FY 2013 HOMELAND SECURITY GRANT PROGRAM (HSGP)
FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)

OVERVIEW INFORMATION

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

Catalog of Federal Domestic Assistance (CFDA) Number
97.067

CFDA Title
Homeland Security Grant Program

Funding Opportunity Announcement Title
Fiscal Year (FY) 2013 Homeland Security Grant Program (HSGP)

Authorizing Authority for Program
The Homeland Security Act of 2002 (Public Law 107-296)*, as amended by section 101 of the Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53).

Appropriation Authority for Program
The Department of Homeland Security Appropriations Act, 2013 (Public Law 113-6)

FOA Number
DHS-13-GPD-067-000-01

Key Dates and Time
Application Start Date: 05/21/2013
Application Submission Deadline Date: 06/24/2013 at 11:59:59 p.m. EST
Anticipated Funding Selection Date: 08/02/2013
Anticipated Award Date: 09/01/13

Other Key Dates
Applying for FY 2013 HSGP funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One immediately after the FOA is published but no later than June 17, 2013, by submitting a complete Standard Form 424 to Grants.gov. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step One to Grants.gov could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full

application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is June 24, 2013. For additional details see Section X of the full FOA.

Intergovernmental Review
Is an intergovernmental review required?

☒ Yes ☐ No

If yes, applicants must contact their State's Single Point of Contact (SPOC) to determine if the program has been selected for State review and comply with the State's process under Executive Order 12372. Names and addresses of the SPOCs are maintained at the Office of Management and Budget's (OMB's) home page at *http://www.whitehouse.gov/omb/grants_spoc*.

FOA EXECUTIVE SUMMARY

Program Type
Select the applicable program type:

☐ New ☒ Continuing ☐ One-time

Date of origin for Program: 11/25/2002

Opportunity Category
Select the applicable opportunity category:

☒ Discretionary ☐ Mandatory ☒ Competitive (OPSG only) ☒ Non-competitive

Application Process
DHS makes all funding opportunities available through the common electronic "storefront" Grants.gov, accessible on the Internet at *http://www.grants.gov*. If you experience difficulties accessing information or have any questions, please call the Grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to *http://www.grants.gov*, select "Apply for Grants," and then select "Download Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select "Download Application Package," and then follow the prompts to download the application package. To download the instructions, go to "Download Application Package" and select "Instructions."

For additional details on how to apply, please refer to Section X of the full FOA.

Eligible Applicants
The following entities are eligible to apply directly to FEMA under this solicitation:

☒ State governments

For additional information, see the *Eligibility Criteria* section of this FOA.

Type of Funding Instrument
Select the applicable funding instrument:

☒ Grant ☐ Cooperative Agreement

Cost Share or Match
Select the applicable requirement:

☐ Cost Match ☐ Cost Share ☒ None Required

Maintenance of Effort
Is there a Maintenance of Effort (MOE) requirement?

☐ Yes ☒ No

Management and Administration
A maximum of up to five percent (5%) of HSGP funds awarded may be retained by the State, and any funds retained are to be used solely for M&A purposes associated with the HSGP award.

A State's HSGP funds for M&A calculation purposes equals the sum total of its SHSP, UASI, and, where applicable, OPSG awards. While the SAA may retain five percent (5%) of this total for M&A, grantees must still ensure that all subgrantee award amounts meet the mandatory minimum pass through requirements which are applicable to each HSGP program. Sub-grantees may also retain a maximum of up to five percent (5%) of funding passed through by the State solely for M&A purposes associated with the HSGP award. Local jurisdictions must receive 80 percent (80%) of the State's total SHSP and UASI awards, as well as 100 percent (100%) of the OPSG award amounts. For each respective HSGP sub-program, the amount passed through to local jurisdictions must reflect the applicable percentage of the State's award prior to withholding any M&A.

Indirect Costs
Indirect costs are allowable only if the applicant has an approved indirect cost rate with the cognizant Federal agency. 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. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.

FULL FOA

I. Funding Opportunity Description

Program Overview and Priorities
The FY 2013 HSGP is comprised of three interconnected grant programs:

- **State Homeland Security Program (SHSP):** SHSP supports the implementation of risk driven, capabilities-based State Homeland Security Strategies to address capability targets set in Urban Area, State, and regional Threat and Hazard Identification and Risk Assessments (THIRAs). The capability levels are assessed in the State Preparedness Report (SPR) and inform planning, organization, equipment, training, and exercise needs to prevent, protect against, mitigate, respond to, and recover from acts of terrorism and other catastrophic events.
- **Urban Areas Security Initiative (UASI):** The UASI program addresses the unique risk driven and capabilities-based planning, organization, equipment, training, exercise needs, of high-threat, high-density Urban Areas based on the THIRA-generated capability targets process and associated assessment efforts, and assists them in building an enhanced and sustainable capacity to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.
- **Operation Stonegarden (OPSG):** OPSG supports enhanced cooperation and coordination among local, tribal, territorial, State, and Federal law enforcement agencies in a joint mission to secure the United States' borders along routes of ingress from international borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with international water borders.

All three programs are founded on risk-driven, capabilities-based strategic plans. These strategic plans outline capability requirements and inform how available funding may be applied to manage risk. For these plans to be effective, government officials and elected leaders, working with the whole community, must consider how to sustain current capability levels and address potential shortfalls to prevent, protect, mitigate, respond to, and recover from disasters.

Program Objectives
The FY 2013 HSGP plays an important role in the implementation of the National Preparedness System (NPS) by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal (NPG) 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 2013 HSGP's allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas by setting the following priorities and objectives:

Priority One: Implementation of the NPS and a Whole Community Approach to Homeland Security and Emergency Management

- Objective One: Completion of the THIRA process in alignment with National Preparedness System guidance to identify the resources required to deliver core capabilities.
- Objective Two: Conduct risk driven, capabilities-based planning through whole community councils and working groups.
- Objective Three: Organization – Typing of equipment, and credentialing and training of personnel.
- Objective Four: Sustaining Capabilities.

Priority Two: Building and Sustaining Law Enforcement Terrorism Prevention Capabilities

- Objective One: Nationwide Suspicious Activity Reporting Initiative (NSI)

Priority Three: Maturation and Enhancement of State and Major Urban Area Fusion Centers

- Objective One: Baseline Capabilities.
- Objective Two: Analytic Capabilities.

The Department of Homeland Security Appropriations Act, 2013 (Public Law 113-6) authorized additional funding allocated at the discretion of the Secretary of the Department Homeland Security, to support appropriated programs in FY 2013. DHS has augmented the SHSP and UASI grant programs in FY 2013 by allocating an additional $163.4 million to support the following priority areas:

Priority Four: Innovation and Sustained Support for the National Campaign for Preparedness

- Objective One: Foster individual and community preparedness and resilience by identifying needs; mobilizing partners; and creating innovative and effective solutions that can be grown, sustained, and replicated.

Priority Five: Improve Immediate Emergency Victim Care at Mass Casualty Events

- Objective One: Improve emergency care to victims of mass casualty events, including mass shootings.
- Objective Two: Improve community first aid training.

Minimum funding amounts are not prescribed by the Department for these priorities; however grantees are expected to support state, local, and regional efforts in achieving the desired outcomes of one or more of these priorities.

For additional information on program priorities and objectives for FY 2013 HSGP, refer to Appendix B – *Program Specific Priorities*.

II. Funding Information

Award Amounts, Important Dates, and Extensions

Available Funding for this FOA: $968,389,689

HSGP Programs	FY 2013 Allocation
State Homeland Security Program	$354,644,123
Urban Areas Security Initiative	$558,745,566
Operation Stonegarden	$55,000,000
Total	**$968,389,689**

Projected Number of Awards: 56
Projected Award Start Date(s): 10/01/2013
Projected Award End Date(s): 09/30/2015
Period of Performance: 24 months

Grantees must accept their grant awards no later than 90 days from the award date. The grantee shall notify the awarding agency of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Funds will remain on hold until the grantee accepts the award through official correspondence (e.g., written, electronic signature, signed letter or fax to Grant Programs Directorate [GPD]) 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.

For details on program-specific funding amounts, please refer to Appendix A – *FY 2013 Program Specific Allocations*.

Period of Performance

Is an extension to the period of performance permitted?

☒ Yes ☐ No

Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications as to why an extension is required. Agencies should request extensions sparingly and expect extensions to be granted only under exceptional circumstances. For additional information on the period of performance extensions, refer to Information Bulletin (IB) 379 located at *http://www.fema.gov/grants/grant-programs-directorate-information-bulletins*.

Additional Funding Information

In FY 2013, the total amount of funds distributed under this grant program will be $968,389,689. The specific information regarding funding allocations for the three HSGP programs are detailed below:

SHSP Allocations: FY 2013 SHSP funds will be allocated based on three factors: minimum amounts as legislatively mandated, DHS' risk methodology, and anticipated effectiveness of proposed projects. The anticipated effectiveness is assessed based on the applicant's description of how the proposed projects, as outlined in the IJ, align with the State THIRA. Each State and territory will receive a minimum allocation under SHSP using the thresholds established in the 9/11 Act and codified at 6 U.S.C. § 605. All 50 States, the District of Columbia, and Puerto Rico will receive 0.35 percent of the total funds allocated for grants under Section 2003 and Section 2004 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act, for SHSP. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.08 percent of the total funds allocated for grants under Section 2003 and 2004 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act, for SHSP. For details on program-specific funding amounts, please refer to Appendix A – *FY 2013 Program Specific Allocations*.

UASI Allocations: FY 2013 UASI funds will be allocated based on DHS' risk methodology and anticipated effectiveness of proposed projects. The anticipated effectiveness is assessed based on the applicant's description of how the proposed projects, as outlined in the IJ, align with the Urban Area THIRA. Eligible candidates for the FY 2013 UASI program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous metropolitan statistical areas in the United States, in accordance with the 9/11 Act. For details on program-specific funding amounts, please refer to Appendix A – *FY 2013 Program Specific Allocations*.

Law Enforcement Terrorism Prevention Activities (LETPA) Allocations: Pursuant to the relevant provisions of the *Homeland Security Act of 2002* (Public Law 107–296), as amended (6 U.S.C. § 607), States are required to ensure that at least 25 percent (25%) of the combined HSGP funds allocated under SHSP and UASI are dedicated towards law enforcement terrorism prevention activities linked to one or more core capabilities within the NPG. The LETPA allocation can be from SHSP, UASI or both.

OPSG Allocations: FY 2013 OPSG funds will be allocated based on risk-based prioritization using a U.S. Customs and Border Protection (CBP) Sector-specific border risk methodology. Factors considered include, but are not limited to: threat, vulnerability, miles of border, and other border-specific "law enforcement intelligence," as well as feasibility of FY 2013 Operation Orders to designated localities within the United States border States and territories. For details on program-specific funding amounts, please refer to Appendix A – *FY 2013 Program Specific Allocations*.

Eligible sub-recipients under the FY 2013 OPSG are local units of government at the county level and Federally-recognized tribal governments in the States bordering Canada (including Alaska), States bordering Mexico, and States and territories with international water borders. The State Administrative Agency (SAA) is the only entity eligible to apply to FEMA for FY 2013 OPSG funds on behalf of the county or similar level of government and federally-recognized tribal governments. Eligible States and territories with a county or similar level of government structure are authorized to accept

applications on behalf of the alternative unit of local government. SAAs in this situation must advise FEMA in writing as to their intent. *Note: Not all eligible applicants are guaranteed to receive funding under the FY 2013 OPSG.* For details on program-specific funding amounts, please refer to Appendix A – *FY 2013 Program Specific Allocations*.

III. Eligibility Information

Eligibility Criteria
All 56 States and territories are eligible to apply for SHSP funds. For those States and territories that are eligible for UASI and/or OPSG funds, the SAA is the only entity eligible to submit applications to FEMA on behalf of UASI and OPSG applicants.

IV. Funding Restrictions

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

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

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

There may be limitations on the use of HSGP funds for the following categories of costs:

- Management and Administration
- Planning
- Organization
- Equipment
- Training
- Exercises
- Maintenance and Sustainment
- Critical Emergency Supplies
- Construction and Renovation

For additional details on restrictions on the use of funds, please refer to Appendix C – *Funding Guidelines*. In addition, there are specific restrictions on funds for certain components of HSGP, including the following:

SHSP and UASI Pass-Through Requirements: Awards made to the SAA for HSGP carry additional pass-through requirements. Pass-through is defined as an obligation on the part of the States to make funds available to local units of government, combinations of local units, or other specific groups or organizations. The State's pass-through requirement must be met within 45 days of the award date for the HSGP. Four requirements must be met to pass-through grant funds:

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

The SAA must obligate at least 80 percent (80%) of the funds awarded under SHSP and UASI to local units of government within 45 days of receipt of the funds. A letter of intent (or equivalent) to distribute funds is not considered sufficient. Award sub-recipients must receive their funds within 45 days from the date the funds are first made available to the grantee so that they can initiate implementation of approved investments. For Puerto Rico, the SAA must also obligate at least 80 percent (80%) of the funds to local units of government within 45 days of receipt of the funds. No pass-through requirements will be applied to the District of Columbia, Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands. Any UASI funds retained by the SAA must be used to directly support the designated Urban Areas in the State.

Under SHSP, the State may retain more than 20 percent (20%) of SHSP funding for expenditure made by the State on behalf of the local unit of government. This may occur only with the written consent of the local unit of government, with the written consent specifying the amount of funds to be retained and the intended use of funds. If a written consent agreement is already in place from previous fiscal years, FEMA will continue to recognize it for FY 2013. If any modifications to the existing agreement are necessary to reflect new initiatives, States should contact their assigned FEMA Program Analyst.

If UASI funds are used by the SAA in support of the Urban Area, the SAA must, as part of the up to 10 Investments, propose an Investment describing how UASI funds will be used by the SAA to directly support the Urban Area.

OPSG Funds: The recipient must pass through 100 percent (100%) of OPSG allocations to eligible jurisdictions. The recipient is prohibited from obligating or expending funds provided through this award until each unique and specific county level or equivalent Operational Order/Fragmentary Operations Order with an embedded estimated operational budget has been reviewed and approved through an official e-mail notice issued by FEMA removing this special programmatic condition.

Funds Transfer Restriction: The recipient is prohibited from transferring funds between programs (SHSP, UASI, and OPSG). Grantees are allowed to submit an Investment/project where funds come from multiple funding sources (i.e., SHSP/UASI); however, grantees are not allowed to divert funding from one program to another due to the risk-based funding allocations, which were made at the discretion of DHS.
For additional details on restrictions on the use of funds, please refer to Appendix C – *Funding Guidelines*.

V. Application Review Information and Selection Process

Application Review Information

FY 2013 HSGP applications will be evaluated through a review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Investments. The results from the review process may require applicants to revise submissions before the release of HSGP funding.

SHSP and UASI: FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of risk driven, capabilities-based Investment Justifications (IJs) by the established due dates and verification of alignment to Urban Area, State, and regional THIRAs; State Preparedness Reports (SPRs); and national priorities. State and Urban Area Homeland Security Strategies will also be examined for further context regarding current capability levels and how IJs address potential shortfalls to prevent, protect, mitigate, respond to, and recover from disasters.

OPSG: Applications will be reviewed by the SAA and CBP/Border Patrol (BP) Sector Headquarters for completeness and adherence to programmatic guidelines as well as operational content prior to submission to FEMA.

Operations Orders developed at the county level should be inclusive of city, county, tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, with the emphasis on the Executive Summary, Mission, and Budget. This information will be used to evaluate the anticipated feasibility, need, and impact of the Operations Orders.

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

SAA and CBP/BP OPSG Program leads will ensure a coordinated approach to maintain application and operations order pre-submission accountability.

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

Application Selection Process
FY 2013 SHSP and UASI are non-competitive programs. For additional information on FY 2013 SHSP and UASI allocations, refer to Appendix A – *FY 2013 Program Specific Allocations.*

Funds for FY 2013 OPSG will be allocated competitively. This includes the use of risk-based prioritization using CBP Sector-specific border risk to include, but not limited to: threat, vulnerability, miles of border, and other border-specific law enforcement intelligence. Each applicant's final funding allocation will be determined by using a combination of the results of the risk analysis and feasibility of the Operations Orders.

VI. Post-Selection and Pre-Award Guidelines

Notice of Award
All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available within Section 6.1.1 of *http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf*.

Upon approval of an application, the award will be made in the form of a grant. The date the approval of award is entered in the system is the "award date." Notification of award approval is made through the ND Grants system through an automatic e-mail to the grantee point of contact listed in the initial application. Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under Federal awards.

Administrative and Federal Financial Requirements
Grantees are obligated to submit various financial and programmatic reports as a condition of their award acceptance. Please see below for a summary of financial and/or programmatic reports as required. Future awards and funds drawdown may be withheld if these reports are delinquent.

1. **Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail. The final FFR is due 90

days after the end date of the performance period. FFRs must be filed electronically through the Payment and Reporting System (PARS).

2. **Initial Strategy Implementation Plan (ISIP).** Following the award of grant funds, awardees will be responsible for reporting planned expenditures of the newly awarded grant funds to meet the pass-through requirement. The applicable SAAs are responsible for completing and submitting the ISIP online. The ISIP is due within 45 days of the award date.

3. **Grant Close-Out Process.** Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, grantees 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. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. As part of the final report, grantees must submit the Tangible Personal Property Report (SF-428), available at *http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-428.pdf*, to provide an inventory of all tangible personal property acquired using NSGP funds. An inventory of all construction projects that used HSGP funds has to 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*.

Programmatic Reporting Requirements

1. **Performance Progress Report (SF-PPR).** Awardees are responsible for providing updated performance reports using the SF-PPR (OMB Control Number: 0970-0334) on a biannual basis. The SF-PPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Grantees must complete the cover page of the SF-PPR and submit it as an attachment to the ND Grants system. The SF-PPR can be accessed online at *http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf*.

   Grantees will be required to report on progress towards implementing plans described in their application as well as progress made towards implementing performance measures as described in the *Program Specific Priorities* located in Appendix B. As part of the SF-PPR, grantees will be required to report on progress towards implementing the following performance measures:

- Compliance of both States and Urban Areas in submitting an annual update to their THIRA, aligned with Comprehensive Preparedness Guidance (CPG) 201
- Compliance of States submitting an annual capability assessment through the SPR;
- The percentage of funding that supports maintenance and sustainment of the National Preparedness Goal's core capabilities for each project described in the IJ at the time of application;
- Progress made towards completing each project identified in the IJ at the time of application;
- For all SHSP and UASI grantees, progress made toward making their Emergency Operations Plans (EOPs) compliant with CPG 101 v.2 as reported through the *Plan Analysis Tool*;
- Percentage of HSGP grant funded personnel credentialed or trained to support a reported number of defined Tier I or Tier II NIMS-typed teams and personnel needed to deliver one or more core capabilities as described in the Goal;
- Percentage of total HSGP purchased equipment that contributes to a Tier I or Tier II NIMS-typed resource in support of enhancing or maintaining a core capability as described in the Goal;
- Percentage of Tier I or Tier II NIMS-typed resources and core capabilities built utilizing grant funds;
- For fusion centers, the achievement of capabilities and compliance with measurement requirements within the Maturation and Enhancement of State and Major Urban Area Fusion Centers priority through the annual Fusion Center Assessment Program managed by the DHS Office of Intelligence and Analysis (I&A) and reported to FEMA;
- Percentage of SHSP and UASI that have submitted a certification for their agency indicating the number of personnel who have completed the applicable Nationwide SAR Initiative;
- For SHSP and UASI grantees, establishment of a planning body and demonstration that its membership and activities reflect the whole community. A list of stakeholder agencies and other members should be included along with a summary of planning activities during the report period.

2. **State Preparedness Report (SPR) Submittal.** Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 109-295), 6 U.S.C. §752(c), requires any State that receives Federal preparedness assistance to submit an SPR (OMB Control Number: 1660-0131) to FEMA. States submitted the most recent SPR in December 2012, which meets this requirement in order to receive funding under the FY 2013 HSGP. States must ensure the SPRs reflect their THIRA targets as well as activities and input from the full scope of emergency management agency partners, such as the public health department, the health care sector, and public safety agencies.

3. **Biannual Strategy Implementation Reports (BSIR).** In addition to the Quarterly Reports grantees are responsible for completing and submitting BSIR reports. 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)). Updated obligations and expenditure information must be provided within the BSIR to show progress made toward meeting strategic goals and objectives as well as how expenditures support Planning, Organization, Equipment, Training and Exercises (POETE). The first BSIR is not due until at least six months after the award notice has been received by the grantee.

4. **Exercise Evaluation and Improvement.** Exercises implemented with grant funds should evaluate the performance of capabilities against the level of capabilities required. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program (HSEEP) located at *https://hseep.dhs.gov*.

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

   Monitoring 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.

VII. DHS FEMA Contact Information

Contact and Resource Information

This section describes several resources that may help applicants in completing a FEMA grant application. These points of contact are also available for successful applicants who may require assistance during execution of their award.

Financial and Administrative Information

1. **Grant Programs Directorate (GPD).** GPD's Grant Operations Division Business Office provides financial support and 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.

2. **FEMA Regions.** FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance to the grant programs included in this solicitation. For a list of contacts, please go to *http://www.fema.gov/about/contact/regions.shtm*.

3. **GPD Environmental Planning and Historic Preservation (GPD-EHP).** The FEMA GPD-EHP Team provides guidance and information about the EHP review process to grantees and sub-grantees. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to gpdehpinfo@fema.gov. EHP Technical Assistance, including the EHP Screening Form, can be found at *https://www.rkb.us/ehp_docs.cfm*.

Programmatic Information

1. **Centralized Scheduling and Information Desk (CSID).** CSID is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, State, and local levels. When necessary, grantees 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, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

Systems Information

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

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

VIII. Other Critical Information

Emergency Management Assistance Compact (EMAC) Membership
In support of the NPG, grantees must belong to, be located in, or act as a temporary member States of EMAC, except for American Samoa and the Commonwealth of the Northern Mariana Islands, which are not required to belong to EMAC at this time. All assets supported in part or entirely with FY 2013 HSGP funding by States, territories, and Tribes must be readily deployable to support emergency or disaster operations per existing EMAC agreements. In addition, funding may be used for the sustainment of core capabilities that, while they may not be physically deployable, support national response capabilities such as Geographic/Geospatial Information Systems (GIS), interoperable communications systems, capabilities as defined under the mitigation mission area of the NPG, and fusion centers.

National Preparedness
DHS coordinates with local, State, territory, tribal, and Federal governments as well as the private and nonprofit sectors to facilitate an all-of-nation/whole community, risk driven, and capabilities-based approach to preparedness. This approach is grounded in the identification and assessment of risk through the THIRA. Urban Areas and States

must maintain and update their THIRAs, and States their SPRs, annually to ensure that the community's shared understanding of risk evolves to account for changes in the risk landscape, including successful mitigation efforts, emerging threats, hazards, and associated consequences. Information on the NPS can be found in the National Preparedness System Description (released Nov 2011), which is posted on the FEMA website at *http://www.fema.gov/national-preparedness/national-preparedness-system*. Additional details regarding the NPS and how it's supported by the HSGP can be found in Appendix B – *Program Specific Priorities*.

National Incident Management System (NIMS) Implementation
Prior to allocation of any Federal preparedness awards in FY 2013, grantees 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, inventorying, and cataloging promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and national Tier I NIMS Resource Types can be found at *http://www.fema.gov/resource-management*.

FEMA has developed the 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, 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 can be found at *http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf*

Environmental Planning and Historic Preservation (EHP) Compliance. As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or 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. Grantees and sub-grantees 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 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 FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, 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.

***SAFECOM Guidance for Emergency Communications Grants* Compliance**
Grantees (including sub-grantees) that are using HSGP funds to support emergency communications activities should comply with the *FY 2013 SAFECOM Guidance for Emergency Communications Grants*. SAFECOM Guidance is available at *http://www.safecomprogram.gov/grant/Default.aspx*.

Emergency Operation Plans (EOPs)
Grantees must update their EOP at least once every two years. An evaluation matrix to describe and calculate the percentage towards compliance with CPG 101 v.2 is available at *http://www.fema.gov/national-preparedness/plan*.

Threat and Hazard Identification and Risk Assessment (THIRA)
Grantees must update their THIRA through the SPR by December 31, 2013. Further details on the THIRA as it relates to HSGP requirements can be found in Appendix B – *Program Specific Priorities*. For additional guidance on THIRA, please refer to CPG 201 and the supplemental toolkit, available at *http://www.fema.gov/national-preparedness/plan*.

Citizen Corps Reporting
To demonstrate whole community engagement, Citizen Corps Councils and Community Emergency Response Team (CERT) programs must register new programs or update information on the website in order to be considered by a state or local jurisdiction for inclusion in their IJs when applying for HSGP funds. Program updates can be made at *http://www.ready.gov/citizen-corps*. The Citizen Corps and CERT Core Capabilities Tool (CCT) has been developed to help grantees develop IJs that reference how Citizen Corps and CERT activities contribute to and support core capabilities. The CCT is available at *http://www.ready.gov/citizen-corps-/citizen-corps-grant-information-and-financial-resources.*

IX. How to Apply

Application Instructions

Investment Justification (SHSP and UASI). As part of the FY 2013 HSGP application process for SHSP and UASI funds, applicants must develop a formal IJ that addresses each Investment being proposed for funding. The IJ must demonstrate how proposed projects support sustainment of existing core capabilities or address shortfalls and deficiencies in one or more core capabilities outlined in the NPG and as identified in their most recent State Preparedness Report. The IJ must also describe engagement

with and/or impacts on the general and vulnerable populations, to include children, the elderly, pregnant women, and individuals with disabilities such as those with access and functional needs. Consistent with the purpose of the program, the IJ must demonstrate alignment to Urban Area, State, and regional THIRAs, SPRs, national priorities, and applicable guidance provided by FEMA.

Instructions for SHSP

- Applicants may propose up to 10 projects within each Investment in their IJ to describe the activities they would like to implement with SHSP funds
- Of the proposed Investments, applicants are required to propose at least one Investment to provide funding support to the State's primary fusion center, as designated by the Governor. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission
- Grantees investing in emergency communications should describe how activities align to their Statewide Communication Interoperable Plan (SCIP). Grantees should coordinate with their Statewide Interoperability Coordinator (SWIC) and/or Statewide Interoperability Governance Body (SIGB) when developing an emergency communications investment prior to submission to ensure the project supports the statewide strategy to improve emergency communications and is compatible and interoperable with surrounding systems

Instructions for UASI

- Urban Areas may propose up to 10 projects within each Investment in their IJ to describe the activities they are planning to implement with UASI funds
- If applicable, of the proposed 10 Investments, Urban Areas are required to propose at least one Investment in support of a designated fusion center within the Urban Area. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission
- If UASI funds are used by the SAA in support of the Urban Area, the SAA must, as part of the up to 10 Investments, propose an Investment describing how UASI funds will be used by the SAA to directly support the Urban Area.
- Grantees investing in emergency communications should describe how activities align to the SCIP. Grantees should coordinate with the Statewide Interoperability Coordinator (SWIC) and/or Statewide Interoperability Governance Body (SIGB) when developing an emergency communications Investment prior to submission to ensure the project supports the statewide strategy to improve emergency communications and is compatible and interoperable with surrounding systems

For specific instructions on completing and submitting Investments, please refer to Appendix D – *FY 2013 HSGP Investment Justification Template and Instructions.*

Operations Order and Detailed Budget Summary (OPSG). As part of the FY 2013 OPSG application process, each eligible local unit of government at the county level or Federally-recognized tribal government must develop their Operations Order in

coordination with State and Federal law enforcement agencies, to include, but not limited to CBP/BP. Operations Orders that are developed at the county level should be inclusive of city, county, tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, and the Operations Order should address this in the Executive Summary. The details should include the names of the agencies, the points of contact, and the individual funding requests. All applications must be coordinated through the CBP sector office and that BP will forward application to the SAA for review.

X. Application and Submission Information

Address to Request Application Package
FEMA makes all funding opportunities available on the Internet at *http://www.grants.gov*. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to *http://www.grants.gov*, select "Apply for Grants," enter the CFDA number (97.067) or the FOA Number noted in the Overview Information section of the FOA and then select "Download Application Package". Select "Download Application Package," and then follow the prompts to download the application package. To download the instructions, go to "Download Application Package" and select "Instructions."

Content and Form of Application

1. **Application via Grants.gov.** All applicants must file their applications using the Administration's common electronic "storefront" – *http://www.grants.gov*. Eligible grantees must apply for funding through this portal, accessible on the Internet at *http://www.grants.gov*.

   The application must be started and submitted using Grants.gov after registration in the System for Award Management (SAM) is confirmed. The on-line application includes the following required form:

   - Standard Form 424, Application for Federal Assistance

   Applying for FY 2013 HSGP funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One as soon after the FOA is published but no later than June 17, 2013. This involves submitting a complete Standard Form 424 to *www.grants.gov*. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to Grants.gov to complete Step One could result in applicants missing the application deadline in Step Two. Once FEMA

has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is June 24, 2013.

The application must be completed and final submission made through the ND Grants system located at *https://portal.fema.gov*. If you need assistance registering for the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076. Applicants are encouraged to begin their ND Grants registration at the time of solicitation to ensure they have adequate time to start and complete their application submission. Unless otherwise referenced, the ND Grants system includes the following required forms and submissions:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 112-0-3C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- For SHSP and UASI funds, an IJ Report (OMB Control Number: 1660-0125/FEMA Form 089-1) from the Grants Reporting Tool (see Appendix D – *FY 2013 HSGP Investment Justification Template and Instructions*)
- For UASI funds, an overview of the Urban Area Working Groups (UAWG) structure and a list of members and their associated jurisdictions
- For OPSG funds, Operations Orders and Detailed Budget Summary (OMB Control Number: 1660-0119/FEMA Form 089-16) from eligible local units of government at the county level and federally-recognized tribal governments within States and territories
- For OPSG funds, inventory of Operations Orders in FEMA-provided template

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

2. **Dun and Bradstreet Data Universal Numbering System (DUNS) Number.** The applicant must provide a DUNS number with their application. This number is a required field within *http://www.grants.gov* and for SAM. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at (866) 705-5711.

3. **System for Award Management (SAM).** The application process also involves an updated and current SAM registration by the applicant at *http://www.sam.gov* . Please ensure that your 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 FEMA awards. Future payments will be contingent on the information provided in SAM; therefore it is imperative that the information is correct.

Applicants will obtain FOA Overviews and Full Announcement information from the Grants.gov website where the full FOA is posted.

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

Applications will be processed through the Grants.gov portal or the ND Grants system.

Hard copies of the application will not be accepted.

Appendix A – FY 2013 Program Specific Allocations

FY 2013 SHSP Funding Allocations
Based upon ongoing intelligence analysis and threat assessments, DHS continues to allocate SHSP, UASI, and OPSG funds based upon risk. DHS defines risk as: "potential for an unwanted outcome resulting from an incident, event, or occurrence, as determined by its likelihood and the associated consequences" (see: *http://www.dhs.gov/xlibrary/assets/dhs-risk-lexicon-2010.pdf*). For the purposes of HSGP, risk is evaluated using an analytical model developed by DHS in conjunction with other Federal entities as the product of three principal variables:

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

The risk model is used to allocate HSGP funds and is informed by the risk to specific threats and vulnerabilities—taking into account regional variations—to include the potential risk of terrorism to people, critical infrastructure, and economic security to estimate the relative risk of terrorism faced by a given area. The threat analysis now takes into account threats from domestic violent extremists as well as international terrorist groups and those individuals inspired by terrorists abroad.

FY 2013 SHSP Allocations

State/Territory	FY 2013 Allocation	State/Territory	FY 2013 Allocation
Alabama	$3,459,364	Montana	$3,459,364
Alaska	$3,459,364	Nebraska	$3,459,364
American Samoa	$790,712	Nevada	$3,459,364
Arizona	$3,972,417	New Hampshire	$3,459,364
Arkansas	$3,459,364	New Jersey	$7,264,241
California	$52,204,659	New Mexico	$3,459,364
Colorado	$3,459,364	New York	$66,732,460
Connecticut	$3,459,364	North Carolina	$4,773,429
Delaware	$3,459,364	North Dakota	$3,459,364
District of Columbia	$3,581,094	Northern Mariana Islands	$790,712
Florida	$9,574,272	Ohio	$6,693,676
Georgia	$5,918,784	Oklahoma	$3,459,364
Guam	$790,712	Oregon	$3,459,364
Hawaii	$3,459,364	Pennsylvania	$8,718,570
Idaho	$3,459,364	Puerto Rico	$3,459,364
Illinois	$14,222,962	Rhode Island	$3,459,364
Indiana	$3,459,364	South Carolina	$3,459,364
Iowa	$3,459,364	South Dakota	$3,459,364
Kansas	$3,459,364	Tennessee	$3,459,364
Kentucky	$3,459,364	Texas	$18,650,481
Louisiana	$3,459,364	U.S. Virgin Islands	$790,712
Maine	$3,459,364	Utah	$3,459,364
Maryland	$5,325,727	Vermont	$3,459,364
Massachusetts	$4,888,662	Virginia	$6,446,710
Michigan	$5,789,215	Washington	$5,646,176
Minnesota	$3,459,364	West Virginia	$3,459,364
Mississippi	$3,459,364	Wisconsin	$3,459,364
Missouri	$3,459,364	Wyoming	$3,459,364
Total:			**$354,644,123**

FY 2013 UASI Allocations

Pursuant to provisions of the 9/11 Act, eligible UASI sites were determined based on an analysis of relative risk of the 100 most populous Metropolitan Statistical Areas (MSAs), as defined by OMB. MSAs are used by DHS to determine eligibility for participation in the program. *Geographical areas queried do not equate to minimum mandated membership representation of an Urban Area, nor does this guarantee funding for geographical areas queried.* Detailed information on MSAs is publicly available from the United States Census Bureau at *http://www.census.gov/population/www/metroareas/metrodef.html*.

The jurisdictions identified in Appendix A – *FY 2013 Program Specific Allocations* represent the candidate Urban Areas eligible to apply for funding. In each of these Urban Areas a UAWG will be responsible for coordinating the development and implementation of all program initiatives. States and Urban Areas must consider including counties within which the cities reside, contiguous jurisdictions, MSAs, operational areas, and mutual aid partners, as appropriate, in the governance process.

FY 2013 UASI Allocations

State/Territory	Urban Area	FY 2013 Allocation
Arizona	Phoenix Area	$5,500,000
California	Anaheim/Santa Ana Area	$3,000,000
	Bay Area	$27,252,169
	Los Angeles/Long Beach Area	$65,908,396
	Sacramento Area	$3,000,000
	San Diego Area	$16,873,461
Colorado	Denver Area	$3,000,000
District of Columbia	National Capital Region	$51,839,027
Florida	Miami/Fort Lauderdale Area	$5,500,000
	Tampa Area	$3,000,000
Georgia	Atlanta Area	$5,500,000
Illinois	Chicago Area	$67,727,836
Maryland	Baltimore Area	$5,500,000
Massachusetts	Boston Area	$17,564,687
Michigan	Detroit Area	$5,500,000
Minnesota	Twin Cities Area	$5,500,000
Missouri	St. Louis Area	$3,000,000
New Jersey	Jersey City/Newark Area	$21,663,035
New York	New York City Area	$174,290,662
North Carolina	Charlotte Area	$3,000,000
Pennsylvania	Philadelphia Area	$17,567,086
	Pittsburgh Area	$3,000,000
Texas	Dallas/Fort Worth/Arlington Area	$14,622,684
	Houston Area	$23,936,523
Washington	Seattle Area	$5,500,000
Total:		**$558,745,566**

FY 2013 SHSP and UASI LETPA Minimum

State/Territory	Funded Urban Area(s)	UASI Allocation	Total UASI Allocation	SHSP Allocation	Total Allocation by State	LETPA
Alabama				$3,459,364	$3,459,364	$864,841
Alaska				$3,459,364	$3,459,364	$864,841
American Samoa				$790,712	$790,712	$197,678
Arizona	Phoenix Area	$5,500,000	$5,500,000	$3,972,417	$9,472,417	$2,368,104
Arkansas				$3,459,364	$3,459,364	$864,841
California	Anaheim/Santa Ana Area	$3,000,000	$116,034,026	$52,204,659	$168,238,685	$42,059,671
	Bay Area	$27,252,169				
	Los Angeles/Long Beach Area	$65,908,396				
	Sacramento Area	$3,000,000				
	San Diego Area	$16,873,461				
Colorado	Denver Area	$3,000,000	$3,000,000	$3,459,364	$6,459,364	$1,614,841
Connecticut				$3,459,364	$3,459,364	$864,841
Delaware				$3,459,364	$3,459,364	$864,841
District of Columbia	National Capital Region	$51,839,027	$51,839,027	$3,581,094	$55,420,121	$13,855,030
Florida	Miami/Fort Lauderdale Area	$5,500,000	$8,500,000	$9,574,272	$18,074,272	$4,518,568
	Tampa Area	$3,000,000				
Georgia	Atlanta Area	$5,500,000	$5,500,000	$5,918,784	$11,418,784	$2,854,696
Guam				$790,712	$790,712	$197,678
Hawaii				$3,459,364	$3,459,364	$864,841
Idaho				$3,459,364	$3,459,364	$864,841
Illinois	Chicago Area	$67,727,836	$67,727,836	$14,222,962	$81,950,798	$20,487,700
Indiana	Indianapolis Area			$3,459,364	$3,459,364	$864,841
Iowa				$3,459,364	$3,459,364	$864,841
Kansas				$3,459,364	$3,459,364	$864,841
Kentucky				$3,459,364	$3,459,364	$864,841
Louisiana	New Orleans Area			$3,459,364	$3,459,364	$864,841
Maine				$3,459,364	$3,459,364	$864,841
Maryland	Baltimore Area	$5,500,000	$5,500,000	$5,325,727	$10,825,727	$2,706,432
Massachusetts	Boston Area	$17,564,687	$17,564,687	$4,888,662	$22,453,349	$5,613,337
Michigan	Detroit Area	$5,500,000	$5,500,000	$5,789,215	$11,289,215	$2,822,304
Minnesota	Twin Cities Area	$5,500,000	$5,500,000	$3,459,364	$8,959,364	$2,239,841
Mississippi				$3,459,364	$3,459,364	$864,841
Missouri	St. Louis Area	$3,000,000	$3,000,000	$3,459,364	$6,459,364	$1,614,841
Montana				$3,459,364	$3,459,364	$864,841
Nebraska				$3,459,364	$3,459,364	$864,841
Nevada	Las Vegas Area			$3,459,364	$3,459,364	$864,841
New Hampshire				$3,459,364	$3,459,364	$864,841
New Jersey	Jersey City/Newark Area	$21,663,035	$21,663,035	$7,264,241	$28,927,276	$7,231,819
New Mexico				$3,459,364	$3,459,364	$864,841
New York	New York City Area	$174,290,662	$174,290,662	$66,732,460	$241,023,122	$60,255,781

FY 2013 SHSP and UASI LETPA Minimum (continued)

State/Territory	Funded Urban Area(s)	UASI Allocation	Total UASI Allocation	SHSP Allocation	Total Allocation by State	LETPA
North Carolina	Charlotte Area	$3,000,000	$3,000,000	$4,773,429	$7,773,429	$1,943,357
North Dakota				$3,459,364	$3,459,364	$864,841
Northern Mariana Islands				$790,712	$790,712	$197,678
Ohio				$6,693,676	$6,693,676	$1,673,419
Oklahoma				$3,459,364	$3,459,364	$864,841
Oregon	Portland Area			$3,459,364	$3,459,364	$864,841
Pennsylvania	Philadelphia Area	$17,567,086	$20,567,086	$8,718,570	$29,285,656	$7,321,414
	Pittsburgh Area	$3,000,000				
Puerto Rico				$3,459,364	$3,459,364	$864,841
Rhode Island				$3,459,364	$3,459,364	$864,841
South Carolina				$3,459,364	$3,459,364	$864,841
South Dakota				$3,459,364	$3,459,364	$864,841
Tennessee				$3,459,364	$3,459,364	$864,841
Texas	Dallas/Fort Worth/Arlington Area	$14,622,684	$38,559,207	$18,650,481	$57,209,688	$14,302,422
	Houston Area	$23,936,523				
U.S. Virgin Islands				$790,712	$790,712	$197,678
Utah				$3,459,364	$3,459,364	$864,841
Vermont				$3,459,364	$3,459,364	$864,841
Virginia				$6,446,710	$6,446,710	$1,611,678
Washington	Seattle Area	$5,500,000	$5,500,000	$5,646,176	$11,146,176	$2,786,544
West Virginia				$3,459,364	$3,459,364	$864,841
Wisconsin				$3,459,364	$3,459,364	$864,841
Wyoming				$3,459,364	$3,459,364	$864,841
Total		**$558,745,566**	**$558,745,566**	**$354,644,123**	**$913,389,689**	**$228,347,423**

FY 2013 OPSG Eligible States and Territories

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

Note: Not all applicants are guaranteed to receive funding under the FY 2013 OPSG.

Appendix B – Program Specific Priorities

The Alignment of HSGP to the National Preparedness System (NPS)
The NPS is the instrument the Nation will employ to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (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 NPS is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the NPS 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*).

National preparedness is a shared responsibility of the whole community. Every member must be given the opportunity to contribute.

FY 2013 HSGP plays an important role in the implementation of the NPS by supporting the building, sustainment, and delivery of core capabilities. 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 HSGP allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

Particular emphasis will be placed on capabilities that address the greatest risks to the security and resilience of the United States, and the greatest risks along the Nation's borders. Funding will support deployable assets that can be utilized anywhere in the Nation through automatic assistance and mutual aid agreements, including but not limited to the EMAC.

Using the core capabilities, FY 2013 HSGP supports the achievement of the NPG 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.
- 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 us to use existing preparedness networks and activities, improve training and exercise programs, promote innovation, and ensure that the appropriate administrative, finance, and logistics systems are in place.

To support building, sustaining, and delivering these core capabilities grantees will use the components of the NPS. The components of the NPS are: Identifying and Assessing Risk; Estimating Capability Requirements; Building and Sustaining Capabilities; Planning to Deliver Capabilities; Validating Capabilities; and Reviewing and Updating. For more information on each component, read the National Preparedness System Description available at *http://www.fema.gov/national-preparedness/national-preparedness-system*.

Building and Sustaining Core Capabilities

FY 2013 HSGP focuses on the development and sustainment of core capabilities as outlined in the Goal. Particular emphasis will be placed on building and sustaining capabilities that address high consequence events that pose the greatest risk to the security and resilience of the United States and that can be utilized nationwide. HSGP uses a comprehensive process for assessing regional and national risks and identifying capability needs in order to prioritize and invest in key deployable assets, as well as those elements that support deployment.

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, government officials, and elected leaders can develop plans to allocate resources effectively to 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, 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 risk assessment must inform jurisdictions' preparedness, strategic and business 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 to effectively estimate the level of capabilities required to manage its greatest risks.

Files and information on the NPS can be found at *http://www.fema.gov/national-preparedness/national-preparedness-system*.

THIRA and Capability Estimation Process

Knowledge of risks enables a community to make informed decisions about how to manage risk and develop needed capabilities. Risk is commonly thought of as a product of a threat or hazard, the vulnerability of a community or facility to a threat or hazard, and the resulting consequences that may impact the community or facility. By considering these elements of risk, which often change, as well as the impact of successful mitigation initiatives, as outlined in the National Preparedness System (http://www.fema.gov/national-preparedness-system), a jurisdiction can understand how to best manage or reduce its exposure to risk.

Federal investments in local, State, territory, 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. The HSGP Program prescribes national capability priorities in order to prioritize and invest in key deployable capabilities.

A THIRA 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. A guide on how to complete a THIRA is available at *http://www.fema.gov/national-preparedness/plan*.

A jurisdiction should apply the results of their THIRA through a capability estimation process to determine the resources needed to deliver core capabilities to the targets set in their THIRAs, identify what resources they currently have to meet those needs, and determine where they currently have adequate resources and surpluses that may need to be maintained or shortfalls that may need to be filled. Jurisdictions should examine current capability levels through the lens of real-world incidents, assessments, and exercises to determine whether changes to current capability levels are warranted. This capability estimation 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 capability estimation process serve as the foundation for jurisdictions 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 bridge shortfalls, and build new capabilities through grants and investments. A jurisdiction should consider all resources available to it, including local and State appropriations, 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 THIRA, conducting a capability estimation process, and developing a strategic plan. Ultimately, a jurisdiction may find that it can address capability needs through existing or new mutual aid agreements with neighboring communities or fill shortfalls 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, which have long required using 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 a jurisdiction 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. Grantees must also ensure that regional plans (e.g., emergency operations plans, local/regional/state catastrophic plans, etc.) incorporate the desired outcomes and capability targets 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.

The primary grantee of HSGP funds is responsible for sharing the results from their State and Urban Area's THIRA, which informs and supports the SPR, with their FEMA Federal Preparedness Coordinator (FPC).

Updates to the THIRA guidance are under development based on feedback and experiences gained from the 2012 THIRA submittals. An updated version of the guidance, reflecting that feedback, and guidance on the capability estimation process, will be available in the near future, to guide development of 2013 THIRAs.

Strengthening Governance Integration
DHS 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 requires that all governance processes that guide the allocation of preparedness grant funds adhere to the following guiding principles:

- *Prioritization 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 grants support must include local government representatives. At the state and regional level, local risk assessments must be included in the overarching analysis to ensure that all threats and hazards are accounted for.
- *Flexibility with Accountability* – recognition of unique preparedness gaps at the local level, as well as maintaining and sustaining existing capabilities.
- *Support of Regional Coordination* – recognition of inter/intra-state partnerships and dependencies at the state and regional level, and within metropolitan areas

Reporting on Program Priorities

Priority One: Implementation of the National Preparedness System through a whole community approach to achieve a secure and resilient nation
DHS preparedness grant programs offer resources for State, local, tribal, and regional partners to support approaches described in documents such as the NPG, the NPS description, and "*A Whole Community Approach to Emergency Management: Principles, Themes, and Pathways for Action*" to include development and sustainment of critical capabilities needed to close shortfalls, increasing national preparedness.

Communities are challenged to develop collective, local abilities to withstand the potential impacts of natural disasters and terrorist threats, respond quickly, and recover in a way that sustains or improves the community's overall well-being. Achieving this collective capacity calls for innovative approaches across the community, including emergency management to build up existing practices, institutions, and organizations that help make local communities successful, and that can leverage this infrastructure if

and when an incident occurs (for details see http://www.fema.gov/about/wholecommunity.shtm).

Objective One: Update of Threat and Hazard Identification and Risk Assessments (THIRAs) THIRA processes at all levels of government establish a defensible and rational foundation to guide preparedness activities and investments. In order to qualify for HSGP funding, all grantees shall develop and maintain a THIRA, which informs and supports the SPR.

An effective THIRA includes clearly defined desired outcomes and sets capability targets for relevant core capabilities. Capability targets should be based on analysis of the consequences of the threats and hazards of greatest concern with consideration of empirical data to the maximum degree possible. THIRA findings and subsequent SPR results should be incorporated into each applicant's preparedness strategy, planning initiatives, and IJs.

An integrated, whole community THIRA is envisioned in the NPS in which jurisdictions' respective THIRAs can inform one another using a common framework. FEMA will continue to refine the THIRA process and toolkits.

Measurement Methods

- Percentage of THIRAs and SPRs that meet current DHS guidance.

Reporting

- States and Urban Areas are required to submit an annual update to their THIRA. States will submit their THIRA update to their respective FEMA Region as part of their SPR. Urban Areas will submit their THIRA update through their SAA to their respective FEMA Region. THIRA submissions shall be in alignment with CPG 201. State and Urban Area submissions of the updated THIRA and State submissions of the SPR are due no later than December 31, 2013. The State should coordinate with each eligible Urban Area to ensure that UASI THIRA submission occurs significantly in advance of this deadline as the State must include the Urban Area's input when conducting the statewide SPR assessment. The Urban Area should coordinate internally to ensure that its submission represents all jurisdictions within the UASI program.

Objective Two: Planning – including strategic planning for sustaining and building capabilities and planning to deliver capabilities.
he Comprehensive Preparedness Guide (CPG) 101 v.2, helps planners at all levels of government in their efforts to develop and maintain viable all-hazards, all-threats Emergency Operations Plans (EOPs) by engaging the whole community in thinking through the life cycle of a potential crisis, determining required capabilities that support the NPG, and establishing a framework for roles and responsibilities. All

SHSP and UASI grantees shall maintain, or revise as necessary, jurisdiction wide emergency operations plans consistent with the CPG 101 v.2 which serves as the foundation for State, local, tribal, and territory emergency planning. CPG 101 v.2 can be found at *http://www.fema.gov/national-preparedness/plan*. Grantees must update their EOP at least once every two years. A *Plan Analysis Tool* to describe progress towards aligning with CPG 101 v.2 is published and available at *http://www.fema.gov/national-preparedness/plan*.

In building future EOPs, planners should anticipate the increasing complexity and decreasing predictability of the future operating environment. These efforts should actively use strategic foresight, including the multiple driving forces of change and the associated evolving strategic needs shown in FEMA's *Crisis Response and Disaster Resilience 2030 Report*. The Report can be found at *http://www.fema.gov/strategic-planning-analysis-spa-division/strategic-foresight-initiative*.

Measurement Method

- All SHSP and UASI grantees will report progress toward aligning their EOP with CPG 101 v.2 by completing the *Plan Analysis Tool* CPG 101 v.2 available at *http://www.fema.gov/plan*.

Reporting

- SHSP and UASI grantees are required to submit a *Plan Analysis Tool* annually that describes the percentage completion of the CPG 101 v.2 compliance. UASI grantees that do not maintain a unified Urban Area EOP are required to have each jurisdiction within the Urban Area submit a Plan and Analysis Support Tool annually. Grantees should refer to IB 388a at *http://www.fema.gov/library/viewRecord.do?id=6440* for additional guidance on this reporting requirement.
- The most recent *Plan Analysis Tool* must be submitted as part of the summer reporting period as an attachment in ND Grants throughout the period of performance of the award.

Objective Three: Organization – Typing of equipment or teams and credentialing of personnel (to include training) in alignment with the National Incident Management System (NIMS). A well-executed mission requires carefully managed resources (personnel, teams, facilities, equipment, and/or supplies) from the Whole Community to meet identified requirements. Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking resources will facilitate the identification, dispatch, deployment, and recovery of these resources.

Measurement Method

- Percentage of total HSGP purchased equipment that contributes to a NIMS-typed resource in support of enhancing or maintaining a core capability;
- Percentage of HSGP grant funded personnel credentialed or trained in a given capability to support a reported number of defined NIMS-typed positions or teams; and
- Percentage of defined NIMS-typed resources and core capabilities built utilizing grant funds.

Reporting

- All SHSP and UASI grantees will report all HSGP-funded equipment or credentialing and training that was purchased to support NIMS-typed resources along with the NIMS-typed resource it supports. This data must be provided as part of the SF-PPR using the Grant-Funded Typed Resource Report available at *http://www.fema.gov/library/viewRecord.do?id=6432*. The resources should be reported only after equipment is delivered or after credentialing/training has occurred and the corresponding grant funds have been expended. The Tool should be submitted biannually as an attachment to the performance report in the ND Grants system.
- Grantees must identify the specific resources, capability supported, and whether it is a Tier I or Tier II NIMS-typed resource, the cost, and whether the resource sustains current capabilities or adds new capabilities. The description and listing of Tier I NIMS-typed resources can be found in individual documents under Resource Typing Definitions located at *http://www.fema.gov/resource-management*. Each NIMS-typed resource should list equipment and training on separate lines and include the total amount of grant dollars expended for equipment or training that supports the NIMS-typed resources. The equipment purchased column should include all equipment purchased with grant funds to support that NIMS-typed resource. If grant funds have supported both equipment and training for the same NIMS-typed resource, please make a note of this in the comment section so that NIMS-typed resources are not double counted.
- All grantees will report the total number of defined NIMS-typed resources and core capabilities built utilizing the resources of this grant as part of the SF-PPR.
- Grantees shall submit the Grant-Funded Typed Resource Report via ND Grants during the summer and winter reporting periods.

Objective Four: Sustaining Capabilities.

In this time of limited resources, HSGP grantees should ensure that grant funding is utilized to sustain critical core capabilities within the NPG that were funded by past HSGP funding cycles to include training of personnel and lifecycle replacement of equipment. New capabilities should not be built at the expense of maintaining current and critically needed core capabilities. If new core capabilities are being

sought utilizing HSGP funding, grantees must ensure that the capabilities are deployable outside of their community to support regional and national efforts or otherwise shareable with regional partners. All capabilities being built or sustained must have a clear linkage to one or more core capabilities in the NPG.

Measurement Method

- Percentage of funding, on a project-by-project basis that supports the maintenance and sustainment of the NPG's core capabilities.

Reporting

- As part of programmatic monitoring grantees will be required to describe how expenditures first support maintenance and sustainment of current NPG core capabilities within the BSIR. HSGP grantees will, on a project-by-project basis, check one of the following:
    - Sustaining or maintaining a capability acquired with Federal homeland security funding;
    - Sustaining or maintaining a capability acquired without Federal homeland security funding; or
    - Developing or acquiring a new core capability

Priority Two: Building and Sustaining Law Enforcement Terrorism Prevention Capabilities

The threat of violent extremism in America is not new. Throughout history, misguided groups—including international and domestic terrorist organizations, neo-Nazis and anti-Semitic hate groups – have engaged in horrific violence to kill innocent civilians and threaten free and open societies. Most recently al-Qa'ida and its affiliates have attempted to recruit and radicalize people to terrorism here in the United States, as we have seen in several plots and attacks in recent years . The President's plan "*Empowering Local Partners to Prevent Violent Extremism in the United States*"[1] outlines how the Federal government will support and help empower American Communities and their local partners to prevent violent extremism.

As the terrorist threat to the United States has evolved, Federal, State, and local governments have sought to expand their capacity to detect and mitigate the threat posed by those who seek to carry out violent attacks against the people, government or critical infrastructure of the United States. In support of the NPG's core capabilities, DHS encourages the use of SHSP and UASI funding for programs and initiatives that directly support local efforts to enable interdiction and disruption of terrorist activity through enhanced understanding and recognition of pre-operational activity and other crimes that may be precursors or indicators of terrorist activity, in accordance with

[1] http://www.whitehouse.gov/the-press-office/2011/08/03/empowering-local-partners-prevent-violent-extremism-united-states

applicable Privacy/Civil Rights Civil Liberties (P/CRCL) protections. Such activities include:

- Maturation and enhancement of designated State and major Urban Area fusion centers, including information sharing and analysis, target hardening, threat recognition, and terrorist interdiction, and training/ hiring of intelligence analysts;
- Implementation and maintenance of the Nationwide Suspicious Activity Reporting (SAR) Initiative (NSI), including training for front line personnel on identifying and reporting suspicious activities;
- Implementation of the "If You See Something, Say Something™" campaign to raise public awareness of indicators of terrorism and violent crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations;
- Training for countering violent extremism; development, implementation, and/or expansion of programs to engage communities that may be targeted by violent extremists; and the development and implementation of projects to partner with local communities to prevent radicalization to violence, in accordance with the Strategic Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States:
- Develop and enhance law enforcement measures associated with preventing and/ or responding to active shooter or complex mass casualty attacks including training, exercises, and operational overtime to address evolving threat related circumstances; and
- Increased physical security, including through law enforcement personnel and other protective measures, by implementing preventive and protective measures in support of at-risk nonprofit organizations.

Objective One: NSI Training. All personnel funded with SHSP and UASI funding and engaged in the NSI will complete the Nationwide Suspicious Activity Reporting Program Management Office's on-line SAR training for front line officers.

Measurement Method

- Any agency (grantees and sub grantees) that receives SHSP and UASI funding will be required to submit a certification for their agency indicating the number of personnel who have completed the applicable Nationwide SAR Initiative trainings.

Reporting

- Initial report: NSI SAR trainings for law enforcement, fire service/EMS, emergency management, and 9-1-1 call taker/dispatcher personnel must be completed online at *http://nsi.ncirc.gov/training_online.aspx*. The NSI Program Management Office (PMO) will capture reporting figures through the online training program no less than on an annual basis. Agencies unable to participate and/or complete the training online may request that a training DVD be mailed to them at no cost. Requests can be submitted to the NSI PMO at

nsiinformation@ncirc.gov. All such electronic requests must be accompanied by the completed form located at *http://nsi.ncirc.gov/sartraining/default.aspx* to show the projected number of trainees. Agencies will be required to report to the NSI PMO the *projected* number of personnel to be trained prior to receiving the DVD.

- Subsequent reports: All new hires within the applicable agency are required to complete the training within their first year of employment. All previously trained personnel must complete refresher training every other year, or earlier if necessary.

Priority Three: Maturation and Enhancement of State and Major Urban Area Fusion Centers

DHS preparedness grants continue to support designated State and major Urban Area fusion centers (see *http://www.dhs.gov/fusion-center-locations-and-contact-information*) and the maturation of the Information Sharing Environment (ISE). Fusion centers, a critical component of our Nation's distributed homeland security and counterterrorism architecture, provide grassroots intelligence and analytic capabilities within the state and local environment. Fusion centers contribute to the ISE through their role in receiving threat information from the Federal government; analyzing that information in the context of their local environment; disseminating that information to local agencies; and gathering tips, leads, and SAR initiatives from local agencies and the public. Enhancing and sustaining these capabilities across the National Network of Fusion Centers (National Network) helps to empower law enforcement, fire service/emergency medical services (EMS), emergency management, public health and other public safety and homeland security personnel by helping them understand local implications of national intelligence, thus enabling them to better protect their communities.

A National Network also provides a mechanism for the Federal government to receive information from SLTT partners, which helps create a more complete threat picture at the National level. Participating in the Nationwide SAR Initiative enables fusion centers to receive and analyze suspicious activity reporting from frontline public safety personnel, the private sector, and the public, and ensure the sharing of SAR with the Federal Bureau of Investigation-led Joint Terrorism Task Forces for further investigation. The *2010 National Security Strategy* identifies fusion centers as critical in enlisting all of our intelligence, law enforcement, fire service, emergency management, and homeland security capabilities to prevent acts of terrorism on American soil.

In support of this strategic vision, the Department of Homeland Security's Office of Intelligence & Analysis (DHS I&A) is requiring designated State and major Urban Area fusion centers to participate in an annual assessment of their achievement of Critical Operational Capabilities (COCs) and Enabling Capabilities (ECs), as detailed in the Global Justice Information Sharing Initiative's (Global) *Baseline Capabilities for State and Major Urban Area Fusion Centers*. The results from this assessment, to be conducted in the fall of 2013, will help fusion centers identify gaps in their COCs and ECs and focus Federal investment so resources are targeted to mitigate any identified capability gaps and shortfalls and sustain existing capabilities. This will enhance fusion centers' capacity to improve the nation's ability to safeguard the homeland and prevent

terrorist and criminal activity, while enabling local officials to better protect their communities.

As maturation of the National Network continues to be a high priority in FY 2013, DHS is requiring that all fusion center related funding requests be consolidated into a single (1) Investment for States or Urban Areas in which designated fusion centers reside, and this Investment must address funding support for the designated fusion center. The single Investment provides state and urban areas a means to centrally manage and report on fusion center related activities. **Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission, and the Investment must directly align to and reference any capability gaps and shortfalls identified during the center's individual 2012 Fusion Center Assessment Report. In particular, each proposed project included in the fusion center Investment must reference the corresponding COC or EC, as well as associated attribute(s), the funding investment is intended to address.** Additionally, any jurisdiction or agency that leverages HSGP funds to support intelligence- or fusion process-related activities (i.e., intelligence unit, real time crime information and analysis centers, etc.) must ensure these efforts are integrated and/or coordinated with the respective designated State or major Urban Area fusion center(s).

Background: The *Baseline Capabilities for State and Major Urban Area Fusion Centers* (September 2008) (http://www.dhs.gov/national-network-fusion-centers-fact-sheet) identifies the baseline capabilities for fusion centers and the operational standards necessary to achieve each of the capabilities across the National Network. Federal partners, in coordination with fusion center directors, prioritized four COCs, which reflect the operational priorities of the National Network, and four ECs, which provide a foundation for the fusion process. Enhancing and sustaining these capabilities across the National Network creates a national capacity to gather, process, analyze, and share information in support of efforts to protect the country. During the annual fusion center assessment, fusion centers are assessed on their ability to execute the COCs and ECs.

Objective One: Baseline Capabilities. Fusion centers leveraging SHSP and/or UASI grant funds must prioritize the allocation of these grant funds to address any capability gaps and shortfalls identified as a result of the 2012 Fusion Center Assessment and maintain and enhance capabilities in execution of the COCs and ECs. This will ensure the implementation of common and consistent operational standards across the National Network.

Objective Two: Analytic Capabilities. All fusion center analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing gaps and shortfalls in analytic capability identified during the annual fusion center assessment.

Measurement Methods (Fusion Center Reporting and Compliance)
In order to effectively measure implementation of this priority, designated State and major Urban Area fusion centers leveraging SHSP and/or UASI grant funds will be evaluated based upon compliance with the following:

- Successful completion of the annual Fusion Center Assessment Program managed by the DHS I&A. The Fusion Center Assessment Program evaluates each Fusion Center against the COCs and ECs and is comprised of the self-assessment questions, staffing, product, and cost assessment data tables, and validation
- Maintain approved plans, policies, or SOPs and, per the Fusion Center Assessment Program, and, when applicable, demonstrate improvement in each of the four COCs
- Maintain an approved Privacy, Civil Rights, and Civil Liberties (P/CRCL) policy that is determined to be at least as comprehensive as the *ISE Privacy Guidelines*
- Conduct a compliance review of their P/CRCL policy in accordance with the *Privacy Civil Rights and Civil Liberties Compliance Verification for the Intelligence Enterprise (http://it.ojp.gov/docdownloader.aspx?ddid=1285*)
- Ensure all staff receive annual training on the center's P/CRCL policies
- Ensure all staff are trained on 28 CFR Part 23
- Ensure all Federally funded criminal intelligence databases comply with 28 CFR Part 23
- All fusion center analytic personnel must meet designated competencies, as identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts,* that have been acquired through experience or training courses
- Successfully complete an exercise to evaluate the implementation of the COCs at least once every two years and address any corrective actions arising from the successfully completed exercises within the timeframe identified in the each exercise' AAR
- Post 100 percent (100%) of distributable analytic products (as defined by the annual assessment process) to the Homeland Security Information Network's (HSIN's) Homeland Security State & Local Intelligence Community of Interest (HS SLIC) as well as any other applicable portals, such as LEO, RISS, their agency portal, etc.
- Have formalized process (as defined by the annual assessment process) to track incoming and outgoing Requests for Information (RFI), including send/recipient and actions taken
- For States that have multiple designated fusion centers, the primary fusion center has documented a plan that governs the coordination and interactions of all fusion centers within the state

Reporting

- For SHSP and UASI, fusion centers will report on the achievement of capabilities and compliance with measurement requirements within the Maturation and Enhancement of State and Major Urban Area Fusion Centers priority through the annual Fusion Center Assessment Program managed by DHS I&A and reported to FEMA

Priority Four: Innovation and Sustained Support for the National Campaign for Preparedness

Building and sustaining preparedness is an ongoing effort and the National Campaign for Preparedness seeks to support the Goal through a range of existing and innovative activities including: Federal preparedness efforts; grants, technical assistance and other Federal preparedness resources; research and development efforts; and a comprehensive national preparedness campaign, inclusive of public outreach and community-based and private-sector programs.

With support from FY 2013 SHSP and UASI funding, grantees are encouraged to foster individual and community preparedness and resilience in support of the National Campaign for Preparedness by identifying resource needs; mobilizing partners; and creating innovative and effective solutions that can be grown, sustained, and replicated. This priority may be achieved by:

- Promoting preparedness activities that empower communities to organize themselves and take direct action to put local residents in leadership roles in planning, organizing, and sharing accountability for the success of local disaster management related projects and programs
- Actively supporting citizen preparedness drills, exercises, and community days of action such as the Great Shakeout, as well as preparedness initiatives for local schools and campuses, educational institutions, faith based organizations and private businesses
- Demonstration of progress toward whole community inclusion in development of emergency plans and integration of nontraditional resources in emergency plans (e.g., EOPs)

Measurement Methods

- Percentage of funding, on a project by project basis that support community preparedness efforts across all five mission areas.

Reporting

- As part of the Biannual Strategy Implementation Report (BSIR), states and urban areas are required to report progress made toward meeting strategic goals and objectives as well as how Planning, Organization, Equipment, Training and Exercises (POETE) expenditures support in this priority.

Priority Five: Improve Immediate Emergency Victim Care at Mass Casualty Events
In recognition of the substantial impact mass casualty events have on families, communities, and state, local and regional first responder agencies and public/private medical service providers, FY 2013 SHSP and UASI grantees are encouraged to apply funding in support of efforts to improve mass casualty care capabilities with a specific focus on providing immediate emergency care to victims of mass casualty events, including mass shootings. This priority may be achieved by:

- Engaging in mass casualty planning, training, and exercises specifically involving law enforcement, fire service, and EMS providers to rapidly deploy into areas that have been cleared but not secured in order to initiate treatment at or near the point of injury and effect rescue of survivors. Plans, training and exercises must include strategies that ensure the health and safety of first responders and citizen responders, and training associated with the prevention and detection of secondary attacks
- Improving coordination between law enforcement, fire service, EMS systems, other first responder agencies, and local healthcare delivery and trauma systems to improve victim triage, treatment and transport, to ensure patients are distributed to appropriate levels of definitive emergency care
- Establishing protocols on the medical principles of tactical emergency casualty care and conducting training for responders
- Empowering community bystanders through public education initiatives and training about life sustaining actions and how they can support survivors and providers in a mass casualty event.

Grantees are strongly encouraged to develop or enhance existing relationships with law enforcement agencies at the local, state and Federal level to collaborate on innovative prevention and protection strategies that substantially reduce the impact of mass casualty events.

Measurement Methods

- Percentage of funding, on a project by project basis that support mass casualty preparedness efforts.

Reporting

- As part of the Biannual Strategy Implementation Report (BSIR), states and urban areas are required to report progress made toward meeting strategic goals and objectives as well as how Planning, Organization, Equipment, Training and Exercises (POETE) expenditures support in this priority.

Homeland Security Strategy Updates
FY 2013 HSPG requires State and Urban Area Homeland Security Strategies be updated every other year, and shall be informed by THIRA and capability estimation process results. The assessment and results support communities' strategic planning initiative and informs efforts needed to adapt to and manage the changing risk landscape, sustain strengths, and obtain or borrow resources from whole community partners. Further, strategic planning for preparedness provides communities the basis to make informed resource allocation decisions in a resource constrained environment. Implementation of strategies to better deliver core capabilities should involve iterative updates of the THIRA and capability estimation processes to ensure they reflect current and anticipated future realities.

Collaboration with Other Federal Preparedness Programs
DHS strongly encourages States, Urban Areas, and regions to understand other Federal preparedness programs in their jurisdictions and to work with them in a collaborative manner to leverage all available resources and avoid duplicative activities. For example, U. S. Department of Health and Human Services (HHS) has two robust preparedness programs – Center for Disease Control (CDC) Public Health Emergency Preparedness (PHEP) cooperative agreement program and Assistant Secretary for Preparedness and Response's (ASPR's) Hospital Preparedness Program (HPP) cooperative agreement program – that focus on preparedness capabilities. CDC's 15 public health preparedness capabilities and ASPR's eight healthcare preparedness capabilities serve as operational components for many of the NPG core capabilities, and collaboration with the PHEP directors and HPP coordinators can build capacity around shared interests and investments that fall in the scope of these HHS cooperative agreements and the 2013 HSGP.

Each SHSP and UASI funded Investment that addresses biological risk, patient care or health systems preparedness should be implemented in a coordinated manner with other Federal emergency preparedness programs such as those administered by the HHS Office of the Assistant Secretary for Preparedness and Response, the CDC, and the U.S. Department of Transportation's (DOT) National Highway Traffic Safety Administration.

Consolidation of Law Enforcement Terrorism Prevention Activities
Per the 2006 of the *Homeland Security Act of 2002* (Public Law 107–296), as amended, (6 U.S.C. § 607), States are required to ensure that at least 25 percent (25%) of the combined HSGP funds allocated under SHSP and UASI are dedicated towards law enforcement terrorism prevention activities. The LETPA allocation can be from SHSP, UASI or both. This requirement does not include award funds from OPSG. Please refer to Appendix A – *FY 2013 Program Specific Allocations* for LETPA minimum allocations for SHSP and UASI by jurisdiction.

In order to leverage funds for LETPA, activities outlined in the Building Law Enforcement Terrorism Prevention Capabilities are eligible for use of LETPA focused

funds. Other terrorism prevention activities proposed for funding under LETPA must be approved by the FEMA Administrator.

Supplemental SHSP Guidance

The SHSP is a core assistance program that provides funds to build capabilities at the State, local, tribal, and territorial levels, to enhance our national resilience to absorb disruptions and rapidly recover from natural disasters and terrorist incidents as well as to implement the goals and objectives included in State homeland security strategies, and shortfalls in core capabilities as identified in THIRAs and the SPRs.

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

Governance

Keeping with the guiding principles of governance for all DHS preparedness programs, grantees must coordinate with their stakeholders to examine how they integrate preparedness activities across disciplines, agencies, and levels of government, including State, territorial, local, and tribal units of government. A cohesive planning framework should be incorporated that builds and implements homeland security initiatives which leverage DHS resources, as well as other Federal, State, territory, local, private sector, faith-based community, and tribal resources. Specific attention should be paid to how all available preparedness funding sources (multiple Federal sources as well as State and local sources) can be effectively utilized in a collaborative manner to support the whole community approach to emergency preparedness and management and to the enhancement of overall capabilities. To accomplish this, the SAA must establish or reestablish a unified Senior Advisory Committee (SAC).

Senior Advisory Committee

The SAC builds upon governance structures that may already be established under different FEMA preparedness grant programs, but the nature and governance of this Committee is a new requirement under the FY 2013 HSGP. The SAC should build upon previously established advisory bodies under HSGP (including the SHSP and UASI programs), Nonprofit Security Grant Program (NSGP), Transit Security Grant Program (TSGP), and Port Security Grant Program (PSGP), which currently exist in support of States and Urban Areas, tribal nations, non-profit organizations, transit agencies and Amtrak, and port areas. Other examples of advisory bodies that should be included on the SAC include: Urban Area Working Groups (UAWGs), Statewide Interoperability Governing Board (SIGB), Area Maritime Security Committees (AMSCs), Regional Transportation Security Working Groups (RTSWGs), Citizen Corps Councils, and Children's Working Groups. To ensure a whole community effort, SAC membership should include representatives of these various stakeholder

groups/committees, and SAC should also include direct or indirect representation for all the jurisdictions and response disciplines (including law enforcement, fire service, and emergency management), UASI-funded Urban Areas, as well as Citizen Corps Councils, tribal representatives, non-profit, faith based, and voluntary organizations such as the American Red Cross. SACs are encouraged to develop subcommittee structures, as necessary, to address issue- or region-specific considerations in support of overarching implementation.

The responsibilities of a SAC include:

- Integrating preparedness activities across disciplines, the private sector, non-profit organizations, faith-based, community, and all levels of government, including local, State, tribal, and territorial, with the goal of maximizing coordination and reducing duplication of effort;
- Creating a cohesive planning framework that builds and implements preparedness initiatives which leverage DHS resources, as well as other Federal, State, territorial, local, private sector, faith-based community, and tribal resources;
- Management of all available preparedness funding sources (multiple Federal sources as well as State and local sources) to enhance effective utilization of and elimination of duplication of effort across all stakeholders and disciplines; and
- Ensuring that the application for SHSP and UASI funds align with the THIRA and work to fill capability shortfalls identified in the SPR.

Senior Advisory Committee Composition and Scope

1. Membership

The SAC must include whole community intrastate and interstate partners as applicable and have balanced representation among entities with operational responsibilities for prevention, protection, mitigation, response, and recovery activities within the State.

The membership of the SAC must reflect the hazards and risks identified in the State's THIRA as well as each of the core capabilities, in particular those core capabilities identified as having large shortfalls identified in the State's most recent State Preparedness Report (SPR). Further, the SAC must include representatives that were involved in the production of the State's THIRA and represent the interests of the five mission areas as outlined in the NPG.

The above membership requirement does not prohibit States, Urban Areas, regional transit and port entities, or other recipients of DHS preparedness funding from retaining their existing structure under separate programs; however, at a minimum, those bodies must support and feed into the larger SAC. The composition, structure and charter of the SAC should reflect this focus on building core capabilities, instead of simply joining previously existing advisory bodies under other grant programs.

The SAA must ensure that appropriate representation from defined UASI-funded Urban Areas is included on the SAC. FEMA strongly encourages that, wherever possible, previously established local working groups be leveraged for this purpose to ensure that UASI resources are managed in the most efficient and effective manner possible. The UAWG should also support State efforts to develop the THIRA and SPR, particularly as it relates to UASI activities.

For designated Urban Areas, the SAA POCs are responsible for identifying and coordinating with the POC for the UAWG, who should be a member of the SAC. The POC's contact information must be provided to FEMA with the grant application. SAAs must work with existing Urban Areas to ensure that information for current POCs is on file with FEMA.

Finally, FEMA recommends that organizations advocating on behalf of vulnerable populations including youth, the elderly and individuals with functional needs, socio-economic factors and cultural diversity, be invited to participate in the SAC.

2. Collaboration with State agencies

Program representatives from the following entities must be members of the SAC (as applicable): State Homeland Security Advisor (HSA) (if this role is not also the SAA), State Emergency Management Agency (EMA) Director, State Public Health Officer, State Public Safety Officer (and SAA for Justice Assistance Grants, if different), State Court Official, State Emergency Management Services (EMS) Director, State Trauma System Manager, Statewide Interoperability Coordinator, State Citizen Corps Council, the State Emergency Medical Services for Children (EMSC) Coordinator, State Education Department, State Human Services Department, State Child Welfare Services, State Juvenile Justice Services, Urban Area POC, Senior Members of AMSCs, Senior Members of the RTSWG, Senior Security Officials from Major Transportation Systems, and the Adjutant General.

3. Whole Community Engagement

SHSP and UASI grantees must engage with the Whole Community to advance community and individual preparedness and to work as a nation to build and sustain resilience (see *http://www.fema.gov/whole-community*). Grantees must also integrate the needs of children and individuals with disabilities or access and functional needs into activities implemented with SHSP and UASI funds.

4. Collaboration with Nonprofit Organizations

SHSP and UASI grantees must also work with the nonprofit community, including through the dedication of LETPA funds and resources, to address terrorism prevention concerns, seek input on the needs of the nonprofit sector, and support the goals of their investments.

5. Collaboration with Tribes
FEMA strongly encourages States, Urban Areas, and regions to work with tribal nations in overall initiatives such as whole community emergency preparedness and management planning as well as other partnership areas.

6. Collaboration with other Federal agencies and programs
States and Urban Areas must coordinate among the entire scope of Federal partners, national initiatives and grant programs to identify opportunities to leverage resources when implementing their preparedness programs. This may include but is not limited to: Medical Reserve Corps, CDC, and ASPR. Emergency Medical Services for Children (EMSC) grants, ASPR Hospital Preparedness Program (HPP), CDC Public Health Emergency Preparedness (PHEP), CDC Cities Readiness Initiative (CRI), Strategic National Stockpile Programs, and EMS. However, coordination is not limited to grant funding. It also includes leveraging assessments such as TSA's Baseline Assessment and Security Enhancement (BASE); reporting from the Intelligence Community, risk information such as U.S. Coast Guard's Maritime Security Risk Analysis Model (MSRAM), and CBP Sector Analysis

Senior Advisory Committee Charter
The governance of the SHSP and UASI programs through the SAC must be directed by a charter. All members of the SAC should sign and date the charter showing their agreement with its content and their representation on the Committee. Revisions to the governing charter must be sent to the grantee's assigned FEMA Program Analyst. The SAC charter must at a minimum address the following:

- A detailed description of the SAC's composition and an explanation of key governance processes, including how SAC is informed by the State's THIRA, SPR data reflecting capability shortfalls and the approach to address shortfalls in core capabilities;
- A description of the frequency at which the SAC will meet;
- How existing governance bodies will be leveraged by the Committee;
- A detailed description of how decisions on programmatic priorities funded by SHSP and UASI are made and how those decisions will be documented and shared with its members and other stakeholders as appropriate;
- A description of defined roles and responsibilities for financial decision making and meeting administrative requirements.

To ensure ongoing coordination efforts, SAAs are encouraged to share community preparedness information submitted in the State's BSIR with members of the SAC. The charter must be made available publicly to promote transparency in decision-making related to the HSGP activities.

To manage this effort and to further reinforce collaboration and coordination across the stakeholder community, a portion of the 20 percent (20%) holdback of a State or territory award may be utilized by the SAA for the purpose of supporting the Senior Advisory Committee and to ensure representation and active participation of SAC

members. Funding may be used for hiring and training planners, establishing and maintaining a program management structure, identifying and managing projects, conducting research necessary to inform the planning process, and developing plans that bridge mechanisms, documents, protocols, and procedures.

SAAs are required to submit a copy of the SAC charter as part of the winter BSIR submission.

Supplemental UASI Guidance

The UASI program is intended to provide financial assistance to address the unique multi-discipline planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and to assist these areas in building and sustaining capabilities to prevent, protect against, mitigate, respond to, and recover from threats or acts of terrorism using the Whole Community approach. Activities implemented with UASI funds must support terrorism preparedness by building or enhancing capabilities that relate to the prevention of, protection from, mitigation of, response to or recovery from terrorism in order to be considered eligible. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees must demonstrate the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness.

Urban Areas must use UASI funds to employ regional approaches to overall preparedness and are encouraged to adopt regional response structures whenever appropriate. UASI program implementation and governance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, mitigation, response, and recovery activities within the region. In some instances, Urban Area boundaries cross State borders. States must ensure that the identified Urban Areas take an inclusive regional approach to the development and implementation of the UASI program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, State agencies, Statewide Interoperability Coordinators, Citizen Corps Council(s), and campus law enforcement in their program activities.

Grantees must also demonstrate the integration of children and individuals with disabilities or access and functional needs into activities implemented under this program.

Composition

Pursuant to provisions of the 9/11 Act, eligible UASI sites were determined based on an analysis of relative risk of the 100 most populous Metropolitan Statistical Areas (MSAs), as defined by OMB. MSAs are used by DHS to determine eligibility for participation in the program. *Geographical areas queried do not equate to minimum mandated membership representation of an Urban Area, nor does this guarantee funding for geographical areas queried.* UAWGs must continue to take a regional approach to membership but are not required to expand or contract existing Urban Area participation to conform to MSA composition. Detailed information on MSAs is publicly available

from the United States Census Bureau at
http://www.census.gov/population/www/metroareas/metrodef.html.

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

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

- **Define the Urban Area.** The SAA POC, in coordination with the candidate Urban Areas, must define the Urban Area, as it will apply to the UASI program. The identified city or combined entity represents the candidate Urban Area eligible to apply for funding under the UASI program. For those Urban Areas with a combined entity, that area represents the minimum area that must be part of the defined Urban Area. The definition of the Urban Area is limited to jurisdictions contiguous to the geographic area used to determine eligibility, or those jurisdictions in that area which have established formal mutual aid agreements. States may request a waiver for this limitation for regions previously established by Executive Order, law, or compact. For the purposes of the UASI program, the Washington, D.C. Urban Area will consist of the National Capital Region (NCR) as set forth in 10 U.S.C. §2674(f)(2). In coordination with the UAWG, the SAA POC may redefine the geographic boundaries of an existing Urban Area, as it will apply to the UASI program. The SAA POC must notify FEMA of this change.

- **Establish the UAWG.** Membership in the UAWG must provide either direct or indirect representation for all the jurisdictions and response disciplines (including law enforcement, fire service, EMS, and emergency management) that comprise the defined Urban Area. It must also be inclusive of local Citizen Corps Council or their equivalent and tribal representatives. The UAWG should also ensure the integration of local emergency management, public health, and health care systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident. The UAWG should also include officials responsible for the administration of CDC and ASPR cooperative agreements. Finally, it is also recommended that members advocating on behalf of vulnerable populations including youth, the elderly and individuals with functional needs, socio-economic factors and cultural diversity, be invited to provide representation.

  The SAA POC must ensure that appropriate representation for the defined Urban Area is included per this guidance. FEMA strongly encourages that, wherever possible, previously established local working groups should be leveraged for this purpose to ensure that UASI funded resources are managed in the most

efficient and effective manner possible. The UAWG may also support State efforts to develop the SPR, particularly as it relates to UASI funded activities.

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

- **Governance.** The jurisdictions identified in Appendix A – *FY 2013 Program Specific Allocations* represent the candidate Urban Areas eligible to apply for funding. The UAWG will be responsible for coordinating the development and implementation of all program initiatives. States and Urban Areas must consider including counties within which the cities reside, contiguous jurisdictions, MSAs, operational areas, and mutual aid partners, as appropriate, in the governance process.

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

  SAAs are required to submit a copy of the UAWG charter at the time of application. The UAWG charter must provide an overview of the UAWG structure, and a list of members and their associated jurisdictions. Urban Areas must notify the SAA and FEMA Program Analyst of any updates to the UAWG structure or membership.

- **Develop Urban Area THIRA.** As a result of the improved governance process and the rationale for maintaining and sustaining existing capabilities and the development of new capabilities, members of the UAWG should be involved in the development of an Urban Area THIRA coordinated with the State THIRA, and subsequent updates.

- **Urban Area Homeland Security Strategy.** Urban Area Homeland Security Strategies should be updated every two years at a minimum, to ensure that their strategies continue to address prevention, protection, mitigation, response, and recovery, and reflect how their goals and objectives align to the NPG and the Whole Community approach. When revisiting and updating the strategies, goals, and objectives, the UAWG is strongly encouraged to adopt a capability-based

planning approach and consider collaboration across disciplines, jurisdictions, and agencies.

- **Allocation of Funds.** The use and allocation of all grant funds available through the UASI program must focus on the Investments identified in the Urban Area's IJ and the implementation of the FEMA-approved Urban Area Homeland Security Strategy. The use of funds must also be consistent with overall UASI program guidelines, the State Homeland Security Strategy, the NPS, and must develop or sustain one or more core capabilities in the NPG. Funds used to support whole community and individual preparedness related efforts, such as engaging non-governmental organizations and vulnerable populations demonstrating the integration of children and individuals with disabilities or access and functional needs in all phases of emergency management, participation of disaster volunteers, such as Community Emergency Response Teams (CERT) in training, exercises and response and recovery operations, and educating the public should be coordinated with local CERT programs and/or Citizen Corps Councils.

  The UAWG, in coordination with the SAA POC, must develop a methodology for allocating funding available through the UASI program. The UAWG must reach consensus on all UASI funding allocations. If consensus cannot be reached within the 45-day time period allotted for the State to obligate funds to sub-grantees, the SAA must make the allocation determination. The SAA must provide written documentation verifying the consensus of the UAWG, or the failure to achieve otherwise, on the allocation of funds and submit it to FEMA immediately after the 45-day time period allotted for the State to obligate funds to sub-grantees.

  Any UASI funds retained by the State must be used in direct support of the Urban Area. States must provide documentation to the UAWG and FEMA upon request demonstrating how any UASI funds retained by the State are directly supporting the Urban Area. If the SAA intends to retain any UASI funds, the SAA must prepare an Investment that demonstrates how the retained funds will be used to directly support the designated Urban Area in the State. This Investment should be included in the designated Urban Area's IJ.

Supplemental OPSG Guidance

OPSG provides funding to designated localities to enhance cooperation and coordination between Federal, State, local, tribal, and territorial law enforcement agencies in a joint mission to secure the United States borders along routes of ingress from international borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with International water borders.

OPSG is intended to support United States border States and territories in accomplishing the following objectives:

- Increase capability to prevent, protect against, and respond to border security issues;
- Encourage local operational objectives and capabilities to enhance National and State Homeland Security Strategies (such as the Federal Secure Borders Initiative and United States CBP/ BP strategies);
- Increase coordination and collaboration among Federal, State, local, tribal, and territorial law enforcement agencies;
- Continue the distinct capability enhancements required for border security and border protection;
- Provide intelligence-based operations through CBP/BP Sector Level experts to ensure safety and operational oversight of Federal, State, local, tribal, and territorial law enforcement agencies participating in OPSG operational activities;
- Support a request to the Governor to activate, deploy, or redeploy specialized National Guard Units/Packages and/or elements of State law enforcement to increase or augment specialized/technical law enforcement elements operational activities; and
- Continue to increase operational, material and technological readiness of State, local, tribal, and territorial law enforcement agencies.

OPSG funds must be used to increase operational capabilities of Federal, State, local, tribal, and territorial law enforcement, promoting a layered, coordinated approach to law enforcement within United States border States and territories.

- **Federal, State, Local, Tribal, and Territorial OPSG Integrated Planning Team (IPT).** It is recommended that Federal, State, local, tribal, and territorial partners establish and maintain an OPSG IPT with representation from all participating law enforcement agencies, co-chaired by representatives from CBP/BP, the SAA, and participating law enforcement agencies' OPSG program representatives.

- **Coordination Requirements.** All operational plans should be crafted in cooperation and coordination among Federal, State, local, tribal, and territorial partners. Consideration will be given to applications that are coordinated across multiple jurisdictions. All applicants must coordinate with the CBP/BP Sector Headquarters with geographic responsibility for the applicant's location in developing and submitting an Operations Order with an embedded budget to the SAA.

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

Grantees may not begin operations, obligate, or expend any funds until the final Operations Order and embedded budget has been approved by FEMA GPD and

CBP/BP Headquarters and any existing special conditions and/or restrictions are removed. OPSG activities are expected to maximize HSGP strategic planning efforts and integration with State, tribal, territory, Urban Area, and local Homeland Security Strategies.

Additional Coordination Requirements

Although the Citizen Corps Program (CCP) and Metropolitan Medical Response System (MMRS) are no longer funded as discrete grant programs within HSGP, States may include IJs funding and supporting CCP and MMRS activities/programs. The following coordination requirements will remain in place for proposed activities that support mass casualty incident preparedness as well as citizen preparedness.

Mass Casualty Incident Preparedness. Mass casualty preparedness must be conducted in collaboration with State/city/local health departments that administer Federal funds from HHS for this purpose. Preparedness efforts should enhance the integration of local emergency management, public health, and health care systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident. Grantees must also demonstrate how their Investments will increase the effectiveness of emergency preparedness planning and response for the whole community by integrating and coordinating activities for vulnerable populations including children, the elderly, pregnant women, and individuals with disabilities and others with access and functional needs. Further, grantees are strongly encouraged to collaborate with local, regional, and State public health and health care partners, including Medical Reserve Corps Units and Citizen Corps Councils or their equivalent, as well as leverage other Federal programs, such as the HHS ASPR Hospital Preparedness Program and Emergency Systems for Advance Registration of Volunteer Health Professionals (ESAR-VHP), CDC Cities Readiness Initiative (CRI), PHEP, and Strategic National Stockpile Programs. Grantees are also encouraged to engage in multi-discipline preparation across first responder community, including EMS for response to catastrophic events and acts of terrorism.

Citizen Preparedness. Citizen preparedness must be coordinated by an integrated body of government and nongovernmental representatives. State and local government recipients of HSGP funds must have a body to serve as their Citizen Corps Council membership that includes, but is not limited to: representatives from emergency management, homeland security, law enforcement, fire service, EMS, public health or their designee, elected officials, the private sector (especially privately owned critical infrastructure), private nonprofits, nongovernmental organizations (including faith-based, community-based, and voluntary organizations), and advocacy groups for children, seniors, people with disabilities and others with access and functional needs. Furthermore, citizen preparedness efforts should include advocates and specialists representing the unique needs of infants and children and representatives from the disability community.

Appendix C – Funding Guidelines

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

In general, grantees should consult with their FEMA Headquarters Program Analyst prior to making any Investment that does not clearly meet the allowable expense criteria established by the FOA. Funding guidelines established within this section support the five mission areas—Prevention, Protection, Mitigation, Response, and Recovery—and associated core capabilities within the NPG.

Management and Administration (SHSP, UASI, and OPSG)
Management and administration (M&A) activities are those defined directly relating to the management and administration of HSGP funds, such as financial management and monitoring. The amount of M&A is specified in each year's FOA. For additional information on SHSP and UASI M&A, refer to IB 365. For additional clarification on OPSG M&A, refer to IB 378. Both IBs can be found at *http://www.fema.gov/grants/grant-programs-directorate-information-bulletins*.

Allowable Investments made in support of the HSGP priorities as well as other capability-enhancing projects must fall into the categories of planning, organization, exercises, training, or equipment.

Indirect Cost Rate
Indirect costs are allowable only if the applicant has an approved indirect cost rate with the cognizant Federal agency. 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. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.

Planning (SHSP, UASI, and OPSG)
SHSP and UASI funds may be used for a range of emergency preparedness and management planning activities and that support Performance Objectives such as THIRA, SPR and Planning, by placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v.2. Development and maintenance of a THIRA must align to CPG 201. 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.

Grantees must use the *CPG 101 v.2: Developing and Maintaining Emergency Operations 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*.

Organization (SHSP and UASI Only)
Organizational activities include:

- Program management;
- Development of whole community partnerships, through groups such as Citizen Corp Councils;
- Structures and mechanisms for information sharing between the public and private sector;
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors;
- Operational Support;
- 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;
- Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs in resulting from a National Special Security Event; and
- Paying salaries and benefits for personnel to serve as qualified intelligence analysts.

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

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

As identified in the *Maturation and Enhancement of State and Major Urban Area Fusion Centers* priority, all fusion centers analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State,*

Local, and Tribal Intelligence Analysts, which outlines the minimum categories of training needed for intelligence analysts. A certificate of completion of such training must be on file with the SAA and must be made available to FEMA Program Analysts upon request. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing shortfalls in analytic capability identified during the fusion center's annual assessment.

- **Overtime costs.** Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security and specifically requested by a Federal agency. Allowable costs are limited to overtime associated with federally requested participation in eligible fusion activities including anti-terrorism task forces, Joint Terrorism Task Forces (JTTFs), Area Maritime Security Committees (as required by the *Maritime Transportation Security Act of 2002*), DHS Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams. Grant funding can only be used in proportion to the Federal man-hour estimate, and only after funding for these activities from other Federal sources (i.e., FBI JTTF payments to State and local agencies) has been exhausted. Under no circumstances should DHS grant funding be used to pay for costs already supported by funding from another Federal source.

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

SHSP or UASI funds may only be spent for operational overtime costs upon prior approval provided in writing by the FEMA Administrator.

Note: States with UASI jurisdictions can use funds retained at the State level to reimburse eligible operational overtime expenses incurred by the State (per the above

guidance limitations and up to a maximum of 50 percent (50%) of the State share of the UASI grant). Any UASI funds retained by the State must be used in **direct** support of the Urban Area. States must provide documentation to the UAWG and FEMA upon request demonstrating how any UASI funds retained by the State would directly support the Urban Area.

Equipment (SHSP and UASI)

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

Grantees (including sub-grantees) that are using HSGP funds for emergency communications equipment should comply with the *FY 2013 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. *SAFECOM Guidance* can be found at *http://www.safecomprogram.gov/grant/Default.aspx*. Grantees 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 Headquarters Program Analyst on such Investments before developing applications. Relocating existing systems operating in the T-Band is also allowable.

Grant funds may be used for the procurement of medical countermeasures. Procurement of medical countermeasures must be conducted in collaboration with State/city/local health departments who administer Federal funds from HHS for this purpose. Procurement must have a sound threat based justification with an aim to reduce the consequences of mass casualty incidents during the first crucial hours of a response. Prior to procuring pharmaceuticals, grantees must have in place an inventory management plan to avoid large periodic variations in supplies due to coinciding purchase and expiration dates. Grantees are encouraged to enter into rotational procurement agreements with vendors and distributors. Purchases of pharmaceuticals must include a budget for the disposal of expired drugs within each fiscal year's the period of performance for HSGP. The cost of disposal cannot be carried over to another FEMA grant or grant period.

Training (SHSP and UASI)

States, territories, and Urban Areas may use HSGP funds to develop and/or maintain a homeland security training program. Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP and UASI programs and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS and DOT). Training conducted using HSGP funds should address a performance shortfall identified through

an After Action Report/Improvement Plan (AAR/IP) or other assessments (e.g., National Emergency Communications Plan [NECP] Goal Assessments) and 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 shortfalls. Any training or training shortfalls, 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 and addressed in the State or Urban Area training cycle. All training and exercises conducted with HSGP funds should support the development and testing of the jurisdiction's Emergency Operations Plan (EOP) components or specific annexes, and validation of completed corrective actions from previous exercises or real world events, where applicable. Grantees are encouraged to use existing training rather than developing new courses. When developing new courses, grantees are encouraged to apply the Analysis Design Development and Implementation Evaluation (ADDIE) model of instruction design (https://www.firstrespondertraining.gov).

Exercises (SHSP and UASI)

Exercises conducted with FEMA support should be managed and executed in accordance with HSEEP. HSEEP Guidance for exercise design, development, conduct, evaluation, and improvement planning is located at *https://hseep.dhs.gov*.

All capabilities exercised using HSGP funding must be NIMS compliant. More information is available online at the NIC at *http://www.fema.gov/emergency/nims/index.shtm*.

All States and Urban Areas are required to conduct a Training and Exercise Planning Workshop (TEPW) and develop and/or update a Multi-Year Training and Exercise Plan (TEP) on an annual basis. This plan should be informed by the principles and tenants of the National Exercise Program (NEP). Such plans should take into consideration anticipated training and exercise needs of the respective jurisdiction for at least the immediate year, with exercises being targeted to provide responders the opportunity to utilize training received. The plan should include a training and exercise schedule along with the States' and Urban Areas' priority capabilities to assist in focusing the allocation of available exercise resources. This Plan is to be submitted to the State's respective Exercise Program point of contact. The State Exercise Program point of contact should submit a copy of the Plan to hseep@dhs.gov. All scheduled training and exercises included in the Plan should be entered in the HSEEP National Exercise Schedule (NEXS) System, located in the HSEEP Toolkit on the HSEEP website. A TEPW user guide and a template of the Multi-Year Training and Exercise Plan can be found on the HSEEP website at *https://hseep.dhs.gov*. States and Urban Areas are also encouraged to participate in their respective FEMA Regional Training and Exercise Workshop (conducted annually) and coordinate/integrate CDC PHEP, ASPR HPP, State and Urban Area exercise initiatives accordingly.

Other Federally funded preparedness programs have similar exercise and training requirements. Exercise and training activities should be coordinated across the

jurisdiction(s) to the maximum extent possible to include the Whole Community and to foster better coordination working relationships across the enterprise.

Grantees must develop AAR/IPs following the completion of exercises funded under this program; the use of HSEEP is strongly encouraged. AAR/IPs are to be submitted to hseep@dhs.gov. Please ensure the documents are encrypted (password-protected) and the password is also sent to hseep@dhs.gov via a separate email.

Maintenance and Sustainment (SHSP, UASI, and OPSG)
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. With the exception of maintenance plans purchased incidental to the original purchase of the equipment, the period covered by a maintenance or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty.

Grant funds are intended to support the NPG by funding projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide grantees the ability to meet this objective, the policy set forth in GPD's IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs which must be in 1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas contained within the National preparedness Goal, and (4) shareable through the Emergency Management Assistance Compact. Additionally, eligible costs must also 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.

Law Enforcement Terrorism Prevention Allowable Costs (SHSP and UASI Only)
The following activities are eligible for use of LETPA focused funds:

- Maturation and enhancement of designated State and major Urban Area fusion centers, including information sharing and analysis, threat recognition, and terrorist interdiction, and training/ hiring of intelligence analysts;
- Implementation and maintenance of the Nationwide SAR Initiative (NSI), including training for front line personnel on identifying and reporting suspicious activities;
- Implementation of the "If You See Something, Say Something™" campaign to raise public awareness of indicators of terrorism and terrorism-related crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations. Note that DHS requires that the Office of Public Affairs be given the opportunity to review and approve any public awareness materials (e.g., videos, posters, tri-folds, etc.) developed using

HSGP grant funds for the "If You See Something, Say Something™" campaign to ensure these materials are consistent with the Department's messaging and strategy for the campaign and the initiative's trademark;

- Training for countering violent extremism; development, implementation, and/or expansion of programs to engage communities that may be targeted by violent extremist radicalization; and the development and implementation of projects to partner with local communities to prevent radicalization to violence, in accordance with the Strategic Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States; and
- Increase physical security, via law enforcement personnel and other protective measures by implementing preventive and protective measures related to at-risk nonprofit organizations.

For additional information, refer to the Building Law Enforcement Terrorism Prevention Capabilities priority within Appendix B – *Program Specific Priorities*.

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

The inventory management plan and distribution strategy, to include sustainment costs, will be developed and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under UASI. GPD and LMD will establish guidelines and requirements for the purchase of these supplies under UASI and monitor development and status of the State's inventory management plan and distribution strategy.

States (through their Emergency Management Office) are strongly encouraged to consult with their respective FEMA Regional Logistics Chief regarding disaster logistics-related issues. States are further encouraged to share their FEMA approved plans with local jurisdictions and Tribes to meet minimum inventory management plan requirements when using FEMA grant funds.

Construction and Renovation (SHSP and UASI Only)
Project construction using SHSP and UASI funds may not exceed the greater of $1,000,000 or 15 percent (15%) of the grant award. For the purposes of the limitations on funding levels, communications towers are not considered construction.

Written approval must be provided by FEMA prior to the use of any HSGP funds for construction or renovation. When applying for construction funds, including communications towers, at the time of application, grantees must submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits, and a notice of Federal interest. Additionally, grantees are required to submit a SF-424C Budget and Budget detail citing the project costs.

When applying for funds to construct communication towers, grantees and sub-grantees must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD using the guidelines in EHP Supplement prior to submitting materials for EHP review. Grantees and sub-grantees 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 State 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 the grantee believes an Environmental Assessment (EA) may be needed, as defined in 44 CFR 10.8 and 10.9, must also be identified to the FEMA 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.

HSGP Program grantees 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 employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor (DOL) wage determinations, is available from the following website *http://www.dol.gov/compliance/laws/comp-dbra.htm*.

OPSG funds may not be used for any type of construction.

Personnel (SHSP and UASI)

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable HSGP planning, training, exercise, and equipment activities. Personnel may include but is not limited to: training and exercise coordinators, program managers for activities directly associated with SHSP and UASI funded activities, intelligence analysts, and statewide interoperability coordinators (SWIC). A personnel cost cap of up to 50 percent (50%) of total SHSP and UASI program funds may be used for personnel and personnel-related activities. Grantees who wish to seek a waiver from the personnel cost cap must provide documentation explaining why the cap should be waived; waiver requests will be considered only under extreme circumstances. In general, the use of SHSP and UASI funding to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost.

For further details, SAAs should refer to IB 358 or contact their FEMA Headquarters Program Analyst.

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

Definitions for hiring, overtime, backfill-related overtime, and supplanting remain unchanged from FY 2012 HSGP.

Operational Packages (OPacks) (SHSP and UASI)
Applicants may elect to pursue operational package (OPack) funding, such as Canine Teams, Mobile Explosive Screening Teams, and Anti-Terrorism Teams, for new capabilities as well as sustain existing OPacks. Applicants must commit to minimum training standards to be set by the Department for all Federally funded security positions. Applicants must also ensure that the capabilities are able to be deployable, through EMAC, outside of their community to support regional and national efforts. When requesting OPacks-related projects, applicants must demonstrate the need for developing a new capability at the expense of sustaining existing core capability.

Applicants are reminded that personnel-related activities associated with OPacks will be subject to the PRICE Act requirements in which all States are allowed to utilize up to 50 percent (50%) of their SHSP funding and all Urban Areas are allowed up to 50 percent (50%) of their UASI funding for personnel costs.

Western Hemispheric Travel Initiative (SHSP)
In addition to the expenditures outlined above, SHSP funds may be used to support the implementation activities associated with the Western Hemisphere Travel Initiative (WHTI), including the issuance of WHTI-compliant tribal identification cards. More information on the WHTI may be found at *http://www.dhs.gov/files/programs/gc_1200693579776.shtm* or *http://www.getyouhome.gov/html/eng_map.html*.

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

If identified as a priority in the State THIRA, States may continue implementing activities previously funded through the Driver's License Security Grant Program (DLSGP) that focus on securing driver's license and identification card issuance processes. Initiatives related to securing identification should:

- Have the greatest impact upon reducing the issuance and use of fraudulent driver's license and identification cards;
- Reduce the cost of program implementation for individuals, States, and the Federal government;
- Driver's license identification material requirements;
- Expedite State progress toward meeting minimum security standards; and
- Plan and expedite State-specific activities to support Federal data and document verification requirements and standards.

Operations (OPSG)
The intent of OPSG is to focus on operational aspects of enhancing coordination between Federal, State, local, tribal, and territorial law enforcement agencies to increase the security of the United States borders. While equipment is an allowable expense, OPSG is not intended to be an equipment-centric grant.

- *Operational Overtime.* Operational overtime costs associated with law enforcement activities, in support of border law enforcement agencies for increased border security enhancement. Per the *PRICE of Homeland Security Act* (Public Law 110-412), all grantees are allowed to utilize up to 50 percent (50%) of their OPSG funding for personnel related costs, which include overtime activities. At the request of a grant recipient, the FEMA Administrator may waive the 50 percent (50%) personnel cap. Waiver decisions are at the discretion of the FEMA Administrator and will be considered on a case-by-case basis. A formal OPSG personnel waiver request should:
    - Be requested on official letterhead, include a written justification, and be signed by the authorized representative of the SAA;
    - Include a budget and method of calculation of personnel costs both in percentage of the grant award and in total dollar amount. To avoid supplanting issues, the request must also include a three-year staffing history for the requesting entity;
    - Include an approved Operations Order from the CBP/BP Sector office which supports the SAA's written justification;
    - Be coordinated with the CBP Sector and OBP; and
    - Be forwarded electronically by the SAA to FEMA GPD Program Analyst.
- *Part Time Personnel.* OPSG funds may be used to pay additional current part time law enforcement personnel salaries in order to bring them to temporary full time status.
- *Travel, Per Diem, and Lodging.* Travel and per diem include costs associated with the deployment/redeployment of personnel to border areas and for travel associated with law enforcement entities assisting other local jurisdictions in law enforcement activities. In addition, costs to support up to six month deployment

of law enforcement personnel to critical Southwest Border locations to support operational activities (travel costs must be in accordance with applicable travel regulations).

- *Vehicle and Equipment Rentals*
- *Vehicle/Equipment Maintenance*
- *Fuel Cost and/or Mileage Reimbursement.* There is no cap for reimbursement of operational activities.
- *Activate Reserve State, local, tribal, and territorial law enforcement personnel.* Supporting a request to the Governor to activate, deploy, or redeploy specialized National Guard Units/Package and/or elements of State law enforcement to increase or augment specialized/technical law enforcement elements operational activities.
- *Backfill.* Costs associated with backfill for personnel supporting operational activities.
- *Law Enforcement Readiness.* Use of OPSG funds may be used to increase operational, material, and technological readiness of State, local, tribal, and territorial law enforcement agencies.

Unallowable Costs (OPSG)

OPSG unallowable costs include costs associated with staffing and general IT computing equipment and hardware, such as personal computers, faxes, copy machines, modems, etc. OPSG is not intended as a hiring program. Therefore, applying funds toward hiring full-time or permanent sworn public safety officers is unallowable. OPSG funding shall not be used to supplant inherent routine patrols and law enforcement operations or activities not directly related to providing enhanced coordination between local and Federal law enforcement agencies. Finally, construction and/or renovation costs are prohibited under OPSG. Applicants should refer to IB 358 or contact their FEMA Headquarters Program Analyst at (800) 368-6498 for guidance and clarification.

Examples of Allowable Activities for SHSP and UASI

Planning Activities

Examples of planning activities include:

- Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, mitigation, response, and recovery activities
- Developing and implementing homeland security support programs and adopting DHS national initiatives including but not limited to the following:
    - Implementing the NPG, NPS, and the Whole Community Approach to Security and Emergency Management including efforts to support strengthening of capacity among whole community partners
    - Pre-event recovery planning
    - Implementing the National Infrastructure Protection Plan (NIPP) and associated Sector Specific Plans

- Enhancing and implementing SCIPs and Tactical Interoperable Communications Plans (TICPs) that align with the goals, objectives, and initiatives of the *National Emergency Communications Plan* (NECP)
- Costs associated with the adoption, implementation, and sustainment of the NIMS, including implementing the NIMS National Credentialing Framework
- Modifying existing incident management and EOPs to ensure proper alignment with the coordinating structures, processes, and protocols described in the National Frameworks
- Establishing or enhancing mutual aid agreements
- Developing communications and interoperability protocols and solutions consistent with NIMS/ICS that include communications support for faith-based and voluntary organizations
- Developing emergency communications SOPs and plain language protocols
- Integrating emergency communications SOPs across jurisdiction, disciplines, and levels of government
- Conducting local, regional, and tribal program implementation meetings
- Developing or updating resource inventory assets in accordance to NIMS-typed resource definitions issued by the NIC
- Designing State and local geospatial data systems
- Developing and conducting public education and outreach campaigns, including promoting individual, family, and organizational emergency preparedness and support for the campaign to build and sustain national preparedness as required by the NPS; alerts and warnings education; promoting training, exercise, and volunteer opportunities; informing the public about emergency plans, evacuation routes, shelter locations; and evacuation plans as well as CBRNE prevention awareness
- Designing programs to address targeting at-risk populations and engaging them in emergency management planning efforts
- Developing and sustaining Citizen Corps Councils and CERTs
- Activities, materials, services, tools and equipment to achieve planning, protection, mitigation, response and recovery that is inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities)
- Preparing materials for SPRs
- WHTI implementation activities including the issuance of WHTI-compliant tribal identification cards

• Conducting statewide emergency communications and preparedness planning, including the following activities:
  - Conducting/attending planning and governance meetings
  - Engaging and expanding the participation of the whole community in emergency communications planning, response, and risk identification
  - Participating in THIRA development and follow-on capability estimation processes

- Collecting and using data (e.g., NECP Goal Assessments, findings from national-level exercises) to assess user needs, capabilities, and gaps, and to facilitate coordination and asset-sharing
- Assessing emergency communications needs and assets and integrating needs into State plans (e.g., SCIP, SPR, and broadband plans)
- Coordinating with SWIC, SAA, and State-level planners to ensure proposed investments align to statewide plans (e.g., SCIP, State broadband plan) and comply with technical requirements

- Developing related terrorism prevention activities including:
  - Developing THIRAs that reflects a representative makeup and composition of the jurisdiction
  - Developing initiatives that directly support local efforts to understand, recognize, prepare for, prevent, mitigate, and respond to pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with civil rights/civil liberties protections
  - Developing law enforcement prevention activities, to include establishing and/or enhancing a fusion center
  - Hiring an IT specialist to plan, develop, and implement the IT applications necessary for a fusion center
  - Developing and planning for information/intelligence sharing groups
  - Integrating and coordinating the fire service, emergency management, public health care, public safety, and health security data-gathering (threats to human and animal health) within designated fusion centers to achieve early warning, monitoring, and mitigation of threats
  - Hiring and training privacy, security, and/or fusion liaison officers (FLO) coordinators to support fusion center operations
  - Integrating and coordinating private sector participation with fusion center activities
  - Developing and implementing preventive radiological/nuclear detection activities
  - Acquiring systems allowing connectivity to State, local, tribal, territorial, and Federal data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate
  - Planning to enhance security during heightened alerts, terrorist incidents, and/or during mitigation and recovery
  - Accessible public information/education: printed and electronic materials, public service announcements, seminars/town hall meetings, and web postings coordinated through local Citizen Corps Councils
  - Volunteer programs and other activities to strengthen citizen participation
  - Conducting public education campaigns including promoting suspicious activity reporting and preparedness; individual, family, and organizational emergency preparedness; promoting the National Preparedness and *Ready* campaigns; and/or creating State, regional, or local emergency preparedness efforts that build upon the *Ready* campaign

- Evaluating Critical Infrastructure Protection (CIP) security equipment and/or personnel requirements to protect and secure sites
- CIP cost assessments, including resources (e.g., financial, personnel) required for security enhancements/deployments
- Underwater Terrorist Protection Plans

- Developing and enhancing risk centric capabilities-based plans and protocols, including but not limited to:
  - Community-based planning to advance "whole community" security and emergency management
  - Incorporating government/non-governmental collaboration, citizen preparedness, and volunteer participation into State and local government homeland security strategies, policies, guidance, plans, and evaluations
  - Developing, enhancing, maintaining a current EOP that conforms to the guidelines outlined in the CPG 101 v.2
  - Planning for the relocation of existing systems operating in the T-Band
  - Developing or enhancing local, regional, or Statewide strategic or tactical interoperable emergency communications plans including such actions to support communications with faith-based and voluntary entities who act as immediate responders in disaster
  - Developing protocols or SOPs for specialized teams to incorporate the use of equipment acquired through this grant program
  - Developing terrorism prevention/protection plans
  - Developing plans, procedures, and requirements for the management of infrastructure and resources related to HSGP and implementation of State or Urban Area Homeland Security Strategies
  - Developing plans for mass evacuation and pre-positioning equipment
  - Developing or enhancing plans for responding to mass casualty incidents caused by any hazards
  - Developing or enhancing applicable procedures and operational guides to implement the response actions within the local plan including patient tracking that addresses identifying and tracking children, access and functional needs population, and the elderly and keeping families intact where possible
  - Developing or enhancing border security plans
  - Developing or enhancing cybersecurity and risk mitigation plans
  - Developing or enhancing secondary health screening protocols at major points of entry (e.g., air, rail, port)
  - Developing or enhancing agriculture/food security risk mitigation, response, and recovery plans
  - Developing public/private sector partnership emergency response, assessment, and resource sharing plans
  - Developing or enhancing plans to engage and interface with, and to increase the capacity of, private sector/non-governmental entities working to meet the human service response and recovery needs of survivors
  - Developing or updating local or regional communications plans

- Developing plans to support and assist jurisdictions, such as port authorities and rail and mass transit agencies
- Developing or enhancing continuity of operations and continuity of government plans
- Developing or enhancing existing catastrophic incident response and recovery plans to include and integrate Federal assets provided under the NRF
- Developing plans and response procedures for adjudicating, validating and responding to an alarm from a chemical or biological detector (response procedures should include emergency response procedures integrating local first responders)
- Developing or enhancing evacuation plans
- Developing mechanisms for utilizing the National Emergency Family Registry and Locator System (NEFRLS)
- Developing or enhancing plans to prepare for surge capacity of volunteers
- Developing or enhancing the State EMS systems
- Developing or enhancing plans for donations and volunteer management and the engagement/integration of private sector/non-governmental entities, and faith-based organizations in preparedness, mitigation, response, and recovery activities
- Developing school preparedness plans
- Developing preparedness plans for child congregate care facilities, including group residential facilities, juvenile detention facilities, and public/private child care facilities
- Developing plans to educate youth on disaster preparedness
- Ensuring jurisdiction EOPs adequately address warnings, emergency public information, evacuation, sheltering, mass care, resource management from non-governmental sources, unaffiliated volunteer and donations management, and volunteer resource integration to support each Emergency Support Function, to include appropriate considerations for integrating activities, materials, services, tools and equipment to achieve planning inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities). Developing and implementing civil rights, civil liberties, and privacy policies, procedures, and protocols
- Designing and developing State, local, tribal, and territorial geospatial data systems
- Developing and implementing statewide electronic patient care reporting systems compliant with the National Emergency Medical Services Information System (NEMSIS)
- Costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities

• Preparing and submitting SCIPs for SHSP, grantees are required to submit to the Office of Emergency Communications as part of an annual SCIP Implementation

- Preparing and submitting reports to the Office of Emergency Communications (OEC) on progress of implementing that State's SCIP and achieving interoperability at the interstate, State, county, regional, and city levels
- Updating and implementing SCIP and TICP to:
    - Address findings and gaps identified in AARs from real world incidents and planned exercises, NECP Goal assessments, other State-level preparedness reports and assessments
    - Incorporate the NPS and DHS Whole Community initiatives
    - Address plans for implementation of the Federal Communications Commission (FCC) narrowband requirements
    - Describe strategic broadband planning activities and initiatives in preparation for the future deployment of the Nationwide Public Safety Broadband Network (NPSBN)
- Developing or conducting assessments, including but not limited to:
    - Developing pre-event recovery plans
    - Conducting point vulnerability assessments at critical infrastructure sites/key assets and develop remediation/security plans
    - Participating Regional Resiliency Assessment Program (RRAP) activities
    - Conducting or updating interoperable emergency communications capabilities assessments at the local, regional, or Statewide level (e.g., Communications Assets and Mapping [CASM])
    - Developing border security operations plans in coordination with CBP
    - Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
    - Updating and refining threat matrices
    - Conducting cyber risk and vulnerability assessments
    - Conducting assessments and exercising existing catastrophic incident response and recovery plans and capabilities to identify critical shortfalls that cannot be met by existing local, regional, and State resources
    - Activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs across disciplines (e.g., law enforcement, fire service, EMS, public health, behavioral health, public works, agriculture, information technology, and citizen preparedness)
    - Activities that directly support the identification of pre-designated temporary housing sites
    - Activities that support the identification and development of alternate care sites
    - Conducting community assessments, surveys, and research of vulnerabilities and resource needs to determine how to meet needs and build effective and tailored strategies for educating individuals conducting assessments of the extent to which compliance with the integration mandate of disability laws is being achieved
    - Conducting or updating interoperable emergency communications capabilities and broadband needs assessments at the local, regional, or Statewide level

    - Soft target security planning (e.g., public gatherings)
- Developing, hosting, or participating in bombing prevention/counter-improvised explosives device (IED)-specific planning initiatives to include:
    - Incorporating appropriate IED-specific intelligence and threat analysis when developing and maintaining a THIRA;
    - Conducting inventories and assessments of capabilities or typed resource using the counter-IED-specific DHS National Capabilities Analysis Database (NCAD) program for use in applicable THIRAs, preparedness reporting, or strategies;
    - Conducting DHS Multi-Jurisdiction IED Security Planning (MJIEDSP) workshops to develop THIRA-based plans and strategies that maximize the use of limited resources;
    - Developing IED hazard-specific EOP annexes.
- Identifying resources for medical supplies necessary to support children during an emergency, including pharmaceuticals and pediatric-sized equipment on which first responders and medical providers are trained
- Ensuring subject matter experts, durable medical equipment, consumable medical supplies and other resources required to assist children and adults with disabilities to maintain health, safety and usual levels of independence in general population environments
- Developing and implementing a community preparedness strategy for the State/local jurisdiction
- Building and expanding governance structures to:
    - Include representatives from multiple agencies, jurisdictions, disciplines, levels of government, Tribes, rural areas, subject matter experts, and private industry
    - Integrate statewide leadership and governance structures into broader statewide planning efforts (e.g., statewide broadband planning activities, grants coordination activities, needs assessments) to ensure emergency communications needs are represented
    - Conduct outreach and education on emergency communications needs and initiatives to stakeholder groups
- Establishing, expanding, and maintaining volunteer programs and volunteer recruitment efforts that support disaster preparedness and/or response
    - Citizen support for emergency responders is critical through year-round volunteer programs and as surge capacity in disaster response, including but not limited to: Citizen Corps Councils, Programs and Organizations, CERTs, Fire Corps, Medical Reserve Corps (MRC), Neighborhood Watch/USAonWatch, Volunteers in Police Service (VIPS), and jurisdiction specific volunteer efforts
- Establishing and sustaining Citizen Corps Councils
- Working with youth-serving organizations and houses of worship to develop and sustain youth and faith-based preparedness programs

Organization Activities
The following organization activities in support of public-private partnerships are allowable expenses.

- Program management:
  - Salary for a dedicated liaison who acts as the primary point of contact, coordinates the public-private partnership and ensures proper implementation of the strategic plan
  - Facilities, including meeting space and work space for private sector liaisons. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
  - Supplies needed to support regular communications
  - Implementation of infrastructure resilience enhancement options described in a RRAP report
- 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
- Sustain partnership efforts to include:
  - Support for in-person meetings, events, and workshops that bring the public and private sectors together. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
  - Web-based and social media tactics (webinars, emails, newsletters, alerts, databases, online collaboration tools, website development and maintenance, etc.)
  - Innovative approaches for reaching the Whole Community to include translated material for individuals that are blind and or have low vision capability and those with English as a second language and coalitions among citizens.
  - Leverage already existing structures and mechanisms, such as Citizen Corps, for sharing information and engaging members of the Whole Community to include: for-profit and not-for-profit entities, faith based and community organizations, youth-serving and youth advocates, those that support socio-economic and diverse cultures
- Structures and mechanisms for information sharing between the public and private sector:
  - Tools, software, programs, and other mechanisms that support two-way information sharing during normal and emergency operations
  - Means to receive input or feedback from the private sector, and encourage participation from civic leaders from all sectors
  - Regular and timely communications on subjects relating to all phases of emergency management, such as newsletters, emails, and alerts
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors
  - Web-based and new media platforms that allow real-time information exchange

    - Asset mapping, such as participation in FEMA's Total Asset Visibility and LogViz initiatives
    - A seat(s) in the emergency operation center, or virtual EOC
- Operational Support:
    - Tools for identifying and tracking available paid and unpaid disaster response resources
    - Dedicated space and equipment for private sector representation within a State, county, or city emergency operation center
    - A dedicated business emergency operations center that works with the State, county or city EOC (not construction)
    - Tools for real time information sharing between the public and private sector
    - Licensing, screening, or other requirements for access to real EOC or virtual EOC
- Federal Emergency Response Official (F/ERO) Credentialing and Validation:
    - Working group meetings and conferences relating to emergency responder credentialing and validation
    - Compiling data to enter into an emergency responder repository
    - Coordinating with other State, local, territorial, and tribal partners to ensure interoperability among existing and planned credentialing and validation systems and equipment
    - Planning to incorporate emergency responder identity and credential validation into training and exercises.
    - This supports our efforts to address grant money for the F/ERO program and further solidifies those efforts in additional to our independent efforts that Darcy has already worked.

- Continuity of Operations / Continuity of Government Planning (COOP/COG) Grant Funding Opportunity

  COOP/COG planning is the fundamental responsibility of every government agency that performs an essential function at the State and local level. In order to conduct necessary emergency operations, recovery actions, and other key essential functions during a large-scale or catastrophic event, the agency must have effective Continuity plans in place to support continued operations. Continuity efforts also provide the foundational basis for COG programs, such as succession planning, which are designed to ensure the survival of not only leadership at the State and local level, but also an enduring constitutional government. State and local plans to address COOP/COG issues should be consistent with the Nations Continuity Policy described in Homeland Security Presidential Directive 20 (HSPD-20); the National Continuity Policy Implementation Plan (NCPIP); and Continuity Guidance Circular's 1 (CGC 1) and 2 (CGC 2), which provides guidance for State, local, territorial, and tribal governments, and private sector organizations in developing robust Continuity plans and programs in support of a comprehensive and integrated national continuity capability. Continuity issues to address include, but are not limited to:

- Determine essential functions and activities, interdependencies, and resources needed to perform them
- Establish orders of succession and delegations of authority to key agency positions and establish and maintain current roster(s) of fully equipped and trained COOP personnel with the authority to perform essential functions
- Provide for the identification and preparation of alternate operating facilities for relocated operations
- Provide for the regular training, testing, and exercising of COOP personnel, systems, and facilities
- Provide for reconstitution of agency capabilities, and transition from continuity operations to normal operations

Training Information

Training Information Reporting System ("Web-Forms"). Web-Forms is an electronic form/data management system built to assist the SAA and its designated State/territory Training Point of Contact (TPOC) with the reporting of State and Federal sponsored training supported by HSGP funds. Web-Forms can be accessed through the FEMA Toolkit located at *http://www.firstrespondertraining.gov/admin*.

FEMA resources include a number of different training sources:

- *FEMA Provided Training.* These programs or courses are developed for and delivered by institutions and organizations funded by FEMA. This includes the Center for Domestic Preparedness (CDP), the Emergency Management Institute (EMI) and the National Training and Education Division (NTED) training partner programs including, the Competitive and Continuing Training Grant programs, the National Domestic Preparedness Consortium (NDPC) and the Rural Domestic Preparedness Consortium (RDPC).
- *Training Not Provided by FEMA.* These courses are either State sponsored or Federal sponsored, coordinated and approved by the SAA or their designated TPOC, and fall within the FEMA mission scope to prepare State, local, tribal, and territorial personnel to prevent, protect against, mitigate, respond to, and recover from acts of terrorism or catastrophic events.
- *State Sponsored Courses*. These courses are developed for and/or delivered by institutions or organizations other than Federal entities or FEMA and are sponsored by the SAA or their designated TPOC.
- *Federal Sponsored Courses*. This catalog lists courses developed for and/or delivered by institutions funded by Federal entities other than FEMA. These courses are listed at *http://www.firstrespondertraining.gov*.
- *Approved State and Federal Sponsored Course Catalog*. This catalog lists State and Federal sponsored courses that fall within the FEMA mission scope, and have been approved through the FEMA course review and approval process. An updated version of this catalog can be accessed at *http://www.firstrespondertraining.gov*.

- Additionally the new National Preparedness Directorate (NPD) Online Course Catalog (OCC) allows access to courses delivered by the CDP, EMI, and NTED. It can be accessed at http://*training.fema.gov/occ/*.
- *Joint Training and Exercises with the Public and Private Sectors*. These courses are sponsored and coordinated by private sector entities to enhance public-private partnerships for training personnel to prevent, protect against, mitigate, respond to, and recover from acts of terrorism or catastrophic events.

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

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

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

FEMA will conduct periodic reviews of all State, territory, and Urban Area training funded by FEMA. These reviews may include requests for all course materials and physical observation of, or participation in, the funded training. If these reviews determine that courses are outside the scope of this guidance, grantees will be asked to repay grant funds expended in support of those efforts.

State and Federal-Sponsored Course Catalog. Courses approved through NTED will be added to the approved State and Federal Sponsored Course Catalog. Courses identified within this catalog may be attended on an unlimited basis within any State/territory as long as the training is coordinated and approved by the SAA/TPOC. A full description of the NTED Course Development, Review, and Approval Process, as well as the approved course catalog, can be found at *http://www.firstrespondertraining.gov/odp_webforms*. NTED will respond to the initial request for review within 15 days with one of the following outcomes:

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

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

States, territories, and Urban Areas are no longer required to submit non-FEMA approved courses to NTED for review under the current course review and approval process. In previous years, FEMA funding guidance and / or funding opportunity announcements identified that the SAA/TPOC was allowed three deliveries of the same course within a State/territory before a non-FEMA approved training course was required to go through the NTED State course review and approval process. Although the current State course review and approval process is still available to any State, there is no longer a requirement to submit a course for review after three deliveries.

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

FEMA funds must be used to supplement, not supplant, existing funds that have been appropriated for the same purpose.

States and territories are required to conduct a Training and Exercise Plan Workshop to identify and set training and exercise program priorities and develop a multi-year schedule of exercise events and supporting training activities to meet priorities. A Multi-year Training and Exercise Plan will developed following the Training and Exercise Plan Workshop to include training and exercise priorities identified by elected and appointed officials and whole community stakeholders. Further guidance concerning the Multi-year Training and Exercise Plan can be found in the Exercises section.

Joint Training and Exercises with the Public and Private Sectors. Trainings and exercises designed to enhance private sector and public sector coordination are allowable. Overtime pay for first responders and emergency managers who participate in public-private training and exercises is allowable. In addition, States, territories, Tribes, and local units of government are encouraged to incorporate the private sector in government-sponsored training and exercises.

Training and exercises for the public or civilian volunteer programs supporting first responders, including CERT, before, during and after disasters should address the needs of the Whole Community. Allowable training includes: all-hazards safety such as emergency preparedness, basic first aid, lifesaving skills, crime prevention and terrorism awareness, school preparedness, youth preparedness, public health issues, mitigation/property damage prevention, safety in the home, light search and rescue skills, principles of NIMS/ICS, volunteer management, serving and integrating people with disabilities, pet care preparedness, training necessary to participate in volunteer activities, fulfill surge capacity roles, integration and coordination of faith community roles, communication in disaster or promotes individual, family, or whole community safety and preparedness. Exercises that include members of the public or that are conducted for the public should be coordinated with local CERT and Citizen Corps Councils as well as organizations outside of emergency management and focus on the importance of personal preparedness and protective actions.

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

- *Developing, Delivering, and Evaluating Training*. Includes costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, disability accommodations, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any shortfalls in these skills. Any training shortfalls, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the training cycle. Expenditures to provide necessary non-structural accommodations for persons with disabilities and other access and functional needs is allowable (e.g., sign language interpreters, Communication Access Real-time Translation [CART] and other modifications of policies and practices to fully include participants with disabilities). Stakeholders are also encouraged to leverage existing training provided via educational/professional facilities and to incorporate non-traditional methodologies such as the internet, distance learning, or home study whenever such delivery supports training objectives. Pilot courses and innovative approaches to training citizens and instructors are encouraged.
- Training that promotes individual, family, or community safety and preparedness is encouraged, including: all-hazards safety training such as emergency preparedness, basic first aid, lifesaving skills, crime prevention and terrorism awareness, school preparedness, public health issues, mitigation/property

damage prevention, safety in the home, light search and rescue skills, principles of NIMS/ICS, volunteer management and volunteer activities, serving and integrating people with disabilities, pet care preparedness, CPR/AED training, identity theft workshops, terrorism awareness seminars, and disability-inclusive community preparedness conferences. The delivery of the CERT Basic Training Course and supplemental training for CERT members who have completed the basic training, the CERT Train-the-Trainer Course, and the CERT Program Manager Course are strongly encouraged.

- Conducting, hosting, or participating in training related to IED prevention, protection, mitigation, or response to include:
  - Awareness and education for the public, private sector and first responders;
  - Suspicious activity identification and reporting;
  - Management of bomb threats;
  - Physical protective measures;
  - Diversion control measures for dual-use explosive precursor chemicals;
  - Training for specialized IED prevention and protection teams or OPacks such as Public Safety Bomb Squads, Explosives Detection Canine Teams, and Mobile Explosive Device Screening Teams in accordance with applicable guidelines, certification, or accreditation requirements.
- *Overtime and Backfill*. The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs, are allowable. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government and from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- *Travel*. Costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- *Hiring of Full or Part-Time Staff or Contractors/Consultants*. Payment of salaries and fringe benefits to full or part-time staff or contractors/consultants must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses. In no case is dual compensation allowable.
- *Certification/Recertification of Instructors.* States are encouraged to follow the NTE Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses that involve training of trainers. This information is contained in IB 193, issued October 20, 2005. Additional information can be obtained at *http://www.fema.gov/good_guidance/download/10146*.

Exercise Requirements

Training and Exercise Plan Workshop. States and Urban Areas are required to conduct an annual Training and Exercise Plan Workshop (TEPW). A Multi-year Training and Exercise Plan must be developed from the workshops on an annual basis and submitted to the State's respective Exercise Program Point of Contact. The State Exercise Program Point of Contact should submit a copy of the State and Urban Area plans to hseep@dhs.gov.

The Training and Exercise Plan will include the State's program priorities and a Multi-Year Training and Exercise Plan (schedule) that supports the identified priorities and aligned capabilities. In addition to submission of the Multi-Year Training and Exercise Plan to hseep@dhs.gov, all scheduled training and exercises should be entered in the HSEEP National Exercise Scheduling (NEXS) System, located in the HSEEP Toolkit on the HSEEP website *https://hseep.dhs.gov*. A TEPW user guides and a template of the Multi-Year Training and Exercise Plan can be found on the HSEEP website *https://hseep.dhs.gov*.

States must complete a cycle of progressive exercise activities during the period of this grant. Exercises conducted by States and Urban Areas may be used to fulfill similar exercise requirements required by other grant programs. For example, HHS preparedness programs require joint exercises between public health departments, the health care sector and medical countermeasure authorities including law enforcement which could provide collaborative opportunities. To this end, grantees are encouraged to invite representatives/planners involved with other federally-mandated or private exercise activities. States and Urban Areas are encouraged to share, at a minimum, the multi-year training and exercise schedule with those departments, agencies, and organizations included in the plan.

- *Exercise Scenarios***.** The scenarios used in HSGP-funded exercises must be based on the State/Urban Area's THIRA. The scenarios used in HSGP-funded exercises must focus on testing capabilities, must be large enough in scope and size to exercise multiple activities and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities. Exercise scenarios should align with priorities and capabilities identified in the Multi-year Training and Exercise Plan.
- *Special Event Planning*. If a State or Urban Area will be hosting a special event (e.g., Super Bowl, G-8 Summit), the special event planning should be considered as a training or exercise activity for the purpose of the Multi-Year Training and Exercise Plan. The State or Urban Area should plan to use SHSP or UASI funding to finance training and exercise activities in preparation for those events. States and Urban Areas should also consider exercises at major venues (e.g., arenas, convention centers) that focus on evacuations, communications, and command and control. States should also anticipate participating in at least one Regional Exercise annually. States must include all confirmed or planned special events in the Multi-year Training and Exercise Plan.

- *Exercise Evaluation and Improvement*. Exercises should evaluate performance of capabilities against the level of capabilities required. Guidance related to exercise evaluation and improvement planning is defined in the HSEEP located at *https://hseep.dhs.gov*.
- *Self-Sustaining Exercise Programs.* States are expected to develop a self-sustaining exercise program. A self-sustaining exercise program is one that is successfully able to implement, maintain, and oversee the Multi-year Training and Exercise Plan, including the development and delivery of HSGP-funded exercises. The program must utilize a multi-disciplinary approach to the development and delivery of exercises, and build upon existing plans, training, and equipment.
- *Role of Non-Governmental Entities in Exercises.* Non-governmental participation in all levels of exercises is strongly encouraged. Leaders from non-governmental entities should be included in the planning, conduct, and evaluation of an exercise. State, local, tribal, and territorial jurisdictions are encouraged to develop exercises that test the integration and use of non-governmental resources provided by non-governmental entities, defined as the private sector and private non-profit, faith-based, community, disability, volunteer, and other non-governmental organizations. Non-governmental participation in exercises should be coordinated with the local Citizen Corps Council(s) or their equivalent and other partner agencies. The scenarios used in HSGP-funded exercises must focus on validating existing capabilities, must comply with and be large enough in scope and size to exercise multiple activities and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities.

Allowable Exercise Costs
Allowable exercise-related costs include:

- *Funds Used to Design, Develop, Conduct, and Evaluate an Exercise*. Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Grantees are encouraged to use government or free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any shortfalls in these skills. Any exercise or exercise shortfalls, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the exercise cycle.
- Full or part-time staff may be hired to support exercise-related activities. Such costs must be included within the funding allowed for program management personnel expenses.
- The applicant's formal written procurement policy or 44 CFR 13.36– whichever is more stringent – must be followed.

- *Overtime and Backfill*. The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development, and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- *Travel*. Travel costs are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of exercise project(s) or HSEEP programmatic requirements as described in the HSEEP (e.g., Training and Exercise Plan).
- *Supplies*. Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., gloves, non-sterile masks, and disposable protective equipment).
- *Disability Accommodations*. Materials, services, tools and equipment for exercising inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities).
- *Other Items.* These costs include the rental of equipment and other expenses used specifically for exercises, costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities.

Unauthorized Exercise Costs

Unauthorized exercise-related costs include:

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

Appendix D – HSGP Investment Justification Template and Instructions

Investment Justification (IJ) Application Instructions
States, territories, and Urban Areas are required to use the web-based IJ submission module provided by FEMA in the Grants Reporting Tool (GRT) for their HSGP submission. Please allow enough time before (or no later than 11:59 p.m. EST) **June 24, 2013** to complete the IJ in the GRT. Urban Areas should work in accordance with their respective State's timelines and processes identified by the SAA to ensure the Urban Area IJ is submitted by the SAA in compliance with the application deadline.

For instructions on how to log into the GRT and complete the IJ, please reference the *GRT Investment Justification Submission Technical User's Guide* located at *https://www.reporting.odp.dhs.gov/*. After the IJ application has been marked 'complete' in the GRT, SAAs on behalf of applicants must upload the IJs as attachments with the application using the ND Grants system located at *https://portal.fema.gov*. Please note that applicants should ensure that the IJ accounts for all funds requested by the applicant and the total funding requested does not exceed the funding allocations included in Appendix A – *FY 2013 Program Specific Allocations*.

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

Linkage to State Preparedness Report
Applicants must identify in Section II C of the IJ how the proposed investment will address one of the capability shortfalls identified in the most recent SPR. The specific capability gap and its priority as found in the SPR must be noted in the IJ.

Multi-Applicant Investments
States, territories, and Urban Areas may propose Multi-Applicant Investments, which represent a shared interest between two or more States and territories, or a shared interest between two or more Urban Areas, as one (or more) of their 10 Investment submissions. Urban Areas cannot submit a Multi-Applicant Investment in partnership with the State in which they are located. Each participating State or Urban Area must outline the specific components of the Multi-Applicant Investment for which it would be responsible and include that Investment in its own submission. The Multi-Applicant Investments will continue to be evaluated like other Investments as part of the review process, but will not incorporate a bonus point structure.

The HSGP Multi-Applicant submission process will require Multi-Applicant partners to identify a submitting partner who will only be required to initiate the Multi-Applicant

Investment within the GRT by providing the Investment name(s) and the names of all partners. Once initiated, all partners will independently complete all sections of their Multi-Applicant Investment. Submitting partners should initiate the Multi-Applicant process early enough to allow all partners to complete their own Investments on time.

Collaboration with other federal agencies

Operational and complementary engagement among emergency management, public health, health care, law enforcement, transportation, and other preparedness programs should be described in each investment where applicable. For example, as part of the Protection mission area, if a state plans to build or sustain existing capacity in the Screening, Search, and Detection capability, this work should be coordinated with public health, health care and law enforcement agencies that may also be funding activities for this capability.

HSGP IJ Outline

Question	Response	Review Criteria
Overall Investment Justification Portfolio		
Describe how the spectrum of terrorism and natural hazard risks that the State/territory/Urban Area faces influenced the development of this Investment Justification to include all Investments.	*Narrative* (1500 character max)	The response will be reviewed to provide context for the Investment Justification.
Identify the amount and percentage of funding that will be dedicated to Management & Administration expenditures.	*Amount/Percentage*	
I. Overview		
I.A Identify the Investment as:	*New, Ongoing*	The response will be reviewed to provide context for the Investment.
If the Investment is Ongoing, identify the Investment(s) from prior year(s):	Fiscal Year and Investment Name	
I.B Provide the Investment name:	Short Title (100 character max)	
I.C Provide the applicant name	State/territory Urban Area	
I.D Identify if this Investment focuses on building new capabilities or the sustainment of existing capabilities.	*New, Existing*	
I.E Provide a description of this Investment, including the planning, organization, equipment, training, and/or exercises that will be involved.	Narrative (2500 character max)	The response provides a detailed description and clear understanding of various activities that will be supported by this Investment.
II. Baseline		
II.A Identify the goals and objectives in your State and/or Urban Area Homeland Security Strategy supported by this Investment.	Narrative (1500 character max)	The response will be reviewed to provide context for the Investment.
II.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 2013 funds.	Narrative (1500 character max)	The response provides a clear understanding of existing capability levels and what capability gap(s) the Investment will address.
II.C Explain the capability gap(s) that this Investment is intended to address.	Narrative (1500 character max)	
III. Project Management and Milestones		
III.A Provide the proposed FY 2013 HSGP funding amount for this Investment. Identify if this is a fusion center Investment.	Amount	The response provides a clear demonstration and a comprehensive understanding of how the Investment supports identified NPG Core Capabilities, primary POETE Solution Area, and LETPA.
III.B If applicable, provide the proposed funding amount that is expected to be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA)	Amount	
III.C Identify the NPG Core Capabilities that are supported by this Investment. For each of the selected Core Capabilities, provide the proposed funding amount to be obligated from this Investment.	*Select all that apply* and Amount	
III.D Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.	*Planning, Organization, Equipment, Training, Exercise*	
III.E Identify up to ten projects/activities, with start and end dates, which will be implemented over the 24 month period of performance. Provide the following information:		The response provides a clear description of projects/activities that will demonstrate progress towards achieving the Investment.
- Project Name	Short title (100 character max)	
- Funding Amount	Amount	
- Project Management Step	*Initiate, Plan, Execute, Control, Close Out*	
- Start Month/Year	Month/Year	
- End Month/Year	Month/Year	
III.F Does this Investment require new construction or renovation, retrofitting, or modification of existing structures?	*No, Yes*	The response will be reviewed to provide context for the Investment.

Appendix E – FY 2013 OPSG Operations Order Template and Instructions

Operations Order Instructions
As part of the FY 2013 OPSG application process, each eligible local unit of government at the county level or federally-recognized Tribal government must develop its Operations Order in direct coordination with SAA and Federal law enforcement agencies, to include, but not limited to CBP/BP. Operations Orders that are developed at the county level should be inclusive of city, county, tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, and the Operations Order should address this in the Executive Summary. The details should include the names of the agencies, the points of contact, and the individual funding requests. The OPSG Operations Order Template can be found at *http://www.grants.gov*.

Requirements Overview
The Operations Orders must:

- Be created and submitted in Microsoft Word (*.doc)
- Not exceed six pages in length with the emphasis on the Executive Summary, Mission, and Budget
- Use the following file naming convention when submitting required documents as part of the FY 20XX OPSG application: "FY 20XX OPSG <State Abbreviation> - <Local Unit of Government Name>"

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

Budget Requirements Overview
In an effort to streamline the application process, each applicant is required to submit an annual budget addressing OPSG related costs and expenses as part of the Operations Order. This budget should be detailed and should serve to:

- Explain how the costs were estimated
- Justify the need for the costs incurred

A narrative detailing the need and use for costs must be included in the budget. For clarification purposes, the Operations Order may include tables describing cost and expense elements (e.g., equipment, fuel, vehicle maintenance costs).

Executive Summary Overview
Details to include in the Operations Order Executive Summary:

- Identify the organization name, point of contact, committees, and other structures accountable for implementing OPSG in your jurisdiction. Typically, this will be a

program lead or manager overseeing operations and individuals assigned to that agency.

- Briefly describe how Federal, State, local, and tribal law enforcement agencies will work together to establish and enhance coordination and collaboration on border security issues.

FY 2013 OPERATION STONEGARDEN (OPSG) OPERATIONS ORDER AND BUDGET TEMPLATE

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

Executive Summary

I. SITUATION

A. General Situation:

B. Terrain/Weather:

C. Criminal Element:

D. Friendly Forces:

II. MISSION

III. EXECUTION

A. Management/Supervisor Intent:

B. General Concept:

C. Specific Responsibilities:

1.

2.

3.

D. Coordinating Instructions:

IV. BUDGET

Within the Operations Order, include budgets and operative spending plans in one year increments (Year 1 and Year 2). The annual operations should be practical and able to be completed within the 24-month period of performance. Grantees may not begin operations, obligate, or expend any funds until the final Operations Order and embedded budget has been approved by FEMA GPD and CBP/BP Headquarters and any existing special conditions and/or restrictions are removed.

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

A.1 Example - Cost Estimates/Funding Requests (Year 1):

Administration/Logistics/Budget Request		Narrative Justification (Computation of Items)	Federal Request
Law Enforcement Operational Overtime		$50 per hour OT rate x 11 personnel x 10 hours x 3 day detail x 4 quarters per year x 2 years	$132,000.00
Fringe Benefits for Law Enforcement		$27.55/hr x 1.5 OT = ($41.33/hr) x (.062) = ($2.56/hr FICA) x 5840 hrs/yr x 2 yrs	$29,925.92
Travel, Lodging, and Per Diem for deployed LE and/or Federally sponsored (DHS/FEMA) border security task forces, conferences and/or mandatory training		Federal or below: approx miles of 3,500, 15 days single Occupancy @ $150 for 5 people	$1,750.00
General Equipment (Add AEL #)		Lines, personal flotation devices, GPS software updates, marine batteries, thermal imaging system	
Special Equipment (Requiring separate waiver i.e., Planes, boats, vehicles, SUVs, etc.)		Sea Hawk Boat, Explorer 4x4 Police with Package	$75,000.00
Part-Time to Full-Time Law Enforcement Personnel			
Activated Reserve Law Enforcement Personnel			
Vehicles:	Vehicle Maintenance	46,800 miles per year x .18 cents per mile = $8,424.00 x 2 yrs Tires, engine repair, other	$16,848.00
	Fuel Cost	3,342 x $4.50 per gallon = $15,043/yr x 2 yrs	$30,086.00
Total			**$285,609.92**

A.2 Cost Estimates/Funding Requests (Year 2):
< INSERT COST ESTIMATES AND FUNDING REQUESTS TABLE >

V. COMMAND/CONTROL/COMMUNICATION

A. Chain of Command:

B. Unit Command:

C. Communications Detail:

D. Map Coordinates:

Notes:

Longitude: Latitude:

Degrees: Minutes: Seconds:

Decimal:

Location Zone:

ANNEX

A. Administration Annex:

B. Execution Annex:

C. Command Annex:

Media Action Plan:

Legal Review:

Risks:

Photos:

Appendix F – OPSG Operational Guidance

The success of OPSG will be achieved through an integrated, layered approach to border security and targeted enforcement techniques and strategy. This also includes fulfillment of specific roles and responsibilities, newly defined expectations for operations, disciplined reporting procedures, and the introduction of performance measures. Successful execution of these objectives will promote situational awareness among participating agencies and ensure a rapid, fluid response to emerging border-security conditions.

OPSG uses an integrated approach to address transnational criminal activity. To achieve unity of effort, it is essential that each participant know the roles and responsibilities within the integrated planning team. Participation in OPSG is based on the expectation that State, local, and tribal law enforcement agencies will conduct border-security operations using an Integrated Planning Team chaired by the U.S. Border Patrol, which will provide routine monitoring and technical expertise to each participating agency. Each operation will be reviewed for border-security value and approved by the corresponding sector's Chief Patrol Agent or his/her designee.

As OPSG continues to evolve, several proven practices have been recognized, centered on short-term, periodic operations in support of overarching near and long-term goals. A multi-step process will be established via the area Integrated Planning Team, including a campaign plan and a cycle of operations to ensure that Stonegarden participants maintain synergism and have a coordinated and measurable impact on reducing border-security risk.

Standardized, accurate, and timely reporting will focus on: monitoring program performance; assessing productivity and results; determining the level of integration and information sharing; evaluation of money spent and operations conducted; and developing best practices for future operations. OPSG has standardized the form used to capture key data sets. In addition, nationwide standards for submitting the reporting forms will be implemented.

I. Concept of Operations and Campaign Planning (Post Allocation Announcement/Pre-Award)

The overarching operational cycle involves three stages; application, concept of operations to formulate a Campaign Plan and one or more tactical operational periods, which are all developed by the Integrated Planning Team.

First Stage: The first stage is outlined in the application process. The original request and justification for funding will be submitted through the Border Patrol sectors, which is consistent with the processes used in previous years. The initial application will use an

Integrated Planning Team, made up of operation stakeholders, including the U.S. Border Patrol.

Second Stage (Post Award): This stage involves the creation of an operations order which occurs after awards are announced. Participants will submit an operations order through their Integrated Planning Team that serves two primary purposes: formation of a campaign plan and capturing the initial, generalized-budgetary intent. A campaign plan is defined as a series of related law enforcement operations aimed at accomplishing a strategic or operational objective within a given time and space. The campaign plan should State the participant agency's long-term border security objectives and goals designed to mitigate border-security risk.

OPSG's two-year performance period exceeds the scope of a single, major, border-security operation. Proper use of the funds may require several short-term operations that combine to form an ongoing operational cycle, ensuring that Border Patrol commanders and State, local, and tribal agency partners reserve the flexibility to respond to the ever-changing elements of border security. Funds should be obligated as needed to target specific threats or vulnerabilities and ensure that OPSG usage is commensurate to the unique risk of each border region.

The operations plan also will articulate the budgetary intent of how funds will be used throughout the performance period. It can initiate the procurement of equipment, as well as state how much the county intends to use for management and administration (M&A) while keeping overtime funds and residual equipment funds available for use as needed. The operations plan will project planned expenditures in the following categories: overtime, equipment, instruction, travel, maintenance, fuel, and administrative funds. If the recipient intends to spend more than 50 percent of their award on overtime over the course of the performance period, requests for an overtime waiver would be submitted at this time. In addition, if the need for new equipment is anticipated, requests can be submitted in the operations plan to begin the process. The operations plan will meet both the SAA expectations to obligate the funds within 45 days of the award announcement and the demands of the grant's operational intent. Once the operations plan is submitted and approved, the area Integrated Planning Team will meet to begin the last stage in the planning process.

Third Stage: This stage begins when the award recipient is ready to conduct operations. The area Integrated Planning Team will meet to begin planning tactical operations. Tactical operational periods are described in detail below.

II. Tactical Operational Period

Operational discipline is necessary for the success of OPSG. Deliberate, adaptive, integrated, and intelligence-driven planning is critical to conducting targeted enforcement operations consistent with the objectives of the OPSG grant program. By participating in the program, the State, local, and tribal agencies agree to conduct

operations designed to reduce border-security risk. Tactical operations will be conducted on a periodic basis meeting the criteria outlined below.
Tactical operational periods are composed of six critical elements: 1) a pre-planning meeting with the Integrated Planning Team; 2) specified beginning and ending dates; 3) are intelligence driven, with a nexus to border security; 4) use targeted enforcement techniques; 5) have clearly stated objectives; and 6) conclude with an after-action meeting. A campaign should involve several tactical operational periods. These periods require deliberate on-going planning to ensure command, staff, and unit activities synchronize to current and future operations. The cyclical nature of the process will ensure OPSG activities align with the fluctuating border-security threats and vulnerabilities. Key planners should recognize that shorter, frequent tactical operational periods increase the flexibility and leverage gained through OPSG funding.

The Integrated Planning Team should leverage information provided by the fusion center, Border Intelligence Centers or other local intelligence center, when possible and establish a common operational vision. The Border Patrol sector's Chief Patrol Agent, or his/her designee, will ensure that the information or intelligence has a clear nexus to border security. The frequency and duration of each tactical operational period should be predicated by local risk factors. The tactical operational period may combine to develop an operational cycle that is synchronous or asynchronous, connected, or unconnected, depending on security conditions and the Integrated Planning Teams intent. Each tactical operational period will begin on a predetermined date and end on a predetermined date, but the dates may be subject to change commensurate with emerging security conditions.

Intelligence will be shared and vetted for border security value, driving the focus of operations. The tactical operational period should focus on specific targets of interest or specific areas of interest identified by the Integrated Planning Team. Once intelligence-driven targets are identified, the Integrated Planning Team will decide on operational objectives that reflect the intended impact of operations. The objectives should outline how the operation will deter, deny, degrade, or dismantle the operational capacity of the targeted transnational criminal organizations. The starting date of the operational period should be established to allow sufficient time for the order to be submitted and approved through Border Patrol Headquarters and the GPD at FEMA headquarters (FEMA/GPD). Once approved, the operation can be conducted.

The following diagrams illustrate two different approaches for conducting operations:[2]

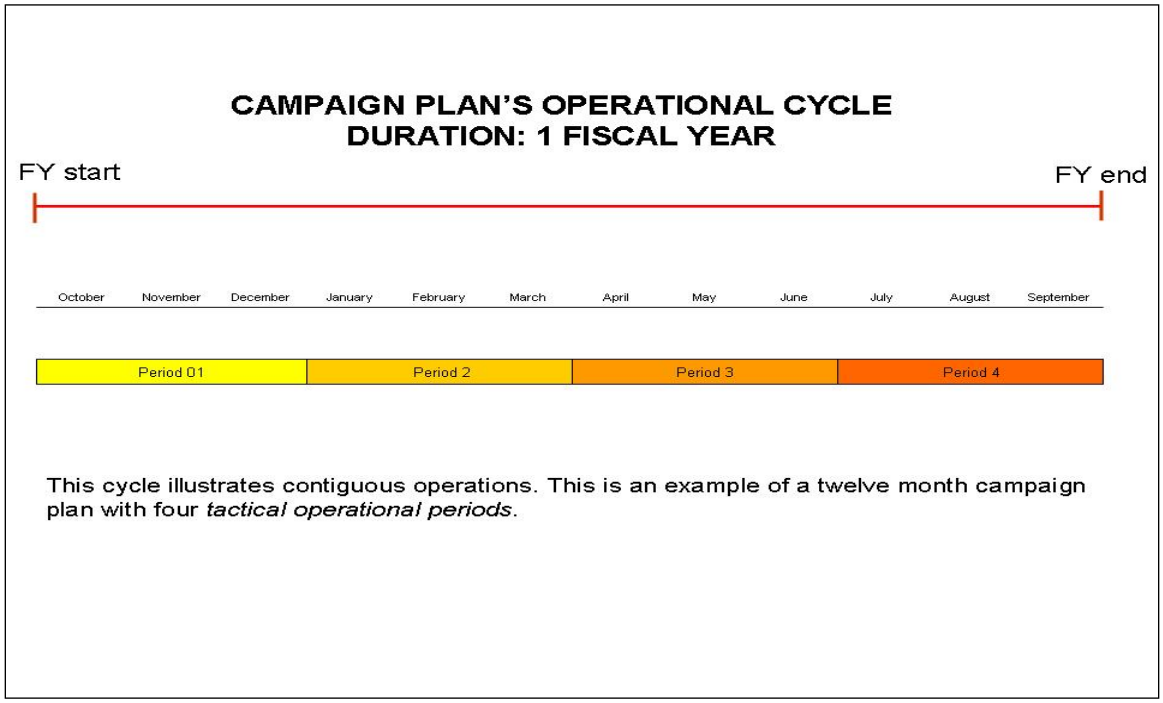

Figure 1: Example of an Ongoing Synchronized Operational Cycle

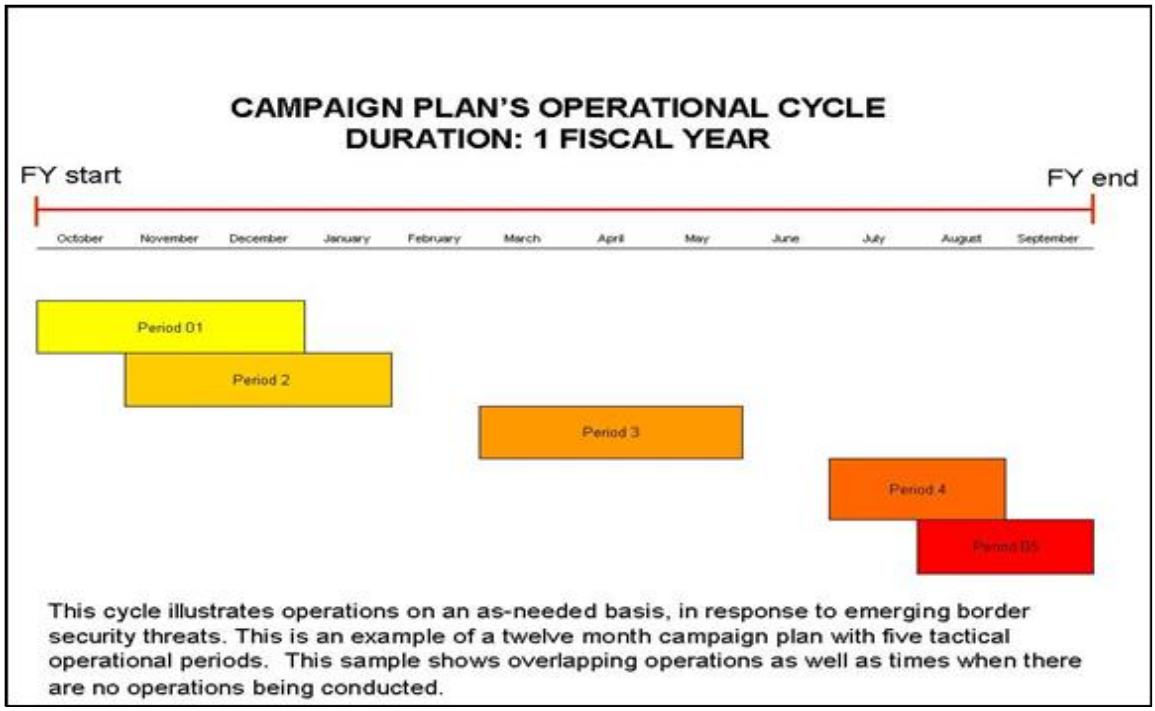

Figure 2: Example of a Dynamic, Unsynchronized Operational Cycle

[2] These illustrations reflect a twelve month campaign plan. A campaign plan should be written to encompass the performance period. Performance periods vary from State to State, please contact the State Administrative Agency in your area for clarification.

III. Reporting Procedures

Participation in OPSG requires accurate, consistent, and timely reporting of how funds are used, and how the State, local and tribal agencies' operations have impacted border security through the mitigation of threat or vulnerability and the overall reduction of risk. To ensure consistent reporting each State, local and tribal agency will identify a single point of contact to represent their agency as a member of the Integrated Planning Team and to coordinate the submission of reports or execute other aspects of the grant.

The reporting format will be standardized as well. Attachment A, the Daily Activity Report is to be used to submit the ongoing results and outputs from OPSG operations conducted. The Daily Activity Report will be submitted to the Border Patrol sector, if required, or to the participating agency's OPSG coordinator. The agency coordinator will compile the results from each Daily Activity Report at the end of the month and submit a monthly report to the Border Patrol sector. The monthly report is due to sector by the 10th day of the following month. The Border Patrol sector will compile the results from the participating agencies and submit the results to Border Patrol Headquarters by the 15th of each following month.

In addition to the ongoing reporting of outputs, participants will be required to submit After Action Reports to participating agencies and the Border Patrol within 10 days of any completed operation, after convening a debrief meeting. The After Action Report should carefully articulate outcomes and outputs, as well as how the results of the operation compare with the objectives identified during the pre-planning meeting. Failure to submit the after-action report in a timely manner may prevent the approval of future operations requests.

IV. Operational roles and responsibilities

The Border Patrol sector's Chief Patrol Agent, or his/her designee, will:

- Coordinate and chair the area Integrated Planning Team's meetings
- Coordinate with all interested and eligible State, local, and tribal agencies in the sector's area of operation during the open period of the OPSG application process by:
    - Assisting applicants in completing the operations planning portion of the application, which is similar to the Operations Order used by the Border Patrol[3]
    - Forwarding the approved operation portion of the application to CBP/BP Headquarters, as well as to the SAA to complete the application process set by FEMA/GPD
- Following the announcement of grant awards, coordinate and chair a meeting with State, local, and tribal agencies that received OPSG awards to develop an individualized campaign plan. This includes:

[3] This will not be entered into the Border Patrol Enforcement Tracking System (BPETS).

- Working with State, local, and tribal agencies, along with other Federal law enforcement agencies to determine the dates, focus, and needs of each tactical operational period, ensuring that each operation has a nexus to border security;
- Receiving the first periodic operations order from the State, local, and tribal agencies and ensuring that the operation is conducted as outlined in Section I;
- Monitoring and supporting the Operational Cycle throughout the performance period;
- Ensuring Daily Activity and After Action Reports are submitted by State, local and tribal agencies in the proper format and within the established timeframes;
- Providing instruction, when possible, to State, local and tribal agencies regarding techniques, methods and trends used by transnational criminal organizations in the area; and
- Providing a single point of contact to participants as a subject matter expert in OPSG that can coordinate, collect, and report operational activities within the established reporting procedures.

The State, local or tribal agency lead, or their designee, will:

- Coordinate with the SAA on all grant management matters, including but not limited to the development and review of operations orders, expenditure of funds, allowable costs, reporting requirements;
- Participate as a member of the Integrated Planning Team to facilitate the application process during the open period and ensure the application is submitted in compliance with the grant instructions;
- Upon receiving a grant award, coordinate and meet as a member of the Integrated Planning team to develop an individualized campaign plan that covers the length of the grant performance period;
- Work within the Integrated Planning team to develop an initial Operational Cycle and determine the duration of the first operational period based on the tactical needs specific to the area;
- Submit all operations orders to the SAA for review, and submit the first periodic operations order to the Border Patrol and ensure the operation meets the six criteria established in Section II;
- Conduct operations, on an as-needed basis throughout the length of the grant performance period;
- Ensure reports are submitted to the to the Border Patrol, and the SAA when applicable, in the proper format and within established timeframes;
- Request instruction and information from the SAA, when applicable, and/or Border Patrol and other Federal law enforcement agencies regarding techniques, methods, and trends used by transnational criminal organizations in the area; and

- Provide the SAA and Border Patrol a single point of contact that maintains subject matter expertise in OPSG who can coordinate, collect, and report operational activities within the established reporting procedures.

The SAA is responsible for the following:

- Actively engage in the IPT meetings;
- Work in direct coordination and communication with the local or tribal agency lead on all grant management matters;
- Review all operations orders created by the local or tribal agency;
- Acts as the fiduciary agent for the program and provide expertise in State policy and regulations;
- Enter into a sub-grant agreement with the award recipients to disburse the allocated funding awarded through FEMA/GPD;
- Generate quarterly reports to FEMA and the U.S. Treasury capturing the award recipients' obligation and expenditure of funds;
- Determine if the grant's performance period requires additional refinement over the federally established 24 month period; and
- Conduct audits of the program to ensure that the award recipients are in compliance with program guidance.

Attachment A:

Operation Stonegarden

Daily Activity Report

Date Information

Date of Activity

FY Funds Used

Select...

Agency Identifiers

Sector

Agency Type

Region/County

Agency Name

Operational Expenses

Overtime Hours

Miles Driven/Patrolled

Fuel Used (in Gallons)

Equipment on Order

Labor Cost

Mileage Cost

Fuel Cost

Equipment Cost

Total Cost

Operational Activity

Narcotics Seizures

Cash Seizures

Weapons Seizures

Vehicle Seizures

Misdemeanor Arrests

Felony Arrests

Outstanding Warrants

Citations Issued

Specialty Equipment

Subjects TOT BP

Cases TOT BP

Criminal Aliens TOT BP

Vehicle Stops

Intel Reports

***Click the orange arrows below to add details about seizures and arrests.

Specialty Equipment Usage

Surveillance Tower

Mobile Command Center

Marine Patrol Asset

Aviation Asset

Armored Vehicle

Other Spec. Equipment

Narcotic Seizure Details

Type	Weight	Report Number	Location	Comments
Select...				

Currency Seizure Details

Amount	Report Number	Location	Comments

Vehicle Seizure Details

Make/Model	Estimated Value	Location	Comments

Weapon/Ammunition Seizure Details

Weapon Type	Amount Seized	Report Number	Location	Comments

Specialty Equipment Usage Details

Specialty Equipment	Report Number	Location	Comments

Significant Arrest Details

Name	Date of Birth	Report Number	Location	Comments

Intelligence Summary

Category	Report Number	Location	Summary
Select...			

Authorizing Officer **Date of Report**

V. Definitions

Integrated Planning Team: The IPT will consist of the awarding State Administrative Agency, local, and tribal OPSG stakeholders within their Border Patrol sector area and U.S. Border Patrol representatives, but may include other area Federal law enforcement

agencies if deemed necessary by the Chief Patrol Agent. The Integrated Planning Team will be used for all aspects of OPSG application, planning, and de-briefings.
Area of Interest: A specific area, areas, or facilities known to be used by transnational criminal organizations in furtherance of their criminal activity.

Campaign Plan: A series of related law enforcement operations aimed at accomplishing a strategic or operational objective within a given time and space.

Concept of Operations: A written statement that clearly and concisely expresses what the State, local or tribal commander intends to accomplish and how it will be done using available resources (and funding).

Operational Cycle: A deliberate on-going cycle of command, staff, and unit activities intended to synchronize current and future operations (driven by current intelligence and short-term goals that support the campaign).

Operational Discipline: The organized manner in which an organization plans, coordinates, and executes the OPSG mission with common objectives toward a particular outcome.

Performance Measure: A numerical expression that quantitatively conveys how well the organization is doing against an associated performance goal, objective, or standard.

Tactical Operational Period: An operational segment that meets the following six criteria: 1) specified beginning and ending dates; 2) begins with pre-planning; 3) is intelligence driven; 4) uses targeted enforcement techniques; 5) has clearly stated objectives; and 6) concludes with an after-action meeting.

Targeted Enforcement: The leveraging of all available assets against a specific action, area, individual, or organization and using those deemed most appropriate to mitigate risk.

Target of Interest: A specific person, group of persons, or conveyance known to be part of, or used by transnational criminal organizations to advance their criminal activity.

Threat: Information expressing intent to conduct illegal activity often derived from intelligence sources, the overall context, a specific event or series of events, or observation of suspicious activity.

Vulnerability: The protective measures in place are less than the protective measures needed to mitigate risk.

Unity of Effort: Coordination and cooperation among all organizational elements, even though they may not be part of the same “command” structure, to achieve a success.