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All applications must be received in [ND Grants](#) by **5:00 PM Eastern Time on June 20, 2018**. Proof of timely submission is automatically recorded by [ND Grants](#). An electronic date/time stamp is generated within the system when the application is successfully received by [ND Grants](#). The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from [Grants.gov](#) with the successful transmission of their initial application. This applicant with the AOR role will also receive the official date/time stamp and [Grants.gov](#) Tracking number in an email serving as proof of their timely submission.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before [Grants.gov](#) and [ND Grants](#) receive your application. Again, [Grants.gov](#) will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role. The [Grants.gov](#) Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the systems time to process the application. Applicants needing assistance with the [ND Grants](#) system should contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076.

### **Intergovernmental Review**

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

### **Funding Restrictions**

Federal funds made available through this award may be used only for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any other Federal award, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal Government or any other government entity.

For additional information on allowable costs and Funding Restrictions, refer to



























### **Threat and Hazard Identification and Risk Assessment (THIRA)**

FY 2018 THSGP award recipients must complete the THIRA, following the new methodology released by FEMA in 2018, but only for eight core capabilities. Those core capabilities are as follows: 1) Infrastructure Systems, 2) Mass Care Services, 3) Mass Search and Rescue Operations, 4) On-Scene Security, Protection, and Law Enforcement, 5) Operational Communications, 6) Operational Coordination, 7) Planning, and 8) Public Information and Warning. Recipients must use the Unified Reporting Tool (URT) to submit the THIRA to FEMA by December 31, 2018. In 2019, FY 2018 THSGP recipients may be required to complete the THIRA for additional core capabilities. Recipients have the option of completing the THIRA process, or portions of the THIRA process, for the other core capabilities, but are not required to do so in 2018.

FY 2017 THSGP recipients receiving awards in FY 2018 must also complete the new methodology for the FY 2018 award.

For additional guidance on THIRA, please refer to Comprehensive Preparedness Guide (CPG) 201, Third Edition, available at <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>. Further details on the THIRA as it relates to THSGP Program requirements can be found in [Appendix A – FY 2018 THSGP Program Priorities](#).

### **Stakeholder Preparedness Review (SPR)**

The SPR is an annual capability assessment that helps communities to identify capability gaps and prioritize investments required to reach the targets set in their THIRA.

FY 2018 THSGP award recipients must complete the SPR, following the new methodology released by FEMA in 2018, but only for eight core capabilities. Those core capabilities are as follows: 1) Infrastructure Systems, 2) Mass Care Services, 3) Mass Search and Rescue Operations, 4) On-Scene Security, Protection, and Law Enforcement, 5) Operational Communications, 6) Operational Coordination, 7) Planning, and 8) Public Information and Warning. Recipients must use the URT to submit the SPR to FEMA by December 31, 2018. In 2019, FY 2018 THSGP recipient may be required to complete the SPR for additional core capabilities.

Recipients have the option of completing the SPR process, or portions of the SPR process, for the other core capabilities, but are not required to do so in 2018. However, if recipients have capability gaps in areas related to the eight core capabilities above that are not addressed by the THIRA target, or in areas related to the other 11 Response and Recovery core capabilities, they must use the SPR Planning Organization Equipment Training and Exercise (POETE) checkboxes to identify those capability gaps.

For additional guidance on SPR, please refer to CPG 201, Third Edition, available at <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>. Further details on the SPR as it relates to THSGP Program requirements can be found in Appendix A – FY 2018 THSGP Funding Priorities.









The below highlights the Federal procurement requirements for FEMA recipients when procuring goods and services with Federal grant funds. DHS will include a review of recipients' procurement practices as part of the normal monitoring activities. All procurement activity must be conducted in accordance with Federal Procurement Standards at 2 C.F.R. §§ 200.317 – 200.326. Select requirements under these standards are listed below. The recipient must comply with all requirements, even if they are not listed below.

Under 2 C.F.R. § 200.317, when procuring property and services under a Federal award, states must follow the same policies and procedures they use for procurements from their non-Federal funds; additionally, states must follow 2 C.F.R. § 200.322 regarding procurement of recovered materials, and 2 C.F.R. § 200.326 regarding required contract provisions.

**All other non-Federal entities, such as tribes**, must use their own documented procurement procedures which reflect applicable state, local, and tribal laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in 2 C.F.R. Part 200. These standards include, but are not limited to providing for full and open competition consistent with the standards of 2 C.F.R. § 200.319.

#### **Competition and Conflicts of Interest**

Among the requirements of 2 C.F.R. § 200.319(a) applicable to all non-Federal entities other than States, in order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements. **FEMA considers this an organizational conflict of interest and interprets this restriction as applying to contractors that help a recipient develop its grant application, project plans, or project budget. This prohibition also applies to the use of former employees to manage the grant or carry out a contract when such former employees worked on such activities while they were employees of the non-Federal entity.**

Under this prohibition, unless the non-Federal entity solicits for and awards a contract covering both development and execution of specifications (or similar elements as described above), and this contract was procured in compliance with 2 C.F.R. §§ 200.317 – 200.326, Federal funds cannot be used to pay a contractor to carry out the work if that contractor also worked on the development of such specifications. This rule applies to all contracts funded with Federal grant funds, including pre-award costs, such as grant writer fees, as well as post-award costs, such as grant management fees. For more information on grant writer and grant management costs, see Section D.

Additionally, some of the situations considered to be restrictive of competition include, but are not limited to:

- Placing unreasonable requirements on firms in order for them to qualify to do business.
- Requiring unnecessary experience and excessive bonding.
- Noncompetitive pricing practices between firms or between affiliated companies.
- Noncompetitive contracts to consultants that are on retainer contracts.







## **Extensions**

### **Period of Performance Extensions**

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

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

Extension requests will be granted only due to compelling legal, policy, or operational challenges. Extension requests will only be considered for the following reasons:

- Contractual commitments by the grant recipient with vendors or subrecipients prevent completion of the project within the existing period of performance;
- The project must undergo a complex environmental review that cannot be completed within the existing Period of Performance;
- Projects are long-term by design and therefore acceleration would compromise core programmatic goals; and
- Where other special circumstances exist.

Recipients must submit all proposed extension requests to DHS/FEMA for review and approval no later than 120 days prior to the end of the period of performance. In accordance with GPD policy, extensions are typically granted for no more than a six month time period.

### **Active Shooter Preparedness**

DHS aims to enhance national preparedness through a whole community approach by providing the necessary products, tools, and resources to help all stakeholders prepare for and respond to an active shooter incident. To that end, DHS has developed a comprehensive "Active Shooter Preparedness" website, which includes informational resources. The website address is: <https://www.dhs.gov/active-shooter-preparedness>.









resources; and supply chain integrity and security. Addressing these areas for improvement will enhance preparedness nation-wide. Minimum funding amounts are not prescribed by the Department for these priorities; however, recipients are expected to support state, local, regional, and national efforts in achieving the desired outcomes of these priorities.

### **Reporting on the Implementation of the National Preparedness System**

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

Knowledge of risks enables a community to make informed decisions about how to manage risk and develop needed capabilities. Risk is the potential for an unwanted outcome resulting from an incident, event, or occurrence, as determined by its likelihood and the associated consequences. By considering changes to these elements, a community can understand how to best manage and plan for its greatest risks across the full range of the threats and hazards it faces.

The THIRA/SPR process helps communities identify capability targets and resource requirements necessary to address anticipated and unanticipated risks. THSGP award recipients will be required to complete the THIRA/SPR process for a subset of the core capabilities. They may also optionally add additional targets; more information on this requirement will be forthcoming. CPG 201, Third Edition, a guide on how to complete a THIRA, is available at <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

### **Reporting Requirements**

FY 2018 THSGP award recipients must complete the THIRA and SPR, following the new methodology released by FEMA in 2018, but only for eight core capabilities. Those core capabilities are as follows: 1) Infrastructure Systems, 2) Mass Care Services, 3) Mass Search and Rescue Operations, 4) On-Scene Security, Protection, and Law Enforcement, 5) Operational Communications, 6) Operational Coordination, 7) Planning, and 8) Public Information and Warning. Recipients must use the URT to submit the THIRA and SPR to FEMA by December 31, 2018. Recipients have the option of completing the THIRA and SPR processes, or portions of them, for the other core capabilities but are not required to do so. However, if recipients are proposing grant investments in the other 11 Response and Recovery core capabilities, or in area of the eight capabilities listed above that were not addressed by their THIRA targets, they must use the SPR to identify any gaps related to these other capabilities and areas. FEMA will provide additional guidance on 2019 requirements at a later date.

FY 2018 THSGP recipients may have to update their THIRAs in 2019 should FEMA add any prevention, protection, or mitigation core capabilities to the list of eight required core capabilities above. Also beginning in 2019, jurisdictions will be required to submit a THIRA every three (3) years to establish a consistent baseline for assessment.

In each THSGP recipient's BSIR, as part of programmatic monitoring, recipients will be required to describe how expenditures support closing capability gaps or sustaining







traffic from entering a company's networks. Groups interested in subscribing to ECS must contract directly with a CSP in order to receive services. Please visit <http://www.dhs.gov/enhanced-cybersecurity-services> for a current list of ECS CSP points of contact.









## **Training**

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

Training conducted using THSGP funds should address a performance gap identified through an assessment or contribute to building a capability that will be evaluated through a formal exercise. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps evaluated through a formal exercise, including those for vulnerable populations including children, the elderly, pregnant women, and individuals with disabilities or access and functional needs should be identified in an AAR/IP.

All training and exercises conducted with THSGP funds should support the development and testing of the jurisdiction's Emergency Operations Plan (EOP), consistent with the priorities in the National Preparedness System. Recipients are encouraged to use existing training rather than developing new courses.

When developing new courses, recipients are encouraged to apply the Analysis Design Development and Implement, and Evaluate (ADDIE) model of instruction design <https://www.firstrespondertraining.gov>.

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

Per FEMA Policy (FP) 207-008-064-1 issued on September 9, 2013, states, territories, tribal entities and Urban Areas are no longer required to request approval from FEMA for personnel to attend non-FEMA training as long as the training is coordinated with and approved by the state, territory, tribal or urban area Training Point of Contact (TPOC) and falls within the FEMA mission scope and the jurisdiction's EOP. The only exception to this policy is for Countering Violent Extremism courses. For additional information on review and approval requirements for training courses funded with preparedness grants please refer to the following policy: <http://www.fema.gov/media-library/assets/documents/34856>. For additional information on training course review and approval requirements please refer to FP 207-008-064-1, Review and Approval Requirements for Training Courses Funded Through Preparedness Grants, issued on September 9, 2013. The Policy can be accessed at <http://www.fema.gov/media-library/assets/documents/34856>.

### **DHS/FEMA/National Training and Education Division (NTED) Provided Training**







### **Maintenance and Sustainment**

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable, as described in FEMA Policy FP 205-402-125-1 (Additional guidance is provided in FEMA Policy FP 205-402-125-1, *Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants*, located at: <http://www.fema.gov/media-library/assets/documents/32474>), under all active and future grant awards, unless otherwise noted.

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

### **Critical Emergency Supplies**

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

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

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

### **Secure Identification**

THSGP funds may be used to support the development and production of enhanced tribal documents (e.g., Enhanced Tribal Cards) designed to meet the requirements of the Western Hemisphere Travel Initiative (WHTI). More information on the WHTI may be found at









