/Year	
IV.H Does this Investment require new construction or renovation, retrofitting, or modification of existing structures?	No/Yes	N/S
IV.I If desired, provide the optional cost match source and funding amount for this Investment. Ensure that the cost match amount entered on the SF-424 and SF-424 A forms equals the total cost match amount for all Investments submitted as part of the IJ.	Narrative (1500 char. max.)	N/S
<b>V. Accomplishments and Impact (25%)</b>		
V.A Describe the outcomes that will be achieved as a result of this Investment. The outcomes should demonstrate improvements towards building capabilities described in Section III, Baseline.	Narrative (1500 char. max.)	The response provides a clear description of how the outcomes will be achieved during the FY 2011 THSGP period of performance. The response also describes how accomplishments will bridge capability gap(s) outlined in Section III, Baseline.
V.B Identify the National Priorities that are supported by this Investment:	Select all that apply	N/S

N/S: Not Scored