

**U.S. DEPARTMENT OF HOMELAND SECURITY
FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)
FY 2014 HOMELAND SECURITY GRANT PROGRAM (HSGP)**

OVERVIEW INFORMATION

Issued By

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

Catalog of Federal Domestic Assistance (CFDA) Number

97.067

CFDA Title

Homeland Security Grant Program

Program Title

Homeland Security Grant Program

Authorizing Authority for Program

Section 2002 of *The Homeland Security Act of 2002*, as amended (Pub. L. No. 107-296), (6 U.S.C. § 603)

Appropriation Authority for Program

The Department of Homeland Security Appropriations Act, 2014 (Pub. L. No. 113-76)

FOA Number

DHS-14-GPD-067-000-01

Key Dates and Time

Application Start Date:	03/18/2014
Application Submission Deadline Date:	05/23/2014 at 11:59:59 p.m. EDT
Anticipated Funding Selection Date:	07/26/2014
Anticipated Award Date:	No later than 09/30/14

Other Key Dates

Period of Performance Start Date:	09/01/2014
Period of Performance End Date:	08/31/2016

Intergovernmental Review

An intergovernmental review may be required. Applicants must contact their State's Single Point of Contact (SPOC) to comply with the State's process under Executive Order 12372 (see <http://www.fws.gov/policy/library/rgeo12372.pdf>). Name and addresses of the SPOCs are

maintained at the Office of Management and Budget's home page at http://www.whitehouse.gov/omb/grants_spoc to ensure currency.

FOA EXECUTIVE SUMMARY

The FY 2014 HSGP plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal (the Goal) of a secure and resilient Nation. The building, sustainment, and delivery of these core capabilities are not exclusive to any single level of government, organization, or community, but rather, require the combined effort of the whole community. The FY 2014 HSGP supports core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response, and Recovery based on allowable costs. HSGP is comprised of three interconnected grant programs:

- State Homeland Security Program (SHSP)
- Urban Areas Security Initiative (UASI)
- Operation Stonegarden (OPSG)

Together, these grant programs fund a range of preparedness activities, including planning, organization, equipment purchase, training, exercises, and management and administration.

Funding Category

Continuing

Date of Origin for Program

11/25/2002

Type of Funding Instrument

SHSP and UASI are mandatory grants;
OPSG is a discretionary grant

Application Process

The Department of Homeland Security makes all funding opportunities available through the common electronic “storefront” Grants.gov, accessible on the Internet at <http://www.grants.gov>. For details on how to apply through grants.gov, please read Section IX, “How to Apply.”

Eligible Applicants

State governments

FULL FUNDING OPPORTUNITY ANNOUNCEMENT

I. Funding Opportunity Description

A. Program Summary

The FY 2014 HSGP is comprised of three interconnected grant programs:

- **State Homeland Security Program (SHSP):** SHSP supports the implementation of risk driven, capabilities-based State Homeland Security Strategies to address capability targets set in Urban Area, State, and regional Threat and Hazard Identification and Risk Assessments (THIRAs). The capability targets are established during the THIRA process, and assessed in the State Preparedness Report (SPR) and inform planning, organization, equipment, training, and exercise needs to prevent, protect against, mitigate, respond to, and recover from acts of terrorism and other catastrophic events.
- **Urban Areas Security Initiative (UASI):** The UASI program addresses the unique risk driven and capabilities-based planning, organization, equipment, training, exercise needs, of high-threat, high-density Urban Areas based on the capability targets identified during the THIRA process and associated assessment efforts, and assists them in building an enhanced and sustainable capacity to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.
- **Operation Stonegarden (OPSG):** OPSG supports enhanced cooperation and coordination among local, Tribal, territorial, State, and Federal law enforcement agencies in a joint mission to secure the United States' borders along routes of ingress from international borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with international water borders.

All three programs are founded on risk-driven, capabilities-based strategic plans. These strategic plans outline capability requirements and inform how available funding may be applied to manage risk. For these plans to be effective, government officials and elected leaders, working with the whole community, must consider how to sustain current capability levels and address potential gaps to prevent, protect, mitigate, respond to, and recover from acts of terrorism and other disasters.

B. Program Priorities

The National Preparedness System is the instrument the Nation employs to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (the Goal) of a secure and resilient Nation. Complex and far-reaching threats and hazards require a collaborative and whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. The guidance, programs, processes, and systems that support each component of the National Preparedness System allows for the integration of preparedness efforts that build, sustain, and deliver core capabilities and achieve the desired outcomes identified in the Goal. The purpose of the HSGP is to prevent terrorism and to prepare the Nation for the threats and hazards that pose the

greatest risk to the security of the United States; therefore, HSGP funded investments must have a terrorism-nexus.

To evaluate National progress in building, sustaining, and delivering the core capabilities outlined in the Goal, FEMA annually publishes the National Preparedness Report (NPR). Looking across all 31 core capabilities outlined in the Goal, the NPR provides a National perspective on critical preparedness trends for whole community partners to use to inform program priorities, allocate resources, and communicate with stakeholders about issues of shared concern.

Grantees are expected to consider National areas for improvement identified in the 2013 National Preparedness Report, which include cybersecurity, recovery-focused core capabilities, the integration of individuals with access and functional needs, enhancing the resilience of infrastructure systems, and maturing the role of public-private partnerships. Addressing these areas for improvement will enhance preparedness Nation-wide.

In addition, the Department of Homeland Security expects grantees to prioritize grant funding to address gaps identified through the annual SPR in achieving capability targets set through the annual THIRA. These assessments identify the jurisdictions' capability targets and current ability to meet those targets. Grantees should prioritize grant funds to increase capability for high-priority core capabilities with low capability levels.

Minimum funding amounts are not prescribed by the Department for these priorities; however, grantees are expected to support state, local, regional, and National efforts in achieving the desired outcomes of these priorities.

Appendix B also includes other areas where funding can be applied to strengthen preparedness efforts.

II. Funding Information

A. Available funding for the FOA

\$1,043,346,000

HSGP Programs	FY 2014 Allocation
State Homeland Security Program	\$401,346,000
Urban Areas Security Initiative	\$557,000,000
Operation Stonegarden	\$55,000,000
Total	\$1,043,346,000

For details on program-specific funding amounts, refer to Appendix A – FY 2014 Program Allocations.

B. Period of Performance

Twenty-four (24) months

C. Extensions to the Period of Performance

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. Agencies should request extensions sparingly and expect extensions to be granted only under exceptional circumstances. For additional information on period of performance extensions, refer to Information Bulletin (IB) 379 located at <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>

D. Risk Methodology

Based upon the requirements of *the Homeland Security Act of 2002*, as amended, DHS continues to inform final grant allocation decisions based upon risk. DHS defines risk as: “potential for an unwanted outcome resulting from an incident, event, or occurrence, as determined by its likelihood and the associated consequences” (see <http://www.dhs.gov/xlibrary/assets/dhs-risk-lexicon-2010.pdf>). DHS utilizes a comprehensive risk methodology focused on three principal elements:

- *Threat* –likelihood of an attack being attempted by an adversary;
- *Vulnerability* – likelihood that an attack is successful, given that it is attempted; and
- *Consequence* – effect of an event, incident or occurrence

The risk methodology determines the relative risk of terrorism faced by a given area. It takes into account the potential risk of terrorism to people, critical infrastructure, and economic security. The threat analysis continues to account for threats from domestic violent extremists as well as international terrorist groups and those individuals inspired by terrorists abroad.

SHSP Allocations

FY 2014 SHSP funds will be allocated based on three factors: minimum amounts as legislatively mandated, DHS’ risk methodology, and anticipated effectiveness of proposed projects. The anticipated effectiveness is assessed based on the applicant’s description of how the proposed projects, as outlined in the Investment Justification (IJ), align with the State THIRA and SPR results. Each State and territory will receive a minimum allocation under SHSP using the thresholds established in the *Homeland Security Act of 2002*, as amended. All 50 States, the District of Columbia, and Puerto Rico will receive 0.35 percent of the total funds allocated for grants under *Section 2003 and Section 2004 of the Homeland Security Act of 2002*, as amended. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.08 percent of the total funds allocated for grants *under Section 2003 and 2004 of the Homeland Security Act of 2002*, as amended. For details on program-specific funding amounts, refer to Appendix A – FY 2014 Program Allocations.

UASI Allocations

FY 2014 UASI funds will be allocated based on DHS’ risk methodology and then on anticipated effectiveness of proposed projects. The anticipated effectiveness is assessed based on the applicant’s description of how the proposed projects, as outlined in the IJ, align with the Urban Area THIRA. Eligible candidates for the FY 2014 UASI program

have been determined through an analysis of relative risk of terrorism faced by the 100 most populous metropolitan statistical areas (MSAs) in the United States, in accordance with the Homeland Security Act of 2002, as amended. Detailed information on MSAs is publicly available from the United States Census Bureau at <http://www.census.gov/population/www/metroareas/metrodef.html>. For details on program-specific funding amounts, refer to Appendix A – FY 2014 Program Allocations.

OPSG Allocations

FY 2014 OPSG funds will be allocated based on risk-based prioritization using a U.S. Customs and Border Protection (CBP) Sector-specific border risk methodology. Factors considered include, but are not limited to: threat, vulnerability, miles of border, and other border-specific “law enforcement intelligence,” as well as feasibility of FY 2014 Operation Orders to designated localities within the United States Border States and territories. For details on program-specific funding amounts, refer to Appendix A – FY 2014 Program Allocations.

III. Eligibility Information

A. Eligibility Criteria

All 56 States, territories and Commonwealths are eligible to apply for SHSP funds. For those States, territories and Commonwealths that are eligible for UASI and/or OPSG funds, the State Administrative Agency (SAA) is the only entity eligible to submit applications to FEMA on behalf of UASI and OPSG applicants.

Eligible sub-recipients under the FY 2014 OPSG are local units of government at the county level and Federally-recognized Tribal governments in the States bordering Canada, States bordering Mexico, and States and territories with international water borders. All applicants must have active ongoing CBP operations coordinated through a sector office. Eligible States and territories with a county or similar level of government structure are authorized to accept applications on behalf of the alternative unit of local government. SAAs in this situation must advise FEMA in writing as to their intent to apply.

i. Cost Share/Match

A cost share/match is not required under this Program.

ii. Maintenance of Effort

Maintenance of effort is not required under this Program.

iii. Pass Through Funding

The SAA must obligate at least 80 percent (80%) of the funds awarded under SHSP and UASI to local units of government within 45 days of receipt of the funds. If receiving OPSG funds, the recipient must pass through 100 percent (100%) of OPSG allocations to eligible jurisdictions. For States withholding Management and Administration M&A costs, please refer to Section IV, A, ii on M&A for how to calculate percentage pass through funds.

iv. Other Eligibility Requirements

Emergency Management Assistance Compact (EMAC) Membership

In support of the Goal, grantees must belong to, be located in, or act as a temporary member of EMAC, except for American Samoa and the Commonwealth of the Northern Mariana Islands, which are not required to belong to EMAC at this time. All assets supported in part or entirely with FY 2014 HSGP funding by States, territories, and Tribes must be readily deployable to support emergency or disaster operations per existing EMAC agreements. In addition, funding may be used for the sustainment of core capabilities that, while they may not be physically deployable, support national response capabilities such as Geographic/Geospatial Information Systems (GIS), interoperable communications systems, capabilities as defined under the mitigation mission area of the Goal, and fusion centers.

National Incident Management System (NIMS) Implementation

Prior to allocation of any Federal preparedness awards in FY 2014, grantees must ensure and maintain adoption and implementation of NIMS.

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, inventorying, and cataloging promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and national Tier I NIMS Resource Types can be found at <http://www.fema.gov/resource-management>.

FEMA developed the NIMS Guideline for Credentialing of Personnel to describe national credentialing standards and to provide written guidance regarding the use of those standards. This guideline describes credentialing and typing processes, and identifies tools which Federal Emergency Response Officials (FEROs) and emergency managers at all levels of government may use both routinely and to facilitate multijurisdictional coordinated responses.

Although State, local, Tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines, FEMA strongly encourages them to do so in order to leverage the Federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information can be found at http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf

Emergency Operation Plan (EOP)

Grantees must update their EOP at least once every two years to comply with Comprehensive Preparedness Guide (CPG) 101 version 2.0, *Developing and Maintaining Emergency Operations Plans*. Grantees will use the State Preparedness Report (SPR) to report their compliance with this reporting requirement.

Threat and Hazard Identification and Risk Assessment (THIRA)

Grantees must update their THIRA by December 31, 2014. Further details on the THIRA as it relates to HSGP Program requirements can be found in Appendix B - FY 2014 HSGP Program Priorities. For additional guidance on THIRA, please refer to CPG 201, Second Edition, available at <http://www.fema.gov/plan>.

State Preparedness Report (SPR)

The SPR is an annual capability assessment. The *Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA)* requires an SPR from any state/territory receiving federal preparedness assistance administered by DHS. Each state submits an annual SPR to FEMA. Refer to Appendix B – FY 2014 HSGP Program Priorities for additional guidance on SPR requirements.

IV. Funding Restrictions

A. Restrictions on Use of Award Funds

Federal funds made available through this award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any 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.

For additional details on restrictions of the use of funds, refer to Appendix C – FY2014 HSGP Funding Guidelines.

i. Pre-award Costs

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

ii. Direct Costs

Management and Administration (M&A)

Management and administration (M&A) activities are those directly relating to the management and administration of HSGP funds, such as financial management and monitoring. A maximum of up to five percent (5%) of HSGP funds awarded may be retained by the State, and any funds retained are to be used solely for M&A purposes associated with the HSGP award. Sub-grantees may also retain a maximum of up to five percent (5%) of funding passed through by the State solely for M&A purposes associated with the HSGP award.

A State's HSGP funds for M&A calculation purposes includes the sum total of its SHSP, UASI, and, where applicable, OPSG awards. While the SAA may retain up to five percent (5%) of this total for M&A, grantees must still ensure that all sub-grantee award amounts meet the mandatory minimum pass through requirements which are applicable to each HSGP program. To meet this requirement the percentage of

SHSP, UASI and OPSG funds passed through to local jurisdictions must be based on the State's total HSGP award prior to withholding any M&A.

For additional information on SHSP and UASI M&A, refer to IB 365. For additional clarification on OPSG M&A, refer to FEMA Policy FP-207-087-1. These documents can be found at <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins> and <http://www.fema.gov/library/viewRecord.do?id=7837>, respectively.

Planning

Planning related costs are allowed under this program.

Organization

Grantee organization costs for carrying out the grant's programmatic activities are allowed under this program.

Equipment

Equipment costs are allowed under this program.

Training

Training related costs are allowed under this program.

Exercises

Exercise related costs are allowed under this program.

Travel

Domestic

Domestic travel costs are allowed under this program.

International

International travel is not an allowable cost under this program unless approved in advance by FEMA.

Construction and Renovation

Construction and renovation costs are allowed under this program.

Operational Overtime

Operational Overtime costs are allowed under this program.

Maintenance and Sustainment

Maintenance and sustainment costs are allowed under this program.

Critical Emergency Supplies

Critical emergency supply related costs are allowed under this program.

iii. Indirect Costs

Indirect costs are allowable under this program, but only if the applicant has an approved indirect cost rate agreement with the cognizant Federal agency. A copy of

the approved rate (a fully executed, agreement negotiated with the applicant's cognizant federal agency) is required at the time of application.

iv. Other Cost Requirements

Consolidation of Law Enforcement Terrorism Prevention Activities (LETPA)

Per section 2006 of the Homeland Security Act of 2002 (Public Law 107–296), as amended, (6 U.S.C. § 607), States are required to ensure that at least 25 percent (25%) of the combined HSGP funds allocated under SHSP and UASI are dedicated towards law enforcement terrorism prevention activities. The LETPA allocation can be from SHSP, UASI or both. This requirement does not include award funds from OPSG. Please refer to Appendix A – FY 2014 Program Allocations for LETPA minimum allocations for SHSP and UASI by jurisdiction.

The National Prevention Framework describes those activities that should be executed upon the discovery of intelligence or information regarding an imminent threat to the homeland, in order to thwart an initial or follow on terrorist attack, and provides guidance to ensure the Nation is prepared to prevent, avoid, or stop a threatened or actual act of terrorism. Activities outlined in the *National Prevention Framework* are eligible for use of LETPA focused funds. In addition, where capabilities are shared with the protection mission area, the *National Protection Framework* activities are also eligible. Other terrorism prevention activities proposed for funding under LETPA must be approved by the FEMA Administrator.

SHSP and UASI Pass-Through Requirements

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

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

The SAA must obligate at least 80 percent (80%) of the funds awarded under SHSP and UASI to local units of government within 45 days of receipt of the funds. The signatory authority of the SAA must certify in writing that these obligations have been met. A letter of intent (or equivalent) to distribute funds is not considered sufficient. Award sub-recipients must receive their funds within 45 days from the date the funds are first made available to the grantee so that they can initiate implementation of approved investments. For the Commonwealth of Puerto Rico, the SAA must also obligate at least 80 percent (80%) of the funds to local units of

government within 45 days of receipt of the funds. For SHSP awards, no pass through requirements will be applied to the District of Columbia, Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands. Any UASI funds retained by the SAA must be used to directly support the designated Urban Areas in the State.

Under SHSP, the State may retain more than 20 percent (20%) of SHSP funding for expenditure made by the State on behalf of the local unit(s) of government. This may occur only with the written consent of the local unit of government, with the written consent specifying the amount of funds to be retained and the intended use of funds. If a written consent agreement is already in place from previous fiscal years, FEMA will continue to recognize it for FY 2014. If any modifications to the existing agreement are necessary to reflect new initiatives, States should contact their assigned FEMA Program Analyst.

If UASI funds are used by the SAA in support of the Urban Area, the SAA must propose an Investment describing how UASI funds will be used by the SAA to directly support the Urban Area.

OPSG Pass-Through Requirement

The recipient must pass through 100 percent (100%) of OPSG allocations to eligible jurisdictions. The recipient is prohibited from obligating or expending funds provided through this award until each unique and specific county level or equivalent Operational Order/Fragmentary Operations Order with an embedded estimated operational budget has been reviewed and approved through an official electronic mail notice issued by FEMA removing this special programmatic condition.

Funds Transfer Restriction

The recipient is prohibited from transferring funds between programs (includes SHSP, UASI, and OPSG). Grantees are allowed to submit an Investment/project where funds come from multiple funding sources (i.e., SHSP/UASI); however, grantees are not allowed to divert funding from one program to another due to the risk-based funding allocations, which were made at the discretion of DHS. For additional details on restrictions on the use of funds, refer to Appendix C – Funding Guidelines.

Environmental Planning and Historic Preservation (EHP) Compliance

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. Grantees and sub-grantees proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that

explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project.

EHP Policy Guidance can be found in FP 108-023-1, *Environmental Planning and Historic Preservation Policy Guidance*, at <http://www.fema.gov/media-library/assets/documents/85376>.

SAFECOM

Grantees (including sub-recipients) who receive awards under HSGP that wholly or partially provide funding for emergency communication projects and related activities should comply with the most recent version of the *SAFECOM Guidance on Emergency Communications Grants*, <http://www.safecomprogram.gov/grant/Default.aspx>. This guidance provides recommendations to grantees regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability. The guidance is intended to ensure that Federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. Grantees (including sub-recipients) investing in broadband-related investments should review [IB 386: Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments](#), and consult their FEMA Headquarters Program Analyst on such Investments before developing applications.

V. Application Review Information and Selection Process

A. Application Review Information

FY 2014 HSGP applications will be evaluated through a review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Investments. The results from the review process may require applicants to revise submissions before the release of HSGP funding.

i. SHSP and UASI

FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of risk driven, capabilities-based IJs by the established due dates and verification of alignment to Urban Area, State, and regional THIRAs; SPRs; and national priorities. State and Urban Area Homeland Security Strategies will also be examined for further context regarding current capability levels and how IJs address potential gaps to prevent, protect, mitigate, respond to, and recover from acts of terrorism and other disasters. FY 2014 SHSP and UASI are non-competitive programs. For additional information on FY 2014 SHSP and UASI allocations, refer to Appendix A – FY 2014 Program Allocations.

ii. OPSG

Applications will be reviewed by the SAA and U.S. Customs and Border Protection (CBP)/Border Patrol (BP) Sector Headquarters for completeness and adherence to programmatic guidelines and evaluated for anticipated feasibility, need, and impact of the Operations Orders.

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

FY 2014 OPSG funds will be allocated competitively based on risk-based prioritization using a CBP Sector-specific border risk methodology. Factors considered include, but are not limited to: threat, vulnerability, miles of border, and other border-specific “law enforcement intelligence,” as well as feasibility of FY 2014 Operation Orders to designated localities within the United States border States and territories. For details on program-specific funding amounts, please refer to Appendix A – FY 2014 Program Allocations.

VI. Federal Award Administration Information

A. Notice of Award

Notification of award approval is made through the ND Grants system through an automatic electronic mail to the awardee authorized official listed in the initial application. The date of approval of award is the “award date.” The awardee should follow the directions in the notification to accept the award.

Grantees must accept their awards no later than 90 days from the award date. The grantee shall notify the awarding agency of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Funds will remain on hold until the grantee accepts the award through the ND Grants system and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

B. Administrative and Federal Financial Requirements

Before accepting the award, the authorized official should carefully read the award package for instructions on administering the grant award and terms and conditions associated with responsibilities under Federal awards. Grantees must accept all conditions in this FOA as well as any Special Terms and Conditions in the Award package to receive an award under this program.

i. Standard Terms and Conditions

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available at: <https://www.dhs.gov/publication/fy14-dhs-standard-terms-and-conditions>.

ii. Payment

FEMA utilizes the FEMA Payment and Reporting System (PARS) for financial reporting, invoicing and tracking payments. Additional information can be obtained at <https://isource.fema.gov/sf269/execute/LogIn?sawContentMessage=true>.

DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, the recipient must complete a Standard Form 1199A, Direct Deposit Form.

C. Reporting Requirements

Awardees are required to submit various financial and programmatic reports as a condition of their award acceptance. Future awards and funds drawdown may be withheld if these reports are delinquent.

i. Financial and Compliance Audit Report

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of GAO’s Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?SID=55e12eead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6>.

For audits of fiscal years beginning prior to December 26, 2014, recipients that expend \$500,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO’s Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, located at http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2012.

Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient’s fiscal year.

ii. Financial Reporting Periods and Due Dates

The following reporting periods and due dates apply:

Reporting Period	Report Due Date
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

iii. Federal Financial Report (FFR)

Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425) and must be filed electronically using PARS. The form is available at http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf.

An FFR report must be submitted quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

iv. Program Performance Reporting Requirements

The following reporting periods and due dates apply:

Reporting Period	Report Due Date
January 1 – June 30	July 30
July 1 – December 31	January 30

Performance Progress Report (SF-PPR)

Awardees are responsible for providing updated performance reports using the SF-PPR (OMB Control Number: 0970-0334) on a biannual basis. Grantees must complete the cover page of the SF-PPR and submit it as an attachment to the ND Grants system. The SF-PPR can be accessed online at http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf.

Grantees will be required to report on progress towards implementing plans described in their application, as well as, progress made towards implementing performance measures as described in Appendix B - Program Specific Priorities. As part of the SF-PPR, grantees will be required to report on progress towards implementing the following performance measures:

- For fusion centers, the achievement of capabilities and compliance with measurement requirements within the Maturation and Enhancement of State and Major Urban Area Fusion Centers priority through the annual Fusion Center Assessment Program managed by the DHS Office of Intelligence and Analysis (I&A) and reported to FEMA; and

Pass-Through Certification Requirement

For FY 2014, the Initial Strategy Implementation Plan (ISIP) will no longer be required. In place of the ISIP, the signatory authority of the SAA must certify in writing to the respective FEMA GPD Program Analyst that the 80 percent (80%) pass-through obligation was met within 45 days of the award date.

Biannual Strategy Implementation Reports (BSIR)

In addition to the quarterly financial and biannual performance progress reports, grantees are responsible for completing and submitting BSIRs. The BSIR is due

within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30 (the summer BSIR report); and January 30 for the reporting period of July 1 through December 31 (winter BSIR report). In the first BSIR, grantees must provide the information on all awarded funds, by identifying all projects that were not included in the application. In the BSIR grantees will be responsible for linking projects to sub grantees and reporting on project progress. The BSIR reports will be used as an additional validation that the pass-through requirement is met throughout the period of performance of the award. All required attributes of each project must be included. Updated obligations, expenditures, and significant developments must be provided within the BSIR to show progress of implementation for every project, as well as how expenditures support Planning, Organization, Equipment, Training and Exercises (POETE). The first BSIR will be due January 30, 2015, (30 days after the end of the first reporting period for the award. Subsequent BSIR reports will require grantees to report on a project-by-project basis.

D. Monitoring

Grant recipients will be monitored on an annual and as needed basis by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support may be needed.

E. Closeout

Pursuant to 44 C.F.R. § 13.50(b) Reports, within 90 days after the expiration or termination of the grant, the grantee must submit all financial, performance, and other reports required as a condition of the grant.

Within 90 days after the end of the period of performance, grantees must submit the following:

- 1) Final request for payment, if applicable;
- 2) SF-425 –Final Federal Financial Report;
- 3) SF-PPR – Final Performance Progress Report;
- 4) A qualitative narrative summary on the impact of those accomplishments throughout the entire period of performance submitted to the respective Grant Programs Directorate (GPD) Program Analyst in a Word document;
- 5) SF-428 – Tangible Personal Property Report – Inventory of all tangible personal property acquired using funds from this award. The form is available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-428.pdf;

- 6) When applicable, SF-429 – Real Property Status Report – Inventory of all construction projects using funds from this award. The form is available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf.
- 7) Other documents required by program guidance or terms and conditions of the award.

In order to close an award, grantees must be current on, and have submitted, all required reports per the terms and conditions of the grant award. Once the grant has officially been closed, the grantee will receive a Grant Adjustment Notice (GAN) which will provide information regarding the amount of any deobligated funds, equipment disposition, and record retention requirements for closed awards.

If FEMA has made reasonable attempts through multiple contacts to close out awards within the required 180 days, FEMA may waive the requirement for a particular report and administratively close the award. If this action is taken, consideration for subsequent awards to the grantee may be impacted or restricted.

The grantee is responsible for returning any funds that have been drawn down, but remain as unliquidated on grantee financial records.

F. Extensions

Extensions to the initial period of performance identified in the award will only be considered through formal, written requests to the grantee's respective Headquarters Program Analyst and must contain specific and compelling justifications as to why an extension is required. States are advised to coordinate with the Program Analyst as needed, when preparing an extension request. All extension requests must address the following:

- 1) Grant Program, Fiscal Year, and award number;
- 2) Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
- 3) Current status of the activity/activities;
- 4) Approved period of performance termination date and new project completion date;
- 5) Amount of funds drawn down to date;
- 6) Remaining available funds, both Federal and non-Federal;
- 7) Budget outlining how remaining Federal and non-Federal funds will be expended;
- 8) Plan for completion, including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
- 9) Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

Awardees must submit all proposed extension requests to DHS/FEMA for review and approval no later than 120 days prior to the end of the period of performance. In

accordance with GPD policy, extensions are typically granted for no more than a six month time period. Extension requests will be granted only due to compelling legal, policy, or operational challenges.

For more information on extensions, refer to IB #379, *Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding* at <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins#2013IB>.

VII. DHS FEMA Contact Information

A. For Financial, Programmatic, or Administrative Questions Pre-Award and Post Award

i. Centralized Scheduling and Information Desk (CSID)

CSID is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, State, and local levels. When necessary, grantees will be directed to a Federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800)368-6498 or by e-mail at askcsid@dhs.gov, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

ii. Grant Programs Directorate (GPD) Grant Operations Division

GPD's Grant Operations Division Business Office provides financial support and technical assistance. The Grant Operations Division manages, administers, and conducts application budget review, creates the award package, approves, amends and closes out awards. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.

iii. FEMA Regions

FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance such as conducting cash analysis, financial monitoring, and audit resolution to the grant programs included in this solicitation. GPD will provide programmatic support and technical assistance. For a list of contacts, please go to <http://www.fema.gov/about/contact/regions.shtm>.

iv. Systems Information

Grants.gov.

For technical assistance with [Grants.gov](http://www.grants.gov), please call the Grants.gov customer support hotline at (800)518-4726.

Non-Disaster (ND) Grants.

For technical assistance with the ND Grants system, please contact ndgrants@fema.gov or (800)865-4076.

v. GPD Environmental Planning and Historic Preservation (GPD-EHP)

The FEMA GPD-EHP Team provides guidance and information about the EHP review process to grantees and sub grantees. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to gpdehpinfo@fema.gov. EHP Technical Assistance, including the EHP Screening Form, can be found at <http://www.fema.gov/media->

[library-data/20130726-1806-25045-2839/gpd_ehp_screening_form_omb_1660_0115_june_2011.pdf](#).

vi. Telephone Device for the Deaf (TDD)

The Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this announcement is: (800) 462-7585.

vii. Hard copies of the FOA

Hard copies of the FOA are not available.

VIII. Other Critical Information

National Preparedness

DHS coordinates with local, State, territory, Tribal, and Federal governments as well as the private and nonprofit sectors to facilitate an all-of-nation/whole community, risk driven, and capabilities-based approach to preparedness. This approach is grounded in the identification and assessment of risk through the THIRA. Urban Areas and States must maintain and update their THIRAs, and States their SPRs, annually to ensure that the community's shared understanding of risk evolves to account for changes in the risk landscape, including successful mitigation efforts, emerging threats, hazards, and associated consequences. Information on the National Preparedness System can be found in the National Preparedness System Description (released November 2011), which is posted on the FEMA website at <http://www.fema.gov/national-preparedness/national-preparedness-system>. Additional details regarding how the National Preparedness System is supported by the HSGP can be found in Appendix B – Program Specific Priorities.

FY 2014 Unified Reporting Tool (URT)

The URT is FEMA's collection mechanism for THIRA/SPR and other related preparedness information. The FY 2014 SPR includes questions related to NIMS adoption and implementation, and Comprehensive Preparedness Guide 101 v 2.0 compliance.

IX. How to Apply

A. Application Overview

Applying for an award under this program is a multi-step process and requires time to complete. To ensure that an application is submitted on time applicants are advised to start the required steps well in advance of their submission. **Applicants should allow at least 15 business days (three weeks) to complete the five steps of applying listed below.** Failure of an applicant to comply with any of the required steps before the deadline for submitting their application will automatically disqualify their application from funding.

The steps involved in applying for an award under this program are:

- 1) Applying for, updating or verifying their Data Universal Numbering System (DUNS) Number;

- 2) Applying for, updating or verifying their Employer Identification Number (EIN);
- 3) Updating or verifying their System for Award Management (SAM) registration;
- 4) Submitting an initial application in grants.gov;
- 5) Completing Investment Justifications in the Grant Reporting Tool (GRT) and;
- 6) Submitting the complete application in ND Grants.

To ensure adequate time to complete the full application process, applicants are encouraged to submit their initial application in Grants.gov (Step 4) at least ten (10) days before the May 23, 2014 application deadline

1. Obtain a Data Universal Numbering System Number (DUNS)

The applicant must provide a DUNS number with their application. This number is a required field for all subsequent steps in the application submission. Applicants should verify they have a DUNS number, or take the steps necessary to obtain one.

Applicants can receive a DUNS number at no cost by calling DUNS number request line at (866) 705-5711. FEMA cannot assist applicants with questions related to obtaining a current DUNS number.

2. Obtain an Employer Identification Number (EIN)

FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and, for grant award payment. Both are also required to register with SAM (see below). The EIN base for an organization is the IRS Tax ID number, for individuals it is their social security number, both of which are nine-digit numbers. Organizations and individuals submitting their applications must correctly identify the EIN from the DUNS since both are 9-digit numbers. If these numbers are not correctly identified in the application, this may result in a delay in the issuance of an award and/or incorrect payment to a grantee organization.

Organization applicants applying for an EIN should plan on a minimum of two full weeks to obtain an EIN. If you need assistance registering an EIN, go to [http://www.irs.gov/Businesses/Small-Businesses-&-Self-Employed/Apply-for-an-Employer-Identification-Number-\(EIN\)-Online](http://www.irs.gov/Businesses/Small-Businesses-&-Self-Employed/Apply-for-an-Employer-Identification-Number-(EIN)-Online). FEMA cannot assist applicants with questions related to obtaining a current EIN.

3. Register with the System for Award Management (SAM)

Payments are contingent on the information provided in SAM and must be completed by the applicant at <http://www.sam.gov>. It is imperative that the information provided by the applicant is correct and current. Please ensure that your organization's name, address, DUNS number and EIN are current in SAM and that the DUNS number used in SAM is the same one used to apply for all other FEMA awards.

SAM registration is a multi-step process including validating your EIN with the Internal Revenue Service (IRS) to obtain a Commercial and Government Entity (CAGE) code. The CAGE code is only valid for one year after issuance and must be current at the time of application.

If you need assistance registering with SAM, please go to <https://www.fsd.gov/> or call 866-606-8220. FEMA cannot assist applicants with questions related to obtaining a current CAGE code.

4. Initial Application Submission in Grants.gov

All applicants submit their initial application through Grants.gov. Applicants may need to first create a Grants.gov user profile by visiting the Get Registered section of the grants.gov website. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Applicants should complete this step at <http://www.grants.gov>. The initial on-line application in grants.gov requires completing

- Standard Form 424 (SF 424), Application for Federal Assistance, and
- Grants.gov Form Certification Regarding Lobbying Form.

Both forms are available in the Forms tab under SF-424 Family. The initial application cannot be started or submitted in Grants.gov unless the applicant's registration in SAM is confirmed. Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select Apply for Grants, enter the CFDA number or the FOA number noted in this FOA, select Download Application Package, and follow the prompts to download the application package. The information submitted in grants.gov will be retrieved by ND Grants, which will allow FEMA to determine if an applicant is eligible. **Applicants are encouraged to submit their initial application at least ten (10) days before the May 23, 2014 application deadline.**

If you need assistance applying through grants.gov, please go to <http://www.grants.gov/web/grants/applicants/grant-application-process.html>, contact support@grants.gov, or call 800-518-4726. FEMA cannot assist applicants with questions related to registering with grants.gov.

5. Completing Investment Justifications in the Grant Reporting Tool

For more information on how to complete IJs, refer to the Investment Justification Planning Guide found at www.fema.gov/grants.

6. Final Application Submission in FEMA's Non Disaster Grants System (ND Grants)

Eligible applicants will be notified by FEMA and asked to proceed with submitting their complete application package in ND Grants. Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement. Early registration will allow applicants to have adequate time to start and complete their application. The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>.

In ND Grants, applicants will be prompted to submit all of the information contained in the following forms:

Standard Form 424A, Budget Information (Non-construction)
Standard Form 424B, Standard Assurances (Non-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.

Applicants will also be prompted to assure compliance with all Standard and Special Terms and Conditions before being eligible to receive an award under this program.

In addition applicants must submit copies of the following in ND Grants:

- Standard Form 424C, Budget Information (Construction) if applying for grants to support construction;
- Investment Justification
- Program and Budget Narrative
- Program Work Plan
- Project Objectives
- Detailed budget
- Indirect Cost Agreement.

If you need assistance registering on the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076.

HSGP Program Specific Application Instructions

Investment Justification (SHSP and UASI)

As part of the FY 2014 HSGP application process for SHSP and UASI funds, applicants must develop a formal IJ that addresses each investment being proposed for funding. The IJ must demonstrate how proposed projects support sustainment of existing core capabilities or address capability gaps and deficiencies in one or more core capabilities outlined in the Goal and as identified in their most recent State Preparedness Report. The IJ must also demonstrate alignment to the Urban Area, State, and/or regional THIRAs, national priorities, and applicable guidance provided by FEMA. The IJ must also describe engagement with and/or impacts on the general and vulnerable populations, to include children, the elderly, pregnant women, and individuals with disabilities such as those with access and functional needs. Furthermore, the IJ must clearly identify and explain the nexus to terrorism preparedness.

IJs are submitted in the GRT. The IJ Guide contains instructions for collecting the required information for Investments and projects. Additionally, applicants should utilize the Project Worksheet to assemble the information required for each project, which will facilitate the input of that information into the GRT.

Instructions for SHSP

- Applicants must propose at least one and include up to 10 projects within each Investment in their IJ to describe the activities they would like to implement with SHSP funds
- Any projects not included in the application must be included in the first BSIR
- Of the proposed Investments, applicants are required to propose at least one Investment to provide funding support to the State's primary fusion center, as designated by the Governor. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission
- Grantees investing in emergency communications must describe how activities align to their Statewide Communication Interoperable Plan (SCIP). Grantees must coordinate with their Statewide Interoperability Coordinator (SWIC) and/or Statewide Interoperability Governance Body (SIGB) when developing an emergency communications investment prior to submission to ensure the project supports the statewide strategy to improve emergency communications and is compatible and interoperable with surrounding systems

Instructions for UASI

- Urban Areas must propose at least one and up to 10 projects within each Investment in their IJ to describe the activities they are planning to implement with UASI funds
- Any projects not included in the application must be included in the first BSIR
- If applicable, of the proposed 10 Investments, Urban Areas are required to propose at least one Investment in support of a designated fusion center within the Urban Area. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission
- If UASI funds are used by the SAA in support of the Urban Area, the SAA must, as part of the up to 10 Investments, propose an Investment describing how UASI funds will be used by the SAA to directly support the Urban Area.
- Grantees investing in emergency communications must describe how activities align to the SCIP. Grantees must coordinate with the Statewide Interoperability Coordinator (SWIC) and/or Statewide Interoperability Governance Body (SIGB) when developing an emergency communications Investment prior to submission to ensure the project supports the statewide strategy to improve emergency communications and is compatible and interoperable with surrounding systems

Instructions for OPSG

As part of the FY 2014 OPSG application process, each eligible local unit of government at the county level or Federally-recognized Tribal government must develop their Operations Order in coordination with State and Federal law enforcement agencies, to include, but not limited to Customs and Border Patrol (CBP)/Border Protection (BP). Operations Orders that are developed at the county level should be inclusive of city, county, Tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, and the Operations Order should address this in the Executive Summary. The details should include the names of the agencies, the points of contact, and the individual funding requests. All applications must be coordinated through the CBP sector office and that BP will forward application to the SAA for

review. For more information, refer to Appendix E – FY 2014 OPSG Operations Order Template and Instructions and Appendix F – OPSG Operational Guidance for more information.

Appendix A – FY 2014 Program Allocations

FY 2014 SHSP Allocations

State/Territory	FY 2014 Allocation	State/Territory	FY 2014 Allocation
Alabama	\$3,733,000	Montana	\$3,733,000
Alaska	\$3,733,000	Nebraska	\$3,733,000
American Samoa	\$854,000	Nevada	\$3,733,000
Arizona	\$4,568,000	New Hampshire	\$3,733,000
Arkansas	\$3,733,000	New Jersey	\$8,354,000
California	\$60,035,000	New Mexico	\$3,733,000
Colorado	\$3,979,000	New York	\$76,742,000
Connecticut	\$3,978,000	North Carolina	\$5,489,000
Delaware	\$3,733,000	North Dakota	\$3,733,000
District of Columbia	\$4,119,000	Northern Mariana	\$854,000
Florida	\$11,010,000	Ohio	\$7,698,000
Georgia	\$6,807,000	Oklahoma	\$3,733,000
Guam	\$854,000	Oregon	\$3,837,000
Hawaii	\$3,733,000	Pennsylvania	\$10,026,000
Idaho	\$3,733,000	Puerto Rico	\$3,733,000
Illinois	\$16,357,000	Rhode Island	\$3,733,000
Indiana	\$3,978,000	South Carolina	\$3,733,000
Iowa	\$3,733,000	South Dakota	\$3,733,000
Kansas	\$3,733,000	Tennessee	\$3,978,000
Kentucky	\$3,978,000	Texas	\$21,448,000
Louisiana	\$3,978,000	U.S. Virgin Islands	\$854,000
Maine	\$3,733,000	Utah	\$3,733,000
Maryland	\$6,125,000	Vermont	\$3,733,000
Massachusetts	\$5,622,000	Virginia	\$7,414,000
Michigan	\$6,658,000	Washington	\$6,493,000
Minnesota	\$3,978,000	West Virginia	\$3,733,000
Mississippi	\$3,733,000	Wisconsin	\$3,978,000
Missouri	\$3,978,000	Wyoming	\$3,733,000
Total			\$401,346,000

FY 2014 UASI Allocations

State/Territory	Funded Urban Area	FY 2014 UASI Allocation
Arizona	Phoenix Area	\$5,500,000
California	Anaheim/Santa Ana Area	\$5,500,000
	Bay Area	\$27,400,000
	Los Angeles/Long Beach Area	\$67,500,000
	Riverside Area	\$1,000,000
	Sacramento Area	\$1,000,000
	San Diego Area	\$16,874,000
Colorado	Denver Area	\$3,000,000
District of Columbia	National Capital Region	\$53,000,000
Florida	Miami/Fort Lauderdale Area	\$5,500,000
	Orlando Area	\$1,000,000
	Tampa Area	\$3,000,000
Georgia	Atlanta Area	\$5,500,000
Hawaii	Honolulu Area	\$1,000,000
Illinois	Chicago Area	\$69,500,000
Indiana	Indianapolis Area	\$1,000,000
Louisiana	New Orleans Area	\$3,000,000
Maryland	Baltimore Area	\$5,500,000
Massachusetts	Boston Area	\$18,000,000
Michigan	Detroit Area	\$5,500,000
Minnesota	Twin Cities Area	\$5,500,000
Missouri	Kansas City Area	\$1,000,000
	St. Louis Area	\$3,000,000
Nevada	Las Vegas Area	\$1,000,000
New Jersey	Jersey City/Newark Area	\$21,800,000
New York	New York City Area	\$178,926,000
North Carolina	Charlotte Area	\$3,000,000
Ohio	Cincinnati Area	\$1,000,000
	Cleveland Area	\$1,000,000
	Columbus Area	\$1,000,000
Oregon	Portland Area	\$1,000,000
Pennsylvania	Philadelphia Area	\$18,500,000
	Pittsburgh Area	\$3,000,000
Texas	Dallas/Fort Worth/Arlington Area	\$15,500,000
	Houston Area	\$24,000,000
	San Antonio Area	\$1,000,000
Utah	Salt Lake City Area	\$1,000,000
Virginia	Hampton Roads Area	\$1,000,000
Washington	Seattle Area	\$5,500,000
Total		\$587,000,000

FY 2014 SHSP and UASI LETPA Minimums

State/Territory	Funded Urban Area(s)	UASI Allocation	Total UASI Allocation	SHSP Allocation	Total Allocation by State	LETPA
Alabama				\$3,733,000	\$3,733,000	\$933,250
Alaska				\$3,733,000	\$3,733,000	\$933,250
American Samoa				\$854,000	\$854,000	\$213,500
Arizona	Phoenix Area	\$5,500,000	\$5,500,000	\$4,568,000	\$10,068,000	\$2,517,000
Arkansas				\$3,733,000	\$3,733,000	\$933,250
California	Anaheim/Santa Ana Area	\$5,500,000	\$119,274,000	\$60,035,000	\$179,309,000	\$44,827,250
	Bay Area	\$27,400,000				
	Los Angeles/Long Beach Area	\$67,500,000				
	Riverside Area	\$1,000,000				
	Sacramento Area	\$1,000,000				
	San Diego Area	\$16,874,000				
Colorado	Denver Area	\$3,000,000	\$3,000,000	\$3,979,000	\$6,979,000	\$1,744,750
Connecticut				\$3,978,000	\$3,978,000	\$994,500
Delaware				\$3,733,000	\$3,733,000	\$933,250
District of Columbia	National Capital Region	\$53,000,000	\$53,000,000	\$4,119,000	\$57,119,000	\$14,279,750
Florida	Miami/Fort Lauderdale Area	\$5,500,000	\$9,500,000	\$11,010,000	\$20,510,000	\$5,127,500
	Orlando Area	\$1,000,000				
	Tampa Area	\$3,000,000				
Georgia	Atlanta Area	\$5,500,000	\$5,500,000	\$6,807,000	\$12,307,000	\$3,076,750
Guam				\$854,000	\$854,000	\$213,500
Hawaii	Honolulu Area	\$1,000,000	\$1,000,000	\$3,733,000	\$4,733,000	\$1,183,250
Idaho				\$3,733,000	\$3,733,000	\$933,250
Illinois	Chicago Area	\$69,500,000	\$69,500,000	\$16,357,000	\$85,857,000	\$21,464,250
Indiana	Indianapolis Area	\$1,000,000	\$1,000,000	\$3,978,000	\$4,978,000	\$1,244,500
Iowa				\$3,733,000	\$3,733,000	\$933,250
Kansas				\$3,733,000	\$3,733,000	\$933,250
Kentucky				\$3,978,000	\$3,978,000	\$994,500
Louisiana	New Orleans Area	\$3,000,000	\$3,000,000	\$3,978,000	\$6,978,000	\$1,744,500
Maine				\$3,733,000	\$3,733,000	\$933,250
Maryland	Baltimore Area	\$5,500,000	\$5,500,000	\$6,125,000	\$11,625,000	\$2,906,250
Massachusetts	Boston Area	\$18,000,000	\$18,000,000	\$5,622,000	\$23,622,000	\$5,905,500
Michigan	Detroit Area	\$5,500,000	\$5,500,000	\$6,658,000	\$12,158,000	\$3,039,500
Minnesota	Twin Cities Area	\$5,500,000	\$5,500,000	\$3,978,000	\$9,478,000	\$2,369,500
Mississippi				\$3,733,000	\$3,733,000	\$933,250
Missouri	Kansas City Area	\$1,000,000	\$4,000,000	\$3,978,000	\$7,978,000	\$1,994,500
	St. Louis Area	\$3,000,000				
Montana				\$3,733,000	\$3,733,000	\$933,250
Nebraska				\$3,733,000	\$3,733,000	\$933,250
Nevada	Las Vegas Area	\$1,000,000	\$1,000,000	\$3,733,000	\$4,733,000	\$1,183,250
New Hampshire				\$3,733,000	\$3,733,000	\$933,250
New Jersey	Jersey City/Newark Area	\$21,800,000	\$21,800,000	\$8,354,000	\$30,154,000	\$7,538,500
New Mexico				\$3,733,000	\$3,733,000	\$933,250
New York	New York City Area	\$178,926,000	\$178,926,000	\$76,742,000	\$255,668,000	\$63,917,000
North Carolina	Charlotte Area	\$3,000,000	\$3,000,000	\$5,489,000	\$8,489,000	\$2,122,250
North Dakota				\$3,733,000	\$3,733,000	\$933,250
Northern Mariana Islands				\$854,000	\$854,000	\$213,500
Ohio	Cincinnati Area	\$1,000,000	\$3,000,000	\$7,698,000	\$10,698,000	\$2,674,500
	Cleveland Area	\$1,000,000				
	Columbus Area	\$1,000,000				
Oklahoma				\$3,733,000	\$3,733,000	\$933,250
Oregon	Portland Area	\$1,000,000	\$1,000,000	\$3,837,000	\$4,837,000	\$1,209,250

FY 2014 SHSP and UASI LETPA Minimum (continued)

State/Territory	Funded Urban Area(s)	UASI Allocation	Total UASI Allocation	SHSP Allocation	Total Allocation by State	LETPA
Pennsylvania	Philadelphia Area	\$18,500,000	\$21,500,000	\$10,026,000	\$31,526,000	\$7,881,500
	Pittsburgh Area	\$3,000,000				
Puerto Rico				\$3,733,000	\$3,733,000	\$933,250
Rhode Island				\$3,733,000	\$3,733,000	\$933,250
South Carolina				\$3,733,000	\$3,733,000	\$933,250
South Dakota				\$3,733,000	\$3,733,000	\$933,250
Tennessee				\$3,978,000	\$3,978,000	\$994,500
Texas	Dallas/Fort Worth/Arlington Area	\$15,500,000	\$40,500,000	\$21,448,000	\$61,948,000	\$15,487,000
	Houston Area	\$24,000,000				
	San Antonio Area	\$1,000,000				
U.S. Virgin Islands				\$854,000	\$854,000	\$213,500
Utah	Salt Lake City Area	\$1,000,000	\$1,000,000	\$3,733,000	\$4,733,000	\$1,183,250
Vermont				\$3,733,000	\$3,733,000	\$933,250
Virginia	Hampton Roads Area	\$1,000,000	\$1,000,000	\$7,414,000	\$8,414,000	\$2,103,500
Washington	Seattle Area	\$5,500,000	\$5,500,000	\$6,493,000	\$11,993,000	\$2,998,250
West Virginia				\$3,733,000	\$3,733,000	\$933,250
Wisconsin				\$3,978,000	\$3,978,000	\$994,500
Wyoming				\$3,733,000	\$3,733,000	\$933,250
Total		\$69,500,000	\$69,500,000	\$84,055,000	\$153,555,000	\$38,388,750

FY 2014 OPSG Eligible States and Territories

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

Note: Not all applicants are guaranteed to receive funding under the FY 2014 OPSG.

Appendix B – Program Priorities

Alignment of HSGP to the National Preparedness System

The Nation utilizes the National Preparedness System to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (the Goal). The Goal is “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.”

The objective of the National Preparedness System is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness. Complex and far-reaching threats and hazards require a collaborative and whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. The guidance, programs, processes, and systems that support each component of the National Preparedness System enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>).

The FY 2014 HSGP Program contributes to the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks in the National Planning Frameworks for each of the five mission areas outlined in the Goal. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The HSGP Program’s allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

To evaluate national progress in building, sustaining, and delivering the core capabilities outlined in the Goal, FEMA annually publishes the National Preparedness Report (NPR). Looking across all 31 core capabilities outlined in the Goal, the NPR provides a national perspective on critical preparedness trends for whole community partners to use to inform program priorities, allocate resources and communicate with stakeholders about issues of shared concern.

A key focus and requirement of the HSGP is to prevent terrorism and to prepare the Nation for the threats and hazards that pose the greatest risk to the security and resilience of the United State, and the greatest risks along the Nation’s borders; therefore, HSGP funded investments must have a terrorism-nexus. When applicable, funding should support deployable assets that can be utilized anywhere in the Nation through automatic assistance and mutual aid agreements, including but not limited to the EMAC.

In addition, the Department of Homeland Security expects grantees to prioritize grant funding to address gaps identified through the annual SPR in achieving capability targets set through the annual THIRA. These assessments identify the jurisdictions’ capability targets and current ability to meet those targets. Grantees should prioritize grant funds to increase capability for high-priority core capabilities with low capability levels. Minimum funding amounts are not

prescribed by the Department for these priorities; however grantees are expected to support state, local, regional, and national efforts in achieving the desired outcomes of these priorities.

Grantees are expected to consider national areas for improvement identified in the 2013 National Preparedness Report, which include cybersecurity, recovery-focused core capabilities, the integration of individuals with access and functional needs, enhancing the resilience of infrastructure systems and maturing the role of public-private partnerships. Addressing these areas for improvement will enhance preparedness nation-wide.

Using the core capabilities, the FY 2014 HSGP Program supports the achievement of the Goal by:

- Preventing a threatened or an actual act of terrorism;
- Protecting our citizens, residents, visitors, and assets against the greatest threats and hazards;
- Mitigating the loss of life and property by lessening the impact of future disasters;
- Responding quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident; and/or
- Recovering through a focus on the timely restoration, strengthening, and revitalization of infrastructure, housing, and a sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident.

The core capabilities contained in the Goal are highly interdependent and require the use of existing preparedness networks and activities, improve training and exercise programs, promote innovation, and ensure that the appropriate administrative, finance, and logistics systems are in place.

To support building, sustaining, and delivering these core capabilities, grantees will use the components of the National Preparedness System. The components of the National Preparedness System are: Identifying and Assessing Risk; Estimating Capability Requirements; Building and Sustaining Capabilities; Planning to Deliver Capabilities; Validating Capabilities; and Reviewing and Updating. For more information on each component, read the National Preparedness System description available at <http://www.fema.gov/national-preparedness/national-preparedness-system>. Grantees are expected to use this process when using grant funds to address their capability gaps.

Reporting on the Implementation of the National Preparedness System

Identifying and Assessing Risk and Estimating Capability Requirements

In order to qualify for HSGP Program funding, all grantees shall develop and maintain a Threat and Hazard Identification and Risk Assessment (THIRA) which informs and supports the State Preparedness Report (SPR). Only one THIRA submission from each State will be accepted. A THIRA provides a comprehensive approach for identifying and assessing risks and associated impacts. It expands on existing local, Tribal, territorial, and State Hazard Identification and Risk Assessments (HIRAs) and other risk methodologies by broadening the factors considered in the process, incorporating the whole community throughout the entire process, and by accounting for important community-specific characteristics. Comprehensive Preparedness Guide 201, Second

Edition: THIRA (CPG 201, Second Edition) is available at <http://www.fema.gov/national-preparedness/plan>.

In Step Four of the THIRA process, a jurisdiction should estimate the resources required to deliver the capability targets set in their THIRAs. Communities express resource requirements as a list of resources needed to successfully manage their threats and hazards. Through the capability estimation process, jurisdictions should identify the resources from across the whole community needed to meet capability targets. Each jurisdiction should decide which combination of resources is most appropriate to achieve its capability targets.

Reporting

- UASIs are required to submit an annual update to their THIRA. UASIs will submit their THIRA to the designated State Administrative Agency. THIRA submissions shall be in alignment with CPG 201, Second Edition. The Urban Area should coordinate internally to ensure its submission represents all jurisdictions within the UASI program. UASI submissions of the THIRA are due no later than December 31, 2014.
- States are required to submit an annual update to their THIRA. States will submit their THIRA update along with their annual SPR through the Unified Reporting Tool (URT) and email a copy of the URT to their respective FEMA Regional Federal Preparedness Coordinator and copy fema-spr@fema.dhs.gov. THIRA submissions shall be in alignment with CPG 201, Second Edition. State submissions of the THIRA and SPR are due no later than December 31, 2014. The State should coordinate with each eligible Urban Area to ensure that the UASI THIRA submissions occur in advance of this deadline, as the State must include the Urban Area's input when conducting the statewide SPR assessment.

Building and Sustaining Capabilities

HSGP program grantees should ensure that grant funding is utilized to sustain critical core capabilities within the National Preparedness System that were funded by past HSGP funding cycles to include training of personnel and lifecycle replacement of equipment. New capabilities should not be built at the expense of maintaining current and critically needed core capabilities. If new core capabilities are being sought utilizing HSGP funding, grantees must ensure that the capabilities are deployable outside of their community to support regional and national efforts or otherwise shareable with regional partners and aligned with a capability gap identified in the THIRA/SPR. All capabilities being built or sustained must have a clear linkage to one or more core capabilities in the Goal.

NIMS Compliance

Grantees receiving HSGP funding are required to implement the National Incident Management System (NIMS). The NIMS uses a systematic approach to integrate the best existing processes and methods into a unified national framework for incident management. Incident management refers to how incidents are managed across all homeland security activities, including prevention, protection, and response, mitigation, and recovery. FY 2014 grantees must utilize standardized resource management concepts such as typing, inventorying, organizing, and tracking resources that facilitates the identification, dispatch, deployment, and recovery of their resources.

Fusion Centers

DHS has identified State and major Urban Area fusion centers as a critical component of our Nation's distributed homeland security and counterterrorism architecture. They provide grassroots intelligence and analytic capabilities within the state and local jurisdiction (<http://www.dhs.gov/state-and-major-urban-area-fusion-centers>). To that end, DHS preparedness grants will continue to support designated State and major Urban Area fusion centers (<http://www.dhs.gov/fusion-center-locations-and-contact-information>) and the maturation of the Information Sharing Environment (ISE).

A National Network also provides a mechanism for the Federal government to receive information from State, Local, territory and Tribal partners, which helps create a more complete threat picture at the National level. Participating in the Nationwide SAR Initiative enables fusion centers to receive and analyze suspicious activity reporting from frontline public safety personnel, the private sector, and the public, and ensure the sharing of SAR with the Federal Bureau of Investigation's Joint Terrorism Task Forces for further investigation. The *2010 National Security Strategy* identifies fusion centers as critical in enlisting all of our intelligence, law enforcement, fire service, emergency management, and homeland security capabilities to prevent acts of terrorism on American soil.

In support of this strategic vision, the Department of Homeland Security's Office of Intelligence & Analysis (DHS I&A) is requiring designated State and major Urban Area fusion centers to participate in an annual assessment of their achievement of Critical Operational Capabilities (COCs) and Enabling Capabilities (ECs), as detailed in the Global Justice Information Sharing Initiative's (Global) *Baseline Capabilities for State and Major Urban Area Fusion Centers*.

As maturation of the National Network continues to be a high priority in FY 2014, DHS is requiring that all fusion center related funding requests be consolidated into a single (1) Investment for States or Urban Areas in which designated fusion centers reside, and this Investment must address funding support for the designated fusion center. The single Investment provides state and urban areas a means to centrally manage and report on fusion center related activities. **Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission, and the Investment must directly align to and reference any capability gaps identified during the center's individual 2013 Fusion Center Assessment Report. In particular, each proposed project included in the fusion center Investment must reference the corresponding COC or EC, as well as associated attribute(s), the funding investment is intended to address.** Additionally, any jurisdiction or agency that leverages HSGP funds to support intelligence- or fusion process-related activities (i.e., intelligence unit, real time crime information and analysis centers, etc.) must ensure these efforts are integrated and/or coordinated with the respective designated State or major Urban Area fusion center(s).

In order to effectively measure implementation of this priority, designated State and major Urban Area fusion centers leveraging SHSP and/or UASI grant funds will be evaluated based upon compliance with the guidance and requirements for the National Network of Fusion Centers as set forth by the DHS Office of Intelligence and Analysis through the annual Fusion Center Assessment Program.

- All FY2014 Fusion Center Grant requirements are listed at <http://www.dhs.gov/fy-2013-homeland-security-grant-program-hsgp>.
- All FEMA approved analyst courses that meet the grant requirement are listed at <http://www.dhs.gov/fema-approved-intelligence-analyst-training-courses>.

Reporting

As part of programmatic monitoring, grantees will be required to describe how expenditures support maintenance and sustainment of current Goal core capabilities within the BSIR. HSGP grantees will, on a project-by-project basis, check one of the following:

- Sustaining or maintaining a capability acquired with Federal homeland security funding;
- Sustaining or maintaining a capability acquired without Federal homeland security funding;
- Developing or acquiring a new core capability;
- Through the SF-PPR, fusion centers will report on the achievement of capabilities and compliance with measurement requirements within the Maturation and Enhancement of State and Major Urban Area Fusion Centers priority through the annual Fusion Center Assessment Program managed by DHS I&A and reported to FEMA.
- Grantees will use the SPR to report NIMS implementation.

Planning to Deliver Capabilities

State grantees shall develop, maintain, or revise as necessary, jurisdiction-wide, all threats and hazards EOPs consistent with CPG 101 v.2, which serves as the foundation for State, local, Tribal, and territory emergency planning. Grantees must update their EOP at least once every two years.

In building future EOPs, planners should anticipate the increasing complexity and decreasing predictability of the future operating environment. These efforts should actively use strategic foresight, including the multiple driving forces of change and the associated evolving strategic needs shown in FEMA's *Crisis Response and Disaster Resilience 2030 Report*. The Report can be found at <http://www.fema.gov/strategic-planning-analysis-spa-division/strategic-foresight-initiative>.

Reporting

- Grantees will use the SPR to report EOP compliance with CPG 101 v2.

Validating Capabilities

Grantees should develop long-term training and exercise priorities that examine, validate and/or address the capability gaps identified through their annual THIRA and SPR by developing a multi-year Training and Exercise Plan (TEP). Grantees should also review and consider areas for improvement identified from real-world events and exercises, and national areas for improvement identified in the 2013 National Preparedness Report.

The TEP should consider the risks and capability requirements described in the THIRA along with the guidance provided by elected and appointed officials to identify and set training and

exercise program priorities and develop a multi-year schedule of exercise events and supporting training activities to meet those priorities. A TEP that is developed from a Training and Exercise Planning Workshop (TEPW) provides a roadmap to accomplish the multi-year priorities identified by elected and appointed officials and whole community stakeholders. These priorities help curriculum and exercise planners design and develop a progressive program of training and exercises that build, sustain, and deliver core capabilities. Information related to TEPs and TEPWs can be found on the HSEEP website at <https://www.llis.dhs.gov/hseep>.

All grantees will develop and maintain a progressive exercise program consistent with Homeland Security Exercise and Evaluation Program (HSEEP) (<https://www.llis.dhs.gov/hseep>). A progressive, multi-year exercise program enables organizations to participate in a series of increasingly complex exercises, with each successive exercise building upon the previous one until mastery is achieved while also taking into account prior lessons learned. Regardless of the exercise type, each exercise within the progressive series is linked to a set of common program priorities and designed to test associated capabilities.

Reporting

- Following the TEPW, all grantees and sub-grantees are required to develop a multi-year training and exercise plan that identifies combination of exercises, along with associated training requirements, that address the priorities identified in the TEPW. The training and exercise plan shall be submitted to hseep@dhs.gov no later than 90 days after the TEPW. States are encouraged to post their schedules to the National Exercise Scheduling System (NEXS) at https://hseep.dhs.gov/DHS_SSO/?ReturnUrl=%2fhseep_em%2fToolkitHome.aspx
- Consistent with the national exercise program, grantees shall develop and maintain a progressive exercise program. Grantees must either submit one After Action Report/Improvement Plan (AAR/IP) that captures the lessons learned and corrective actions from the progressive exercise program conducted within the HSGP Period of Performance; or submit individual AAR/IPs for each HSGP-funded exercise. AAR/IPs should be submitted to hseep@fema.dhs.gov and include a list of corrective actions and lessons learned, no later than 90 days after completion of the exercise. In accordance with HSEEP guidance grantees are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. Grantees are encouraged to use the HSEEP AAR/IP template located at <https://www.llis.dhs.gov/hseep> and utilize the Corrective Action Program (CAP) System at <https://hseep.dhs.gov/caps/>, as a means to track the implementation of corrective actions listed in the AAR/IP.

Reviewing and Updating

On a recurring basis, capabilities, resources, and plans should be reviewed to determine if they remain relevant or need to be updated as it relates to the HSGP. This review should be based on a current risk assessment and utilize information gathered during the validation process. These reviews will provide a means to examine preparedness analyses; determine priorities; direct preparedness actions; and calibrate goals and objectives. FY 2014 HSGP requires State and Urban Area Homeland Security Strategies be updated every other year, and shall be informed by THIRA process results. The assessment and results support communities' strategic planning

initiative and informs efforts needed to adapt to and manage the changing risk landscape, sustain strengths, and obtain or borrow resources from whole community partners.

Supplemental SHSP Guidance

Collaboration with Other Federal Preparedness Programs

DHS strongly encourages States, Urban Areas, and regions to understand other Federal preparedness programs in their jurisdictions and to work with them in a collaborative manner to leverage all available resources and avoid duplicative activities. For example, U. S. Department of Health and Human Services (HHS) has two robust preparedness programs – Center for Disease Control (CDC) Public Health Emergency Preparedness (PHEP) cooperative agreement program and Assistant Secretary for Preparedness and Response’s (ASPR’s) Hospital Preparedness Program (HPP) cooperative agreement program – that focus on preparedness capabilities. CDC’s 15 public health preparedness capabilities and ASPR’s eight healthcare preparedness capabilities serve as operational components for many of the Goal core capabilities, and collaboration with the PHEP directors and HPP coordinators can build capacity around shared interests and investments that fall in the scope of these HHS cooperative agreements and the 2014 HSGP.

Each SHSP and UASI funded Investment that addresses biological risk, patient care or health systems preparedness should be implemented in a coordinated manner with other Federal emergency preparedness programs such as those administered by the HHS Office of the Assistant Secretary for Preparedness and Response, the CDC, and the U.S. Department of Transportation’s (DOT) National Highway Traffic Safety Administration.

Governance

Keeping with the guiding principles of governance for all DHS preparedness programs, grantees must coordinate with their stakeholders to examine how they integrate preparedness activities across disciplines, agencies, and levels of government, including State, territorial, local, and Tribal units of government. A cohesive planning framework should be incorporated that builds and implements homeland security initiatives which leverage DHS resources, as well as other Federal, State, territory, local, private sector, faith-based community, and Tribal resources. Specific attention should be paid to how all available preparedness funding sources (multiple Federal sources as well as State and local sources) can be effectively utilized in a collaborative manner to support the whole community approach to emergency preparedness and management and to the enhancement of overall capabilities. To accomplish this, the SAA must establish or reestablish a unified Senior Advisory Committee (SAC).

Senior Advisory Committee

The SAC builds upon governance structures that may already be established under different FEMA preparedness grant programs, but the nature and governance of this Committee was new for FY 2013 and continues in FY 2014 for HSGP. The SAC should build upon previously established advisory bodies under HSGP (including the SHSP and UASI programs), Nonprofit Security Grant Program (NSGP), Transit Security Grant Program (TSGP), and Port Security Grant Program (PSGP), which currently exist in support of States and Urban Areas, Tribal nations, non-profit organizations, transit agencies and Amtrak, and port areas. Examples of advisory bodies that should be included on the SAC include: Urban Area Working Groups

(UAWGs), Statewide Interoperability Governing Board (SIGB), Area Maritime Security Committees (AMSCs), Regional Transportation Security Working Groups (RTSWGs), Citizen Corps Councils, and Children's Working Groups. To ensure a whole community effort, SAC membership should include representatives of these various stakeholder groups/committees, and should also include direct or indirect representation for all relevant jurisdictions and response disciplines (including law enforcement, fire service, and emergency management), UASI-funded Urban Areas, as well as Citizen Corps Councils, Tribal representatives, non-profit, faith based, and voluntary organizations such as the American Red Cross. SACs are encouraged to develop subcommittee structures, as necessary, to address issue- or region-specific considerations in support of overarching implementation.

The responsibilities of a SAC include:

- Integrating preparedness activities across disciplines, the private sector, non-profit organizations, faith-based, community, and all levels of government, including local, State, Tribal, and territorial, with the goal of maximizing coordination and reducing duplication of effort;
- Creating a cohesive planning network and framework that builds and implements preparedness initiatives which leverage DHS resources, as well as other Federal, State, territorial, local, private sector, faith-based community, and Tribal resources;
- Management of all available preparedness funding sources (multiple Federal sources as well as State and local sources) to enhance effective utilization of and elimination of duplication of effort across all stakeholders and disciplines; and
- Ensuring that the application for SHSP and UASI funds align with the THIRA and work to fill capability gaps identified in the SPR.

Senior Advisory Committee Composition and Scope

1. Membership

The SAC must include whole community intrastate and interstate partners as applicable and have balanced representation among entities with operational responsibilities for terrorism/disaster prevention, protection, mitigation, response, and recovery activities within the State.

The membership of the SAC must reflect the threats and hazards identified in the State's THIRA as well as each of the core capabilities, in particular those core capabilities identified as having large capability gaps identified in the State's most recent State Preparedness Report (SPR). SAAs will use the URT to verify compliance of SAC charter requirements. Further, the SAC must include representatives that were involved in the production of the State's THIRA and represent the interests of the five mission areas as outlined in the Goal.

The above membership requirement does not prohibit States, Urban Areas, regional transit and port entities, or other recipients of DHS preparedness funding from retaining their existing structure under separate programs; however, at a minimum, those bodies must support and feed into the larger SAC. The composition, structure and charter of the

SAC should reflect this focus on building core capabilities, instead of simply joining previously existing advisory bodies under other grant programs.

The SAA must ensure that appropriate representation from defined UASI-funded Urban Areas is included on the SAC. FEMA strongly encourages that, wherever possible, previously established local working groups be leveraged for this purpose to ensure that UASI resources are managed in the most efficient and effective manner possible. The UAWG should also support State efforts to develop the THIRA and SPR, particularly as it relates to UASI activities.

For designated Urban Areas, the SAA POCs are responsible for identifying and coordinating with the POC for the UAWG, who should be a member of the SAC. The POC's contact information must be provided to FEMA with the grant application. SAAs must work with existing Urban Areas to ensure that information for current POCs is on file with FEMA.

Finally, FEMA recommends that organizations advocating on behalf of vulnerable populations including youth, the elderly and individuals with functional needs, socio-economic factors and cultural diversity, be invited to participate in the SAC.

2. Collaboration with State agencies and other stakeholder organizations

Program representatives from the following entities must be members of the SAC (as applicable): State Homeland Security Advisor (HSA) (if this role is not also the SAA), State Emergency Management Agency (EMA) Director, State Public Health Officer, State Public Safety Officer (and SAA for Justice Assistance Grants, if different), State Court Official, State Emergency Medical Services (EMS) Director, State Trauma System Manager, Statewide Interoperability Coordinator, State Citizen Corps Council, the State Emergency Medical Services for Children (EMSC) Coordinator, State Education Department, State Human Services Department, State Child Welfare Services, State Juvenile Justice Services, Urban Area POC, Senior Members of AMSCs, Senior Members of the RTSWG, Senior Security Officials from Major Transportation Systems, and the Adjutant General.

3. Whole Community Engagement

SHSP and UASI grantees must engage with the whole community to advance community and individual preparedness and to work as a nation to build and sustain resilience (see <http://www.fema.gov/whole-community>). Grantees must also integrate the needs of children and individuals with disabilities or access and functional needs into activities implemented with SHSP and UASI funds.

4. Collaboration with Nonprofit Organizations

SHSP and UASI grantees must also work with the nonprofit community, including through the dedication of LETPA funds and resources, to address terrorism prevention concerns, seek input on the needs of the nonprofit sector, and support the goals of their investments.

5. Collaboration with Tribes

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

6. Coordination with other Federal agencies and programs

States and Urban Areas must coordinate among the entire scope of Federal partners, national initiatives and grant programs to identify opportunities to leverage resources when implementing their preparedness programs. This may include but is not limited to: Medical Reserve Corps, CDC, and ASPR. Emergency Medical Services for Children (EMSC) grants, ASPR Hospital Preparedness Program (HPP), CDC Public Health Emergency Preparedness (PHEP), CDC Cities Readiness Initiative (CRI), Strategic National Stockpile Programs, and EMS. However, coordination is not limited to grant funding. It also includes leveraging assessments such as TSA's Baseline Assessment and Security Enhancement (BASE); reporting from the Intelligence Community, risk information such as U.S. Coast Guard's Maritime Security Risk Analysis Model (MSRAM), and CBP Sector Analysis.

Senior Advisory Committee Charter

The governance of the SHSP and UASI programs through the SAC must be directed by a charter. All members of the SAC should sign and date the charter showing their agreement with its content and their representation on the Committee. Revisions to the governing charter must be sent to the grantee's assigned FEMA Program Analyst. The SAC charter must at a minimum address the following:

- A detailed description of the SAC's composition and an explanation of key governance processes, including how SAC is informed by the State's THIRA and SPR data reflecting capability gaps and the approach to address gaps in core capabilities;
- A description of the frequency at which the SAC will meet;
- How existing governance bodies will be leveraged by the Committee;
- A detailed description of how decisions on programmatic priorities funded by SHSP and UASI are made and how those decisions will be documented and shared with its members and other stakeholders, as appropriate; and
- A description of defined roles and responsibilities for financial decision making and meeting administrative requirements.

To ensure ongoing coordination efforts, SAAs are encouraged to share community preparedness information submitted in the State's BSIR with members of the SAC. The charter should be made available upon request to promote transparency in decision-making related to HSGP activities.

To manage this effort and to further reinforce collaboration and coordination across the stakeholder community, a portion of the 20 percent (20%) holdback of a State or territory award may be utilized by the SAA for the purpose of supporting the SAC and to ensure representation and active participation of SAC members. Funding may be used for hiring and training planners, establishing and maintaining a program management structure, identifying and managing

projects, conducting research necessary to inform the planning process, and developing plans that bridge mechanisms, documents, protocols, and procedures.

SAAAs will use the URT to verify compliance of SAC charter requirements.

Supplemental UASI Guidance

The UASI program is intended to provide financial assistance to address the unique multi-discipline planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and to assist these areas in building and sustaining capabilities to prevent, protect against, mitigate, respond to, and recover from threats or acts of terrorism using the Whole Community approach. Many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees must demonstrate the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness. Urban Areas must use UASI funds to employ regional approaches to overall preparedness and are encouraged to adopt regional response structures whenever appropriate. UASI program implementation and governance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, mitigation, response, and recovery activities within the region. In some instances, Urban Area boundaries cross State borders. States must ensure that the identified Urban Areas take an inclusive regional approach to the development and implementation of the UASI program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, State agencies, State Wide Interoperability Coordinators, Citizen Corps Council(s), and campus law enforcement in their program activities.

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

Composition

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

UASI Program Requirements

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

- **Identify POCs.** The SAA must confirm a specific POC with the designated Urban Area. The SAA POCs are responsible for identifying and coordinating with the POC for the UAWG. This information must be provided to FEMA with the grant application. SAAAs

must work with existing Urban Areas to ensure that information for current POCs is on file with FEMA.

- **Define the Urban Area.** The SAA POC, in coordination with the candidate Urban Areas, must define the Urban Area, as it will apply to the UASI program. The identified city or combined entity represents the candidate Urban Area eligible to apply for funding under the UASI program. For those Urban Areas with a combined entity, that area represents the minimum area that must be part of the defined Urban Area. The definition of the Urban Area is limited to jurisdictions contiguous to the geographic area used to determine eligibility, or those jurisdictions in that area which have established formal mutual aid agreements. States may request a waiver for this limitation for regions previously established by Executive Order, law, or compact. For the purposes of the UASI program, the Washington, D.C. Urban Area will consist of the National Capital Region (NCR) as set forth in 10 U.S.C. §2674(f)(2). In coordination with the UAWG, the SAA POC may redefine the geographic boundaries of an existing Urban Area, as it will apply to the UASI program. The SAA POC must notify FEMA of this change.
- **Establish the UAWG.** Membership in the UAWG must provide either direct or indirect representation for all relevant jurisdictions and response disciplines (including law enforcement, fire service, EMS, and emergency management) that comprise the defined Urban Area. It must also be inclusive of local Citizen Corps Council or their equivalent and Tribal representatives. The UAWG should also ensure the integration of local emergency management, public health, and health care systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident. In addition, the UAWG should include officials responsible for the administration of CDC and ASPR cooperative agreements. Finally, it is recommended that members advocating on behalf of vulnerable populations including youth, the elderly and individuals with functional needs, socio-economic factors and cultural diversity, be invited to provide representation.

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

- **Governance.** The jurisdictions identified in Appendix A – FY 2014 Program Allocations represent the candidate Urban Areas eligible to apply for funding. The UAWG will be responsible for coordinating the development and implementation of all program initiatives. States and Urban Areas must consider including counties within which the cities reside, contiguous jurisdictions, MSAs, operational areas, and mutual aid partners, as appropriate, in the governance process.

In keeping with sound project management practices, the UAWG must ensure that its approach to critical issues such as membership, governance structure, voting rights, grant management and administration responsibilities, and funding allocation methodologies

are formalized in a working group charter or other form of standard operating procedure related to the UASI program governance. The charter must also outline how decisions made in UAWG meetings will be documented and shared with UAWG members. The UAWG charter must be on file with FEMA prior to drawing down UASI funding and must be available to all UAWG members to promote transparency in decision-making related to the UASI program.

UASIs will use the URT to verify UAWG structure and membership. Urban Areas must notify the SAA and FEMA Program Analyst of any updates to the UAWG structure or membership.

- **Develop Urban Area THIRA.** As a result of the improved governance process and the rationale for maintaining and sustaining existing capabilities and the development of new capabilities, members of the UAWG should be involved in the development of an Urban Area THIRA coordinated with the State THIRA, and subsequent updates.
- **Urban Area Homeland Security Strategy.** Urban Area Homeland Security Strategies should be updated every two years at a minimum, to ensure that their strategies continue to address prevention, protection, mitigation, response, and recovery, and reflect how their goals and objectives align to the Goal and the Whole Community approach.
- **Allocation of Funds.** The use and allocation of all grant funds available through the UASI program must focus on the Investments identified in the Urban Area's IJ and the implementation of the FEMA-approved Urban Area Homeland Security Strategy. The use of funds must also be consistent with overall UASI program guidelines, the State Homeland Security Strategy, the National Preparedness System, and must develop or sustain one or more core capabilities in the Goal. Funds used to support whole community and individual preparedness related efforts, such as engaging non-governmental organizations and vulnerable populations demonstrating the integration of children and individuals with disabilities or access and functional needs in all phases of emergency management, participation of disaster volunteers, such as Community Emergency Response Teams (CERTs) in training, exercises and response and recovery operations, and educating the public should be coordinated with local CERT programs and/or Citizen Corps Councils.

The UAWG, in coordination with the SAA POC, must develop a methodology for allocating funding available through the UASI program. The UAWG must reach consensus on all UASI funding allocations. If consensus cannot be reached within the 45-day time period allotted for the State to obligate funds to sub-grantees, the SAA must make the allocation determination. The SAA must provide written documentation verifying the consensus of the UAWG, or the failure to achieve otherwise, on the allocation of funds and submit it to FEMA immediately after the 45-day time period allotted for the State to obligate funds to sub-grantees.

Any UASI funds retained by the State must be used in direct support of the Urban Area. States must provide documentation to the UAWG and FEMA upon request

demonstrating how any UASI funds retained by the State are directly supporting the Urban Area. If the SAA intends to retain any UASI funds, the SAA must prepare an Investment that demonstrates how the retained funds will be used to directly support the designated Urban Area in the State. This Investment should be included in the designated Urban Area's II.

Supplemental OPSG Guidance

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

OPSG is intended to support United States border States and territories in accomplishing the following objectives:

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

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

- **Federal, State, Local, Tribal, and Territorial OPSG Integrated Planning Team (IPT).** It is recommended that Federal, State, local, Tribal, and territorial partners establish and maintain an OPSG IPT with representation from all participating law enforcement agencies, co-chaired by representatives from CBP/BP, the SAA, and participating law enforcement agencies' OPSG program representatives.

Coordination Requirements

All operational plans should be crafted in cooperation and coordination among Federal, State, local, Tribal, and territorial partners. Consideration will be given to applications that are

coordinated across multiple jurisdictions. All applicants must coordinate with the CBP/BP Sector Headquarters with geographic responsibility for the applicant's location in developing and submitting an Operations Order with an embedded budget to the SAA.

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

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

Management and Administration (M&A)

For information on how to determine M&A for OPSG awards, please review GPD policy, *Clarification for Allowable Management and Administration (M&A) Costs under the Operation Stonegarden Grant Program*, dated June 25, 2013. The policy is located at <http://www.fema.gov/media-library/assets/documents/33577>.

Additional Funding Considerations

Below are additional areas to consider where funding can be applied to strengthen preparedness efforts.

Enhancing Cybersecurity Capabilities

Applicants are encouraged to propose projects to aid in implementation of all or part of the National Institute of Standards and Technology (NIST) Cyber Security Framework when requesting funds for cybersecurity. The CSF is available at <http://www.nist.gov/cyberframework/upload/cybersecurity-framework-021214-final.pdf>. The Framework gathers existing global standards and practices to help organizations understand, communicate, and manage their cyber risks. For organizations that don't know where to start, the Framework provides a road map. For organizations with more advanced cybersecurity, the Framework offers a way to better communicate with their leadership and with suppliers about management of cyber risks.

The Department of Homeland Security's Critical Infrastructure Cyber Community C³ Voluntary Program also provides resources to critical infrastructure owners and operators to assist in adoption of the Framework and managing cyber risks. For more information visit <http://www.us-cert.gov/ccubedvp>.

Mass Casualty Incident Preparedness and Citizen Preparedness

Although the Citizen Corps Program (CCP) and Metropolitan Medical Response System (MMRS) are no longer funded as discrete grant programs within HSGP, States may include IJs funding and supporting CCP and MMRS activities/programs. Activities funded under these projects must meet the allowability requirements of the SHSP and UASI programs. The following coordination requirements will remain in place for proposed activities that support mass casualty incident preparedness, as well as citizen preparedness.

Mass casualty preparedness must be conducted in collaboration with State/city/local health departments that administer Federal funds from HHS to enhance the integration of local emergency management, public health, and health care systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident or a response to catastrophic events and acts of terrorism. Grantees must also demonstrate how their Investments will increase the effectiveness of emergency preparedness planning and response for the whole community by integrating and coordinating activities for vulnerable populations including children, the elderly, pregnant women, and individuals with disabilities and others with access and functional needs. Further, grantees are strongly encouraged to collaborate with local, regional, and State public health and health care partners, including Medical Reserve Corps Units and Citizen Corps Councils or their equivalent, as well as leverage other Federal programs, such as the HHS ASPR Hospital Preparedness Program and Emergency Systems for Advance Registration of Volunteer Health Professionals (ESAR-VHP), CDC Cities Readiness Initiative (CRI), PHEP, and Strategic National Stockpile Programs.

To demonstrate whole community engagement, Citizen Corps Councils and Community Emergency Response Teams (CERTs) programs must register new programs or update information on the website in order to be considered by a state or local jurisdiction for inclusion in their IJs when applying for HSGP funds. Program updates can be made at

<http://www.ready.gov/citizen-corps> and at <http://www.fema.gov/community-emergency-response-teams>. The Citizen Corps and CERT Core Capabilities Tool (CCT) has been developed to help grantees develop IJs that reference how Citizen Corps and CERT activities contribute to and support core capabilities. The CCT is available at <http://www.ready.gov/citizen-corps/citizen-corps-grant-information-and-financial-resources>.

Citizen preparedness must be coordinated by an integrated body of government and nongovernmental representatives. State and local government recipients of HSGP funds must have a coordinating body to serve as their Citizen Corps Council, with membership that includes, but is not limited to: representatives from emergency management, homeland security, law enforcement, fire service, EMS, public health or their designee, elected officials, the private sector (especially privately owned critical infrastructure), private nonprofits, nongovernmental organizations (including faith-based, community-based, and voluntary organizations), and advocacy groups for children, seniors, people with disabilities and others with access and functional needs.

Appendix C – Funding Guidelines

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

In general, grantees should consult with their FEMA Headquarters Program Analyst prior to making any Investment that does not clearly meet the allowable expense criteria established by the FOA. Funding guidelines established within this section support the five mission areas—Prevention, Protection, Mitigation, Response, and Recovery—and associated core capabilities within the Goal.

Allowable Investments made in support of the HSGP priorities as well as other capability-enhancing projects must fall into the categories of planning, organization, exercises, training, or equipment.

Planning (SHSP and UASI)

SHSP and UASI funds may be used for a range of emergency preparedness and management planning activities and such as those associated with the development of the THIRA, SPR, and other planning activities that support the Goal and placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v 2.0 For additional information, please see

http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf.

Organization (SHSP and UASI Only)

Organizational activities include:

- Program management;
- Development of whole community partnerships, through groups such as Citizen Corp Councils;
- Structures and mechanisms for information sharing between the public and private sector;
- Implementing models, programs, and workforce enhancement initiatives to address ideologically-inspired radicalization to violence in the homeland;
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors;
- Operational Support;
- 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;
- Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs in resulting from a National Special Security Event; and
- Paying salaries and benefits for personnel to serve as qualified intelligence analysts.

States and Urban Areas must justify proposed expenditures of SHSP or UASI funds to support organization activities within their IJ submission by using historical data or other analysis. All States are allowed to utilize up to 50 percent (50%) of their SHSP funding and all Urban Areas are allowed up to 50 percent (50%) of their UASI funding for personnel costs. At the request of

a recipient of a grant, the Administrator may grant a waiver of the 50 percent (50%) limitation noted above. Organizational activities under SHSP and UASI include:

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

As identified in the *Maturation and Enhancement of State and Major Urban Area Fusion Centers* priority, all fusion center analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*, which outlines the minimum categories of training needed for intelligence analysts. A certificate of completion of such training must be on file with the SAA and must be made available to the grantee's respective FEMA Program Analyst upon request. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing gaps in analytic capability identified during the fusion center's annual assessment.

- **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 State and local agencies) has been exhausted. Under no circumstances should DHS grant funding be used to pay for costs already supported by funding from another Federal source.
- **Operational overtime costs.** In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism, operational overtime costs are allowable for increased security measures at critical infrastructure sites. SHSP or UASI funds for organizational costs may be used to support select operational expenses associated with increased security measures at critical infrastructure sites in the following authorized categories:
 - Backfill and overtime expenses for staffing State or Major Urban Area fusion centers;

- Hiring of contracted security for critical infrastructure sites;
- Participation in Regional Resiliency Assessment Program (RRAP) activities;
- Public safety overtime;
- Title 32 or State Active Duty National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package (Note: Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package); and
- Increased border security activities in coordination with CBP, as outlined in IB 135 (<http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>).

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

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

Equipment (SHSP and UASI)

The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for HSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Lessons Learned Information System at <http://llis.gov/>. 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.

Grant funds may be used for the procurement of medical countermeasures. Procurement of medical countermeasures must be conducted in collaboration with State/city/local health departments who administer Federal funds from HHS for this purpose. Procurement must have a sound threat based justification with an aim to reduce the consequences of mass casualty incidents during the first crucial hours of a response. Prior to procuring pharmaceuticals, grantees must have in place an inventory management plan to avoid large periodic variations in supplies due to coinciding purchase and expiration dates. Grantees are encouraged to enter into rotational procurement agreements with vendors and distributors. Purchases of pharmaceuticals must include a budget for the disposal of expired drugs within each fiscal year's the period of performance for HSGP. The cost of disposal cannot be carried over to another FEMA grant or grant period.

Training (SHSP and UASI)

Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP and UASI programs and/or in

conjunction with emergency preparedness training by other Federal agencies (e.g., HHS and DOT). Training conducted using HSGP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or other assessments (e.g., National Emergency Communications Plan [NECP] Goal Assessments) and contribute to building a capability that will be evaluated through a formal exercise. Any training or training gaps, including those for vulnerable populations including children, the elderly, pregnant women, and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the State or Urban Area training cycle. Grantees are encouraged to use existing training rather than developing new courses. When developing new courses, grantees are encouraged to apply the Analysis, Design, Development, Implementation and Evaluation model of instructional design (Course Development Tool) located at <https://www.firstrespondertraining.gov>.

Exercises (SHSP and UASI)

Exercises conducted with FEMA support should be managed and executed in accordance with HSEEP. HSEEP guidance for exercise design, development, conduct, evaluation, and improvement planning is located at <https://www.llis.dhs.gov/hseep>.

Maintenance and Sustainment (SHSP, UASI, and OPSG)

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable, as described in FEMA Policy FP 205-402-125-1 (<http://www.fema.gov/media-library/assets/documents/32474>) under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to the original purchase of the equipment, the period covered by a maintenance or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty.

Grant funds are intended to support the Goal by funding projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide grantees the ability to meet this objective, the policy set forth in GPD's IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs which must be in 1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas contained within the Goal, and (4) shareable through the Emergency Management Assistance Compact. Additionally, eligible costs must also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars.

Law Enforcement Terrorism Prevention Allowable Costs (SHSP and UASI)

Activities eligible for use of LETPA focused funds are outlined in the National Prevention Framework (and where capabilities are shared with the protection mission area, the National Protection Framework) located at <http://www.fema.gov/national-planning-frameworks> and include:

- Maturation and enhancement of designated State and major Urban Area fusion centers, including information sharing and analysis, threat recognition, terrorist interdiction, and training/ hiring of intelligence analysts;
- Implementation and maintenance of the Nationwide SAR Initiative, including training for front line personnel on identifying and reporting suspicious activities;
- Implementation of the “If You See Something, Say Something™” campaign to raise public awareness of indicators of terrorism and terrorism-related crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations. Note: DHS requires that the Office of Public Affairs be given the opportunity to review and approve any public awareness materials (e.g., videos, posters, tri-folds, etc.) developed using HSGP grant funds for the “If You See Something, Say Something™” campaign to ensure these materials are consistent with the Department’s messaging and strategy for the campaign and the initiative’s trademark;
- Training for countering violent extremism; development, implementation, and/or expansion of programs to engage communities that may be targeted by violent extremist radicalization; and the development and implementation of projects to partner with local communities to prevent radicalization to violence, in accordance with the Strategic Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States; and
- Increase physical security, through law enforcement personnel and other protective measures by implementing preventive and protective measures at critical infrastructure site or other at-risk nonprofit organizations.

Critical Emergency Supplies (SHSP and UASI)

In order to further DHS’ mission, critical emergency supplies, such as shelf stable products, water, and basic medical supplies are an allowable expense under SHSP and UASI. Prior to the allocation of grant funds for stockpiling purposes, each state must have FEMA’s approval of a five-year viable inventory management plan which should include a distribution strategy and related sustainment costs if planned grant expenditure is over \$100,000.

If grant expenditures exceed the minimum threshold, the five-year inventory management plan will be developed by the grantee and monitored FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). FEMA GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under UASI. FEMA GPD and LMD will establish guidelines and requirement for the purchase of these supplies under UASI and monitor development and status of the State’s inventory management plan.

States (through their Emergency Management Office) are strongly encouraged to consult with their respective FEMA Regional Logistics Chief regarding disaster logistics- related issues. States are further encouraged to share their FEMA approved plan with local jurisdictions and Tribes.

Construction and Renovation (SHSP and UASI)

Project construction using SHSP and UASI funds may not exceed the greater of \$1,000,000 or 15 percent (15%) of the grant award. For the purposes of the limitations on funding levels, communications towers are not considered construction.

Written approval must be provided by FEMA prior to the use of any HSGP funds for construction or renovation. When applying for construction funds, including communications towers, at the time of application, grantees must submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits, and a notice of Federal interest. Additionally, grantees are required to submit a SF-424C Budget and Budget detail citing the project costs.

When applying for funds to construct communication towers, grantees and sub-grantees must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD using the guidelines in EHP Supplement prior to submitting materials for EHP review. Completed EHP review materials for construction and communication tower projects must be submitted no later than 12 months before the end of the period of performance. EHP review materials should be sent to gpdehpinfo@fema.gov.

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

OPSG funds may not be used for any type of construction.

Personnel (SHSP and UASI)

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable HSGP planning, training, exercise, and equipment activities. Personnel may include but is not limited to: training and exercise coordinators, program managers for activities directly associated with SHSP and UASI funded activities, intelligence analysts, and statewide interoperability coordinators (SWIC).

For further details, SAAs should refer to IB # 358 or contact their FEMA Headquarters Program Analyst.

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

The following are definitions as it relates to personnel costs:

- *Hiring.* State and local entities may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable FEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-FEMA program activities under any circumstances. Hiring will always result in a net increase of Full Time Equivalent (FTE) employees.
- *Overtime.* These expenses are limited to the additional costs which result from personnel working over and above 40 hours of weekly work time as a direct result of their

performance of FEMA-approved activities specified in this guidance. Overtime associated with any other activity is not eligible.

- *Backfill-related Overtime.* Also called “Overtime as Backfill,” these expenses are limited to overtime costs which result from personnel who are working overtime (as identified above) to perform the duties of other personnel who are temporarily assigned to FEMA-approved activities outside their core responsibilities. Neither overtime nor backfill expenses are the result of an increase of FTE employees.
- *Supplanting.* Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

Operational Packages (OPacks) (SHSP and UASI)

Applicants may elect to pursue operational package (OPack) funding, such as Canine Teams, Mobile Explosive Screening Teams, and Anti-Terrorism Teams, for new capabilities as well as sustain existing OPacks. Applicants must commit to minimum training standards to be set by the Department for all Federally funded security positions. Applicants must also ensure that the capabilities are able to be deployable, through EMAC, outside of their community to support regional and national efforts. When requesting OPacks-related projects, applicants must demonstrate the need for developing a new capability at the expense of sustaining existing core capability.

Western Hemispheric Travel Initiative (SHSP)

In addition to the expenditures outlined above, SHSP funds may be used to support the implementation activities associated with the Western Hemisphere Travel Initiative (WHTI), including the issuance of WHTI-compliant Tribal identification cards. More information on the WHTI may be found at http://www.dhs.gov/files/programs/gc_1200693579776.shtm or http://www.getyouhome.gov/html/eng_map.html.

Other Secure Identification Initiatives (SHSP)

SHSP funds may also be used to support the Department’s additional efforts to enhance secure identification, including driver’s license and identification security enhancements. Activities that facilitate secure identification, including IT enhancements for identification management and verification systems are a priority. DHS is currently developing and implementing a number of screening programs in which secure identification credentials figure prominently. These include the Transportation Worker Identification Credential (TWIC) program which promotes tamper-resistant biometric credentials for workers who require unescorted access to secure areas of ports, vessels, outer continental shelf facilities, and all credentialed merchant mariners; and the credentialing of first responders which entails enhancing real-time electronic authentication of identity and attribute(s) (qualification, certification, authorization, and/or privilege) of emergency response/critical government personnel responding to terrorist attacks or other catastrophic events.

States may continue implementing activities previously funded through the Driver's License Security Grant Program (DLSGP) that focus on securing driver's license and identification card issuance processes. Initiatives related to securing identification should:

- Have the greatest impact upon reducing the issuance and use of fraudulent driver's license and identification cards;
- Reduce the cost of program implementation for individuals, States, and the Federal government;
- Driver's license identification material requirements;
- Expedite State progress toward meeting minimum security standards; and
- Plan and expedite State-specific activities to support Federal data and document verification requirements and standards.

Operations (OPSG)

The intent of OPSG is to focus on operational aspects of enhancing coordination between Federal, State, local, Tribal, and territorial law enforcement agencies to increase the security of the United States borders.

- *Operational Overtime.* OPSG funds may be used for operational overtime costs associated with law enforcement activities, in support of border law enforcement agencies for increased border security enhancement. At the request of a grant recipient, the FEMA Administrator may waive the 50 percent (50%) personnel cap. Waiver decisions are at the discretion of the FEMA Administrator and will be considered on a case-by-case basis. A formal OPSG personnel waiver request should:
 - Be requested on official letterhead, include a written justification, and be signed by the local jurisdiction;
 - Include a budget and method of calculation of personnel costs both in percentage of the grant award and in total dollar amount. To avoid supplanting issues, the request must also include a three-year staffing history for the requesting entity;
 - Include an approved Operations Order from the CBP/BP Sector office which supports the local jurisdiction's written justification;
 - Be coordinated with the CBP Sector, SAA, and OBP; and
 - Be forwarded electronically by CBP to FEMA.
- *Part Time Personnel.* OPSG funds may be used to pay additional current part time law enforcement personnel salaries in order to bring them to temporary full time status.
- *Travel, Per Diem, and Lodging.* Travel and per diem include costs associated with the deployment/redeployment of personnel to border areas and for travel associated with law enforcement entities assisting other local jurisdictions in law enforcement activities. In addition, costs to support up to six month deployment of law enforcement personnel to critical Southwest Border locations to support operational activities (travel costs must be in accordance with applicable travel regulations).
- *Vehicle and Equipment Rentals.*
- *Vehicle/Equipment Maintenance.*
- *Fuel Cost and/or Mileage Reimbursement.* There is no cap for reimbursement of operational activities.

- *Activate Reserve State, local, Tribal, and territorial law enforcement personnel.* Supporting a request to the Governor to activate, deploy, or redeploy specialized National Guard Units/Package and/or elements of State law enforcement to increase or augment specialized/technical law enforcement elements operational activities.
- *Backfill.* Costs associated with backfill for personnel supporting operational activities.
- *Law Enforcement Readiness.* Use of OPSG funds may be used to increase operational, material, and technological readiness of State, local, Tribal, and territorial law enforcement agencies.

Unallowable Costs (OPSG)

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

Unallowable Costs (SHSP and UASI)

Per FEMA policy, the purchase of weapons and weapons accessories is not allowed with HSGP funds.

Per the Anti-Deficiency Act, federal government personnel, or representatives thereof, are prohibited from participation in projects awarded to sub grantees. This includes the solicitation, selection and monitoring of sub grantees.

Examples of Allowable Activities for SHSP and UASI

Planning Activities

Examples of planning activities include:

- Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, mitigation, response, and recovery activities as identified in the national planning frameworks
- Developing and implementing homeland security support programs and adopting DHS national initiatives including but not limited to the following:
 - Conducting a THIRA process
 - Implementing the Goal, National Preparedness System, and the Whole Community Approach to Security and Emergency Management including efforts to support strengthening of capacity among whole community partners
 - Pre-event recovery planning
 - Implementing the 2014 National Infrastructure Protection Plan (NIPP) and associated Sector Specific Plans

- Enhancing and implementing SCIPs and Tactical Interoperable Communications Plans (TICPs) that align with the goals, objectives, and initiatives of the *National Emergency Communications Plan* (NECP)
- Costs associated with the adoption, implementation, and sustainment of the NIMS, including implementing the NIMS Guideline for Credentialing of Personnel
- Modifying existing incident management and EOPs to ensure proper alignment with the coordinating structures, processes, and protocols described in the National Frameworks
- Establishing or enhancing mutual aid agreements
- Developing communications and interoperability protocols and solutions consistent with NIMS/ICS that include communications support for faith-based and voluntary organizations
- Developing emergency communications SOPs and plain language protocols
- Integrating emergency communications SOPs across jurisdiction, disciplines, and levels of government
- Conducting local, regional, and Tribal program implementation workshops
- Developing or updating resource inventory assets in accordance to NIMS-typed resource definitions which are managed by FEMA's National Integration Center (NIC) and can be found at: <http://www.fema.gov/resource-management>
- Designing State and local geospatial data systems
- Developing and conducting public education and outreach campaigns, including promoting individual, family, and organizational emergency preparedness and support for the National Preparedness Campaign including America's PrepareAthon! and Ready campaigns, as required by the National Preparedness System; alerts and warnings education; promoting training, exercise, and volunteer opportunities; informing the public about emergency plans, evacuation routes, shelter locations; and evacuation plans as well as CBRNE prevention awareness
- Designing programs to address targeting at-risk populations and engaging them in emergency management planning efforts
- Developing and conducting public education and outreach campaigns, including promoting individual, family, and organizational emergency preparedness and support for the national Campaign to Build and Sustain Preparedness, including America's PrepareAthon!, as required by the National Preparedness System; the Ready Campaign; alerts and warnings education; promoting training, exercise, and volunteer opportunities; informing the public about emergency plans, evacuation routes, shelter locations; and evacuation plans as well as CBRNE prevention awareness activities, materials, services, tools and equipment to achieve planning, protection, mitigation, response and recovery that is inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities)
- Preparing materials for SPRs
- WHTI implementation activities including the issuance of WHTI-compliant Tribal identification cards

- Conducting statewide emergency communications and preparedness planning, including the following activities:
 - Conducting/attending planning and governance workshops
 - Engaging and expanding the participation of the whole community in emergency communications planning, response, and risk identification
 - Participating in THIRA development process
 - Collecting and using data (e.g., NECP Goal Assessments, findings from national-level exercises) to assess user needs, capabilities, and gaps, and to facilitate coordination and asset-sharing
 - Assessing emergency communications needs and assets and integrating needs into State plans (e.g., SCIP, SPR, and broadband plans)
 - Coordinating with SWIC, SAA, and State-level planners to ensure proposed investments align to statewide plans (e.g., SCIP, State broadband plan) and comply with technical requirements
- Developing related terrorism prevention activities:
 - Coordinating fusion center efforts with other analytical and investigative efforts including, but not limited to JTTFs, Field Intelligence Groups (FIGs), High Intensity Drug Trafficking Areas (HIDTAs), Regional Information Sharing Systems (RISS) Centers, criminal intelligence units, and real-time crime analysis centers.
 - Developing THIRAs that reflect a representative makeup and composition of the jurisdiction
 - Developing initiatives that directly support local efforts to understand, recognize, prepare for, prevent, mitigate, and respond to pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with civil rights/civil liberties protections
 - Developing law enforcement prevention activities, to include establishing and/or enhancing a fusion center
 - Hiring an IT specialist to plan, develop, and implement the IT applications necessary for a fusion center
 - Developing and planning for information/intelligence sharing groups
 - Integrating and coordinating the fire service, emergency management, public health care, public safety, and health security data-gathering (threats to human and animal health) within designated fusion centers to achieve early warning, monitoring, and mitigation of threats
 - Hiring and training privacy, security, and/or fusion liaison officers (FLO) coordinators to support fusion center operations
 - Integrating and coordinating private sector participation with fusion center activities
 - Developing and implementing preventive radiological/nuclear detection activities
 - Acquiring systems allowing connectivity to State, local, Tribal, territorial, and Federal data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate
 - Planning to enhance security during heightened alerts, terrorist incidents, and/or during mitigation and recovery

- Accessible public information/education: printed and electronic materials, public service announcements, seminars/town hall meetings, and web postings coordinated through local Citizen Corps Councils
- Volunteer programs and other activities to strengthen citizen participation
- Conducting public education campaigns including promoting suspicious activity reporting and preparedness; individual, family, and organizational emergency preparedness; Promoting the national Campaign to Build and Sustain Preparedness and the Ready campaign
- Evaluating Critical Infrastructure Protection (CIP) security equipment and/or personnel requirements to protect and secure sites
- CIP cost assessments, including resources (e.g., financial, personnel) required for security enhancements/deployments
- Underwater Terrorist Protection Plans
- Developing and implementing a comprehensive model for preventing violent extremism in local communities:
 - Including existing law enforcement agencies' initiatives and including mechanisms for engaging the resources and expertise available from a range of social service providers, such as education administrators, mental health professionals, and religious leaders;
 - Enhancing engagement with communities to discuss violent extremism in an effort to (1) share sound, meaningful, and timely information about the threat of radicalization to violence with a wide range of groups and organizations, particularly those involved in public safety; (2) respond to concerns about government policies and actions; and (3) increase understand for how community-based solutions can be supported.
 - Building expertise, including a robust training program to improve cultural competency and to ensure that communities, government, and law enforcement receive accurate, intelligence-based information about the dynamics of radicalization to violence.
- Developing and enhancing risk centric capabilities-based plans and protocols, including but not limited to:
 - Community-based planning to advance “whole community” security and emergency management
 - Incorporating government/non-governmental collaboration, citizen preparedness, and volunteer participation into State and local government homeland security strategies, policies, guidance, plans, and evaluations
 - Developing, enhancing, maintaining a current EOP that conforms to the guidelines outlined in the CPG 101 v 2.0
 - Planning for the relocation of existing systems operating in the T-Band
 - Developing or enhancing local, regional, or Statewide strategic or tactical interoperable emergency communications plans including such actions to support communications with faith-based and voluntary entities who act as immediate responders in disaster
 - Developing or enhancing critical infrastructure planning, to include planning for incidents at chemical facilities

- Developing protocols or SOPs for specialized teams to incorporate the use of equipment acquired through this grant program
- Developing terrorism prevention/protection plans
- Developing plans, procedures, and requirements for the management of infrastructure and resources related to HSGP and implementation of State or Urban Area Homeland Security Strategies
- Developing plans for mass evacuation and pre-positioning equipment
- Developing or enhancing plans for responding to mass casualty incidents caused by any hazards
- Developing or enhancing applicable procedures and operational guides to implement the response actions within the local plan including patient tracking that addresses identifying and tracking children, access and functional needs population, and the elderly and keeping families intact where possible
- Developing or enhancing border security plans
- Developing or enhancing cybersecurity and risk mitigation plans
- Developing or enhancing secondary health screening protocols at major points of entry (e.g., air, rail, port)
- Developing or enhancing agriculture/food security risk mitigation, response, and recovery plans
- Developing public/private sector partnership emergency response, assessment, and resource sharing plans
- Developing or enhancing plans to engage and interface with, and to increase the capacity of, private sector/non-governmental entities working to meet the human service response and recovery needs of survivors
- Developing or updating local or regional communications plans
- Developing plans to support and assist jurisdictions, such as port authorities and rail and mass transit agencies
- Developing or enhancing continuity of operations and continuity of government plans
- Developing or enhancing existing catastrophic incident response and recovery plans to include and integrate Federal assets provided under the NRF and the National Disaster Recovery Framework (NDRF)
- Developing plans and response procedures for adjudicating, validating and responding to an alarm from a chemical or biological detector (response procedures should include emergency response procedures integrating local first responders)
- Developing or enhancing evacuation plans
- Developing mechanisms for utilizing the National Emergency Family Registry and Locator System (NEFRS)
- Developing or enhancing plans to prepare for surge capacity of volunteers
- Developing or enhancing the State EMS systems
- Developing or enhancing plans for donations and volunteer management and the engagement/integration of private sector/non-governmental entities, and faith-based organizations in preparedness, mitigation, response, and recovery activities
- Developing school preparedness plans

- Developing preparedness plans for child congregate care facilities, including group residential facilities, juvenile detention facilities, and public/private child care facilities
- Developing plans to educate youth on disaster preparedness
- Ensuring jurisdiction EOPs adequately address warnings, emergency public information, evacuation, sheltering, mass care, resource management from non-governmental sources, unaffiliated volunteer and donations management, and volunteer resource integration to support each Emergency Support Function, to include appropriate considerations for integrating activities, materials, services, tools and equipment to achieve planning inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities). Developing and implementing civil rights, civil liberties, and privacy policies, procedures, and protocols
- Designing and developing State, local, Tribal, and territorial geospatial data systems
- Developing and implementing statewide electronic patient care reporting systems compliant with the National Emergency Medical Services Information System (NEMSIS)
- Costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities
- Preparing and submitting SCIPs for SHSP, Preparing and submitting reports to the Office of Emergency Communications (OEC) on progress of implementing that State’s SCIP and achieving interoperability at the interstate, State, county, regional, and city levels
- Updating and implementing SCIP and TICP to:
 - Address findings and gaps identified in AARs from real world incidents and planned exercises, NECP Goal assessments, other State-level preparedness reports and assessments
 - Incorporate the National Preparedness System and DHS Whole Community initiatives
 - Address plans for implementation of the Federal Communications Commission (FCC) narrowband requirements
 - Describe strategic broadband planning activities and initiatives in preparation for the future deployment of the Nationwide Public Safety Broadband Network (NPSBN)
- 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
 - Participating Regional Resiliency Assessment Program (RRAP) activities
 - Conducting or updating interoperable emergency communications capabilities assessments at the local, regional, or Statewide level (e.g., Communications Assets and Mapping [CASM])
 - Developing border security operations plans in coordination with CBP

- Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
- Updating and refining threat matrices
- Conducting cyber risk and vulnerability assessments
- Conducting assessments and exercising existing catastrophic incident response and recovery plans and capabilities to identify critical capability gaps that cannot be met by existing local, regional, and State resources
- Activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs across disciplines (e.g., law enforcement, fire service, EMS, public health, behavioral health, public works, agriculture, information technology, and citizen preparedness)
- Activities that directly support the identification of pre-designated temporary housing sites
- Activities that support the identification and development of alternate care sites
- Conducting community assessments, surveys, and research of vulnerabilities and resource needs to determine how to meet needs and build effective and tailored strategies for educating individuals conducting assessments of the extent to which compliance with the integration mandate of disability laws is being achieved
- Conducting Preparedness research
- Conducting or updating interoperable emergency communications capabilities and broadband needs assessments at the local, regional, or Statewide level
- Soft target security planning (e.g., public gatherings)
- Developing, hosting, or participating in bombing prevention/counter-improvised explosives device (IED)-specific planning initiatives to include:
 - Incorporating appropriate IED-specific intelligence and threat analysis when developing and maintaining a THIRA;
 - Conducting inventories and assessments of capabilities or typed resource using the counter-IED-specific DHS National Counter-IED Capabilities Analysis Database (NCCAD) program for use in applicable THIRAs, preparedness reporting, or strategies;
 - Conducting DHS Multi-Jurisdiction IED Security Planning (MJIEDSP) workshops to develop THIRA-based plans and strategies that maximize the use of limited resources;
 - Developing IED hazard-specific EOP annexes.
 - Implementing a Corrective Action Plan (CAP) to close IED-related capability gaps identified through MJIEDSP or other planning processes
- Continuity of Operations/Continuity of Government (COOP/COG) Planning activities, which include but are not limited to:
 - Determining essential functions and activities, interdependencies, and resources needed to perform them
 - Establishing orders of succession and delegations of authority to key agency positions and establish and maintain current roster(s) of fully equipped and trained COOP personnel with the authority to perform essential functions
 - Providing for the identification and preparation of alternate operating facilities for relocated operations

- Providing for the regular training, testing, and exercising of COOP personnel, systems, and facilities
- Providing for reconstitution of agency capabilities and transition from continuity operations to normal operations
- Identifying resources for medical supplies necessary to support children during an emergency, including pharmaceuticals and pediatric-sized equipment on which first responders and medical providers are trained
- Ensuring subject matter experts, durable medical equipment, consumable medical supplies and other resources required to assist children and adults with disabilities to maintain health, safety and usual levels of independence in general population environments
- Developing and implementing a community preparedness strategy for the State/local jurisdiction
- Building and expanding governance structures to:
 - Include representatives from multiple agencies, jurisdictions, disciplines, levels of government, Tribes, rural areas, subject matter experts, and private industry
 - Integrate statewide leadership and governance structures into broader statewide planning efforts (e.g., statewide broadband planning activities, grants coordination activities, needs assessments) to ensure emergency communications needs are represented
 - Conduct outreach and education on emergency communications needs and initiatives to stakeholder groups
- Establishing, expanding, and maintaining volunteer programs and volunteer recruitment efforts that support disaster preparedness and/or response
 - Allowable volunteer programs and efforts include, but are not limited to: Citizen Corps Councils, partners, and affiliates; CERTs; Fire Corps; Medical Reserve Corps (MRC); Neighborhood Watch/USAonWatch; Volunteers in Police Service (VIPS); and jurisdiction-specific volunteer programs and efforts.
- Establishing and sustaining Citizen Corps Councils
- Working with youth-serving organizations and houses of worship to develop and sustain youth and faith-based preparedness programs

Additional Planning Information

The National Preparedness Directorate (NPD) offers technical assistance (TA) that is designed to provide grantees and sub-grantees with specialized expertise to improve their emergency plans and planning. TA deliveries are designed specifically to improve and enhance the continuing development of state and local emergency management across the five mission areas of the National Preparedness Goal and across all core capabilities. TA provides the opportunity to engage emergency managers, emergency planners, and appropriate decision-makers in open discussion of options to improve plans and planning in light of their jurisdiction's needs. There is no cost to approved jurisdictions for FEMA TA.

TA deliveries combine current emergency management best practices with practical consideration of emerging trends, through discussion facilitated by FEMA contract specialists and with the support of FEMA Region operational specialists. While the invitation of participants is up to the requesting jurisdiction, FEMA encourages requesting jurisdictions to

include the broadest practical range of its emergency managers and planners in all TA deliveries. TA deliveries should be made open to neighboring jurisdictions. As necessary, FEMA may also invite other Federal experts and practitioners to participate. Additionally, peer-to-peer representation may also be included from other jurisdictions that have recently used TA for the same planning issue.

The TA catalog, showing the full range of TA available across all five mission areas and by all providers, and the TA request form can be accessed at <http://www.fema.gov/national-incident-management-system/fema-technical-assistance-division>.

Organization Activities

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

- Program management:
 - Salary for a dedicated liaison who acts as the primary point of contact, coordinates the public-private partnership and ensures proper implementation of the strategic plan
 - Facilities, including meeting space and work space for private sector liaisons. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
 - Supplies needed to support regular communications
 - Implementation of infrastructure resilience enhancement options described in a RRAP report
- 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
- Sustain partnership efforts to include:
 - Support for in-person meetings, events, and workshops that bring the public and private sectors together. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
 - Web-based and social media tactics (webinars, emails, newsletters, alerts, databases, online collaboration tools, website development and maintenance, etc.)
 - Innovative approaches for reaching the Whole Community to include translated material for individuals that are blind and or have low vision capability, those with limited English proficiency, children within diverse and ethnic populations, and coalitions among citizens.
 - Leverage already existing structures and mechanisms, such as Citizen Corps, for sharing information and engaging members of the Whole Community to include: for-profit and not-for-profit entities, faith based and community organizations, youth-serving and youth advocates, those that support socio-economic and diverse cultures
- Structures and mechanisms for information sharing between the public and private sector:
 - Tools, software, programs, and other mechanisms that support two-way information sharing during normal and emergency operations

- Means to receive input or feedback from the private sector, and encourage participation from civic leaders from all sectors
- Regular and timely communications on subjects relating to all phases of emergency management, such as newsletters, emails, and alerts
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors
 - Web-based and new media platforms that allow real-time information exchange
 - Asset mapping, such as participation in FEMA’s Total Asset Visibility and LogViz initiatives
 - A seat(s) in the emergency operation center, or virtual EOC
- Operational Support:
 - Tools for identifying and tracking available paid and unpaid disaster response resources
 - Dedicated space and equipment for private sector representation within a State, county, or city emergency operation center
 - A dedicated business emergency operations center that works with the State, county or city EOC (not construction)
 - Tools for real time information sharing between the public and private sector
 - Licensing, screening, or other requirements for access to real EOC or virtual EOC
- Federal Emergency Response Official (F/ERO) Credentialing and Validation:
 - Working group meetings and conferences relating to emergency responder credentialing and validation
 - Compiling data to enter into an emergency responder repository
 - Coordinating with other State, local, territorial, and Tribal partners to ensure interoperability among existing and planned credentialing and validation systems and equipment
 - Planning to incorporate emergency responder identity and credential validation into training and exercises.

Training Activities

FY 2014 SHSP and UASI funds may be used to support attendance to allowable training deliveries and programs, as described below. FEMA funds must be used to supplement, not supplant, existing funds that have been appropriated for the same purpose. Allowable training-related costs include, but are not limited to, the following:

- *Developing, Delivering, and Evaluating Training.* Includes costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, disability accommodations, and equipment.
- Training that promotes individual, family, or community safety and preparedness is encouraged, including: all-hazards safety training such as emergency preparedness, basic first aid, lifesaving skills, crime prevention and terrorism awareness, school preparedness, public health issues, chemical facility incidents, mitigation/property damage prevention, safety in the home, light search and rescue skills, principles of NIMS/ICS, volunteer management and volunteer activities, serving and integrating people with disabilities, pet care preparedness, CPR/AED training, identity theft workshops, terrorism awareness seminars, and disability-inclusive community preparedness conferences. The delivery of

the CERT Basic Training Course and supplemental training for CERT members who have completed the basic training, the CERT Train-the-Trainer Course, and the CERT Program Manager course are strongly encouraged.

- Conducting, hosting, or participating in training related to IED prevention, protection, mitigation, or response to include:
 - Awareness and education for the public, private sector and first responders;
 - Suspicious activity identification and reporting, including the Surveillance Detection and Bomb-Making Materials Awareness Program (BMAP);
 - Management of bomb threats;
 - Physical protective measures;
 - Diversion control measures for dual-use explosive precursor chemicals, including the Surveillance Detection and Bomb-Making Materials Awareness Program (BMAP);
 - Training for specialized IED prevention and protection teams or OPacks such as Public Safety Bomb Squads, Explosives Detection Canine Teams, and Mobile Explosive Device Screening Teams in accordance with applicable guidelines, certification, or accreditation requirements.
- *Overtime and Backfill.* The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs, are allowable. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government and from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- *Travel.* Costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- *Hiring of Full or Part-Time Staff or Contractors/Consultants.* Payment of salaries and fringe benefits to full or part-time staff or contractors/consultants must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses. In no case is dual compensation allowable.
- *Certification/Recertification of Instructors.* States are encouraged to follow the NTE Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses that involve training of trainers. This information is contained in IB 193, issued October 20, 2005. Additional information can be obtained at http://www.fema.gov/good_guidance/download/10146.
- Training and exercises for the public or civilian volunteer programs supporting first responders, including CERTs, before, during and after disasters should address the needs of the Whole Community. Allowable training includes: all-hazards safety such as emergency preparedness, basic first aid, lifesaving skills, crime prevention and terrorism awareness, school preparedness, youth preparedness, public health issues, chemical facility incidents, mitigation/property damage prevention, safety in the home, light search

and rescue skills, principles of NIMS and ICS, volunteer management, serving and integrating people with disabilities, pet care preparedness, training necessary to participate in volunteer activities, fulfill surge capacity roles, integration and coordination of faith community roles, communication in disaster or promotes individual, family, or whole community safety and preparedness. Exercises that include members of the public or that are conducted for the public should be coordinated with local CERTs and/or Citizen Corps Councils as well as organizations outside of emergency management and focus on the importance of personal preparedness and protective actions.

Per FEMA Grant Programs Directorate Policy FP 207-008-064-1, *Review and Approval Requirements for Training Courses Funded Through Preparedness Grants*, issued on September 9, 2013, States, territories, Tribal entities and urban areas are no longer required to request approval from FEMA for personnel to attend non-FEMA training as long as the training is coordinated with and approved by the State, territory, Tribal or Urban Area Training Point of Contact (TPOC) and falls within the FEMA mission scope and the jurisdiction's Emergency Operations Plan (EOP). The only exception to this policy is for Countering Violent Extremism courses. The Policy can be accessed at <http://www.fema.gov/media-library/assets/documents/34856>.

FEMA will conduct periodic reviews of all State, territory, and Urban Area training funded by FEMA. These reviews may include requests for all course materials and physical observation of, or participation in, the funded training. If these reviews determine that courses are outside the scope of this guidance, grantees will be asked to repay grant funds expended in support of those efforts.

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

Additional Training Information

FEMA Provided Training. These trainings include programs or courses developed for and delivered by institutions and organizations funded by FEMA. This includes the Center for Domestic Preparedness (CDP), the Emergency Management Institute (EMI), and the National Training and Education Division's (NTED) training partner programs including, the Continuing Training Grants, the National Domestic Preparedness Consortium (NDPC) and the Rural Domestic Preparedness Consortium (RDPC).

Approved State and Federal Sponsored Course Catalogue. This catalogue lists State and Federal sponsored courses that fall within the FEMA mission scope, and have been approved through the FEMA course review and approval process. An updated version of this catalog can be accessed at <http://www.firstrespondertraining.gov>.

Training Not Provided by FEMA. These trainings includes courses that are either State sponsored or Federal sponsored (non-FEMA), coordinated and approved by the SAA or their designated TPOC, and fall within the FEMA mission scope to prepare State, local, Tribal, and

territorial personnel to prevent, protect against, mitigate, respond to, and recover from acts of terrorism or catastrophic events.

- *State Sponsored Courses.* These courses are developed for and/or delivered by institutions or organizations other than Federal entities or FEMA and are sponsored by the SAA or their designated TPOC.
- *Joint Training and Exercises with the Public and Private Sectors.* These courses are sponsored and coordinated by private sector entities to enhance public-private partnerships for training personnel to prevent, protect against, mitigate, respond to, and recover from acts of terrorism or catastrophic events. Overtime pay for first responders and emergency managers who participate in public-private training and exercises is allowable. In addition, States, territories, Tribes, and Urban Areas are encouraged to incorporate the private sector in government-sponsored training and exercises.

Additional information on both FEMA provided training and other federal and state training can be found at <http://www.firstrespondertraining.gov>.

Training Information Reporting System (“Web-Forms”). Web-Forms is an electronic form/data management system built to assist the SAA and its designated State, territory and Tribal Training Point of Contact (TPOC). Reporting training activities through Web-Forms is not required under FY 2014 HSGP, however, the system remains available and can be accessed through the FEMA Toolkit located at <http://www.firstrespondertraining.gov/admin> in order to support grantees in their own tracking of training.

Exercise Activities

Allowable exercise-related costs include:

- *Funds Used to Design, Develop, Conduct, and Evaluate an Exercise.* Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Grantees are encouraged to use government or free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any exercise or exercise gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the exercise cycle.
- 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.
- State grantees must follow their state’s formal written procurement policies.
- *Overtime and Backfill.* The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development, and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or

agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.

- *Travel.* Travel costs are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of exercise project(s) or HSEEP programmatic requirements as described in the HSEEP (e.g., Training and Exercise Plan).
- *Supplies.* Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., gloves, non-sterile masks, and disposable protective equipment).
- *Disability Accommodations.* Materials, services, tools and equipment for exercising inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities).
- *Other Items.* These costs include the rental of equipment and other expenses used specifically for exercises, costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children, adults with disabilities, and those with access or functional needs

Additional Exercise Information

If a State decides to use HSGP funds to conduct an exercise(s), it is encouraged they complete a progressive exercise series. Exercises conducted by States and Urban Areas may be used to fulfill similar exercise requirements required by other grant programs. Grantees are encouraged to invite representatives/planners involved with other federally-mandated or private exercise activities. States and Urban Areas are encouraged to share, at a minimum, the multi-year training and exercise schedule with those departments, agencies, and organizations included in the plan.

- *Exercise Scenarios.* The scenarios used in HSGP-funded exercises must be based on the State/Urban Area's THIRA. The scenarios used in HSGP-funded exercises must focus on testing capabilities, must be large enough in scope and size to exercise multiple activities and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities. Exercise scenarios should align with priorities and capabilities identified in the Multi-year Training and Exercise Plan.
- *Special Event Planning.* If a State or Urban Area will be hosting a special event (e.g., Super Bowl, G-8 Summit), the special event planning should be considered as a training or exercise activity for the purpose of the Multi-Year Training and Exercise Plan. The State or Urban Area should plan to use SHSP or UASI funding to finance training and exercise activities in preparation for those events. States and Urban Areas should also consider exercises at major venues (e.g., arenas, convention centers) that focus on evacuations, communications, and command and control.
- *Regional Exercises.* States should also anticipate participating in at least one Regional Exercise annually. States must include all confirmed or planned special events in the Multi-year Training and Exercise Plan.
- *Exercise Evaluation and Improvement.* Exercises should evaluate performance of capabilities against the level of capabilities required. Guidance related to exercise

evaluation and improvement planning is defined in the HSEEP located at <https://www.llis.dhs.gov/hseep>.

- *HSEEP Fundamental Principles*. States are expected to develop an exercise program based the following principles:
 - Guided by Elected and Appointed Officials;
 - Capability-based, Objective-driven;
 - Progressive Planning Approach;
 - Whole Community Integration;
 - Informed by Risk; and
 - Common Methodology.

Detailed information regarding the principles can be found in HSEEP located at <https://www.llis.dhs.gov/hseep>.

- *The 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, conclusion, and evaluation of an exercise. State, local, Tribal, and territorial jurisdictions are encouraged to develop exercises that test the integration and use of non-governmental resources provided by non-governmental entities, defined as the private sector and private non-profit, faith-based, community, disability, volunteer, and other non-governmental organizations. Non-governmental participation in exercises should be coordinated with the local Citizen Corps Council(s) or their equivalent and other partner agencies. The scenarios used in HSGP-funded exercises must focus on validating existing capabilities, must comply with and be large enough in scope and size to exercise multiple activities and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities.

Unauthorized Exercise Costs

Unauthorized exercise-related costs include:

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

Appendix D – FY 2014 OPSG Operations Order Template and Instructions

Operations Order Template Instructions

The OPSG Operations Order Template can be found at <http://www.grants.gov>.

Executive Summary Overview

Operations Order Executive Summary must:

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

Budget Requirements Overview

Operations Order Detailed Annual Budget must:

- Explain how costs and expenses were estimated.
- Provide a narrative justification for costs and expenses. Supporting tables describing cost and expense elements (e.g., equipment, fuel, vehicle maintenance costs) may be included.

Submission Requirements

Operations Orders must meet the following submission requirements:

- Must be created and submitted in Microsoft Word (*.doc)
- Must not exceed six pages in length
- Must be submitted using the following file naming convention: “FY 20XX OPSG <State Abbreviation> - <Local Unit of Government Name>”

Due to the competitive nature of this program, separate attachments will not be accepted or reviewed.

**FY 2014 OPERATION STONEGARDEN (OPSG) OPERATIONS
ORDER AND BUDGET TEMPLATE**

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

Executive Summary

I. Situation

A. General Situation:

B. Terrain/Weather:

C. C. Criminal Element:

D. D. Friendly Forces:

II. MISSION

III. EXECUTION

A. Management/Supervisor Intent:

B. General Concept:

C. Specific Responsibilities:

- 1.
- 2.
- 3.

D. Coordinating Instructions:

IV. BUDGET

Within the Operations Order, include budgets and operative spending plans in one-year increments (Year 1 and Year 2). The annual operations should be practical and able to be completed within the 24-month period of performance. Grantees may not begin operations, obligate, or expend any funds until the final Operations Order and embedded budget has been approved by FEMA GPD and CBP/BP Headquarters and any existing special conditions and/or restrictions are removed.

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

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

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

A.2 Cost Estimates/Funding Requests (Year 2):

< INSERT COST ESTIMATES AND FUNDING REQUESTS TABLE >

V. COMMAND/CONTROL/COMMUNICATION

A. Chain of Command:

B. Unit Command:

C. Communications Detail:

D. Map Coordinates:

Notes:

Longitude:

Latitude:

Degrees:

Minutes:

Seconds:

Decimal:

Location Zone:

ANNEX

A. Administration Annex:

B. Execution Annex:

C. Command Annex:

Media Action Plan:

Legal Review:

Risks:

Photos:

Appendix E – OPSG Operational Guidance

Appendix F is intended to provide operational guidance to applicants on the development of the concept of operations and campaign planning, the tactical operation period and the reporting procedures. This also delineates specific roles and responsibilities, expectations for operations, and performance measures. Successful execution of these objectives will promote situational awareness among participating agencies and ensure a rapid, fluid response to emerging border-security conditions.

OPSG uses an integrated approach to address transnational criminal activity. It is recommended that Federal, State, local, Tribal, and territorial partners establish and maintain an OPSG Integrated Planning Team (IPT) with representation from all participating law enforcement agencies, co-chaired by representatives from CBP/BP, the SAA, and participating law enforcement agencies' OPSG program representatives. U.S. Border Patrol will provide routine monitoring and technical expertise to each participating agency. Each operation will be reviewed for border-security value and approved by the corresponding sector's Chief Patrol Agent or his/her designee.

All operational plans should be crafted in cooperation and coordination among Federal, State, local, Tribal, and territorial partners. Consideration will be given to applications that are coordinated across multiple jurisdictions. All applicants must coordinate with the CBP/BP Sector Headquarters with geographic responsibility for the applicant's location in developing and submitting an Operations Order with an embedded budget to the SAA.

As OPSG continues to evolve, several proven practices have been recognized, centered on short-term, periodic operations in support of overarching near and long-term goals. A multi-step process will be established through the area IPT, including a campaign plan and a cycle of operations to ensure that OPSG partners maintain synergism and have a coordinated and measurable impact on reducing border-security risk.

I. Concept of Operations and Campaign Planning (Post Allocation Announcement/Pre-Award)

The overarching operational cycle involves three stages; application, concept of operations to formulate a Campaign Plan and one or more tactical operational periods, which are all developed by the IPT.

First Stage: Please refer to section IX of the full FOA.

Second Stage (Post Award): After awards are announced participants will create and submit an operations order that forms a campaign plan and captures the initial, generalized-budgetary intent to their IPT. The campaign plan should articulate the participant agency's long-term border security objectives and goals designed to mitigate border-security risk.

Funds should be obligated as needed to target specific threats or vulnerabilities and ensure that OPSG usage is commensurate to the unique risk of each border region. This may require several short-term operations that combine to form an ongoing operational cycle, ensuring that BP commanders and State, local, and Tribal agency partners reserve the flexibility to respond to the ever-changing elements of border security.

The operations plan also will articulate the budgetary intent of how funds will be used throughout the performance period. The operations plan will project planned expenditures in the following categories: overtime, equipment, instruction, travel, maintenance, fuel, and administrative funds. It can initiate the procurement of equipment, as well as state how much the county intends to use for M&A while keeping funds for overtime or residual equipment funds available for use as needed. If the recipient intends to spend more than 50% of their award on overtime over the course of the performance period, requests for an overtime waiver would be submitted at this time. The operations plan will meet both the SAA expectations to obligate the funds within 45 days of the award announcement and the demands of the grant's operational intent. Once the operations plan is approved, the area IPT will meet to initiate the last stage in the planning process.

Third Stage: Once the grantee is ready to conduct operations, the area IPT will begin planning tactical operations.

II. Tactical Operational Period

Operational discipline is necessary for the success of OPSG. Deliberate, adaptive, integrated, and intelligence-driven planning is critical to conducting targeted enforcement operations consistent with the objectives of the OPSG. By participating in the OPSG, the State, local, and Tribal agencies agree to conduct operations designed to reduce border-security risk. Tactical operations will be conducted on a periodic basis meeting the criteria outlined below.

Tactical operational periods are composed of six critical elements: 1) a pre-planning meeting with the IPT; 2) specified beginning and ending dates; 3) are intelligence driven, with a nexus to border security; 4) use targeted enforcement techniques; 5) have clearly stated objectives; and 6) conclude with an after-action meeting. A campaign should involve several tactical operational periods. These periods require deliberate on-going planning to ensure command, staff, and unit activities synchronize to current and future operations. The cyclical nature of the process will ensure OPSG activities align with the fluctuating border-security threats and vulnerabilities. Key planners should recognize that shorter, frequent tactical operational periods increase the flexibility and leverage gained through OPSG funding.

The IPT should leverage information provided by the fusion center, Border Intelligence Centers or other local intelligence center, when possible, and establish a common operational vision. The BP sector's Chief Patrol Agent, or his/her designee, will ensure that the information or intelligence has a clear nexus to border security. Intelligence will be shared and vetted for border security value, driving the focus of operations. The tactical operational period should focus on specific targets of interest or specific areas of interest identified by the IPT. Once intelligence-driven targets are identified, the IPT will decide on operational objectives that

reflect the intended impact of operations. The objectives should outline how the operation will deter, deny, degrade, or dismantle the operational capacity of the targeted transnational criminal organizations.

The frequency and duration of each tactical operational period should be predicated by local risk factors. The tactical operational period may combine to develop an operational cycle that is synchronous or asynchronous, connected, or unconnected, depending on security conditions and the IPT’s intent. Each tactical operational period will begin on a predetermined date and end on a predetermined date, but the dates may be subject to change commensurate with emerging security conditions. The starting date of the operational period should be established to allow sufficient time for the order to be submitted and approved through BP Headquarters and FEMA. Once approved, the operation can be conducted.

The following diagrams illustrate two different approaches for conducting operations:¹

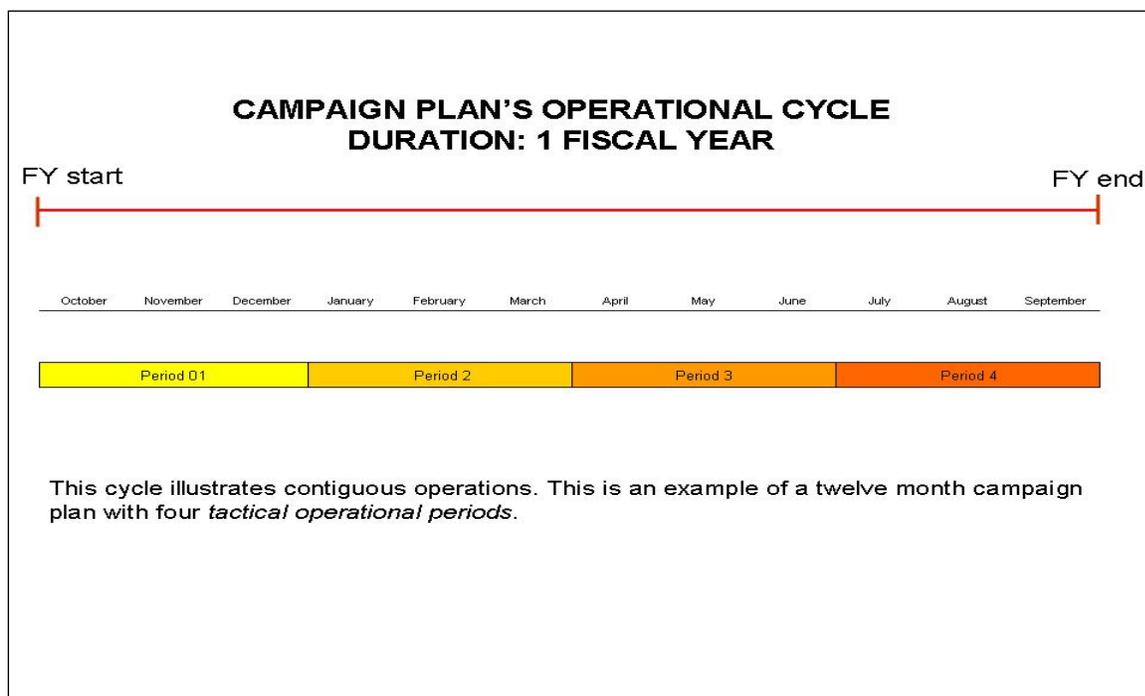


Figure 1: Example of an Ongoing Synchronized Operational Cycle

¹ These illustrations reflect a twelve month campaign plan. A campaign plan should be written to encompass the performance period. Performance periods vary from State to State, please contact the State Administrative Agency in your area for clarification.

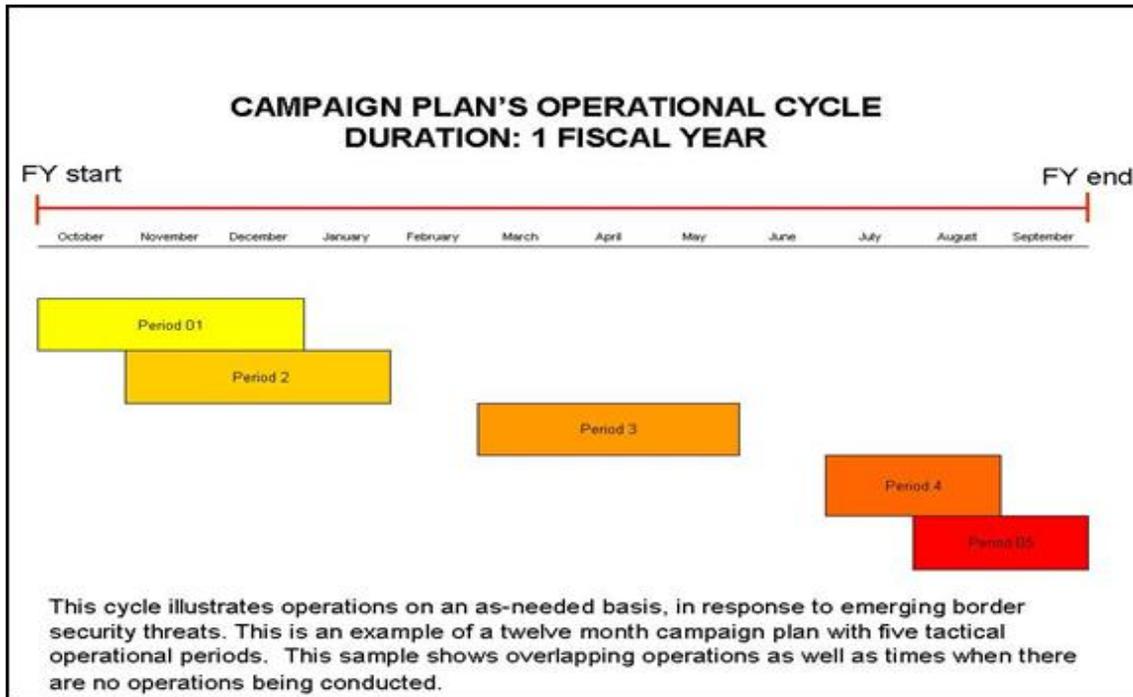


Figure 2: Example of a Dynamic, Unsynchronized Operational Cycle

III. Reporting Procedures

Participation in OPSG requires accurate, consistent, and timely reporting of how funds are used, and how the State, local and Tribal agencies’ operations have impacted border security through the mitigation of threat or vulnerability and the overall reduction of risk. Reporting will focus on: monitoring program performance; determining the level of integration and information sharing; and developing best practices for future operations. To ensure consistent reporting each State, local and Tribal agency will identify a single point of contact to represent their agency as a member of the IPT and to coordinate the submission of reports or execute other aspects of the grant.

Attachment A, *the Daily Activity Report* is to be used to submit the ongoing results and outputs from OPSG operations conducted. The Daily Activity Report will be submitted to the BP sector, if required, or to the participating agency’s OPSG coordinator. The agency coordinator will compile the results from each Daily Activity Report at the end of the month and submit a monthly report to the BP sector. The monthly report is due to sector by the 10th day of the following month. The BP sector will compile the results from the participating agencies and submit the results to BP Headquarters by the 15th of each following month.

In addition to the ongoing reporting of outputs, participants will be required to submit After Action Reports to participating agencies and the BP within 10 days of any completed operation, after convening a debrief meeting. The After Action Report should carefully articulate outcomes and outputs, as well as how the results of the operation compare with the objectives identified

during the pre-planning meeting. Failure to submit the After Action report in a timely manner may prevent the approval of future operations requests.

IV. Operational roles and responsibilities

In order to achieve unity of effort, it is essential that each participant know the roles and responsibilities within the IPT.

The BP sector's Chief Patrol Agent, or his/her designee, will:

- Coordinate and chair the area Integrated Planning Team's meetings
- Coordinate with all interested and eligible State, local, and Tribal agencies in the sector's area of operation during the open period of the OPSG application process by:
 - Assisting applicants in completing the operations planning portion of the application, which is similar to the Operations Order used by the Border Patrol²
 - Forwarding the approved operation portion of the application to CBP/BP Headquarters, as well as to the SAA to complete the application process set by FEMA/GPD
- Following the announcement of grant awards, coordinate and chair a meeting with State, local, and Tribal agencies that received OPSG awards to develop an individualized campaign plan. This includes:
 - Working with State, local, and Tribal agencies, along with other Federal law enforcement agencies to determine the dates, focus, and needs of each tactical operational period, ensuring that each operation has a nexus to border security;
 - Receiving the first periodic operations order from the State, local, and Tribal agencies and ensuring that the operation is conducted as outlined in Section I;
 - Monitoring and supporting the Operational Cycle throughout the performance period;
 - Ensuring Daily Activity and After Action Reports are submitted by State, local and Tribal agencies in the proper format and within the established timeframes;
 - Providing instruction, when possible, to State, local and Tribal agencies regarding techniques, methods and trends used by transnational criminal organizations in the area; and
 - Providing a single point of contact to participants as a subject matter expert in OPSG that can coordinate, collect, and report operational activities within the established reporting procedures.

The State, local or Tribal agency lead, or their designee, will:

- Coordinate with the SAA on all grant management matters, including but not limited to the development and review of operations orders, expenditure of funds, allowable costs, reporting requirements;

² This will not be entered into the Border Patrol Enforcement Tracking System (BPETS).

- Participate as a member of the Integrated Planning Team to facilitate the application process during the open period and ensure the application is submitted in compliance with the grant instructions;
- Upon receiving a grant award, coordinate and meet as a member of the Integrated Planning team to develop an individualized campaign plan that covers the length of the grant performance period;
- Work within the Integrated Planning team to develop an initial Operational Cycle and determine the duration of the first operational period based on the tactical needs specific to the area;
- Submit all operations orders to the SAA for review, and submit the first periodic operations order to the Border Patrol and ensure the operation meets the six criteria established in Section II;
- Conduct operations, on an as-needed basis throughout the length of the grant performance period;
- Ensure reports are submitted to the to the Border Patrol, and the SAA when applicable, in the proper format and within established timeframes;
- Ensure applicable Operation Stonegarden derived data is shared with the designated fusion center in the State and/or urban area.
- Request instruction and information from the SAA, when applicable, and/or Border Patrol and other Federal law enforcement agencies regarding techniques, methods, and trends used by transnational criminal organizations in the area; and
- Provide the SAA and Border Patrol a single point of contact that maintains subject matter expertise in OPSG who can coordinate, collect, and report operational activities within the established reporting procedures.

The SAA will:

- Actively engage in the IPT meetings;
- Work in direct coordination and communication with the local or Tribal agency lead on all grant management matters;
- Review all operations orders created by the local or Tribal agency;
- Acts as the fiduciary agent for the program and provide expertise in State policy and regulations;
- Enter into a sub-grant agreement with the award recipients to disburse the allocated funding awarded through FEMA/GPD;
- Generate quarterly reports to FEMA and the U.S. Treasury capturing the award recipients' obligation and expenditure of funds;
- Determine if the grant's performance period requires additional refinement over the federally established 24 month period; and
- Conduct audits of the program to ensure that the award recipients are in compliance with program guidance.

Attachment A:

Operation Stonegarden

Daily Activity Report

Date Information

Date of Activity

FY Funds Used

Select... 

Agency Identifiers

Sector

Agency Type





Region/County

Agency Name





Operational Expenses

Overtime Hours

Labor Cost

Miles Driven/Patrolled

Mileage Cost

Fuel Used (in Gallons)

Fuel Cost

Equipment on Order

Equipment Cost

Total Cost

Operational Activity

Narcotics Seizures

Misdemeanor Arrests

Subjects TOT BP

Cash Seizures

Felony Arrests

Cases TOT BP

Weapons Seizures

Outstanding Warrants

Criminal Aliens TOT BP

Vehicle Seizures

Citations Issued

Vehicle Stops

Specialty Equipment

Intel Reports

***Click the orange arrows below to add details about seizures and arrests.

Specialty Equipment Usage

Surveillance Tower 

Marine Patrol Asset 

Armored Vehicle 

Mobile Command Center 

Aviation Asset 

Other Spec. Equipment 

Narcotic Seizure Details

Type	Weight	Report Number	Location	Comments
Select...				

Currency Seizure Details

Amount	Report Number	Location	Comments

Vehicle Seizure Details

Make/Model	Estimated Value	Location	Comments

Weapon/Ammunition Seizure Details

Weapon Type	Amount Seized	Report Number	Location	Comments

Specialty Equipment Usage Details

Specialty Equipment	Report Number	Location	Comments

Significant Arrest Details

Name	Date of Birth	Report Number	Location	Comments

Intelligence Summary

Category	Report Number	Location	Summary

Authorizing Officer

Date of Report

V. Definitions

Integrated Planning Team: The IPT will consist of the awarding State Administrative Agency, local, and Tribal OPSG stakeholders within their Border Patrol sector area and U.S. Border Patrol representatives, but may include other area Federal law enforcement agencies if deemed

necessary by the Chief Patrol Agent. The Integrated Planning Team will be used for all aspects of OPSG application, planning, and de-briefings.

Area of Interest: A specific area, areas, or facilities known to be used by transnational criminal organizations in furtherance of their criminal activity.

Campaign Plan: A series of related law enforcement operations aimed at accomplishing a strategic or operational objective within a given time and space.

Concept of Operations: A written statement that clearly and concisely expresses what the State, local or Tribal commander intends to accomplish and how it will be done using available resources (and funding).

Operational Cycle: A deliberate on-going cycle of command, staff, and unit activities intended to synchronize current and future operations (driven by current intelligence and short-term goals that support the campaign).

Operational Discipline: The organized manner in which an organization plans, coordinates, and executes the OPSG mission with common objectives toward a particular outcome.

Performance Measure: A numerical expression that quantitatively conveys how well the organization is doing against an associated performance goal, objective, or standard.

Tactical Operational Period: An operational segment that meets the following six criteria: 1) specified beginning and ending dates; 2) begins with pre-planning; 3) is intelligence driven; 4) uses targeted enforcement techniques; 5) has clearly stated objectives; and 6) concludes with an after-action meeting.

Targeted Enforcement: The leveraging of all available assets against a specific action, area, individual, or organization and using those deemed most appropriate to mitigate risk.

Target of Interest: A specific person, group of persons, or conveyance known to be part of, or used by transnational criminal organizations to advance their criminal activity.

Threat: Information expressing intent to conduct illegal activity often derived from intelligence sources, the overall context, a specific event or series of events, or observation of suspicious activity.

Vulnerability: The protective measures in place are less than the protective measures needed to mitigate risk.

Unity of Effort: Coordination and cooperation among all organizational elements, even though they may not be part of the same “command” structure, to achieve a success.