Fiscal Year 2008

Homeland Security Grant Program

Guidance and Application Kit

February 2008
KEY CHANGES

The Fiscal Year (FY) 2008 Homeland Security Grant Program (HSGP) contains significant improvements based upon continued outreach to HSGP participants and stakeholders. In addition, the risk assessments that form the basis for eligibility under HSGP have been maintained and refined. Following are some of the key changes impacting FY 2008 HSGP as compared to previous year programs.

Overarching HSGP Priorities
Funding priorities for this year continue and further narrow the focus on risk-based funding and capability-based planning that the Department of Homeland Security (DHS) began three years ago. FY 2008 HSGP will focus on three objectives as its highest priorities. These three objectives are:

1. Measuring progress in achieving the National Preparedness Guidelines
2. Strengthening improvised explosive device (IED) attack deterrence, prevention, and protection capabilities
3. Strengthening preparedness planning

At least 25 percent of FY 2008 HSGP (State Homeland Security Program [SHSP], Urban Areas Security Initiative [UASI], Metropolitan Medical Response System [MMRS], and Citizen Corps Program [CCP]) funding must be collectively allocated to objectives 2 and 3.

Consolidation of Law Enforcement Terrorism Prevention-oriented Activities
Per the Implementing Recommendations of the 9/11 Commission Act of 2007 (hereafter “9/11 Act”) and FY 2008 Consolidated Appropriations Act, FY 2008 HSGP will not contain a separate line-item Law Enforcement Terrorism Prevention Program (LETPP). As is clear in this year’s overarching HSGP priorities (identified above), a significant need for law enforcement terrorism prevention exists, particularly in the area of building IED prevention and protection capabilities. As a result, and in addition to the above minimum spending requirements towards the three overarching HSGP priorities, States are also required to ensure that at least 25 percent of their SHSP award funds and 25 percent of their UASI award funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.

Removal of Full-time Counterterrorism Staffing Pilot for Tier 1 UASI Jurisdictions
As noted in FY 2007 HSGP, the Full-time Counterterrorism Staffing Pilot for FY 2007 UASI jurisdictions represented a pilot effort for FY 2007 only; it will not be repeated in FY 2008.

Post-award Analysis
To ensure that the HSGP funding is allocated to address the nation’s highest risks and support the capability-based planning process, the Department will conduct a post-award analysis to identify trends that can better inform and guide future policy decisions.
supporting national preparedness. Grantees may be asked to cooperate in FEMA’s post-award analysis.

**Use of Metropolitan Statistical Areas in our Risk Methodology**
Per the 9/11 Act, the Department utilized the U.S. Census-determined Metropolitan Statistical Areas (MSA) as a component of its risk methodology queries. In using this approach, some jurisdictions were included in the queries which historically had not been included in previous year UASI risk methodologies. Page nine shows a table of Urban Areas selected for possible FY 2008 funding. Appendix A shows the MSAs queried as part of the overall risk methodology.

**Obligation of Funds**
The SAA must obligate 80 percent of the funds awarded under SHSP and UASI to local units of government within 45 days of receipt of the funds (as opposed to 60 days as noted in the FY 2007 HSGP). For Puerto Rico, the SAA must also obligate 80 percent of the funds to local units of government within 45 days of receipt of the funds (as opposed to obligating 50 percent of funds within 60 days as required in the FY 2007 HSGP). No pass-through requirements will be applied to the District of Columbia, Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands. With respect to MMRS funds, States must obligate 100 percent of MMRS grant funds within 45 days of receipt (as opposed to obligating 80 percent within 60 days as noted in the FY 2007 HSGP). For CCP funds, there are no obligation requirements.

**Management and Administration (M&A) Funds**
A maximum of up to three percent (3%) of funds awarded may be retained by the State (as opposed to 5 percent [5%] of funds as noted in the FY 2007 HSGP), 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’s M&A allocation to local subgrantees to support local management and administration activities; the overall subgrantee M&A amount may not equal more than three percent (3%).

**Potential for Future Match Requirements**
Grantees are not required to engage in cash or in-kind match for FY 2008 HSGP funds. However, there is the potential for future grant programs to be impacted by cash match requirements as early as FY 2009. Accordingly, grantees should anticipate and plan for future homeland security programs to require cash or in-kind matches at cost-share levels comparable to other FEMA-administered grant programs.

**Application Requirements**
Applicants should refer to Appendix E, *FY 2008 HSGP Application Requirements*, for specific instructions on the application steps required for successfully submitting their FY 2008 HSGP application to DHS.

Grantees are required to comply with HSGP financial rules and regulations in accordance with FEMA’s grant programs. All applicants are required to read and conform to all requirements of this grant guidance document.
CONTENTS

KEY CHANGES ............................................................................................................................ ii
INTRODUCTION ........................................................................................................................... 1
PART I. AVAILABLE FUNDING AND ELIGIBLE APPLICANTS ...................................................... 8
PART II. APPLICATION AND EVALUATION PROCESS .............................................................. 14
PART III. PROGRAM REQUIREMENTS ....................................................................................... 16
PART IV. GENERAL HSGP ALLOWABLE COSTS GUIDANCE ..................................................... 18
PART V. ALLOWABLE COSTS GUIDANCE LAW ENFORCEMENT TERRORISM PREVENTION- ORIENTED ALLOWABLE COSTS .................................................................................. 25
PART VI. PROGRAM OVERVIEW: STATE HOMELAND SECURITY PROGRAM ......................... 26
PART VII. PROGRAM OVERVIEW: URBAN AREAS SECURITY INITIATIVE ............................. 30
PART VIII. PROGRAM OVERVIEW: METROPOLITAN MEDICAL RESPONSE SYSTEM ............. 36
PART IX. PROGRAM OVERVIEW: CITIZEN CORPS PROGRAM ................................................ 41
APPENDIX A. METROPOLITAN STATISTICAL AREAS (MSAs) QUERIED FOR UASI RISK METHODOLOGY DETERMINATIONS .................................................................................. A-1
APPENDIX B. AUTHORIZED ALLOWABLE COSTS ..................................................................... B-1
APPENDIX C. HSGP ALLOWABLE EXPENSES: ADDITIONAL INFORMATION ........................ C-1
APPENDIX D. INVESTMENT JUSTIFICATION .............................................................................. D-1
APPENDIX E. FY 2008 HSGP APPLICATION REQUIREMENTS ............................................... E-1
APPENDIX F. AWARD AND REPORTING REQUIREMENTS ....................................................... F-1
APPENDIX G. ADDITIONAL RESOURCES ................................................................................. G-1
INTRODUCTION

The Homeland Security Grant Program is comprised of four interconnected grant programs:

- State Homeland Security Program (SHSP)
- Urban Areas Security Initiative (UASI)
- 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 FEMA 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 (hereafter “9/11 Act”), enacted in August 2007, as well as the FY 2008 Consolidated Appropriations Act.

Making an application for significant Federal funds under programs such as this can be complex. Our job at FEMA is to provide clear guidance and efficient application tools to assist applicants. Our customers are entitled to effective assistance during the application process, and transparent, disciplined management controls to support grant awards. We intend to be good stewards of precious Federal resources, and commonsense partners with our State and local colleagues.

We understand that grant applicants will have unique needs and tested experience about how best to reduce risk locally. Our subject matter experts will come to the task with a sense of urgency to reduce risk, but also with an ability to listen carefully to local needs and approaches. In short, we commit to respect flexibility and local innovation as we fund national homeland security priorities.

Table 1 provides a quick overview of the programs included in FY 2008 HSGP.
### FY 2008 Homeland Security Grant Program Overview

<table>
<thead>
<tr>
<th>FY 2008 HSGP</th>
<th>Program Overview</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>State Homeland Security Program (SHSP)</strong></td>
<td>SHSP supports the implementation of State Homeland Security Strategies to address the identified planning, organization, equipment, training, and exercise needs for acts of terrorism and other catastrophic events. In addition, SHSP supports the implementation of the National Preparedness Guidelines, the National Incident Management System (NIMS), and the National Response Framework (NRF).</td>
</tr>
<tr>
<td><strong>Urban Areas Security Initiative (UASI) Program</strong></td>
<td>UASI Program funds address the unique planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and assist them in building an enhanced and sustainable capacity to prevent, protect against, respond to, and recover from acts of terrorism.</td>
</tr>
<tr>
<td><strong>Metropolitan Medical Response System (MMRS) Program</strong></td>
<td>MMRS funds enable jurisdictions to further enhance and sustain a comprehensive regional mass casualty incident response capability during the first crucial hours of an incident. The program prepares jurisdictions for response to all-hazards mass casualty incidents, including terrorism, naturally occurring events, and large-scale hazardous materials incidents.</td>
</tr>
<tr>
<td><strong>Citizen Corps Program (CCP)</strong></td>
<td>The Citizen Corps mission is to bring community and government leaders together to coordinate the involvement of community members in emergency preparedness, planning, mitigation, response, and recovery.</td>
</tr>
</tbody>
</table>

### A. 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).

FEMA expects our State, local, 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.

### B. Funding Priorities.

Based upon ongoing intelligence analysis, extensive security reviews and Congressional direction, FEMA has once again focused the bulk of its available grant dollars on risk-based investment. Eligible applicants were identified using a comprehensive, empirically-grounded risk analysis methodology. Risk will be evaluated
at the Federal level using a risk analysis 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** and **Consequence** – the relative exposure and 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.

FEMA places a very high priority on ensuring that all HSGP applications reflect robust regional coordination and can show an investment strategy that institutionalizes regional integration. This priority is a core component in the Department’s statewide grant programs and the Urban Areas Security Initiative grants.

**Overarching HSGP Priorities**

Funding priorities for this year continue and further narrow the focus through risk-based funding and the capability-based planning process that DHS began three years ago. FY 2008 HSGP will focus on three objectives as its highest priorities. These three objectives are:

1. Measuring progress in achieving the National Preparedness Guidelines
2. Strengthening improvised explosive device (IED) attack deterrence, prevention, and protection capabilities
3. Strengthening preparedness planning

At least 25 percent of the total FY 2008 HSGP funding must be dedicated toward enhancing capabilities related to objectives 2 and 3 as identified above (and also visually outlined in Table 2.) The 25 percent requirement applies to the total award amount for each State across all four programs, not individual awards for SHSP, UASI, MMRS, and CCP.
Table 2
FY 2008 Overarching HSGP Priorities

<table>
<thead>
<tr>
<th>HSGP Objective</th>
<th>Alignment to National Priority</th>
<th>Alignment to Capability from TCL</th>
<th>Supporting Grant Program</th>
<th>Required Funding Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>Measure Progress</td>
<td>All</td>
<td>All</td>
<td>SHSP, UASI, MMRS, CCP</td>
<td>N/A</td>
</tr>
<tr>
<td>Strengthen IED-related Capabilities (Specific to Deterrence, Prevention, and Protection)</td>
<td>Strengthen CBRNE Detection, Response, and Decontamination Capabilities</td>
<td>Critical Infrastructure Protection, CBRNE Detection, Explosive Device Response Operations</td>
<td>SHSP, UASI</td>
<td>25% of total FY 2008 HSGP Funding</td>
</tr>
<tr>
<td>Strengthen Preparedness Planning</td>
<td>Strengthen Planning and Citizen Preparedness Capabilities</td>
<td>Planning, Citizen Evacuation and Shelter in Place, Community Preparedness and Participation, Mass Care</td>
<td>SHSP, UASI, MMRS, CCP</td>
<td></td>
</tr>
</tbody>
</table>

1. **Measuring Progress in Achieving the National Preparedness Guidelines.**

FEMA will continue in FY 2008 to tie together the established priorities and objectives of the National Preparedness Guidelines with efforts to further establish target capabilities, conduct joint federal-State assessments and make adjustments to better ensure that our investment is yielding measurable improvements in our nation’s preparedness. As part of the FY 2008 HSGP Investment Justifications, applicants will be asked to establish specific capability-based outcomes associated with all proposed investments. Proposals should be aligned with the National Priorities of the National Preparedness Guidelines and must outline measurable outcomes that will be tracked and accomplished during implementation. Grantees should reference the Target Capabilities List (TCL) and applicable national plans and strategies to develop concrete, measurable outcomes and milestones, while preserving the necessary flexibility to meet unique State and Urban Area operational requirements outlined in their homeland security strategies. Outcomes included in the Impact section of the Investment Justification will be reviewed and scored through the peer review process. After funds are awarded, grantees will be required to report on progress made toward achieving the identified outcomes for each Investment as part of the regular grant reporting process described in Appendix F. Performance measure data submitted through grant reporting will be reviewed and validated through programmatic monitoring by FEMA personnel.

These outcomes should support both capability development and strategic, operational, and tactical-level planning. The outcomes should include a minimum number of quantitative and qualitative measures necessary to demonstrate achievement with regard to IED Deterrence, Prevention, and Protection and Preparedness Planning. These measures should be drawn, where applicable, from the Target Capabilities List (TCL). In addition to specific measures, grantees should outline two to four key
enablers for each Investment that are of such importance to achieving the outcome that they require monitoring and management during the period of performance. These enablers are major outputs from the Investment and can be physical (e.g., a major equipment item) or logical (e.g., a critical process, such as a formal planning process) in nature. Examples should be drawn from the “Resource Elements” listed as part of each capability in the TCL.

Additional examples of operational outcomes and key enablers are included in the FY 2008 HSGP Investment Justification Reference Guide. This information will form the basis for measuring progress toward achieving IED Deterrence, Prevention, and Protection and Preparedness Planning outcomes during the period of performance of the grant.

2. Strengthening IED Attack Deterrence, Prevention, and Protection Capabilities.
This provision aligns with the National Priority to Strengthen CBRNE Detection, Response, and Decontamination Capabilities as outlined in the National Preparedness Guidelines. The priority supports the policy outlined in Homeland Security Presidential Directive 19 “Combating Terrorist Use of Explosives in the United States” (HSPD-19) by emphasizing the need for States and Urban Areas to take a more proactive approach to reducing the threat of a terrorist explosive attack. States and Urban Areas should begin by implementing programs such as enhancing public and private sector IED awareness and reducing critical infrastructure/key resource (CIKR) and soft target explosive attack vulnerabilities. Doing so will increase the likelihood that terrorist planning activities are recognized and reported, and deter attacks by reducing the attractiveness of potential targets. Additional programs such as implementing multi-jurisdiction explosive attack planning will ensure State and Urban Areas coordinate preventive and protective actions during steady-state and threat-initiated environments. Finally, grantees should enhance explosive device pre-detonation response operations so that bomb squads have the necessary tools to defeat actual or suspected devices. These mitigation capabilities will serve to further prevent any attempted attack from achieving terrorist objectives.

In support of this effort, the DHS Office for Bombing Prevention (OBP) is dedicated to enhancing and coordinating the Nation’s ability to deter, prevent, and protect against IED attacks. OBP maintains multiple programs designed to support State and Urban Areas in explosive attack prevention and protection planning, analyzing explosive device mitigation capabilities and determining training and equipment requirements, improving IED awareness, and facilitating the sharing of terrorist IED techniques, tactics, and procedures through TRIPwire. Grantees are encouraged to work closely with OBP (in addition to their Preparedness Officer and FEMA Region) to ensure State and local initiatives sufficiently address IED threats. For more information, please contact OBP via obp@dhs.gov. To register for a TRIPwire account, go to http://www.tripwire-dhs.net.

Activities to strengthen explosive attack deterrence, prevention, and protection capabilities should be undertaken in coordination with the statewide CIKR protection program, which States were required to establish in FY 2007 in support of the NIPP.
Additional information to support the implementation of the NIPP is available at http://www.dhs.gov/nipp/.

3. Strengthening Preparedness Planning. This provision aligns with the National Priority to Strengthen Planning and Citizen Preparedness Capabilities as outlined in the National Preparedness Guidelines and supports the Planning Annex to HSPD-8 “National Preparedness.” State and local jurisdictions must engage in comprehensive national and regional planning processes that seek to enhance emergency management capabilities through strengthened national and regional relationships and the allocation of resources toward preparedness planning. As indicated in the Planning Annex, coordinated, comprehensive plans should be developed that cover prevention, protection, and response activities for specific planning scenarios. However, within these plans, specific activities may be implemented in support of the following areas:

- **Fixing shortcomings in existing plans.** Areas of paramount concern are: Mass Evacuation and Sheltering, with particular emphasis on special needs populations and citizen preparedness; Resource/Commodity Management, with particular emphasis on National Incident Management System (NIMS) standardized mechanisms and processes to describe, inventory, mobilize, dispatch, track, and recover resources over both the lifecycle and regional or national scope of an incident, taking into account both at-risk and host jurisdictions/states; CIKR Protection, with particular emphasis on Explosive Device Response Operations; Hazard Identification and Risk Assessment; and Health and Medical Services for Catastrophic Events. Once these shortcomings have been addressed, they should be integrated into scenario-specific plans.

- **Building regional planning processes and planning communities.** The primary focus is to establish processes for planning, preparedness, data exchange, and operational resource and asset management among regional planning partners. Activities should ensure that preparedness planning networks are fully integrated with other key planning efforts such as Area Maritime Security Plans (AMSPs) for port areas and Buffer Zone Plans (BZPs) for CIKR resources and community preparedness planning conducted by governmental and non-governmental entities through the Citizen Corps Council.

- **Linking operational needs identified in plans to resource allocation.** Applicants should use grant funds to institutionalize a capabilities-based planning process that defines, documents, analyzes, adjusts, and approves capability requirements that drive resource allocation.

- **Including the private sector in preparedness planning activities.** States and Urban Areas should include private sector entities in their preparedness planning process, building public-private partnerships where appropriate to more effectively

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1 For the purposes of this document, special needs population is a population whose members may have additional needs before, during, and after an incident in one or more of the following functional areas: maintaining independence, communication, transportation, supervision, and medical care. Individuals in need of additional response assistance may include those who have disabilities; who live in institutionalized settings; who are elderly; who are children; who are from diverse cultures, who have limited English proficiency, or who are non-English speaking; or who are transportation disadvantaged.
prevent, protect against, respond to, and recover from major events. In particular, States and Urban Areas should engage with private sector entities as provisions for the voluntary private sector preparedness, accreditation, and certification program called for in the 9/11 Act are finalized in order to ensure that personnel have a comprehensive understanding of preparedness capabilities resident in their region.

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

Per the 9/11 Act and FY 2008 Consolidated Appropriations Act, FY 2008 HSGP will not contain a separate line-item Law Enforcement Terrorism Prevention Program (LETPP). As is clear in this year’s three overarching HSGP priorities, a significant need for law enforcement terrorism prevention exists, particularly in the area of IED. As a result, and in addition to the above minimum spending requirements towards the three overarching HSGP priorities, States are also required to ensure that at least 25 percent of their SHSP award funds and 25 percent of their UASI award funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.

**C. Allowable Expenses.**

Allowable Investments made in support of the funding priorities discussed above as well as other capability-enhancing projects must fall into one of the following six categories:

1. Planning
2. Organization
3. Equipment
4. Training
5. Exercises
6. Personnel

The following grant guidance provides additional detail about each of these six allowable expense categories, as well as sections on additional activities including explicitly unallowable costs. In general, grantees should consult their FEMA Preparedness Officer prior to making any Investment that does not clearly meet the allowable expense criteria established by the guidance.
PART I.
AVAILABLE FUNDING AND ELIGIBLE APPLICANTS

This section summarizes the total amount of funding available under the FY 2008 HSGP, describes the basic distribution method used to determine final grants awards, and identifies all eligible applicants for FY 2008 funding.

A. Available Funding.

In FY 2008, the total amount of funds distributed under the HSGP will be $1,698,959,000. The available funding is summarized in the table below.

<table>
<thead>
<tr>
<th>HSGP Programs</th>
<th>FY 2008 Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Homeland Security Grant</td>
<td>$862,925,000</td>
</tr>
<tr>
<td>Urban Areas Security Initiative</td>
<td>$781,630,000</td>
</tr>
<tr>
<td>Metropolitan Medical Response System</td>
<td>$39,831,500</td>
</tr>
<tr>
<td>Citizen Corps Program</td>
<td>$14,572,500</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$1,698,959,000</strong></td>
</tr>
</tbody>
</table>

For planning purposes, applicants should assume that the total amount of FY 2008 HSGP funding for individual States, Territories, and Urban Areas will not exceed twice the historical average percentage of HSGP program funds received annually from FY 2003 through FY 2007. For further information, the SAA should coordinate with its respective Preparedness Officer.

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

1. FY 2008 SHSP Allocations.

FY 2008 SHSP funds will be allocated based on risk and anticipated effectiveness upon completion of the application review process. Each State 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 0.375 percent of the total funds allocated for grants under Sections 2003 and 2004 of the Homeland Security Act of 2002 as amended by the 9/11 Act for SHSP and UASI programs. Four Territories (American Samoa, Guam, 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 Sections 2003 and 2004 of the Homeland Security Act of 2002 as amended by the 9/11 Act for SHSP and UASI programs.

2. FY 2008 UASI Allocations.
FY 2008 UASI funds will be allocated based on risk and anticipated effectiveness upon completion of the application review process. Eligible candidates for the FY 2008 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. Please refer to Appendix A to review the MSAs queried as part of the overall risk methodology. Based on that analysis, the following candidates are eligible to apply for funding under the FY 2008 UASI program. The eligible candidates have been grouped into two tiers according to relative risk. Tier I includes the seven highest risk areas and will be allocated 55 percent of the total UASI funding available; Tier II includes the other 53 candidate areas and will be allocated the remaining 45 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.

**Eligible Urban Areas under the FY 2008 UASI Program**

<table>
<thead>
<tr>
<th>60 Urban Areas, $781,630,000 allocated</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FY 2008 Tier I Urban Areas</strong>*</td>
</tr>
<tr>
<td>7 Urban Areas, $429,896,500 allocated</td>
</tr>
<tr>
<td>(CA) Los Angeles/Long Beach Area</td>
</tr>
<tr>
<td>(CA) Bay Area</td>
</tr>
<tr>
<td>(DC) National Capital Region</td>
</tr>
<tr>
<td>(IL) Chicago Area</td>
</tr>
<tr>
<td>(CA) Bay Area</td>
</tr>
<tr>
<td>(NJ) Jersey City/Newark Area</td>
</tr>
<tr>
<td>(CA) Bay Area</td>
</tr>
<tr>
<td>(NY) New York City Area</td>
</tr>
<tr>
<td>(IL) Chicago Area</td>
</tr>
<tr>
<td>(TX) Houston Area</td>
</tr>
</tbody>
</table>

| **FY 2008 Tier II Urban Areas***         |
| 53 Urban Areas, $351,733,500 allocated  |
| (AZ) Phoenix Area            |
| (AZ) Tucson Area             |
| (CA) Riverside Area          |
| (CA) Sacramento Area         |
| (CA) San Diego Area          |
| (CA) Anaheim/Santa Ana Area  |
| (CO) Denver Area             |
| (CT) Bridgeport Area         |
| (CT) Hartford Area           |
| (CT) Hartford Area           |
| (FL) Fort Lauderdale Area    |
| (FL) Jacksonville Area       |
| (FL) Miami Area              |
| (FL) Orlando Area            |
| (FL) Tampa Area              |
| (GA) Atlanta Area            |
| (HI) Honolulu Area           |
| (IN) Indianapolis Area       |
| (IN) Indianapolis Area       |
| (KY) Louisville Area         |
| (LA) Baton Rouge Area        |
| (LA) New Orleans Area        |
| (MA) Boston Area             |
| (MD) Baltimore Area          |
| (MI) Detroit Area            |
| (MN) Twin Cities Area        |
| (MO) Kansas City Area        |
| (MO) St. Louis Area          |
| (NC) Charlotte Area          |
| (NV) Las Vegas Area           |
| (NY) Albany Area             |
| (NY) Buffalo Area            |
| (NY) Rochester Area          |
| (NY) Syracuse Area           |
| (OH) Cincinnati Area         |
| (OH) Cleveland Area          |
| (OH) Columbus Area           |
| (OH) Toledo Area             |
| (OK) Oklahoma City Area      |
| (OR) Portland Area           |
| (PA) Philadelphia Area       |
| (PA) Pittsburgh Area         |
| (PR) San Juan Area           |
| (RI) Providence Area         |
| (TN) Memphis Area            |
| (TN) Nashville Area          |
| (TX) Austin Area             |
| (TX) Dallas/Fort Worth/Arlington Area |
| (TX) El Paso Area            |
| (TX) San Antonio Area        |
| (UT) Salt Lake City Area     |
| (VA) Richmond Area           |
| (VA) Norfolk Area            |
| (WA) Seattle Area            |
| (WI) Milwaukee Area          |

* Alphabetical placement does not equate to funding allocation.
### 3. FY 2008 MMRS Allocations.

FY 2008 MMRS funding will be divided evenly among the 124 MMRS jurisdictions listed below.

<table>
<thead>
<tr>
<th>State</th>
<th>MMRS Jurisdiction</th>
<th>Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alabama</td>
<td>Birmingham, Huntsville, Mobile, and Montgomery</td>
<td>$1,284,884</td>
</tr>
<tr>
<td>Alaska</td>
<td>Anchorage and Southeast Alaska</td>
<td>$642,442</td>
</tr>
<tr>
<td>Arizona</td>
<td>Glendale, Mesa, Phoenix, and Tucson</td>
<td>$1,284,884</td>
</tr>
<tr>
<td>Arkansas</td>
<td>Little Rock</td>
<td>$321,221</td>
</tr>
<tr>
<td>California</td>
<td>Los Angeles, San Francisco, San Diego, San Jose, Long Beach, Oakland, Sacramento,</td>
<td>$5,781,978</td>
</tr>
<tr>
<td></td>
<td>Fresno, Santa Ana, Anaheim, Riverside, Glendale, Huntington Beach, Stockton,</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Bakersfield, Fremont, Modesto, and San Bernardino</td>
<td></td>
</tr>
<tr>
<td>Colorado</td>
<td>Aurora, Colorado Springs, and Denver</td>
<td>$963,663</td>
</tr>
<tr>
<td>Connecticut</td>
<td>Hartford</td>
<td>$321,221</td>
</tr>
<tr>
<td>Florida</td>
<td>Miami, Jacksonville, Tampa, St. Petersburg, Hialeah, Ft. Lauderdale, and Orlando</td>
<td>$2,248,547</td>
</tr>
<tr>
<td>Georgia</td>
<td>Atlanta and Columbus</td>
<td>$642,442</td>
</tr>
<tr>
<td>Hawaii</td>
<td>Honolulu</td>
<td>$321,221</td>
</tr>
<tr>
<td>Illinois</td>
<td>Chicago</td>
<td>$321,221</td>
</tr>
<tr>
<td>Indiana</td>
<td>Ft. Wayne and Indianapolis</td>
<td>$642,442</td>
</tr>
<tr>
<td>Iowa</td>
<td>Des Moines</td>
<td>$321,221</td>
</tr>
<tr>
<td>Kansas</td>
<td>Kansas City and Wichita</td>
<td>$642,442</td>
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<tr>
<td>Kentucky</td>
<td>Lexington/Fayette and Louisville</td>
<td>$642,442</td>
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<tr>
<td>Louisiana</td>
<td>Baton Rouge, Jefferson Parish, New Orleans, and Shreveport</td>
<td>$1,284,884</td>
</tr>
<tr>
<td>Maryland</td>
<td>Baltimore</td>
<td>$321,221</td>
</tr>
<tr>
<td>Massachusetts</td>
<td>Boston, Springfield, and Worcester</td>
<td>$963,663</td>
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<tr>
<td>Michigan</td>
<td>Detroit, Grand Rapids, and Warren</td>
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</tr>
<tr>
<td>Minnesota</td>
<td>Minneapolis and St. Paul</td>
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<tr>
<td>Mississippi</td>
<td>Jackson</td>
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<tr>
<td>Missouri</td>
<td>Kansas City and St. Louis</td>
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<tr>
<td>Nebraska</td>
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<td>MMRS Jurisdiction</td>
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<td>South Carolina</td>
<td>Columbia</td>
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<tr>
<td>Tennessee</td>
<td>Chattanooga, Knoxville, Memphis, and Nashville</td>
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<td>Salt Lake City</td>
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<td>Virginia</td>
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<td>Wisconsin</td>
<td>Madison and Milwaukee</td>
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<tr>
<td><strong>Total</strong></td>
<td></td>
<td><strong>$39,831,404</strong></td>
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4. **FY 2008 CCP Allocations.**

CCP allocations are determined using the USA PATRIOT Act 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, 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.

<table>
<thead>
<tr>
<th>State/Territory</th>
<th>Allocation</th>
<th>State/Territory</th>
<th>Allocation</th>
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<tbody>
<tr>
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</table>

**Total** $14,572,500
B. Eligible Applicants and Role of State Administrative Agencies.

The Governor of each State and Territory is required to designate a State Administrative Agency (SAA) to apply for and administer the funds awarded under HSGP. The SAA is the only entity eligible to formally apply for HSGP funds. FEMA requires that the SAA be responsible for obligating HSGP funds to local units of government and other designated recipients within 45 days after receipt of funds.\(^2\)

In addition, to be eligible to receive FY 2008 HSGP funding, applicants must meet NIMS compliance requirements. State, Territory, Tribal, and local governments are considered to be in full NIMS compliance if they have adopted and/or implemented the FY 2007 compliance activities, as determined by the National Incident Management System Capability Assessment Support Tool (NIMSCAST) or other accepted means. Additional information on achieving compliance is available through the FEMA National Integration Center (NIC) at [http://www.fema.gov/emergency/nims/](http://www.fema.gov/emergency/nims/).

For FY 2008, the NIMSCAST will be the required means to report NIMS compliance for FY 2009 preparedness award eligibility. All State and Territory direct preparedness awardees will be required to submit their compliance assessment via the NIMSCAST by September 30, 2008. The State or Territory department/agency awardee reserves the right to determine compliance reporting requirements of their sub-awardees (locals) in order to disperse funds at the local level.

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\(^2\) As defined in the Conference Report accompanying the DHS Appropriations Act of 2008, the term “local unit of government” means “any county, city, village, town, district, borough, parish, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized Tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State.”
PART II.
APPLICATION AND EVALUATION PROCESS

This section summarizes the overall timetable for the FY 2008 HSGP and core process and priorities that will be used to assess applications under the FY 2008 program. The next section provides detailed information about specific application requirements and the process for submission of applications.


For specific application instructions, please refer to Appendix E, FY 2008 HSGP Application Requirements. Completed Applications must be submitted no later than 11:59 PM EDT, May 1, 2008.

FEMA will evaluate and act on applications within 90 days following close of the application period. With respect to SHSP and UASI, the FY 2008 HSGP will use risk-based prioritization consistent with FEMA policy outlined in this guidance document. Each applicant’s final funding allocation will be determined using a combination of the results of the risk and effectiveness analyses.

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

- FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of Investment Justifications and State Preparedness Reports by the established due dates.

- Eligible applications will be reviewed and scored through a State and local peer review process to analyze the anticipated effectiveness of proposed Investments. State Preparedness Reports will be reviewed by the peer review panels for context, but will not be scored.

- FEMA will use the results of both the risk analysis and the peer review to make recommendations for funding to the Secretary of Homeland Security.

Applicants must comply with all administrative requirements — including submitting Investment Justifications and also ensuring that their State Preparedness Report is submitted to FEMA not later than March 31, 2008 — described herein. Having met all administrative requirements, applications will be evaluated through the peer review process for completeness, adherence to programmatic guidelines, feasibility, and how well the proposed Investment addresses the identified need(s) or capability shortfall(s). The Investment Justification requires narrative on strategic alignment, funding plan, milestones, project management, potential challenges, impact, and sustainability for each proposal. This information will be used to evaluate the anticipated effectiveness of all proposed Investments. Investment Justification questions and scoring criteria are included in Appendix D. Grantees should also refer to the FY 2008 HSGP Investment...
Justification Reference Guide for assistance in the formulation of State and UASI Investment Justifications.

B. Grant Application Support from FEMA.

During the application period FEMA will identify multiple opportunities for a cooperative dialogue between the Department and applicants through such processes as the midterm review. This commitment is intended to ensure a common understanding of the funding priorities and administrative requirements associated with the FY 2008 HSGP, and to help in submission of projects that will have the highest impact on reducing risks.
PART III.
PROGRAM REQUIREMENTS

This section provides detailed information about specific application requirements and the process for submission of applications.

A. General Program Requirements.

The applicable SAAs will be responsible for administration of the FY 2008 HSGP. In administering the program, the SAA must work with the eligible applicants to comply with the following general requirements:

1. Grant funds. The SAA must obligate 80 percent of the funds awarded under SHSP and UASI to local units of government within 45 days of receipt of the funds. For Puerto Rico, the SAA must also obligate 80 percent of the funds to local units of government within 45 days of receipt of the funds (as opposed to obligating 50 percent of funds within 60 days as noted in the FY 2007 HSGP). Additionally, no pass-through requirements will be applied to the District of Columbia, Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands. Any UASI funds retained by the SAA must be used to directly support the designated Urban Areas in the State.

States must obligate 100 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 FY 2007, FEMA will continue to recognize it for FY 2008. If any modifications to the existing agreement are necessary to reflect new initiatives, States should contact their assigned Preparedness Officer.

As noted before, FY 2008 HSGP will focus on three objectives as its highest priorities, of which at least 25 percent of HSGP funds must be dedicated to the last two:

- Measuring progress in achieving the National Preparedness Guidelines
- Strengthening improvised explosive device (IED) deterrence, prevention, and protection capabilities
- Strengthening preparedness planning
Per the 9/11 Act and Homeland Security Appropriation Act of 2008, FY 2008 HSGP will not contain a separate line-item Law Enforcement Terrorism Prevention Program (LETPP). However, States are still required to ensure that at least 25 percent of their SHSP award funds and 25 percent of their UASI award funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.

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

2. Management and Administration (M&A) limits. A maximum of up to three percent (3%) of funds 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 subgrantee M&A amount may not equal more than three percent (3%).

3. Cash-Match Requirements. Grantees are not required to engage in cash or in-kind match for FY 2008 HSGP funds. However, there is the potential for future grant programs to be impacted by cash match requirements as early FY 2009. Accordingly, grantees should anticipate and plan for future homeland security programs to require cash or in-kind matches at cost-share levels comparable to other FEMA-administered grant programs.
PART IV.

GENERAL HSGP ALLOWABLE COSTS GUIDANCE

The following pages outline global allowable costs guidance applicable to all programs included in the HSGP. A crosswalk of allowable costs across grant programs can be found in Appendix B.

As a reminder, FY 2008 HSGP will focus on three objectives as its highest priorities:

1. Measuring progress in achieving the National Preparedness Guidelines
2. Strengthening improvised explosive device (IED) deterrence, prevention, and protection capabilities
3. Strengthening preparedness planning

At least 25 percent of FY 2008 HSGP (State Homeland Security Program [SHSP], Urban Areas Security Initiative [UASI], Metropolitan Medical Response System [MMRS], and Citizen Corps Program [CCP]) funding must be allocated to objectives 2 and 3.

At least 25 percent of SHSP award funds and 25 percent of UASI award funds must be dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.

1. Planning Activities.

States and Urban Areas are strongly encouraged to use FY 2008 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., law enforcement, fire, emergency medical service (EMS), public health, behavioral health, public works, agriculture, and information technology) and levels of government. Planning activities should focus on the four homeland security mission areas of prevention, protection, response, and recovery. All jurisdictions are encouraged to work through Citizen Corps Councils, non-governmental entities, and the general public in planning activities.3

Allowable planning costs include:

- Developing scenario plans that incorporate the range of prevention, protection, response, and recovery activities for a scenario
- Developing and implementing homeland security support programs and adopting DHS national initiatives
- Developing related terrorism prevention activities
- Developing and enhancing plans and protocols
- Developing or conducting assessments

3 Non-governmental entities include the private sector and private non-profit, faith-based, community, volunteer and other non-governmental organizations.
Examples of allowable planning costs can be found at [http://www.fema.gov/grants](http://www.fema.gov/grants).

2. **Organization Activities (SHSP and UASI only).**

States and Urban Areas must justify proposed expenditures of SHSP or UASI funds to support organization activities within their Investment Justification submission by using historical data or other analysis.⁴

For SHSP:

a. Only States that do not contain a DHS-designated Urban Area and therefore do not receive a UASI award are allowed to utilize SHSP funding for Organizational Activities. For States which do not receive a FY 2008 UASI award, no more than 15 percent of their SHSP award amount may be used for operational expenses and overtime costs for the three (3) Organizational Activities noted below.

For UASI:

b. No more than 25 percent of each individual UASI award amount may be used for operational expenses and overtime costs for the three (3) Organizational Activities noted below.

1. **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 during DHS-declared periods of Orange or Red threat levels. Subject to these elevated threat level conditions, FY 2008 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 local fusion centers
   - Hiring of contracted security for critical infrastructure sites
   - Public safety overtime (as defined in this guidance)
   - National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package
   - Increased border security activities in coordination with U.S. Customs and Border Protection (CBP), as outlined in Information Bulletin #135

   Consumable costs, such as fuel expenses, are **not allowed** except as part of the standard National Guard deployment package.

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⁴ The effectiveness of a request for the use of funds for allowable organizational costs will be judged on the Investment Justification to illustrate the need for such resources to effectively achieve a capability that will have a meaningful impact in the reduction of risk.
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 15 percent of the State share of the UASI grant). However, those activities must directly support increased security measures enacted in the UASI jurisdictions.

2. Overtime Costs. Overtime costs (as defined in this guidance) are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security. This includes activities such as anti-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.

3. Intelligence Analysts. 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. 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.

Costs associated with hiring new intelligence analysts are allowable only for two years, after which States and Urban Areas shall be responsible for supporting the sustainment costs for those intelligence analysts. Use of funds for the hiring of intelligence analysts represents a commitment by the grantee to sustain Federally-funded positions after the two-year Federal funding period with non-Federal funds. Failure to sustain such positions will result in disqualification of grantees from hiring analysts with Federal funds in future program years. In order to receive funds for hiring intelligence analysts, the SAA must retain certification on file stating that the responsible jurisdiction will assume responsibility for supporting the costs of the hired analysts following the two-year Federal funding period. This certification must also be accompanied by a budget plan providing the details of this arrangement.

All intelligence analyst training should be in accordance with Global’s 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 Preparedness Officers upon request.

3. Equipment Activities.

The 21 allowable prevention, protection, response, and recovery equipment categories and equipment standards for FY 2008 HSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at http://www.rkb.us.

The Standardized Equipment List (SEL) is located at this site as well. In some cases, items on the SEL are not allowable under HSGP or will not be eligible for purchase unless specific conditions are met. 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.

4. Training Activities.

States, Territories, and Urban Areas are strongly encouraged to use HSGP funds to develop a State/Territory 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. Allowable training topics include, but are not limited to, CBRNE terrorism, cyber/agriculture/food security, intelligence gathering and analysis, NIMS related training, citizen and community preparedness, and training for volunteers.

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 Emergency Operations Plan (EOP) or specific annexes, where applicable.

Additional information regarding training is located in Appendix C.

5. Exercise Activities.

Exercises conducted with FEMA support must be managed and executed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP Volumes I-III contain guidance for exercise design, development, conduct, evaluation and improvement planning. HSEEP Volume IV provides sample exercise materials and HSEEP Volume V: Prevention Exercises contains guidance and
recommendations for designing, developing, conducting, and evaluating prevention-focused exercises. All volumes can be found at http://hseep.dhs.gov.

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.

Additional information regarding exercises is located in Appendix C.


Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable FY 2008 HSGP planning, training, exercise, and equipment activities.

- For SHSP and UASI, a personnel cap of up to 15 percent of each of the total program funds may be used. Grantees who wish to seek a waiver from the 15 percent personnel cap must provide documentation explaining why the 15 percent personnel cap is unacceptable; waiver requests will be considered only under extreme circumstances.
- For MMRS or CCP, the 15 percent personnel cap ceiling does not apply.
- The category of personnel costs does not apply to contractors.

FY 2008 HSGP funds may not be used to support the hiring of any personnel for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.

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

- **Hiring** – 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 FTEs.

- **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. Backfill-related overtime only includes the difference between the overtime rate paid and what would have otherwise been paid to the backfilling employee for regular time. Under no circumstances should the entire amount of backfill overtime expense be charged to an award. Neither overtime
nor backfill expenses are the result of an increase of Full-Time Equivalent (FTE) employees.

- **Supplanting** – Replacing a currently State and/or locally budgeted position with one or more full-time employees or contracted supported in whole or in part with Federal funds.

**Management and Administration (M&A) limits.** A maximum of up to three percent (3%) of funds 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 subgrantee M&A amount may not equal more than three percent (3%).

7. **Construction and Renovation.**

Use of HSGP funds for construction and renovation is generally prohibited except as outlined below. Such construction and renovation shall be strictly limited and allowable only when it is a necessary component of a security system at critical infrastructure facilities. CCP and MMRS funds may not be used for any type of construction or renovation.

Project construction and renovation 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 of and renovation to guard facilities
- 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.
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 environmental and historic preservation requirements.

Grantees should refer to FEMA’s Information Bulletin #271, *Environmental and Planning and Historic Preservation Requirements for Grants.*
PART V.

ALLOWABLE COSTS GUIDANCE LAW ENFORCEMENT
TERRORISM PREVENTION-ORIENTED ALLOWABLE COSTS

As noted previously, the 9/11 Act and FY 2008 Consolidated Appropriations Act removed appropriations specific for the LETPP. However, the Department still values and places an emphasis on law enforcement terrorism prevention and protection-oriented activities.

States are still required to ensure that at least 25 percent of their SHSP award funds and at least 25 percent of their UASI award funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.

The broad parameters of the historical LETPP program are still allowable under SHSP and UASI. These include the following activities:

- 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, including for increased border security and border crossing enforcement;
- Subject to the limitations on Organization and Personnel Costs outlined above, establishing, enhancing, and staffing with appropriately qualified personnel State, local, and regional fusion centers;
- 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;

For more specific information on allowable costs under this heading, please see the SHSP and UASI sections of this grant package. Additionally, please refer to Appendix C, HSGP Allowable Expenses, Additional Information, for specific examples on allowable law enforcement terrorism prevention-oriented planning, training, and exercise activities.
PART VI.
PROGRAM OVERVIEW: STATE HOMELAND SECURITY PROGRAM

The State Homeland Security Program (SHSP) is a core assistance program that provides funds to build capabilities at the State and local levels and to implement the goals and objectives included in State Homeland Security Strategies and initiatives in the State Preparedness Report.

Activities implemented under SHSP must support terrorism preparedness by building or enhancing capabilities that relate to the prevention of, protection from, or response to 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.

A. Program Requirements.

Use of SHSP funds must be consistent with and supportive of implementation of the State Homeland Security Strategy and State Preparedness Report. 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).

As a reminder, FY 2008 HSGP will focus on three objectives as its highest priorities:

1. Measuring progress in achieving the National Preparedness Guidelines
2. Strengthening improvised explosive device (IED) deterrence, prevention, and protection capabilities
3. Strengthening preparedness planning

At least 25 percent of FY 2008 HSGP (State Homeland Security Program [SHSP], Urban Areas Security Initiative [UASI], Metropolitan Medical Response System [MMRS], and Citizen Corps Program [CCP]) funding must be allocated to objectives 2 and 3.

At least 25 percent of SHSP award funds must be dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.

B. Authorized Program Expenditures.

This section provides guidance on the types of expenditures that are allowable under SHSP. Please refer to Appendix B for a summary of authorized SHSP expenditures.

In addition to the expenditures outlined below, SHSP funds can be used to support activities related to 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 REAL ID, enhancing driver’s licenses to be used as secure border-crossing documents, Transportation Worker Identification Credential (TWIC), and the credentialing of First Responders.

REAL ID addresses a key recommendation of the 9/11 Commission Report to enhance the security, integrity and protection of licensing and identification systems across the country. REAL ID can help States improve State driver’s license and ID card issuance capabilities and enable States to work collectively to develop more secure systems to verify a person’s identity, while at the same time protecting the privacy of the applicant’s personal identification information. Specific allowable activities include: planning activities related to REAL ID, personal identification verification systems enhancements; personnel and management costs related to REAL ID activities; and acquisitions for hardware and software related to REAL ID technologies. TWICs are 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.

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. The credentialing of First Responders aims to enhance 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. Specific allowable activities include: standards-based technologies, policies, protocols, and practices for a portable and functional solution, which could include training or exercises.

1. Planning Activities.

SHSP funds may be used for a broad range of homeland security planning activities. Please refer to Part IV, Allowable Costs Guidance, (1) Planning Activities.

2. Organizational Activities.

For SHSP: Only States which do not contain a DHS-designated Urban Area and therefore do not receive a UASI award are allowed to utilize SHSP funding for Organizational Activities. For States which do not receive a FY2008 UASI award, no more than 15 percent of their SHSP award amount may be used for operational expenses and overtime costs for the three (3) Organizational Activities noted below.

1. 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 during DHS-declared periods of Orange or Red threat levels. Subject to these elevated threat level conditions, FY 2008 SHSP
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 local fusion centers
- Hiring of contracted security for critical infrastructure sites
- Public safety overtime (as defined in this guidance)
- National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package
- Increased border security activities in coordination with U.S. Customs and Border Protection (CBP), as outlined in Information Bulletin #135

Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package.

2. Overtime Costs. Overtime costs (as defined in this guidance) are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security. This includes activities such as anti-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.

3. Intelligence Analysts. SHSP funds may be used to hire new staff and/or contractor positions to serve as intelligence analysts to enable information/intelligence sharing capabilities. 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.

Costs associated with hiring new intelligence analysts are allowable only for two years, after which States shall be responsible for supporting the sustainment costs for those intelligence analysts. Use of funds for the hiring of intelligence analysts represents a commitment by the grantee to sustain Federally-funded positions after the two-year Federal funding period. Failure to sustain such positions will result in disqualification of grantees from hiring analysts with Federal funds in future program years. In order to receive funds for hiring intelligence analysts, the SAA must retain certification on file stating
that the responsible jurisdiction will assume responsibility for supporting the costs of the hired analysts following the two-year Federal funding period. This certification must also be accompanied by a budget plan providing the details of this arrangement.

All intelligence analyst training should be in accordance with Global’s *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 Preparedness Officers upon request.

Under no circumstances may eligible non-UASI States exceed 15 percent of their SHSP award for these activities.

3. Equipment Activities.

FY 2008 SHSP funds may be used for prevention, protection, response, and recovery-oriented equipment acquisition from the 21 equipment categories listed in the AEL. The AEL is available in its entirety online through the RKB at [http://www.rkb.us](http://www.rkb.us) and the equipment categories are outlined in Appendix B.

4. Training Activities.

SHSP funds may be used to enhance the capabilities of State and local government and non-governmental emergency preparedness and response personnel through development of a State homeland security training program.

5. Exercise Activities.

SHSP funds may be used to design, develop, conduct, and evaluate exercises in accordance with the overarching guidance on exercises.


As noted previously, up to 15 percent of SHSP funds may be used to support the hiring of full or part time employees to perform allowable FY 2008 SHSP planning, training, exercise, and equipment activities.

Grantees who wish to seek a waiver from the 15 percent personnel cap must provide hard and telling documentation explaining why the 15 percent personnel cap is unacceptable; waiver requests will be considered only under extreme circumstances. For more information please see Part IV, Allowable Costs Guidance, (6) Personnel.
PART VII.
PROGRAM OVERVIEW: URBAN AREAS SECURITY INITIATIVE

Since its inception in FY 2003, the intent of the 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. The FY 2008 UASI program continues this mission by providing 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 them in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism.

The FY 2008 UASI program is intended to enhance regional preparedness efforts. Urban Areas must use these 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 2008 UASI program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, campus law enforcement, State agencies, Citizen Corps Council(s), and MMRS jurisdictions in their program activities.

Activities implemented under UASI must support terrorism preparedness by building or enhancing capabilities that relate to the prevention of, protection from, or response to 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.

Pursuant to changes required by the 9/11 Act, eligible FY 2008 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. MSAs are used by DHS to determine eligibility for participation in the program. Page Nine shows a table of Urban Areas selected for possible FY 2008 funding; Appendix A shows the MSAs queried as part of the overall risk methodology. 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

A. Program Requirements.

The SAA will be responsible for ensuring compliance with the fiduciary and programmatic administration requirements of the FY 2008 UASI program.

1. 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.

2. 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 and Citizen Corps Council representatives. 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.

3. Governance. The identified jurisdictions in Part I represent the candidate Urban Areas eligible to apply for funding. The UAWG will be responsible for coordinating 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. This charter must be on file with FEMA prior to drawing down FY 2008 UASI funding and must be available to all UAWG members to promote transparency in decision-making related to the UASI program.

Investments identified in the Investment Justification. There must be a clear correlation between the goals, objectives, and priorities identified in the Urban Area Homeland Security Strategy and FY 2008 UASI program activities. In addition, the Urban Area Homeland Security Strategy must also be consistent with and supportive of the State Homeland Security Strategy and the State Preparedness Report.

All Urban Areas receiving funding in FY 2008 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; this includes prior Urban Areas who were not Urban Areas in either FY 2006 and/or 2007, but who were selected again as Urban Areas for FY 2008. For new Urban Areas, strategy development technical assistance is available; please consult your SAA for requesting assistance services from FEMA.

5. Allocation of funds.

As a reminder, FY 2008 HSGP will focus on three objectives as its highest priorities:

1. Measuring progress in achieving the National Preparedness Guidelines
2. Strengthening improvised explosive device (IED) deterrence, prevention, and protection capabilities
3. Strengthening preparedness planning

At least 25 percent of FY 2008 HSGP (State Homeland Security Program [SHSP], Urban Areas Security Initiative [UASI], Metropolitan Medical Response System [MMRS], and Citizen Corps Program [CCP]) funding must be allocated to objectives 2 and 3.

At least 25 percent of UASI funds must be dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.

The use and allocation of all grant funds available through the FY 2008 UASI program must focus on the investments identified in the Urban Area’s Investment Justification and the implementation of the validated Urban Area Homeland Security Strategy. The use of funds must also be consistent with the State Homeland Security Strategy, the State Preparedness Report, the National Preparedness Guidelines, TCL and UASI program guidelines. Funds used to support Citizen Corps related efforts, such as citizen preparedness, volunteer participation, and the integration of non-governmental 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 can not 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 DHS upon request demonstrating how any UASI funds retained by the State would directly support the Urban Area.

B. Authorized Program Expenditures.

This section provides guidance on the types of expenditures that are allowable under UASI. Please refer to the checklist in Appendix B for a summary of authorized UASI expenditures.

1. Planning Activities.

UASI funds may be used for a broad range of homeland security planning activities. Please refer to Part IV, Allowable Costs Guidance, (1) Planning Activities.

2. Organizational Activities.

States and Urban Areas may use FY 2008 UASI funds to support select organization activities. States and Urban Areas must justify proposed expenditures of UASI funds to support organization activities within their Investment Justification submission by using historical data or other analysis.

For UASIs: No more than 25 percent of each individual UASI award amount may be used for operational expenses and overtime costs for the three (3) Organizational Activities noted below.

   1. 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 during DHS-declared periods of Orange or Red threat levels. Subject to these elevated threat level conditions, FY 2008 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 local fusion centers
   • Hiring of contracted security for critical infrastructure sites
   • Public safety overtime (as defined in this guidance)
   • National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package
   • Increased border security activities in coordination with U.S. Customs and Border Protection (CBP), as outlined in Information Bulletin #135
Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package.

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 15 percent of the State share of the UASI grant). However, those activities must directly support increased security measures enacted in the UASI jurisdictions.

2. Overtime Costs. Overtime costs (as defined in this guidance) are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security. This includes activities such as anti-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.

3. Intelligence Analysts. UASI funds may be used to hire new staff and/or contractor positions to serve as intelligence analysts to enable information/intelligence sharing capabilities. 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.

Costs associated with hiring new intelligence analysts are allowable only for two years, after which States and Urban Areas shall be responsible for supporting the sustainment costs for those intelligence analysts. Use of funds for the hiring of intelligence analysts represents a commitment by the grantee to sustain Federally-funded positions after the two-year Federal funding period with non-Federal resources. Failure to sustain such positions will result in disqualification of grantees from hiring analysts with Federal funds in future program years. In order to receive funds for hiring intelligence analysts, the SAA must retain certification on file stating that the responsible jurisdiction will assume responsibility for supporting the costs of the hired analysts following the two-year Federal funding period. This certification must also be accompanied by a budget plan providing the details of this arrangement.

All intelligence analyst training should be in accordance with Global’s 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 Preparedness Officers upon request.

Under no circumstances may jurisdictions exceed 25 percent of their UASI award for these activities.

3. Equipment Activities.

UASI funds may be used for prevention, protection, response, and recovery-oriented equipment acquisition from the 21 equipment categories listed in the AEL. The AEL is at http://www.rkb.us and the equipment categories are outlined in Appendix B.

4. Training Activities.

FY 2008 UASI funds may be used to enhance the capabilities of State and local government and non-governmental emergency preparedness and response personnel through development of a State homeland security training program. See Appendix C for additional information.

5. Exercise Activities.

All Urban Areas are required to develop a Multi-year Training and Exercise Plan and submit it to FEMA on an annual basis. This plan must tie into the Multi-year Training and Exercise Plan developed by the State and aligns with the Urban Area Homeland Security Strategy. 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 Training and Exercise Plan Workshops can be found in the HSEEP Volumes.

Urban Areas are eligible to apply for exercise direct support, but must do so in coordination with the SAA. Direct support exercises provided to Urban Areas will count against the amount of direct support allotted to the State for FY 2008.


As noted previously, up to 15 percent of UASI funds may be used to support the hiring of full or part time employees to perform allowable FY 2008 UASI planning, training, exercise, and equipment activities. Grantees who wish to seek a waiver from the 15 percent personnel cap must provide hard and telling documentation explaining why the 15 percent personnel cap is unacceptable; waiver requests will be considered only under extreme circumstances. For more information please see Part IV, Allowable Costs Guidance, (6) Personnel.
PART VIII.
PROGRAM OVERVIEW: METROPOLITAN MEDICAL RESPONSE SYSTEM

The FY 2008 MMRS program provides funding to designated localities to assist in maintaining and updating plans, delivering training, purchasing equipment and pharmaceuticals, and conducting exercises. The mission of MMRS is to enhance local medical incident management’s ability to coordinate and respond to a mass casualty event during the crucial first hours, until significant external resources arrive and become operational.

MMRS provides the platform for rapid and efficient integration of State and Federal medical resources into the local incident management system. Through its established multi-agency, collaborative planning framework, the MMRS program also promotes effective regional coordination of mutual aid with neighboring localities (MMRS “Operational Area”). Additional information is provided at [http://www.fema.gov/mmrs](http://www.fema.gov/mmrs).

The FY 2008 MMRS Program will support the MMRS jurisdictions in:

- Achieving preparedness in MMRS-related Target Capabilities/Capability Focus Areas, in accordance with the National Preparedness Guidelines
- Ensuring that MMRS strategic goals, objectives, operational capabilities, resource requirements, and operational plans correlate with State and Urban Area Homeland Security Assessments and Strategies
- Increasing collaboration with the U.S. Department of Health and Human Services, specifically the Assistant Secretary for Preparedness and Response (ASPR) Hospital Preparedness Program and the Healthcare Facilities Partnership Program
- Continuing the distinct capability enhancements required for pandemic influenza preparedness
- Maintaining the MMRS capabilities established through the completion of deliverables and other requirements promulgated in previous federal funding guidance documents and related directives

The Target Capabilities List (TCL) identifies and defines 37 specific capabilities that the Nation may need to achieve and sustain, depending on relevant risks and threats, in order to be prepared. MMRS jurisdictions are uniquely suited to plan, organize, staff, equip, train and exercise to achieve many of the desired outcomes for one distinct capability: Emergency Triage and Pre-Hospital Treatment. Therefore, jurisdictions must give priority attention to improving Emergency Triage and Pre-Hospital Treatment capability within their operational area. Jurisdictions should give additional consideration to the remaining 10 supporting capabilities, but also have the option of using grant funds to improve any of the other capabilities listed in the FY 2008 HSGP Supplemental Resource: MMRS Target Capabilities/ Capability Focus Areas and Community
Preparedness, in cooperation with State and/or UASI strategies related to medical mass casualty preparedness and response.

**A. Program Requirements.**

1. **Allocation of funds.** States must obligate 100 percent of MMRS grant funds.

SAAs, in coordination with other relevant State government elements, such as public health, are expected to ensure that local MMRS representation exists within the Senior Advisory Committee body, and MMRS jurisdictions are able to seek information from, and provide information to, that body.

2. **MMRS Priority Target Capabilities/Capability Focus Areas (TC/CFA).** The listing below constitutes the primary MMRS Target Capabilities/Capability Focus Areas (TCs/CFAs) for FY 2008. In addition to the primary focus of Emergency Triage and Pre-Hospital Treatment, MMRS jurisdictions are expected to select from the TCs/CFAs below as their FY 2008 work effort. Jurisdictions also have the option of using grant funds to improve any of the other Target Capabilities listed in the FY 2008 HSGP Supplemental Resource: MMRS Target Capabilities/ Capability Focus Areas and Community Preparedness, provided they are reflected in the relevant State and/or Urban Area strategies, State Preparedness Report, and Investment Justifications. MMRS jurisdictions must also sustain capabilities achieved through the implementation of prior years’ program guidance, deliverables, and funding.

   1. Medical Surge
   2. Mass Prophylaxis
   3. WMD/Hazardous Materials Response and Decontamination
   4. Emergency Triage and Pre-Hospital Treatment
   5. Medical Supplies Management and Distribution
   6. Emergency Public Information and Warning
   7. Interoperable Communications
   8. Information Sharing and Collaboration
   9. Regional Collaboration
   10. Fatality Management
   11. Isolation and Quarantine


3. **Pandemic influenza preparedness.** An overarching requirement for MMRS jurisdictions is the revision and updating of Continuity of Operations/Continuity of Government (COOP/COG) plans for medical, mental health, and public health functions, and their supporting infrastructure, throughout the MMRS Operational Area. Key aspects of this activity include:

   - Updating COOP/COG plans to include clear lines of succession for key management positions; protection of essential records, facilities, equipment, and
personnel; operation of alternate facilities; and interoperable emergency communications

- Reviewing mutual aid agreements to ensure they address the sharing of resources, and related provisions for managing critical infrastructure and key assets, including facilities, personnel, equipment and supplies
- Stockpiling and priority dispensing of influenza vaccines and anti-viral medications

The CDC-PHEP FY 2007 Cooperative Agreement guidance, including the Pandemic Flu Preparedness Supplement, provides for discounted bulk purchases of anti-viral pharmaceuticals and ventilators. MMRS jurisdictions should access that source before using MMRS grant funds to acquire and stockpile equipment and supplies for pandemic response.

4. Medical Reserve Corps. The Medical Reserve Corps (MRC) program is administered by the HHS Office of the Surgeon General. Medical Reserve Corps 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

5. EMS medical oversight. To the extent that MMRS program funds are used to support the activities of EMS agencies and activities, those funds may only be used to
support EMS in systems which are operating under local or regional medical oversight consistent with state and local requirements and with the concurrence and approval of that local or regional medical oversight entity.

C. Authorized Program Expenditures.

This section provides guidance on the types of expenditures that are allowable under MMRS. Please refer to the checklist in Appendix B for a summary of authorized MMRS expenditures.

1. Planning Activities.

The local MMRS Steering Committee represents the relevant organizations that assist in the planning and operational area (regional) development of the MMRS. Steering committees should ensure that MMRS strategic goals, objectives, operational capabilities, and resource requirements align with State and Urban Area Homeland Security Strategies. Steering committees should also ensure that operational plans and training and exercise activities are updated and/or modified to achieve conformance with the National Preparedness Guidelines and the NRF, to include coordinating structures, processes, and protocols. Steering committees are expected to provide a validation of the local MMRS work plan at least annually.

2. Organizational Activities.

Organization costs are not allowed under MMRS.

3. Equipment Activities.

MMRS funds may be used for equipment acquisition from the MMRS equipment categories listed in the AEL. The AEL is available at http://www.rkb.us and the equipment categories are outlined in Appendix B.

MMRS jurisdictions are expected to manage their pharmaceutical cache in coordination with the local/regional public health offices and hospital associations. MMRS jurisdictions are advised to coordinate with their local/regional CDC counterparts before using MMRS grant funds to acquire and stockpile any equipment, supplies or pharmaceuticals for pandemic preparedness and response purposes.

4. Training Activities.

Development and delivery of local and regional MMRS training programs and schedules should be based on the MMRS community’s risk management strategy. Allowable activities include:
• Training to strengthen medical surge, mass prophylaxis, triage and pre-hospital treatment, medical supplies management and distribution, mass care, and fatality management capabilities
• Training to support pandemic influenza preparedness
• Training in support of mass casualty response teams

5. Exercise Activities.

The scenarios used in MMRS exercises must focus on catastrophic incidents with national impact (i.e., catastrophic natural hazard, terrorist incident). Grantees are encouraged to use the National Planning Scenarios as a basis for developing exercise scenarios for their region, with a focus on medical issues related to preparedness and response. Scenarios should be targeted to the MMRS Capability Focus Areas provided above. Grantees should include law enforcement personnel in exercises and planning activities.

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.

5.1 -- CDC Public Health Emergency Preparedness Cooperative Agreement

Exercise requirement. MMRS jurisdictions, in coordination with regional, Urban Area and State exercise and public health officials, are expected to schedule, design, conduct, and evaluate mass casualty exercises that are in compliance with both FEMA and CDC exercise requirements and guidance.


Hiring, overtime, and backfill expenses are allowable only to perform programmatic activities deemed allowable under existing guidance. Supplanting, however, is not allowed. There is no percentage cap for MMRS.

7. Construction and Renovation Activities.

Construction and renovation are not allowed under MMRS.
PART IX.
PROGRAM OVERVIEW: CITIZEN CORPS PROGRAM

The Citizen Corps mission is to bring community and government leaders together to coordinate the involvement of community members in emergency preparedness, planning, mitigation, response, and recovery.

The FY 2008 Citizen Corps Program (CCP) funds provide resources for States and local communities to: 1) bring together the appropriate leadership to form and sustain a Citizen Corps Council; 2) develop and implement a plan or amend existing plans to achieve and expand citizen preparedness and participation; 3) conduct public education and outreach; 4) ensure clear alerts/warnings and emergency communications with the public; 5) develop training programs for the public, for both all-hazards preparedness and volunteer responsibilities; 6) facilitate citizen participation in exercises; 7) implement volunteer programs and activities to support emergency responders; 8) involve citizens in surge capacity roles and responsibilities during an incident in alignment with the Emergency Support Functions and Annexes; and 9) conduct evaluations of programs and activities.

A. Program Requirements.

All grant recipients must register their Citizen Corps Council on the Citizen Corps website (http://www.citizencorps.gov) and manage their program and contact information listed on the site.

1. State responsibilities. Citizen preparedness and participation must be coordinated by an integrated body of government and non-governmental representatives. States and local government recipients and sub-grantees 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, medical services/public health, elected officials, the private sector (especially privately owned critical infrastructure), private non-profits, non-governmental organizations (including faith-based and community-based organizations), and advocacy groups for special needs populations. Representatives from existing Citizen Corps programs, to include Volunteers in Police Service (VIPS), Medical Reserve Corps (MRC), Community Emergency Response Team (CERT), Neighborhood Watch/USAonWatch, Fire Corps, and Affiliates should also be included on these Citizen Corps Councils. Furthermore, Citizen Corps Councils should include a representative from the Metropolitan Medical Response System (MMRS) where one exists.

Senior Advisory Committees (SACs) and Urban Area Working Groups (UAWGs) may serve as Citizen Corps Councils if the appropriate representatives are members, to include the State/UASI Citizen Corps Program Manager(s) and non-governmental 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 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 Investment Justifications), and evaluations must be reviewed by the body serving as the State Citizen Corps Council and must include considerations for government/non-governmental collaboration, and community preparedness and participation, including citizen involvement in preparedness and response. Non-governmental representatives are expected to evaluate most closely the functional areas of warnings, emergency public information, evacuation, mass care, resource management from non-governmental sources, unaffiliated volunteer and donations management, and non-governmental resource integration (goods and personnel) to support each Emergency Support Function in the EOP.

2. Reporting requirements. 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.

B. Authorized Program Expenditures.

This section provides guidance on the types of expenditures that are allowable under the CCP. Please refer to Appendix B for a summary of authorized CCP expenditures.

1. Planning Activities.

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

The community preparedness section(s) of State homeland security strategies, policies, guidance, plans (including EOPs, the State Preparedness Report, and Investment Justifications), and evaluations must be reviewed by the body serving as the State Citizen Corps Council and must include considerations for citizen preparedness and volunteer participation.

1.1 -- Public education/outreach.
Citizen Corps Councils may develop or reproduce public education and outreach materials to: increase citizen preparedness (to include the DHS Ready Campaign materials); promote training, exercise, and volunteer opportunities; and inform the public about emergency plans, evacuation routes, shelter locations, and systems for public alerts/warnings. Public education and outreach materials should incorporate special needs considerations, to include language, content, and method of communication.

Allowable expenditures include:

- Media campaigns: PSAs, camera-ready materials, website support, newsletters
- Outreach activities and public events: booth displays; event backdrops or signs; displays and demonstrations; and informational materials such as brochures/flyers
- Promotional materials: pins, patches, magnets, clothing/headwear. Expenditures for promotional items must not exceed 15 percent of the total Citizen Corps Program allocation.

All materials must include the national or jurisdiction’s Citizen Corps logo, tagline and website or the Ready logo, tagline, and website and comply with logo standards. For more information go to https://www.citizencorps.gov/pdf/logo_guide.pdf

1.2 -- Citizen participation - Volunteer programs and disaster response support.
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, enhance or expand volunteer programs and volunteer recruitment efforts for Neighborhood Watch/USAonWatch, Community Emergency Response Teams (CERT), Volunteers in Police Service (VIPS), Medical Reserve Corps (MRC), and Fire Corps; for the Citizen Corps Affiliate Programs and Organizations; and for jurisdiction specific volunteer efforts. Examples include:

- Recruiting, screening, and training volunteers (e.g., background checks)
- Retaining, recognizing, and motivating volunteers
- Purchasing, maintaining, or subscribing to a system to track volunteers (in compliance with applicable privacy laws), to include identification and credentialing systems, and to track volunteer hours
2. Organizational Activities.

Organization activities supported with CCP funding are limited to 25 percent of the grantee's CCP funding.

3. Equipment Activities.

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 [http://www.rkb.us](http://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 not intended for equipment to be used by uniformed emergency responders, except to support training for citizens. Examples of equipment used to support training for citizens includes such items as burn pans or sample volunteer response 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 are those items that volunteers are required to wear when engaging in public safety activities (e.g., t-shirts for CERT members, baseball caps for Neighborhood Watch/USAonWatch Program foot patrol members).

4. Training Activities.

Training funded with these grants can include 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.

Funding for CERT training includes the delivery of the CERT basic training to volunteers, supplemental training for CERT members who have completed the basic training, and the CERT Train-the-Trainer training. The training must include the topics, be instructor-led and 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 delivery of basic training consistent with the 20-hour CERT curriculum. 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.
Training 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. Jurisdictions are also encouraged to incorporate non-traditional methodologies such as the Internet, distance learning, home study, and to leverage existing training provided via educational/professional facilities. 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 2008 Citizen Corps Program funding.

5. Exercise Activities.

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, or national level, to include the Top Officials Exercise (TOPOFF).


Hiring, overtime, and backfill expenses are allowable only to perform programmatic activities allowable under existing guidance. Supplanting, however, is not allowed. There is no percentage cap for CCP.

7. Construction and Renovation Activities.

Construction and renovation is not allowed under CCP.
APPENDIX A.

METROPOLITAN STATISTICAL AREAS (MSAs) QUERIED FOR UASI RISK METHODOLOGY DETERMINATIONS

Pursuant to changes required by the 9/11 Act, eligible FY 2008 UASI candidates were determined based on an analysis of relative risk of the 100 most populous Metropolitan Statistical Areas (MSAs), as defined by the U.S. Office of Management and Budget. MSAs are used by DHS to determine eligibility for participation in the program. Page Nine shows a table of Urban Areas selected for possible FY 2008 funding. The following table lists the MSAs queried as part of the overall risk methodology. 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/estimates/metrodef.html.

Geographical areas queried do not equate to minimum mandated membership representation of an Urban Area, nor does this guarantee funding for geographical areas queried. MSA jurisdictions queried in the risk methodology, who are not current members of the UASI’s Urban Area Working Group (UAWG), are strongly encouraged to coordinate and participate with the UAWG. Likewise, UAWG’s are strongly encouraged to regularly coordinate and include those MSAs for participation and funding who have not historically been members of the UASI.
### Metropolitan Statistical Areas Queried for UASI Determinations

#### FY 2008 Tier I Urban Areas

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<thead>
<tr>
<th>7 Urban Areas</th>
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#### FY 2008 Tier II Urban Areas

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<th>53 Urban Areas</th>
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*Alphabetical placement does not equate to funding allocation.*
# Appendix B. Authorized Allowable Costs

## FY 2008 Allowable Cost Matrix

<table>
<thead>
<tr>
<th>Allowable Program Activities</th>
<th>FEMA</th>
<th>HSGP</th>
<th>SHSP</th>
<th>UASI</th>
<th>MMRS</th>
<th>CCP</th>
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<tr>
<td><strong>Allowable Planning Costs</strong></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Public education &amp; outreach</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
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<td></td>
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<tr>
<td>Develop and implement homeland security support programs and adopt ongoing DHS National Initiatives, including State Preparedness Reports</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
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<tr>
<td>Develop and enhance plans and protocols</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
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<td></td>
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<tr>
<td>Develop or conduct assessments</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
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<tr>
<td>Establish, enhance, or evaluate Citizen Corps related volunteer programs</td>
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<td>Y</td>
<td>Y</td>
<td>Y</td>
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<td></td>
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<tr>
<td>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)</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
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<tr>
<td>Conferences to facilitate planning activities</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
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<td></td>
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<tr>
<td>Materials required to conduct planning activities</td>
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<td>Y</td>
<td>Y</td>
<td>Y</td>
<td></td>
<td></td>
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<tr>
<td>Travel/per diem related to planning activities</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td></td>
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<tr>
<td>Overtime and backfill costs (IAW operational Cost Guidance)</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
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<tr>
<td>Other project areas with prior approval from FEMA</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
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<td><strong>Allowable Organizational Activities</strong></td>
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<tr>
<td>Overtime for information, investigative, and intelligence sharing activities (up to 25 percent of the allocation)</td>
<td>Y</td>
<td>Y</td>
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<tr>
<td>Reimbursement for select operational expenses associated with increased security measures at critical infrastructure sites incurred during periods of DHS-declared alert (up to 25 percent of the allocation)</td>
<td>Y</td>
<td>Y</td>
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<tr>
<td>Hiring of full- or part-time staff or contractors for emergency management activities</td>
<td>Y</td>
<td>Y</td>
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<td>Hiring of new staff positions/contractors/consultants for participation in information/intelligence analysis and sharing groups or fusion center activities (up to 25 percent of the allocation)</td>
<td>Y</td>
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<td><strong>Allowable Equipment Categories</strong></td>
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<tr>
<td>Personal Protective Equipment</td>
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<td>Explosive Device Mitigation and Remediation Equipment</td>
<td>Y</td>
<td>Y</td>
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<tr>
<td>CBRNE Operational Search and Rescue Equipment</td>
<td>Y</td>
<td>Y</td>
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<td>Information Technology</td>
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<td>Cyber Security Enhancement Equipment</td>
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<td>Interoperable Communications Equipment</td>
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<td>Detection</td>
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*As of Publication
### Allowable Program Activities

**Current as of FY 2008 Programs**

See the respective program guidance for additional details and/or requirements

*As of Publication

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<tr>
<th>Allowable Program Activities</th>
<th>FEMA</th>
<th>HSGP</th>
<th>SHSP</th>
<th>UASI</th>
<th>MMRS</th>
<th>CCP</th>
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<td>CBRNE Incident Response Vehicles</td>
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<td>Terrorism Incident Prevention Equipment</td>
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<td>CBRNE Prevention and Response Watercraft</td>
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<td>CBRNE Aviation Equipment</td>
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<td>CBRNE Logistical Support Equipment</td>
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### Allowable Training Costs

- Overtime and backfill for emergency preparedness and response personnel attending FEMA-sponsored and approved training classes
- Overtime and backfill expenses for part-time and volunteer emergency response personnel participating in FEMA training
- Training workshops and conferences
- Full- or part-time staff or contractors/consultants
- Travel
- Supplies
- Tuition for higher education
- Other items

### Allowable Exercise Related Costs

- Design, Develop, Conduct and Evaluate an Exercise
- Exercise planning workshop
- Full- or part-time staff or contractors/consultants
- Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in FEMA exercises
- Implementation of HSEEP
- Travel
- Supplies
- Other items

### Allowable Management & Administrative Costs

- Hiring of full- or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, compliance with reporting and data collection requirements

*Y = Allowable
<table>
<thead>
<tr>
<th>Allowable Program Activities</th>
<th>FEMA</th>
<th>HSGP</th>
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<tbody>
<tr>
<td>Development of operating plans for information collection and</td>
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<td>processing necessary to respond to FEMA data calls</td>
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<td>Travel</td>
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<td>Meeting related expenses</td>
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<td>Authorized office equipment</td>
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<td>Recurring expenses such as those associated with cell phones</td>
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<tr>
<td>and faxes during the period of performance of the grant program</td>
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<tr>
<td>Leasing or renting of space for newly hired personnel during</td>
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<tr>
<td>the period of performance of the grant program</td>
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*As of Publication

See the respective program guidance for additional details and/or requirements.
APPENDIX C.
HSGP ALLOWABLE EXPENSES: ADDITIONAL INFORMATION

A. Overview.

The following provides guidance on allowable costs within Planning, Training, and Exercise activities. *Planning, Training, and Exercise activity examples specific towards law enforcement terrorism prevention and protection are identified beginning on page C-11.*

1. Planning Activities Information.

The FY 2008 HSGP Guidance and Application Kit defines four broad categories of allowable planning costs. Following are examples for each of the categories.

- Developing scenario plans that incorporate the range of prevention, protection, response, and recovery activities for a scenario

- Developing and implementing homeland security support programs and adopting DHS national initiatives including but not limited to the following:
  - Implementing the National Preparedness Guidelines
  - 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
  - Conducting public education and outreach campaigns, including promoting individual, family and business emergency preparedness; alerts and warnings education; and evacuation plans as well as IED or bombing prevention awareness
  - Preparing materials for the State Preparedness Report (SPR)

- Developing related terrorism prevention activities including:
  - Developing law enforcement prevention activities, to include establishing and/or enhancing a fusion center
  - Hiring an IT specialist to plan, develop, and implement the IT applications necessary for a fusion center
- Developing and planning for information/intelligence sharing groups
- Hiring contractors and consultants to make recommendations on the development of a fusion center
- Integrating and coordinating private sector participation with fusion center activities
- Acquiring systems allowing connectivity to State, local, and Federal data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate
- Planning to enhance security during heightened alerts, during terrorist incidents, and/or during mitigation and recovery
- Multi-discipline preparation across first responder community, including EMS for response to catastrophic events and acts of terrorism
- Public information/education: printed and electronic materials, public service announcements, seminars/town hall meetings, web postings coordinated through local Citizen Corps Councils
- Citizen Corps volunteer programs and other activities to strengthen citizen participation
- 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
- Evaluating CIP security equipment and/or personnel requirements to protect and secure sites
- CIP cost assessments, including resources (e.g., financial, personnel) required for security enhancements/deployments
- Multi-Jurisdiction Bombing Prevention Plans (MJBPP)\(^5\)
- Underwater Terrorist Protection Plans

• Developing and enhancing plans and protocols, including but not limited to:

- Developing or enhancing EOPs and operating procedures
- Developing terrorism prevention/deterrence plans
- Developing plans, procedures, and requirements for the management of infrastructure and resources related to HSGP and implementation of State or Urban Area Homeland Security Strategies
- Developing or enhancing border security plans
- Developing or enhancing cyber security plans
- Developing or enhancing cyber risk mitigation plans
- Developing or enhancing agriculture/food security risk mitigation, response, and recovery plans

\(^5\) The SAA should examine current bombing prevention and explosive device response capabilities as an import risk reduction activity. An explosive devise 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.
Developing public/private sector partnership emergency response, assessment, and resource sharing plans
- Developing or enhancing plans to engage and interface with, and to increase the capacity of, private sector/non-governmental entities working to meet the human service response and recovery needs of victims
- Developing or updating local or regional communications plans
- Developing plans to support and assist special needs jurisdictions, such as port authorities and rail and mass transit agencies
- Developing or enhancing continuity of operations and continuity of government plans
- Developing or enhancing existing catastrophic incident response and recovery plans to include and integrate Federal assets provided under the NRF
- Developing or enhancing evacuation plans
- Developing or enhancing citizen surge capacity
- Developing or enhancing plans for donations and volunteer management and the engagement/integration of private sector/non-governmental entities in preparedness, response, and recovery activities
- Developing or enhancing Bombing Prevention Plans
- Developing school preparedness plans
- Ensuring jurisdiction EOPs adequately address warnings, emergency public information, evacuation, 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
- Developing and implementing civil rights, civil liberties and privacy policies, procedures, and protocols
- Designing and developing State and local geospatial data systems

- Developing or conducting assessments, including but not limited to:
  - Conducting point vulnerability assessments at critical infrastructure sites/key assets and develop remediation/security plans
  - Developing border security operations plans in coordination with CBP
  - Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
  - Updating and refining threat matrices
  - Conducting cyber risk and vulnerability assessments
  - Conducting assessments and exercising existing catastrophic incident response and recovery plans and capabilities to identify critical gaps that cannot be met by existing local and State resources
  - Conducting Bombing Prevention Capability Analysis
  - Activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs across disciplines
A. Training Information and Requirements.

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 TPOC with the reporting of State and Federal sponsored training information. 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 Demonstration 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 Training Point of Contact (TPOC), and fall within the FEMA mission scope to prepare State and local 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/odp_webforms.

- **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

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

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 Cooperative Training Outreach Program (CO-OP) or the Excess Delivery Acquisition Program (EDAP).

The FEMA CO-OP has been reworked and renamed as the Voluntary Training Enhancement Program (VTEP). 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.

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.

b. 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 and local 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 and local 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 2006 version of the TCL, available through LLIS
• Support the specific program training activities identified in the individual HSGP grant programs (SHSP, UASI, 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.

**c. 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 available at http://www.firstrespondertraining.gov/admin.

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 annual Training and Exercise Plan Workshop to identify 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 in Appendix C.

3. Allowable Training Costs.

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

- **Funds used to develop, deliver, and evaluate training**, including costs related to administrating the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment.

- **Overtime and Backfill** costs, as defined in this guidance, associated with attending or teaching FEMA-sponsored and/or approved training courses and programs are allowed. 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 both their unit or agency of government AND from an award for a single period of time.
(e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Further, overtime costs associated with employees who participate in training in a teaching role for which they are compensated are not allowed. Fringe benefits on overtime hours are limited to Federal Insurance Contributions Act (FICA), Workers’ Compensation and Unemployment Compensation.

- **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** to support training-related activities. Payment of salaries and fringe benefits 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** is an allowable cost. 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 an information bulletin issued in October 2006.

C. **Exercise Requirements.**

1. **Training and Exercise Plan Workshop.** States and Urban Areas are required to conduct an annual Training and Exercise Plan Workshop (T&EPW). A Multi-year Training and Exercise Plan must be produced from the T&EPW and submitted to the State’s respective Exercise Manager and Preparedness Officer. This plan must be updated annually.

The Training and Exercise Plan will include the State’s training and exercise priorities, associated capabilities, and a multi-year training and exercise schedule. The schedule must be submitted within 60 days of the workshop and should reflect all exercises that are being conducted throughout the State. All scheduled exercises must be entered through the National Exercise Schedule (NEXS) Application, which is located on the HSEEP website. A template of the Multi-year Training and Exercise Plan can be found in HSEEP Volume IV.

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.
Further guidance concerning Training and Exercise Plan Workshops can be found in the HSEEP Volumes.

2. Exercise Scenarios. The scenarios used in HSGP-funded exercises must be based on the State’s/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. Models, Simulations and Games (MS&G). Grantees who wish to expend funds on models, simulations, or games (MS&G) must consult with “Review of Models, Simulations, and Games for Domestic Preparedness Training and Exercising, Volume III,” which provides an overview and analysis of existing models, simulations, and games. Grantees can also consult with the MS&G Decision Support System, which automates the aforementioned report into a searchable database. Both the report and system are available through the HSEEP website.

4. Special Event Planning. If a State or Urban Area will be hosting an upcoming special event (e.g., Super Bowl, G-8 Summit); they anticipate participating in a Tier 2 National-Level Exercise as defined by the National Exercise Program Implementation Plan (NEP I-Plan); or they anticipate that they will apply to be a venue for a Tier 1 National-Level Exercise, as defined by the I-Plan, they should plan to use SHSP or UASI funding to finance training and exercise activities in preparation for that event. 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.

5. Exercise Evaluation. All exercises will be performance-based and evaluated. An After-Action Report/Improvement Plan (AAR/IP) will be prepared and submitted to FEMA within 60 days, following every 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 Exercise Evaluation Guides (EEGs) found in HSEEP Volume IV. All applicants are encouraged to use the Lessons Learned Information Sharing System (LLIS.gov) as a source for lessons learned and to exchange best practices.
6. 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.

7. 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 and local 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).

D. 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.
- **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** – Overtime and backfill costs associated with 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 (see above).** Fringe benefits on overtime hours are limited to FICA, Workers’ Compensation and Unemployment Compensation.
- **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).
- **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 space/locations for exercise planning and conduct, rental of equipment (e.g., portable toilets, tents), food, refreshments, gasoline, exercise signs, badges, etc.
E. 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).

F. Allowable Planning, Training, and Exercise Examples Specific to Law Enforcement Terrorism Prevention-oriented Activities

**Planning Activity Examples**

*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 the fusion center

*Other Allowable Planning Activity Examples*
- Conducting point vulnerability analyses and assessments
- Soft target security planning (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, 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**
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 Preparedness Officers upon request upon the hiring of personnel.

**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,
• Use of interoperable communications equipment
• Collection, analysis, mapping, integration, and dissemination of geospatial data and imagery
• Geospatial database use, design, development, and management training
• Volunteer participation to support law enforcement and community policing activities related to increased citizen awareness of terrorism activities, to include the Volunteers in Police Service and Neighborhood Watch programs

**Exercise Activity Examples**

Law enforcement terrorism prevention 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.
APPENDIX D.
INVESTMENT JUSTIFICATION

A. Investment Justification Overview.

As part of the FY 2008 HSGP application process, applicants must develop a formal Investment Justification that addresses each initiative being proposed for funding. These Investment Justifications must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities. The Investment Justification must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Applicants must ensure that the Investment Justification is consistent with all applicable requirements outlined in this application kit.

For new Urban Areas, Investment Justification technical assistance is available; please consult your SAA for requesting assistance services from FEMA.

Applicants may propose up to 15 investments within their Investment Justification, including multi-applicant Investments that support regional initiatives. 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 2008 HSGP submission; the web-based Investment Justification submission module will be available on March 1, 2008 in the GRT. In the meantime, applicants may use the standalone, Word-based Investment Planning Worksheet (or Multi-Applicant Planning Worksheet for multi-applicant Investments); the Worksheet is available at http://www.fema.gov/grants along with the overall FY 2008 HSGP guidance materials. Again, however, 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 2008 HSGP submission.

Specific instructions for submitting Investments are included in the following Appendix, FY 2008 HSGP Application Requirements, as well as in the FY 2008 HSGP Investment Justification Reference Guide.

B. 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 Investments 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.

C. Investment Justification Questions and Scoring Criteria.
HSGP applicants must provide information in the following categories for each proposed Investment.

### Investment Justification Outline

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<thead>
<tr>
<th>Question</th>
<th>Scoring Criteria</th>
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<tbody>
<tr>
<td><strong>OVERALL</strong></td>
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<tr>
<td><strong>Overall Investment Justification Question:</strong></td>
<td>The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</td>
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<tr>
<td>Describe your understanding of the spectrum of terrorism and natural hazard risks your State/Territory/Urban Area faces. Explain how this understanding influenced development of this Investment Justification.</td>
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<td>States applying for HSGP funding must also include a description of how they plan to allocate the grant funds to local units of government within 45 days of award.</td>
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<td><strong>Management &amp; Administrative Costs:</strong></td>
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<td>Provide a brief overall summary of planned management and administrative (M&amp;A) expenditures that support the implementation of the Investments proposed in this Investment Justification.</td>
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<td><strong>BASELINE</strong></td>
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<td><strong>Investment Heading:</strong></td>
<td>The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</td>
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<td>• State/Territory name</td>
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<td>• Urban Area name (if applicable)</td>
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<td>• Investment name</td>
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<td>• Total FY 2008 HSGP funding requested</td>
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<td>• Investment Phase – Ongoing or New</td>
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<td>• Multi-Applicant Investment – Yes or No</td>
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<td><strong>I.A. Baseline – Previous Request Name and Funding:</strong> If the Investment was included in a previous HSGP request, please provide the name of the Investment and the total amount of HSGP funding that was dedicated to this Investment, if any.</td>
<td>The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</td>
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<td><strong>I.B. – Baseline – Purpose Statement:</strong> Describe, at a high-level, what activities will be implemented and what will be accomplished by this Investment.</td>
<td>The information provided will be scored in terms of its contribution to setting context and relationship to other questions.</td>
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<td><strong>I.C. Baseline – Description:</strong> Provide a summary description of the current state of this Investment, its objectives, and any outcomes that will be completed prior to the application of FY 2008 HSGP funds. Include in this description whether this is a new Investment or an Investment in maintenance/sustainment. Describe the capability gap(s) that this Investment is intended to address.</td>
<td>The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</td>
</tr>
<tr>
<td><strong>STRATEGY (15%)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>II.A. Strategy – State Preparedness Report:</strong> Explain how this Investment supports Initiatives in the State Preparedness Report. Please reference relevant page numbers in the State Preparedness Report.</td>
<td>• Response provides linkage between the Investment and Initiative from the State Preparedness Report • Response demonstrates how the Investment will contribute to reaching State Preparedness Report targets</td>
</tr>
<tr>
<td><strong>II.B. Strategy – Homeland Security Strategy goals and objectives:</strong> Explain how this Investment supports the State/Territory/Urban Area Homeland Security Strategy goals and objectives. Please reference relevant goal and objective numbers in the State/Territory/Urban Area Homeland Security Strategy.</td>
<td>• Response provides linkage between the Investment and Homeland Security Strategy goals and objectives • Response demonstrates how the Investment will support the Homeland Security Strategy goals and objectives</td>
</tr>
<tr>
<td><strong>II.C. Strategy – Target Capabilities:</strong> From the drop-down boxes, select one primary and up to four secondary Target Capabilities that this Investment supports. For the primary Target Capability selected, provide an explanation of how it is supported by this Investment.</td>
<td>• Explanation provides linkage between the Investment and primary Target Capability • Explanation demonstrates how the Investment will support the primary Target Capability</td>
</tr>
<tr>
<td><strong>II.D. Strategy – National Priorities:</strong> From the drop-down boxes, select the National Priority(ies) that this Investment supports; up to four may be selected.</td>
<td>The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</td>
</tr>
<tr>
<td><strong>FUNDING PLAN (10%)</strong></td>
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</tbody>
</table>
### III.A. Funding Plan:
Provide the total estimated cost for the FY 2008 HSGP period of performance for this Investment by completing the following table:

- For each solution area that has an associated FY 2008 HSGP funds request, provide a brief summary of the planned expenditures (including personnel)
- If this Investment uses other funding sources, identify the funding source and provide a brief summary of how those funds will be applied

### Scoring Criteria:
- Explanation references appropriate activities, services, or products for the solution area
- Explanation describes how the requested HSGP funds will be used specifically towards this Investment

### MILESTONES (10%)

#### III.B. Milestones:
Provide descriptions for up to 10 milestones and the associated key activities that lead to the milestone event over the FY08 HSGP period of performance. Start dates should reflect the start of the associated key activities and end dates should reflect when the milestone event will occur. Sustainment Investments must identify at least one milestone to describe maintenance and sustainment activities associated with the Investment.

- Each response provides a clear description of the milestone, its associated activity, and start and end dates
- Milestones collectively present a clear sequence of events that will allow the Investment to reach its objectives for this period of performance

### PROJECT MANAGEMENT (25%)

#### III.C. Project Management:
Describe the management team roles and responsibilities, governance structures, and subject matter expertise specifically required for this Investment.

- Response describes, at a high-level, the roles and responsibilities of the management team, governance structures, and subject matter expertise required to manage the Investment
- If the management team is the same as in other Investments, the response explains why this is appropriate

### INVESTMENT CHALLENGES (5%)

#### III.D. Investment Challenges:
List and describe up to three potential challenges to effective implementation of this Investment over the entire FY 2008 HSGP period of performance. For each identified challenge, provide a brief description of how the challenge will be mitigated, and indicate a probability of occurrence (high, medium, low), and level of impact should it occur (high, medium, low). Response identifies the following:

- Investment challenge(s)
- Mitigation strategy for each challenge listed
- Probability of occurrence
- Level of impact should the challenge occur

### IMPACT (35%)
<table>
<thead>
<tr>
<th>Question</th>
<th>Scoring Criteria</th>
</tr>
</thead>
</table>
| **IV.A. Impact**: What outputs and outcomes will indicate that this Investment is successful at the end of the FY 2008 HSGP period of performance? | • Response identifies specific measurable outputs  
  • Response identifies specific outcomes that will demonstrate the Investment’s impact on the applicant’s preparedness environment  
  • Response describes how the outcomes will mitigate risks outlined in the Overall Investment Justification Question |
| **IV.B. Sustainability**: What is the long-term approach to sustaining the capabilities created or enhanced by this Investment, or explain why this Investment will not be sustained? | • Response describes how the capabilities created or enhanced by this Investment will be maintained/sustained long term, or  
  • Response describes why the Investment will not be maintained/sustained long term |
<table>
<thead>
<tr>
<th>Question</th>
<th>Scoring Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>MULTI-APPLICANT INVESTMENT JUSTIFICATIONS (if applicable)</strong></td>
<td></td>
</tr>
<tr>
<td>• Are the capability gaps described in the Baseline response relevant to each other? Does the description indicate that multi-applicant collaboration is needed to effectively close the capability gaps?</td>
<td>• The degree to which the multi-applicant submission demonstrated collaboration between partners</td>
</tr>
<tr>
<td>• Are the Investments' Strategy responses consistent? Are the Investments supporting similar Initiatives in the State Preparedness Reports? Are the Investments supporting similar State Homeland Security Strategy goals and objectives? Are the Investments supporting related Target Capabilities and National Priorities?</td>
<td>• The overall merit of the multi-applicant submission as a collective project that could not be accomplished by a single State or Urban Area.</td>
</tr>
<tr>
<td>• In the Funding Plan, is the amount of funds requested by each State/Urban Area consistent with the overall vision of the multi-applicant submission? Do the solution areas described address the same multi-applicant solution?</td>
<td></td>
</tr>
<tr>
<td>• Do the Milestones in each Investment include milestones and associated activities that are conducted across States/Urban Areas? Do the milestones across the multi-applicant Investments align?</td>
<td></td>
</tr>
<tr>
<td>• Does the Project Management plan consistently reference partner States/Urban Areas? Does the plan describe how the partners will be organized, and indicate who will have decision authority?</td>
<td></td>
</tr>
<tr>
<td>• Do the Investment Challenges include challenges posed by coordinating across States/Urban Areas and their mitigation strategies?</td>
<td></td>
</tr>
<tr>
<td>• Does the Impact response describe multi-applicant outputs, outcomes, and measures?</td>
<td></td>
</tr>
<tr>
<td>• Does the Sustainability response include a strategy for continuing multi-applicant collaboration?</td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX E.

FY 2008 HSGP APPLICATION REQUIREMENTS

A. Eligible Applicants and Role of State Administrative Agencies.

The Governor of each State and Territory is required to designate a State Administrative Agency (SAA) to apply for and administer the funds awarded under HSGP. The SAA is the only entity eligible to formally apply for HSGP funds. Applicants must accomplish two processes for final submittal this year:

1. The Department’s Grants Reporting Tool (GRT) – https://www.reporting.odp.dhs.gov
   

Grantees must first complete their Investment Justifications in the GRT. After the Investment Justification application has been completed and ‘submitted’ in the GRT, grantees thereafter must apply through Grants.gov. The Grants.gov application must be received no later than 11:59 PM EDT, May 1, 2008. Please allow enough time on (or no later than) May 1, 2008 to (a) complete the Investment Justification in the GRT first and then thereafter (b) upload the required application materials (listed below) into http://www.grants.gov.

B. Grant Application Support from FEMA.

During the application period FEMA will identify multiple opportunities for a cooperative dialogue between the Department and applicants through such processes as the mid-term review. This commitment is intended to ensure a common understanding of the funding priorities and administrative requirements associated with the FY 2008 HSGP, and to help in submission of projects that will have the highest impact on reducing risks.

C. Application Requirements

1. GRT

   The following steps must be completed first and foremost using the GRT.

   The FY 2008 Investment Justification (IJ) for the Homeland Security Grant Program (HSGP) will be web-based. The SAA will submit State and Urban Area Investment Justifications through FEMA’s GRT. In order to complete and submit this Investment Justification, applicants should direct their web browser to https://www.reporting.odp.dhs.gov/

   On March 1, 2008, users will be directed to log into the GRT to begin their completion of the online Investment Justification. In order to begin, State and local users must have active GRT accounts and permission from their “SAA Admin” (as identified in the GRT) to edit and submit the online Investment
Justification. SAA Admin users are asked to grant permissions to all state and local users that need applicable access to the IJ Submission module. If you are an SAA responsible for the completion and submission of your Investment Justification and do not have a GRT account, please contact your Preparedness Officer. Once access has been granted, users may enter the IJ Submission module, via the GRT, and complete their online Investment Justification. Once finished, State and local users can mark their Investments ‘complete’ and notify their SAA Admin of their Investment status; the SAA Admin is then required to make the final submission to FEMA.

The purpose of this module is to provide users the ability to complete and submit their FY 2008 Investment Justification online and without the use of an excel template. A word worksheet has been provided to users so that they may begin completing their Investments prior to inputting the data into GRT. Users can create up to 15 Investments and will have the opportunity to designate one or more of those Investments as a Multi-Applicant Investment (based on a submitting partner). Upon completion of all Investments, SAA Admin users may submit their final online Investment Justification to FEMA. To complete the submission process, an official copy of the final Investment Justification must be submitted through Grants.gov. This official copy will be available through the GRT. More information on this process will be available with additional documentation on March 1, 2008.

A GRT IJ Submission technical user’s guide will be available to all users on March 1, 2008. For programmatic questions, please refer to the programmatic reference guide or speak to your Preparedness Officer.

2. Grants.gov

The following steps must be completed using the on-line grants.gov system to ensure a successful application submission, however applicants should review the relevant program-specific sections of this Guidance for additional requirements that may apply.

3. Application via grants.gov. FEMA participates in the Administration’s e-government initiative. As part of that initiative, all applicants must file their applications using the Administration’s common electronic “storefront” -- grants.gov. Eligible SAAs must apply for funding through this portal, accessible on the Internet at http://www.grants.gov.


5. Valid Central Contractor Registry (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](http://www.ccr.gov), as well as apply for funding through [grants.gov](http://grants.gov).

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

- Investment Justification Report from the Grants Reporting Tool (see Section 1 above for more information)
- Standard Form 424, Application for Federal Assistance
- Standard Form 424B Assurances
- Standard Form LLL, Disclosure of Lobbying Activities
- Standard Form 424A, Budget Information
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters
- For grantees with UASIs: an overview of the UAWG structure and a list of members and their associated jurisdictions
- Any additional Required Attachments

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is “Homeland Security Grant Program.” The CFDA number is **97.067**. When completing the on-line application, applicants should identify their submissions as new, non-construction applications.

7. **Award Period of Performance.** The period of performance is 36 months. 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.

8. **DUNS number.** The applicant must provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number with their application. This number is a required field within [grants.gov](http://grants.gov) and for CCR Registration. 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 (800) 333-0505.

9. **State Preparedness Report.** PKEMRA requires any State that receives Federal preparedness assistance to submit a State Preparedness Report to DHS. For FY 2008, the State Preparedness Report consolidates existing requirements into a single submission, including updates to the Nationwide Plans Review (NPR) Phase 1; development of the Program Evaluation Report, as required in FY 2007 HSGP; and updates to the State Program and Capability Enhancement Plan.

State Preparedness Reports must be submitted to DHS by March 31, 2008. **Receipt is a prerequisite for applicants to receive any FY 2008 DHS**
preparedness grant funding. Although State Preparedness Reports will not be scored through the peer review process, they will be reviewed by panels to provide context.

State Preparedness Reports will be marked and handled as “For Official Use Only” due to the sensitive nature of the information contained in them. DHS has established a secure internet portal at https://odp.esportals.com/ to receive and manage all State Preparedness Reports in order to safeguard them and any information identifying potential shortcomings.

10. Single Point of Contact (SPOC) 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 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.

11. Standard financial requirements.

11.1 -- Non-supplanting certification. This certification affirms that 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.

11.2 -- Assurances. Assurances forms (SF-424B and SF-424D) can be accessed at http://www07.grants.gov/agencies/approved_standard_forms.jsp. It is the responsibility of the recipient of the Federal funds to understand fully and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.

11.3 -- Certifications regarding lobbying, debarment, suspension, other responsibility matters and the drug-free workplace requirement. This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 44 CFR part 17, Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants); 44 CFR part 18, New Restrictions on Lobbying. All of these can be referenced at http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html http://www.access.gpo.gov/nara/cfr/waisidx_00/44cfrv1_00.html

Having met all application requirements, applications will be evaluated through the peer review process for completeness, adherence to programmatic guidelines, feasibility,
and how well the proposed Investment addresses the identified need(s) or capability shortfall(s). The Investment Justification requires narrative on strategic alignment, funding plan, milestones, project management, potential challenges, impact, and sustainability for each proposal. This information will be used to evaluate the anticipated effectiveness of all proposed Investments. Investment Justification questions and scoring criteria are included in Appendix D.

12. Technology requirements.

12.1 -- 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 HSGP awards. Further information about the required use of NIEM specifications and guidelines is available at http://www.niem.gov.

12.2 -- 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.

12.3 -- 28 C.F.R. Part 23 guidance. FEMA requires that any information technology system funded or supported by HSGP funds comply with 28 C.F.R. Part 23, Criminal Intelligence Systems Operating Policies, if this regulation is determined to be applicable.

13. Administrative requirements.

13.1 -- 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 applicant may also consult FEMA regarding concerns or questions about the release of information under State and local laws. 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.
13.2 -- Protected Critical Infrastructure Information (PCII). The PCII Program, established pursuant to the Critical Infrastructure Information Act of 2002 (CII Act), created a new framework, which enables State and local jurisdictions and members of the private sector voluntarily to submit sensitive information regarding critical infrastructure to DHS. The Act also provides statutory protection for voluntarily shared CII from public disclosure and civil litigation. If validated as PCII, these documents can only be shared with authorized users who agree to safeguard the information.

PCII accreditation is formal recognition that the covered government entity has the capacity and capability to receive and store PCII. DHS encourages all SAAs to pursue PCII accreditation to cover their state government and attending local government agencies. Accreditation activities include signing an MOA with DHS, appointing a PCII Officer, and implementing a self-inspection program. For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at pcii-info@dhs.gov.

13.3 -- 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.** – no person on the grounds of race, color or national origin will 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. More information can be found at http://usinfo.state.gov/usa/infousa/laws/majorlaw/civilr19.htm.

- **Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794** – no qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance. More information can be found at http://www.section508.gov/index.cfm?FuseAction=Content&ID=15.


- **The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq.** – no person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of or subjected 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.

13.4 -- 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.

13.5 -- 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 from FEMA. In addition, Executive Order #13347, entitled "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, among other things, encourage consideration of the needs of individuals with disabilities served by State, local, and tribal 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:

- **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](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 shop 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 local, state, and federal levels. To access the resource page, log onto [http://www.LLIS.gov](http://www.LLIS.gov) and click on **Emergency Planning for Persons with Disabilities and Special Needs** under **Featured Topics**. If you meet the eligibility requirements for accessing Lessons Learned Information Sharing, you can request membership by registering online.

**13.6 -- Compliance with the National Energy Conservation Policy and Energy Policy Acts.** In accordance with the FY 2008 DHS Appropriations Act, all FY 2008 grant funds must comply with the following two requirements:

• None of the funds made available through shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order No. 13123, part 3 of title V of the National Energy Conservation Policy Act (42 USC 8251 et. Seq.), or subtitle A of title I of the Energy Policy Act of 2005 (including the amendments made thereby).

• None of the funds made available shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC13212).

**13.7 -- Environmental and Historic Preservation Compliance.** FEMA is required to consider the potential impacts to the human and natural environment of projects proposed for FEMA funding. FEMA, through its Environmental 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, 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 children and low-income and minority populations.

The grantee shall provide any information requested by FEMA to ensure compliance with applicable Federal EHP requirements. Any project with the potential to impact EHP resources (see Section E.8) cannot be initiated until FEMA has completed its review. Grantees may be required to provide detailed information about the project, including the following: location (street address or map coordinates); description of the project including any associated ground disturbance work, extent of modification of existing structures, construction equipment to be used, staging areas, access roads, etc.; year the existing facility was built; natural, biological, and/or cultural resources present in the project vicinity; visual documentation such as site and facility photographs, project plans, maps, etc; and possible project alternatives.

For certain types of projects, 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 protecting natural and cultural resources. For projects with the potential to have significant adverse effects on the environment and/or historic properties, FEMA’s EHP review 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.

Because of the potential for significant 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 HSGP funds toward the costs of preparing such documents and/or implementing treatment or mitigation measures. Failure of the grantee to meet Federal, State, and local EHP requirements, obtain applicable 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.

For more information on FEMA’s EHP requirements, SAAs should refer to FEMA’s Information Bulletin #271, Environmental Planning and Historic Preservation Requirements for Grants.
Prior to the transition to FEMA, the former Office of Grants and Training preparedness programs followed The Department of Justice’s codified regulations, 28 CFR and the OGO Financial Management Guide. The former Office of Grants and Training is now within FEMA and all preparedness programs will follow FEMA’s codified regulations, 44 CFR.

A. Grant Award and Obligation of Funds.

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the “award date.”

Awards made to SAAs 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 units of local governments, 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. 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 (i.e., no contingencies for availability of SAA funds) on the part of the awarding entity.
- There must be documentary evidence of the commitment.
- The award terms must be communicated to the official grantee.

The period of performance is 36 months. Any unobligated funds will be deobligated at the end of this 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.

B. Post Award Instructions.

The following is provided as a guide for the administration of awards. Additional details and requirements may be provided to the grantee in conjunction with finalizing an award.

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6 For purposes of the FY 2008 HSGP, receipt of funds means the date on which funds are available for expenditure (e.g., all special conditions prohibiting obligation, expenditure and draw down have been removed).
1. **Review award and special conditions document.** Notification of award approval is made by e-mail through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official. Follow the directions in the notification email and log into GMS to access the award documents. The authorized grantee official should carefully read the award and special condition documents. If you do not receive a notification e-mail, please contact your Preparedness Officer for your award number. Once you have the award number, contact the GMS Help Desk at (888) 549-9901, option 3 to obtain the username and password associated with the new award.

If you agree with the terms and conditions, the authorized grantee official should sign and date both the original and the copy of the award document page in Block 19 and initial the special conditions page(s). Retain a copy and fax the documents to (202) 786-9905 Attention: Control Desk or send the original signed documents to:

U.S. Department of Homeland Security/FEMA
Grant Programs Directorate/Control Desk 4th Floor, TechWorld
500 C St., SW
Washington, DC 20472

If you do not agree with the terms and conditions, contact the Preparedness Officer named in the award package.

2. **Complete and return form SF1199A.** The SF1199A Direct Deposit Sign-up Form is used to set up direct deposit for grant payments. The SF1199A form can be found at: http://www.fema.gov/government/grant/administration.shtm.

**NOTE:** Please include your vendor number in Box C of the SF1199A form.

3. **Access to payment systems.** Grantees under this solicitation will use FEMA’s online Payment and Reporting System (PARS) to request funds. The website to access PARS is https://isource.fema.gov/sf269/execute/LogIn?showContentMessage=true. Questions regarding payments or how to access PARS should be directed to the FEMA Call Center at (866) 927-5646 or sent via e-mail to ask-OGO@dhs.gov.

4. **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. Please note that PARS contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

5. **Questions about your award?** A reference sheet is provided containing frequently asked financial questions and answers. Questions regarding your grant should be directed to the FEMA Call Center at (866) 927-5646 or sent via e-mail to ask-OGO@dhs.gov.
Note: If you have any questions about GMS, need to establish a GMS account, or require technical assistance with accessing your award, contact the GMS Help Desk at (888) 549-9901.

C. Drawdown and Expenditure of Funds.

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can drawdown and expend grant funds through PARS.

Grant recipients should request funds based upon immediate disbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days. Grantees may elect to draw down funds up to 120 days prior to expenditure/disbursement. FEMA strongly encourages recipients to draw down funds as close to expenditure as possible to avoid accruing interest.

Funds received by grantees must be placed in an interest-bearing account and are subject to the rules outlined in 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements (Including Sub-awards) with Institutions of Higher Education, Hospitals and other Non-profit Organizations (formerly OMB Circular A-110). These regulations further provide that entities are required to promptly, but at least quarterly, remit interest earned on advances to:

United States Department of Health and Human Services
Division of Payment Management Services
P.O. Box 6021
Rockville, MD 20852

The grantee may keep interest earned, up to $100 per fiscal year for administrative expenses. This maximum limit is not per award; it is inclusive of all interest earned on all Federal grant program funds received.

Although advance drawdown requests are permissible, State grantees remain subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its implementing regulations at 31 CFR Part 205. Interest under CMIA will accrue from the time Federal funds are credited to a State account until the time the State pays out the funds for program purposes.

D. Reporting Requirements.

1. Financial Status Report (FSR) -- required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FSR, which is due
within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, FSR 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 draw downs may be withheld if these reports are delinquent. The final FSR is due 90 days after the end date of the performance period.

FSRs must be filed online through the PARS.

**Required submission:** Financial Status Report (FSR) SF-269a (due quarterly).

2. Biannual Strategy Implementation Reports (BSIR) and Categorical Assistance Progress Report (CAPR). 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 CAPR/BSIR reports. The BSIR submission will satisfy the narrative requirement of the CAPR. SAAs are still required to submit the CAPR with a statement in the narrative field that reads: See BSIR.

The BSIR and the CAPR are 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 though 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.

CAPRs must be filed online through the internet at [http://grants.ojp.usdoj.gov](http://grants.ojp.usdoj.gov). Guidance and instructions can be found at [https://grants.ojp.usdoj.gov/gmsHelp/index.html](https://grants.ojp.usdoj.gov/gmsHelp/index.html).

**Required submission:** BSIR and CAPR (due semi-annually).

3. Exercise Evaluation and Improvement. Exercises implemented with grant funds should be threat- and performance-based and should evaluate performance of critical prevention and response tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement located at [http://www.fema.gov/government/grant/administration.shtm](http://www.fema.gov/government/grant/administration.shtm). 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 FEMA within 60 days following completion of the exercise.
The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The IP outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR. Generally the IP, with at least initial action steps, should be included in the final AAR. FEMA is establishing a national database to facilitate the scheduling of exercises, the submission of the AAR/IPs and the tracking of IP implementation. Guidance on the development of AARs and IPs is provided in Volume II of the HSEEP manuals.

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

4. **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 the U.S. General Accountability Office, *Government Auditing Standards*, located at [http://www.gao.gov/govaud/ybk01.htm](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](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 2008 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 sub-grantees 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.

5. **Federal Funding Accountability and Transparency Act.** While there are no State and Urban Area requirements in FY 2008, the Federal Funding Accountability and Transparency Act of 2006 may affect State and Urban Area reporting requirements in future years. The Act requires the Federal government to create a publicly searchable online database of Federal grant recipients by January 1, 2008 with an expansion to include sub-grantee information by January 1, 2009.

6. **National Preparedness Reporting Compliance.** The Government Performance and Results Act (GPRA) 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.
7. **State Preparedness Report.** Congress requires that States receiving FEMA-administered Federal preparedness assistance shall submit a State Preparedness Report to the Department on the State’s level of preparedness by March 31, 2008, and annually thereafter. The report shall include: (1) an assessment of State compliance with the national preparedness system, NIMS, the NRP, and other related plans and strategies; (2) an assessment of current capability levels and a description of target capability levels; and (3) an assessment of resource needs to meet the National Preparedness Priorities, including an estimate of the amount of expenditures required to attain the Priorities and the extent to which the use of Federal assistance during the preceding fiscal year achieved the Priorities.

E. **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. Monitoring will be accomplished through a combination of office-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.

F. **Grant Close-Out Process.**

Within 90 days after the end of the award period, SAAs must submit a final FSR and final CAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by FEMA, a Grant Adjustment Notice (GAN) will be completed to close out the grant. The GAN will indicate the project as being 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 FSR. After the financial information is received and approved by GPD, the grant will be identified as “Closed by the Grant Programs Directorate.”

**Required submissions:** (1) final SF-269a, due 90 days from end of grant period; and (2) final CAPR, due 90 days from the end of the grant period.
APPENDIX G.
ADDITIONAL RESOURCES

This Appendix describes several resources that may help applicants in completing an HSGP application.

1. **Centralized Scheduling & Information Desk (CSID) Help Line.** The CSID is a non-emergency resource for use by emergency responders across the nation. CSID is a comprehensive coordination, management, information, and scheduling tool developed by DHS through FEMA for homeland security terrorism preparedness activities. The CSID provides general information on all FEMA Grant programs and information on the characteristics of CBRNE, agro-terrorism, defensive equipment, mitigation techniques, and available Federal assets and resources.

   The CSID maintains a comprehensive database containing key personnel contact information for homeland security terrorism preparedness programs and events. These contacts include personnel at the Federal, State and local levels. The CSID can be contacted at (800) 368-6498 or askcsid@dhs.gov. CSID hours of operation are from 8:00 am–6:00 pm (EST), Monday-Friday.

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.

   For financial and administrative guidance, all state and local government grant recipients should refer to 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Institutions of higher education, hospitals, and other non-profit organizations should refer to 2 CFR Part 215 for the applicable uniform administrative requirements.

   Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ask-OGO@dhs.gov.

3. **GSA’s Cooperative Purchasing Program.** The U.S. General Services Administration (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**
     Section 211 of the E-Government Act of 2002, authorized GSA sales of Schedule 70 IT products and services to State and Local Governments through the introduction of Cooperative Purchasing. The Cooperative Purchasing program allows State and local governments to purchase from Schedule 70 (the Information Technology Schedule) and
the Consolidated Schedule (containing IT Special Item Numbers) only. Cooperative Purchasing is authorized by Federal law and was enacted when Section 211 of the E-Government Act of 2002 amended the Federal Property and Administrative Services Act.

Under this program, State and local governments have access to over 3,500 GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The U.S. General Services Administration 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 and Local 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 the GSA to provide State and Local governments the use of ALL Federal Supply Schedules of the GSA 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.

In the aftermath of emergency events, State or local governments’ systems may be disrupted. Thus, use of Federal Supply schedule contracts prior to these events to acquire products or services to be used to facilitate recovery is authorized. State or local governments will be responsible for ensuring that purchased products or services are to be used to facilitate recovery.


State and local governments can find a list of eligible 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 to find the point of contact in your area. For assistance at the national level, contact Tricia Reed at patricia.reed@gsa.gov, (571) 259-9921. More information is available at http://www.gsa.gov/cooperativepurchasing and http://www.gsa.gov/disasterrecovery.

4. **Exercise Direct Support.** FEMA has engaged multiple contractors with significant experience in designing, conducting, and evaluating exercises to provide support to Regions, States, and local jurisdictions in accordance with State Homeland Security Strategies and the Homeland Security Exercise and Evaluation Program (HSEEP). Contract support is available to conduct a Training and Exercise (T&E) Plan Workshop
to develop a Multi-year T&E Plan and build or enhance the capacity of jurisdictions to design, develop, conduct, and evaluate effective exercises.

In FY 2008, support for planning and conduct of exercises has shifted in strategy from a State-focused approach, organized by National Preparedness Directorate Headquarters, to a regional (multi-State) approach, organized by the FEMA Regions, to more effectively integrate national, regional, territorial, tribal, State, and local preparedness exercises. At this time, the Regional Exercise Support Program will provide support for one discussion-based exercise (i.e., seminar, workshop or tabletop) and five operations-based (i.e. drills, functional exercises, full scale exercises) exercises within each of the 10 FEMA Regions. The Regional Exercise Support Program support is not limited to new exercise initiatives and can be applied to ongoing exercises to maintain continuity of existing planning schedules. State requests for support will be considered, however priority will be given to exercise initiatives that support collaboration within a Region.

Additional guidance on the Regional Exercise Support Program to include the application process, as well as information on the HSEEP, is available on the HSEEP website, http://hseep.dhs.gov.

5. Homeland Security Preparedness Technical Assistance Program. The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides technical 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 respond to CBRNE terrorist incidents. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other technical assistance programs.

More information can be found at http://www.fema.gov/government/grant/.

6. Lessons Learned Information Sharing (LLIS) System. LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, AARs from exercises and actual incidents, 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 responders and 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 https://www.llis.gov.

8. Information Sharing Systems. FEMA encourages all State, regional, local, and Tribal entities using FY 2008 HSGP 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 or 202-324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at (703) 674-3003.