

A photograph of the United States flag waving in the wind, set against a backdrop of snow-capped mountains under a clear blue sky.

U.S. DEPARTMENT OF HOMELAND SECURITY

**FISCAL YEAR 2010**

**HOMELAND SECURITY GRANT PROGRAM**

**GUIDANCE AND APPLICATION KIT**

**DECEMBER 2009**



U.S. DEPARTMENT OF HOMELAND SECURITY

**Title of Opportunity:** FY 2010 Homeland Security Grant Program (HSGP)

**Funding Opportunity Number:** DHS-10-GPD-067-000-01

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

**Announcement Type:** Initial

**Dates:** Completed applications must be submitted **no later than 11:59 p.m. EDT, April 19, 2010.**

**Additional overview information:**

- **State Homeland Security Program (SHSP) Allocations.** FY 2010 SHSP funds will be allocated based on three factors: minimum amounts as legislatively mandated, DHS' risk methodology, and effectiveness.
- **Urban Area Security Initiative (UASI) Allocations.** FY 2010 UASI funds will be allocated based on the DHS' risk methodology and effectiveness.
- **Increase in eligible Urban Areas.** In FY 2010 the number of Urban Areas has increased to 64 with 10 designated Tier I Urban Areas.
- **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. Please refer to "Other Allowable Costs – Maintenance and Sustainment" in this kit for more information.
- **Operation Stonegarden (OPSG).** FY 2010 HSGP will incorporate OPSG similarly to SHSP, UASI, MMRS, and CCP. OPSG was a separate grant program in FY 2009.
- **Funding Restrictions.** The requirement to allocate 25 percent of funding towards the planning priority has been removed in the FY 2010 HSGP Guidance.
- **Investment Justification (IJ) Outline.** The FY 2010 HSGP IJ Outline has been streamlined from the FY 2009 IJ.
- **Management and Administration (M&A) Limits.** The amount of HSGP funds (exclusive of OPSG funds, if any) that grantees can allocate towards Management and Administration (M&A) costs has been increased to five percent (5%) in FY 2010 from three percent (3%) in FY 2009.

- **Program Priorities.** In FY 2009 HSGP grantees were limited to writing investments that applied to four of the eight national priorities from the *National Preparedness Guidelines*. In FY 2010 grantees have the flexibility to write investments that apply towards all eight national priorities.
- **Optional Cost Share.** In FY 2010, grantees may provide an optional cost share; however, an applicant's willingness to contribute an optional cost share will not impact allocation amounts identified in the FY 2010 HSGP Guidance and Application Kit (Part VIII – Other Information – Section F Match – Guidance).
- **IJ Review Process.** In FY 2010 HSGP applications will be evaluated through a peer review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Investments. The results of the peer review process may require applicants to revise submissions before the release of HSGP funding.

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## PART I.

# FUNDING OPPORTUNITY DESCRIPTION

The Fiscal Year (FY) 2010 Homeland Security Grant Program (HSGP) is comprised of five interconnected grant programs:

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

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

The purpose of this package is to provide: (1) an overview of the HSGP and (2) the formal grant guidance and application materials needed to apply for funding under the program. The package outlines DHS management requirements for implementation of a successful application. The package also reflects changes called for in the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) (hereafter “9/11 Act”) and the *Department of Homeland Security Appropriations Act, 2010* (Public Law 111- 83).

Table 1 provides a quick overview of the programs included in FY 2010 HSGP.

**Table 1. FY 2010 Homeland Security Grant Program Overview**

FY 2010 HSGP	Program Overview
<b>State Homeland Security Program (SHSP)</b>	SHSP supports the implementation of State Homeland Security Strategies to address the identified planning, organization, equipment, training, and exercise needs to prevent, protect against, respond to, and recover from acts of terrorism and other catastrophic events. In addition, SHSP supports the implementation of the <i>National Preparedness Guidelines</i> , the National Incident Management System (NIMS), and the <i>National Response Framework</i> (NRF).
<b>Urban Areas Security Initiative (UASI) Program</b>	UASI program funds address the unique planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and assists them in building an enhanced and sustainable capacity to prevent, protect against, respond to, and recover from acts of terrorism.

FY 2010 HSGP	Program Overview
<p><b>Operation Stonegarden (OPSG)</b></p>	<p>OPSG funds are intended to enhance cooperation and coordination among local, tribal, territorial, State, and Federal law enforcement agencies in a joint mission to secure the United States borders along routes of ingress from international borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with international water borders.</p>
<p><b>Metropolitan Medical Response System (MMRS) Program</b></p>	<p>The MMRS program supports the integration of emergency management, health, and medical systems into a coordinated response to mass casualty incidents caused by any hazard. Successful MMRS grantees reduce the consequences of a mass casualty incident during the initial period of a response by having augmented existing local operational response systems before an incident occurs.</p>
<p><b>Citizen Corps Program (CCP)</b></p>	<p>The Citizen Corps mission is to bring community and government leaders together to coordinate the involvement of community members and organizations in emergency preparedness, planning, mitigation, response, and recovery.</p>

### ***Federal Investment Strategy***

The HSGP is an important part of the Administration’s larger, coordinated effort to strengthen homeland security preparedness. The HSGP implements objectives addressed in a series of post-9/11 laws, strategy documents, plans, and Homeland Security Presidential Directives (HSPDs).

DHS expects our local, territorial, State, and tribal partners – including recipients of HSGP grants – to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their planning, operations and investments. Additional information may be found at:

<http://www.dhs.gov/xprepresp/publications>.

One of the Department’s most important initiatives in FY 2010 is support for the maturation of the Information Sharing Environment (ISE), and specifically, the continued enhancement of State and Major Urban Area fusion centers to include support for implementation of the Nationwide Suspicious Activity Reporting (SAR) Initiative (NSI). These centers provide an important linkage between local, State, tribal, regional, and Federal partners, as well as private industry, and as part of a national information sharing capability must establish and maintain the capacity to receive threat-related information, understand its implications locally and further disseminate it to other local, State, tribal, and private sector entities. At the same time State and Major Urban Area fusion centers need to be able to aggregate, blend, and analyze information gathered from local law enforcement and share that information with Federal authorities. Allowable expenditures of funding include support for equipment and consultation necessary to enable connection to information sharing systems such as the

National Data Exchange (NDex), the Nationwide SAR Initiative, and supporting program areas.

In support of these efforts, the Department is encouraging those DHS and Federal Bureau of Investigation (FBI) jointly designated State and Major Urban Area fusion centers to prioritize the allocation of HSGP grant funding to meet and maintain identified levels of analytic and other baseline capability, as outlined in the Global Justice Information Sharing Initiative's (Global) [Baseline Capabilities for State and Major Urban Area Fusion Centers](#).

Additionally, fusion centers should assess their achievement of the baseline capabilities, so they may identify any resulting gaps. Requested HSGP grants funds should then be prioritized to target and address these gaps, and the results of this gap analysis should be included in investment justifications (IJs) for any fusion center funding. All efforts should be made to address gaps that are identified by taking advantage of the service deliveries made available through the joint DHS and Department of Justice Fusion Process Technical Assistance Program. In 2010 all fusion center employees are expected to complete the online 28 CFR Part 23 certification training made available through this program.

FY 2010 DHS grant funds may not be used to support fusion center-related initiatives unless the fusion center is able to certify that privacy and civil rights/civil liberties (CR/CL) protections are in place that are determined to be at least as comprehensive as the [ISE Privacy Guidelines](#) by the ISE Privacy Guidelines Committee (PGC) within 6 months of the award date on this FY 2010 award. If these protections have not been submitted for review and on file with the ISE PGC, DHS grants funds may only be leveraged to support the development and/or completion of the fusion center's privacy protections requirements.

### **Funding Allocations Based Upon Risk**

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

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

The risk model used to allocate HSGP funds considers the potential risk of terrorism to people, critical infrastructure, and economic security to estimate the relative risk of terrorism faced by a given area. In evaluating risk, DHS considers the populations in a particular area that could be at risk, the concentration of people in the area, and specific characteristics of their location that might contribute to risk, such as Intelligence Community assessments of threat, proximity to nationally critical infrastructure, and the

economic impact of an attack. In considering threat, DHS uses the Intelligence Community's best assessment of areas of the country and potential targets most likely to be attacked. For vulnerability and consequence, DHS considers the expected impact and consequences of successful attacks occurring in specific areas to people, the economy, nationally critical infrastructure, and national security facilities.

### ***HSGP Priorities***

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In leading the effort to secure America from the many threats it faces, DHS has undertaken five main areas of responsibility to help it achieve its mission. The first four of these areas are applicable to HSGP. The areas of responsibility are:

1. [Guarding against Terrorism](#),
2. [Securing our Borders](#),
3. [Enforcing our Immigration Laws](#),
4. [Improving Readiness for, Response to and Recovery from Disasters](#); and
5. [Maturing and Unifying the Department](#).

In meeting its responsibilities, DHS will continue to strengthen partnerships with communities, first responders, law enforcement and government agencies at the State, local, tribal, territorial, Federal, and international levels. One mechanism in place to help meet these responsibilities, notably the first four, is providing Federal grants funding and assistance to our stakeholder communities.

HSGP is one of many grant programs DHS employs, but it is clearly the broadest in scope and most far-reaching in impacting the widest spectrum of State, local, tribal, and territorial homeland security partners. In order to ensure consistency with its own mission and supporting areas of responsibility, DHS is aligning the focus of the HSGP in order to support the Department's first four responsibilities noted above.

Above and beyond its own mission and four main areas of supporting responsibility, DHS believes that the eight National Priorities as identified in the *National Preparedness Guidelines*<sup>1</sup> are instrumental in guiding our State, local, tribal, and territorial, stakeholders in meeting the Nation's most urgent needs. The eight National Priorities include the following:

- Expand Regional Collaboration
- Implement the National Incident Management System and *National Response Framework*
- Implement the *National Infrastructure Protection Plan*
- Strengthen Information Sharing and Collaboration Capabilities
- Strengthen Interoperable and Operable Communications Capabilities
- Strengthen CBRNE Detection, Response, and Decontamination Capabilities
- Strengthen Medical Surge and Mass Prophylaxis Capabilities

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<sup>1</sup> *National Preparedness Guidelines*,  
[http://www.fema.gov/pdf/emergency/nrf/National\\_Preparedness\\_Guidelines.pdf](http://www.fema.gov/pdf/emergency/nrf/National_Preparedness_Guidelines.pdf)

- Community Preparedness: Strengthening Planning and Citizen Capabilities

These National Priorities and their inherent preparedness efforts complement the Department's four areas of mission-supporting responsibilities.

*Combined HSGP Focus Efforts Driving Overall HSGP Funding Priorities*

The following section identifies DHS' four areas of mission-supporting responsibilities as well as the respective National Priorities which most appropriately support each area.

1. Guarding Against Terrorism

Protecting the American people from terrorist threats is the Department's founding principle and its highest priority. Families and communities, first responders, the private sector, State and local governments, and the Federal government all have an important role to play. DHS and its stakeholders should direct every resource available toward prevention and preparedness, and empower Americans to live in a constant state of readiness, not a constant state of fear.

Related National Priorities:

*A. Strengthen Information Sharing and Collaboration Capabilities*

Effective information sharing and collaboration refer to the multi-jurisdictional, multidisciplinary exchange and dissemination of information and intelligence among entities at all levels of government, as well as nongovernmental organizations, the private sector, and citizens. Intelligence is derived by gathering, analyzing, and fusing relevant information from a wide range of sources on a continual basis. Successful homeland security efforts require a national information management system that provides an effective and seamless capability to gather, analyze, disseminate, and use information regarding threats, vulnerabilities, and consequences to support prevention and response efforts.

*B. Implement the National Infrastructure Protection Plan*

The *National Infrastructure Protection Plan* (NIPP) supports the coordinated development of critical infrastructure protection capabilities.

Achieving this national priority requires meeting a series of objectives that include understanding and sharing information about terrorist threats and other hazards, building security partnerships, implementing a long-term risk management program, and maximizing the efficient use of resources. Measuring progress toward implementing the NIPP requires that Critical Infrastructure and Key Resources (CIKR) security partners have the following:

- Coordinated, risk-based CIKR plans and programs in place addressing known and potential threats;

- Structures and processes that are flexible and adaptable, both to incorporate operational lessons learned and effective practices, and also to adapt quickly to a changing threat or incident environment;
- Processes in place to identify and address dependencies and interdependencies to allow for more timely and effective implementation of short-term protective actions and more rapid response and recovery; and
- Access to robust information-sharing networks that include relevant intelligence, threat analysis, and real-time incident reporting.

#### *C. Strengthen CBRNE Detection, Response, and Decontamination Capabilities*

This national priority leverages efforts throughout government to develop capabilities to detect, neutralize, contain, dismantle, and dispose of Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) materials, and decontaminate exposed personnel and property. State, local, tribal, and territorial agencies and their hazardous materials response teams are key players in early detection, response, and decontamination. At the Federal level, different departments and agencies are key players for aspects of CBRNE detection, response, and decontamination. These include the following: the Departments of Defense, Justice, Agriculture, Health and Human Services, Energy, and Homeland Security, the Environmental Protection Agency, and the Nuclear Regulatory Commission.

#### *D. Community Preparedness: Strengthening Planning and Citizen Capabilities*

The Nation's homeland security system is highly complex, with multiple objectives, partners, and needs. Planning helps Federal, State, local, tribal, and territorial governments reorient capabilities and resources to be more agile and ensures organizational structures, processes, and procedures effectively support the intended strategic direction. As stakeholders learn and practice their roles, they can reduce uncertainty, expedite response, and improve effectiveness during the critical initial stages after an event. This effort is a key to success in protecting people and property in crises.

In order to develop robust and effective plans, grantees are strongly encouraged to develop them in a manner consistent with the principles and doctrine outlined in *Comprehensive Preparedness Guide 101(CPG-101), Producing Emergency Plans: A Guide for All-Hazard Operations Planning for State, Territorial, Local and Tribal Governments*. Planning principles outlined in CPG-101 emphasize involvement of multiple stakeholders in emergency planning. An emphasis of this year's grant is to enhance and expand capabilities through partnerships. A specific emphasis should be placed on the preparedness of child congregate care systems, providers, and facilities, especially school districts and child/day care. Additional examples are group residential facilities operated by State and local child welfare authorities, and juvenile detention facilities.

As uniformed emergency responders constitute less than one percent of the total U.S. population, it is clear that citizens must be better prepared, trained, and

practiced on how best to take care of themselves and assist others in those first, crucial hours during and after a catastrophic incident. Citizens can reduce the demand for emergency assistance during catastrophic incidents through preparedness measures and actively contribute to the Nation's response capability by participating in response and recovery activities. A trained and involved public will provide the Nation with a critical surge capacity to augment government efforts in a catastrophic incident. Through the *Ready Campaign* and the nationwide network of State and local Citizen Corps Councils, DHS will focus on strengthening citizen preparedness capabilities, particularly for special needs and socially vulnerable populations.

## 2. Securing Our Borders

Fulfilling DHS' mission also means securing our Nation's southern and northern borders, and air and sea ports of entry, while also facilitating legitimate commerce.

Related National Priorities:

*A. Strengthen Information Sharing and Collaboration Capabilities*

*B. Strengthen CBRNE Detection, Response, and Decontamination Capabilities*

*C. Expand Regional Collaboration*

Regional collaboration is critical to improving preparedness and achieving the tenets set forth in the *National Preparedness Guidelines*. As used in this document, a "region" generally refers to a geographic area consisting of contiguous Federal, State, local, tribal, and territorial jurisdictions. Major events often have regional impact; therefore, prevention, protection, response, and recovery missions require extensive regional collaboration. It is vital to enhance efforts by Federal, State, local, tribal, and territorial entities to communicate and coordinate with one another, the private sector, nongovernmental organizations, and individual citizens. The intent is to identify geographic regions that work best for achieving and sustaining coordinated capabilities and mutual aid agreements, including mass evacuation and pre-event recovery planning.

DHS places a very high priority on ensuring that all HSGP applications reflect robust regional coordination and demonstrate an investment strategy that institutionalizes regional integration.

*D. Strengthen Interoperable and Operable Communications Capabilities*

Communications interoperability is the ability of public safety agencies (including police, fire, emergency medical services, etc.) and service agencies (including public works, transportation, hospitals, etc.) to talk within and across agencies and jurisdictions via radio and associated communications systems; exchange voice, data, and/or video with one another on demand; and do so in real time, when needed, and when authorized.

3. Enforcing Our Immigration Laws

The Department bears responsibility for facilitating legal immigration and naturalizing new Americans - as well as providing a range of other immigration services - while cracking down on those who violate our Nation's laws.

Related National Priorities:

*A. Strengthen Information Sharing and Collaboration Capabilities*

*B. Strengthen Interoperable and Operable Communications Capabilities*

*C. Expand Regional Collaboration*

4. Improving Preparedness for, Response to, and Recovery from Disasters

The Department plays a critical role in helping communities in all stages of a disaster - preparation, response, and long-term recovery.

Related National Priorities:

*A. Expand Regional Collaboration*

*B. Strengthen Information Sharing and Collaboration Capabilities*

*C. Strengthen Interoperable and Operable Communications Capabilities*

*D. Community Preparedness: Strengthening Planning and Citizen Capabilities*

*E. Strengthen CBRNE Detection, Response, and Decontamination Capabilities*

*F. Strengthen Medical Surge and Mass Prophylaxis Capabilities*

Medical Surge and Mass Prophylaxis capabilities are the first lines of response to bioterrorism, pandemic influenza, and other public health emergencies. The Medical Surge capability is prioritized because of the urgent need to enable our healthcare system, particularly hospitals, to handle large numbers of patients, including those with disabilities as well as children and pediatrics, requiring immediate hospitalization following any type of incident. The ability to triage and provide decontamination when necessary is essential. Emergency-ready hospitals and other healthcare entities must be able to work collectively to handle different types of injuries, including physical and psychological trauma, burns, infections, bone marrow suppression, or other chemical- or radiation-induced injuries. Finally, in anticipation of a mass casualty incident that exceeds the aggregate surge capacity of local hospitals, the community of medical providers should consider pre-positioning medical supplies and to have provisions in place to immediately accommodate an influx of supplemental healthcare assets from mutual-aid partners, States, and the Federal Government.

*G. Implement the National Incident Management System and National Response Framework*

The National Incident Management System (NIMS) and *National Response Framework* (NRF) are fully implemented nationwide and support the coordinated development of capabilities.

The NIMS provides a consistent framework for government entities at all levels to work together to manage domestic incidents, regardless of cause, size, or complexity. The NIMS includes a core set of guidelines, standards, and protocols for command and management, preparedness, resource management, communications and information management, supporting technologies, and coordination and maintenance to promote interoperability and compatibility among Federal, State, local, tribal, and territorial capabilities.

The NRF presents the guiding principles that enable all response partners to prepare for and provide a unified national response to disasters and emergencies - from the smallest incident to the largest catastrophe. The NRF establishes a comprehensive, national, all-hazards approach to domestic incident response.

***Collaboration with Tribes***

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DHS strongly encourages States, Urban Areas, and regions to work with tribal nations in overall initiatives, planning, and other partnership areas.

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

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Consistent with the 9/11 Act, States are required to ensure that at least 25 percent of SHSP appropriated funds and 25 percent of UASI appropriated funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities, including those activities which support the development and operation of fusion centers. This requirement does not include award funds from OPSG, MMRS, and CCP.

***Inclusion of Emergency Medical Services (EMS) Providers***

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DHS requires State and local governments to include emergency medical services (EMS) providers in their State and Urban Area homeland security plans. Grantees should include a minimum number of quantitative and qualitative measures necessary to demonstrate achievement with regard to improving EMS system integration with public health systems. These measures should be drawn from the Emergency Triage and Pre-Hospital Treatment target capability. Such measures may include establishment of a recognized EMS medical direction program, establishment of a National EMS Information System (NEMSIS) compliant electronic documentation system, and other appropriate preparedness measures.

States, territories, localities, and tribes are reminded of the importance for inclusion of various response disciplines that have important roles and responsibilities in prevention, deterrence, protection, and response activities, including the State EMS Office.

Inclusion should take place with respect to planning, organization, equipment, training, and exercise efforts to include the unique needs of infants and children up to 18 years of age and individuals with disabilities. Response disciplines include, but are not limited to: governmental and nongovernmental emergency medical, firefighting, and law enforcement services; public health; hospitals; emergency management; hazardous materials; public safety communications; public works; and governmental leadership and administration personnel. Special consideration should be made to those entities who maintain responsibility for the development and administration of fusion centers.

DHS/FEMA's Grants Reporting Tool (GRT) will continue to be utilized for grantees to report and for DHS to track, on a biannual basis, homeland security funding provided to response disciplines. If no State or local funding is provided to EMS, the State should be prepared to demonstrate that related target capabilities have been met or identify more significant priorities.

### ***Governance***

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

The FY 2010 HSGP re-emphasizes the importance of creating or utilizing existing governing bodies to act on this guidance and coordinate grant resources. Examples include: State Senior Advisory Committees, Urban Area Working Groups, Statewide Interoperability Governing Board (SIGB), Area Maritime Security Committees, Citizen Corps Councils, and MMRS Leadership.

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

## ***Additional Program-specific Information***

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### ***State Homeland Security Program***

The State Homeland Security Program (SHSP) is a core assistance program that provides funds to build capabilities at the State, local, tribal, and territorial levels and to implement the goals and objectives included in State homeland security strategies and initiatives in their State Preparedness Report (SPR).

Activities implemented under SHSP must support terrorism preparedness by building or enhancing capabilities that relate to the prevention of, protection from, response to, and recovery from terrorism in order to be considered eligible. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees must demonstrate this dual-use quality for any activities implemented under this program that are not explicitly focused on terrorism preparedness.

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

### ***Urban Areas Security Initiative***

Since its inception in FY 2003, the intent of the Urban Areas Security Initiative (UASI) program has been to enhance regional preparedness in major metropolitan areas. The UASI program directly supports the National Priority on expanding regional collaboration in the *National Preparedness Guidelines* and is intended to assist participating jurisdictions in developing integrated regional systems for prevention, protection, response, and recovery. Ultimately, the FY 2010 UASI program is intended to provide financial assistance to address the unique multi-discipline planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and to assist these Areas in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism. Activities implemented with UASI funds must support terrorism preparedness by building or enhancing capabilities that relate to the prevention of, protection from, response to, or recovery from terrorism in order to be considered eligible. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees must demonstrate the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness.

Urban Areas **must** use UASI funds to employ regional approaches to overall preparedness and are encouraged to adopt regional response structures whenever appropriate. UASI program implementation and governance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, response, and recovery activities within the

region. In some instances Urban Area boundaries cross State borders. States **must** ensure that the identified Urban Areas take an inclusive regional approach to the development and implementation of the FY 2010 UASI program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, State agencies, Statewide Interoperability Coordinators, Citizen Corps Council(s), MMRS jurisdictions, and campus law enforcement in their program activities.

### ***UASI Composition***

Pursuant to provisions of the 9/11 Act, eligible FY 2010 UASI candidates were determined based on an analysis of relative risk of the 100 most populous Metropolitan Statistical Areas (MSAs), as defined by the Office of Management and Budget (OMB). MSAs are used by DHS to determine eligibility for participation in the program. Part II of this Guidance shows a table of Urban Areas selected for possible FY 2010 funding. *Geographical areas queried do not equate to minimum mandated membership representation of an Urban Area, nor does this guarantee funding for geographical areas queried.* Urban Area Working Groups (UAWGs) must continue to take a regional approach to membership but are not required to expand or contract existing Urban Area participation to conform to MSA composition as a result of this legislative change. Detailed information on MSAs is publicly available from the U.S. Census Bureau at <http://www.census.gov/population/www/metroareas/metrodef.html>.

### ***UASI Program Requirements***

The SAA will be responsible for ensuring compliance with the fiduciary and programmatic administration requirements of the FY 2010 UASI program.

- **Identify Points of Contact.** The SAA must confirm a specific point of contact (POC) with the designated Urban Area. The SAA POCs are responsible for identifying and coordinating with the POC for the UAWG. This information must be provided to FEMA with the grant application. SAAs must work with existing Urban Areas to ensure that information for current POCs is on file with FEMA.
- **Define the Urban Area.** For new Urban Areas, the SAA POC, in coordination with the candidate Urban Areas, must define the Urban Area, as it will apply to the FY 2010 UASI program. The identified city or combined entity represents the candidate Urban Area eligible to apply for funding under the FY 2010 UASI program. For those Urban Areas with a combined entity, that area represents the minimum area that must be part of the defined Urban Area. The definition of the Urban Area is limited to jurisdictions contiguous to the geographic area used to determine eligibility, or those jurisdictions in that area which have established formal mutual aid agreements. States may request a waiver for this limitation for regions previously established by Executive Order, law, or compact. For the purposes of the FY 2010 UASI program, the Washington, D.C. Urban Area will consist of the National Capital Region (NCR) as set forth in 10 U.S.C. §2674(f)(2). In coordination with the UAWG, the SAA POC may redefine the geographic boundaries of an existing Urban Area, as it will apply to the FY 2010 UASI program. The SAA POC must notify FEMA of this change.

- **Establish the UAWG.** Membership in the UAWG must provide either direct or indirect representation for all the jurisdictions and response disciplines (including law enforcement) that comprise the defined Urban Area. *It must also be inclusive of local MMRS leadership and Citizen Corps Council representatives.* The UAWG should also include officials responsible for the administration of CDC and ASPR cooperative agreements. Finally, it is also recommended that non-governmental organizations that have a history of citizen preparedness inclusive of special needs populations be invited to provide representation.

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

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

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

In keeping with sound project management practices, the UAWG must ensure that its approach to critical issues such as membership, governance structure, voting rights, grant management and administration responsibilities, and funding allocation methodologies are formalized in a working group charter or other form of standard operating procedure related to the UASI governance. The charter must also outline how decisions made in UAWG meetings will be documented and shared with UAWG members.

The UAWG charter must be on file with FEMA prior to drawing down FY 2010 UASI funding and must be available to all UAWG members to promote transparency in decision-making related to the UASI program.

- **Urban Area Homeland Security Strategy.** Urban Areas must utilize their Urban Area Homeland Security Strategy as the basis for requesting funds to support Investments identified in their UASI IJ. There must be a clear correlation between the goals, objectives, and priorities identified in the Urban Area

Homeland Security Strategy and proposed FY 2010 UASI program activities. In addition, the Urban Area Homeland Security Strategy must also be consistent with and supportive of the State Homeland Security Strategy.

All Urban Areas receiving funding in FY 2010 must have an approved Urban Area Homeland Security Strategy. Any new Urban Areas must develop a strategy and submit it to FEMA for review and approval prior to drawing down UASI funds. For new Urban Areas, strategy development technical assistance is available. Please consult your SAA for requesting assistance services from FEMA.

### ***UASI Allocation of funds***

The use and allocation of all grant funds available through the FY 2010 UASI program must focus on the Investments identified in the Urban Area's IJ and the implementation of the FEMA-approved Urban Area Homeland Security Strategy. The use of funds must also be consistent with the State Homeland Security Strategy, *National Preparedness Guidelines, Target Capabilities List (TCL)*,<sup>2</sup> and overall UASI program guidelines. Funds used to support Citizen Corps related efforts, such as citizen preparedness, volunteer participation, and the integration of nongovernmental resources should be coordinated with Citizen Corps Councils.

The UAWG, in coordination with the SAA POC, must develop a methodology for allocating funding available through the UASI program. The UAWG must reach consensus on all UASI funding allocations. If consensus cannot be reached within the 45-day time period allotted for the State to obligate funds to subgrantees, 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 subgrantees.

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.

### ***Operation Stonegarden***

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Operation Stonegarden (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 U.S. borders along routes of ingress from international borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with International water borders.

FY 2010 OPSG is intended to support U.S. border States and territories in:

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<sup>2</sup> The *Target Capabilities List (TCL)* describes the capabilities related to the four homeland security mission areas: Prevent, Protect, Respond, and Recover. It defines and provides the basis for assessing preparedness. The TCL can be found at: <https://www.rkb.us/hspd8.cfm>

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

### ***OPSG Program Requirements***

The FY 2010 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 U.S. border States and territories.

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

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

Grantees may not begin operations, obligate, or expend any funds until the final Operations Order and embedded budget has been approved by FEMA GPD and CBP/BP Headquarters and any existing special conditions and/or restrictions are removed. FY 2010 OPSG activities are expected to maximize HSGP strategic planning efforts and integration with State, tribal, territory, Urban Area, and local Homeland Security Strategies.

### ***Metropolitan Medical Response System***

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The Metropolitan Medical Response System (MMRS) program provides funding to States to support the integration of local emergency management, health, and medical systems into a coordinated and sustained local response capability to a mass casualty incident.

The responsibilities of the SAA are to:

- Prepare one Investment that clearly identifies the support for the integration of local emergency management, health, and medical services for mass casualty events using MMRS grant funds
- Prepare MMRS Quarterly Progress Reports. Reports must be submitted to the MMRS Regional Program Manager located at the FEMA regional office on a quarterly basis. The Quarterly Progress Report should be completed using the SF-Performance Progress Report, available at [http://www.whitehouse.gov/omb/assets/omb/grants/approved\\_forms/sf-ppr.pdf](http://www.whitehouse.gov/omb/assets/omb/grants/approved_forms/sf-ppr.pdf). Copies of the Quarterly Progress Reports will be kept on file with the MMRS Regional Program Manager, as well as at FEMA GPD
- Ensure that MMRS is represented on State Homeland Security Working Groups and UAWGs if applicable
- Ensure all neighboring MMRS subgrantees shall actively and demonstratively collaborate to develop a regional plan that supports the MMRS mission in that region in cases where MMRS subgrantees are located adjacent to one another

The responsibilities of MMRS subgrantees are to:

- Establish and support designated MMRS Leadership, such as a Steering Committee, to act as the designated POCs for program implementation
- Integrate local emergency management, health, and medical systems with their Federal and State counterparts through a locally established multi-agency, collaborative planning framework
- Promote regional coordination of mutual aid with neighboring localities
- Regularly validate the subgrantee's local emergency response capability to a mass casualty incident by means of an exercise or other validation means

### ***MMRS Collaboration***

MMRS subgrantees are encouraged to collaborate with local, regional, and State health and medical partners, such as Medical Reserve Corps Units and Citizen Corps Councils, as well as leverage other Federal programs, such as the U.S. Department of Health and Human Services Assistant Secretary for Preparedness and Response (HHS-ASPR) Hospital Preparedness Program and Emergency Systems for Advance Registration of Volunteer Health Professionals (ESAR-VHP), CDC Cities Readiness Initiative (CRI), Public Health and Emergency Preparedness (PHEP) and Strategic National Stockpile (SNS) Programs. The intent of collaboration should be to coordinate and support plans, processes, and strategies related to, but limited to: Continuity of Government; Continuity of Operations; Equipment and Supplies Procurement; Emergency Triage and Pre-Hospital Treatment/Emergency Medical Services; 9-1-1/Medical Dispatch; Fatality Management; Forward Movement of Patients; Hospital Evacuation; Interoperable Communications; Patient Tracking; Pharmaceutical and Medical Supply Management and Distribution; Public Education; Outreach and Information; Recruiting Volunteers; and Training. Plans, processes, and strategies should specifically address disability accessibility and functional needs and pediatric capabilities except where infants and children are not a specific concern, such as interoperable communications (which may be a concern for workers with hearing and vision disabilities).

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

- Implementing mechanisms to assure appropriate integration and coordination with existing local emergency response and health assets and capabilities (including provision of legal protections for volunteers)
- Developing plans to organize and mobilize the MRC unit in response not only to urgent needs, but also to address other public health needs in the community
- Recruiting volunteers for the MRC unit
- Tracking volunteer information
- Screening and verifying credentials
- Training
- Providing equipment and supplies for the MRC unit

## ***Citizen Corps Program***

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The Citizen Corps mission is to bring community and government leaders together to coordinate the involvement of community members and organizations in emergency preparedness, planning, mitigation, response, and recovery. Because each State and territory will be receiving Citizen Corps Program (CCP) funds in FY 2010, SAA's must prepare an Investment that clearly identifies their proposed activities and support for the CCP mission.

FY 2010 CCP funds provide resources for States, local, and territorial communities to:

- Bring together the appropriate leadership to form and sustain a Citizen Corps Council
- Develop and implement a plan and amend existing plans, such as emergency operations plans (EOP) to achieve and expand citizen preparedness and participation
- Conduct public education and outreach
- Ensure clear, timely, and accessible alerts/warnings and emergency communications with the public
- Develop training programs for the public, including special needs populations, for both all-hazards preparedness and volunteer responsibilities
- Facilitate citizen participation in exercises
- Implement volunteer programs and activities to support emergency responders
- Involve citizens in surge capacity roles and responsibilities during an incident in alignment with the Emergency Support Functions and Annexes
- Conduct evaluations of programs and activities

### ***CCP Program Requirements***

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

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

representing the unique needs of infants and children and representatives from the disability community.

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

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

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

- **Coordination.** The SAA must coordinate the financial, programmatic, and administrative issues relating to the Citizen Corps mission with the State Citizen Corps Program Manager. Furthermore, the SAA must share the community preparedness information submitted in the State's BSIR with the State Citizen Corps Program Manager. The State Citizen Corps Program Manager must also participate in the FEMA required monitoring process. In addition, all State

Citizen Corps Program Managers must update / validate their Citizen Corps Council information, activity, and contacts located on the Citizen Corps website twice a year.

***Law Enforcement Terrorism Prevention Activities***

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As noted earlier, consistent with the 9/11 Act, the Department will place emphasis on law enforcement terrorism prevention and protection-oriented activities by requiring that States ensure that at least 25 percent of SHSP appropriated funds and at least 25 percent of UASI appropriated funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities, including those activities which support the development and operation of fusion centers. This requirement does not include award funds from OPSG, MMRS, and CCP.

## PART II. AWARD INFORMATION

### ***Authorizing Statutes***

The *Department of Homeland Security Appropriations Act, 2010* (Public 111-83); the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) (hereafter “9/11 Act”); and the *Homeland Security Act of 2002* (6 U.S.C. §101 et seq.) authorize the FY 2010 HSGP.

### ***Period of Performance***

The period of performance of this grant is 36 months. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications as to why an extension is required.

### ***Available Funding***

In FY 2010, the total amount of funds distributed under the HSGP will be \$1,786,359,956. The available funding is summarized in the table below.

HSGP Programs	FY 2010 Funding
State Homeland Security Program	\$842,000,000
Urban Areas Security Initiative	\$832,520,000
Operation Stonegarden	\$60,000,000
Metropolitan Medical Response System	\$39,359,956
Citizen Corps Program	\$12,480,000
<b>Total</b>	<b>\$1,786,359,956</b>

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

### ***FY 2010 SHSP Allocations***

FY 2010 SHSP funds will be allocated based on three factors: minimum amounts as legislatively mandated, DHS’ risk methodology, and effectiveness.

#### *Legislatively-mandated Minimum Amounts*

Each State and territory will receive a minimum allocation under SHSP using the thresholds established in the 9/11 Act. All 50 States, the District of Columbia, and Puerto Rico will receive 0.36 percent of the total funds allocated for grants under Section 2004 of the *Homeland Security Act of 2002* (6 U.S.C. §101 et seq.), as amended by the 9/11 Act, for SHSP. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation

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

*Allocations Based Upon DHS’ Risk Methodology*

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

**FY 2010 SHSP Allocations**

State	SHSP Allocation	Law Enforcement Terrorism Prevention Activities Minimum
Alabama	\$9,817,385	\$2,740,007
Alaska	\$6,613,200	\$1,845,727
American Samoa	\$1,469,600	\$410,162
Arizona	\$13,217,365	\$3,688,932
Arkansas	\$6,613,200	\$1,845,727
California	\$107,498,340	\$30,002,506
Colorado	\$10,979,859	\$3,064,450
Connecticut	\$8,894,442	\$2,482,416
Delaware	\$6,613,200	\$1,845,727
District of Columbia	\$10,073,987	\$2,811,622
Florida	\$33,011,575	\$9,213,444
Georgia	\$19,229,905	\$5,367,016
Guam	\$1,469,600	\$410,162
Hawaii	\$6,613,200	\$1,845,727
Idaho	\$6,613,200	\$1,845,727
Illinois	\$32,556,036	\$9,086,305
Indiana	\$11,326,441	\$3,161,180
Iowa	\$6,613,200	\$1,845,727
Kansas	\$6,613,200	\$1,845,727
Kentucky	\$8,007,374	\$2,234,837
Louisiana	\$13,804,998	\$3,852,939
Maine	\$6,613,200	\$1,845,727
Maryland	\$15,819,538	\$4,415,192
Massachusetts	\$15,575,715	\$4,347,141
Michigan	\$19,305,380	\$5,388,081
Minnesota	\$10,789,416	\$3,011,298
Mississippi	\$6,613,200	\$1,845,727
Missouri	\$11,057,956	\$3,086,247
Montana	\$6,613,200	\$1,845,727
Nebraska	\$6,613,200	\$1,845,727
Nevada	\$7,868,298	\$2,196,020
New Hampshire	\$6,613,200	\$1,845,727
New Jersey	\$23,804,549	\$6,643,786
New Mexico	\$6,613,200	\$1,845,727
New York	\$113,536,625	\$31,687,774

State	SHSP Allocation	Law Enforcement Terrorism Prevention Activities Minimum
North Carolina	\$15,419,662	\$4,303,587
North Dakota	\$6,613,200	\$1,845,727
Northern Mariana Islands	\$1,469,600	\$410,162
Ohio	\$21,550,072	\$6,014,569
Oklahoma	\$6,613,200	\$1,845,727
Oregon	\$7,719,935	\$2,154,614
Pennsylvania	\$27,090,515	\$7,560,892
Puerto Rico	\$6,613,200	\$1,845,727
Rhode Island	\$6,613,200	\$1,845,727
South Carolina	\$7,892,298	\$2,202,720
South Dakota	\$6,613,200	\$1,845,727
Tennessee	\$11,036,637	\$3,080,297
Texas	\$57,124,291	\$15,943,240
U.S. Virgin Islands	\$1,469,600	\$410,162
Utah	\$6,613,200	\$1,845,727
Vermont	\$6,613,200	\$1,845,727
Virginia	\$18,680,612	\$5,213,710
Washington	\$18,357,092	\$5,123,415
West Virginia	\$6,613,200	\$1,845,727
Wisconsin	\$9,584,902	\$2,675,121
Wyoming	\$6,613,200	\$1,845,727
<b>Total:</b>	<b>\$842,000,000</b>	<b>\$235,000,000</b>

### ***FY 2010 UASI Allocations***

FY 2010 UASI funds will be allocated based upon the DHS' risk methodology and effectiveness.

#### *Allocations Based Upon DHS' Risk Methodology*

Eligible candidates for the FY 2010 UASI program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous metropolitan statistical areas in the United States, in accordance with the 9/11 Act. Based on that analysis, the eligible candidates have been grouped into two tiers according to relative risk. Tier I includes the 10 highest risk areas and will be allocated 63 percent of the total UASI funding available; Tier II includes the other 54 candidate areas and will be allocated the remaining 37 percent of the total UASI funding available. The tier approach was employed to allow applicants with a similar level of risk to compete for funding on a level playing field. The following table identifies the eligible Urban Areas and their UASI allocations based on DHS' relative risk assessment.

**FY 2010 UASI Allocations**

Tier	State/Territory	Urban Area	FY 2010	Law
			Allocations	Enforcement Terrorism Prevention Activities Minimum
Tier I	California	Los Angeles/Long Beach Area	\$69,922,146	\$18,624,461
		Bay Area	\$42,827,663	\$11,407,575
	District of Columbia	National Capital Region	\$59,392,477	\$15,819,778
	Illinois	Chicago Area	\$54,653,862	\$14,557,601
	Massachusetts	Boston Area	\$18,933,980	\$5,043,254
	New Jersey	Jersey City/Newark Area	\$37,292,205	\$9,933,150
	New York	New York City Area	\$151,579,096	\$40,374,603
	Pennsylvania	Philadelphia Area	\$23,335,845	\$6,215,735
		Texas	Houston Area	\$41,452,916
	Dallas/Fort Worth/Arlington Area		\$25,097,410	\$6,684,945
Tier II	Arizona	Phoenix Area	\$10,832,667	\$2,885,389
		Tucson Area	\$4,515,400	\$1,202,722
	California	San Diego Area	\$16,208,500	\$4,317,296
		Anaheim/Santa Ana Area	\$12,773,050	\$3,402,229
		Riverside Area	\$5,286,378	\$1,408,080
		Sacramento Area	\$3,947,286	\$1,051,399
		Oxnard Area	\$2,507,575	\$667,918
		Bakersfield Area	\$1,014,919	\$270,334
	Colorado	Denver Area	\$7,064,120	\$1,881,599
	Connecticut	Bridgeport Area	\$2,812,361	\$749,100
		Hartford Area	\$2,752,043	\$733,034
	Florida	Miami Area	\$11,039,650	\$2,940,521
		Tampa Area	\$7,815,050	\$2,081,616
		Fort Lauderdale Area	\$6,067,168	\$1,616,051
		Jacksonville Area	\$5,355,350	\$1,426,451
		Orlando Area	\$5,090,188	\$1,355,822
	Georgia	Atlanta Area	\$13,522,973	\$3,601,979
	Hawaii	Honolulu Area	\$4,754,800	\$1,266,488
	Indiana	Indianapolis Area	\$7,104,700	\$1,892,408
	Kentucky	Louisville Area	\$2,205,723	\$587,516
	Louisiana	New Orleans Area	\$5,440,364	\$1,449,095
		Baton Rouge Area	\$2,978,768	\$793,425
	Maryland	Baltimore Area	\$10,975,050	\$2,923,314
	Michigan	Detroit Area	\$13,481,600	\$3,590,959
	Minnesota	Twin Cities Area	\$8,263,207	\$2,200,987
	Missouri	St. Louis Area	\$8,533,000	\$2,272,850
Kansas City Area		\$7,706,200	\$2,052,623	
Nebraska	Omaha Area	\$1,013,087	\$269,846	
Nevada	Las Vegas Area	\$8,150,150	\$2,170,874	

Tier	State/Territory	Urban Area	FY 2010	Law
			Allocations	Enforcement Terrorism Prevention Activities Minimum
Tier II	New York	Buffalo Area	\$5,544,750	\$1,476,899
		Rochester Area	\$2,314,601	\$616,517
		Albany Area	\$1,011,141	\$269,327
		Syracuse Area	\$1,010,475	\$269,150
	North Carolina	Charlotte Area	\$4,583,712	\$1,220,917
	Ohio	Cleveland Area	\$5,094,390	\$1,356,941
		Cincinnati Area	\$4,977,643	\$1,325,845
		Columbus Area	\$4,247,100	\$1,131,257
		Toledo Area	\$2,291,708	\$610,419
	Oklahoma	Oklahoma City Area	\$4,404,750	\$1,173,249
		Tulsa Area	\$2,164,490	\$576,533
	Oregon	Portland Area	\$7,178,800	\$1,912,145
	Pennsylvania	Pittsburgh Area	\$6,398,705	\$1,704,359
	Puerto Rico	San Juan Area	\$3,108,425	\$827,960
	Rhode Island	Providence Area	\$4,764,300	\$1,269,019
	Tennessee	Memphis Area	\$4,169,183	\$1,110,503
		Nashville Area	\$2,844,065	\$757,545
	Texas	San Antonio Area	\$6,229,550	\$1,659,303
		El Paso Area	\$5,389,900	\$1,435,654
		Austin Area	\$2,931,990	\$780,965
	Utah	Salt Lake City Area	\$2,900,078	\$772,465
	Virginia	Norfolk Area	\$7,372,100	\$1,963,632
		Richmond Area	\$2,675,561	\$712,662
Washington	Seattle Area	\$11,053,806	\$2,944,291	
Wisconsin	Milwaukee Area	\$4,159,850	\$1,108,019	
<b>Total:</b>			<b>\$832,520,000</b>	<b>\$221,750,000</b>

### ***FY 2010 OPSG Allocations***

FY 2010 OPSG funds will be allocated based on risk-based prioritization using CBP's Sector-specific border risk methodology to include, but not limited to: threat, vulnerability, miles of border, and other border-specific "law enforcement intelligence," as well as feasibility of FY 2010 Operation Orders to designated localities within the U.S. border States and territories.

Eligible grantees under the FY 2010 OPSG are local units of government at the county level and Federally-recognized tribal governments in the States bordering Canada (including Alaska), southern States bordering Mexico, and States and territories with international water borders. **The SAA is the only entity eligible to apply to FEMA for FY 2010 OPSG funds on behalf of the county or similar level of government and Federally-recognized tribal governments.** Eligible States and territories without a county or similar level of government structure are authorized to accept applications on

behalf of the alternative unit of local government. SAAs in this situation must advise FEMA in writing as to their intent. *Note: Not all applicants are guaranteed to receive funding under the FY 2010 OPSG.*

### FY 2010 OPSG Eligible Applicants

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

### FY 2010 MMRS Allocations

FY 2010 MMRS funding will be divided evenly among the 124 MMRS jurisdictions listed below.

### FY 2010 MMRS Funding Allocations

State	MMRS Jurisdictions	State Total
Alabama	Birmingham, Huntsville, Mobile, and Montgomery	\$1,269,676
Alaska	Anchorage and Juneau	\$634,838
Arizona	Glendale, Mesa, Phoenix, and Tucson	\$1,269,676
Arkansas	Little Rock	\$317,419
California	Anaheim, Bakersfield, Fremont, Fresno, Glendale, Huntington Beach, Long Beach, Los Angeles, Modesto, Oakland, Riverside, Sacramento, San Bernadino, San Diego, San Francisco, San Jose, Santa Ana, and Stockton	\$5,713,542
Colorado	Aurora, Colorado Springs, and Denver	\$952,257
Connecticut	Hartford	\$317,419
Florida	Fort Lauderdale, Hialeah, Jacksonville, Miami, Orlando, St. Petersburg, and Tampa	\$2,221,933
Georgia	Atlanta and Columbus	\$634,838
Hawaii	Honolulu	\$317,419
Illinois	Chicago	\$317,419
Indiana	Ft. Wayne and Indianapolis	\$634,838
Iowa	Des Moines	\$317,419

State	MMRS Jurisdictions	State Total
Kansas	Kansas City and Wichita	\$634,838
Kentucky	Lexington/Fayette and Louisville	\$634,838
Louisiana	Baton Rouge, Jefferson Parish, New Orleans, and Shreveport	\$1,269,676
Maryland	Baltimore	\$317,419
Massachusetts	Boston, Springfield, and Worcester	\$952,257
Michigan	Detroit, Grand Rapids, and Warren	\$952,257
Minnesota	Minneapolis and St. Paul	\$634,838
Mississippi	Jackson	\$317,419
Missouri	Kansas City and St. Louis	\$634,838
Nebraska	Lincoln and Omaha	\$634,838
Nevada	Las Vegas	\$317,419
New Hampshire	Northern New England MMRS	\$317,419
New Jersey	Jersey City and Newark	\$634,838
New Mexico	Albuquerque	\$317,419
New York	Buffalo, New York City, Rochester, Syracuse, and Yonkers	\$1,587,095
North Carolina	Charlotte, Greensboro, and Raleigh	\$952,257
Ohio	Akron, Cincinnati, Cleveland, Columbus, Dayton, and Toledo	\$1,904,514
Oklahoma	Oklahoma City and Tulsa	\$634,838
Oregon	Portland	\$317,419
Pennsylvania	Allegheny County and Philadelphia	\$634,838
Rhode Island	Providence	\$317,419
South Carolina	Columbia	\$317,419
Tennessee	Chattanooga, Knoxville, Memphis, and Nashville	\$1,269,676
Texas	Amarillo, Arlington, Austin, Corpus Christi, Dallas, El Paso, Fort Worth, Garland, Houston, Irving, Lubbock, San Antonio, and Southern Rio Grande	\$4,126,447
Utah	Salt Lake City	\$317,419
Virginia	Arlington County, Chesapeake, Newport News, Norfolk, Richmond, and Virginia Beach	\$1,904,514
Washington	Seattle, Spokane, and Tacoma	\$952,257
Wisconsin	Madison and Milwaukee	\$634,838
<b>Total</b>		<b>\$39,359,956</b>

### ***FY 2010 CCP Allocations***

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

### FY 2010 CCP Funding Allocations

State/Territory	Allocation	State/Territory	Allocation
Alabama	\$206,785	Nevada	\$156,729
Alaska	\$110,262	New Hampshire	\$125,546
Arizona	\$251,416	New Jersey	\$304,403
Arkansas	\$162,925	New Mexico	\$141,777
California	\$986,002	New York	\$566,798
Colorado	\$213,523	North Carolina	\$317,508
Connecticut	\$178,606	North Dakota	\$109,174
Delaware	\$114,797	Ohio	\$372,462
District of Columbia	\$107,969	Oklahoma	\$182,032
Florida	\$538,587	Oregon	\$185,618
Georgia	\$328,757	Pennsylvania	\$395,827
Hawaii	\$124,876	Rhode Island	\$119,112
Idaho	\$130,596	South Carolina	\$202,363
Illinois	\$406,833	South Dakota	\$113,125
Indiana	\$248,420	Tennessee	\$244,489
Iowa	\$166,498	Texas	\$684,226
Kansas	\$161,632	Utah	\$160,037
Kentucky	\$197,252	Vermont	\$108,684
Louisiana	\$200,688	Virginia	\$282,223
Maine	\$125,562	Washington	\$252,606
Maryland	\$230,376	West Virginia	\$137,653
Massachusetts	\$251,362	Wisconsin	\$230,239
Michigan	\$336,470	Wyoming	\$106,532
Minnesota	\$220,344	Puerto Rico	\$189,599
Mississippi	\$164,946	U.S. Virgin Islands	\$33,866
Missouri	\$237,126	American Samoa	\$32,793
Montana	\$117,088	Guam	\$35,532
Nebraska	\$136,899	Northern Mariana Islands	\$32,450
<b>Total</b>			<b>\$12,480,000</b>

## PART III.

# ELIGIBILITY INFORMATION

### A. Eligible Applicants

All 56 States and territories are eligible to apply for HSGP funds.

#### ***National Incident Management System Implementation Compliance***

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

Federal FY 2009 NIMS implementation must be considered prior to allocation of any Federal preparedness awards in FY 2010. In April 2009, the National Integration Center Incident Management Systems Integration (IMSI) Division advised State,<sup>3</sup> tribal nation, and local governments to respond to metric assessments in the NIMS Compliance Assistance Support Tool (NIMSCAST) to assess on-going progress and achievement. The list of objectives against which progress and achievement are assessed and reported can be found at <http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtm#item2>.

All State, tribal nation, and local government grantees were required to update their respective NIMSCAST assessments by September 30, 2009. State, tribal, and local grantees unable to meet implementation objectives were required to submit a Corrective Action Plan via NIMSCAST no later than October 31, 2009. Comprehensive information concerning NIMS implementation for States, tribal nations, local governments, nongovernmental organizations, and the private sector is available through IMSI via its NIMS Resource Center at [www.fema.gov/nims](http://www.fema.gov/nims).

States, tribal nations, and local governments should continue to implement the training guidance contained in the *5-Year NIMS Training Plan*, released in February 2008.

The primary grantee/administrator of FY 2010 HSGP award funds is responsible for determining if sub-awardees have demonstrated sufficient progress to disburse awards.

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<sup>3</sup> As defined in *the Homeland Security Act of 2002* (Public Law 107-296), the term "State" means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States" 6 U.S.C. 101 (14).

### **State Preparedness Report Submittal**

Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 109-295), 6 U.S.C. §752(c), requires any State that receives Federal preparedness assistance to submit a State Preparedness Report to FEMA. FEMA will provide additional instruction on the FY 2009 State Preparedness Report submission. **Receipt of this report is a prerequisite for applicants to receive any FY 2010 DHS preparedness grant funding.**

### **B. Cost Sharing**

In FY 2010, grantees may provide an optional cost share; however, an applicant's willingness to contribute an optional cost share will not impact allocation amounts identified in the FY 2010 HSGP Guidance and Application Kit. Applicants interested in providing an optional cost share should enter the cost share amount on the SF-424 and SF-424 A required in the application. Investment Justifications must also identify any matching funds (source and dollar amount) being provided. FEMA administers cost sharing requirements in accordance with 44 CFR §13.24, which is located at [http://www.access.gpo.gov/nara/cfr/waisidx\\_07/44cfrv1\\_07.html](http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html). To meet matching requirements, the grantee contributions must be reasonable, allowable, allocable and necessary under the grant program and must comply with all Federal requirements and regulations.

Please refer to Part VIII – Other Information – Section F – Match Guidance for additional match guidance to include match definitions, basic guidelines, and governing provisions.

### **C. Restrictions**

Please see Part IV.E. for Management & Administration (M&A) limits and allowable/unallowable costs guidance.

## PART IV.

# APPLICATION AND SUBMISSION INFORMATION

### A. Address to Request Application Package

All applications for DHS grants will be filed using the common electronic “storefront” – [www.grants.gov](http://www.grants.gov). To access application forms and instructions, select “Apply for Grants,” and then select “Download Application Package.” Enter the Catalog of Federal Domestic Assistance (CFDA) and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.” If you experience difficulties or have any questions, please call the [www.grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726.

DHS may request original signatures on forms at a later date.

### B. Content and Form of Application

The on-line application must be completed and submitted using [www.grants.gov](http://www.grants.gov) after Central Contractor Registry (CCR) registration is confirmed. The on-line application includes the following required forms and submissions:

- For SHSP, UASI, MMRS, and CCP funds, an Investment Justification (IJ) Report from the Grants Reporting Tool (see Part VIII – Other Information – HSGP Application “Investment Justification” Template and Instructions)
- For UASI funds, an overview of the UAWG structure and a list of members and their associated jurisdictions
- For OPSG funds, Operations Orders and Detailed Budget Summary from eligible local units of government at the county level and Federally-recognized tribal governments within States and territories
- For OPSG funds, inventory of Operations Orders in FEMA-provided template
- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information
- Standard Form 424B, Assurances
- Standard Form 424C, Budget Information – Construction Form
- Standard Form 424D, Assurances – Construction
- Lobbying Form – Certification Regarding Lobbying (this form must be completed by all grant applicants)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)

- Certification Regarding Debarment, Suspension, and Other Responsibility Matters
- Certification Regarding Drug-Free Workplace Requirements

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

- 1. Application via [www.grants.gov](http://www.grants.gov).** All applicants must file their applications using the Administration’s common electronic “storefront” -- [www.grants.gov](http://www.grants.gov). Eligible grantees must apply for funding through this portal, accessible on the Internet at [www.grants.gov](http://www.grants.gov).
- 2. Dun and Bradstreet Data Universal Numbering System (DUNS) number.** The applicant must provide a DUNS number with their application. This number is a required field within [www.grants.gov](http://www.grants.gov). Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at (866) 705-5711.
- 3. Valid CCR Registration.** The application process also involves an updated and current registration by the applicant. Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for funding through [www.grants.gov](http://www.grants.gov).
- 4. IJ (SHSP, UASI, MMRS, and CCP).** As part of the FY 2010 HSGP application process for SHSP, UASI, MMRS, and CCP funds, applicants must develop a formal IJ that addresses each Investment being proposed for funding. The IJ must demonstrate how proposed projects address gaps and deficiencies in current capabilities. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Applicants must ensure that the IJ is consistent with all applicable requirements outlined in this application kit.

UASI –

- For new Urban Areas, IJ technical assistance is available; please consult your SAA for requesting assistance services from FEMA.
- UASI jurisdictions may propose up to 15 Investments (including Multi-Applicant Investments that support regional initiatives) within their IJ.

SHSP –

- For SHSP funds, applicants may propose up to 15 Investments (including Multi-Applicant Investments that support regional initiatives) within their IJ.

MMRS -

- States receiving MMRS grant funds are required to prepare one Investment that clearly identifies the support for the integration of local emergency

management, health, and medical services for mass casualties using MMRS grant funds across all MMRS jurisdictions.

CCP –

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

**For specific instructions on completing and submitting Investments, including Multi-Applicant Investments, please refer in this kit to Part VIII – “Other Information – HSGP Application ‘Investment Justification’ Template and Instructions.”**

5. **OPSG - Operations Order and Detailed Budget Summary.** As part of the FY 2010 OPSG application process, each eligible local unit of government at the county level or Federally-recognized tribal government must develop their Operations Order in coordination with State and Federal law enforcement agencies, to include, but not limited to CBP/BP. Operations Orders that are developed at the county level should be inclusive of city, county, tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, and the Operations Order should address this in the Executive Summary. The details should include the names of the agencies, the points of contact, and the individual funding requests.

**For specific instructions on completing and submitting Operations Orders, please refer in this kit to Part VIII – “Other Information – OPSG Application ‘Operations Order’ Template and Instructions.”**

### **C. Submission Dates and Times**

Application submissions will be received by **11:59 p.m. EDT, April 19, 2010**. Only applications made through [www.grants.gov](http://www.grants.gov) will be accepted.

### **D. Intergovernmental Review**

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

## E. Funding Restrictions

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

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

The applicable SAAs will be responsible for administration of the FY 2010 HSGP. In administering the program, the SAA must work with the eligible applicants to comply with the following general requirements:

- 1. HSGP Priorities Threshold.** As noted before, FY 2010 HSGP applies to all capabilities with an emphasis on the eight National Priorities.
- 2. Law Enforcement Terrorism Prevention.** Per the 9/11 Act, States are required to ensure that at least 25 percent of SHSP appropriated funds and 25 percent of UASI appropriated funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities. This requirement does not include award funds from OPSG, MMRS, and CCP.
- 3. Management and Administration (M&A) Limits.** A maximum of up to five percent (5%) of HSGP funds (exclusive of OPSG) awarded may be retained by the State, and any funds retained are to be used solely for management and administrative purposes associated with the HSGP award. States may pass through a portion of the State M&A allocation to local subgrantees to support local management and administration activities; the overall M&A amount may not equal more than five percent (5%) of HSGP funds (exclusive of OPSG). ***No M&A funds may be used to support the FY 2010 OPSG Program.***
- 4. Allowable Costs.** A crosswalk of allowable costs across the HSGP programs can be found in Part VIII of this Guidance package, along with additional detail on planning, organization, equipment, training, and exercises costs. The following pages outline global allowable costs guidance applicable to all programs included in the HSGP.

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

Headquarters Program Analyst (for SHSP, UASI, or OPSG questions) or FEMA Regional Program Analyst (for MMRS or CCP questions) prior to making any Investment that does not clearly meet the allowable expense criteria established by the Guidance.

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

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States and Urban Areas may use FY 2010 HSGP funds for planning efforts that enable them to prioritize needs, build capabilities, update preparedness strategies, allocate resources, and deliver preparedness programs across disciplines (e.g., tribal governments, law enforcement, fire, EMS, health care systems, public health, behavioral health, public works, rural water associations, agriculture, and information technology) and levels of government. States and Urban Areas are further 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. Planning activities should focus on the four homeland security mission areas of prevention, protection, response, and recovery. HSGP funds should also be leveraged to integrate specialized programs, such as the Regional Catastrophic Preparedness Grant Program, into the overall framework at the State and Urban Area level. All jurisdictions are encouraged to work through Citizen Corps Councils, nongovernmental entities, and the general public in planning activities.<sup>4</sup> Grantees are encouraged to use the *Comprehensive Preparedness Guide 101, Producing Emergency Plans: A Guide for All-Hazard Operations Planning for State, Territorial, Local and Tribal Governments* in order to develop robust and effective plans.

### ***Organizational Activities (SHSP and UASI only)***

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Section 2008 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act, includes the following allowable activities:

- Responding to an increase in the threat level under the Homeland Security Advisory System, or needs resulting from a National Special Security Event
- Establishing, enhancing, and staffing State and Major Urban Area fusion centers
- Paying salaries and benefits for personnel to serve as qualified intelligence analysts

States and Urban Areas must justify proposed expenditures of SHSP or UASI funds to support organization activities within their IJ submission by using historical data or other analysis.<sup>5</sup> All States are allowed to utilize up to 50 percent of their FY 2010 SHSP funding and all Urban Areas are allowed up to 50 percent of their FY 2010 UASI funding

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<sup>4</sup> Nongovernmental entities include the private sector, private nonprofits, faith-based, community, volunteer, and other nongovernmental organizations.

<sup>5</sup> The effectiveness of a request for the use of funds for allowable organizational costs will be judged on the Investment Justification's ability to illustrate the need for such resources to effectively achieve a capability that will have a meaningful impact in the reduction of risk.

for organizational activities.<sup>6</sup> At the request of a recipient of a grant, the Administrator may grant a waiver of the limitation noted above (50 percent).

- **Intelligence Analysts** – Per the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412), 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

All intelligence analyst training should be in accordance with the Global Justice Information Sharing Initiative's (Global) *Minimum Criminal Intelligence Training Standards for Law Enforcement and Other Criminal Justice Agencies in the United States*, which outlines the minimum categories of training needed for intelligence analysts. These include subject-matter expertise, analytic methodologies, customer-service ethics, information handling and processing skills, critical thinking skills, computer literacy, and objectivity and intellectual honesty. A certificate of completion of such training must be on file with the SAA and must be made available to FEMA Program Analysts upon request.

- **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.

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<sup>6</sup> Note: Both organizational costs (e.g., intelligence analysts, operational overtime), planning, equipment, training, and exercise personnel costs are applied towards the 50 percent personnel cap.

- **Operational Overtime Costs** – In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism, operational overtime costs are allowable for increased security measures at critical infrastructure sites. FY 2010 SHSP or UASI funds for organizational costs may be used to support select operational expenses associated with increased security measures at critical infrastructure sites in the following authorized categories:
  - Backfill and overtime expenses (as defined in this Guidance) for staffing State or Major Urban Area fusion centers
  - Hiring of contracted security for critical infrastructure sites
  - Public safety overtime (as defined in this Guidance)
  - Title 32 or State Active Duty National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package (Note: Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package)
  - Increased border security activities in coordination with CBP, as outlined in Information Bulletin #135

FY 2010 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 of the State share of the UASI grant). Any UASI funds retained by the State must be used in **direct** support of the Urban Area. States must provide documentation to the UAWG and FEMA upon request demonstrating how any UASI funds retained by the State would directly support the Urban Area.

### ***Equipment Activities (SHSP, UASI, MMRS, CCP)***

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The 21 allowable prevention, protection, response, and recovery equipment categories and equipment standards for FY 2010 HSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at <https://www.rkb.us>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

States that are using FY 2010 HSGP funds to purchase Interoperable Communications Equipment (Category 6) must consult SAFECOM's coordinated grant guidance, which outlines standards and equipment information to enhance interoperable communications. This guidance can be found at <http://www.safecomprogram.gov>. Additionally, grantees are required to coordinate with other State and local partners in

integrating their interoperable communications plans and projects as outlined in each State's Statewide Communication Interoperability Plan.

### ***Training Activities (SHSP, UASI, MMRS, CCP)***

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States, territories, and Urban Areas may use HSGP funds to develop a homeland security training program. Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP, UASI, MMRS, and CCP grant programs and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS, DOT). Allowable training topics include, but are not limited to, CBRNE terrorism, cyber/agriculture/food security, intelligence gathering and analysis, NIMS related training, citizen and community preparedness, interoperable and emergency communications, and training for volunteers, infants and children and individuals with disabilities in disasters, pediatric medical surge, and evacuation and sheltering with particular emphasis on children, keeping children with parents or guardians, addressing needs of unaccompanied minors, and integrating the accessibility and functional needs of children and adults with disabilities (see *Comprehensive Preparedness Guide 301 [CPG-301]: Interim Emergency Management Planning Guide for Special Needs Populations* and other resources for additional information).

Training conducted using HSGP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps should be identified in the AAR/IP and addressed in the State or Urban Area training cycle. All training and exercises conducted with HSGP funds should support the development and testing of the jurisdiction's EOP or specific annexes, where applicable.

### ***Exercise Activities (SHSP, UASI, MMRS, CCP)***

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Exercises conducted with FEMA support must be managed and executed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP Guidance for exercise design, development, conduct, evaluation, and improvement planning is located at <https://hseep.dhs.gov>. The HSEEP Library provides sample exercise materials and templates.

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

All Urban Areas are required to develop a Multi-Year Training and Exercise Plan (TEP) and submit to the FEMA Grants and Preparedness Community of Interest (COI) on the Homeland Security Information Network (HSIN). Further, Urban Areas are encouraged to develop a Multi-Year Plan and Schedule that takes into consideration anticipated training needs of the Urban Area for at least the immediate year, with exercises being timed to provide responders the opportunity to utilize training received. Further

guidance concerning the Training and Exercise Plan and the Training and Exercise Plan Workshop can be found at <https://hseep.dhs.gov>.

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

Urban Areas are eligible for Regional Exercise Support Program (RESP) funds but must do so in conjunction with the SAA.

States and Urban Areas are encouraged to exercise their capabilities with regard to infants and children across all aspects of response and recovery, including pediatric medical surge capabilities and integrating the accessibility and functional needs of children and adults with disabilities.

### ***Personnel Activities (SHSP, UASI, MMRS, CCP)***

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Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable FY 2010 HSGP planning, training, exercise, and equipment activities.

- A personnel cost cap of up to 50 percent of total **SHSP and UASI** program funds may be used for personnel and personnel-related activities as directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412). Grantees who wish to seek a waiver from the personnel cost cap must provide documentation explaining why the cap is unacceptable; waiver requests will be considered only under extreme circumstances. In general, the use of SHSP and UASI funding to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost. **Neither MMRS nor CCP have a personnel cost cap.** Activities that are considered “personnel” and “personnel-related,” and therefore count against the personnel cost cap of 50 percent, include, but are not limited to:
  - Operational overtime
  - Overtime/backfill to participate in approved training or exercise deliveries
  - Salaries and personnel costs of intelligence analysts
  - Overtime to participate in intelligence sharing activities
  - Salaries and personnel costs of planners, equipment managers, exercise coordinators, and/or training coordinators
  - Salaries and personnel costs under the M&A category
  - Contractor costs associated with performing the above activities

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

FY 2010 HSGP funds may not be used to support the hiring of any personnel for the purposes of fulfilling traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

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

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

### ***Construction and Renovation (SHSP, UASI)***

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Use of HSGP funds for construction is generally prohibited except as outlined below. Such construction shall be strictly limited and allowable only when it is a necessary component of a security system at critical infrastructure facilities. OPSG, CCP, and MMRS funds may not be used for any type of construction. Project construction not exceeding \$1,000,000 is allowable as deemed necessary.

The following types of projects are considered to constitute construction or renovation and must be submitted to FEMA for compliance review under Federal environmental planning and historic preservation (EHP) laws and requirements prior to initiation of the project:

- Construction and renovation of guard facilities which are intended to provide enhanced security at grantee-designated critical infrastructure sites
- Renovation of and modifications, including the installation of security and communication equipment, to buildings and structures that are 50 years old or older

- Any other construction or renovation efforts that change or expand the footprint of a facility or structure, including security enhancements to improve perimeter security
- Physical security enhancements including, but not limited to:
  - Lighting
  - Fencing
  - Closed-circuit television (CCTV) systems
  - Motion detection systems
  - Barriers, doors, gates, and related security enhancements

***In addition, the erection of communications towers that are included in a jurisdiction's interoperable communications plan is allowed, subject to all applicable laws, regulations, and licensing provisions. Communication tower projects must be submitted to FEMA for EHP review. Per the Department of Homeland Security Appropriations Act, 2010 (Public Law 111-83), communications towers are not subject to the \$1,000,000 construction cap.***

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

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

For more information on FEMA's EHP requirements, SAAs should refer to FEMA's Information Bulletin #329, *Environmental Planning and Historic Preservation Requirements for Grants*, available at <http://www.fema.gov/pdf/government/grant/bulletins/info329.pdf>. Additional information and resources can also be found at <http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm>.

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

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

- Overtime expenses consistent with a State Homeland Security Plan, including enhanced operations in support of Federal agencies, border security, and border crossing enforcement
- Establishing, enhancing, and staffing State and Major Urban Area fusion centers

- Paying salaries and benefits for personnel to serve as qualified intelligence analysts
- Information sharing and analysis
- Target hardening
- Threat recognition
- Terrorist interdiction
- Subject to the limitations on organization and personnel costs outlined above, overtime expenses consistent with a State Homeland Security Plan, including for the provision of enhanced law enforcement operations in support of Federal agencies, for increased border security, and border crossing enforcement
- Subject to the limitations on organization and personnel costs outlined above, establishing, enhancing, and staffing State and Major Urban Area fusion centers with appropriately qualified personnel
- Subject to the limitations on organization and personnel costs outlined above, paying salaries and benefits for personnel, including individuals employed by the grant recipient on the date of the relevant grant application, to serve as qualified intelligence analysts
- Any other terrorism prevention activity authorized by the Administrator, pursuant to authority(ies) provided by Congress directly or delegated to the Administrator by the Secretary

### ***OPSG Allowable Costs***

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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 U.S. Borders. While equipment is an allowable expense, the FY 2010 OPSG is not intended to be an equipment-centric grant.

- **Operational Overtime.** Operational overtime costs associated with law enforcement activities, in support of border law enforcement agencies for increased border security enhancement. Per the *PRICE of Homeland Security Act* (Public Law 110-412), all grantees are allowed to utilize up to 50 percent of their FY 2010 OPSG funding for personnel related costs, which include overtime activities. At the request of a grant recipient, the FEMA Administrator may waive the 50 percent personnel cap. Waiver decisions are at the discretion of the FEMA Administrator and will be considered on a case-by-case basis. A formal FY 2010 OPSG personnel waiver request should:
  - Be requested on official letterhead, include a written justification, and be signed by the authorized representative of the SAA
  - Include a budget and method of calculation of personnel costs both in percentage of the grant award and in total dollar amount. To avoid supplanting issues, the request must also include a three-year staffing history for the requesting entity
  - Include an approved Operations Order from the CBP/BP Sector office which supports the SAA's written justification

- Be forwarded electronically by the SAA to FEMA GPD Program Analyst
- **Part Time Personnel.** FY 2010 OPSG funds may be used to pay additional current part time law enforcement personnel salaries in order to bring them to full time status.
- **Travel, Per Diem, and Lodging.** Travel and per diem costs associated with the deployment/redeployment of personnel to border areas and for travel associated with law enforcement entities assisting other local jurisdictions in law enforcement activities. In addition, costs to support up to six (6) month deployment of law enforcement personnel to critical Southwest Border locations to support operational activities (travel costs must be in accordance with applicable travel regulations).
- **Vehicle and Equipment Rentals**
- **Vehicle/Equipment Maintenance**
- **Fuel Cost and/or Mileage Reimbursement.** The reimbursement cap for operational activities is removed under FY 2010 OPSG.
- **Activate Reserve State, local, tribal, and territorial law enforcement personnel.** Supporting a request to the Governor to activate, deploy, or redeploy specialized National Guard Units/Package and/or elements of State law enforcement to increase or augment specialized/technical law enforcement elements operational activities.
- **Backfill.** Costs associated with backfill for personnel supporting operational activities.
- **Law Enforcement Readiness.** Use of FY 2010 OPSG funds may be used to increase operational, material, and technological readiness of State, local, tribal, and territorial law enforcement agencies.

**OPSG Unallowable Costs.** OPSG unallowable costs include costs associated with staffing and general IT computing equipment and hardware, such as personal computers, faxes, copy machines, modems, etc. The FY 2010 OPSG is not intended as a hiring program. Therefore, applying funds toward hiring full-time or permanent sworn public safety officers is also unallowable. FY 2010 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. In addition, no HSGP M&A funds may be used to support FY 2010 OPSG. Finally, construction and/or renovation costs are prohibited under OPSG. Applicants should contact their FEMA Headquarters Program Analyst at (800) 368-6498 for guidance and clarification.

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

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The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted. Grantees are reminded to be sensitive to supplanting issues. Maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees previously purchased with State and or local funds cannot be

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

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

- **Upgrades.** FEMA preparedness grant funding may be used to upgrade previously purchased allowable equipment. For example, if the grantee purchased risk management software with HSGP funds in FY 2005 and would like to use FY 2009 grant funding to upgrade the software, this is allowable.
  - Upgrades may only be purchased for equipment that has been purchased using FEMA preparedness grant funding
  - To avoid supplementing Congressional appropriations for specific programs, upgrades must be purchased using the same grant program used to purchase the original equipment
  - Upgrades for equipment provided to States and local jurisdictions by CEDAP are also eligible for support since CEDAP is a one-time equipment grant program and not a recurring grant (SHSP and UASI programs only)
  - Upgrades for equipment provided directly to States and local jurisdictions by any DHS component are also eligible for support once funding for those programs has ended. This includes the DNDO's limited duration programs such as the SETCP, WCMP, and STC (SHSP and UASI programs only)
  
- **User fees.** User fees are viewed as costs for specific services required to maintain and provide continued operation of equipment or systems. An example would be the recurring service fees associated with handheld radios or mobile data computers.
  - User fees may only be paid for equipment that has been purchased using FEMA preparedness grant funding
  - To avoid supplementing Congressional appropriations for specific programs, user fees must be paid for using the same grant program used to purchase the original equipment. The service time purchased shall not exceed the period of performance of the grant to which the user fee is being charged
  - User fees for equipment provided to States and local jurisdictions by CEDAP are also eligible for support since CEDAP is a one-time equipment grant program and not a recurring grant (SHSP and UASI programs only)
  - User fees for equipment provided directly to States and local jurisdictions by any DHS component also eligible for support once funding for those programs has ended. This includes the DNDO's limited duration programs such as the SETCP, WCMP, and STC (SHSP and UASI programs only)
  - Requests for maintenance, repair or replacement costs, upgrades or user fees for equipment purchased with funds from FEMA preparedness grants that no longer exist (e.g., Law Enforcement Terrorism Prevention Program [LETPP]) are allowable. Sufficient documentation should be maintained to identify the original grant used to purchase the equipment (SHSP and UASI programs only)
  
- **Implementation.** Planned or actual expenditures for maintenance contracts and warranties, repair and replacement costs, upgrades, and user fees must be reflected in the Initial Strategy Implementation Plan (ISIP) or Biannual Strategy Implementation Report (BSIR).

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

### ***Other Allowable Costs - Secure Identification (SHSP)***

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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](http://www.dhs.gov/files/programs/gc_1200693579776.shtm) or  
[http://www.getyouhome.gov/html/eng\\_map.html](http://www.getyouhome.gov/html/eng_map.html).

#### *Other Secure Identification Initiatives*

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

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

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

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

*Note: Secure identification projects requested and funded under SHSP must directly support SHSP mission goals and cannot supplant projects/activities funded under other grant programs (e.g., DLSGP).*

### **F. Other Submission Requirements**

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

## PART V.

# APPLICATION REVIEW INFORMATION

### A. Review Criteria

#### ***SHSP/UASI***

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FY 2010 SHSP funds will be allocated based on three factors: minimum amounts as legislatively mandated, DHS' risk methodology, and effectiveness.

FY 2010 UASI funds will be allocated based on: DHS' risk methodology and effectiveness.

#### ***OPSG***

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The FY 2010 OPSG will use risk-based prioritization using CBP Sector-specific border risk to include, but not limited to: threat, vulnerability, miles of border, and other border-specific "law enforcement intelligence." Each applicant's final funding allocation will be determined by using a combination of the results of the risk analysis and feasibility of the Operations Orders.

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

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

### B. Review and Selection Process

#### ***SHSP/UASI***

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

- FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of Investment Justification (IJ) by the established due dates.

- In FY 2010 HSGP applications will be evaluated through a State and local peer review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Investments. The results from the peer review may require applicants to revise submissions before the release of HSGP funding. State and Urban Area Homeland Security Strategies will be reviewed by the peer review panels for context, but will not be scored.

*Note: Upon award, recipients may only fund Investments that were included in the FY 2010 IJ that were submitted to FEMA.*

## **OPSG**

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

**State and CBP/BP Sector Headquarters Review:** Applications, including all required attachments, should be submitted by the local units of government at the county level or equivalent and Federally-recognized tribal governments to the SAA **no later than 11:59 p.m. EST, March 19, 2010**, to ensure adequate time for a State review of the applications. As part of the FY 2010 OPSG application, FEMA will provide the SAA with a template for the Inventory of Operations Orders.

FEMA directs the SAA to adequately consider applications from Federally-recognized tribal governments. The Inventory of Operations Orders **must** be submitted to FEMA with the applicable Operations Orders **no later than 11:59 p.m. EDT, April 19, 2010**.

### **Federal Review:**

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

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

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

### **C. Anticipated Announcement and Award Dates**

FEMA will evaluate and act on applications within 90 days following the close of the application period, consistent with the *Department of Homeland Security Appropriations Act, 2010* (Public Law 111-83). Awards will be made on or before September 30, 2010.

## PART VI.

# AWARD ADMINISTRATION INFORMATION

### A. Notice of Award

Upon approval of an application, the grant will be awarded to the State Administrative Agencies (SAA). The date that this is done is the “award date.” Notification of award approval is made through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized SAA grantee official. Follow the directions in the notification to accept your award documents. The authorized SAA grantee official should carefully read the award and special condition documents. If you do not receive a notification, please contact your FEMA Program Analyst for your award number. Once you have the award number, contact the GMS Help Desk at (888) 549-9901, option three, to obtain the username and password associated with the new award.

Awards made to SAA for the HSGP carry additional pass-through requirements. Pass-through is defined as an obligation on the part of the States to make funds available to local units of government, combinations of local units, or other specific groups or organizations. The State’s pass-through period must be met within 45 days of the award date for the HSGP.<sup>7</sup> Four requirements must be met to pass-through grant funds:

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

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

The SAA must obligate at least 80 percent of the funds awarded under SHSP, UASI, and OPSG to local units of government within 45 days of receipt of the funds. For Puerto Rico, the SAA must also obligate at least 80 percent of the funds to local units of government within 45 days of receipt of the funds. Additionally, no pass-through requirements will be applied to the District of Columbia, Guam, American Samoa, the

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<sup>7</sup> For purposes of the FY 2010 HSGP, receipt of funds means the date on which funds are available for expenditure (i.e., all special conditions prohibiting obligation, expenditure, and drawdown have been removed).

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. Any OPSG funds retained by the SAA must be used to **directly** support the DHS-designated primary jurisdiction receiving OPSG funds.

States must obligate at least 97 percent of MMRS grant funds within 45 days of receipt.

There are no obligation requirements for CCP. However, if funds are retained, consultation with local Citizen Corps Councils is required to ensure funds are expended in a manner that supports local or statewide efforts to educate, train, and involve citizens. Jurisdictions are encouraged to leverage available funding resources to support community preparedness and participation.

For SHSP and UASI programs involving obligation of funds, the State may retain some of the allocation of grant funds for expenditures made by the State on behalf of the local unit of government or Urban Area jurisdiction. This may occur only with the written consent of the local unit of government or Urban Area jurisdiction, with the written consent specifying the amount of funds to be retained and the intended use of funds. If a written consent agreement is already in place from previous fiscal years, FEMA will continue to recognize it for FY 2010. If any modifications to the existing agreement are necessary to reflect new initiatives, States should contact their assigned FEMA Program Analyst.

The period of performance is 36 months and begins on the Project Period/Budget Period start date listed in the award package. Any unobligated funds will be de-obligated at the end of the close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required. All extension requests must be submitted to FEMA at least 60 days prior to the expiration of the grant period of performance. The justification must address:

- Reason for delay
- Current status of the activity/activities
- Approved period of performance termination date and new project completion date
- Remaining available funds, both Federal and non-Federal
- Budget outlining how remaining Federal and non-Federal funds will be expended
- Plan for completion including milestones and timeframe for achieving each milestone and the position/person responsible for implementing the plan for completion
- 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

## B. Administrative and National Policy Requirements

The recipient and any sub-recipient(s) must, in addition to the assurances made as part of the application, comply and require each of its subcontractors employed in the completion of the project to comply with all applicable statutes, regulations, executive orders, OMB circulars, terms and conditions of the award, and the approved application.

**1. Standard Financial Requirements.** The grantee and any subgrantee(s) shall comply with all applicable laws and regulations. A non-exclusive list of regulations commonly applicable to DHS grants are listed below:

### 1.1 – Administrative Requirements.

- 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*
- 2 CFR Part 215, *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations* (formerly OMB Circular A-110)

### 1.2 – Cost Principles.

- 2 CFR Part 225, *Cost Principles for State, Local, and Indian tribal Governments* (formerly OMB Circular A-87)
- 2 CFR Part 220, *Cost Principles for Educational Institutions* (formerly OMB Circular A-21)
- 2 CFR Part 230, *Cost Principles for Non-Profit Organizations* (formerly OMB Circular A-122)
- Federal Acquisition Regulations (FAR), Part 31.2 *Contract Cost Principles and Procedures, Contracts with Commercial Organizations*

### 1.3 – Audit Requirements.

- OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*

**1.4 – Duplication of Benefits.** There may not be a duplication of any Federal assistance, per 2 CFR Part 225, Basic Guidelines Section C.3 (c), which states: Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Authority may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements. Non-governmental entities are also subject to this prohibition per 2 CFR Parts 220 and 230 and FAR Part 31.2.

2. **Payment.** 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.

**FEMA uses the FEMA Payment and Reporting System (PARS) for payments made under this program: <https://isource.fema.gov/sf269/> (Note: Link connects to Federal Financial Report [SF-425])**

**2.1 – Advance Payment.** In accordance with Treasury regulations at 31 CFR Part 205, the Recipient shall maintain procedures to minimize the time elapsing between the transfer of funds and the disbursement of said funds (See 44 CFR Part 13.21(c)) regarding payment of interest earned on advances. In order to request an advance, the Recipient must maintain or demonstrate the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of funds from DHS and expenditure and disbursement by the Recipient. When these requirements are not met, the Recipient will be required to be on a reimbursement for costs incurred method.

**2.2 – Forms.** In order to download the Standard Form 1199A, the Recipient may use the following Internet site: <http://www.fms.treas.gov/eft/1199a.pdf>.

**NOTE: FUNDS WILL NOT BE AUTOMATICALLY TRANSFERRED UPON ISSUANCE OF THE GRANT. GRANTEEES MUST SUBMIT A REQUEST FOR ADVANCE/REIMBURSEMENT IN ORDER FOR THE FUNDS TO BE TRANSFERRED TO THE GRANTEE’S ACCOUNT.**

3. **Non-supplanting Requirement.** 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.

#### **4. Technology Requirements.**

**4.1 – National Information Exchange Model (NIEM).** FEMA requires all grantees to use the latest NIEM specifications and guidelines regarding the use of Extensible Markup Language (XML) for all grant awards. Further information about the required use of NIEM specifications and guidelines is available at <http://www.niem.gov>.

**4.2 – Geospatial Guidance.** Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). FEMA encourages grantees to align any geospatial activities with the guidance available on the FEMA website at <http://www.fema.gov/grants>.

**4.3 – 28 CFR Part 23 Guidance.** FEMA requires that any information technology system funded or supported by these funds comply with 28 CFR Part 23, *Criminal Intelligence Systems Operating Policies*, if this regulation is determined to be applicable.

**4.4 – Best Practices for Government Use of CCTV.** DHS recommends that grantees seeking funds to purchase and install closed circuit television (CCTV) systems, or funds to provide support for operational CCTV systems, review and utilize the guidance in *Best Practices for Government Use of CCTV: Implementing the Fair Information Practice Principles* available on the DHS Privacy Office website at [http://www.dhs.gov/xlibrary/assets/privacy/privacy\\_rpt\\_cctv\\_2007.pdf](http://www.dhs.gov/xlibrary/assets/privacy/privacy_rpt_cctv_2007.pdf).

## 5. Administrative Requirements.

**5.1 – Freedom of Information Act (FOIA).** FEMA recognizes that much of the information submitted in the course of applying for funding under this program or provided in the course of its grant management activities may be considered law enforcement sensitive or otherwise important to national security interests. While this information under Federal control is subject to requests made pursuant to the *Freedom of Information Act* (FOIA), 5 U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the FEMA FOIA Office, and may likely fall within one or more of the available exemptions under the Act. The applicant is encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment, and strategic planning process. The grantee should be familiar with the regulations governing Sensitive Security Information (49 CFR Part 1520), as it may provide additional protection to certain classes of homeland security information.

**5.2 – Protected Critical Infrastructure Information (PCII).** The PCII Program, established pursuant to the *Critical Infrastructure Act of 2002* (Public Law 107-296) (CII Act), created a framework which enables members of the private sector, States, local jurisdictions, and tribal nations to voluntarily submit sensitive information regarding critical infrastructure to DHS. The Act provides statutory protection from public disclosure and civil litigation for CII that is validated as PCII. When validated as PCII, the information can only be shared with government employees who complete the training requirement, who have homeland security duties, and a need to know.

PCII accreditation is a formal recognition that the covered government entity has the capacity and capability to receive and store PCII appropriately. DHS encourages all States, local jurisdictions, and tribal nations to pursue PCII accreditation to cover their government agencies. Accreditation activities include signing a memorandum of agreement (MOA) with DHS, appointing a PCII Officer

and developing a standard operating procedure for handling PCII. For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at [pcii-info@dhs.gov](mailto:pcii-info@dhs.gov).

**5.3 – Compliance with Federal Civil Rights Laws and Regulations.** The grantee is required to comply with Federal civil rights laws and regulations. Specifically, the grantee is required to provide assurances as a condition for receipt of Federal funds that its programs and activities comply with the following:

- *Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. §2000 et. seq.* – Provides that no person on the grounds of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance. Title VI also extends protection to persons with Limited English Proficiency (LEP). (42 U.S.C. §2000d et seq.)
- *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §1681 et. seq.* – Provides that no person, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any education program or activity receiving Federal financial assistance.
- *Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. §794* – Provides that no otherwise qualified individual with a disability in the United States, shall, solely by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or subject to discrimination in any program or activity receiving Federal financial assistance.
- *The Age Discrimination Act of 1975, as amended, 20 U.S.C. §6101 et. seq.* – Provides that no person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance.

Grantees must comply with all regulations, guidelines, and standards adopted under the above statutes. The grantee is also required to submit information, as required, to the DHS Office for Civil Rights and Civil Liberties concerning its compliance with these laws and their implementing regulations.

**5.4 – Services to Limited English Proficient (LEP) Persons.** Recipients of FEMA financial assistance are required to comply with several Federal civil rights laws, including Title VI of the *Civil Rights Act of 1964*, as amended. These laws prohibit discrimination on the basis of race, color, religion, natural origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI,

recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. The grantee is encouraged to consider the need for language services for LEP persons served or encountered both in developing their proposals and budgets and in conducting their programs and activities. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, see <http://www.lep.gov>.

**5.5 – Certifications and Assurances.** Certifications and assurances regarding the following apply:

- *Lobbying. 31 U.S.C. §1352, Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions* – Prohibits the use of Federal funds in lobbying members and employees of Congress, as well as employees of Federal agencies, with respect to the award or amendment of any Federal grant, cooperative agreement, contract, or loan. FEMA and DHS have codified restrictions upon lobbying at 44 CFR Part 18 and 6 CFR Part 9. (Refer to form included in application package)
- *Drug-free Workplace Act, as amended, 41 U.S.C. §701 et seq.* – Requires the recipient to publish a statement about its drug-free workplace program and give a copy of the statement to each employee (including consultants and temporary personnel) who will be involved in award-supported activities at any site where these activities will be carried out. Also, place(s) where work is being performed under the award (i.e., street address, city, state, and zip code) must be maintained on file. The recipient must notify the Grants Officer of any employee convicted of a violation of a criminal drug statute that occurs in the workplace. For additional information, see 44 CFR Part 17.
- *Debarment and Suspension* – Executive Orders 12549 and 12689 provide protection from fraud, waste, and abuse by debarring or suspending those persons that deal in an irresponsible manner with the Federal government. The recipient must certify that they are not debarred or suspended from receiving Federal assistance. For additional information, see 44 CFR Part 17.
- *Federal Debt Status* – The recipient may not be delinquent in the repayment of any Federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. (OMB Circular A-129) (Refer to SF 424, item number 17)

- *Hotel and Motel Fire Safety Act of 1990* – In accordance with section 6 of the *Hotel and Motel Fire Safety Act of 1990*, 15 U.S.C. §2225a, the recipient agrees to ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds, complies with the fire prevention and control guidelines of the *Federal Fire Prevention and Control Act of 1974*, 15 U.S.C. §2225.

Grantees must comply with all regulations, guidelines, and standards adopted under the above statutes.

### **5.6 – Integrating Individuals with Disabilities into Emergency Planning.**

Section 504 of the *Rehabilitation Act of 1973*, as amended, prohibits discrimination against people with disabilities in all aspects of emergency mitigation, planning, response, and recovery by entities receiving financial funding from FEMA. In addition, Executive Order 13347, *Individuals with Disabilities in Emergency Preparedness*, signed in July 2004, requires the Federal government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Executive Order 13347 requires the Federal government to encourage consideration of the needs of individuals with disabilities served by State, local, tribal, and territorial governments in emergency preparedness planning.

FEMA has several resources available to assist emergency managers in planning and response efforts related to people with disabilities and to ensure compliance with Federal civil rights laws:

- **Comprehensive Preparedness Guide 301 (CPG-301): Interim Emergency Management Planning Guide for Special Needs Populations.** CPG-301 is designed to aid tribal, State, territorial, and local governments in planning for individuals with special needs. CPG-301 outlines special needs considerations for: Developing Informed Plans; Assessments and Registries; Emergency Public Information/Communication; Sheltering and Mass Care; Evacuation; Transportation; Human Services/Medical Management; Congregate Settings; Recovery; and Training and Exercises. CPG-301 is available at <http://www.fema.gov/pdf/media/2008/301.pdf>. CPG-301 and other guidance consider children as special needs populations. However, grantees are strongly encouraged to integrate the needs of infants and children into their planning process and into base plans rather than independently within the special needs framework.
- **Guidelines for Accommodating Individuals with Disabilities in Disaster.** The Guidelines synthesize the array of existing accessibility requirements into a user friendly tool for use by response and recovery

personnel in the field. The Guidelines are available at <http://www.fema.gov/oer/reference/>.

- **Disability and Emergency Preparedness Resource Center.** A web-based “Resource Center” that includes dozens of technical assistance materials to assist emergency managers in planning and response efforts related to people with disabilities. The “Resource Center” is available at <http://www.disabilitypreparedness.gov>.
- **Lessons Learned Information Sharing (LLIS) Resource Page on Emergency Planning for Persons with Disabilities and Special Needs.** A true one-stop resource for planners at all levels of government, non-governmental organizations, and private sector entities, the resource page provides more than 250 documents, including lessons learned, plans, procedures, policies, and guidance, on how to include citizens with disabilities and other special needs in all phases of the emergency management cycle.

LLIS.gov is available to emergency response providers and homeland security officials from the Federal, State, local, tribal, and territorial levels. To access the resource page, log onto <http://www.llis.dhs.gov> and click on *Emergency Planning for Persons with Disabilities and Special Needs* under *Featured Topics*. If you meet the eligibility requirements for accessing LLIS, you can request membership by registering online.

### **5.7 – Environmental Planning and Historic Preservation Compliance.**

FEMA is required to consider the potential impacts to the human and natural environment of projects proposed for FEMA grant funding. FEMA, through its Environmental Planning and Historic Preservation (EHP) Program, engages in a review process to ensure that FEMA-funded activities comply with various Federal laws including: *National Environmental Policy Act; National Historic Preservation Act; Endangered Species Act; the Clean Water Act*, and Executive Orders on Floodplains (11988), Wetlands (11990), and Environmental Justice (12898). The goal of these compliance requirements is to protect our nation’s water, air, coastal, wildlife, agricultural, historical, and cultural resources, as well as to minimize potential adverse effects to low-income and minority populations.

The grantee shall provide all relevant information to FEMA GPD to ensure compliance with applicable Federal EHP requirements. Any project with the potential to impact natural or biological resources or historic properties cannot be initiated until FEMA has completed the required EHP review. In addition to a detailed project description that describes what is to be done with the grant funds, how it will be done, and where it will be done, grantees shall provide detailed information about the project (where applicable), including, but not limited to, the following:

- Project location (i.e., exact street address or map coordinates)

- Total extent of ground disturbance and vegetation clearing
- Extent of modification of existing structures
- Construction equipment to be used, staging areas, etc.
- Year that any affected buildings or structures were built
- Natural, biological, and/or cultural resources present within the project area and vicinity, including wetlands, floodplains, geologic resources, threatened or endangered species, or National Register of Historic Places listed or eligible properties, etc.
- Visual documentation such as good quality, color and labeled site and facility photographs, project plans, aerial photos, maps, etc.
- Alternative ways considered to implement the project (not applicable to procurement of mobile and portable equipment)

For projects that have the potential to impact sensitive resources, FEMA must consult with other Federal and State agencies such as the U.S. Fish and Wildlife Service, State Historic Preservation Offices, and the U.S. Army Corps of Engineers, as well as other agencies and organizations responsible for the protection and/or management of natural and cultural resources, including Federally-recognized Indian tribes, Tribal Historic Preservation Offices, and the Department of the Interior, Bureau of Indian Affairs. For projects with the potential to have adverse effects on the environment and/or historic properties, FEMA's EHP review process and consultation may result in a substantive agreement between the involved parties outlining how the grantee will avoid the effects, minimize the effects, or, if necessary, compensate for the effects. Grantees who are proposing communication tower projects are encouraged to complete their Federal Communications Commission (FCC) EHP process prior to preparing their EHP review materials for GPD, and to include their FCC EHP materials with their submission to GPD. Completing the FCC process first and submitting all relevant EHP documentation to GPD will help expedite FEMA's review.

Because of the potential for adverse effects to EHP resources or public controversy, some projects may require an additional assessment or report, such as an Environmental Assessment, Biological Assessment, archaeological survey, cultural resources report, wetlands delineation, or other document, as well as a public comment period. Grantees are responsible for the preparation of such documents, as well as for the implementation of any treatment or mitigation measures identified during the EHP review that are necessary to address potential adverse impacts. Grantees may use grant funds toward the costs of preparing such documents. The use of grant funds for mitigation or treatment measures that are not typically allowable expenses will be considered on a case-by-case basis. Failure of the grantee to meet Federal, territorial, State, local and tribal EHP requirements, obtain required permits, and comply with any conditions that may be placed on the project as the result of FEMA's EHP review may jeopardize Federal funding.

Recipients shall not undertake any project without the prior approval of GPD, and must comply with all conditions placed on the project as the result of the EHP review. Any change to the approved project description will require re-evaluation for compliance with these EHP requirements. If ground disturbing activities occur during project implementation, the recipient must ensure monitoring of ground disturbance, and if any potential archeological resources are discovered, the recipient will immediately cease construction in that area and notify their GPD Program Analyst, and the appropriate State Historic Preservation Office. Any projects that have been initiated prior to approval will result in a non-compliance finding and will not be eligible for funding.

For more information on FEMA's EHP requirements, SAAs should refer to FEMA's Information Bulletin #329, *Environmental Planning and Historic Preservation Requirements for Grants*, available at <http://www.fema.gov/pdf/government/grant/bulletins/info329.pdf>. Additional information and resources can also be found at <http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm>.

**5.8 – Royalty-free License.** Applicants are advised that FEMA reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, for Federal government purposes: (a) the copyright in any work developed under an award or sub-award; and (b) any rights of copyright to which an award recipient or sub-recipient purchases ownership with Federal support. Award recipients must agree to consult with FEMA regarding the allocation of any patent rights that arise from, or are purchased with, this funding.

**5.9 – FEMA GPD Publications Statement.** Applicants are advised that all publications created with funding under any grant award shall prominently contain the following statement: "This document was prepared under a grant from the Federal Emergency Management Agency's Grant Programs Directorate (FEMA/GPD) within the U.S. Department of Homeland Security. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of FEMA/GPD or the U.S. Department of Homeland Security."

**5.10 – Equipment Marking.** Awardees may consider marking equipment in the following manner, "Purchased with funds provided by the U.S. Department of Homeland Security," in order to facilitate their own audit processes, as well as Federal audits and monitoring visits, which may result from receiving Federal funding. Equipment maintenance requirements are outlined in 44 CFR Part 13.32.

**5.11 – Disadvantaged Business Requirement.** Applicants are advised that, to the extent that recipients of a grant use contractors or subcontractors, such recipients shall use small, minority, women-owned or disadvantaged business concerns and contractors or subcontractors to the extent practicable.

**5.12 – National Preparedness Reporting Compliance.** The *Government Performance and Results Act of 1993* (Public Law 103-62) requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. FEMA will work with grantees to develop tools and processes to support this requirement. FEMA anticipates using this information to inform future-year grant program funding decisions. Award recipients must agree to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within their grant agreement. This includes any assessments, audits, or investigations conducted by DHS, the Office of the Inspector General, or the Government Accountability Office (GAO).

### C. Reporting Requirements

Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements). Any reports or documents prepared as a result of this grant shall be in compliance with Federal “plain English” policies, directives, etc. Please note that PARS contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

- 1. Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425), which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, the FFR is due no later than April 30). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund drawdowns may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period.

OMB has directed that the FFR SF-425 replace the use of the SF-269, SF-269A, SF-272, and SF-272A, which will no longer be available after October 1, 2009. The SF-425 is intended to provide Federal agencies and grant recipients with a standard format and consistent reporting requirements throughout the government.

FFRs **must be filed online** through the PARS.

Reporting periods and due dates:

- October 1 – December 31; *Due January 30*
- January 1 – March 31; *Due April 30*
- April 1 – June 30; *Due July 30*
- July 1 – September 30; *Due October 30*

- 2. Semi-Annual Progress Report (SAPR).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicant is responsible for completing and submitting the SAPR reports. The awardee should include a statement in the narrative field of the SAPR that reads: *See BSIR*

The SAPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Future awards and fund drawdowns may be withheld if these reports are delinquent.

SAPRs must be filed online at <https://grants.ojp.usdoj.gov>. Guidance and instructions can be found at <https://grants.ojp.usdoj.gov/gmsHelp/index.html>.

***Required submission: SAPR (due semi-annually).***

- 3. Initial Strategy Implementation Plan (ISIP).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information to meet the pass-through requirement. The applicable SAAs are responsible for completing and submitting the ISIP online.

***Required submission: ISIP (due within 45 days of the award date).***

- 4. Biannual Strategy Implementation Reports (BSIR).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicable SAAs are responsible for completing and submitting the BSIR reports which is a component of the SAPR. The BSIR submission will satisfy the narrative requirement of the SAPR. SAAs are still required to submit the SAPR with a statement in the narrative field that reads: *See BSIR*.

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; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Future awards and fund drawdowns may be withheld if these reports are delinquent.

- 5. Exercise Evaluation and Improvement.** Exercises implemented with grant funds should be capabilities and performance-based and should evaluate performance of the targeted capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program (HSEEP) located at <https://hseep.dhs.gov>. Grant recipients must report on scheduled exercises and ensure that an After Action Report (AAR) and Improvement Plan (IP) are prepared for each exercise conducted with FEMA support (grant funds or direct support) and

submitted to the FEMA Grants and Preparedness Community of Interest (COI) on the Homeland Security Information Network (HSIN) within 90 days following completion of the exercise.

The AAR documents the demonstrated performance of targeted capabilities and identifies recommendations for improvements. The IP outlines an exercising jurisdiction(s) plan to address the recommendations contained in the AAR. At a minimum, the IP must identify initial action items and be included in the final AAR. Guidance for the development of AARs and IPs is provided in the HSEEP manual.

***Required submissions: AARs and IPs (as applicable).***

- 6. Financial and Compliance Audit Report.** Recipients that expend \$500,000 or more of Federal funds 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/a133.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2010 HSGP assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant.

The State shall require that subgrantees comply with the audit requirements set forth in *OMB Circular A-133*. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

- 7. Monitoring.** Grant recipients will be monitored periodically 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. Programmatic monitoring may also include the Regional Federal Preparedness Coordinators, when appropriate, to ensure consistency of project investments with regional and national goals and policies, as well as to help synchronize similar investments ongoing at the Federal, State, and local levels.

Monitoring will be accomplished through a combination of desk-based reviews and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, performance, and administrative issues relative to each

program and will identify areas where technical assistance and other support may be needed.

The recipient is responsible for monitoring award activities, to include sub-awards, to provide reasonable assurance that the Federal award is administered in compliance with requirements. Responsibilities include the accounting of receipts and expenditures, cash management, maintaining of adequate financial records, and refunding expenditures disallowed by audits.

- 8. Grant Close-Out Process.** Within 90 days after the end of the period of performance, grantees must submit a final FFR and final SAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the project as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records.

***Required submissions: (1) final SF-425, due 90 days from end of grant period; and (2) final SAPR, due 90 days from the end of the grant period.***

## PART VII.

# FEMA CONTACTS

This section describes several resources that may help applicants in completing a FEMA grant application.

- 1. 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. Program-specific questions relative to SHSP, UASI, and OPSG should be referred to the FEMA Headquarters Program Analyst. Program-specific questions relative to MMRS and CCP should be referred to the FEMA Regional Program Analyst. CSID can be reached by phone at (800) 368-6498 or by e-mail at [ASKCSID@dhs.gov](mailto:ASKCSID@dhs.gov), Monday through Friday, 8:00 a.m. – 6:00 p.m. EST.
- 2. Grant Programs Directorate (GPD).** FEMA GPD will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. 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](mailto:ASK-GMD@dhs.gov).
- 3. National Exercise Division (NED).** The NED within the FEMA National Preparedness Directorate maintains program management for the Homeland Security Exercise and Evaluation Program (HSEEP). All questions pertaining to HSEEP may be addressed to [hseep@fema.gov](mailto:hseep@fema.gov) or contact the NED at (202) 786-9873.
- 4. Homeland Security Preparedness Technical Assistance Program (HSPTAP) and Planning Support.** The HSPTAP provides direct support assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to prevent, protect against, respond to, and recover from terrorist and all hazard threats. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other direct support assistance programs.

The HSPTAP also provides access to planning support. The planning support aids jurisdictions by increasing their understanding of the complex issues faced in planning for various hazards and threats. This support includes leveraging subject-matter experts from around the country as well as enabling knowledge transfer from jurisdiction to jurisdiction.

More information can be found at [http://www.fema.gov/about/divisions/pppa\\_ta.shtm](http://www.fema.gov/about/divisions/pppa_ta.shtm) or by e-mailing [FEMA-TARequest@fema.gov](mailto:FEMA-TARequest@fema.gov).

- 5. Lessons Learned Information Sharing (LLIS) System.** LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, and other relevant homeland security documents. LLIS facilitates improved preparedness nationwide by providing response professionals with access to a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

The LLIS website also includes a national directory of homeland security officials, as well as an updated list of homeland security exercises, events, and conferences. Additionally, LLIS includes online collaboration tools, including secure email and message boards, where users can exchange information. LLIS uses strong encryption and active site monitoring to protect all information housed on the system. The LLIS website is <http://www.llis.gov>.

- 6. Information Bulletins.** Information Bulletins (IBs) provide important updates, clarifications, and policy statements related to FEMA preparedness grant programs. Grantees should familiarize themselves with the relevant publications. Information Bulletins can be found at:

<http://www.fema.gov/government/grant/bulletins/index.shtm>.

- 7. Information Sharing Systems.** FEMA encourages all State, regional, local, tribal, and territorial entities using FY 2010 funding in support of information sharing and intelligence fusion and analysis centers to leverage available Federal information sharing systems, including Law Enforcement Online (LEO) and the Homeland Security Information Network (HSIN). For additional information on LEO, contact the LEO Program Office at [leoprogramoffice@leo.gov](mailto:leoprogramoffice@leo.gov) or (202) 324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at (703) 674-3003.

- 8. U.S. General Services Administration's (GSA) State and Local Purchasing Programs.** GSA offers two efficient and effective procurement programs for State and local governments to purchase products and services to fulfill homeland security and other technology needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes.

- Cooperative Purchasing Program  
Cooperative Purchasing, authorized by statute, allows State, local, tribal, and territorial governments to purchase a variety of supplies (products) and services under specific GSA Schedule contracts to save time, money, and meet their everyday needs and missions.

The Cooperative Purchasing program allows State, local, tribal, and territorial governments to purchase alarm and signal systems, facility management systems, firefighting and rescue equipment, law enforcement and security equipment, marine craft and related equipment, special purpose clothing, and related services off of Schedule 84 and Information Technology products and professional services off of Schedule 70 and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing for these categories is authorized under Federal law by the *Local Preparedness Acquisition Act* (Public Law 110-248) and Section 211 of the *E-Government Act of 2002* (Public Law 107-347).

Under this program, State, local, tribal, and territorial governments have access to GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The GSA provides a definition of State and local governments as well as other vital information under the frequently asked questions section on its website at <http://www.gsa.gov/cooperativepurchasing>.

- Disaster Recovery Purchasing Program  
GSA plays a critical role in providing disaster recovery products and services to Federal agencies. Now State, local, tribal, and territorial governments can also benefit from the speed and savings of the GSA Federal Supply Schedules. Section 833 of the *John Warner National Defense Authorization Act for Fiscal Year 2007* (Public Law 109-364) amends 40 U.S.C. §502 to authorize GSA to provide State and local governments the use of all GSA Federal Supply Schedules for purchase of products and services to be used to facilitate recovery from a major disaster declared by the President under the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* or to facilitate recovery from terrorism or nuclear, biological, chemical, or radiological attack.

Products and services being purchased to facilitate recovery from one of the above listed events may be purchased both in advance of and in the aftermath of a major disaster as long as the products and services being purchased will be used to facilitate recovery.

GSA provides additional information on the Disaster Recovery Purchasing Program website at <http://www.gsa.gov/disasterrecovery>.

State, local, tribal, and territorial governments can find a list of contractors on GSA's website, <http://www.gsaelibrary.gsa.gov>, denoted with a  symbol.

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit <http://www.gsa.gov/csd> to find a local customer service director in your area. For assistance at the national level, contact Tricia Reed at

[tricia.reed@gsa.gov](mailto:tricia.reed@gsa.gov) or (571) 259-9921. More information is available on all GSA State and local programs at [www.gsa.gov/stateandlocal](http://www.gsa.gov/stateandlocal).

**PART VIII.**  
**OTHER INFORMATION**  
**Section A - HSGP Allowable Costs**

**FY 2010 Allowable Cost Matrix**

Allowable Program Activities  Current as of FY 2010 Programs*  See the respective program guidance for additional details and/or requirements  *As of Publication	FEMA					
	HSGP					
	SHSP	UASI	OPSG	MMRS	CCP	LETPA
<b>Allowable Planning Costs</b>						
Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, response, and recovery activities	Y	Y		Y	Y	Y
Developing and implementing homeland security support programs and adopting ongoing DHS national initiatives	Y	Y		Y	Y	Y
Developing related terrorism prevention activities	Y	Y		Y	Y	Y
Developing and enhancing plans and protocols	Y	Y		Y	Y	Y
Developing or conducting assessments	Y	Y		Y	Y	Y
Hiring of full- or part-time staff or contract/consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)	Y	Y		Y	Y	Y
Conferences to facilitate planning activities	Y	Y		Y	Y	Y
Materials required to conduct planning activities	Y	Y		Y	Y	Y
Travel/per diem related to planning activities	Y	Y	Y	Y	Y	Y
Overtime and backfill costs (in accordance with operational Cost Guidance)	Y	Y	Y	Y	Y	Y
Other project areas with prior approval from FEMA	Y	Y	Y	Y	Y	Y
Issuance of WHTI-compliant tribal identification cards	Y					
<b>Allowable Organizational Activities</b>						
Reimbursement for select operational expenses associated with increased security measures at critical infrastructure sites incurred (up to 50 percent of the allocation)	Y	Y				Y
Overtime for information, investigative, and intelligence sharing activities (up to 50 percent of the allocation)	Y	Y	Y			Y
Hiring of new staff positions/contractors/consultants for participation in information/intelligence analysis and sharing groups or fusion center activities (up to 50 percent of the allocation)	Y	Y				Y
<b>Allowable Equipment Categories</b>						
Personal Protective Equipment	Y	Y	Y	Y	Y	Y
Explosive Device Mitigation and Remediation Equipment	Y	Y	Y			Y
CBRNE Operational Search and Rescue Equipment	Y	Y	Y	Y	Y	Y
Information Technology	Y	Y	Y	Y	Y	Y

<b>Allowable Program Activities</b> <b>Current as of FY 2010 Programs*</b>  See the respective program guidance for additional details and/or requirements  *As of Publication	FEMA					
	HSGP					
	SHSP	UASI	OPSG	MMRS	CCP	LETPA
Cyber Security Enhancement Equipment	Y	Y	Y	Y	Y	Y
Interoperable Communications Equipment	Y	Y	Y	Y	Y	Y
Detection	Y	Y	Y	Y		Y
Decontamination	Y	Y	Y	Y		
Medical	Y	Y	Y	Y	Y	Y
Power	Y	Y	Y	Y	Y	Y
CBRNE Reference Materials	Y	Y	Y	Y		Y
CBRNE Incident Response Vehicles	Y	Y	Y	Y		Y
Terrorism Incident Prevention Equipment	Y	Y	Y			Y
Physical Security Enhancement Equipment	Y	Y	Y			Y
Inspection and Screening Systems	Y	Y	Y	Y		Y
Agriculture Terrorism Prevention, Response, and Mitigation Equipment	Y	Y		Y		
CBRNE Prevention and Response Watercraft	Y	Y				Y
CBRNE Aviation Equipment	Y	Y		Y		Y
CBRNE Logistical Support Equipment	Y	Y		Y	Y	Y
Intervention Equipment	Y	Y				Y
Other Authorized Equipment	Y	Y		Y	Y	Y
<b>Allowable Training Costs</b>						
Overtime and backfill for emergency preparedness and response personnel attending FEMA-sponsored and approved training classes	Y	Y	Y	Y	Y	Y
Overtime and backfill expenses for part-time and volunteer emergency response personnel participating in FEMA training	Y	Y	Y	Y	Y	Y
Training workshops and conferences	Y	Y	Y	Y	Y	Y
Full- or part-time staff or contractors/consultants	Y	Y		Y	Y	Y
Travel	Y	Y	Y	Y	Y	Y
Supplies	Y	Y	Y	Y	Y	Y
Tuition for higher education	Y	Y	Y	Y	Y	Y
Other items	Y	Y	Y	Y	Y	Y
<b>Allowable Exercise Related Costs</b>						
Design, Develop, Conduct, and Evaluate an Exercise	Y	Y		Y	Y	Y
Exercise planning workshop	Y	Y		Y	Y	Y
Full- or part-time staff or contractors/consultants	Y	Y		Y	Y	Y
Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in FEMA exercises	Y	Y		Y	Y	Y
Implementation of HSEEP	Y	Y		Y	Y	Y
Travel	Y	Y		Y	Y	Y
Supplies	Y	Y		Y	Y	Y

<b>Allowable Program Activities</b> <b>Current as of FY 2010 Programs*</b>  See the respective program guidance for additional details and/or requirements  *As of Publication	FEMA					
	HSGP					
	SHSP	UASI	OPSG	MMRS	CCP	LETPA
Other items	Y	Y		Y	Y	Y
<b>Allowable Management &amp; Administrative Costs</b>						
Hiring of full- or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, and compliance with reporting and data collection requirements	Y	Y	Y	Y	Y	Y
Development of operating plans for information collection and processing necessary to respond to FEMA data calls	Y	Y	Y	Y	Y	Y
Overtime and backfill costs	Y	Y	Y	Y	Y	Y
Travel	Y	Y	Y	Y	Y	Y
Meeting related expenses	Y	Y	Y	Y	Y	Y
Authorized office equipment	Y	Y	Y	Y	Y	Y
Recurring expenses such as those associated with cell phones and faxes during the period of performance of the grant program	Y	Y	Y	Y	Y	Y
Leasing or renting of space for newly hired personnel during the period of performance of the grant program	Y	Y	Y	Y	Y	Y

## Section B - HSGP Allowable Expenses

### **Overview**

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

### **Planning Activities Information**

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The *FY 2010 HSGP Guidance and Application Kit* defines five broad categories of allowable planning costs. Following are examples for each of the categories. As noted on page seven, an emphasis of this year's grant is to enhance and expand capabilities through partnerships. A specific emphasis should be placed on the preparedness of child congregate care systems, providers and facilities, and especially school districts and child/day care. Additional examples are group residential facilities operated by State and local child welfare authorities, and juvenile detention facilities.

- Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, response, and recovery activities
- Developing and implementing homeland security support programs and adopting DHS national initiatives including but not limited to the following:
  - Implementing the *National Preparedness Guidelines*
  - Pre-event recovery planning
  - Implementing the *National Infrastructure Protection Plan* and associated Sector Specific Plans
  - Enhancing and implementing Statewide Communication Interoperability Plans (SCIP) and Tactical Interoperable Communications Plans (TICP) that align with the goals, objectives, and initiatives of the *National Emergency Communications Plan (NECP)*
  - Costs associated with the adoption, implementation, and adherence to NIMS compliance requirements, including implementing the NIMS National Credentialing Framework
  - Modifying existing incident management and EOPs to ensure proper alignment with the NRF coordinating structures, processes, and protocols
  - Establishing or enhancing mutual aid agreements
  - Developing communications and interoperability protocols and solutions
  - Conducting local, regional, and tribal program implementation meetings
  - Developing or updating resource inventory assets in accordance to typed resource definitions issued by the NIMS Integration Center (NIC)
  - Designing State and local geospatial data systems

- o Conducting public education and outreach campaigns, including promoting individual, family, and business emergency preparedness; alerts and warnings education; and evacuation plans as well as CBRNE prevention awareness
  - o Preparing materials for State Preparedness Reports (SPRs)
  - o WHTI implementation activities including the issuance of WHTI-compliant tribal identification cards
- Developing related terrorism prevention activities including:
    - o Developing law enforcement prevention activities, to include establishing and/or enhancing a fusion center
    - o Hiring an IT specialist to plan, develop, and implement the IT applications necessary for a fusion center
    - o Developing and planning for information/intelligence sharing groups
    - o Hiring contractors and consultants to make recommendations on the development of capabilities at State and Major Urban Area fusion centers; such centers should be designed in support of the analytic and other baseline capabilities as outlined in the Global Justice Information Sharing Initiative's (Global) *Baseline Capabilities for State and Major Urban Area Fusion Centers*
    - o Integrating and coordinating public health care, public safety, and health security data-gathering (threats to human and animal health) within State and Major Urban Area fusion centers to achieve early warning and mitigation of health events
    - o Integrating and coordinating private sector participation with fusion center activities
    - o 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
    - o Planning to enhance security during heightened alerts, terrorist incidents, and/or during mitigation and recovery
    - o Multi-discipline preparation across first responder community, including EMS for response to catastrophic events and acts of terrorism
    - o Accessible public information/education: printed and electronic materials, public service announcements, seminars/town hall meetings, and web postings coordinated through local Citizen Corps Councils
    - o Citizen Corps volunteer programs and other activities to strengthen citizen participation
    - o Conducting public education campaigns including promoting individual, family, and business emergency preparedness; promoting the *Ready* campaign; and/or creating State, regional, or local emergency preparedness efforts that build upon the *Ready* campaign
    - o Evaluating Critical Infrastructure Protection (CIP) security equipment and/or personnel requirements to protect and secure sites

- o CIP cost assessments, including resources (e.g., financial, personnel) required for security enhancements/deployments
  - o Multi-Jurisdiction Bombing Prevention Plans (MJBPP)<sup>8</sup>
  - o Underwater Terrorist Protection Plans
- Developing and enhancing plans and protocols, including but not limited to:
    - o Developing or enhancing EOPs and operating procedures
    - o Developing or enhancing local, regional, or Statewide strategic or tactical interoperable emergency communications plans
    - o Activities associated with a conversion from wideband to narrowband voice channels
    - o Implementing Statewide Communications Interoperability Plan (SCIP) and Tactical Interoperable Communications Plans (TICPs) that align with the goals, objectives, and initiatives of the National Emergency Communications Plan (NECP)
    - o Developing protocols or standard operating procedures for specialized teams to incorporate the use of equipment acquired through this grant program
    - o Developing terrorism prevention/protection plans
    - o 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
    - o Developing plans for mass evacuation and pre-positioning equipment
    - o Developing or enhancing border security plans
    - o Developing or enhancing cyber security plans
    - o Developing or enhancing secondary health screening protocols at major points of entry (e.g., air, rail, port)
    - o Developing or enhancing cyber risk mitigation plans
    - o Developing or enhancing agriculture/food security risk mitigation, response, and recovery plans
    - o Developing public/private sector partnership emergency response, assessment, and resource sharing plans
    - o Developing or enhancing plans to engage and interface with, and to increase the capacity of, private sector/non-governmental entities working to meet the human service response and recovery needs of victims
    - o Developing or updating local or regional communications plans
    - o Developing plans to support and assist jurisdictions, such as port authorities and rail and mass transit agencies
    - o Developing or enhancing continuity of operations and continuity of government plans

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<sup>8</sup> The SAA should examine current bombing prevention and explosive device response capabilities as an import risk reduction activity. An explosive device recognition capability analysis can assist in determining their opportunities for increasing the capability to execute steady state and threat initiated tasks to prevent and respond to a bombing incident.

- o Developing or enhancing existing catastrophic incident response and recovery plans to include and integrate Federal assets provided under the NRF
  - o Developing plans and response procedures for validating and responding to an alarm from a chemical or biological detector (response procedures should include emergency response procedures integrating local first responders)
  - o Developing or enhancing evacuation plans
  - o Developing mechanisms for utilizing the National Emergency Family Registry and Locator System (NEFRS)
  - o Developing or enhancing plans to prepare for surge capacity of volunteers
  - o Developing or enhancing the State emergency medical services systems
  - o Developing or enhancing plans for donations and volunteer management and the engagement/integration of private sector/non-governmental entities in preparedness, response, and recovery activities
  - o Developing or enhancing Bombing Prevention Plans
  - o Developing school preparedness plans
  - o Developing preparedness plans for child congregate care facilities, including group residential facilities, juvenile detention facilities, and public/private child care facilities
  - o 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 special needs populations
  - o Developing and implementing civil rights, civil liberties, and privacy policies, procedures, and protocols
  - o Designing and developing State, local, tribal, and territorial geospatial data systems
  - o Developing and implementing statewide electronic patient care reporting systems compliant with the National Emergency Medical Services Information System (NEMSIS)
- Developing or conducting assessments, including but not limited to:
    - o Developing pre-event recovery plans
    - o Conducting point vulnerability assessments at critical infrastructure sites/key assets and develop remediation/security plans
    - o Conducting or updating interoperable emergency communications capabilities assessments at the local, regional, or Statewide level
    - o Developing border security operations plans in coordination with CBP
    - o Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
    - o Updating and refining threat matrices
    - o Conducting cyber risk and vulnerability assessments

- o Conducting assessments and exercising existing catastrophic incident response and recovery plans and capabilities to identify critical gaps that cannot be met by existing local and State resources
- o Conducting Bombing Prevention Capability Analysis
- o Activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs across disciplines (e.g., law enforcement, fire, EMS, public health, behavioral health, public works, agriculture, information technology, and citizen preparedness)
- o Activities that directly support the identification of pre-designated temporary housing sites
- o Conducting community assessments, surveys, and research of vulnerabilities and resource needs, and determine citizen education and participation to meet the needs
- o Conducting Citizen Corps program assessments and evaluations, citizen preparedness surveys, volunteer impact studies, and cost/benefit analysis
- o Soft target security planning (e.g., public gatherings)
- o Participating in the FEMA Gap Analysis Program

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

- Applicable and up to date plans for responding to mass casualty incidents caused by any hazards
- Applicable procedures and operational guides to implement the response actions within the local plan including patient tracking that addresses identifying and tracking children and keeping families intact where possible
- Identified resources for medical supplies necessary to support children during an emergency, including pharmaceuticals and pediatric-sized equipment on which first responders and medical providers are trained

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

- Establishing and sustaining bodies to serve as Citizen Corps Councils
- Assuring that State and local government homeland security strategies, policies, guidance, plans, and evaluations include a greater emphasis on government/non-governmental collaboration, citizen preparedness, and volunteer participation
- Developing and implementing a community preparedness strategy for the State/local jurisdiction
- Developing or reproducing accessible public education and outreach materials to: increase citizen preparedness and knowledge of protective actions (to include the national *Ready Campaign* materials); promote training,

exercise, and volunteer opportunities; and inform the public about emergency plans, evacuation routes, shelter locations, and public alerts/warnings

- All public education and outreach materials must include the national or jurisdiction's Citizen Corps logo, tagline or website or the Ready logo, tagline, or website and comply with logo standards. For more information go to <http://www.citizencorps.gov>. In addition, all public education and outreach materials should incorporate special needs considerations, to include language, content, and method of communication
- Allowable expenditures include:
  - Media campaigns: Public Service Announcements (PSAs), camera-ready materials, website support, and newsletters
  - Outreach activities and public events: Booth displays, event backdrops or signs, displays and demonstrations, utilizing translation services, and informational materials such as brochures/flyers
  - Promotional materials: Pens/pencils, pins, patches, magnets, souvenir clothing/headwear, etc. Expenditures for promotional items must not exceed 15 percent of the total Citizen Corps Program allocation (see CCP Equipment for information on equipment caps)
- Establishing, expanding, and maintaining volunteer programs and volunteer recruitment efforts that support disaster preparedness and/or response.
  - Citizen support for emergency responders is critical through year-round volunteer programs and as surge capacity in disaster response. Citizen Corps funding may be used to establish, expand, or maintain volunteer programs that support disaster preparedness and/or response including but not limited to: Neighborhood Watch/USAonWatch, Community Emergency Response Teams (CERT), Volunteers in Police Service (VIPS), Medical Reserve Corps (MRC), Fire Corps, Citizen Corps Affiliate Programs and Organizations, and jurisdiction specific volunteer efforts
  - Allowable expenditures include:
    - Recruiting, screening, and training volunteers (e.g., background checks)
    - Retaining, recognizing, and motivating volunteers (e.g., volunteer recognition items such as certificates or plaques)
    - Purchasing, maintaining, or subscribing to a system to track volunteers (to include identification and credentialing systems, and to track volunteer hours) and other available resources in compliance with applicable privacy laws
    - Necessary non-structural accommodations to include persons with special needs (e.g., sign language interpreters)
    - Evaluating volunteers

- Organizational activities supported with CCP funding are limited to 25 percent of the grantee's CCP funding. Organizational activities include hiring of full- or part-time staff or contractors for emergency management activities.

### ***Additional Equipment Information***

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**MMRS Equipment.** MMRS funds may be used for equipment acquisition from the MMRS equipment categories listed in the AEL. MMRS grant funds are intended to ensure an appropriate supply of pharmaceuticals and equipment, personal protective equipment, as well as detection equipment for chemical, biological, radiological, nuclear, and explosive incidents for the first crucial hours of a response to a mass casualty incident.

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

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

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

Purchases of pharmaceuticals have to include a budget for the disposal of expired drugs within the period of performance of the FY 2010 HSGP. The cost of disposal cannot be carried over to another FEMA grant or grant period.

**CCP Equipment.** States and Urban Areas are encouraged to fully leverage all HSGP resources for equipment to support volunteer personnel in preparedness and response. All allowable equipment costs are listed in the AEL, available at <https://www.rkb.us>.

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

Expenditures for kits used in volunteer response (e.g., CERT or MRC kits / backpacks) or clothing for official identification must not exceed 30 percent of the

total Citizen Corps Program allocation. Clothing for official identification includes those items that volunteers are required to wear when engaging in public safety activities or disaster response (e.g., t-shirts for CERT members, baseball caps for Neighborhood Watch/USAonWatch Program foot patrol members).

## ***Training Information and Requirements***

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- 1. Training Information Reporting System (“Web-Forms”).** Web-Forms is an electronic form/data management system built to assist the SAA and its designated State/territory Training Point of Contact (TPOC) with the reporting of State and Federal sponsored training supported by HSGP funds. Web-Forms can be accessed through the FEMA Toolkit located at <http://www.firstrespondertraining.gov/admin>.
- 2. Types of Training.** FEMA facilitates a number of different training sources:
  - **FEMA Provided Training.** These courses or programs are developed for and/or delivered by institutions and organizations funded directly by FEMA. This includes the Center for Domestic Preparedness (CDP), the National Domestic Preparedness Consortium (NDPC), the Rural Domestic Preparedness Consortium (RDPC), National Emergency Training Center (National Fire Academy and the Emergency Management Institute), and FEMA Training Partners funded through the Continuing and Competitive Training grant programs.
  - **Training Not Provided by FEMA.** These courses are either State sponsored or Federal sponsored, coordinated and approved by the SAA or their designated TPOC, and fall within the FEMA mission scope to prepare State, local, tribal, and territorial personnel to prevent, protect against, respond to, and recover from acts of terrorism or catastrophic events.
  - **State Sponsored Courses.** These courses are developed for and/or delivered by institutions or organizations other than Federal entities or FEMA and are sponsored by the SAA or their designated TPOC.
  - **Approved State Sponsored Course Catalog.** This catalog lists State/territory sponsored courses that fall within the FEMA mission scope and have been approved through the FEMA course review and approval process. An updated version of this catalog can be accessed at <http://www.firstrespondertraining.gov>.
  - **Federal Sponsored Courses.** This catalog lists courses developed for and/or delivered by institutions funded by Federal entities other than FEMA.
  - **Approved Federal Sponsored Course Catalog.** This catalog lists Federal-sponsored courses that fall within the FEMA mission scope, and have been approved through the FEMA course review and approval process. An updated version of this catalog can be accessed at <http://www.firstrespondertraining.gov>.

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

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

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

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

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

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

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

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

**State and Federal-Sponsored Course Catalogs.** Courses approved by FEMA will be added to either the approved State Sponsored Course Catalog or the Federal Sponsored Course Catalog. Courses identified within these catalogs may be attended on an unlimited basis within any State/territory as long as the training is coordinated and approved by the SAA/TPOC. A full description of the FEMA Course Development, Review, and Approval Process, as well as the approved course catalogs, can be found at [http://www.firstrespondertraining.gov/odp\\_webforms](http://www.firstrespondertraining.gov/odp_webforms).

FEMA will respond to the initial request for review within 15 days with one of the following outcomes:

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

At any time, the SAA/TPOC (for State-sponsored courses) or the Federal Agency POC (for Federal sponsored courses) may request the addition of a course to the corresponding approved catalog by submitting the associated Web-Form (i.e., Request for Addition to the Approved State-Sponsored Catalog) for review. If a class on the same subject is already in the catalog, the submitting State should provide documentation as to why the course is unique, after contacting the owner(s) of the other

courses to review the curriculum. This step is required to avoid unnecessary duplication of similar courses in the catalog, allow States to share course development costs, permit all States to have access to new or unique courses developed by other providers, and allow States to direct their training dollars to delivery rather than development. If it is determined that the proposed course meets the above listed criteria, the providing entity (SAA/TPOC or Federal Agency POC) will be invited to submit the Course Review and Approval Request Form along with all supporting training materials.

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

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

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

**CCP Training.** Training funded through the CCP includes but is not limited to: all-hazards safety such as emergency preparedness, basic first aid, life saving skills, crime prevention and terrorism awareness, school preparedness, public health issues, mitigation/property damage prevention, safety in the home, light search and rescue skills, principles of NIMS/ICS, community relations, volunteer management, serving people with disabilities, pet care preparedness, any training necessary to participate in volunteer activities, any training necessary to fulfill surge capacity roles, or other training that promotes individual, family, or community safety and preparedness.

There is no cap on the number of deliveries State or local jurisdictions may conduct of non-responder community-based training workshops, seminars, demonstrations, or conferences. Examples include: CPR/AED training, identity theft workshops, terrorism awareness seminars, chain-saw safety demonstrations, and community preparedness conferences.

Funding for CERT training includes the delivery of the CERT Basic Training Course, supplemental training for CERT members who have completed the basic training, and the CERT Train-the-Trainer training. Any CERT Basic training conducted by State or local entities must: 1) include the topics covered in the FEMA CERT Basic Training Course; 2) be instructor-led; and 3) classroom-based, using lecture, demonstration, and hands-on practice throughout. Note that the Independent Study course, "Introduction to CERT" (IS 317) must not be substituted for classroom delivery of CERT Basic Training. There is no cap on the number of deliveries State or local jurisdictions may conduct of the CERT Basic Training, the CERT Train-the-Trainer, Campus CERT Train-the-Trainer, or Teen CERT Train-the-Trainer courses, or supplemental/advanced training for CERT program participants.

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

Instruction for trainers and training to support the Citizen Corps Council members in their efforts to manage and coordinate the Citizen Corps mission is also an allowable use of the FY 2010 CCP funding.

### ***Allowable Training Costs***

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

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

- **Travel** – Costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants** – Payment of salaries and fringe benefits to full or part-time staff or contractors/consultants must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent of the total allocation as specified in section E.6. In no case is dual compensation allowable (see above).
- **Certification/Recertification of Instructors** – States are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses that involve training of trainers. This information is contained in Information Bulletin #193, issued October 20, 2005.

### ***Exercise Requirements***

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1. **Training and Exercise Plan Workshop.** States and Urban Areas are required to conduct an annual Improvement Plan Workshop (IPW) and a Training and Exercise Plan Workshop (TEPW). A Multi-year Training and Exercise Plan must be developed from the workshops and submitted to the State's respective Exercise Manager and Program Analyst. This plan must be updated annually.

The Training and Exercise Plan will include the State's prioritized capabilities and a multi-year training and exercise schedule that supports the identified capabilities. The Plan, inclusive of the training and exercise schedule, must be submitted within 90 days of the workshop. All scheduled training and exercises must be entered in the National Exercise Schedule (NEXS), located in the HSEEP Toolkit on the HSEEP website <https://hseep.dhs.gov>. An IPW and TEPW user guide and a template of the Multi-Year Training and Exercise Plan can be found on the HSEEP website <https://hseep.dhs.gov>.

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

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

or technological disasters. Exercise scenarios must be catastrophic in scope and size as defined by the *National Response Framework*.

The scenarios used in HSGP-funded exercises must focus on validating existing capabilities and must be large enough in scope and size to exercise multiple tasks and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations. Exercise scenarios should also be based on the Multi-year Training and Exercise Plan.

- 3. Special Event Planning.** If a State or Urban Area will be hosting a special event (e.g., Super Bowl, G-8 Summit) they are approved to participate in a Tier I or Tier II exercise as approved by the National Exercise Program (NEP) Executive Steering Committee per the NEP Implementation Plan. They should plan to use SHSP or UASI funding to finance training and exercise activities in preparation for those events. States and Urban Areas should also consider exercises at major venues (e.g., arenas, convention centers) that focus on evacuations, communications, and command and control. States should also anticipate participating in at least one Regional Exercise annually. States must include all confirmed or planned special events in the Multi-year Training and Exercise Plan.
- 4. Exercise Evaluation.** All exercises will be capabilities and performance-based and evaluated using Exercise Evaluation Guides (EEGs) found on the HSEEP website at <https://hseep.dhs.gov>. An After-Action Report/Improvement Plan (AAR/IP) will be prepared and submitted to the FEMA Grants and Preparedness Community of Interest (COI) on the Homeland Security Information Network (HSIN) within 90 days following completion of the exercise, regardless of type or scope. AAR/IPs must conform to the HSEEP format, should capture objective data pertaining to exercise conduct, and must be developed based on information gathered through EEGs found in HSEEP. All applicants are encouraged to use the Lessons Learned Information Sharing System as a source for lessons learned and to exchange best practices.
- 5. Self-Sustaining Exercise Programs.** States are expected to develop a self-sustaining exercise program. A self-sustaining exercise program is one that is successfully able to implement, maintain, and oversee the Multi-year Training and Exercise Plan, including the development and delivery of HSGP-funded exercises. The program must utilize a multi-disciplinary approach to the development and delivery of exercises, and build upon existing plans, training, and equipment.
- 6. Role of Non-Governmental Entities in Exercises.** Non-governmental participation in all levels of exercises is strongly encouraged. Leaders from non-governmental entities should be included in the planning, conduct, and evaluation of an exercise. 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, volunteer, and other non-governmental

organizations. Non-governmental participation in exercises should be coordinated with the local Citizen Corps Council(s) and other partner agencies.

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

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

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

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

#### ***Allowable Exercise Costs***

Allowable exercise-related costs include:

- **Funds Used to Design, Develop, Conduct, and Evaluate an Exercise –** Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Grantees are encouraged to use government facilities to conduct meetings and conferences whenever possible.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants –** Full or part-time staff may be hired to support exercise-related activities. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent of the total allocation. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) – whichever is more stringent – must be followed. In no case is dual compensation allowable.

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

### ***Unauthorized Exercise Costs***

Unauthorized exercise-related costs include:

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

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

## *Planning Activity Examples*

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### Establishment / Enhancement of Fusion Centers

- Hiring an IT specialist to plan, develop, and implement the IT applications necessary for the fusion center
- Developing and planning for information/intelligence sharing groups
- Hiring contractors and consultants to make recommendations on the development of capabilities at State and Major Urban Area fusion centers; such centers should be designed in support of the analytic and other baseline capabilities as outlined in the Global Justice Information Sharing Initiative's (Global) *Baseline Capabilities for State and Major Urban Area Fusion Centers*

### Other Allowable Planning Activity Examples

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

### ***Training Activity Examples***

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

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

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

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

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

### ***Additional Allowable Training Activities***

Allowable costs include training courses that focus on:

- Building information sharing capacities (especially among law enforcement, non-law enforcement, other government agencies, and the private sector)
- Methods of target hardening
- Facility law enforcement security personnel, to include facilities, vessels, and ports
- CBRNE, agriculture, and cyber threats
- History of terrorism and social environments contributing to threats
- Surveillance and counter-surveillance techniques
- Privacy, civil rights, and civil liberties regulations, policies, procedures, and protocols

- Critical Infrastructure Protection training, to include identifying/assessing critical infrastructure assets, vulnerabilities, and threats
- Cyber/agriculture/food security threats recognition and protective measures training
- Cultural awareness training for community engagement activities and undercover operations related to terrorist organizations
- Languages such as Arabic, Urdu, or Farsi which are spoken by known terrorists and terrorist organizations
- Joint training with other homeland security entities (e.g., U.S. Secret Service, CBP)
- Using interoperable communications equipment
- Collection, analysis, mapping, integration, and dissemination of geospatial data and imagery
- Geospatial database use, design, development, and management training
- Volunteer participation to support law enforcement and community policing activities related to increased citizen awareness of terrorism activities, to include the Volunteers in Police Service and Neighborhood Watch programs

### ***Exercise Activity Examples***

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

- Exercises to evaluate the effectiveness of information sharing plans, policies, procedures, and protocols
- Exercises to evaluate NIMS implementation. This includes costs associated with exercising components of the NIMS National Credentialing Framework
- Exercises to evaluate facility and/or vessel security protection
- Exercises to evaluate area maritime security protection
- Exercises to evaluate threat recognition capabilities
- Exercises to evaluate cyber security capabilities
- Exercises to evaluate agricultural/food security capabilities
- Exercises to evaluate prevention readiness and techniques
- “Red Team” (force on force) exercises
- Interoperable communications exercises
- Critical infrastructure vulnerability, protection, and/or attack exercises

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

# Section D – HSGP Investment Justification Template

## *Investment Justification Application Instructions*

States, territories, and Urban Areas are **required** to use the web-based Investment Justification submission module provided by FEMA in the Grants Reporting Tool (GRT) for their FY 2010 HSGP submission.

**Please allow enough time before (or no later than 11:59 p.m. EDT) April 19, 2010 to complete the Investment Justification in the GRT and submit the required application materials using [www.grants.gov](http://www.grants.gov).** Urban Areas should work in accordance with their respective State's timelines and processes identified by the SAA to ensure the Urban Area Investment Justification is submitted by the SAA in compliance with the application deadline.

For instructions on how to log into the GRT and complete the Investment Justification, please reference the GRT IJ Submission Technical User's Guide located at <https://www.reporting.odp.dhs.gov/>. After the Investment Justification application has been marked 'complete' in the GRT, SAAs on behalf of applicants must upload the IJs as attachments with the application using [www.grants.gov](http://www.grants.gov).

**Note:** Applicants should ensure that the Investment Justification accounts for all funds requested by the applicant and the total funding requested does not exceed the funding allocations included in Part II – "Award Information."

### ***Investment Planning Worksheet***

Applicants may use the Word-based *Investment Planning Worksheet*, which is an optional, off-line tool, to help in drafting each Investment to be included as part of the final HSGP IJ. All responses completed in this worksheet **must** be transferred to the applicant's official Investment Justification located in the GRT. The Worksheet is available at [www.fema.gov/grants](http://www.fema.gov/grants) along with the FY 2010 HSGP guidance materials.

### ***Multi-Applicant Investments***

States, territories, and Urban Areas may propose Multi-Applicant Investments, which represent a shared interest between two or more States and territories, or a shared interest between two or more Urban Areas, as one (or more) of their 15 Investment submissions. Urban Areas cannot submit a Multi-Applicant Investment in partnership with the State in which they are located. Each participating State or Urban Area must outline the specific components of the Multi-Applicant Investment for which it would be responsible and include that Investment in its own submission.

For FY 2010, the Multi-Applicant Investments will continue to be evaluated like other Investments as part of the State and local peer review process, but will no longer incorporate a bonus point structure.

Like last year, the FY 2010 HSGP Multi-Applicant submission process will require Multi-Applicant partners to identify a submitting partner who will only be required to initiate the Multi-Applicant Investment within the GRT by providing the Investment name(s) and the names of all partners. Once initiated, all partners will independently complete all sections of their Multi-Applicant Investment. Submitting partners should initiate the Multi-Applicant process early enough to allow all partners to complete their own Investments on time.

***Multi-Applicant Questions and Scoring Criteria***

Multi-Applicant Investments will use the same questions and scoring criteria indicated in the table above, but will also highlight the benefits of regional collaboration.

Investment Justifications will be reviewed according to the following criteria:

**FY 2010 HSGP Investment Justification Outline**

**Individual Investment Level**

<b>QUESTION</b>	<b>SCORING CRITERIA</b>
<b>INVESTMENT INFORMATION</b>	
<p><b>Investment Heading:</b></p> <ul style="list-style-type: none"> <li>• Investment number and name</li> <li>• Applicant name               <ul style="list-style-type: none"> <li>o State/territory</li> <li>o Urban Area (if applicable)</li> </ul> </li> </ul>	<p>The information provided is not scored.</p>
<b>BASELINE</b>	
<p><b>I. Baseline – Previous HSGP Request Name and Funding:</b></p> <p><u>I.A. New or Ongoing:</u>            If the Investment is ongoing, identify the corresponding:           <ul style="list-style-type: none"> <li>o FY 2006 - 2009 Investment Name(s) and Funding Amount(s) for each year, as applicable. (100 char. max per Investment name)</li> </ul> </p>	<p>The information provided is not scored.</p>
<b>STRATEGY (25%)</b>	
<p><b>II. Strategy</b></p> <p><u>II.A. Strategy - Investment Description:</u>            Provide a description of this Investment and identify all goals and objectives in your State and/or Urban Area Homeland Security Strategy supported by this Investment. (2,500 char. max)</p> <p><u>II.B. Strategy – National Priorities:</u>            Identify up to four National Priorities that are supported by this Investment.</p>	<p>Response provides a clear description of the Investment.</p> <p>The response will be evaluated based on how well the Investment contributes to building and/or sustaining at least one capability to prevent, protect against, respond to, or recover from acts of terrorism.</p>

**Individual Investment Level (continued)**

QUESTION	SCORING CRITERIA
<b>FUNDING AND TARGET CAPABILITIES (25%)</b>	
<p><b>III. Funding and Target Capabilities</b></p> <p><u>III.A. Funding:</u> The FY 2010 Funding Program and Proposed Funding amount identified for this Investment are as follows:</p> <ul style="list-style-type: none"> <li>• FY 2010 Funding Program: Select one funding source: SHSP, UASI, MMRS or CCP</li> <li>• FY 2010 HSGP Proposed Funding Amount</li> </ul> <p><u>III.B. Target Capabilities:</u> From the 37 Target Capabilities, select all Target Capabilities supported by this Investment.</p> <p><u>III.C. Proposed Funding by Target Capabilities:</u> For each of the selected Target Capabilities, provide the proposed funding amount to be obligated from this Investment.</p> <p><u>III.D. Proposed Funding by Solution Area:</u> Provide the proposed funding amount to be obligated from this Investment towards Planning, Organization, Equipment, Training, and Exercises.</p> <p><u>III.E. Law Enforcement Terrorism Prevention Activities Funding (LETPA):</u> As applicable to SHSP and UASI, provide the proposed funding amount that is expected to be obligated towards LETPA.</p> <p><u>III.F. Optional Cost Share:</u> If desired, provide the optional cost share source and funding amount for this Investment.</p>	<p>The response will be evaluated based on how well it demonstrates a comprehensive understanding of how the Investment supports the identified Target Capabilities.</p> <p>Allocations will not be impacted by an applicant's willingness to contribute optional cost share funds.</p>

**Individual Investment Level (continued)**

<b>QUESTION</b>	<b>SCORING CRITERIA</b>
<b>PROJECT MANAGEMENT (25%)</b>	
<p><b>IV. Project Management</b></p> <p><u>IV. Project Management:</u> Identify up to ten milestones, with start and end dates, that will be achieved within the three-year, FY 2010 HSGP period of performance. Depending on the timing of award allocations, the FY 2010 period of performance is estimated to occur from approximately September 2010 - September 2013.</p>	<p>The response will be evaluated based on how well the identified milestones demonstrate progress toward achieving the Investment.</p>

**Investment Justification (IJ) Level**

<b>QUESTION</b>	<b>SCORING CRITERIA</b>
<b>PORTFOLIO OF INVESTMENTS (25%)</b>	
<p>All Investments will be evaluated together.</p>	<p>All Investments included as part of the applicant's Investment Justification will also be evaluated based on how well the proposed Investments present a coordinated portfolio.</p>

# Section E – OPSG Operations Order Template

## *Operations Order Instructions*

As part of the FY 2010 OPSG application process, each eligible local unit of government at the county level or Federally-recognized tribal government must develop their Operations Order in coordination with State and Federal law enforcement agencies, to include, but not limited to CBP/BP. Operations Orders that are developed at the county level should be inclusive of city, county, tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, and the Operations Order should address this in the Executive Summary. The details should include the names of the agencies, the points of contact, and the individual funding requests.

### **Operation Order Requirements Overview**

The Operations Orders must:

- (1) Be created and submitted in Microsoft Word (\*.doc)
- (2) Not exceed 6 pages in length with the emphasis on the Executive Summary, Mission, and Budget
- (3) Use the following file naming convention when submitting required documents as part of the FY 2010 OPSG application: "FY 2010 OPSG <State Abbreviation> - <Local Unit of Government Name>"

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

### **Budget Requirements Overview**

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

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

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

### **Executive Summary Overview**

Details to include in the Operations Order Executive Summary:

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

### OPERATIONS ORDER TEMPLATE

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

#### EXECUTIVE SUMMARY

##### I. SITUATION

A. General Situation:

B. Terrain/Weather:

C. Criminal Element:

D. Friendly Forces:

##### II. MISSION

##### III. EXECUTION

A. Management/Supervisor Intent:

B. General Concept:

C. Specific Responsibilities

1.

2.

3.

D. Coordinating Instructions:

**IV. BUDGET**

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

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

**A1. 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		Federal rate approx miles of 3,500, 15 days single Occupancy @ \$150 for 5 people	\$1,750.00
General Equipment			
Special Equipment (Requiring Waiver i.e., Planes, boats, vehicles, ATVs, etc.)		Lines, personal flotation devices, GPS software updates, marine batteries, thermal imaging system	\$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	\$16,848.00
	Fuel Cost	3,342 x \$4.50 per gallon = \$15,043/yr x 2 yrs	\$30,086.00
<b>Total</b>			<b>\$285,609.92</b>

**A2. Cost Estimates/Funding Requests (Year 1):**

< INSERT COST ESTIMATES AND FUNDING REQUESTS TABLE >

**A3. Cost Estimates/Funding Requests (Year 3):**

< INSERT COST ESTIMATES AND FUNDING REQUESTS TABLE >

**V. COMMAND/CONTROL/COMMUNICATION**

**A. Chain of Command:**

**B. Unit Command:**

**C. Communications Detail:**

**D. Map Coordinates:**

**Notes:**

**Longitude:**

**Latitude:**

**Degrees:**

**Minutes:**

**Seconds:**

**Decimal:**

**Location Zone:**

**ANNEX**

**A. Administrative Annex:**

**B. Execution Annex:**

**C. Command Annex:  
Media Action Plan:**

**Legal Review:**

**Risks:**

**Photos:**

# Section F – Match Guidance

## ***FY 2010 Match Guidance***

### ***Introduction***

Determining match for the purposes of submitting grant applications to any Federal Agency should be a coordinated process at the State and local level. It is highly recommended that programmatic staff at the State and local level consult with their financial staff prior to submitting any grant applications, especially those that identify cash or in-kind match.

### ***Types of Match***

- 1. Cash Match.** Cash (hard) match includes non-Federal cash spent for project-related costs, according to the program guidance. Allowable cash match must only include those costs which are in compliance with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.
- 2. In-kind Match.** In-kind (soft) match includes, but is not limited to, the valuation of in-kind services. “In-kind” is the value of something received or provided that does not have a cost associated with it. For example, if in-kind match (other than cash payments) is permitted, then the value of donated services could be used to comply with the match requirement. Also, third party in-kind contributions may count toward satisfying match requirements provided the grantee receiving the contributions expends them as allowable costs in compliance with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.

### ***Definitions***

- **Matching or Cost Sharing.** This means the value of the third party in-kind contributions and the portion of the costs of a federally-assisted project or program not borne by the Federal Government. All cost-sharing or matching funds claimed against a FEMA grant by State, local or Tribal governments must meet the requirements of the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.
- **Cash Match (hard).** This includes cash spent for project-related costs under a grant agreement. Allowable cash match must include only those costs which are allowable with Federal funds in compliance with the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.
- **In-kind Match (soft).** This means contributions of the reasonable value of property or services in lieu of cash which benefit a federally-assisted project or program. This type of match may only be used if not restricted or prohibited by

program statute, regulation or guidance and must be supported with source documentation. Only property or services that are in compliance with program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225, are allowable.

### **Basic Guidelines**

- For costs to be eligible to meet matching requirements, the costs must first be allowable under the grant program.
- The costs must also be in compliance with all Federal requirements and regulations (e.g., 44 CFR Part 13 and 2 CFR Part 225); the costs must be reasonable, allowable, allocable, and necessary.
- Records for all expenditures relating to cost sharing or matching must be kept in the same manner as those for the grant funds.
  - The following documentation is required for third-party cash and in-kind contributions: Record of donor; Dates of donation; Rates for staffing, equipment or usage, supplies, etc.; Amounts of donation; and Deposit slips for cash contributions. According to 44 CFR § 13.24, this documentation is to be held at the Applicant and/or subapplicant level.
- Except as provided by Federal statute, a cost sharing or matching requirement may not be met by costs borne by another Federal grant.
- The source of the match funds must be identified in the grant application.
- Every item must be verifiable, i.e., tracked and documented.
- Any claimed cost share expense can only be counted once.

### **Examples** *(For additional examples of match, please contact your State finance office)*

- The Emergency Management Director has 50% of his/her salary paid from State funds and 50% paid from Federal grant funds, but he/she provides 60% effort in the Federal grant program that only pays 50% salary. The additional 10% of effort/time toward the Federal grant program can be claimed as soft match. All record keeping requirements to prove the 60% time allocation apply.
- Non-Federally funded equipment or facilities used during exercises can be claimed as soft match, but only at the time of donation. For example, only the fair market price for the use of the facility for the period of the exercise can be claimed as match.
- Third party in-kind contributions of salary, travel, equipment, supplies and other budget areas that are from third party sources must be in compliance with 44 CFR § 13.24, *Matching or Cost Sharing*. These types of contributions include voluntary contributions such as emergency personnel, lawyers, etc., who donate their time to a Federal grant program. The normal per hour rate for these professionals (acting in their professional capacity) can be used to meet the matching requirement. The value of the services provided is taken into consideration when determining the value of the contribution - not who is providing the service. For example, if a lawyer is volunteering his services to

assist flood victims in filing legal paper work, the lawyer's normal hourly rate is allowable. If the lawyer is volunteering his services and is working in a soup kitchen, the lawyer's hourly rate would not be applicable; it would be the hourly rate for a soup kitchen worker.

### **Governing Provisions**

- 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*
  - Reference 44 CFR § 13.24, *Matching or Cost Sharing*
- 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87)
- Program Guidance and/or Program Regulations

### **44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments**

#### **44 CFR § 13.24, Matching or Cost Sharing.**

**(a) Basic rule:** Costs and contributions acceptable. With the qualifications and exceptions listed in paragraph (b) of this section, a matching or cost sharing requirement may be satisfied by either or both of the following:

- (1) Allowable costs incurred by the grantee, subgrantee or a cost-type contractor under the assistance agreement. This includes allowable costs borne by non-Federal grants or by others cash donations from non-Federal third parties.
- (2) The value of third party in-kind contributions applicable to the period to which the cost sharing or matching requirements applies.

**(b) Qualifications and exceptions:**

- (1) Costs borne by other Federal grant agreements. Except as provided by Federal statute, a cost sharing or matching requirement may not be met by costs borne by another Federal grant. This prohibition does not apply to income earned by a grantee or subgrantee from a contract awarded under another Federal grant.
- (2) General revenue sharing. For the purpose of this section, general revenue sharing funds distributed under 31 U.S.C. 6702 are not considered Federal grant funds.
- (3) Cost or contributions counted towards other Federal costs-sharing requirements. Neither costs nor the values of third party in-kind contributions may count towards satisfying a cost sharing or matching requirement of a grant agreement if they have been or will be counted towards satisfying a cost sharing or matching requirement of another Federal grant agreement, a Federal procurement contract, or any other award of Federal funds.
- (4) Costs financed by program income. Costs financed by program income, as defined in § 13.25, shall not count towards satisfying a cost sharing or matching requirement unless they are expressly permitted in the terms of the

assistance agreement (This use of general program income is described in § 13.25 (g)).

- (5) Services or property financed by income earned by contractors. Contractors under a grant may earn income from the activities carried out under the contract in addition to the amounts earned from the party awarding the contract. No costs of services or property supported by this income may count toward satisfying a cost sharing or matching requirement unless other provisions of the grant agreement expressly permit this kind of income to be used to meet the requirement.
- (6) Records. Costs and third party in kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records of grantees and subgrantees or cost-type contractors. These records must show how the value placed on third party in-kind contributions was derived. To the extent feasible, volunteer services will be supported by the same methods that the organization uses to support the allocability of regular personnel costs.
- (7) Special standards for third party in kind contributions.
  - (i) Third party in kind contributions count towards satisfying a cost sharing or matching requirement only where, if the party receiving the contributions were to pay for them, the payments would be allowable costs.
  - (ii) Some third party in-kind contributions are goods and services that if the grantee, subgrantee, or contractor receiving the contribution had to pay for them, the payments would have been an indirect costs. Costs sharing or matching credit for such contributions shall be given only if the grantee, subgrantee, or contractor has established, along with its regular indirect cost rate, a special rate for allocating to individual projects or programs the value of the contributions.
  - (iii) A third party in-kind contribution to a fixed-price contract may count towards satisfying a cost sharing or matching requirement only if it results in:
    - (A) An increase in the services or property provided under the contract (without additional cost to the grantee or subgrantee); or
    - (B) A cost savings to the grantee or subgrantee.
  - (iv) The values placed on third party in kind contributions for cost sharing or matching purposes will conform to the rules in the succeeding sections of this part. If a third party in-kind contribution is a type not treated in those sections, the value placed upon it shall be fair and reasonable.

**(c) Valuation of donated services:**

- (1) Volunteer services. Unpaid services provided to a grantee or subgrantee by individuals will be valued at rates consistent with those ordinarily paid for similar work in the grantee's or subgrantee's organization. If the grantee or subgrantee does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in

the same labor market. In either case, a reasonable amount for fringe benefits may be included in the valuation.

- (2) Employees of other organizations. When an employer other than a grantee, subgrantee, or cost-type contractor furnishes free of charge the services of an employee in the employee's normal line of work, the services will be valued at the employee's regular rate of pay exclusive of the employee's fringe benefits and overhead costs. If the services are in a different line of work, paragraph(c)(1) of this section applies.

**(d) Valuation of third party donated supplies and loaned equipment or space:**

- (1) If a third party donates supplies, the contribution will be valued at the market value of the supplies at the time of donation.
- (2) If a third party donates the use of equipment or space in a building but retains title, the contribution will be valued at the fair rental rate of the equipment or space.

**(e) Valuation of third party donated equipment, buildings, and land.** If a third party donates equipment, buildings, or land, and title passes to a grantee or subgrantee, the treatment of the donated property will depend upon the purpose of the grant or subgrant, as follows:

- (1) Awards for capital expenditures. If the purpose of the grant or subgrant is to assist the grantee or subgrantee in the acquisition of property, the market value of that property at the time of donation may be counted as cost sharing or matching,
- (2) Other awards. If assisting in the acquisition of property is not the purpose of the grant or subgrant, paragraphs (e)(2) (i) and (ii) of this section apply:
  - (i) If approval is obtained from the awarding agency, the market value at the time of donation of the donated equipment or buildings and the fair rental rate of the donated land may be counted as cost sharing or matching. In the case of a subgrant, the terms of the grant agreement may require that the approval be obtained from the Federal agency as well as the grantee. In all cases, the approval may be given only if a purchase of the equipment or rental of the land would be approved as an allowable direct cost. If any part of the donated property was acquired with Federal funds, only the non- Federal share of the property may be counted as cost sharing or matching.
  - (ii) If approval is not obtained under paragraph (e)(2)(i) of this section, no amount may be counted for donated land, and only depreciation or use allowances may be counted for donated equipment and buildings. The depreciation or use allowances for this property are not treated as third party in-kind contributions. Instead, they are treated as costs incurred by the grantee or subgrantee. They are computed and allocated (usually as indirect costs) in accordance with the cost principles specified in § 13.22, in the same way as depreciation or use allowances for purchased equipment and buildings. The amount of depreciation or use allowances for donated equipment and buildings is based on the property's market value at the time it was donated.

- (f) Valuation of grantee or subgrantee donated real property for construction/acquisition.** If a grantee or subgrantee donates real property for a construction or facilities acquisition project, the current market value of that property may be counted as cost sharing or matching. If any part of the donated property was acquired with Federal funds, only the non-Federal share of the property may be counted as cost sharing or matching.
- (g) Appraisal of real property.** In some cases under paragraphs (d), (e), and (f) of this section, it will be necessary to establish the market value of land or a building or the fair rental rate of land or of space in a building. In these cases, the Federal agency may require the market value or fair rental value be set by an independent appraiser, and that the value or rate be certified by the grantee. This requirement will also be imposed by the grantee on subgrantees.

## ***2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)***

### **Basic Guidelines**

- 1. Factors affecting allowability of costs.** To be allowable under Federal awards, costs must meet the following general criteria:
  - a. Be necessary and reasonable for proper and efficient performance and administration of Federal awards.
  - b. Be allocable to Federal awards under the provisions of 2 CFR Part 225.
  - c. Be authorized or not prohibited under State or local laws or regulations.
  - d. Conform to any limitations or exclusions set forth in these principles, Federal laws, terms and conditions of the Federal award, or other governing regulations as to types or amounts of cost items.
  - e. Be consistent with policies, regulations, and procedures that apply uniformly to both Federal awards and other activities of the governmental unit.
  - f. Be accorded consistent treatment. A cost may not be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost.
  - g. Except as otherwise provided for in 2 CFR Part 225, be determined in accordance with generally accepted accounting principles.
  - h. Not be included as a cost or used to meet cost sharing or matching requirements of any other Federal award in either the current or a prior period, except as specifically provided by Federal law or regulation.
  - i. Be the net of all applicable credits.
  - j. Be adequately documented.
- 2. Reasonable costs.** A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The question of reasonableness is particularly important when governmental units or components

are predominately federally-funded. In determining reasonableness of a given cost, consideration shall be given to:

- a. Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the governmental unit or the performance of the Federal award.
- b. The restraints or requirements imposed by such factors as: Sound business practices; arm's-length bargaining; Federal, State and other laws and regulations; and, terms and conditions of the Federal award.
- c. Market prices for comparable goods or services.
- d. Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to the governmental unit, its employees, the public at large, and the Federal Government.
- e. Significant deviations from the established practices of the governmental unit which may unjustifiably increase the Federal award's cost.

### **3. Allocable costs.**

- a. A cost is allocable to a particular cost objective if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received.
- b. All activities which benefit from the governmental unit's indirect cost, including unallowable activities and services donated to the governmental unit by third parties, will receive an appropriate allocation of indirect costs.
- c. Any cost allocable to a particular Federal award or cost objective under the principles provided for in 2 CFR Part 225 may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons.
- d. Where an accumulation of indirect costs will ultimately result in charges to a Federal award, a cost allocation plan will be required as described in Appendices C, D, and E to this part.

### **4. Applicable credits.**

- a. Applicable credits refer to those receipts or reduction of expenditure-type transactions that offset or reduce expense items allocable to Federal awards as direct or indirect costs. Examples of such transactions are: Purchase discounts, rebates or allowances, recoveries or indemnities on losses, insurance refunds or rebates, and adjustments of overpayments or erroneous charges. To the extent that such credits accruing to or received by the governmental unit relate to allowable costs, they shall be credited to the Federal award either as a cost reduction or cash refund, as appropriate.
- b. In some instances, the amounts received from the Federal Government to finance activities or service operations of the governmental unit should be treated as applicable credits. Specifically, the concept of netting such credit items (including any amounts used to meet cost sharing or matching requirements) should be recognized in determining the rates or amounts to be charged to Federal awards.

## Section G – HSGP Checklist

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

FY 2010 Homeland Security Grant Program Checklist					
Checklist Item	SHSP	UASI	OPSG	MMRS	CCP
Investment Justification	Y	Y		Y	Y
UAWG Structure		Y			
Operations Order and Detailed Budget Summary			Y		
Inventory of Operations Orders			Y		
Standard Form 424	Y	Y	Y	Y	Y
Standard Form 424A	Y	Y	Y	Y	Y
Standard Form 424B	Y	Y	Y	Y	Y
Standard Form 424C	Y	Y	Y	Y	Y
Standard Form 424D	Y	Y	Y	Y	Y
Lobbying Form	Y	Y	Y	Y	Y
Standard Form LLL	Y	Y	Y	Y	Y
Certification Regarding Debarment	Y	Y	Y	Y	Y
Certification Regarding Drug-Free Workplace Requirements	Y	Y	Y	Y	Y
DUNS Number	Y	Y	Y	Y	Y
Valid Central Contractor Registry (CCR) Registration	Y	Y	Y	Y	Y