



U.S. DEPARTMENT OF HOMELAND SECURITY

FISCAL YEAR 2009

HOMELAND SECURITY GRANT PROGRAM

GUIDANCE AND APPLICATION KIT

NOVEMBER 2008



U.S. DEPARTMENT OF HOMELAND SECURITY

Title of Opportunity: FY 2009 Homeland Security Grant Program (HSGP)

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Federal Agency Name: FEMA Grant Programs Directorate (GPD)

Announcement Type: Initial

Dates: Completed applications must be submitted **no later than 11:59 PM EDT, March 20, 2009.**

Additional overview information: The Fiscal Year (FY) 2009 HSGP contains significant improvements based upon continued outreach to HSGP stakeholders and partners. 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 2009 HSGP as compared to previous year programs.

HSGP Priorities

Priorities for this year continue to further narrow the focus through the risk-based funding and the capability-based planning process that DHS began four years ago. FY 2009 HSGP will focus on the following objectives as its highest priorities.

Priorities for all programs in HSGP:

- Addressing Capability Requirements and Measuring Progress in Achieving the National Preparedness Guidelines
- National Priority: Strengthen Planning and Citizen Preparedness Capabilities - ***Strengthening Preparedness Planning***

SHSP Priorities:

- National Priority: Strengthen Information Sharing and Collaboration Capabilities - ***Maximizing Information Sharing via the National Network of Fusion Centers***
- National Priority: Strengthen Medical Surge and Mass Prophylaxis - ***Developing and Enhancing Health and Medical Readiness and Preparedness Capabilities***

UASI Priorities:

- National Priority: Strengthen Chemical, Biological, Radiological/Nuclear, and Explosive (CBRNE) Detection, Response, and Decontamination Capabilities - ***Strengthening IED Attack Deterrence, Prevention, and Protection Capabilities***
- National Priority: Strengthen Chemical, Biological, Radiological/Nuclear, and Explosive (CBRNE) Detection, Response, and Decontamination Capabilities - ***Strengthen Preventive Radiological/Nuclear Detection Capabilities***
- National Priority: Strengthen Information Sharing and Collaboration Capabilities - ***Maximizing Information Sharing via the National Network of Fusion Centers***

- National Priority: Strengthen Medical Surge and Mass Prophylaxis - ***Developing and Enhancing Health and Medical Readiness and Preparedness Capabilities***

Law Enforcement Terrorism Prevention Activities Priorities:

- National Priority: Strengthen Chemical, Biological, Radiological/Nuclear, and Explosive (CBRNE) Detection, Response, and Decontamination Capabilities - ***Strengthening IED Attack Deterrence, Prevention, and Protection Capabilities***
- National Priority: Strengthen Chemical, Biological, Radiological/Nuclear, and Explosive (CBRNE) Detection, Response, and Decontamination Capabilities - ***Strengthen Preventive Radiological/Nuclear Detection Capabilities***
- National Priority: Strengthen Information Sharing and Collaboration Capabilities - ***Maximizing Information Sharing via the National Network of Fusion Centers***

At least 25 percent of FY 2009 HSGP funding (State Homeland Security Program [SHSP], Urban Areas Security Initiative [UASI], Metropolitan Medical Response System [MMRS], and Citizen Corps Program [CCP]) must be collectively allocated to the Strengthening Preparedness Planning Priority noted above through planning, training and exercise activities (see Part I for additional information).

HSGP Allocation Methodology

In FY 2009, DHS is providing all States and Urban Areas with targeted allocations based on the Department's relative risk assessment in advance of the Investment Justifications for SHSP and UASI funding. The purpose of this information is to increase grantee program management effectiveness by identifying funding availability in the initial stages of the grant process as well as to increase grantee accountability. States and Urban Areas should focus their Investments based on the targeted allocation and submit applications for up to 110 percent of the targeted allocation. Subsequently, when determining the final allocation, DHS may increase or decrease the targeted SHSP and UASI allocations by up to 10 percent based on the results of the effectiveness analysis (see Part II for additional information).

Optional Cost Share

In FY 2009, there is an optional cost share that will provide a bonus in the effectiveness analysis (see Investment Justification Outline in Part IV.B for additional information).

Personnel Costs

As directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412), all personnel and personnel-related costs, including those for intelligence analysts, are allowed up to 50 percent of SHSP and UASI funding without time limitation placed on the period of time that such personnel can serve under the grant. These guidelines are not retroactive to previous fiscal years of HSGP funding (see Part IV.E.4 for additional information).

Critical Emergency Supplies

In furtherance of DHS' mission, critical emergency supplies, such as shelf stable food products, water, and basic medical supplies are an allowable expense under SHSP. Prior to allocating grant funding for stockpiling purposes, each State must have FEMA's approval of a viable inventory management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning (see Part VI.B.5.13 for additional information).

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PART I.

FUNDING OPPORTUNITY DESCRIPTION

The Homeland Security Grant Program (HSGP) 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 DHS management requirements for implementation of a successful application. The package also reflects changes called for in the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) (hereafter “9/11 Act”) and the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009* (Public Law 110-329).

Table 1 provides a quick overview of the programs included in FY 2009 HSGP.

Table 1. FY 2009 Homeland Security Grant Program Overview

FY 2009 HSGP	Program Overview
State Homeland Security Program (SHSP)	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).
Urban Areas Security Initiative (UASI) Program	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.

FY 2009 HSGP	Program Overview
<p>Metropolitan Medical Response System (MMRS) Program</p>	<p>The MMRS program supports the integration of emergency management, health, and medical systems into a coordinated response to mass casualty incidents caused by any hazard. Successful MMRS grantees reduce the consequences of a mass casualty incident during the initial period of a response by having augmented existing local operational response systems before the incident occurs.</p>
<p>Citizen Corps Program (CCP)</p>	<p>The Citizen Corps mission is to bring community and government leaders together to coordinate the involvement of community members and organizations in emergency preparedness, planning, mitigation, response, and recovery.</p>

Federal Investment Strategy

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

DHS expects our 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. Additional information may be found at:

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

Funding Priorities

Based upon ongoing intelligence analysis, extensive security reviews, and Congressional direction, DHS has once again focused the bulk of its available grant dollars on risk-based investment. 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* – the relative exposure to an attack
- *Consequence* – the expected impact of an attack

The risk model used to allocate HSGP funds considers the potential risk of terrorism to people, critical infrastructure, and economic security to estimate the relative risk of terrorism faced by a given area. In evaluating risk, DHS considers the populations in a particular area that could be at risk, the concentration of people in the area, and specific characteristics of their location that might contribute to risk, such as Intelligence Community assessments of threat, proximity to nationally critical infrastructure, and the economic impact of an attack. In considering threat, DHS uses the Intelligence Community’s best assessment of areas of the country and potential targets most likely to be attacked. For vulnerability and consequence, DHS

considers the expected impact and consequences of successful attacks occurring in specific areas to people, the economy, nationally critical infrastructure, and national security facilities.

DHS places a very high priority on ensuring that all HSGP applications reflect robust regional coordination and demonstrate an investment strategy that institutionalizes regional integration. This priority is a core component in the Department's statewide grant programs and UASI.

HSGP Priorities

Priorities for this year continue to further narrow the focus through the risk-based funding and the capability-based planning process that DHS began four years ago. FY 2009 HSGP will focus on the following objectives as its highest priorities.

- 1. Addressing Capability Requirements and Measuring Progress in Achieving the National Preparedness Guidelines.** DHS will continue in FY 2009 to tie together the performance of preparedness programs (via grants, training, exercises, technical assistance, planning, etc.) with established priorities and objectives of the National Preparedness Guidelines, target capabilities, and joint Federal-State assessments. The preparedness cycle allows for adjustments based upon evolving risks and capabilities. The Target Capability List (TCL) Implementation Project is in the process of updating target capabilities into usable frameworks with performance classes and objectives to guide evaluations and assessments. The Comprehensive Assessment System (CAS) is under development to assess compliance with the broad national preparedness system as described under Subtitle C of the *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 109-295) (PKEMRA), including NIMS, the NRF, the TCL, and the performance of training, exercises, and operations.

Measuring Progress: As part of the FY 2009 HSGP Investment Justifications, applicants are also 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 TCL, dated September 2007, the supplemental Target Capability Implementation Frameworks, where appropriate, 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 SPR or Urban Area homeland security strategy. After funds are awarded, grantees are required to report on progress made toward achieving the identified outcomes for each Investment as part of the regular grant reporting process. Performance measure data submitted through grant reporting will be reviewed and validated through programmatic monitoring by DHS.

These outcomes should support both capability development and strategic, operational, and tactical-level planning. For interoperable emergency communications-related Investments, applicants should demonstrate how the outcomes support implementation of their respective Statewide Communication Interoperability Plan (SCIP) and align to the objectives of the National Emergency Communications Plan (NECP).¹ The outcomes should include a minimum number of quantitative and qualitative measures necessary to demonstrate achievement with regard to developing and enhancing health and medical readiness and preparedness capabilities. These measures should be drawn, where applicable, from the TCL and from supplemental Target Capability Implementation Frameworks.

2. National Priority: Strengthen Planning and Citizen Preparedness Capabilities.

Strengthening Preparedness Planning. This provision also 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.

In order to develop these plans, applicants are strongly encouraged to develop plans in a manner consistent with the principles and doctrine outlined in Comprehensive Preparedness Guide 101, *Producing Emergency Plans: A Guide for All-Hazard Operations Planning for State, territorial, Local and Tribal Governments (Interim)*.

However, within these plans, specific activities may be implemented in support of the following areas:

- **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.
- **Fixing shortcomings in existing plans.** Areas of paramount concern are: Mass Evacuation and Sheltering, with particular emphasis on

¹ The FY 2007 HSGP required States to develop and submit a Statewide Communication Interoperability Plan (SCIP). All SCIPs were approved by DHS in April 2008. The National Emergency Communications Plan (NECP), which was informed by the SCIPs, is available at: www.dhs.gov/xnews/releases/pr_1217529182375.shtm.

Regional Operations planning, special needs populations² and citizen preparedness; Statewide Communication Interoperability Plans and Tactical Interoperable Communications Plans; Logistics planning; 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; Health and Medical Services for Catastrophic Events; and long term recovery. Once these shortcomings have been addressed, they should be integrated into capabilities-based plans that address all hazards and all threats. Additional shortcomings should be identified by the applicant in addition to these requirements as warranted.

- **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 Continuity of Operation Plans (COOP), 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. This should include drawing clear linkages in an appendix or annex to emergency operations plans as appropriate. Additionally, applicants should clearly address the linkages between Fusion Centers and the State Emergency Operations Centers and develop the necessary protocols and procedures to ensure connectivity and support, as appropriate.
- **Enhancing continuity of operations planning.** Applicants should leverage HSGP funding to establish effective continuity plans and programs in an effort to enhance the ongoing delivery of essential functions by State, local and tribal governments during all hazards. Actionable measurable items include developing staffing and guidance based on continuity priorities from the National Continuity Programs Directorate and described in the National Continuity Policy Implementation Plan (NCP/IP). Measurable items include: providing State, territorial, and local government continuity testing, training, and exercises; offering continuity planning and program guidance; conducting continuity education and outreach; providing mechanisms and make available annual meetings for State and local continuity working groups or other

² See CPG-301: *Emergency Management Planning Guide for Special Needs Populations* as a reference in addressing this issue.

forums; offering and/or providing continuity guidance and outreach through State and/or territorial Continuity Working Groups (CWGs); and providing guidance and offer assistance, as required, to conduct and/or support train-the-trainer continuity courses for State, territorial, and local governments.

- **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 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 residing in their region.

3. National Priority: Strengthen Chemical, Biological, Radiological/Nuclear, and Explosive (CBRNE) Detection, Response, and Decontamination Capabilities.

Strengthening IED Attack Deterrence, Prevention, and Protection Capabilities. This priority supports the policy outlined in HSPD-19, *Combating Terrorist Use of Explosives in the United States*, by emphasizing the need for States and Urban Areas to take a more proactive approach to reducing the threat of a terrorist explosive attack. This year's priority is expanded to include capabilities in support of existing national protocols intended to promote early detection, identification, or interdiction of CBRN material which may be used in combination with explosives to create enhanced weapons such as a radiological dispersal device (RDD). States and Urban Areas should continue progress from 2008 by implementing programs to enhance 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 that ensure bomb squad and SWAT integration, 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 diagnose and defeat actual 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, 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 Program Analyst 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/>.

4. National Priority: Strengthen Chemical, Biological, Radiological/Nuclear, and Explosive (CBRNE) Detection, Response, and Decontamination Capabilities.

Strengthen Preventive Radiological/Nuclear Detection Capabilities. The Domestic Nuclear Detection Office (DNDO) plays an essential role in developing and implementing a multi-layered defensive strategy, with domestic and international programs and systems to protect the Nation from radiological/nuclear (rad/nuc) attacks by terrorists. Grantees are encouraged to work closely with DNDO when developing or enhancing preventive rad/nuc detection programs and to ensure that programs are effectively integrated into current and future Federal capabilities.

DNDO supports the development of comprehensive preventive rad/nuc detection capabilities across State, local and tribal communities by developing the necessary training, equipment test reports, exercise support, information sharing capabilities, and analytical tools to create a fully integrated operating environment. These resources include: providing rad/nuc technical reachback support to Federal, State, local and tribal operators; development of standardized training curricula and response protocols; conducting comprehensive assessments of existing radiation detection technology to inform application and acquisition; providing program development tools and guidance for immediate application by policy makers and operators; and the development of a robust national situational awareness and analysis capability through the Joint Analysis Center (JAC). Such resources can be used by State, local and tribal entities to build or enhance a comprehensive preventive rad/nuc detection program, or to develop specific preventive rad/nuc detection capabilities in areas such as device and material detection and response (providing rad/nuc material characterization to responders), Commercial Vehicle Inspection, special events screening, small maritime craft monitoring, fixed infrastructure protection, and urban area security.

Additional information about DNDO and the support DNDO will provide to grantees may be found at:

http://www.dhs.gov/xabout/structure/editorial_0766.shtm.

5. National Priority: Strengthen Information Sharing and Collaboration Capabilities

Maximizing Information Sharing via the National Network of Fusion Centers. This priority reflects the policy outlined in the National Strategy for Information Sharing (NSIS) by supporting the establishment of and continued support for a national network of fusion centers to facilitate effective nationwide information sharing between local, State, and Federal partners.

Effective prevention efforts depend on the ability of all levels and sectors of government, as well as private industry, to collect, analyze, disseminate, and use homeland security- and crime-related information and intelligence. In support of these efforts, designated State and Urban Area fusion centers must prioritize the allocation of SHSP and UASI grant funding to meet identified levels of baseline capabilities as outlined in the Department of Justice's (DOJ's) Global Justice Information Sharing Initiative's (Global) *Baseline Capabilities for State and Major Urban Area Fusion Centers*, a supplement to the Fusion Center Guidelines, located at <http://www.it.ojp.gov/documents/baselinecapabilitiesa.pdf>.

In support of this priority, the DHS Office of Intelligence and Analysis (I&A) is dedicated to supporting the development and enhancement of State and local information sharing activities, and maintains multiple programs and initiatives designed to directly support State and Urban Area initiatives. Therefore, in support of this National Priority, States and Urban Areas should continue to advance information sharing and fusion center efforts through the effective implementation and operation of activities that relate to this priority, including the following:

- **Coordination and Integration of Multi-disciplinary Partners.** To further advance and strengthen information sharing efforts, multi-disciplinary partners—including law enforcement, the fire service, health security, and critical infrastructure and key resource (CIKR) partners—are encouraged to fully engage in the fusion process. DHS I&A has begun work on a Fire Service Intelligence Enterprise, a Health Security Intelligence Enterprise, and CIKR initiatives, in addition to its work supporting Law Enforcement, to advance collaboration and greater information sharing among all levels of government and key multi-disciplinary players within fusion centers and the greater information sharing and fusion processes.
- **Coordination and Integration with DHS Component Strategic Mission Priorities.** The effective coordination and integration of on-going national

homeland security efforts and component strategic mission priorities and activities—including border security, trafficking of illicit materials, and maritime enforcement—is essential to the successful implementation of a national network of fusion centers. Therefore, DHS I&A is encouraging fusion centers to coordinate and integrate their information sharing efforts with regional and/or local strategic component efforts, including Area Maritime Security Committees (AMSCs) and their respective Area Maritime Security Plans (AMSPs), DHS Border Enforcement Security Task Forces, Integrated Border Enforcement Teams, and FEMA Regional Offices.

- **Information Sharing to Support Response and Recovery Efforts.** Effective information sharing and communication occurs across the preparedness spectrum, including prevent, protect, respond, and recover mission areas. Therefore, effective information sharing and communication between fusion centers and Emergency Operations Centers (EOCs) prior to, during, and after an incident is essential to the successful response and mitigation of man-made or naturally occurring incidents. This communication supports the timely and accurate response to an event and ensures that all appropriate information is in the hands of the responders who need it. In support of this effort, DHS I&A and FEMA are encouraging that fusion centers and EOCs formally plan, train on, and exercise their communication and information sharing processes, in coordination with the respective FEMA Regional Offices and Federal Preparedness Coordinators (FPCs).

Grantees are encouraged to work closely with DHS I&A to leverage available resources through the joint DHS/DOJ Fusion Process Technical Assistance Program as well as available DHS personnel and technologies—including deployed I&A Intelligence Operations Specialists and the Homeland Secure Data Network (HSDN)—to support fusion centers analytic collaboration and information sharing activities.

6. National Priority: Strengthen Medical Surge and Mass Prophylaxis.

Developing and enhancing health and medical readiness and preparedness capabilities. State and local grantees should consider preparedness efforts that emphasize biological attack detection (bio collection), mass casualty incident response, and counter-measure stockpiling and distribution. The Office of Health Affairs (OHA) leads the Department's role in developing and supporting a scientifically rigorous, intelligence-based biodefense and health preparedness architecture to ensure the security of our Nation in the face of all hazards. Grantees are encouraged to work closely with OHA, in addition to their FEMA Program Analyst and FEMA Region, when developing or enhancing medical surge and mass prophylaxis programs in response to biological threats and for public health and medical preparedness. For more information, please visit

http://www.dhs.gov/xabout/structure/editorial_0880.shtm or contact OHA at oha@dhs.gov.

Consolidation of Law Enforcement Terrorism Prevention-oriented Activities

Per the 9/11 Act and the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009* (Public Law 110-329), FY 2009 HSGP will not contain a separate line-item Law Enforcement Terrorism Prevention Program (LETPP). As is clear in this year's overarching HSGP priorities, a significant need for law enforcement terrorism prevention exists. As a result, 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.

Inclusion of Emergency Medical Services (EMS) Providers

DHS requires State and local governments to include emergency medical services (EMS) providers in their State and Urban Area homeland security plans. In accordance with this requirement, and as States, territories, localities, and tribes complete their application materials for the FY 2009 HSGP, DHS reminds our homeland security partners of the importance for proactive inclusion of various State, regional, and local response disciplines who have important roles and responsibilities in prevention, deterrence, protection, and response activities. Inclusion should take place with respect to planning, organization, equipment, training, and exercise efforts. Response disciplines include, but are not limited to: governmental and nongovernmental emergency medical, firefighting, and law enforcement services; public health; hospitals; emergency management; hazardous materials; public safety communications; public works; and governmental leadership and administration personnel.

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

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

Governance

The FY 2009 HSGP re-emphasizes the importance of creating or utilizing existing governing bodies to act on this guidance and coordinate grant resources. Examples include: State Senior Advisory Committees, Urban Area Working Groups, Area Maritime Security Committees, Citizen Corps Councils, and Metropolitan Medical Response

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

Additional Program Detail

- 1. 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, and recovery from terrorism in order to be considered eligible. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees must demonstrate this dual-use quality for any activities implemented under this program that are not explicitly focused on terrorism preparedness.

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

- 2. 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 2009 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 2009 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 2009 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 2009 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. Part II of this Guidance shows a table of Urban Areas selected for possible FY 2009 funding. *Geographical areas queried do not equate to minimum mandated membership representation of an Urban Area, nor does this guarantee funding for geographical areas queried.* Urban Area Working Groups (UAWGs) must continue to take a regional approach to membership but are not required to expand or contract existing Urban Area participation to conform to MSA composition as a result of this legislative change. Detailed information on MSAs is publicly available from the U.S. Census Bureau at <http://www.census.gov/population/www/estimates/metrodef.html>.

UASI Program Requirements

The SAA will be responsible for ensuring compliance with the fiduciary and programmatic administration requirements of the FY 2009 UASI program.

- **Identify Points of Contact.** The SAA must confirm a specific point of contact (POC) with the designated Urban Area. The SAA POCs are responsible for identifying and coordinating with the POC for the UAWG. This information must be provided to FEMA with the grant application. SAAs must work with existing Urban Areas to ensure that information for current POCs is on file with FEMA.

- Define the Urban Area.** For new Urban Areas, the SAA POC, in coordination with the candidate Urban Areas, must define the Urban Area, as it will apply to the FY 2009 UASI program. The identified city or combined entity represents the candidate Urban Area eligible to apply for funding under the FY 2009 UASI program. For those Urban Areas with a combined entity, that area represents the minimum area that must be part of the defined Urban Area. The definition of the Urban Area is limited to jurisdictions contiguous to the geographic area used to determine eligibility, or those jurisdictions in that area which have established formal mutual aid agreements. States may request a waiver for this limitation for regions previously established by Executive Order, law, or compact. For the purposes of the FY 2009 UASI program, the Washington, D.C. Urban Area will consist of the National Capital Region (NCR) as set forth in 10 U.S.C. §2674(f)(2). In coordination with the UAWG, the SAA POC may redefine the geographic boundaries of an existing Urban Area, as it will apply to the FY 2009 UASI program. The SAA POC must notify FEMA of this change.
- Establish the UAWG.** Membership in the UAWG must provide either direct or indirect representation for all the jurisdictions and response disciplines (including law enforcement) that comprise the defined Urban Area. *It must also be inclusive of local MMRS 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.
- Governance.** The identified jurisdictions in Part II of this Guidance package represent the candidate Urban Areas eligible to apply for funding. The UAWG will be responsible for coordinating the development and implementation of all program initiatives. States and Urban Areas must consider including counties within which the cities reside, contiguous jurisdictions, MSAs, operational areas, and mutual aid partners, as appropriate, in the governance process.

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

to drawing down FY 2009 UASI funding and must be available to all UAWG members to promote transparency in decision-making related to the UASI program.

- **Urban Area Homeland Security Strategy.** Urban Areas must utilize their Urban Area Homeland Security Strategy as the basis for requesting funds to support Investments identified in 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 2009 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 2009 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 requirement includes prior Urban Areas that were not Urban Areas in either FY 2007 and/or 2008, but that were selected again as Urban Areas for FY 2009. For new Urban Areas, strategy development technical assistance is available. Please consult your SAA for requesting assistance services from FEMA.

UASI Allocation of funds

The use and allocation of all grant funds available through the FY 2009 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 nongovernmental resources should be coordinated with Citizen Corps Councils.

The UAWG, in coordination with the SAA POC, must develop a methodology for allocating funding available through the UASI program. The UAWG must reach consensus on all UASI funding allocations. If consensus 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 FEMA upon request demonstrating how any UASI funds retained by the State would directly support the Urban Area.

3. Metropolitan Medical Response System

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

The responsibilities of the SAA are to:

- Ensure the “MMRS Leadership” (see below) shall be fully represented on the Urban Area Working Group in cases where a MMRS grant is awarded and a UASI program exists.
- Ensure all neighboring MMRS subgrantees shall actively and demonstratively collaborate to develop a regional plan that supports the MMRS mission in that region in cases where MMRS subgrantees are located adjacent to one another.
- Prepare an Investment Justification that clearly identifies the size of the populations included in the planning and operational areas supported by the MMRS grant.

MMRS subgrantees shall:

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

MMRS Collaboration

MMRS subgrantees are encouraged to collaborate with local, regional, and State health and medical partners, such as Medical Reserve Corps Units and Citizen Corps Councils, as well as leverage other Federal programs, such as the U.S. Department of Health and Human Services Assistant Secretary for Preparedness and Response (DHHS-ASPR) Hospital Preparedness Program and Emergency Systems for Advance Registration of Volunteer Health Professionals (ESAR-VHP), Center for Disease Control and Prevention Cities Readiness Initiative and Strategic National Stockpile, to coordinate and support plans, processes and strategies related to, but limited to: Continuity of Government; Continuity of Operations; Equipment and Supplies Procurement; Fatality Management; Forward Movement of Patients; Hospital Evacuation; Interoperable Communications; Patient Tracking; Pharmaceutical and Medical Supply Management and Distribution; Public Education; Outreach and Information; Recruiting Volunteers; and Training.

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

The FY 2009 Citizen Corps Program (CCP) funds provide resources for States and local communities to:

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

CCP Program Requirements

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

- **State responsibilities.** Citizen preparedness and participation must be coordinated by an integrated body of government and nongovernmental 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 or their designee, elected officials, the private sector (especially privately owned critical infrastructure), private nonprofits, nongovernmental 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 MMRS representative, where applicable.

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 nongovernmental members. SAAs must coordinate all citizen involvement in emergency preparedness, planning, mitigation, response, and recovery funded with any source of HSGP funds with the State agency currently responsible for the administration of Citizen Corps. A listing of current State Citizen Corps Program Managers is available by visiting <http://www.citizencorps.gov/councils/> and selecting "State Citizen Corps Program Managers."

State Citizen Corps Program Managers 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 Emergency Operation Plans (EOP), the State Preparedness Report, and Investment Justification), and evaluations must be reviewed by the body serving as the State Citizen Corps Council and must include considerations for government/nongovernmental collaboration, and community preparedness and participation, including citizen involvement in preparedness and response. Nongovernmental representatives are expected to evaluate closely the functional areas of warnings, emergency public information, evacuation, mass care, resource management from nongovernmental sources, unaffiliated volunteer and donations management, and nongovernmental resource integration (goods and personnel) to support each emergency support function in the EOP.

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

Law Enforcement Terrorism Prevention Activities. As noted previously, the 9/11 Act did not create a separate LETPP grant program but rather made it a component of SHSP and UASI. The Department values and places an emphasis on law enforcement terrorism prevention and protection-oriented activities and therefore requires that States 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.

PART II. AWARD INFORMATION

This section summarizes the award period of performance and the total amount of funding available under the FY 2009 HSGP, describes the basic distribution method used to determine final grants awards, and identifies all eligible applicants for FY 2009 funding.

Award Period of Performance

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

Available Funding

In FY 2009, the total amount of funds distributed under the HSGP will be \$1,714,300,154. The available funding is summarized in the table below.

HSGP Programs	FY 2009 Funding
State Homeland Security Program	\$861,265,000
Urban Areas Security Initiative	\$798,631,250
Metropolitan Medical Response System	\$39,831,404
Citizen Corps Program	\$14,572,500
Total	\$1,714,300,154

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

States and Urban Areas should apply for 110 percent of the targeted SHSP and UASI allocation.

- 1. FY 2009 SHSP Allocations.** FY 2009 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 0.365 percent of the total funds allocated for grants under Section 2004 of the Homeland Security Act of 2002 (6 U.S.C. §101 *et seq.*), as amended by the 9/11 Act, for SHSP. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.08

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

The following table identifies the targeted SHSP allocations based on DHS' relative risk assessment. States should focus their Investments based on the targeted allocation and submit applications for up to 110 percent of the targeted allocation. Subsequently, when determining the final allocation, DHS may increase or decrease the targeted SHSP allocations by up to 10 percent based on the results of the effectiveness analysis.

FY 2009 SHSP Target Allocations

State	SHSP Target Allocation	Law Enforcement Terrorism Prevention Activities Minimum
Alabama	\$10,612,000	\$2,653,000
Alaska	\$6,060,000	\$1,515,000
American Samoa	\$1,328,000	\$332,000
Arizona	\$13,181,000	\$3,295,250
Arkansas	\$6,060,000	\$1,515,000
California	\$104,586,000	\$26,146,500
Colorado	\$11,286,000	\$2,821,500
Connecticut	\$9,861,000	\$2,465,250
Delaware	\$6,060,000	\$1,515,000
District of Columbia	\$10,754,000	\$2,688,500
Florida	\$35,236,000	\$8,809,000
Georgia	\$20,786,000	\$5,196,500
Guam	\$1,328,000	\$332,000
Hawaii	\$6,060,000	\$1,515,000
Idaho	\$6,060,000	\$1,515,000
Illinois	\$33,212,000	\$8,303,000
Indiana	\$12,018,000	\$3,004,500
Iowa	\$6,060,000	\$1,515,000
Kansas	\$7,154,000	\$1,788,500
Kentucky	\$9,111,000	\$2,277,750
Louisiana	\$15,305,000	\$3,826,250
Maine	\$6,060,000	\$1,515,000
Maryland	\$17,100,000	\$4,275,000
Massachusetts	\$16,350,000	\$4,087,500
Michigan	\$20,359,000	\$5,089,750
Minnesota	\$11,647,000	\$2,911,750
Mississippi	\$6,060,000	\$1,515,000
Missouri	\$11,353,000	\$2,838,250
Montana	\$6,060,000	\$1,515,000
Nebraska	\$6,060,000	\$1,515,000
Nevada	\$8,921,000	\$2,230,250
New Hampshire	\$6,060,000	\$1,515,000
New Jersey	\$26,391,000	\$6,597,750
New Mexico	\$6,060,000	\$1,515,000

State	SHSP Target Allocation	Law Enforcement Terrorism Prevention Activities Minimum
New York	\$113,222,000	\$28,305,500
North Carolina	\$15,466,000	\$3,866,500
North Dakota	\$6,060,000	\$1,515,000
Northern Mariana Islands	\$1,328,000	\$332,000
Ohio	\$23,294,000	\$5,823,500
Oklahoma	\$7,306,000	\$1,826,500
Oregon	\$8,493,000	\$2,123,250
Pennsylvania	\$28,795,000	\$7,198,750
Puerto Rico	\$6,060,000	\$1,515,000
Rhode Island	\$6,060,000	\$1,515,000
South Carolina	\$8,531,000	\$2,132,750
South Dakota	\$6,060,000	\$1,515,000
Tennessee	\$12,236,000	\$3,059,000
Texas	\$62,168,000	\$15,542,000
U.S. Virgin Islands	\$1,328,000	\$332,000
Utah	\$6,470,000	\$1,617,500
Vermont	\$6,060,000	\$1,515,000
Virginia	\$20,710,000	\$5,177,500
Washington	\$18,791,000	\$4,697,750
West Virginia	\$6,060,000	\$1,515,000
Wisconsin	\$10,108,000	\$2,527,000
Wyoming	\$6,060,000	\$1,515,000
Total	\$861,265,000	\$215,316,250

2. FY 2009 UASI Allocations. FY 2009 UASI funds will be allocated based on risk and anticipated effectiveness upon completion of the application review process. Eligible candidates for the FY 2009 UASI program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous metropolitan statistical areas in the United States, in accordance with the 9/11 Act. Based on that analysis, the eligible candidates have been grouped into two tiers according to relative risk. Tier 1 includes the seven highest risk areas and will be allocated 55 percent of the total UASI funding available; Tier 2 includes the other 55 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. The following candidates are eligible to apply for funding under the FY 2009 UASI program.

The following table identifies the targeted UASI allocations based on DHS' relative risk assessment. States and Urban Areas should focus their Investments based on the targeted allocation and submit applications for up to 110 percent of the targeted allocation. Subsequently, when determining the final allocation, DHS may increase or decrease the targeted UASI allocations by up to 10 percent based on the results of the effectiveness analysis.

FY 2009 UASI Target Allocations

		Urban Area	FY 2009 Target Allocation	Law Enforcement Terrorism Prevention Activities Minimum
TIER 1	California	Bay Area	\$40,638,250	\$10,159,563
		Los Angeles/Long Beach Area	\$68,290,450	\$17,072,613
	District of Columbia	National Capital Region	\$58,006,500	\$14,501,625
	Illinois	Chicago Area	\$52,320,650	\$13,080,163
	New Jersey	Jersey City/Newark Area	\$35,298,150	\$8,824,538
	New York	New York City Area	\$145,137,750	\$36,284,438
	Texas	Houston Area	\$39,555,450	\$9,888,863
TIER 2	Arizona	Phoenix Area	\$10,984,400	\$2,746,100
		Tucson Area	\$4,515,350	\$1,128,838
	California	Anaheim/Santa Ana Area	\$12,753,750	\$3,188,438
		Riverside Area	\$5,277,100	\$1,319,275
		Sacramento Area	\$3,938,300	\$984,575
		San Diego Area	\$14,735,000	\$3,683,750
		Oxnard Area	\$2,502,950	\$625,738
	Colorado	Denver Area	\$7,233,800	\$1,808,450
	Connecticut	Bridgeport Area	\$2,807,300	\$701,825
		Hartford Area	\$2,747,000	\$686,750
	Florida	Fort Lauderdale Area	\$6,063,400	\$1,515,850
		Jacksonville Area	\$5,436,850	\$1,359,213
		Miami Area	\$11,039,500	\$2,759,875
		Orlando Area	\$5,160,400	\$1,290,100
		Tampa Area	\$7,933,950	\$1,983,488
	Georgia	Atlanta Area	\$13,509,000	\$3,377,250
	Hawaii	Honolulu Area	\$4,754,750	\$1,188,688
	Indiana	Indianapolis Area	\$7,104,600	\$1,776,150
	Kentucky	Louisville Area	\$2,198,500	\$549,625
	Louisiana	Baton Rouge Area	\$3,048,900	\$762,225
		New Orleans Area	\$5,429,600	\$1,357,400
	Maryland	Baltimore Area	\$10,974,900	\$2,743,725
	Massachusetts	Boston Area	\$14,564,400	\$3,641,100
	Michigan	Detroit Area	\$13,481,450	\$3,370,363
	Minnesota	Twin Cities Area	\$8,248,000	\$2,062,000
	Missouri	Kansas City Area	\$7,694,550	\$1,923,638
		St. Louis Area	\$8,532,900	\$2,133,225
	Nevada	Las Vegas Area	\$8,579,000	\$2,144,750
	New York	Albany Area	\$1,924,250	\$481,063
		Buffalo Area	\$5,040,700	\$1,260,175
		Rochester Area	\$2,342,900	\$585,725
		Syracuse Area	\$1,869,300	\$467,325
North Carolina	Charlotte Area	\$4,579,950	\$1,144,988	
Ohio	Cincinnati Area	\$4,969,150	\$1,242,288	
	Cleveland Area	\$5,086,800	\$1,271,700	
	Columbus Area	\$4,349,600	\$1,087,400	

		Urban Area	FY 2009 Target Allocation	Law Enforcement Terrorism Prevention Activities Minimum
		Toledo Area	\$2,287,550	\$571,888
Oklahoma		Oklahoma City Area	\$4,404,700	\$1,101,175
		Tulsa Area	\$2,160,450	\$540,113
Oregon		Portland Area	\$7,178,700	\$1,794,675
Pennsylvania		Philadelphia Area	\$17,950,450	\$4,487,613
		Pittsburgh Area	\$6,395,400	\$1,598,850
Puerto Rico		San Juan Area	\$3,183,250	\$795,813
Rhode Island		Providence Area	\$4,764,250	\$1,191,063
Tennessee		Memphis Area	\$4,229,900	\$1,057,475
		Nashville Area	\$2,986,200	\$746,550
Texas		Austin Area	\$2,922,550	\$730,638
		Dallas/Fort Worth/Arlington Area	\$19,305,450	\$4,826,363
		El Paso Area	\$5,381,750	\$1,345,438
		San Antonio Area	\$6,220,150	\$1,555,038
Utah		Salt Lake City Area	\$2,938,300	\$734,575
Virginia		Norfolk Area	\$7,372,000	\$1,843,000
		Richmond Area	\$2,710,700	\$677,675
Washington		Seattle Area	\$11,313,600	\$2,828,400
Wisconsin		Milwaukee Area	\$4,266,450	\$1,066,613
Total			\$798,631,250	\$199,657,826

3. **FY 2009 MMRS Allocation.** FY 2009 MMRS funding will be divided evenly among the 124 MMRS jurisdictions listed below.

FY 2009 MMRS Funding Allocations

State	MMRS Jurisdictions	State Total
Alabama	Birmingham, Huntsville, Mobile, and Montgomery	\$1,284,884
Alaska	Anchorage and Juneau	\$642,442
Arizona	Glendale, Mesa, Phoenix, and Tucson	\$1,284,884
Arkansas	Little Rock	\$321,221
California	Anaheim, Bakersfield, Fremont, Fresno, Glendale, Huntington Beach, Long Beach, Los Angeles, Modesto, Oakland, Riverside, Sacramento, San Bernardino, San Diego, San Francisco, San Jose, Santa Ana, and Stockton	\$5,781,978
Colorado	Aurora, Colorado Springs, and Denver	\$963,663
Connecticut	Hartford	\$321,221
Florida	Fort Lauderdale, Hialeah, Jacksonville, Miami, Orlando, St. Petersburg, and Tampa	\$2,248,547
Georgia	Atlanta and Columbus	\$642,442
Hawaii	Honolulu	\$321,221
Illinois	Chicago	\$321,221
Indiana	Ft. Wayne and Indianapolis	\$642,442
Iowa	Des Moines	\$321,221
Kansas	Kansas City and Wichita	\$642,442
Kentucky	Lexington/Fayette and Louisville	\$642,442
Louisiana	Baton Rouge, Jefferson Parish, New Orleans, and Shreveport	\$1,284,884

Maryland	Baltimore	\$321,221
Massachusetts	Boston, Springfield, and Worcester	\$963,663
Michigan	Detroit, Grand Rapids, and Warren	\$963,663
Minnesota	Minneapolis and St. Paul	\$642,442
Mississippi	Jackson	\$321,221
Missouri	Kansas City and St. Louis	\$642,442
Nebraska	Lincoln and Omaha	\$642,442
Nevada	Las Vegas	\$321,221
New Hampshire	Northern New England MMRS	\$321,221
New Jersey	Jersey City and Newark	\$642,442
New Mexico	Albuquerque	\$321,221
New York	Buffalo, New York City, Rochester, Syracuse, and Yonkers	\$1,606,105
North Carolina	Charlotte, Greensboro, and Raleigh	\$963,663
Ohio	Akron, Cincinnati, Cleveland, Columbus, Dayton, and Toledo	\$1,927,326
Oklahoma	Oklahoma City and Tulsa	\$642,442
Oregon	Portland	\$321,221
Pennsylvania	Allegheny County and Philadelphia	\$642,442
Rhode Island	Providence	\$321,221
South Carolina	Columbia	\$321,221
Tennessee	Chattanooga, Knoxville, Memphis, and Nashville	\$1,284,884
Texas	Amarillo, Arlington, Austin, Corpus Christi, Dallas, El Paso, Fort Worth, Garland, Houston, Irving, Lubbock, San Antonio, and Southern Rio Grande	\$4,175,873
Utah	Salt Lake City	\$321,221
Virginia	Arlington County, Chesapeake, Newport News, Norfolk, Richmond, and Virginia Beach	\$1,927,326
Washington	Seattle, Spokane, and Tacoma	\$963,663
Wisconsin	Madison and Milwaukee	\$642,442
Total		\$39,831,404

4. **FY 2009 CCP Allocations.** CCP allocations are determined using the USA PATRIOT Act (Public Law 107-56) formula, which specifies that all 50 States, the District of Columbia, and Puerto Rico will receive a minimum of 0.75 percent of the total available grant funding, and that four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum of 0.25 percent of the total available grant funding. The balance of CCP funds are distributed on a population-share basis. In addition to CCP allocations, States and Urban Areas are encouraged to fully leverage all HSGP resources to accomplish the Citizen Corps mission.

FY 2009 CCP Funding Allocations

State/Territory	Allocation	State/Territory	Allocation
Alabama	\$241,527	Nevada	\$182,596
Alaska	\$128,823	New Hampshire	\$146,892
Arizona	\$290,414	New Jersey	\$357,481
Arkansas	\$190,294	New Mexico	\$165,581
California	\$1,153,746	New York	\$660,697
Colorado	\$248,204	North Carolina	\$368,199
Connecticut	\$209,367	North Dakota	\$127,573
Delaware	\$134,003	Ohio	\$436,943
District of Columbia	\$126,103	Oklahoma	\$212,653
Florida	\$630,795	Oregon	\$216,372

Georgia	\$382,020	Pennsylvania	\$464,542
Hawaii	\$145,965	Rhode Island	\$139,520
Idaho	\$152,137	South Carolina	\$235,237
Illinois	\$476,536	South Dakota	\$132,044
Indiana	\$290,601	Tennessee	\$285,213
Iowa	\$194,673	Texas	\$792,325
Kansas	\$188,614	Utah	\$184,880
Kentucky	\$230,487	Vermont	\$127,045
Louisiana	\$231,965	Virginia	\$329,655
Maine	\$146,931	Washington	\$294,119
Maryland	\$269,829	West Virginia	\$161,070
Massachusetts	\$293,586	Wisconsin	\$269,352
Michigan	\$397,081	Wyoming	\$124,233
Minnesota	\$257,808	Puerto Rico	\$221,941
Mississippi	\$192,694	U.S. Virgin Islands	\$39,570
Missouri	\$277,260	American Samoa	\$38,284
Montana	\$136,658	Guam	\$41,457
Nebraska	\$159,999	Northern Mariana Islands	\$38,906
Total			\$14,572,500

PART III.

ELIGIBILITY INFORMATION

A. Eligible Applicants

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 apply to FEMA for HSGP funds.**

To be eligible to receive FY 2009 HSGP funding, applicants must meet NIMS compliance requirements. The NIMSCAST will be the required means to report FY 2008 NIMS compliance for FY 2009 preparedness award eligibility. All State and territory grantees were required to submit their compliance assessment via the NIMSCAST by September 30, 2008 in order to be eligible for FY 2009 preparedness programs. The State or territory department/agency grantee reserves the right to determine compliance reporting requirements of their sub-awardees (locals) in order to disperse funds at the local level.

For FY 2009 there are no new NIMS compliance objectives. If FY 2008 NIMS compliance was reported using NIMSCAST and the grantee has met all NIMS compliance requirements, then NIMSCAST will only require an update in FY 2009. Additional information on achieving compliance is available through the FEMA National Integration Center (NIC) at <http://www.fema.gov/emergency/nims/>.

B. Cost Sharing

In FY 2009, there is an optional cash or in-kind cost share.

C. Restrictions

Please see Part IV.E. for HSGP Priorities Threshold, Law Enforcement Terrorism Prevention, Management & Administration (M&A) limits, and allowable/unallowable costs guidance.

PART IV.
**APPLICATION AND SUBMISSION
INFORMATION**

A. Address to Request Application Package

DHS participates in the Administration’s e-government initiative. As part of that initiative, all applications must be filed using the Administration’s common electronic “storefront” -- [grants.gov](http://www.grants.gov). Eligible SAAs must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>. To access application forms and instructions, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.” If you experience difficulties or have any questions, please call the [grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726.

B. Content and Form of Application

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

- Investment Justification Report from the Grants Reporting Tool (see Part IV.F. below for more information)
- For grantees with UASI Urban Areas: an overview of the UAWG structure and a list of members and their associated jurisdictions
- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information
- Standard Form 424B Assurances
- Standard Form LLL, Disclosure of Lobbying Activities
- Standard Form 424C, Budget Information – Construction Form (if applicable)
- Standard Form 424D, Assurances – Construction Programs (if applicable)

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is “*Homeland Security Grant Program*.” The CFDA number is **97.067**.

2. Application via [grants.gov](http://www.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](http://www.grants.gov).

Eligible SAAs must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

3. **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://www.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 (866) 705-5711.
4. **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>, as well as apply for funding through [grants.gov](http://www.grants.gov).
5. **Investment Justification.** As part of the FY 2009 HSGP application process, applicants must develop a formal Investment Justification that addresses each Investment being proposed for funding. The Investment Justification 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 2009 HSGP submission. The web-based Investment Justification submission module in the GRT will be available on January 1, 2009. 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 2009 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 2009 HSGP submission.

Specific instructions for submitting and completing Investments are included in Part IV.F., as well as in the *FY 2009 HSGP Investment Justification Reference Guide*.

Multi-Applicant Investments

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

Investment Justification Questions and Scoring Criteria

HSGP applicants must provide information in the following categories for each proposed Investment. The table below includes scoring criteria for each section and the weights that will be applied to reinforce priority areas.

Investment Justification Outline

Question	Scoring Criteria
OVERALL	
<p>Overall Investment Justification Question: 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.</p> <p>States applying for HSGP funding must also include a description of how they plan to allocate grant funds to local units of government within 45 days of award.</p>	<p>The information provided is not scored as an individual section; however, it is considered in the Portfolio Score, and should demonstrate the relationship between the individual Investments and the applicant’s understanding of risk</p>
<p>Management & Administrative Costs: States, territories and Urban Areas must provide a brief overall summary of planned management and administrative (M&A) expenditures that support the implementation of the Investments proposed in this Investment Justification.</p>	<p>The information provided is not scored as an individual section; however, it is considered in the Portfolio Score</p>

Question	Scoring Criteria
<p>Project Management: Describe the management team’s roles and responsibilities, governance structures, and subject matter expertise specifically required for all of the Investments included in this Investment Justification.</p>	<p>The information provided is not scored as an individual section; however, it <i>is</i> considered in the Portfolio Score and should demonstrate the team’s ability to manage the Investments listed in the application</p>
BASELINE	
<p>Investment Heading:</p> <ul style="list-style-type: none"> • State/territory name • Urban Area name (if applicable) • Investment name • Total FY 2009 HSGP estimated funding • Investment Phase – Ongoing or New • Multi-Applicant Investment – Yes or No 	<p>The information provided is not scored</p>
<p>I.A. Baseline – Previous HSGP Request Name and Funding: 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.</p>	
<p>I.B. Baseline – Purpose Statement: Describe, at a high-level, what activities will be implemented and what will be accomplished by this Investment.</p>	<p>The information provided is not scored as an individual section; however, it <i>is</i> considered in the Comprehensive Investment Score and should establish the Investment’s background and progress made to date</p>
<p>I.C. Baseline – Description: Provide a description of the current state of this Investment, its objectives, and any accomplishments that will be completed <u>prior</u> to the application of FY 2009 HSGP funds. Include in this description whether this is a new or ongoing Investment. Describe the capability gap(s) that this Investment is intended to address.</p>	

Question	Scoring Criteria
STRATEGY (15%)	
<p>II.A. Strategy – State Preparedness Report: Explain how this Investment supports Initiatives in the State Preparedness Report. Please reference relevant page numbers in the State Preparedness Report.</p>	<ul style="list-style-type: none"> • Response provides linkage between the Investment and Initiatives from the State Preparedness Report • Response demonstrates how the Investment will contribute to reaching State Preparedness Report targets
<p>II.B. Strategy – Homeland Security Strategy goals and objectives: 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.</p>	<ul style="list-style-type: none"> • 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
<p>II.C. Strategy – Target Capabilities: 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.</p>	<ul style="list-style-type: none"> • Response provides linkage between the Investment and the selected primary Target Capability • Response demonstrates how the Investment will support the selected primary Target Capability
<p>II.D. Strategy – National Priorities: From the drop-down boxes, select the National Priority(ies) that this Investment supports; up to four may be selected.</p>	<p>The information provided is not scored as an individual section; however, it is considered in the Comprehensive Investment Score</p>

Question	Scoring Criteria
FUNDING PLAN (15%)	
<p>III.A. Funding Plan: Provide the total estimated cost to implement this Investment during the three year, FY 2009 HSGP period of performance by completing the following table:</p> <ul style="list-style-type: none"> • For each solution area that has an associated FY 2009 HSGP cost, provide a brief summary of the planned expenditures (including personnel) • If this Investment includes an optional cost share, provide the cash or in-kind funding amounts in the appropriate section of the funding table and describe how those funds will be applied • Other sources of funding should be identified and described appropriately 	<ul style="list-style-type: none"> • Response references the appropriate activities, services, or products for the solution area • Response describes how the estimated HSGP costs will be used specifically towards this Investment • The optional cash and in-kind cost share identified are considered in the effectiveness analysis
ACCOMPLISHMENTS, CHALLENGE MITIGATION (35%)	
<p>III.B. Accomplishments: Identify up to five accomplishments that will be achieved within the three year, FY 2009 HSGP period of performance. For each accomplishment:</p> <ul style="list-style-type: none"> • Identify the planned end date for when the accomplishment will occur • Identify at least one milestone that will indicate the Investment is progressing towards the accomplishment • Identify at least one challenge that may impede the achievement of the accomplishment within the period of performance 	<ul style="list-style-type: none"> • Each response provides a clear description of the Investment's accomplishments • Milestones collectively present a clear sequence of events that will lead to the associated accomplishment • Challenges should describe potential barriers to both the successful implementation of the proposed Investment and the completion of the associated accomplishments within the FY 2009 HSGP period of performance

Question	Scoring Criteria
<p>III.C. Challenge Mitigation: Explain how the management team described in the Overall section will mitigate challenges and ensure that the expected accomplishments and milestones for this Investment will be achieved within the three year, FY 2009 HSGP period of performance.</p>	<ul style="list-style-type: none"> • Response describes how the management team will mitigate challenges to meet milestones in order to achieve the accomplishments for the proposed Investment
IMPACT (35%)	
<p>IV.A. Impact on Identified Risk: Describe how achieving this Investment’s accomplishments will reduce your identified risk as described in the Overall Investment Justification question.</p>	<ul style="list-style-type: none"> • Response describes how the accomplishments will reduce risks outlined in the Overall Investment Justification question
<p>IV.B. Sustainability: Describe the long-term approach to sustaining the capabilities created or enhanced by this Investment, or explain why this Investment will not be sustained.</p>	<ul style="list-style-type: none"> • Response describes how the capabilities developed by this Investment will be maintained/sustained beyond the three year FY 2009 HSGP period of performance, or • Response describes why the Investment will not be maintained/sustained long-term

Multi-Applicant Questions and Scoring Criteria

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

The *FY 2009 HSGP Investment Justification Reference Guide* will outline how partners should coordinate to complete the Multi-Applicant Investment.

C. Submission Dates and Times

Completed applications must be submitted electronically through www.grants.gov **no later than 11:59 PM EDT, March 20, 2009**. Late applications will neither be considered nor reviewed. Upon successful submission, a confirmation e-mail message will be sent with a grants.gov tracking number, which is needed to track the status of the application.

D. Intergovernmental Review

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

E. Funding Restrictions

The applicable SAAs will be responsible for administration of the FY 2009 HSGP. In administering the program, the SAA must work with the eligible applicants to comply with the following general requirements:

- 1. HSGP Priorities Threshold.** As noted before, FY 2009 HSGP will focus on six objectives as its highest priorities, of which at least 25 percent of HSGP funds must be dedicated to **Strengthening Preparedness Planning**.
- 2. Law Enforcement Terrorism Prevention.** Per the 9/11 Act and *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009* (Public Law 110-329), FY 2009 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.
- 3. 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%).
- 4. Allowable Costs.** A crosswalk of allowable costs across the HSGP programs can be found in Part VIII of this Guidance package, along with additional detail on Planning, Equipment, Training, and Exercises costs. The following pages outline global allowable costs guidance applicable to all programs included in the HSGP. Allowable Investments made in support of the HSGP Priorities as well as other capability-enhancing projects must fall into the categories of Planning, Organization, Equipment, Training, or Exercises. Additional detail about each of these allowable expense categories, as well as sections on additional activities including explicitly unallowable costs is provided. In general, grantees should consult their FEMA

Program Analyst prior to making any Investment that does not clearly meet the allowable expense criteria established by the guidance.

Planning Activities

States and Urban Areas are strongly encouraged to use FY 2009 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, nongovernmental entities, and the general public in planning activities.³

Organizational Activities (SHSP and UASI only)

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

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

States and Urban Areas must justify proposed expenditures of SHSP or UASI funds to support organization activities within their Investment Justification submission by using historical data or other analysis.⁴ All States are allowed to utilize up to 50 percent of their FY 2009 SHSP funding and all Urban Areas are allowed up to 50 percent of their FY 2009 UASI funding for Organizational activities⁵. At the request of a recipient of a grant, the Administrator may grant a waiver of the limitation noted above (50 percent).

- **Overtime Costs** -- Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security and specifically requested by a Federal agency. Allowable costs are limited to overtime associated with Federally requested participation in eligible fusion activities including anti-terrorism task forces, Joint Terrorism Task Forces (JTTFs), Area Maritime Security Committees (as required by the Maritime Transportation Security Act of 2002), DHS Border Enforcement Security Task

³ Nongovernmental entities include the private sector and private nonprofit, faith-based, community, volunteer and other nongovernmental organizations.

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.

⁵ Note: Both organizational costs (e.g., intel analysts, operational overtime) and planning, equipment, training, exercise personnel costs are applied towards the 50 percent personnel cap.

Forces, and Integrated Border Enforcement Teams. Tribes must submit to DHS a written letter from a Federal agency which explicitly requests tribal staff participation in an eligible activity or illustrates how the activities support the roles and responsibilities of fusion centers as noted in Appendix 1 of the National Strategy for Information Sharing and provides an estimate of the size of the request in man-hours. Grant funding can only be used in proportion to the Federal man-hour estimate, and only after funding for these activities from other Federal sources (i.e. FBI JTTF payments to State and local agencies) has been exhausted. Under no circumstances should DHS grant funding be used to pay for costs already supported by funding from another Federal source.

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

All intelligence analyst training should be in accordance with 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 tribe and must be made available to FEMA Program Analysts upon request.

- **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 2009 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 US 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.

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

Equipment Activities

The 21 allowable prevention, protection, response, and recovery equipment categories and equipment standards for FY 2009 HSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at <https://www.rkb.us>. The Standardized Equipment List (SEL) is located on 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.

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.

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 One, Two, and Three contain guidance for exercise design, development, conduct, evaluation, and improvement planning. HSEEP Volume Four provides sample exercise materials, and HSEEP Volume Five: 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>.

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 2009.

Personnel Activities

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable FY 2009 HSGP planning, training, exercise, and equipment activities.

- A personnel cap of up to 50 percent of total program funds may be used for personnel and personnel-related activities as directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412). Grantees who wish to seek a waiver from the personnel cap must provide documentation explaining why the cap is unacceptable; waiver requests will be considered only under extreme

circumstances. In general, the use of HSGP grant funding to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost. Activities that are considered “personnel” and “personnel-related”, and therefore count against the personnel cap of 50 percent include, but are not limited to:

- Operational overtime
- Overtime/backfill to participate in approved training or exercise deliveries
- Salaries and personnel costs of intelligence analysts
- Overtime to participate in intelligence sharing activities
- Salaries and personnel costs of planners, equipment managers, exercise coordinators, and/or training coordinators
- Salaries and personnel costs under the M&A category
- Contractor costs associated with performing the above activities

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

- Neither MMRS nor CCP have a personnel cap.
- For MMRS, hiring, overtime, backfill and professional development expenses are allowable only for dedicated MMRS Leadership personnel to perform programmatic activities and that are deemed allowable under existing guidance. Supplanting, however, is not allowed.

FY 2009 HSGP funds may not be used to support the hiring of any personnel for the purposes of fulfilling traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

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

- **Hiring** – State and local entities may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable FEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-FEMA program activities under any circumstances. Hiring will always result in a net increase of 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. Neither overtime nor backfill expenses are the result of an increase of Full-Time Equivalent (FTE) employees.

- **Supplanting** – Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

Construction and Renovation

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 and renovation of 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. Per the Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009 (Public Law 110-329), communications towers are not subject to the \$1,000,000 construction and renovation cap.

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

- A description of the asset or facility, asset location, whether the infrastructure is publicly or privately owned, and the construction or renovation project

- Certification that a facility vulnerability assessment has been conducted
- An outline addressing how the construction or renovation project will address the identified vulnerabilities from the assessment
- Consequences of not implementing the construction or renovation project
- Any additional information requested by FEMA to ensure compliance with Federal environmental and historic preservation requirements

Grantees should refer to FEMA's Information Bulletin #271, *Environmental and Planning and Historic Preservation Requirements for Grants*. Additional information may also be found on the FEMA's website located at <http://www.fema.gov/plan/ehp/>.

Law Enforcement Terrorism Prevention-Oriented Allowable Costs

Section 2006 of the Homeland Security Act, as amended by the 9/11 Act, includes the following allowable activities:

- Overtime expenses consistent with a State homeland security plan, including enhanced operations in support of federal agencies, including border security and border crossing enforcement;
- Establishing, enhancing and staffing State, local and regional fusion centers;
- Paying salaries and benefits for personnel to serve as qualified intelligence analysts;
- Any other terrorism prevention activity authorized by the Administrator
- Provisions from Section 2008 also apply

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 State, local, and regional fusion centers with appropriately qualified personnel
- Subject to the limitations on Organization and Personnel Costs outlined above, paying salaries and benefits for personnel, including individuals employed by the grant recipient on the date of the relevant grant application, to serve as qualified intelligence analysts

Secure Identification

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

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

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

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

Note: Secure Identification projects requested and funded under SHSP must directly support SHSP mission goals and cannot supplant projects/activities funded under the REAL ID Grant Program.

F. Other Submission Requirements

The FY 2009 Investment Justification for HSGP will be web-based. The Investment Justification will be completed by applicants using the Grants Reporting Tool (GRT). Once Investment Justifications are marked 'complete' in GRT by applicants, the SAA will then need to submit the final application through grants.gov.

Please allow enough time before (or no later than 11:59 PM EDT) March 20, 2009 to complete the Investment Justification in GRT and submit the required application materials in grants.gov.

The following steps must be completed to submit an Investment Justification to FEMA GPD:

1. Log into the GRT

On January 1, 2009 users will be directed to log into the GRT to begin their completion of the online Investment Justification.

In order to complete the Investment Justification, applicants should direct their web browser to <https://www.reporting.odp.dhs.gov/>. To login, all 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 Investment Justification 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 FEMA Program Analyst. Once access has been granted, users may enter the Investment Justification Submission module, via the GRT, and complete their online Investment Justification.

2. Complete the Investment Justification in the GRT

The purpose of the Investment Justification Submission Module is to provide users the ability to complete and submit their FY 2009 Investment Justification online. A MS Word worksheet has been provided by FEMA 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). Once finished entering Investment Justification information, State and local users can mark their Investments 'complete' and notify their SAA Admin of their Investment status.

Upon completion of all Investments, the SAA Admin is then required to make the final submission to FEMA through [grants.gov](http://www.grants.gov) (see Step 3).

3. Submit Investment Justification through [grants.gov](http://www.grants.gov)

After the Investment Justification application has been marked 'complete' in the GRT, SAAs on behalf of applicants thereafter must also apply through [grants.gov](http://www.grants.gov) at <http://www.grants.gov> to complete the submission process.

Please allow enough time before **(or no later than 11:59 PM EDT) March 20, 2009:**

- Complete the Investment Justification in the GRT first: **and**
- Upload the required application materials into [grants.gov](http://www.grants.gov).

Additional technical information regarding GRT Investment Justification Submission will be available to all users in the GRT IJ Submission Technical User's Guide.

PART V.

APPLICATION REVIEW INFORMATION

A. Review Criteria

FY 2009 HSGP will use risk-based prioritization for SHSP and UASI consistent with DHS policy outlined in this guidance document. Each applicant's targeted allocation will be determined using a combination of the results of the risk and effectiveness analyses.

Applications will be evaluated through a State and local 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 Investment. This information will be used to evaluate the anticipated effectiveness of all proposed Investments. Please refer to Section IV.B. for the Investment Justification questions and scoring criteria.

B. Review and Selection Process

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 Justification 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 and Urban Area Homeland Security Strategies and 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 targeted funding to the Secretary of Homeland Security.

Note: Upon award, the recipient may only fund Investments that were included in the FY 2009 Investment Justification that was submitted to FEMA and evaluated through the peer review process. In addition, release of targeted HSGP funding is subject to successful completion and approval of Investment Justifications.

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

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

Multi-State Investments. The recipient agrees to fund any multi-state or multi-urban area Investments that were included in the FY 2009 Investment Justification that was submitted to FEMA and received a bonus in the effectiveness analysis.

C. Anticipated Announcement and Award Dates

FEMA will evaluate and act on applications within 90 days following close of the application period, consistent with the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329). Awards will be made on or before September 30, 2009.

PART VI.

AWARD ADMINISTRATION INFORMATION

A. Notice of Award

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the “award date.” Notification of award approval is made through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized grantee official. Follow the directions in the notification 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, please contact your Program Analyst 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.

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 local units of government⁶, 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 HSGP⁷. 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 SAA must obligate at least 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 at least 80 percent of the funds to local units of government

⁶ As defined in the *House Report* (H. Rept. 110-862) and the *Senate Report* (S. Rept. 110-396) accompanying the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009* (Public Law 110-329), 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.”

⁷ For purposes of the FY 2009 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).

within 45 days of receipt of the funds. Additionally, no pass-through requirements will be applied to the District of Columbia, Guam, American Samoa, the 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 at least 97 percent of MMRS grant funds within 45 days of receipt.

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

For SHSP and UASI programs involving obligation of funds, the State may retain some of the allocation of grant funds for expenditures made by the State on behalf of the local unit of government or Urban Area jurisdiction. This may occur only with the written consent of the local unit of government or Urban Area jurisdiction, with the written consent specifying the amount of funds to be retained and the intended use of funds. If a written consent agreement is already in place from previous fiscal years, FEMA will continue to recognize it for FY 2009. If any modifications to the existing agreement are necessary to reflect new initiatives, States should contact their assigned Program Analyst.

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.

The period of performance is 36 months. Any unobligated funds will be deobligated at the end of the 90 day close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required.

B. Administrative and National Policy Requirements

- 1. State Preparedness Report.** The *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 109-295) requires any State that receives Federal preparedness assistance to submit a State Preparedness Report to DHS. FEMA will provide additional guidance on the requirements for updating State Preparedness Reports. **Receipt of this report is a prerequisite for applicants to receive any FY 2009 DHS preparedness grant funding.**
- 2. Standard Financial Requirements.** The grantee and any subgrantee shall comply with all applicable laws and regulations. A non-exclusive list of regulations commonly applicable to DHS grants are listed below:

2.1 -- Administrative Requirements.

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

2.2 -- Cost Principles.

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

2.3 -- Audit Requirements.

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

2.4 -- Duplication of Benefits. There may not be a duplication of any federal assistance, per A-87, Basic Guidelines Section C.3 (c), which states: Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Circular may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements.

3. Non-supplanting Requirement. Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

4. Technology Requirements.

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

4.2 -- Geospatial Guidance. Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). FEMA encourages grantees to align any

geospatial activities with the guidance available on the FEMA website at <http://www.fema.gov/grants>.

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

5. Administrative Requirements.

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

5.2 -- Protected Critical Infrastructure Information (PCII). The PCII Program, established pursuant to the *Critical Infrastructure Information Act of 2002* (Public Law 107-296) (CII Act), created a new framework, which enables State and local jurisdictions and members of the private sector to voluntarily 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 a 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 a memorandum of agreement (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.

5.3 -- Compliance with Federal civil rights laws and regulations. The grantee is required to comply with Federal civil rights laws and regulations.

Specifically, the grantee is required to provide assurances as a condition for receipt of Federal funds that its programs and activities comply with the following:

- *Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000 et. seq.* – 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.
- *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.
- *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et. seq.* – discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance.
- *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.

5.4 -- Services to limited English proficient (LEP) persons. Recipients of FEMA financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, natural origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. The grantee is encouraged to consider the need for language services for LEP persons served or encountered both in developing their proposals and budgets and in conducting their programs and activities. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, see <http://www.lep.gov>.

5.5 -- 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, *Individuals with Disabilities in Emergency Preparedness* signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Executive Order 13347 requires the Federal government to encourage consideration of the needs of individuals with disabilities served by State, local, 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:

- **Comprehensive Preparedness Guide 301 (CPG-301): Interim Emergency Management Planning Guide for Special Needs Populations:** CPG-301 is designed to aid tribal, State, territorial, and local governments in planning for individuals with special needs. CPG-301 outlines special needs considerations for: Developing Informed Plans; Assessments and Registries; Emergency Public Information/Communication; Sheltering and Mass Care; Evacuation; Transportation; Human Services/Medical Management; Congregate Settings; Recovery; and Training and Exercises. CPG-301 is available at <http://www.fema.gov/pdf/media/2008/301.pdf>.
- **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/oe/reference/>.
- **Disability and Emergency Preparedness Resource Center:** A web-based "Resource Center" that includes dozens of technical assistance materials to assist emergency managers in planning and response efforts related to people with disabilities. The "Resource Center" is available at <http://www.disabilitypreparedness.gov>.
- **Lessons Learned Information Sharing (LLIS) resource page on Emergency Planning for Persons with Disabilities and Special Needs:** A true one-stop resource 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 Federal, State, and local levels. To access the resource page, log onto <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.

5.6 -- Compliance with the National Energy Conservation Policy and Energy Policy Acts. In accordance with the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329), grant funds must comply with the following two requirements:

- None of the funds made available shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order 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).

5.7 -- 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 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 these 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.

Recipient shall not undertake any project having the potential to impact EHP resources without the prior approval of FEMA, including but not limited to communications towers, physical security enhancements, new construction, and **modifications to buildings, structures and objects** that are 50 years old or greater. Recipient must comply with all conditions placed on the project as the result of the EHP review. Any change to the approved project scope of work will require re-evaluation for compliance with these EHP requirements. If ground disturbing activities occur during project implementation, the recipient must ensure monitoring of ground disturbance, and if any potential archeological resources are discovered, the recipient will immediately cease construction in that area and notify FEMA and the appropriate State Historic Preservation Office. **Any construction activities that have been initiated without the necessary EHP review and approval will result in a non-compliance finding and will not be eligible for FEMA 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*, available at

<http://ojp.usdoj.gov/odp/docs/info271.pdf>. Additional information and resources can also be found at <http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm>.

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

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

5.10 -- Equipment Marking. Applicants are advised that, when practicable, any equipment purchased with grant funding shall be prominently marked as follows: "Purchased with funds provided by the U.S. Department of Homeland Security."

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

5.12 -- National Preparedness Reporting Compliance. *The Government Performance and Results Act* (Public Law 103-62) (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. Award recipients must agree to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within their grant agreement. This includes any assessments, audits, or investigations conducted by the Department of Homeland Security, Office of the Inspector General, or the Government Accountability Office.

5.13 – 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 SHSP. Prior to allocating grant funding for stockpiling purposes, each State must have FEMA’s approval of a viable inventory management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning.

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 SHSP. GPD and LMD will establish guidelines and requirements for the purchase of these supplies under SHSP and monitor development and status of the State’s inventory management plan and distribution strategy.

C. Reporting Requirements

Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements. Please note that FEMA Payment and Reporting System (PARS) contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

- 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.

Reporting periods and due dates:

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

- 2. 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 reports. Awardees should include a statement in the narrative field of the CAPR that reads: *See BSIR*.

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

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

Required submission: CAPR (due semi-annually).

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

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

- 4. Biannual Strategy Implementation Reports (BSIR).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicable SAAs are responsible for completing and submitting the BSIR reports which is a component of the CAPR. 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 is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Future awards and fund drawdowns may be withheld if these reports are delinquent.

Required submission: BSIR (due semi-annually).

- 5. Exercise Evaluation and Improvement.** Exercises, implemented with grant funds, should be threat and performance-based and should evaluate performance of the targeted capabilities required to respond to the exercise scenario. Guidance related to the conduct exercise evaluations and the implementation of improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Manual* located at <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 the FEMA

secure Portal (<https://preparednessportal.dhs.gov/>) within 60 days following completion of the exercise.

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

Required submissions: AARs and IPs (as applicable).

- 6. Financial and Compliance Audit Report.** Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accountability Office, *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2009 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.

Monitoring

Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met. Programmatic monitoring may also include the Regional Federal Preparedness Coordinators, when appropriate, to ensure consistency of project Investments with Regional and National goals and policies, as well as to help synchronize similar investments ongoing at the Federal, State, and local levels.

Monitoring will be accomplished through a combination of 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.

Grant Close-Out Process

Within 90 days after the end of the period of performance, grantees 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 close-out notice will be completed to close out the grant. The notice will indicate the project as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR. The grantee is responsible for returning any funds that have been drawdown but remain as unliquidated on grantee financial records.

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.

PART VII.

FEMA CONTACTS

This section describes several resources that may help applicants in completing a FEMA grant application. During the application period FEMA will identify multiple opportunities for a cooperative dialogue between the Department and applicants. This commitment is intended to ensure a common understanding of the funding priorities and administrative requirements associated with the FY 2009 HSGP, and to help in submission of projects that will have the highest impact on reducing risks.

- 1. Centralized Scheduling & Information Desk (CSID) Help Line.** 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. 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.

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. 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. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.
- 3. GSA's State and Local Purchasing Programs.** 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
Cooperative Purchasing, authorized by statute, allows State and local governments to purchase a variety of supplies (products) and services under

specific GSA Schedule contracts to save time, money, and meet their everyday needs and missions.



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

Under this program, State and local governments have access to 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 GSA to provide State and Local governments the use of ALL GSA Federal Supply Schedules for purchase of products and services to be used to *facilitate recovery from a major disaster declared by the President under the Robert T. Stafford Disaster Relief and Emergency Assistance Act or to facilitate **recovery** from terrorism or nuclear, biological, chemical, or radiological attack.*

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

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

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit <http://www.gsa.gov/csd> to find a local customer service director in your area. For assistance at the national level, contact Tricia Reed at tricia.reed@gsa.gov, (571) 259-9921. More information is available on all GSA State and local programs at: www.gsa.gov/stateandlocal.

- 4. Exercise Direct Support.** FEMA provides support to Regions, States, and local jurisdictions in accordance with State Homeland Security Strategies and the Homeland Security Exercise and Evaluation Program (HSEEP). Support is available to conduct a Training and Exercise Plan (TEP) workshop, to develop a Multi-year TEP, and to build or enhance the capacity of a jurisdiction to design, develop, conduct, and evaluate effective exercises.

In FY 2009, 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 support discussion-based exercises (i.e., seminar, workshop or tabletop), operations-based exercises (i.e. drills, functional exercises, full scale exercises), and TEP workshops 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. Applicants are encouraged to coordinate requests for exercise support through the appropriate FEMA Regional Exercise Officer. 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 and information on the HSEEP is available on the HSEEP website, <https://hseep.dhs.gov>.

- 5. Homeland Security Preparedness Technical Assistance Program.** The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides direct support assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to prevent, protect against, respond to, and recover from terrorist and all hazard threats. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other direct support assistance programs.

More information can be found at http://www.fema.gov/about/divisions/pppa_ta.shtm

- 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 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>.

- 7. Information Sharing Systems.** FEMA encourages all State, regional, local, and Tribal entities using FY 2009 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.

PART VIII. OTHER INFORMATION – HSGP ALLOWABLE COSTS

FY 2009 Allowable Cost Matrix

Allowable Program Activities Current as of FY 2009 Programs* See the respective program guidance for additional details and/or requirements *As of Publication	FEMA				
	HSGP				
	SHSP	UASI	MMRS	CCP	LETPA
Allowable Planning Costs					
Developing scenario plans that incorporate the range of prevention, protection, response, and recovery activities for a scenario	Y	Y	Y	Y	Y
Developing and implementing homeland security support programs and adopting ongoing DHS national initiatives	Y	Y	Y	Y	Y
Developing related terrorism prevention activities	Y	Y	Y	Y	Y
Developing and enhancing plans and protocols	Y	Y	Y	Y	Y
Developing or conducting assessments	Y	Y	Y	Y	Y
Hiring of full- or part-time staff or contract/consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)	Y	Y	Y	Y	Y
Conferences to facilitate planning activities	Y	Y	Y	Y	Y
Materials required to conduct planning activities	Y	Y	Y	Y	Y
Travel/per diem related to planning activities	Y	Y	Y	Y	Y
Overtime and backfill costs (IAW operational Cost Guidance)	Y	Y	Y	Y	Y
Other project areas with prior approval from FEMA	Y	Y	Y	Y	Y
Allowable Organizational Activities					
Reimbursement for select operational expenses associated with increased security measures at critical infrastructure sites incurred during periods of DHS-declared alert (up to 50 percent of the allocation)	Y	Y			Y

Allowable Program Activities Current as of FY 2009 Programs* See the respective program guidance for additional details and/or requirements *As of Publication	FEMA				
	HSGP				
	SHSP	UASI	MMRS	CCP	LETPA
Overtime for information, investigative, and intelligence sharing activities (up to 50 percent of the allocation)	Y	Y			Y
Hiring of new staff positions/contractors/consultants for participation in information/intelligence analysis and sharing groups or fusion center activities (up to 50 percent of the allocation)	Y	Y			Y
Allowable Equipment Categories					
Personal Protective Equipment	Y	Y	Y	Y	Y
Explosive Device Mitigation and Remediation Equipment	Y	Y			Y
CBRNE Operational Search and Rescue Equipment	Y	Y	Y	Y	Y
Information Technology	Y	Y	Y	Y	Y
Cyber Security Enhancement Equipment	Y	Y	Y	Y	Y
Interoperable Communications Equipment	Y	Y	Y	Y	Y
Detection	Y	Y	Y		
Decontamination	Y	Y	Y		
Medical	Y	Y	Y	Y	
Power	Y	Y	Y	Y	Y
CBRNE Reference Materials	Y	Y	Y		Y
CBRNE Incident Response Vehicles	Y	Y	Y	Y	Y
Terrorism Incident Prevention Equipment	Y	Y			Y
Physical Security Enhancement Equipment	Y	Y			Y
Inspection and Screening Systems	Y	Y	Y		Y
Agriculture Terrorism Prevention, Response, and Mitigation Equipment	Y	Y	Y		
CBRNE Prevention and Response Watercraft	Y	Y			Y
CBRNE Aviation Equipment	Y	Y	Y		
CBRNE Logistical Support Equipment	Y	Y	Y	Y	Y
Intervention Equipment	Y	Y			Y
Other Authorized Equipment	Y	Y	Y	Y	Y
Allowable Training Costs					
Overtime and backfill for emergency preparedness and response personnel attending FEMA-sponsored and approved training classes	Y	Y	Y	Y	Y

Allowable Program Activities Current as of FY 2009 Programs* See the respective program guidance for additional details and/or requirements *As of Publication	FEMA				
	HSGP				
	SHSP	UASI	MMRS	CCP	LETPA
Overtime and backfill expenses for part-time and volunteer emergency response personnel participating in FEMA training	Y	Y	Y	Y	Y
Training workshops and conferences	Y	Y	Y	Y	Y
Full- or part-time staff or contractors/consultants	Y	Y	Y	Y	Y
Travel	Y	Y	Y	Y	Y
Supplies	Y	Y	Y	Y	Y
Tuition for higher education	Y	Y	Y	Y	Y
Other items	Y	Y	Y	Y	Y
Allowable Exercise Related Costs					
Design, Develop, Conduct and Evaluate an Exercise	Y	Y	Y	Y	Y
Exercise planning workshop	Y	Y	Y	Y	Y
Full- or part-time staff or contractors/consultants	Y	Y	Y	Y	Y
Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in FEMA exercises	Y	Y	Y	Y	Y
Implementation of HSEEP	Y	Y	Y	Y	Y
Travel	Y	Y	Y	Y	Y
Supplies	Y	Y	Y	Y	Y
Other items	Y	Y	Y	Y	Y
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	Y	Y	Y	Y
Development of operating plans for information collection and processing necessary to respond to FEMA data calls	Y	Y	Y	Y	Y
Overtime and backfill costs	Y	Y	Y	Y	Y
Travel	Y	Y	Y	Y	Y
Meeting related expenses	Y	Y	Y	Y	Y
Authorized office equipment	Y	Y	Y	Y	Y
Recurring expenses such as those associated with cell phones and faxes during the period of performance of the grant program	Y	Y	Y	Y	Y
Leasing or renting of space for newly hired personnel during the period of performance of the grant program	Y	Y	Y	Y	Y

OTHER INFORMATION – HSGP ALLOWABLE EXPENSES

Overview

The following provides guidance on allowable costs within Planning, Equipment, Training, and Exercise activities.

Planning Activities Information

The *FY 2009 HSGP Guidance and Application Kit* defines five 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
 - Enhancing and implementing Statewide Communication Interoperability Plans (SCIP) and Tactical Interoperable Communications Plans (TICP)
 - Aligning SCIPs and TICPs to the goals and objectives of the National Emergency Communications Plan (NECP)
 - Costs associated with the adoption, implementation and adherence to NIMS compliance requirements, including implementing the NIMS National Credentialing Framework.
 - Modifying existing incident management and EOPs to ensure proper alignment with the NRF coordinating structures, processes, and protocols
 - Establishing or enhancing mutual aid agreements
 - Developing communications and interoperability protocols and solutions
 - Conducting local, regional, and Tribal program implementation meetings
 - Developing or updating resource inventory assets in accordance to typed resource definitions issued by the NIMS Integration Center (NIC)
 - Designing State and local geospatial data systems
 - 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 public health care and health security data-gathering (threats to human and animal health) within State and local fusion centers to achieve early warning and mitigation of health events
 - 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)⁸
 - Underwater Terrorist Protection Plans

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

- Developing and enhancing plans and protocols, including but not limited to:
 - Developing or enhancing EOPs and operating procedures
 - Developing or enhancing local, regional, or Statewide strategic or tactical interoperable emergency communications plans
 - Implementing Statewide Communication Interoperability Plans (SCIP) and Tactical Interoperable Communications Plans (TICP)
 - Aligning SCIPs and TICPs to the goals and objectives of the NECP
 - Developing protocols or standard operating procedures for specialized teams to incorporate the use of equipment acquired through this grant program
 - 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 secondary health screening protocols at major points of entry (air, rail, port)
 - Developing or enhancing cyber risk mitigation plans
 - Developing or enhancing agriculture/food security risk mitigation, response, and recovery plans
 - Developing public/private sector partnership emergency response, assessment, and resource sharing plans
 - Developing or enhancing plans to engage and interface with, and to increase the capacity of, private sector/non-governmental entities working to meet the human service response and recovery needs of victims
 - Developing or updating local or regional communications plans
 - Developing plans to support and assist jurisdictions, such as port authorities and rail and mass transit agencies
 - Developing or enhancing continuity of operations and continuity of government plans
 - Developing or enhancing existing catastrophic incident response and recovery plans to include and integrate Federal assets provided under the NRF
 - 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, sheltering, mass care, resource management from non-governmental sources, unaffiliated volunteer and donations management, and volunteer resource integration to support

- o each Emergency Support Function, to include appropriate considerations for special needs populations
 - o Developing and implementing civil rights, civil liberties and privacy policies, procedures, and protocols
 - o Designing and developing State and local geospatial data systems
- Developing or conducting assessments, including but not limited to:
 - o Conducting point vulnerability assessments at critical infrastructure sites/key assets and develop remediation/security plans
 - o Conducting or updating interoperable emergency communications capabilities assessments at the local, regional, or Statewide level
 - o Developing border security operations plans in coordination with CBP
 - o Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
 - o Updating and refining threat matrices
 - o Conducting cyber risk and vulnerability assessments
 - o Conducting assessments and exercising existing catastrophic incident response and recovery plans and capabilities to identify critical gaps that cannot be met by existing local and State resources
 - o Conducting Bombing Prevention Capability Analysis
 - o Activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs across disciplines (e.g. law enforcement, fire, EMS, public health, behavioral health, public works, agriculture, information technology, and citizen preparedness)
 - o Activities that directly support the identification of pre-designated temporary housing sites
 - o Conducting community assessments, surveys, and research of vulnerabilities and resource needs, and determine citizen education and participation to meet the needs
 - o Conducting Citizen Corps program assessments and evaluations, citizen preparedness surveys, volunteer impact studies, and cost/benefit analysis
 - o Soft target security planning (public gatherings)
 - o Participating in the FEMA Gap Analysis Program

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

- a. The MMRS Jurisdiction has an applicable and up to date plan for responding to a mass casualty incident caused by any hazards; and
- b. applicable procedures and operational guides to implement the response actions within the local plan.

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

- Establishing and sustaining bodies to serve as Citizen Corps Councils
- Assuring that State and local government homeland security strategies, policies, guidance, plans, and evaluations include a greater emphasis on government/non-governmental collaboration, citizen preparedness, and volunteer participation
- Developing and implementing a community preparedness strategy for the State/local jurisdiction
- Developing or reproducing public education and outreach materials to: increase citizen preparedness and knowledge of protective actions (to include the national Ready Campaign materials); promote training, exercise, and volunteer opportunities; and inform the public about emergency plans, evacuation routes, shelter locations, and public alerts/warnings.
 - All public education and outreach materials must include the national or jurisdiction's Citizen Corps logo, tagline or website or the Ready logo, tagline, or website and comply with logo standards. For more information go to <https://www.citizencorps.gov>. In addition, all public education and outreach materials should incorporate special needs considerations, to include language, content, and method of communication.
 - Allowable expenditures include:
 - Media campaigns: 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: pens/pencils, pins, patches, magnets, souvenir clothing/headwear, etc. Expenditures for promotional items must not exceed 15 percent of the total Citizen Corps Program allocation (see CCP Equipment for information on equipment caps.)
- Establishing, enhancing or expanding volunteer programs and volunteer recruitment efforts.
 - 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 (e.g. volunteer recognition items, such as certificates or plaques).
 - Purchasing, maintaining, or subscribing to a system to track volunteers (to include identification and credentialing systems, and to track volunteer hours) and other available resources in compliance with applicable privacy laws
 - Necessary non-structural accommodations to include persons with special needs (i.e. sign language interpreters)
 - Evaluating volunteers
- Organizational activities supported with CCP funding are limited to 25 percent of the grantee's CCP funding. Organizational activities include hiring of full- or part-time staff or contractors for emergency management activities.

Additional Equipment Information

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

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

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

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

Purchases of pharmaceuticals have to include a budget for the disposal of expired drugs within the Period of Performance of the FY 2009 MMRS grant. The cost of disposal cannot be carried over to another FEMA grant or grant period.

CCP Equipment. States and Urban Areas are encouraged to fully leverage all HSGP resources for equipment to support volunteer personnel in preparedness

and response. All allowable equipment costs are listed in the AEL, available at <https://www.rkb.us>.

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

Expenditures for kits used in volunteer response (e.g., CERT or MRC kits / backpacks) or clothing for official identification must not exceed 30 percent of the total Citizen Corps Program allocation. Clothing for official identification includes those items that volunteers are required to wear when engaging in public safety activities or disaster response (e.g., t-shirts for CERT members, baseball caps for Neighborhood Watch/USAonWatch Program foot patrol members).

Training Information and Requirements

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 supported by HSGP funds. Web-Forms can be accessed through the FEMA Toolkit located at <http://www.firstrespondertraining.gov/admin>.

2. Types of training. FEMA facilitates a number of different training sources:

- **FEMA Provided Training:** These courses or programs are developed for and/or delivered by institutions and organizations funded directly by FEMA. This includes the Center for Domestic Preparedness (CDP), the National Domestic Preparedness Consortium (NDPC), the Rural Domestic Preparedness Consortium (RDPC), National Emergency Training Center (National Fire Academy and the Emergency Management Institute), and FEMA Training Partners funded through the Continuing and 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 http://www.firstrespondertraining.gov/odp_webforms.

FEMA Provided Training. FEMA funds the direct delivery of a variety of courses that States can request to meet training needs. These courses 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 Voluntary Training Enhancement Program (VTEP) or the Excess Delivery Acquisition Program (EDAP).

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

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

Attending Training Not Provided by FEMA (State or Federal Sponsored Courses). States, territories, and Urban Areas are not required to request approval from FEMA for personnel to attend training not provided by FEMA (State or Federal-sponsored courses) provided that the training is coordinated with and approved by the SAA or TPOC and falls within the FEMA mission scope and the jurisdiction's EOP and Strategy of preparing State 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.

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.

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

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

At any time, the SAA/TPOC (for State-sponsored courses) or the Federal Agency POC (for Federal sponsored courses) may request the addition of a course to the corresponding approved catalog by submitting the associated Web-Form (i.e., Request for Addition to the Approved State-Sponsored Catalog) for review. If a class on the same subject is already in the catalog, the submitting State should provide documentation as to why the course is unique, after contacting the owner(s) of the other courses to review the curriculum. This step is required to avoid unnecessary duplication of similar courses in the catalog, allow States to share course development costs, permit all States to have access to new or unique courses developed by other providers, and allow States to direct their training dollars to delivery rather than development. If it is determined that the proposed course meets the above listed criteria, the providing entity (SAA/TPOC or Federal Agency POC) will be invited to submit the Course Review and Approval Request Form along with all supporting training materials.

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

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

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

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

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

Instruction for trainers and training to support the Citizen Corps Council members in their efforts to manage and coordinate the Citizen Corps mission is also an allowable use of the FY 2009 CCP funding.

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 administering 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.

- **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 a Information Bulletin #193, issued October 20, 2005.

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 Program Analyst. 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 Plan and the schedule must both 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 guidance and on the HSEEP website (<https://hseep.gov>) under the Sample Exercise Documents section.

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).

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

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

MMRS jurisdictions, in coordination with regional, Urban Area, and State 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 Public Health Emergency Preparedness Cooperative Agreement Exercise requirements and guidance.

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

Allowable Exercise Costs

Allowable exercise-related costs include:

- **Funds Used to Design, Develop, Conduct and Evaluate an Exercise** – Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation.
- **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).
- **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, gasoline, exercise signs, badges, etc.

Unauthorized Exercise Costs

Unauthorized exercise-related costs include:

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

OTHER INFORMATION – 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.
- **Limited participation in non-FEMA approved intelligence analyst training:** States may send students to attend non-approved intelligence analysis courses for up to three offerings in accordance with the training process outlined in Parts VI and VII of this guidance document.

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

Additional Allowable Training Activities

Allowable costs include training courses that focus on:

- Building information sharing capacities (especially among law enforcement, non-law enforcement, other government agencies, and the private sector)
- Methods of target hardening
- Facility law enforcement security personnel, to include facilities, vessels and ports
- CBRNE, agriculture, and cyber threats
- History of terrorism and social environments contributing to threats
- Surveillance and counter-surveillance techniques
- Privacy, civil rights, and civil liberties regulations, policies, procedures, and protocols
- Critical Infrastructure Protection training, to include identifying/assessing critical infrastructure assets, vulnerabilities, and threats
- Cyber/agriculture/food security threats recognition and protective measures training
- Cultural awareness training for community engagement activities and undercover operations related to terrorist organizations
- Languages, such as Arabic, Urdu, or Farsi, which are spoken by known terrorists and terrorist organizations
- Joint training with other homeland security entities (e.g., U.S. Secret Service, CBP)
- 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.