

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

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

Tribal Homeland Security Grant Program

Authorizing Authority for Program

Sec. 2005 of the *Homeland Security Act of 2002*, as amended (Pub. L. No. 107-296) (6 U.S.C. § 606)

Appropriation Authority for Program

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

Opportunity ID Number

DHS-14-GPD- 067-000-02

Key Dates and Time

Application Start Date:	03/18/2014
Application Submission Deadline:	05/23/2014 at 11:59:59 p.m. EDT
Anticipated Funding Selection Date:	07/26/2014
Award Date:	No later than 9/30/2014

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. 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 Fiscal Year (FY) 2014 THSGP 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. 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 FY 2014 THSGP's allowable costs support efforts to build and sustain core capabilities across the prevention, protection, mitigation, response, and recovery mission areas.

Funding Category

Continuing

Date of origin for Program:

01/04/2007

Type of Funding Instrument

Discretionary grant

Application process

The Department of Homeland Security (DHS) 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

Federally recognized Native American Tribal Governments that are "directly eligible Tribes."

Federally recognized Tribes are those Tribes appearing on the list published by the Secretary of the Interior pursuant to the *Federally Recognized Indian Tribe List Act of 1994* (Pub. L. No. 103-454) (25 U.S.C. § 479a-1).

"Directly eligible Tribes" are defined in sec. 2001 of the *Homeland Security Act of 2002*, (6 U.S.C. § 601).

FULL FOA ANNOUNCEMENT

I. Funding Opportunity Description

A. Program Summary

THSGP supports the building, sustainment and delivery of core capabilities to enable Tribes to strengthen their capacity to prevent, protect against, mitigate, respond to, and recover from potential terrorist attacks and other hazards.

B. Program Priorities

The anticipated effects of the proposed use of the THSGP grant funds are to increase the ability of Tribes to prevent, prepare for, protect against, and respond to acts of terrorism, to meet its capability targets, and to otherwise reduce the overall risk to Tribes, high-risk urban areas, States, and the Nation.

C. Program Objectives

The objective of THSGP is to implement the National Preparedness System and support efforts that build and sustain core capabilities such as:

- Advancing a whole community approach to security and emergency management
- Strengthening governance integration by working with local and regional preparedness partners
- Improving immediate emergency victim care at mass casualty events
- Sustaining support innovation and sustaining support for the National Campaign for Preparedness

For additional information on program priorities and objectives for the FY 2014 THSGP, refer to Appendix A – FY2014 THSGP Priorities.

II. Funding Information

A. Available Funding for the FOA

\$10,000,000

i. Prior Year Allocations

Fiscal Year	Applications Received	Number of Awards	Average Award
2011	58	21	\$476,190
2012	50	23	\$260,870
2013	44	28	\$357,143

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 the period of performance extensions, refer to Information Bulletin (IB) 379 located at <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>.

III. Eligibility Information

A. Eligibility Criteria

In order to be eligible to receive THSGP funding, grantees must be Federally recognized Tribes that are “directly eligible Tribes.” Per 6 U.S.C. § 601(4), the term “directly eligible Tribe” means:

- (A) Any Indian Tribe -
 - (i) that is located in the continental United States;
 - (ii) that operates a law enforcement or emergency response agency with the capacity to respond to calls for law enforcement or emergency services;
 - (iii)
 - a. that is located on or near (50 miles) an international border or a coastline bordering an ocean (including the Gulf of Mexico) or international waters;
 - b. that is located within 10 miles of a system or asset included on the prioritized critical infrastructure list established under section 210E(a)(2) [of the *Homeland Security Act of 2002*, as amended] or has such a system or asset within its territory;
 - c. that is located within or contiguous to one of the 50 most populous metropolitan statistical areas in the United States; or
 - d. the jurisdiction of which includes not less than 1,000 square miles of Indian country, as that term is defined in section 1151 of title 18, United States Code; and
 - (iv) that certifies to the Secretary that a State has not provided funds under section 2003 [UASI] or 2004 [SHSP] of [the *Homeland Security Act of 2002*, as amended] to the Indian Tribe or consortium of Indian Tribes for the purpose for which direct funding is sought; and
- (B) a consortium of Indian Tribes, if each Tribe satisfies the requirements of subparagraph (A).

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

In FY 2014, applicants must self-certify as to whether they meet the eligibility requirements. Self-certification will be provided on the THSGP Eligibility Certification Form as part of application Investment Justification (IJ). Any questions regarding an

applicant's proximity to a Critical Infrastructure (CI) site, as described in the eligibility criteria, may be directed to the State Administrative Agency (SAA) for the State in which the Tribal lands are situated.

1. Cost Match

Cost match is not required under this program.

2. Maintenance of Effort

This program does not have a maintenance of effort requirement.

3. Pass through funding

Pass through funding is not required under this program.

4. Other Eligibility Requirements

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 standardized resource management concepts such as typing, inventorying, and cataloging, promote strong national mutual aid capabilities that are needed to support the 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 multi-jurisdictional 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 v.2, *Developing and Maintaining Emergency Operations Plans*. Grantees will use the Unified Reporting Tool (URT) to report their compliance with this reporting requirement. The URT is FEMA's collection mechanism for THIRA and related preparedness information. The FY

2014 URT includes questions related to NIMS adoption and implementation, Comprehensive Preparedness Guide 101v2 compliance, and other preparedness questions, as appropriate.

Threat and Hazard Identification and Risk Assessment (THIRA)

FY 2014 THSGP award recipients must complete, or update (for FY 2013 THSGP grantees) their THIRA using the Unified Reporting Tool (URT) by December 31, 2014. Further details on the THIRA as it relates to THSGP Program requirements can be found in Appendix A – FY 2014 THSGP Priorities. For additional guidance on THIRA, please refer to CPG 201, Second Edition, available at www.fema.gov/plan.

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.

THSGP Program grantees may only fund activities and projects that were included in the FY 2014 THSGP IJ(s) submitted to and approved by FEMA.

i. Pre-award costs

Pre-award costs are allowed, but only with the prior written consent of DHS and if they are included in the award agreement.

ii. Direct costs

Management and Administration (M&A)

Management and administration costs are allowed. Grantees may use up to 5 % of the amount of the award for M&A. M&A activities are those defined directly relating to the management and administration of THSGP funds, such as financial management and monitoring.

Planning

Planning related costs are allowed under this program.

Organization

Grantee organization costs for managing the grant and to carry out the grant's 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.

Personnel Activities

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

Travel

Domestic travel costs are allowed under this program, as provided for in this FOA. International travel is not an allowable cost under this program unless approved in advance otherwise by FEMA.

Construction and Renovation

Construction and renovation costs to achieve capability targets related to preventing, preparing for, protecting against, or responding to acts of terrorism are allowed under this program. For construction costs to be allowed, they must be specifically approved by FEMA in writing prior to the use of any program funds for construction or renovation. Limits on the total amount of grant funding that may be used for construction or renovation may apply. See Appendix B for additional details. Additionally, grantees are required to submit a SF-424C Budget and Budget detail citing the project costs.

Operational Overtime

Operational Overtime costs are allowed under this program.

Maintenance and Sustainment

Maintenance and Sustainment related costs are allowed under this program.

Critical Emergency Supplies

Critical emergency supply related costs are allowed under this program.

Secure Identification

Secure Identification project 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

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 the THSGP 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

Applications for FY 2014 THSGP funds will be awarded based on two factors: 1) eligibility, and 2) effectiveness.

Eligibility is defined in the *Homeland Security Act of 2002*, as amended and must be self-certified by applicant. “Eligibility is defined in the *Homeland Security Act of 2002*, as

amended. Applicants must self-certify that they are a “directly eligible tribe” as defined at 6 U.S.C. § 601(4). See section III.A., *Eligibility Criteria*, for further information.

Effectiveness is determined based on completeness and adherence to programmatic guidelines. Effectiveness is determined by a panel of peer reviewers who analyze and score the anticipated effectiveness of each individual proposed Investment.

Only the information included in the application will be scored in the peer review process. Prior to deeming an application eligible for peer review, FEMA will review submitted applications for completeness.

Completeness is determined by FEMA by confirming that applicants have:

- The applicant has self-certified the tribe’s eligibility per the *Homeland Security Act of 2002*, as amended.
- The application meets all of the administrative criteria identified in the application kit, to include the required submission of an Investment Justification (IJ) by the established due dates.

Applicants who have not received funding in prior years will receive five (5) points in addition to the peer reviewers’ average score for each Investment submitted as part of their IJ.

B. Reviewer Selection

Tribes are encouraged to participate as volunteer reviewers in the FY 2014 THSGP peer review process. FEMA/GPD seeks peer reviewers who are:

- Experienced tribal professionals with a homeland security/emergency management background;
- Experienced homeland security professionals, such as State Administrative Agency (SAA) professionals, Homeland Security Advisors, Urban Area Working Group members, emergency management response personnel, or academics with a background in homeland security/emergency management;
- Representative of a variety of disciplines, including homeland security, emergency management, law enforcement, fire and rescue, etc.;
- Familiar with applications for funding and the application review process.

Participation in the process will provide reviewers the unique opportunity to gain insight into the evaluation process and to learn innovative ideas being utilized by their peers. Those interested in participating in the peer review process should contact THSGPreview@fema.dhs.gov.

For additional details on application review information, please refer to Appendix C - *THSGP Investment Justification (IJ) Outline*.

C. Application Selection Process

FEMA will use the results of the peer review effectiveness scores to make recommendations for funding of eligible applicants to the Secretary of Homeland Security.

VI. Federal Award Administration Information

A. Notice of Award

Notification of award approval is made through the Non Disaster Grants (ND Grants) System through an automatic e-mail to the awardee point of contact (the “authorized official”) listed in the initial application. The date the 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 the 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 notice to receive an award under this program.

i. Standard Terms and Conditions

All successful applicants for all DHS grant and cooperative agreements must 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 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 fund drawdowns 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, Tribes, 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 for 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

Performance Progress Reports (SF-PPR)

THSGP grantees are responsible for providing updated performance reports using the SF-PPR (OMB Control Number: 0970-0334) on a semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period. Grantees must submit the

cover page of the SF-PPR 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.

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

D. Monitoring

Grant Award recipients will be monitored programmatically and financially on an annual and as needed basis by FEMA to ensure that the activities and 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 final closeout 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:

- i. Final request for payment, if applicable;
- ii. SF-425 –Final Federal Financial Report
- iii. SF-PPR – Final Performance Progress Report
- iv. A qualitative narrative summary on the impact of those accomplishments throughout the entire period of performance submitted to the respective Regional Program Analyst in a Word document;
- v. SF-428-b – 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-b.pdf.
- vi. 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.
- vii. 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 be considered only through formal, written requests to the grantee's respective GPD Headquarters Program Analyst and must contain specific and compelling justifications as to why an extension is required. Tribes are advised to coordinate with the GPD Headquarters Program Analyst as needed, when preparing an extension. 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. For more details please review Information Bulletin 379 at <http://www.fema.gov/pdf/government/grant/bulletins/info379.pdf>.

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, tribal, 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@fema.gov, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

ii. Grant Programs Directorate Grant Operations Division

GPD's Grant Operations Division Business Office provides financial support and technical assistance. 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. The Grant Operations division manages, administers, and conducts application budget review, creates the award package, approves, amends and closes out awards.

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 www.grants.gov, please call the Grants.gov customer support hotline at (800) 518-4726.

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. The FY 2014 THSGP plays an important role in 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. Information on the National Preparedness System can be found in the National Preparedness System Description (released Nov 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 and how it is supported by the THSGP can be found in Appendix A –*THSGP Priorities*.

FY 2014 Unified Reporting Tool (URT)

The URT is FEMA’s collection mechanism for THIRA and related preparedness information. The FY 2014 URT includes questions related to NIMS adoption and implementation, Comprehensive Preparedness Guide 101v2 compliance, and other preparedness questions, as appropriate.

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) Number;
- 3) Updating or verifying their System for Award Management (SAM) Registration;
- 4) Submitting an initial application in grants.gov; and
- 5) Submitting the complete application in ND Grants system.

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 Dun and Bradstreet Data Universal Numbering System (DUNS) Number

The applicant must provide a DUNS number with their application. This number is a required field 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 funding 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 the funding award and/or incorrect payment to a grantee organization.

Organization applicants applying for an EIN should plan on a minimum of 2 full weeks to obtain an EIN.

If you need assistance registering an EIN, please 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 up to date 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 review 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 <http://www.grants.gov>. The initial on-line application in grants.gov requires completing

- Standard Form 424 (SF424), 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 Opportunity ID 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 in grants.gov at least ten 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. Final Application Submission in the 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 located <https://portal.fema.gov>. 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.

In ND Grants applicants will be prompted to submit all of the information contained in the following forms. Applicants should review these forms before applying to ensure they have all the information required.

- Standard Form 424A, Budget Information (Non-construction);
- Standard Form 424B, Standard Assurances (Non-construction);
- Standard Form 424D, Standard Assurances (Construction) if applying for funds to use for construction; and
- Standard Form LLL, Disclosure of Lobbying Activities.

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

- THSGP Investment Justification (OMB Control Number: 1660-0113/FEMA Form: 089-22) (see Appendix C–THSGP Investment Justification Outline for a description of the IJ and the IJ submission process);
- Standard Form 424 C Budget Information (Construction) if applying for funds to use for construction;
- Indirect Cost Agreement if applicable.

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.

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

Appendix A - THSGP Priorities

Alignment of THSGP to the National Preparedness System

The National Preparedness System is the instrument the Nation will employ 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. 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 THSGP plays an important role in the implementation of the Goal by supporting the building, sustainment, and delivery of the Goal’s core capabilities. Core capabilities are essential for the execution of critical tasks 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 THSGP allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

Particular emphasis in THSGP will be placed on capabilities that address the greatest risks to the security and resilience of tribal communities and the United States. Funding will support deployable assets that can be utilized through automatic assistance and mutual aid agreements.

Using the core capabilities, FY 2014 THSGP 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.
- 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 us to use 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, which 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>.

Building and Sustaining Core Capabilities

FY 2014 THSGP focuses on the development and sustainment of core capabilities as outlined in the Goal. Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential capabilities are the core capabilities identified in the Goal.

Working together, individuals, tribal government officials, and elected leaders can develop plans to allocate resources effectively and reduce risk. For these plans to be effective, those involved must consider methods to reduce and manage risk as well as how to sustain appropriate levels of capability and address potential shortfalls in order to achieve the Goal.

Achieving the Goal will require participation and resources from the whole community. Not all capabilities can be addressed in a given local, tribal, State, or Federal funding cycle, nor can funding be expected to flow from any one source. Officials must prioritize the achievement of certain capabilities to most effectively ensure their security and resilience while understanding the effects of not addressing other identified needs. Building and sustaining capabilities will include a combination of organizational resources, equipment, training, and education. Consideration must also be given to finding, connecting to, and strengthening community resources by using the expertise and capacity of individuals, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. Jurisdictions must also use mutual aid agreements to fill needs and work with partners to develop regional capabilities. Ultimately, a jurisdiction may need to rely on other levels of government or partners to address a particular need. This expectation should be communicated well before an event occurs when the capabilities are most urgently needed.

As these issues are considered in light of the eligible activities, the results of an effective THIRA must inform jurisdictions' preparedness planning efforts. This risk picture will provide an understanding of potential consequences from the range of threats and hazards a community faces daily as well as those infrequent events that would stress the core capabilities of a jurisdiction. Coupled with the desired outcomes and capability targets established by a community, this combined perspective is crucial to enabling all levels of government, including tribal nations, to effectively estimate the level of capabilities required to manage its greatest risks.

Files and information on the National Preparedness System and the Goal can be found at <http://www.fema.gov/national-preparedness/national-preparedness-system>.

Additional Considerations

Strengthening Governance Integration

DHS preparedness grant programs are intended to support the core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response and Recovery that are necessary to prepare for incidents that pose the greatest risk to the Nation's security. Each program reflects the Department's intent to build and sustain an integrated network of national capabilities across all levels of government and the whole community. Disparate governance structures must be integrated and refined to ensure resources are targeted to support the most critical needs of a community based on risk driven, capabilities-based planning. Strong and inclusive governance systems better ensure that disparate funding streams are coordinated and applied for maximum impact.

DHS requires that all governance processes that guide the allocation of preparedness grant funds adhere to the following guiding principles:

- *Coordination of Investments* – resources must be allocated to address the most critical capability needs.
- *Transparency* – stakeholders must be provided visibility on how preparedness grant funds are allocated and distributed, and for what purpose.
- *Substantive Local Involvement* – the tools and processes that are used to inform the critical priorities, which DHS grants support must include local government representatives. At the State, Tribal, and regional level, local risk assessments must be included in the overarching analysis to ensure that all threats and hazards are accounted for.
- *Flexibility with Accountability* – recognition of unique preparedness gaps at the Tribal level, as well as maintaining and sustaining existing capabilities.
- *Support of Regional Coordination* – recognition of inter/intra-state partnerships and dependencies at the state, Tribal, and regional level, and within metropolitan areas.

Threat and Hazard Identification and Risk Assessment (THIRA)

Knowledge of risks enables a community to make informed decisions about how to manage risk and develop needed capabilities. Risk is commonly thought of as a product of a threat or hazard, the vulnerability of a community or facility to a threat or hazard, and the resulting consequences that may impact the community or facility. By considering these elements of risk, which often change, as well as the impact of successful mitigation initiatives, as outlined in the National Preparedness System (<http://www.fema.gov/national-preparedness-system>), a community can understand how to best manage or reduce its exposure to risk.

Federal investments in local, State, territorial, and tribal preparedness capabilities have contributed to the development of a significant national-level capacity to prevent, protect against, mitigate, respond to, and recover from emergencies and catastrophic incidents. THSGP prescribes national capability priorities in order to prioritize and invest in key deployable capabilities.

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. CPG 201, Second Edition, a guide on how to complete a THIRA, is available at <http://www.fema.gov/national-preparedness/plan>. In step four of the THIRA process, tribal grantees should apply the results to a capability estimation process to determine the resources needed to deliver core capabilities to the targets set in their THIRAs. Tribal grantees 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 tribal grantee should decide which combination of resources is most appropriate to achieve its capability targets. Tribal grantees should apply the results of their THIRA to determine the resources needed to deliver core capabilities to the targets set in their THIRAs. This process should consider identifying, connecting to, and strengthening community resources by using the expertise and capability of the whole community; individuals, communities, the private and nonprofit sectors, faith-based organizations, and all levels of government.

The outputs of the process serve as the foundation for tribal grantees to work with whole community partners to develop strategies to reduce resource requirements through mitigation and protection activities, sustain current strengths in investments where capabilities have already been built, obtain required resources from whole community partners or borrow resources through mutual aid to address requirements, and build new capabilities through grants and investments. Tribal grantees should consider all resources available to it, including local and State support, bond initiatives, mutual aid, and Federal grants, as appropriate, to support building and sustaining capabilities.

Data from the State Hazard Mitigation Plan, Fusions Centers and other sources of threat and risk data should be considered when developing a tribal THIRA. Ultimately, a tribal grantee may find that it can address capability needs through existing or new mutual aid agreements with neighboring communities or satisfy resource requirements through the private sector or other means in order to build and sustain capabilities.

Risk-informed planning, such as that based on the THIRA output is consistent with and expands on nationally accepted emergency management standards, which have long required using risk assessments, such as hazard mitigation plans, as the basis for planning across the mission areas. A continuous cycle of identifying and assessing risk, estimating capabilities, implementing strategic plans, and incorporating the results into future THIRAs allows tribes to identify and understand changes to its risk landscape. It also provides the means to communicate and educate individuals, families, businesses, organizations, community leaders, and senior officials on the risks facing a community and the required capabilities to address them. THSGP grantees must also ensure that regional plans (e.g., emergency operations plans, local/tribal/regional/state catastrophic plans, etc.) incorporate the desired outcomes from the THIRA in order to address the roles, responsibilities, strategies and procedures necessary to deliver the core capabilities, and achieve secure and resilient communities.

FY 2014 THSGP grantees are required to complete a THIRA (or update their THIRA if one was completed for FY 2013) using the Unified Reporting Tool (URT) by December 31, 2014 and submit a final THIRA to their respective FEMA Region. THIRA documents shall be in alignment with CPG 201, Second Edition: Threat and Hazard Identification and Risk Assessment. More information on CPG 201, Second Edition is available at <http://www.fema.gov/national-preparedness/plan>. Grantees are authorized to use THSGP grant funds for costs associated with developing and completing the THIRA (see Appendix B: Funding Guidelines, *Planning*). THSGP grantees are responsible for sharing the results from their THIRA with the applicable FEMA Federal Preparedness Coordinator (FPC).

Enhancing Cybersecurity Capabilities

For information on enhancing Cybersecurity capabilities please refer to the Cybersecurity Framework 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>.

Appendix B – THSGP Funding Guidelines

Grantees must comply with all applicable administrative requirements in 44 C.F.R. Part 13 and cost principles in 2 C.F.R. Part 225.

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

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

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

- 1. THSGP Priorities.** THSGP aligns to all mission areas outlined in the Goal. Applicants must align proposed funding to at least one or more Goal core capabilities within the IJ Template.
- 2. Law Enforcement Terrorism Prevention.** Per sec. 2006 of the *Homeland Security Act of 2002*, as amended (6 U.S.C. § 607), tribal grantees are required to ensure that at least 25 percent (25%) of THSGP award funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.
- 3. Management and Administration (M&A).** M&A activities are those defined directly relating to the management and administration of THSGP funds, such as financial management and monitoring. Grantees may use up to 5 % of the amount of the award for M&A and sub-recipients may use up to 5% of the amount they receive for M&A.
- 4. Indirect Costs.** Indirect costs are allowable only if the applicant has an approved indirect cost rate 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. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.
- 5. Allowable Costs.** The following pages outline global allowable costs guidance applicable to THSGP.

Allowable activities made in support of the THSGP priorities as well as other capability-enhancing projects must fall into the categories of planning, organization, equipment, training, or exercises. Additional detail about each of these allowable expense categories, as well as sections on additional activities including explicitly unallowable costs is provided. In general, grantees

should consult their FEMA Headquarters Program Analyst prior to implementing any investment to ensure that it clearly meets the allowable expense criteria established by the guidance.

Planning Activities

Planning efforts can include the prioritizing of needs, building capabilities, updating preparedness strategies, allocating resources, and delivering preparedness programs across disciplines (e.g., law enforcement, fire, EMS, health care systems, public health, behavioral health, public works, rural water associations, agriculture, information technology, emergency communications, and the general public, including people with disabilities) and levels of government. Planning provides a methodical way to engage the whole community in thinking through the life cycle of potential crises, determining required capabilities, and establishing a framework for roles and responsibilities. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes.

Planning activities should focus on the five mission areas outlined in the Goal: Prevention, Protection, Mitigation, Response, and Recovery. All jurisdictions are encouraged to work through Citizen Corps Councils, nongovernmental entities, and the general public in planning activities. Tribes are encouraged to include disciplines responsible for the health, safety, education, and care of infants and children and those responsible for integrating the accessibility and functional needs of children and adults with disabilities. Grantees must use the *CPG 101v.2: Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans* in order to develop robust and effective plans. For additional information, please see http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf.

The National Disaster Recovery Framework (NDRF) provides an overarching interagency coordination structure for the recovery phase for incidents covered under the *Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended* (Pub. L. No. 100-707) (the “Stafford Act”) and significant non-Stafford Act incidents. The NDRF is a guide that promotes effective recovery and is a tool that can be used to efficiently direct pre-disaster recovery planning activities. For more information on the NDRF see <http://www.fema.gov/pdf/recoveryframework/ndrf.pdf>.

Organization Activities

Sec. 2008 of the *Homeland Security Act of 2002*, as amended allows the use of grant funds for the following activities:

- Paying salaries and benefits for personnel to serve as qualified intelligence analysts
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident

Equipment Activities

The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for THSGP are listed on the web-based version of the

Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at <https://www.llis.dhs.gov/knowledgebase>. 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.

Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 C.F.R. Part 225 (OMB Circular A-87). (A copy is located at http://www.whitehouse.gov/omb/circulars_a087_2004/).

Training Activities

Tribes are strongly encouraged to use THSGP funds to develop and/or maintain a homeland security training program. Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the THSGP and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., the Department of Health and Human Services, and the Department of Transportation).

Training conducted using THSGP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through a formal exercise. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps, including those for vulnerable populations including children, the elderly, pregnant women, and individuals with disabilities or access and functional needs should be identified in the AAR/IP. All training and exercises conducted with THSGP funds should support the development and testing of the jurisdiction's Emergency Operations Plan (EOP) components or specific annexes, consistent with the priorities in the National Preparedness System. 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 and Implementation Evaluation (ADDIE) model of instruction design (<https://www.firstrespondertraining.gov/content.do>).

FEMA supports and encourages the coordination of all emergency preparedness training towards the achievement of the National Preparedness Goal. To this end, FEMA supports the establishment of a Tribal Training Point of Contact (TTPOC). The role of the Tribal Training POC is to coordinate the tribes' training needs and activities with FEMA and FEMA's federal training partners, and holds the same authority and roles that State Training Points of Contact serve within State Administrative Agencies nationwide. FEMA will coordinate with Tribal Training Officers (TTO) as it relates to FEMA training when notified by tribal grantees.

Per FEMA Grant Programs Directorate's Policy FP 207-008-064-1 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). For

additional information on training course review and approval requirements please refer to 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. The Policy can be accessed at <http://www.fema.gov/media-library/assets/documents/34856>.

Exercise Activities

All exercises using THSGP funding should incorporate NIMS concepts and principles. More information is available online at the NIC webpage: <http://www.fema.gov/national-incident-management-system>.

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

Personnel Activities

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

Not more than 50 percent (50%) of total THSGP funds may be used for personnel activities as directed by the *Homeland Security Act of 2002*, as amended by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Pub. L. No. 110-412) (6 U.S.C. § 609(b)(2)(A)). This cap may be waived per 6 U.S.C. § 609(b)(2)(B). For further details, THSGP grantees should refer to IB 358 or contact their FEMA Headquarters Program Analyst.

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

Construction and Renovation

Construction projects are only permitted where they will assist the grantee to achieve target capabilities related to preventing, preparing for, protecting against, or responding to acts of terrorism, including through the alteration or remodeling of existing buildings for the purpose of making them secure against acts of terrorism. THSGP funding may not be used for construction and renovation projects without prior written approval from FEMA. All recipients of THSGP program funds must request and receive approval from FEMA before any THSGP Program funds are used for any construction or renovation. Additionally, grantees are required to submit a SF-424C Budget and Budget detail citing the project costs. The total cost of any construction or renovation paid for using THSGP Program funds may not exceed the greater amount of \$1,000,000 or 15% of the THSGP award.

For the purposes of the limitations on funding levels, communications towers are not considered construction. 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.

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 prior to submitting materials for EHP review. Grantees and sub-grantees are also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects; compliance with all state and EHP laws and requirements). Projects for which the grantee believes an Environmental Assessment (EA) may be needed, as defined in 44 C.F.R. §§ 10.8 and 10.9, must also be identified to the FEMA Program Analyst within six months of the award. 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.

THSGP 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>.

Law Enforcement Terrorism Prevention Activities Allowable Costs

THSGP allocated funds may be dedicated toward law enforcement terrorism prevention planning, organization, training, exercise, and equipment activities linked to one or more core capabilities in the five mission areas contained within the Goal. The types of activities allowed include:

- Information sharing and analysis;
- Target hardening;
- Threat recognition;
- Terrorist interdiction;
- Overtime expenses consistent with a State homeland security plan, including for the provision of enhanced law enforcement operations in support of Federal agencies, including for increased border security and border crossing enforcement;
- Establishing, enhancing, and staffing with appropriately qualified personnel State, local, and regional fusion centers that comply with the guidelines established under 6 U.S.C. § 124h;
- Paying salaries and benefits for personnel, including individuals employed by the grant recipient on the date of the relevant grant application, to serve as qualified intelligence analysts;
- Any other activity permitted under the Fiscal Year 2007 Program Guidance of the Department for the Law Enforcement Terrorism Prevention Program; and
- Any other terrorism prevention activity authorized by the Administrator.

Other Allowable Costs – Maintenance and Sustainment

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted.

THSGP grant funds are intended to support the Goal and fund projects that build and sustain the 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 National Preparedness 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.

Additional guidance is provided in FEMA Policy FP 205-402-125-1, *Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants*, located at: <http://www.fema.gov/media-library/assets/documents/32474>.

Other Allowable Costs – Critical Emergency Supplies

In furtherance of DHS's mission, critical emergency supplies, such as shelf stable food products, water, and basic medical supplies are an allowable expense under THSGP. Prior to allocating grant funds for stockpiling purposes, each Tribe must have FEMA's approval of a five-year viable inventory management plan, an effective distribution strategy and related sustainment costs if planned grant expenditure is over \$100,000.

The inventory management plan and distribution strategy, to include sustainment costs, will be developed and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under THSGP. GPD and LMD will establish guidelines and requirements for the purchase of these supplies under THSGP and monitor development and status of the Tribe's inventory management plan and distribution strategy. Linkages between specific projects undertaken with THSGP funds and strategic goals and objectives will be highlighted through regular required reporting mechanisms.

If grant expenditures exceed the minimum threshold, the five-year inventory management plan will be developed and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD).

Other Allowable Costs - Secure Identification

In addition to the expenditures outlined above, THSGP funds may be used to support the development and production of enhanced tribal documents (e.g., Enhanced Tribal Cards [ETCs])

designed to meet the requirements of the Western Hemisphere Travel Initiative (WHTI). More information on the WHTI may be found at http://www.dhs.gov/files/programs/gc_1200693579776.shtm and http://www.getyouhome.gov/html/eng_map.html.

When completing the IJ Template, please refer to the Goal at <http://www.fema.gov/media-library/assets/documents/25959?fromSearch=fromsearch&id=5689> for a list of the core capabilities that best fit the proposed activities and costs. If you need further assistance in determining the core capabilities that fit your proposed WHTI project, please contact the CSID by phone at (800) 368-6498 or by e-mail at askcsid@fema.gov, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST

Appendix C - THSGP Investment Justification (IJ) Outline

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

When applying for THSGP funding, it is recommended that Tribes use the name of the Tribe as listed in the Federal Register, which can be found at <http://www.indianaffairs.gov/cs/groups/public/documents/text/idc006989.pdf>. Applicants can also contact the CSID to confirm the Tribe name as listed in the Federal Register.

Additional tips and helpful hints on how to complete the IJ Template can also be found in the THSGP Reference Guide at <http://www.fema.gov/grants>.

After the THSGP IJ Template has been completed in Excel, please upload the IJ Template as an attachment with the other required application materials (see Section IX within the full FOA) to <http://www.grants.gov>.

THSGP Investment Justification Outline

Question	Response	Scoring Criteria
I. Background (N/S)		
I.A Provide the Tribe name	Short title (100 char. max.)	N/S
I.B Provide the Investment name:	Short title (100 char. max.)	
I.C Provide a baseline understanding of the spectrum of terrorism and natural hazard risks and demographics that the Tribe faces and influenced the development of this Investment Justification (IJ).	Narrative (2500 char. max.)	
II. Overview (25%)		
I.I.A Identify the Investment as: If ongoing, describe the Investment's current state and what will be accomplished prior to the application of FY 2014 funds. <i>Please note, if this Investment is marked "New", please move to question II.B.</i>	<i>New, Ongoing</i> Narrative (1500 char. max.)	N/S
I.I.B Identify if this Investment focuses on building new capabilities or the sustainment of existing capabilities	<i>Building, Sustainment</i>	
I.I.C Provide a description of this Investment, including the planning, organization, equipment, training, and/or exercises that will be involved.	Narrative (1500 char. max.)	The response provides a detailed description and clear understanding of various activities that will be supported by this Investment.
III. Baseline (25%)		
III.A Identify the goals and objectives that will be supported by this Investment. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i>	Narrative (1500 char. max.)	N/S
III.B Describe existing capability levels that address the identified goals/objectives and what will be in place to support the Investment prior to the use of FY 2014 funds.	Narrative (1500 char. max.)	The response provides a clear understanding of existing capability levels and what capability gap(s) the Investment will address.
III.C Explain the capability gap(s) that this Investment is intended to address. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i>	Narrative (1500 char. max.)	

IV. Project Management and Milestones (25%)		
IV.A Provide the proposed FY 2014 THSGP funding amount for this Investment.	Amount	N/S
IV.B Identify the amount and percentage of funding that will be dedicated to Management and Administration (M&A) expenditures. <i>Please note, M&A cannot exceed five percent (5%) of the total award amount.</i>	Amount/Percentage	N/S
IV.C Identify the National Preparedness Goal (NPG) core capabilities that are supported by this Investment. For each of the selected NPG core capabilities, provide the proposed funding amount to be obligated from this Investment.	<i>Select all that apply</i> and Amount	The response provides a clear demonstration and a comprehensive understanding of how the Investment supports identified National Preparedness Goal core capabilities and primary POETE Solution Area.
IV.D Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.	<i>Planning, Organization, Equipment, Training, Exercise</i>	
IV.E Each grantee must submit a detailed budget narrative, in addition to SF-424A, explaining related costs and expenses as a part of the application. This budget narrative should be detailed and should serve to: (1) explain how the costs were estimated, and (2) justify the needs for the costs incurred to the measurable achievement outcomes as stated in the Investment Justification.	Narrative (1500 char. max.)	The response provides a clear explanation of how the funds will be utilized and demonstrates the need to achieve the outcomes.
IV.F Identify up to ten projects/activities, with start and end dates, which will be implemented over the 24 month period of performance (October 1, 2013 - September 30, 2015). Provide the following information: - Project Name - Funding Amount - Project Management Process - Start Month/Year - End Month/Year	Short title (100 char. max.) Amount <i>Initiate, Plan, Execute, Control, Close Out</i> Month/Year Month/Year	The response also provides a clear description of projects/activities that will demonstrate progress towards achieving the Investment.
IV.G Does this Investment require new construction or renovation, retrofitting, or modification of existing structures?	No/Yes	N/S
V. Law Enforcement Terrorism Prevention Activities (N/S)		
V.A If applicable, provide the proposed funding amount that is expected to be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA). <i>Please note, at least 25 percent (25%) of the total amount awarded to recipient must be dedicated towards LETPA.</i>	Amount	N/S
VI. Accomplishments and Impact (25%)		
VI.A Describe the outcomes that will be achieved as a result of this Investment. The outcomes should demonstrate improvements towards building capabilities described in Section III, Baseline.	Narrative (1500 char. max.)	The response provides a clear description of how the outcomes will be achieved during the FY 2014 THSGP period of performance. The response also describes how accomplishments will bridge capability gap(s) outlined in Section III, Baseline.
VI.B Identify the mission areas that are supported by this Investment:	<i>Select all that apply</i>	N/S

N/S: Not Scored