

**The Department of Homeland Security (DHS)  
Notice of Funding Opportunity (NOFO)  
Fiscal Year 2016 Tribal Homeland Security Grant Program (THSGP)**

**NOTE:** Eligible recipients who plan to apply for this funding opportunity and have **not** obtained a Data Universal Numbering System (DUNS) number and/or **are not** currently registered in the System for Award Management (SAM), should take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM. It may take 4 weeks or more after the submission of a SAM registration before the registration becomes active in SAM, then an additional 24 hours for [Grants.gov](http://www.grants.gov) to recognize the information. Information on obtaining a DUNS number and registering in SAM is available from [Grants.gov](http://www.grants.gov) at: <http://www.grants.gov/web/grants/register.html>. Detailed information regarding DUNS and SAM is also provided in Section D of this NOFO, subsection, Content and Form of Application Submission.

**A. Program Description**

**Issued By**

U.S. Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), Grant Programs Directorate (GPD)

**Catalog of Federal Domestic Assistance (CFDA) Number**

97.067

**CFDA Title**

Homeland Security Grant Program

**Notice of Funding Opportunity Title**

Tribal Homeland Security Grant Program

**NOFO Number**

DHS-16-GPD-067-000-02

**Authorizing Authority for Program**

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

**Appropriation Authority for Program**

*Department of Homeland Security Appropriations Act, 2016* (Pub. L. No. 114-113)

**Program Type**

New

## **Program Overview, Objectives, and Priorities**

### **Overview**

The Fiscal Year (FY) 2016 THSGP plays an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal (the Goal) of a secure and resilient Nation. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The FY 2016 THSGP's allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas described in the Goal. The THSGP supports the Quadrennial Homeland Security Review Mission to Strengthen National Preparedness and Resilience.

### **Objectives**

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

- Advancing whole community approach to security and emergency management
- Strengthening a state or tribal community's emergency management program
- Strengthening governance integration by working with local and regional preparedness partners
- Developing or updating emergency, response, and recovery plans
- Completing the Threat and Hazard Identification and Risk Assessment (THIRA) process
- Designing and conducting exercises that engage whole community of stakeholders and validate core capabilities
- Conducting training

### **Priorities**

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

For additional information on program priorities and objectives for the FY 2016 THSGP, refer to [Appendix A – FY 2016 THSGP Priorities](#).

## **B. Federal Award Information**

### **Award Amounts, Important Dates, and Extensions**

**Available Funding for the THSGP:** \$10,000,000

**Period of Performance:** Thirty-six (36) months

Extensions to the period of performance are allowed. For additional information on period of performance extensions, refer to [Section H](#) of this NOFO, *Additional Information - Extensions*.

**Projected Period of Performance Start Date(s):** September 1, 2016

**Projected Period of Performance End Date(s):** August 31, 2019

**Funding Instrument:** Grant

**C. Eligibility Information**

**Eligible Applicants**

Directly eligible Tribes

**Eligibility Criteria**

In order to be eligible to receive THSGP funding, recipients must be directly eligible Tribes. Directly eligible Tribes are Federally recognized Tribes that meet the criteria set forth in Section 2001 of the *Homeland Security Act of 2002*, as amended, (6 U.S.C. § 601).

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

Per 6 U.S.C. § 601(4), a “directly eligible Tribe” is any federally recognized Indian Tribe that meets the following criteria:

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

Tribe or consortium of Indian Tribes for the purpose for which direct funding is sought; and

- (B) A consortium of Indian Tribes, if each Tribe satisfies the requirements of subparagraph (A).

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

In FY 2016, applicants must self-certify as to whether they meet the eligibility requirements. Self-certification will be provided on the THSGP Eligibility Certification Form as part of application Investment Justification (IJ). Additionally, DHS/FEMA will verify grant recipient eligibility against this criteria. Any questions regarding an applicant's proximity to a Critical Infrastructure (CI) site, as described in the eligibility criteria, may be directed to the State Administrative Agency (SAA) for the state with which the Tribal Nation shares a border. The State Administrative Contacts List can be found at <http://www.fema.gov/media-library/assets/documents/28689?id=6363>.

## **Other Eligibility Criteria**

### **National Incident Management System (NIMS) Implementation**

Prior to allocation of any federal preparedness awards in FY 2016, recipients must ensure and maintain adoption and implementation of NIMS.

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, credentialing, and inventorying promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications is available on FEMA's website under [NIMS Resource Management](#).

DHS/FEMA developed NIMS Guideline for Credentialing of Personnel to describe national credentialing standards and to provide written guidance regarding the use of those standards. This guideline describes credentialing and typing processes, and identifies tools which Federal Emergency Response Officials (FEROs) and emergency managers at all levels of government may use both routinely and to facilitate multijurisdictional coordinated responses.

Although state, local, tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines, DHS/FEMA strongly encourages them to do so in order to leverage the federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information is available from the <http://www.fema.gov/nims-doctrine-supporting-guides-tools>.

### Cost Share or Match

Cost share or cost match is not required under this program.

## D. Application and Submission Information

### Key Dates and Times

**Date Posted to Grants.gov:** February 16, 2016

**Application Submission Deadline:** April 25, 2016 at 11:59:59 PM EDT

All applications **must** be received by the established deadline. The Non-Disaster (ND) Grants System has a date stamp that indicates when an application is submitted. Applicants will receive an electronic message confirming receipt of the full application. In general, DHS/FEMA will not review applications that are not received by the deadline or consider them for funding. DHS/FEMA may, however, extend the application deadline on request for any applicant who can demonstrate that good cause exists to justify extending the deadline. Good cause for an extension may include technical problems outside of the applicant's control that prevent submission of the application by the deadline, or other exigent or emergency circumstances. Applicants experiencing technical issues, must notify the respective Headquarters (HQ) Program Analyst as soon as possible.

**Anticipated Funding Selection Date:** June 29, 2016

**Anticipated Award Date:** No later than September 30, 2016

### Other Key Dates:

Event	Suggested Deadline For Completion
Obtaining DUNS Number	March 18, 2016
Obtaining a valid EIN	March 18, 2016
Updating SAM registration	March 18, 2016
Submit initial application in Grants.gov	April 15, 2016
Submit application in ND Grants	April 25, 2016

### Address to Request Application Package

Application forms and instructions are available at [Grants.gov](http://www.grants.gov). To access these materials, go to <http://www.grants.gov>, select "Applicants" then "Apply for Grants." In order to obtain the application package select "Download a Grant Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of this NOFO, select "Download Package," and then follow the prompts to download the application package.

Applicants experiencing difficulties accessing information or which have any questions should call the [Grants.gov](http://Grants.gov) customer support hotline at (800) 518-4726.

A hardcopy of the NOFO is not available.

In addition, the following Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Notice is: (800) 462-7585.

### **Content and Form of Application Submission**

Applying for an award under this program is a multi-step process and requires time to complete. To ensure that an application is submitted on time applicants are advised to start the required steps well in advance of their submission. Please review the table above under *Submission Dates and Other Key Dates and Times* for estimated deadlines to complete each of the six steps listed below. Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

The steps involved in applying for an award under this program are:

1. Applying for, updating or verifying their Data Universal Numbering System (DUNS) Number;
2. Applying for, updating or verifying their Employer Identification Number (EIN) Number;
3. Updating or verifying their System for Award Management (SAM) Registration;
4. Establishing an Authorized Organizational Representative (AOR) in [Grants.gov](http://Grants.gov);
5. Submitting an initial application in [Grants.gov](http://Grants.gov); and
6. Submitting the complete application in ND Grants system.

For additional information regarding the DUNS Number, EIN Number, SAM Number, and AOR requirements, please see the section below entitled Unique Entity Identifier and System for Award Management (SAM).

### **Unique Entity Identifier and System for Award Management (SAM)**

Before applying for a DHS grant at [Grants.gov](http://Grants.gov), applicants must have a DUNS number, be registered in SAM, and be approved as an AOR.

**Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact the applicant's ability to meet required submission deadlines.**

### **Obtain an Employer Identification Number (EIN)**

FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and for grant award payment; both EIN and DUNS are also required to register with SAM (see below). The EIN base for an organization is the Internal Revenue

Service (IRS) Tax ID number, for individuals it is their social security number, (both the EIN and social security number are nine-digit numbers). Organizations and individuals submitting their applications must correctly differentiate the EIN from the DUNS since both are nine-digit numbers. If these numbers are not correctly identified in the application, a delay in the issuance of the funding award or incorrect payment to a recipient organization may result.

Organizations [applying for an EIN](#) should plan on a minimum of two full weeks to obtain an EIN. For assistance registering an EIN, please contact the [IRS helpline](#). *DHS/FEMA cannot assist applicants with questions related to obtaining a current EIN.*

### **Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) Number**

The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the SF-424 form. Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>.

The applicant must provide a DUNS number with their application. This number is a required field for all subsequent steps in the application submission. Applicants should verify they have a DUNS number, or take the steps necessary to obtain one.

Applicants can receive a DUNS number at no cost by calling the DUNS number request line at (866) 705-5711. *DHS/FEMA cannot assist applicants with questions related to obtaining a current DUNS number.*

### **Register with the System for Award Management (SAM)**

Applicants applying for grant funds electronically through [Grants.gov](#) must register with the Federal System for Award Management (SAM). Step-by-step instructions for registering with SAM can be found here:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. All applicants must register with SAM in order to apply online. Failure to register with the SAM will result in the application being rejected by [Grants.gov](#) during the submissions process.

Payment under any DHS/FEMA award is contingent on the recipient's having a current [SAM](#) registration. The SAM registration process must be completed by the applicant. It is imperative that the information provided by the applicant is correct and current. Please ensure that the organization's name, address, DUNS number and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used to apply for all other DHS/FEMA awards.

SAM registration is a multi-step process including validating the EIN with the IRS to obtain a Commercial and Government Entity (CAGE) code. The CAGE code is only valid for one year after issuance and must be current at the time of application.

SAM sends notifications to the registered user via email 60, 30, and 15 days prior to expiration of the SAM registration for the Entity. SAM registration may lapse due to

inactivity. To update or renew Entity records(s) in SAM, applicants will need to create a SAM User Account and link it to the migrated Entity records.

For assistance registering, please go to [SAM](#) or call 866-606-8220. *DHS/FEMA cannot assist applicants with questions related to registering in SAM or obtaining a current CAGE code.*

### **Authorized Organization Representative (AOR)**

The next step in the registration process is creating a username and password with [Grants.gov](#) to become an AOR. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on [Grants.gov](#) visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

### **AOR Authorization**

After creating a profile on [Grants.gov](#), the E-Biz Point of Contact (POC), a representative from the applicant organization who is the contact listed for SAM, will receive an email to grant the AOR permission to submit applications on behalf of the organization. The E-Biz POC will then log in to [Grants.gov](#) and approves an applicant as the AOR, thereby granting permission to submit applications. To learn more about AOR Authorization visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>. To track an AOR status visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not j required submission deadlines. Approval as an AOR is necessary in order to submit applications online.

### **Electronic Signature**

Applications submitted through Grants.gov constitute a submission as electronically signed applications. The registration and account creation with Grants.gov with E-Biz POC approval, establishes an AOR. When submitting the application through Grants.gov, the name of the applicant's AOR will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step often is overlooked and it is crucial for valid submissions.

DHS/FEMA may not make a THSGP award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time DHS/FEMA is ready to make an award, DHS/FEMA may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.



### **Submitting an Initial Application in [Grants.gov](http://Grants.gov)**

Applicants must submit their initial application through [Grants.gov](http://Grants.gov). Applicants may need to first create a [Grants.gov](http://Grants.gov) user profile by visiting the Get Registered section of the Grants.gov website. Successful completion of this step is necessary for DHS/FEMA to determine eligibility of the applicant. Applicants should complete this initial step on-line which requires completing:

- Standard Form 424 (SF-424), Application for Federal Assistance, and
- [Grants.gov](http://Grants.gov) (GG) Form Certification Regarding Lobbying Form.

Both forms are available in the Forms tab under SF-424 Family. The initial application cannot be started or submitted in [Grants.gov](http://Grants.gov) unless the applicant's registration in SAM is confirmed.

Application forms and instructions are available at [Grants.gov](http://Grants.gov) by selecting *Apply for Grants*. Enter the CFDA number or the Opportunity ID Number noted in this NOFO, select *Download Application Package*, and follow the prompts to download the application package. The information submitted in [Grants.gov](http://Grants.gov) will be retrieved by ND Grants, which will allow DHS/FEMA to determine if an applicant is eligible.

**Applicants are encouraged to submit their initial application in [Grants.gov](http://Grants.gov) at least ten days before the April 25, 2016 11:59:59 PM (EDT) application deadline.**

For assistance applying through [Grants.gov](http://Grants.gov), please go to the [Grant Application page](#), contact [support@grants.gov](mailto:support@grants.gov), or call 800-518-4726. *DHS/FEMA cannot assist applicants with questions related to registering with [Grants.gov](http://Grants.gov).*

### **Submitting the Complete Application in Non Disaster Grants System (ND Grants)**

Eligible applicants will be notified by DHS/FEMA and asked to proceed with submitting their complete application package in [ND Grants](#). Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement. Early registration will allow applicants to have adequate time to start and complete their applications.

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

- Standard Form 424A, Budget Information (Non-construction);
- Standard Form 424B, Standard Assurances (Non-construction); and
- Standard Form LLL, Disclosure of Lobbying Activities.

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

- THSGP Investment Justification (OMB Control Number: 1660-0113/FEMA Form: 089-22) (see [Appendix C – FY 2016 THSGP Investment Justification \(IJ\) Outline](#) for a description of the IJ and the IJ submission process);

- Standard Form 424D, Standard Assurances (Construction) if applying for funds to use for construction;
- Standard Form 424 C Budget Information (Construction) if applying for funds to use for construction; and
- Indirect Cost Agreement, if applicable.

For assistance registering for the ND Grants system, please contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076.

### **Intergovernmental Review**

An intergovernmental review may be required. Applicants must contact their State's Single Point of Contact (SPOC) to comply with the State's process under Executive Order 12372 (see <http://www.fws.gov/policy/library/rgeo12372.pdf>). Name and addresses of the SPOCs are maintained at the Office of Management and Budget's home page at [http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc) to ensure currency.

### **Funding Restrictions**

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

Additionally, pursuant to Executive Order 13688, DHS/FEMA has issued IB 407 which has placed further restrictions on controlled equipment. For more information on the Controlled Equipment List and Prohibited Equipment, see [Appendix B – FY 2016 THSGP Funding Guidelines](#).

### **Emergency Operation Plan (EOP)**

Recipients are required to complete one submission of their EOP for the entire period of performance of the grant in order to comply with Comprehensive Preparedness Guide (CPG) 101 Version 2.0, *Developing and Maintaining Emergency Operations Plans*. Recipients will use the Unified Reporting Tool (URT) to report their compliance with this reporting requirement.

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

FY 2016 THSGP award recipients must complete their THIRA using the URT once during the entire period of performance of the grant (i.e., 36 months). FY 2015 THSGP recipients receiving awards in FY 2016 must review, and as necessary, revise and update their submission for the FY 2016 award. Further details on the THIRA as it relates to THSGP Program requirements can be found in [Appendix A – FY 2016 THSGP Priorities](#). For additional guidance on THIRA, please refer to CPG 201, Second Edition, available at <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

### **FY 2016 Unified Reporting Tool (URT)**

The URT is DHS/FEMA's collection mechanism for THIRA, SPR, and related preparedness information. The FY 2016 URT includes questions related to NIMS adoption and implementation, CPG 101v2 compliance, and other preparedness questions, as appropriate. Information on the URT, including when recipients will receive the tool and how to use the tool, will be sent to recipients later in 2016.

### **Environmental Planning and Historic Preservation (EHP) Compliance**

As a federal agency, DHS/FEMA is required to consider the effects of its actions on the environment and historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with federal EHP regulations, laws and Executive Orders as applicable. Recipients and subrecipients proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the DHS/FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that DHS/FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, DHS/FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project. DHS/FEMA will not fund projects that are initiated without the required EHP review.

Additionally, all recipients are required to comply with DHS/FEMA EHP Policy Guidance. This EHP Policy Guidance can be found in FP 108-023-1, <https://www.fema.gov/media-library/assets/documents/85376> , and FP 108.24.4, [Environmental Planning and Historical Preservation Policy](#)

### **SAFECOM**

Recipients (including subrecipients) who receive awards under THSGP that wholly or partially provide funding for emergency communication projects and related activities must comply with the most recent version of the SAFECOM Guidance on Emergency Communications Grants. This guidance provides recommendations to recipients regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability. The guidance is intended to ensure that federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. Recipients (including subrecipients) investing in broadband-related investments should review [IB 386, Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments](#), and consult their FEMA HQ Program Analyst on such Investments before developing applications.

## **Pre-award Costs**

Pre-award costs are allowable only with the prior written approval of DHS/FEMA and if they are included in the award agreement. To request pre-award costs a written request must be included with the application, signed by the Authorized Representative of the entity. The letter must outline what the pre-award costs are for, including a detailed budget break-out of pre-award costs from the post-award costs, and a justification for approval.

## **Direct Costs**

### Cost Principles

Costs charged to this award must be consistent with the Cost Principles for Federal Awards located at 2 C.F.R. Part 200, Subpart E.

### Planning

Planning related costs are allowed under this program only as described in this NOFO.

### Organization

Organization costs are allowed under this program only as described in this NOFO.

### Equipment

Equipment costs are allowed under this program only as described in this NOFO.

### Training

Training related costs are allowed under this program only as described in this NOFO.

### Exercise

Exercise related costs are allowed under this program only as described in this NOFO.

### Personnel Activities

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

### Travel

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

### Construction and Renovation

Construction and renovation costs to achieve capability targets related to preventing, preparing for, protecting against, or responding to acts of terrorism are allowed under this program. For construction costs to be allowed, they must be

specifically approved by DHS/FEMA in writing prior to the use of any program funds for construction or renovation. Limits on the total amount of grant funding that may be used for construction or renovation may apply. [See Appendix B – FY 2016 THSGP Funding Guidelines](#) for additional details. Additionally, recipients are required to submit a SF-424C Budget and Budget detail citing the project costs.

#### Operational Overtime

Operational Overtime costs are allowed under this program only as described in this NOFO.

#### Maintenance and Sustainment

Maintenance and Sustainment related costs are allowed under this program only as described in this NOFO.

#### Critical Emergency Supplies

Critical emergency supply related costs are allowed under this program only as described in this NOFO.

#### Secure Identification

Secure Identification project related costs are allowed under this program only as described in this NOFO.

For additional information on allowable costs and Funding Restrictions, refer to [Appendix B – FY 2016 THSGP Funding Guidelines](#).

### **Management and Administration (M&A)**

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

### **Indirect (Facilities & Administrative [F&A]) Costs**

Indirect costs are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant federal agency) is required at the time of application, and must be provided to DHS/FEMA before indirect costs are charged to the award.

## **E. Application Review Information**

### **Application Evaluation Criteria**

FY 2016 THSGP applications will be evaluated through a three part review and selection process:

1. Applications will first be reviewed by a DHS/FEMA HQ Program Analyst to ensure the applicant meets all eligibility requirements.
2. Those eligible applications will then be reviewed through a peer review process, in which proposed investments will be individually scored. Historically, peer reviewers have been a combination of Tribal leaders or members of a tribal entity, federal tribal grant managers, FEMA regional tribal liaisons, and FEMA regional grant managers.
3. The top scoring investments will then be reviewed through a financial risk assessment process conducted by FEMA HQ Grants Management Specialists.

To determine eligibility, the HQ Program Analyst will review submitted applications for completeness.

Completeness is determined by the HQ Program Analyst by confirming:

- The applicant has submitted the self-certification form stating the Tribe's eligibility per the *Homeland Security Act of 2002*, as amended;
- The information provided in the self-certification form is accurate;
- The programmatic allowability of the activities under each investment; and
- The application meets all of the administrative criteria identified in this NOFO, to include the required submission of an IJ by the established due dates.

The peer reviewers will score each proposed investment from all eligible applicants across four criteria listed in the investment justification template:

- Overview (description of the investment);
- Baseline (Goals/objectives/capabilities of the investment);
- Project Management and Milestones (funding amount/core capabilities/projects); and
- Accomplishments and Impacts (outcomes).

The FEMA HQ Grants Management Specialists will conduct a financial risk assessment using the following criteria:

- Allowability, allocability, and financial reasonableness of the proposed budget and investment information
- Whether the recipient meets the financial and legal requirements listed in 2 C.F.R. Part 200

Prior to making a Federal award, the Federal awarding agency is required by 31 U.S.C. § 3321 and 41 U.S.C. § 2313 to review information available through any OMB-designated repositories of government wide eligibility qualification or financial integrity information. Therefore application evaluation criteria may include the following risk based considerations of the applicant: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing Federal award; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.

## Review and Selection Process

Only directly eligible Tribes as defined in the *Homeland Security Act of 2002*, as amended, are eligible to apply for THSGP funding. Applicants must self-certify that they are a “directly eligible tribe” as defined at 6 U.S.C. § 601(4). See section III.A. Eligibility Criteria, for further information. HQ Program Analysts will review each application for eligibility and completeness based on the criteria described above.

A panel of peer reviewers will analyze and score the investments from all applications that the Program Analysts determine to be complete and eligible. The peer reviewers will analyze and score the anticipated effectiveness of each individual proposed investment. Effectiveness is determined based on completeness and adherence to programmatic guidelines.

Peer reviewers will score each investment individually using six questions to assess how well the investments satisfy the four criteria sections in the Investment Justification template: Overview, Baseline, Project Management and Milestones, and Accomplishments and Impact.

The questions the reviewers will score are:

- A. Overview Section of Investment
  - How well are the activities of the Investment described, including any activities that include planning, organization, equipment, training, and/or exercises?
- B. Baseline Section of Investment
  - How well does this Investment identify existing capability levels and address capability gaps?
- C. Project Management and Milestones Section of Investment
  - How well does the Investment support the selected core capabilities outlined in the Goal?
  - Does the budget narrative provide a clear explanation of how funds demonstrate the need to achieve the outcomes described?
  - Do the projects/activities demonstrate progress towards achieving the Investment?
- D. Accomplishments and Impact Section of Investment
  - Do the outcome(s) demonstrate progress towards building the capability gap(s) identified in the Investment?

Each of the six questions that the reviewers score is worth a maximum of five (5) points each. Using their subject matter expertise, the peer reviewer will provide a score of 1-5 for each question. Each investment will be reviewed by no less than two peer reviewers, who will use the following scoring scale to assess how well the information provided in each investment answers the question being scored:

- 1 = Little to None
- 2 = Inadequate
- 3 = Adequate

- 4 = Substantial
- 5 = Strong

To calculate the final score for each proposed investment, the scores from the six investment questions are first normalized by taking the sum of the six (6) scores, dividing this number by five (5), and multiplying by 100.

For example:

If, an investment received the following scores for the six questions:

Question 1: 2

Question 2: 3

Question 3: 5

Question 4: 5

Question 5: 3

Question 6: 5

The sum of the scores is 23 (the average score is 3.8). The average score, 3.8 is then divided by five (5) with the result multiplied by 100. The normalized score is 76.67. The investment's final score is determined by averaging the normalized scores from all reviewers of that investment.

Applicants who have not received funding in prior years will receive five (5) points for each proposed investment that will be added to the normalized score for each Investment submitted.

DHS/FEMA will use the results of the peer review process to make recommendations for funding of eligible applicants to the Secretary of Homeland Security. All final investment scores will then be sorted in descending order and investments will be selected for recommendation from the highest score to lowest score until available FY 2016 THSGP funding has been exhausted. In the event of a tie during the investment recommendation determination process, DHS/FEMA will give priority to the tribal entity that has not received prior year funding. Final funding determinations will be made by the Secretary of Homeland Security.

All investments selected for recommendation will also undergo a financial risk review conducted by the HQ grants management specialist. Using their subject matter expertise, the questions the HQ grants management specialist will assess are:

- Is the applicant on any exclusion lists as identified in the System for Award Management (Sam.gov);
- If the applicant has received federal funding in the past, has the applicant performed all audits required by the *Single Audit Act*;
- Has the applicant provided sufficient budget information and justification as required by the NOFO;
- Are the costs proposed by the applicant in the budget information and justification allowable and reasonable based on the criteria set forth in this NOFO and the Cost Principles located at 2 C.F.R. Part 200, Subpart E;



- Is the budget representative of the total cost of performance of the projects;
- If indirect costs are included, has the applicant provided an approved Indirect Cost Rate agreement;
- Is the applicant delinquent on any federal debt; and
- Has the applicant had substandard performance in a prior award.

Based on the outcome of this review, DHS/FEMA may determine that it will not make an award to an applicant that poses a financial risk. DHS/FEMA may also determine that it will make an award to an at-risk applicant, subject to additional terms and conditions as described in 2 C.F.R. § 200.207.

Prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, currently \$150,000, DHS/FEMA is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).

An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

DHS/FEMA will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR §200.205.

### **Reviewer Selection**

DHS/FEMA seeks peer reviewers who meet one or more of the following criteria:

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

Historically, peer reviewers have been a combination of Tribal leaders or members of a tribal entity, federal tribal grant managers, FEMA regional tribal liaisons, and FEMA regional grant managers.

The Peer reviewer will be responsible for:

- Contributing to a transparent, uniform, and thorough process for awarding grants;
- Providing knowledgeable, independent reviews and feedback to justify investment scores; and
- Ensuring that each Investment is reviewed in detail for completeness and effectiveness.

The FY 2016 peer review will be conducted remotely. Reviewers will need access to a computer and the internet/email in order to conduct the review. The reviewers will receive randomly assigned investments and a scoring worksheet template to complete their reviews. The reviewer will have no less than one week to complete their review of the assigned investments. At the conclusion of the review period, the reviewer will submit the completed scoring worksheet back to [THSGPreview@fema.dhs.gov](mailto:THSGPreview@fema.dhs.gov) for final calculation and summarization by the HQ THSGP program manager.

Participation in the review process will provide a unique opportunity to gain insight into the evaluation process and to learn innovative ideas being utilized by their peers. Those interested in participating in the peer review process should contact [THSGPreview@fema.dhs.gov](mailto:THSGPreview@fema.dhs.gov). Representatives from Tribal Nations who are applying for funding in FY 2016 can also be reviewers, but they will not be able to review their own application or applications from Tribal Nations they have worked with.

For additional details on application review information, please refer to [Appendix C – FY 2016 THSGP Investment Justification \(IJ\) Outline](#).

## **F. Federal Award Administration Information**

### **Notice of Award**

Notification of award approval is made through the ND Grants system through an automatic electronic mail to the awardee authorized official listed in the initial application. The “award date” for THSGP will be the date that DHS/FEMA approves the award. The awardee should follow the directions in the notification to confirm acceptance of the award.

Recipients must accept their awards no later than 90 days from the award date. The recipient shall notify the awarding agency of its intent to accept and proceed with work under the award through the ND Grants system. Instructions on accepting or declining an award in the ND Grants system, can be found in the [ND Grants Grantee Training Manual](#).

Funds will remain on hold until the recipient accepts the award through the ND Grants system and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

## **Administrative and National Policy Requirements**

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at: [DHS Standard Terms and Conditions](#).

The applicable DHS Standard Administrative Terms and Conditions will be those in effect at the time in which the award was made.

Before accepting the award the AOR should carefully read the award package for instructions on administering the grant award and the terms and conditions associated with responsibilities under federal Awards. The applicant must accept all conditions in this NOFO as well as any Special Terms and Conditions in the Notice of Award to receive an award under this program.

## **Reporting**

Grant recipients are required to submit various financial and programmatic reports as a condition of award. Future awards and funds drawdown may be withheld if these reports are delinquent.

## **Federal Financial Requirements**

### **Federal Financial Report (FFR)**

Grant recipients must report obligations and expenditures ported on a quarterly basis through the FFR (SF-425) to DHS/FEMA. Recipients must file the FFR electronically using the [Payment and Reporting Systems \(PARS\)](#). A FFR must be submitted quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

The Federal Financial Reporting Form (FFR) is available online at: [http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf), SF-425 OMB #00348-0061.

### **Financial Reporting Periods and Due Dates**

The following reporting periods and due dates apply for the FFR:

<b>Reporting Period</b>	<b>Report Due Date</b>
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

### **Financial and Compliance Audit Report**

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be

performed in accordance with the requirements of Government Accountability Office's (GAO) Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm> and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?node=sp2.1.200.f>.

For audits of fiscal years beginning prior to December 26, 2014, recipients that expend \$500,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO's Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, Audits of States, Local Governments, and Nonprofit Organizations, located at [http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2012](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2012).

### **Program Performance Reporting Requirements**

#### **Performance Progress Report (SF-PPR)**

Recipients are responsible for providing updated performance reports to DHS/FEMA using the SF-PPR on a biannual basis. Recipients must complete the cover page of the SF-PPR (OMB Control Number: 0970-0334) and submit it as an attachment to the ND Grants system.

Recipients will be required to report on progress towards implementing plans described in their application.

#### **Program Performance Reporting Periods and Due Dates**

The following reporting periods and due dates apply for the PPR:

<b>Reporting Period</b>	<b>Report Due Date</b>
January 1 – June 30	July 30
July 1 – December 31	January 30

#### **Biannual Strategy Implementation Reports (BSIR)**

In addition to the quarterly financial and biannual performance progress reports, recipients are responsible for completing and submitting summer and winter BSIRs. 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 (the summer BSIR report); and January 30 for the reporting period of July 1 through December 31 (winter BSIR report).

### **Closeout Reporting Requirements**

DHS/FEMA will close out the grant award when it determines that all applicable administrative actions and all required work of the THSGP award have been completed by the recipient. This section summarizes the actions that the recipient must take to complete the closeout process in accordance with 2 C.F.R. § 200.343 at the end of the grant's period of performance or the expiration of an approved extension via Grant Adjustment Notice (GAN) issued to close out the grant.

Within 90 days of the end of the period of performance, or after expiration of a close out extension via GAN, recipients must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance, as well as all the following documentation:

- 1) Final request for payment, if applicable;
- 2) SF-425 – Final Federal Financial Report;
- 3) SF-PPR – Final Performance Progress Report;
- 4) SF-428 – Tangible Personal Property Report – Inventory of all tangible personal property acquired using funds from this award;
- 4) A qualitative narrative summary on the impact of those accomplishments throughout the entire period of performance submitted to the respective Grant Programs Directorate (GPD) HQ Program Analyst in a Word document; and
- 5) Other documents required by program guidance or terms and conditions of the award.

If applicable, an inventory of all construction projects that used funds from this program must be reported using the Real Property Status Report (Standard Form SF 429) available at [http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/sf-429.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf).

Additionally, the recipient must liquidate all obligations incurred under the THSGP award no later than 90 calendar days after the end date of the period of performance or issuance of a Grant Amendment Notice that closes out the award, whichever comes first. If the recipient fails to liquidate its obligations within this time period, FEMA may disallow the costs associated with those unliquidated obligations. Recipients also are responsible for promptly returning to DHS/FEMA the balance of any funds that have been drawn down, but remain unliquidated.

After these reports have been reviewed and approved by DHS/FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds the recipient has not drawn down that will be deobligated, and address requirements for record retention, and disposition and reporting requirements for any equipment or real property purchased using THSGP grant funding.

If DHS/FEMA has made reasonable attempts through multiple contacts to close out awards within the required 180 days, DHS/FEMA may waive the requirement for a particular report and administratively close the award. If this action is taken, consideration for subsequent awards to the recipient may be impacted or restricted.

If the recipient that issues subawards, it is responsible for closing out those subawards as described in 2 C.F.R. § 200.343. The recipient must ensure that it completes the closeout of its subawards in time to submit all necessary documentation and information to DHS/FEMA during the closeout of its own grant award.

**G. DHS Awarding Agency Contact Information**

## Contact and Resource Information

### Centralized Scheduling and Information Desk (CSID)

CSID is a non-emergency comprehensive management and information resource developed by DHS/FEMA for grants stakeholders. CSID provides general information on all DHS/FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the federal, state, and local levels. When necessary, recipients will be directed to a federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at [askcsid@dhs.gov](mailto:askcsid@dhs.gov), Monday through Friday, 9:00 a.m. – 5:00 p.m. EST.

### Grant Programs Directorate Grant Operations Division

GPD's Grant Operations Division Business Office provides support regarding financial matters and budgetary technical assistance. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to [ASK-GMD@dhs.gov](mailto:ASK-GMD@dhs.gov).

### FEMA Regional Offices

DHS/FEMA Regional Offices also may provide fiscal support, including pre- and post-award administration and technical assistance such as conducting cash analysis, financial monitoring, and audit resolution to the grant programs included in this solicitation. GPD will provide programmatic support and technical assistance. A FEMA Regional Office contact information is available [here](#).

## Systems Information

**Grants.gov**. For technical assistance with Grants.gov, please call the Grants.gov customer support hotline at (800) 518-4726.

***Non-Disaster (ND) Grants***. For technical assistance with the ND Grants system, please contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076.

### GPD Environmental Planning and Historic Preservation (GPD EHP)

The FEMA GPD EHP Team provides guidance and information about the EHP review process to recipients and subrecipients. All inquiries and communications about GPD projects or the EHP review process, should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov). EHP Technical Assistance, including the EHP Screening Form, can be found at <http://www.fema.gov/media-library/assets/documents/90195>.

## H. Additional Information

### Expanded Allowable Costs for General Purpose Equipment

THSGP allows expenditures on general purpose equipment if they align to and support one or more core capabilities identified in the Goal and are sharable through mutual aid agreements.

### Expanded Allowable Costs

“Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding” issued on February 13, 2012, authorizes “expenditure on general purpose equipment and overtime/backfill expenses for first responders engaged in protection or prevention activities consistent with grant guidance and the Homeland Security Act (6 USC 101 et seq.).” Examples of general purpose equipment may include:

- General purpose law enforcement vehicles
- General purpose emergency medical services (EMS) equipment and vehicles
- General purpose fire service equipment and vehicles, to include hose, pump accessories, and foam concentrate for specialized chemical, biological, radiological, nuclear, and explosives (CBRNE) response
- General purpose office equipment for staff<sup>1</sup> engaged in homeland security program activity.

Equipment allowability is based on the Authorized Equipment List (AEL) *but exceptions may be considered on a case-by-case basis if* (1) the equipment identified to be purchased directly maps to a core capability contained within the Goal<sup>2</sup>, and (2) the equipment’s purpose (when operational) fall into the permitted use of funds in the 9/11 Act.

### **Extensions**

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

- 1) Grant program, fiscal year, and award number;
- 2) Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
- 3) Current status of the activity/activities;
- 4) Approved period of performance termination date and new project completion date;
- 5) Amount of funds drawn down to date;
- 6) Remaining available funds, both federal and non-federal;
- 7) Budget outlining how remaining federal and non-federal funds will be expended;
- 8) Plan for completion, including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and

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<sup>1</sup> This applies to all homeland security personnel, and is not limited to management and administration staff, and costs are to be captured outside the cap on management and administration costs.

<sup>2</sup> <https://www.fema.gov/media-library/assets/documents/25959>

- 9) Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work, as described in the investment justification and approved by DHS/FEMA.

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

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

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

### **National Preparedness**

DHS/FEMA coordinates with local, state, territory, and tribal governments as well as the private and non-profit sectors to facilitate a whole community, risk driven, and capabilities-based approach to preparedness. This risk driven, capabilities-based approach is grounded in the identification and assessment of risk through the Threat and Hazard Identification and Risk Assessment (THIRA). For additional information on THIRA, please refer to the following website: <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>. Information on the National Preparedness System can be found in the National Preparedness System Description which is posted on the FEMA website at <https://www.fema.gov/national-preparedness-system>. Additional details regarding how the National Preparedness System is supported by the THSGP can be found in *Appendix B – FY 2016 THSGP Funding Guidelines*.

### **Payments**

DHS/FEMA utilizes the [Payment and Reporting System \(PARS\)](#) for financial reporting, invoicing and tracking payments. DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, recipients must complete a Standard Form 1199A, Direct Deposit Form.

### **Monitoring**

Recipients will be monitored on an annual and as needed basis by DHS/FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.



Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each federal assistance award and will identify areas where technical assistance, corrective actions, and other support may be needed.

### **Conflict of Interest**

To eliminate and reduce the impact of conflicts of interest in the subaward process, recipients and pass-through entities must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making subawards. Recipients and pass-through entities are also required to follow any applicable state, local, or tribal statutes or regulations governing conflicts of interest in the making of subawards.

The recipient or pass-through entity must disclose to DHS/FEMA, in writing, any real or potential conflict of interest as defined by the federal, state, local, or tribal statutes or regulations or their own existing policies that may arise during the administration of the federal award. Recipients and pass-through entities must disclose any real or potential conflicts to Program Analyst within five days of learning of the conflict of interest. Similarly, subrecipients must disclose any real or potential conflict of interest to the pass-through entity as required by the Recipient's conflict of interest policies, or any applicable state, local, or tribal statutes or regulations.

Conflicts of interest may arise during the process of DHS/FEMA making a federal award in situations where an employee, officer, or agent, any members of his or her immediate family, or his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an applicant, subapplicant, recipient, subrecipient, or DHS/FEMA employees.

## Appendix A – FY 2016 THSGP Priorities

### Alignment of THSGP to the National Preparedness System

The National Preparedness System is the instrument the Nation will employ to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (the Goal). The Goal is “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” The objective of the National Preparedness System is to facilitate an integrated, whole community, risk informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the National Preparedness System enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>).

The FY 2016 THSGP plays an important role in the implementation of the Goal by supporting the building, sustainment, and delivery of the core capabilities. The core capabilities are essential for the execution of critical tasks for each of the five mission areas outlined in the Goal. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The THSGP allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas described in the Goal.

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

Using the core capabilities, FY 2016 THSGP supports the achievement of the Goal by:

- Preventing a threatened or an actual act of terrorism;
- Protecting our citizens, residents, visitors, and assets against the greatest threats and hazards;
- Mitigating the loss of life and property by lessening the impact of future disasters.
- Responding quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident; and/or
- Recovering through a focus on the timely restoration, strengthening, and revitalization of infrastructure, housing, and a sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident.

The core capabilities contained in the Goal are highly interdependent and require the use of existing preparedness networks and activities, improved training and exercise programs, innovation, and appropriate administrative, finance, and logistics systems.

To support building, sustaining, and delivering these core capabilities, recipients will use the components of the National Preparedness System, which include: Identifying and Assessing Risk; Estimating Capability Requirements; Building and Sustaining Capabilities; Planning to Deliver Capabilities; Validating Capabilities; and Reviewing and Updating.

Additional information on the National Preparedness System is available at <http://www.fema.gov/national-preparedness-system>.

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

### ***Identifying and Assessing Risk and Estimating Capability Requirements***

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

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

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

The THIRA is a four-step common risk assessment process that provides a comprehensive approach for identifying and assessing risks and associated impacts. It expands on existing local, tribal, territorial, and State Hazard Identification and Risk Assessments (HIRAs) and other risk methodologies by broadening the factors considered in the process, incorporating the whole community throughout the entire process, and by accounting for important community-specific characteristics. The THIRA process helps communities identify capability targets and resource requirements necessary to address anticipated and unanticipated risks. CPG 201, Second Edition, a guide on how to complete a THIRA, is available at <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

In Step Four of the THIRA process, recipients should apply the results to a capability estimation process to determine the resources needed to deliver core capabilities to the targets set in their THIRAs. Recipients express resource requirements as a list of resources needed to successfully manage the consequences from threats and hazards. Through the capability estimation process, jurisdictions should identify the resources from across the whole community needed to meet capability targets. Each recipient should decide which combination of resources is most appropriate to achieve its capability targets. This process should consider identifying, connecting to, and strengthening community resources by using the expertise and capability of the whole community, individuals, communities, the private and nonprofit sectors, faith-based organizations, and all levels of government.

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

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

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

### **Reporting**

FY 2016 THSGP recipients are required to complete a THIRA using the URT once during the grant period of performance and submit a copy of the completed THIRA to the respective FEMA Region. THIRA documents shall be in alignment with CPG 201, Second Edition. Recipients are authorized to use THSGP grant funds for costs associated with developing and completing the THIRA (see [Appendix B – FY 2016 THSGP Funding Guidelines](#)). THSGP recipients are responsible for sharing the results from their THIRA with the applicable FEMA Regional Federal Preparedness Coordinator (FPC).

### ***Building and Sustaining Core Capabilities***

FY 2016 THSGP focuses on the development and sustainment of core capabilities as outlined in the Goal. Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential capabilities are the core capabilities identified in the Goal.

Working together, individuals, tribal government officials, and elected leaders can develop plans to allocate resources effectively and reduce risk. For these plans to be effective, those involved

must consider methods to reduce and manage risk as well as how to sustain appropriate levels of capability and address potential shortfalls in order to achieve the Goal.

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

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

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

### ***National Incident Management System (NIMS) Implementation***

Recipients receiving THSGP funding are required to implement the National Incident Management System (NIMS). NIMS uses a systematic approach to integrate the best existing processes and methods into a unified national framework for incident management. Incident management refers to how incidents are managed across all homeland security activities, including prevention, protection, and response, mitigation, and recovery. FY 2016 THSGP recipients must utilize standardized resource management concepts such as typing, credentialing, and inventorying resources that facilitates the effective identification, dispatch, deployment, tracking and recovery of their resources.

### **Reporting**

Recipients will use the URT to report NIMS implementation.

### ***Planning to Deliver Capabilities***

Recipients shall develop and maintain, jurisdiction-wide, all threats and hazards Emergency Operating Plans (EOPs) consistent with CPG 101 v.2. Recipients must submit an EOP once during the period of performance.

## **Reporting**

Recipients report EOP compliance with CPG 101 v2 in the URT.

## **Validating Capabilities**

Recipients should develop long-term training and exercise priorities that examine, validate and/or address the capability targets identified through their annual THIRA and any associated preparedness assessments. Recipients should also review and consider areas for improvement identified from real-world events and exercises, and national areas for improvement identified in the most recent National Preparedness Report when developing exercise priorities.

Recipients are encouraged to develop a Multi-year Training and Exercise Plan (TEP). The TEP should consider the risks and capability requirements described in the THIRA along with the guidance provided by elected and appointed officials to identify and set training and exercise program priorities and develop a multi-year schedule of exercise events and supporting training activities to meet those priorities. A TEP that is developed from a Training and Exercise Planning Workshop (TEPW) provides a roadmap to accomplish the multi-year priorities identified by elected and appointed officials and whole community stakeholders. These priorities help curriculum and exercise planners design and develop a progressive program of training and exercises that build, sustain, and deliver core capabilities. Information related to TEPs and TEPWs can be found on the Homeland Security Exercise and Evaluation Program (HSEEP) website at <https://www.fema.gov/exercise>.

Exercises implemented with grant funds should evaluate the performance of capability against the level of capabilities required. Guidance related to exercise evaluation and the implementation of improvements is defined in the HSEEP located at <https://www.fema.gov/exercise>.

All recipients are encouraged to develop and maintain a progressive exercise program, consistent to the extent practical, with HSEEP and in support of the National Exercise Program (NEP) The NEP is critical to our Nation's ability to test and validate core capabilities. Grant recipients are highly encouraged to nominate exercises into the NEP. For additional information on the NEP, please refer to <http://www.fema.gov/national-exercise-program>.

A progressive, multi-year exercise program enables organizations to participate in a series of increasingly complex exercises, with each successive exercise building upon the previous one until mastery is achieved while also taking into account prior lessons learned. Regardless of the exercise type, each exercise within the progressive series is linked to a set of common program priorities and designed to test associated capabilities.

## **Reporting**

In order to report on grant-funded exercises, recipients can either submit one After Action Report/Improvement Plan (AAR/IP) from the progressive exercise program conducted within the THSGP Period of Performance; or submit individual AAR/IPs for each THSGP-funded exercise. AAR/IPs should be submitted to [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov), no later than 90 days after completion of the exercise. In accordance with HSEEP guidance recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise

cycle. Recipients are encouraged to use the HSEEP AAR/IP template located at <https://www.fema.gov/exercise> and utilize the Corrective Action Program (CAP) System at <https://hseep.dhs.gov/caps/>, as a means to track the implementation of corrective actions listed in the AAR/IP.

### **Countering Violent Extremism**

Cases of U.S.-based individuals traveling or attempting to travel overseas to join transnational terrorist organizations such as al Qaeda, al Shabaab, and ISIL, combined with the threat posed by homegrown extremists who carry out violent attacks inside the United States in support of a variety of ideologies, illustrate the need for programs and initiatives aimed at preventing or stopping the radicalization processes that can lead to violence. The Administration's approach to Countering Violent Extremism (CVE) echoes the whole community approach to all-hazards preparedness and emphasizes and encourages partnerships with local community organizations, the private sector and other relevant partners. The approach begins with the premise that well-informed and well-equipped families, communities, and local institutions are the best defense against organizations and ideologies that use or advocate violence to achieve their ends and recognizes that federal financial assistance programs can be an effective tool for supporting those locally based efforts.

The Tribal Homeland Security Grant Program allows a range of CVE activities and initiatives, and the Administration strongly encourages THSGP recipients to consider allocating grant funding to support CVE-related programs or projects, in particular those that:

- Assist tribal governments with the development of community-based engagement plans to supplement efforts to build safer, stronger, and more resilient communities. Engagement plans may involve, for example, the determination of roles and responsibilities for government agencies, community organizations, employers, families and others in recognizing and responding to radicalization within a community and the development of strategies for preventing and protecting against the recruitment or incitement to violence of targeted individuals;
- Support the incubation of local public-private partnerships and educational efforts to address violent extremism, including the development of programs and curricula for law enforcement, community organizations, educators and other appropriate parties on the identification of indicators of radicalization to violence and strategies for effective interdiction;
- Assist local community groups in the development of CVE programs addressing prevention, intervention and diversion efforts, including training on roles of law enforcement and how to effectively partner with law enforcement;
- Develop and promote training for law enforcement executives and frontline officers on potential behaviors and indicators of violent extremism and how to appropriately analyze and report them; officer engagement and partnership with diverse communities; and intervention strategies; and

- Support community and law enforcement engagement strategies and approaches such as roundtable events; town hall meetings; the development of online platforms that improve connections between communities and local officials; funding for existing and expansion of community relations efforts, support for the development of community engagement plans and joint projects to increase the awareness of violent extremist threats and community mitigation solutions.

Detailed descriptions of the Administration’s CVE objectives, as well as additional program descriptions, guidance and resources for grant recipients can be found at:

- <http://www.dhs.gov/topic/countering-violent-extremism>
- <http://www.dhs.gov/publication/cve-best-practices>

## **Additional Considerations**

### ***Strengthening Governance Integration***

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

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

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

### ***Improving Cybersecurity Capabilities***

When requesting funds for cybersecurity, applicants are encouraged to propose projects that would aid in implementation of all or part of the [Framework for Improving Critical Infrastructure Cybersecurity](#) (“The Framework”) developed by the National Institute of Standards and



Technology (NIST). The Framework gathers existing international standards and practices to help organizations understand, communicate, and manage their cyber risks. For organizations that do not know where to start with developing a cybersecurity program, the Framework provides initial guidance. For organizations with more advanced practices, the Framework offers a way to improve their programs, such as better communication with their leadership and suppliers about management of cyber risks.

The Department of Homeland Security's Critical Infrastructure Cyber Community C<sup>3</sup> Voluntary Program also provides resources to critical infrastructure owners and operators to assist in adoption of the Framework and managing cyber risks. Additional information on the Critical Infrastructure Cyber Community C<sup>3</sup> Voluntary Program can be found at [www.dhs.gov/ccubedvp](http://www.dhs.gov/ccubedvp).

The Department of Homeland Security's Enhanced Cybersecurity Services (ECS) program is an example of a resource that assists in protecting U.S.-based public and private entities and combines key elements of capabilities under the "Detect" and "Protect" functions to deliver an impactful solution relative to the outcomes of the Cybersecurity Framework. Specifically, ECS offers intrusion prevention and analysis services that help U.S.-based companies and state, local, tribal, and territorial governments defend their computer systems against unauthorized access, exploitation, and data exfiltration. ECS works by sourcing timely, actionable cyber threat indicators from sensitive and classified Government Furnished Information (GFI). DHS then shares those indicators with accredited Commercial Service Providers (CSPs). Those CSPs in turn use the indicators to block certain types of malicious traffic from entering a company's networks. Groups interested in subscribing to ECS must contract directly with a CSP in order to receive services. Please visit <http://www.dhs.gov/enhanced-cybersecurity-services> for a current list of ECS CSP points of contact.

## **Appendix B – FY 2016 THSGP Funding Guidelines**

Recipients must comply with all applicable requirements of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards located at 2 C.F.R. Part 200.

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

### **1. THSGP Priorities**

THSGP aligns to all mission areas outlined in the Goal. Applicants must align proposed funding to at least one or more Goal core capabilities within the IJ Template.

### **2. Management and Administration (M&A)**

M&A activities are those defined as directly relating to the management and administration of THSGP funds, such as financial management and monitoring. Recipients may use up to five percent (5%) of the amount of the award for M&A and sub-recipients may use up to five percent (5%) of the amount they receive for M&A.

### **3. Indirect Costs**

Indirect costs are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant federal agency) is required at the time of application and must be provided to FEMA before indirect costs are charged to the award.

### **4. Allowable Costs**

The following pages outline global allowable costs guidance applicable to THSGP. Allowable activities made in support of the THSGP priorities as well as other capability-enhancing projects must fall into the categories of planning, organization, equipment, training, or exercises. Additional detail about each of these allowable expense categories, as well as sections on additional activities including explicitly unallowable costs is provided. In general, recipients should consult their FEMA HQ Program Analyst prior to implementing any investment to ensure that it clearly meets the allowable expense criteria established by the guidance.

### **Planning Activities**

Planning efforts can include the prioritizing of needs, building capabilities, updating preparedness strategies, allocating resources, and delivering preparedness programs (including implementing national initiatives, such as America's PrepareAthon! The America's PrepareAthon! website, <http://www.ready.gov/prepare>, includes customizable promotional materials and easy-to-use resources)

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

Planning activities should focus on the Prevention, Protection, Mitigation, Response, and Recovery mission areas outlined in the Goal. All jurisdictions are encouraged to work through Citizen Corps Whole Community Councils, nongovernmental entities, and the general public in planning activities. Tribes are encouraged to include disciplines responsible for the health, safety, education, and care of infants and children and those responsible for integrating the accessibility and functional needs of children and adults with disabilities. Recipients must use the *CPG 101v.2: Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans* in order to develop robust and effective plans. For additional information, please see [http://www.fema.gov/pdf/about/divisions/npd/CPG\\_101\\_V2.pdf](http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf).

Information on Citizen Corps Whole Community Councils and CERT programs can be found at: <http://www.ready.gov/citizen-corps> for Citizen Corps Whole Community Councils and at <http://www.fema.gov/community-emergency-response-teams> for CERT Programs.

Other preparedness activities include Youth Preparedness programs that support practitioners as they create and run programs in their communities. Resources are available at [www.ready.gov/youth-preparedness](http://www.ready.gov/youth-preparedness). The Youth Preparedness Catalogue. The catalogue describes national, regional, and state-level programs. <http://www.fema.gov/media-library/assets/documents/94775>. For more information on the Council please visit: [www.ready.gov/youth-preparedness-council](http://www.ready.gov/youth-preparedness-council).

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

### **Continuity of Operations**

DHS/FEMA is designated as the Department of Homeland Security's lead agency for managing the nation's Continuity Program. To support this role, FEMA provides

direction and guidance to assist in developing capabilities for continuing the federal and state, territorial, tribal, and local (STTL) government jurisdictions and private sector organizations' essential functions across a broad spectrum of emergencies.

National Security Presidential Directive 51, National Security Presidential Directive 20, the National Continuity Policy Implementation Plan (NCPIP), the Federal Continuity Directive 1 (FCD 1), and Continuity Guidance Circular 1 (CGC 1), and CGC 2 outline the following overarching continuity requirements for agencies and organizations and provide guidance, methodology, and checklists. For additional information on continuity programs, guidance, and directives, visit <http://www.fema.gov/guidance-directives> and <http://www.fema.gov/continuity-operations> or contact the respective [Regional Continuity Manager](#).

### **Organization Activities**

Recipients may use grant funds for organization activities, including:

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

### **Equipment Activities**

The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for THSGP are listed on the web-based version of the Authorized Equipment List (AEL) available at <https://www.fema.gov/authorized-equipment-list>. 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.

Recipients should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 C.F.R. Part 200, including 2 C.F.R. §§ 200.310, 200.313, and 200.316.

### **Controlled Equipment**

Grant funds may be used for the purchase of Controlled Equipment, however, because of the nature of the equipment and the potential impact on the community, there are additional and specific requirements in order to acquire this equipment.

Refer to Information Bulletin 407 *Use of Grant Funds for Controlled Equipment* for the complete *Controlled Equipment List*, information regarding the *Controlled Equipment Request Form*, and a description of the specific requirements for acquiring controlled equipment with DHS/FEMA grant funds. For additional information on

controlled equipment refer to [Executive Order \(EO\) 13688 Federal Support for Local Law Enforcement Equipment Acquisition](#), and the [Recommendations Pursuant to Executive Order 13688](#).

### **Requirements for Small Unmanned Aircraft System**

All requests to purchase Small Unmanned Aircraft System (SUAS) with FEMA grant funding must also include the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment, see Presidential Memorandum: [Promoting Economic Competitiveness While Safeguarding Privacy, Civil Rights, and Civil Liberties, in Domestic Use of Unmanned Aircraft Systems](#), issued February 20, 2015.

### **Prohibited Equipment**

Grant funds may not be used for the purchase of Prohibited Equipment. Refer to Information Bulletin 407 *Use of Grant Funds for Controlled Equipment* for the complete *Prohibited Equipment List*. For additional information on Prohibited Equipment see [Executive Order \(EO\) 13688 Federal Support for Local Law Enforcement Equipment Acquisition](#), and the [Recommendations Pursuant to Executive Order 13688](#).

### **Training Activities**

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

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

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

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

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

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

### **Personnel Activities**

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

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

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

### **Construction and Renovation**

Construction projects are only permitted where they will assist the recipient to achieve target capabilities related to preventing, preparing for, protecting against, or responding to acts of terrorism, including through the alteration or remodeling of existing buildings for the purpose of making them secure against acts of terrorism. THSGP funding may not be used for construction and renovation projects without

prior written approval from FEMA. All recipients of THSGP program funds must request and receive approval from FEMA before any THSGP Program funds are used for any construction or renovation. Additionally, recipients are required to submit a SF-424C Budget and Budget detail citing the project costs. The total cost of any construction or renovation paid for using THSGP Program funds may not exceed the greater amount of \$1,000,000 or 15 percent (15%) of the THSGP award.

For the purposes of the limitations on funding levels only, communications towers are not considered construction. When applying for construction funds, including communications towers, at the time of application, recipients must submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits, and a notice of federal interest.

When applying for funds to construct communication towers, recipients and subrecipients must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. Recipients and subrecipients are also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their Tribal Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects; compliance with all state and EHP laws and requirements). Projects for which an Environmental Assessment (EA) is needed, as defined in 44 C.F.R. § 10.8, must also be identified to the FEMA HQ Program Analyst within six months of the award. Completed EHP review materials for construction and communication tower projects must be submitted no later than 12 months before the end of the period of performance. EHP review materials should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov).

THSGP recipients using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. §§ 3141 *et seq.*). Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the State in which the work is to be performed. Additional information regarding compliance with the *Davis-Bacon Act*, including Department of Labor (DOL) wage determinations, is available from the following website: <http://www.dol.gov/whd/govcontracts/dbra.htm>.

### **Other Allowable Costs**

#### **Maintenance and Sustainment**

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

THSGP grant funds are intended to support the Goal and fund projects that build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of,

respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide recipients the ability to meet this objective, the policy set forth in GPD's IB 379a (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs which must be in 1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas contained within the Goal, and (4) shareable through the Emergency Management Assistance Compact. Additionally, eligible costs may be in support of equipment, training, and critical resources that have previously been purchased with either federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars.

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

### **Critical Emergency Supplies**

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

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

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

### **Secure Identification**

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



[http://www.dhs.gov/files/programs/gc\\_1200693579776.shtm](http://www.dhs.gov/files/programs/gc_1200693579776.shtm) and  
[http://www.getyouhome.gov/html/eng\\_map.html](http://www.getyouhome.gov/html/eng_map.html).

When completing the IJ Template, please refer to the Goal at for a list of the core capabilities that best fit the proposed activities and costs. For additional assistance in determining the core capabilities that fit the proposed WHTI project, please contact the CSID by phone at (800) 368-6498 or by e-mail at [askcsid@fema.gov](mailto:askcsid@fema.gov), Monday through Friday, 9:00 a.m. – 5:00 p.m. EST.

## **Appendix C – FY 2016 THSGP Investment Justification (IJ) Outline**

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

When applying for THSGP funding, it is recommended that Tribes use the name of the Tribe as listed in the Federal Register. Applicants can also contact the CSID to confirm the Tribe name as listed in the Federal Register.

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

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

## THSGP Investment Justification Outline

Question		Response	Scoring Criteria
<b>I. Background (N/S)</b>			
I.A	Provide the Tribe name	Short title (100 char. max.)	N/S
I.B	Provide the Investment name:	Short title (100 char. max.)	
I.C	Provide a baseline understanding of the spectrum of terrorism and natural hazard risks and demographics that the Tribe faces and influenced the development of this Investment Justification (IJ).	Narrative (2500 char. max.)	
<b>II. Overview (25%)</b>			
II.A	Identify the Investment as:	<i>New, Ongoing</i>	N/S
	If ongoing, describe the Investment's current state and what will be accomplished prior to the application of FY 2016 funds. <i>Please note, if this Investment is marked "New", please move to question II.B.</i>	Narrative (1500 char. max.)	
II.B	Identify if this Investment focuses on building new capabilities or the sustainment of existing capabilities	<i>Building, Sustainment</i>	
II.C	Provide a description of this Investment, including the planning, organization, equipment, training, and/or exercises that will be involved.	Narrative (1500 char. max.)	The response provides a detailed description and clear understanding of various activities that will be supported by this Investment.
<b>III. Baseline (25%)</b>			
III.A	Identify the goals and objectives that will be supported by this Investment. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i>	Narrative (1500 char. max.)	N/S
III.B	Describe existing capability levels that address the identified goals/objectives and what will be in place to support the Investment prior to the use of FY 2016 funds.	Narrative (1500 char. max.)	The response provides a clear understanding of existing capability levels and what capability gap(s) the Investment will address.
III.C	Explain the capability gap(s) that this Investment is intended to address. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i>	Narrative (1500 char. max.)	

<b>IV. Project Management and Milestones (25%)</b>		
IV.A Provide the proposed FY 2016 THSGP funding amount for this Investment.	Amount	N/S
IV.B Identify the amount and percentage of funding that will be dedicated to Management and Administration (M&A) expenditures. <i>Please note, M&amp;A cannot exceed five percent (5%) of the total award amount.</i>	Amount/Percentage	N/S
IV.C Identify the National Preparedness Goal (NPG) core capabilities that are supported by this Investment. For each of the selected NPG core capabilities, provide the proposed funding amount to be obligated from this Investment.	<i>Select all that apply</i> and Amount	The response provides a clear demonstration and a comprehensive understanding of how the Investment supports identified National Preparedness Goal core capabilities and primary POETE Solution Area.
IV.D Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.	<i>Planning, Organization, Equipment, Training, Exercise</i>	
IV.E Each grantee must submit a detailed budget narrative, in addition to SF-424A, explaining related costs and expenses as a part of the application. This budget narrative should be detailed and should serve to: (1) explain how the costs were estimated, and (2) justify the needs for the costs incurred to the measurable achievement outcomes as stated in the Investment Justification.	Narrative (1500 char. max.)	The response provides a clear explanation of how the funds will be utilized and demonstrates the need to achieve the outcomes.
IV.F Identify up to ten projects/activities, with start and end dates, which will be implemented over the 36 month period of performance (September 1, 2016 - August 31, 2019). Provide the following information:		The response also provides a clear description of projects/activities that will demonstrate progress towards achieving the Investment.
- Project Name	Short title (100 char. max.)	
- Funding Amount	Amount	
- Project Management Process	<i>Initiate, Plan, Execute, Control, Close Out</i>	
- Start Month/Year	<i>Month/Year</i>	
- End Month/Year	<i>Month/Year</i>	
IV.G Does this Investment require new construction or renovation, retrofitting, or modification of existing structures?	No/Yes	N/S
<b>V. Outcomes (25%)</b>		
V.A Describe the outcomes that will be achieved as a result of this Investment. The outcomes should demonstrate improvements towards building capabilities described in Section III, Baseline.	Narrative (1500 char. max.)	The response provides a clear description of how the outcomes will be achieved during the FY 2016 THSGP period of performance. The response also describes how accomplishments will bridge capability gap(s) outlined in Section III, Baseline.
V.B Identify the mission areas that are supported by this Investment:	<i>Select all that apply</i>	N/S