

The top of the page features a blue-tinted image of the American flag on the left and a bald eagle in flight on the right, set against a dark blue background.

U.S. DEPARTMENT OF HOMELAND SECURITY

# **FY 2007 Homeland Security Grant Program**

*Program Guidance and Application Kit*

**January 2007**



OFFICE OF GRANTS AND TRAINING

## Highlights and Updates

The Fiscal Year (FY) 2007 Homeland Security Grant Program (HSGP) contains significant improvements based upon extensive outreach to FY 2006 HSGP participants and stakeholders. In addition, the risk evaluation that forms the basis for eligibility under the HSGP has been simplified, refined, and considerably strengthened.

Funding priorities for this year continue and further refine our primary commitment to risk-based funding. We also continue to deepen our commitment to assisting with regional planning and security coordination. In response to requests from our Urban Areas Security Initiative partners, this year's program includes a pilot test that gives the highest risk metropolitan areas additional flexibility in using their grant funds under that program.

All potential applicants will have more time this year to complete the application process. The Department of Homeland Security (DHS) has also created multiple opportunities for applicants to have consultations with the Department's grant program and subject matter experts prior to final review of applications.

This year's HSGP grants strengthen DHS's ability to protect from inappropriate public release of security- and business-sensitive information that will be provided with grant applications. To increase program flexibility, the period for performance under HSGP grants has been extended from 24 to 36 months. New federal legislation requires compliance with federal energy policy laws and certain other administrative requirements.

All FY 2007 HSGP applicants will be required to submit an investment justification that provides background information, strategic objectives and priorities addressed, their funding/implementation plan, and the impact that each proposed investment (project) is anticipated to have.

All applicants are required to read and conform to all requirements of this grant guidance document and must have read and accepted all program guidance as binding.

# Contents

Highlights and Updates.....	ii
<b>I. Introduction .....</b>	<b>1</b>
<b>II. Eligible Applicants and Funding Availability.....</b>	<b>8</b>
A. Allocations Based on Risk and Anticipated Effectiveness.....	8
B. Eligible Applicants .....	9
C. Funding Availability .....	9
<b>III. Program and Application Requirements.....</b>	<b>14</b>
A. Period of Performance .....	14
B. Application Process .....	14
C. Required FY 2007 HSGP Application Submissions.....	14
D. Application Evaluation.....	22
E. Allowable Costs Guidance.....	23
F. Unallowable Costs Guidance .....	39
G. Pass-Through Requirements.....	39
H. Technology Requirements.....	41
I. Administrative Requirements.....	41
<b>IV. State Homeland Security Program .....</b>	<b>44</b>
A. Program Overview.....	44
B. Program Requirements.....	44
C. Authorized Program Expenditures .....	44
<b>V. Urban Areas Security Initiative .....</b>	<b>47</b>
A. Program Overview.....	47
B. Program Requirements.....	47
C. Authorized Program Expenditures .....	50
<b>VI. Law Enforcement Terrorism Prevention Program .....</b>	<b>52</b>
A. Program Overview.....	52
B. Program Requirements.....	52
C. Authorized Program Expenditures .....	53
<b>VII. Metropolitan Medical Response System.....</b>	<b>58</b>
A. Program Overview.....	58
B. Program Requirements.....	58
C. Authorized Program Expenditures .....	62
<b>VIII. Citizen Corps Program .....</b>	<b>65</b>
A. Program Overview.....	65
B. Program Requirements.....	65
C. Authorized Program Expenditures .....	66
<b>Appendix A – Authorized Program Expenditures .....</b>	<b>A-1</b>

**Appendix B – Award and Reporting Requirements ..... B-1**

- A. Grant Award and Obligation of Funds .....B-2**
- B. Drawdown and Expenditure of Funds .....B-3**
- C. Reporting Requirements.....B-5**
- D. Monitoring.....B-9**
- E. Grant Close-Out Process.....B-9**

**Appendix C – Relationship of Programs to Target Capabilities..... C-1**

**Appendix D – Assistance Resources and Support ..... D-1**

- A. Centralized Scheduling and Information Desk (CSID) Help Line ..... D-1**
- B. Office of Grant Operations (OGO)..... D-1**
- C. Homeland Security Preparedness Technical Assistance Program ..... D-1**
- D. Lessons Learned Information Sharing (LLIS) System ..... D-2**
- E. Equipment Purchase Assistance Program ..... D-2**
- F. GSA’s Cooperative Purchasing Program ..... D-2**
- G. Exercise Direct Support..... D-3**
- H. Protected Critical Infrastructure Information (PCII)..... D-4**
- I. Information Sharing Systems..... D-4**

**Appendix E – Acronyms .....E-1**

# I. Introduction

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

- State Homeland Security Program (SHSP)
- Urban Areas Security Initiative (UASI)
- Law Enforcement Terrorism Prevention Program (LETPP)
- Metropolitan Medical Response System (MMRS)
- Citizen Corps Program (CCP).

The HSGP is one tool among a comprehensive set of measures authorized by Congress and implemented by the Administration to help strengthen the nation against risks associated with potential terrorist attacks.

The purpose of this package is to provide: (1) an overview of the HSGP; and (2) the formal grant guidance and application materials needed to apply for funding under the program. Also included is an explanation of DHS management requirements for implementation of a successful application.

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

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

Table 1 provides a quick overview of the programs included in FY 2007 HSGP.

**Table 1 – FY 2007 Homeland Security Grant Program**

FY 2007 HSGP	Program Overview
<p><b>State Homeland Security Program (SHSP)</b></p>	<p>SHSP supports the implementation of State Homeland Security Strategies to address the identified planning, equipment, training, and exercise needs for acts of terrorism. In addition, SHSP supports the implementation of the National Preparedness Goal, the National Incident Management System (NIMS), and the National Response Plan (NRP).</p>

FY 2007 HSGP	Program Overview
<b>Urban Areas Security Initiative (UASI) Program</b>	UASI Program funds address the unique planning, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and assist them in building an enhanced and sustainable capacity to prevent, protect against, respond to, and recover from acts of terrorism.
<b>Law Enforcement Terrorism Prevention Program (LETPP)</b>	LETPP provides resources to law enforcement and public safety communities (working with their private partners) to support critical terrorism prevention activities, including: establishing / enhancing fusion centers and collaborating with non-law enforcement partners, other government agencies, and the private sector.
<b>Metropolitan Medical Response System (MMRS) Program</b>	MMRS funds support designated jurisdictions to further enhance and sustain a regionally integrated, systematic mass casualty incident preparedness program that enables a response during the first crucial hours of an incident. The program prepares jurisdictions for response to all-hazards mass casualty incidents, including CBRNE terrorism, epidemic disease outbreaks, natural disasters, and large-scale hazardous materials incidents.
<b>Citizen Corps Program (CCP)</b>	The Citizen Corps mission is to bring community and government leaders together to coordinate the involvement of community members in emergency preparedness, planning, mitigation, response, and recovery.

## A. Federal Investment Strategy.

The HSGP is an important part of the Administration’s larger, coordinated effort to strengthen homeland security preparedness. The HSGP implements objectives addressed in a series of post 9/11 laws, strategy documents, plans and Homeland Security Presidential Directives (HSPDs). Of particular significance are the National Preparedness Goal and its associated work products. The National Preparedness Goal is an all-hazards vision regarding the nation’s four core preparedness objectives: to prevent, protect, respond and recover from terrorist attacks and catastrophic natural disasters.

The National Preparedness Goal defines a vision of what to accomplish and a set of tools – including HSGP grant investments – to forge a unified national consensus about what to do and how to work together at the Federal, State, local, and tribal levels. Private sector participation is integral to the Goal’s success.<sup>1</sup> It outlines 15 scenarios of

<sup>1</sup> The National Preparedness Goal and its supporting documents were published in draft form in March 2005. After extensive stakeholder outreach, the final Goal documents are expected to be published very early in 2007. Applicants can find the existing draft Goal, available at: <http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm>.

terrorist attacks or national disasters that form the basis of much of the Federal exercise and training regime. In addition, it identifies some 37 critical target capabilities that DHS is making the focus of key investments with State, local and tribal partners.

DHS expects our State, local, and tribal partners – including recipients of HSGP grants – to be familiar with this federal preparedness architecture and to incorporate elements of this architecture into their planning, operations and investments. Our funding priorities outlined in this document reflect National Preparedness Goal priority investments.

## **B. Funding Priorities.**

The funding priorities for the FY 2007 HSGP reflect the Department's overall investment strategy, in which two priorities have been paramount: risk-based funding and regional security cooperation.

First, and based upon ongoing intelligence analysis, extensive security reviews and Congressional direction, DHS has once again focused the bulk of its available grant dollars on risk-based investment. Eligible applicants were identified using a comprehensive, empirically-grounded risk analysis model that is described below in the section regarding eligible recipients.

Second, DHS places a very high priority on ensuring that all HSGP applications reflect regional coordination and can show an investment strategy that institutionalizes regional security strategy integration. This priority is a core component in the Department's statewide grant programs and the Urban Area Security Initiative grants.

In addition to these two overarching priorities, the Department identifies the following

### **B.1 -- Measuring Progress in Achieving the National Preparedness Goal**

As part of the FY 2007 HSGP Investment Justifications, applicants will be asked to establish specific capability-based outcomes associated with proposed investments. Progress will be measured in accordance with the Target Capabilities List (TCL), State and Urban Area Homeland Security Strategies, and applicable national plans and strategies to provide concrete, measurable outcomes and milestones, while preserving the necessary flexibility to meet unique State and Urban Area operational requirements. Adopting this approach sets the conditions for compliance with HSPD-8 and congressionally-directed requirements for annual State preparedness reports in the 2007 Department of Homeland Security Appropriations Act (Sec. 652).

### **B.2 -- Integrating and Synchronizing Preparedness Programs and Activities**

The Goal, NIMS, NRP, National Infrastructure Protection Plan (NIPP), National Strategy for Transportation Security (NSTS), National Strategy for Maritime Security (NSMS), and the Implementation Plan for the National Strategy for Pandemic Influenza provide new structure and guidance to strengthen assistance program coordination from FY

2007 forward. Investment justifications will be expected to reflect integration and synchronization in support of the capabilities-generating preparedness cycle.

The FY 2007 HSGP re-emphasizes the importance of creating or utilizing existing governing bodies to act on this guidance and coordinate grant resources. Examples include: State Senior Advisory Committees,<sup>2</sup> Urban Area Working Groups, Area Maritime Security Committees, Citizen Corps Councils, and Metropolitan Medical Response System Steering Committees.

States should examine how they integrate preparedness activities across disciplines, agencies, and levels of government, including local units of government.<sup>3</sup> In FY 2007, States must implement a cohesive planning framework that builds and implements homeland security initiatives that leverage DHS resources, as well as other Federal and State resources. Specific attention should be paid to how all available preparedness funding sources can be effectively utilized in a collaborative manner to support the enhancement of capabilities throughout the State. In addition, applicants are encouraged to consider opportunities for proposing investments that involve multiple States or Urban Areas in support of enhanced regional collaboration.

DHS and the U.S. Department of Health and Human Services (HHS) established a Joint Grant Program Steering Committee to facilitate the integration of preparedness activities across State and local preparedness programs managed by both Departments. DHS and HHS will work with State and local applicants to support and, where possible, integrate preparedness activities regarding programs managed by both Departments.

### **B.3 -- Build and Sustain a Statewide Critical Infrastructure/Key Resource (CI/KR) Protection Program**

The NIPP Base Plan provides guidance to assist States in building and sustaining a statewide CI/KR protection program. In accordance with the NIPP risk management

<sup>2</sup> The membership of the Senior Advisory Committee must, at a minimum, include the following State officials directly responsible for the administration of G&T grants and Centers for Disease Control and Prevention (CDC) and Health Resources and Services Administration (HRSA) cooperative agreements: the State Administrative Agency (SAA), HRSA Bioterrorism Hospital Preparedness Program Coordinator, and CDC Public Health Emergency Preparedness Program Director. In addition, program representatives from the following entities should be members of the committee: State Homeland Security Advisor (if this role is not also the SAA); State Emergency Management Agency Director; State Public Health Officer; State Public Safety Officer (and SAA for Justice Assistance Grants, if different); State Court Official; State EMS Director; State Trauma System Manager; State Citizen Corps POC; Urban Area POC; United States Coast Guard Area Command or Captain of the Port; Senior Members of the Regional Transit Security Working Group; Senior Security Officials from Major Transportation Systems; and the Adjutant General.

<sup>3</sup> As defined in the Conference Report accompanying the DHS Appropriations Act of 2007, the term "local unit of government" means "any county, city, village, town, district, borough, parish, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized Tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State."



framework and initial benchmarks identified in the FY 2006 HSGP, in FY 2007 State governments must develop and implement a statewide/regional CI/KR protection program as a component of their overarching homeland security program, as well as the necessary processes to implement the NIPP risk management framework at the State and/or regional level, including Urban Areas. More information can be found at [http://www.dhs.gov/dhspublic/interweb/assetlibrary/NIPP\\_Plan.pdf](http://www.dhs.gov/dhspublic/interweb/assetlibrary/NIPP_Plan.pdf).

Of particular concern within the context of infrastructure protection are improvised explosive devices (IEDs), which pose a threat to critical infrastructure across the nation, including, but not limited to, transit systems, shopping malls, stadiums, ports, and intercity bus systems. HSGP and IPP stakeholders should seek to enhance their capabilities to address risks associated with IEDs as a core component of their overall infrastructure protection efforts.

State and Urban Areas are encouraged to develop investments that improve transportation infrastructure security and resiliency, and contribute to addressing areas of increased planning emphasis by leveraging multiple funding sources, including HSGP, the Buffer Zone Protection Program, and the Transit Security Grant Program.

#### **B.4 -- Enable Information/Intelligence Fusion**

States and localities must establish the means to gather, analyze, disseminate, and use terrorism information, homeland security information, and law enforcement information relating to terrorism in support of the *Information Sharing Environment Implementation Plan* prepared by the Program Manager, Information Sharing Environment (November 2006).

Ensuring access to the following information sources is key to the fusion process:

- DHS Homeland Security Information Network (HSIN), to strengthen the real-time collaborative flow of threat information among homeland security partners
- Department of Justice (DOJ) Law Enforcement Information Sharing Program, which provides exchange services that enhance the information sharing capabilities of DOJ and its Federal, State and local partners
- Joint Terrorism Task Forces (JTTF) led by the Federal Bureau of Investigation (FBI), which enhance communication, coordination, and cooperation among agencies at all levels of government representing intelligence, law enforcement, defense, diplomatic, public safety, and homeland security disciplines by providing a point of fusion for terrorism intelligence
- Anti-Terrorism Advisory Councils (ATAC), which facilitate information sharing among law enforcement organizations at all levels of government and are led by the U.S. Attorney's Office

In establishing these capabilities, fusion centers should achieve a diversified representation of personnel based on their specific needs and functions. HSGP and Infrastructure Protection Program (IPP) stakeholders are encouraged to support the

fusion process in accordance with the Global Fusion Center Guidelines, which can be accessed at [http://it.ojp.gov/documents/fusion\\_center\\_guidelines.pdf](http://it.ojp.gov/documents/fusion_center_guidelines.pdf).

More information on the fusion process is available in Chapter VI on LETPP.

### **B.5 -- Enhance Statewide Communications Interoperability**

Previous grant cycles required interoperability planning and exercises to enhance jurisdictional capabilities to share critical voice information in tactical settings with other jurisdictions during day-to-day operations and major incidents. Beginning in early 2005, seventy-five urban/metropolitan areas worked closely with DHS technical assistance teams to develop Tactical Interoperable Communications Plan (TICP) and validate it in an exercise. As a result of these efforts, the Department provided each urban/metropolitan area with a Tactical Interoperable Communications Scorecard that includes specific recommendations for improving interoperable communication capabilities. The Department expects applicants to use these recommendations to target their FY 2007 investment justifications.

Building on previous guidance requirements for urban areas, and in support of the Secretary's goal for all States to implement interoperability capabilities by the end of 2008, the FY 2007 HSGP requires States to develop and adopt statewide communications interoperability plans by the end of calendar year (CY) 2007. States should work with their designated multi-jurisdictional metropolitan areas to incorporate existing TICPs into this statewide plan. Interoperability must be incorporated in statewide plans by addressing the core SAFECOM Continuum elements that were included in urban area plans: governance, standard operating procedures, technology, training and exercises, and usage of equipment. The State plans should also address communications interoperability with the safety and security elements of the major transit systems, intercity bus service providers, ports, and passenger rail operations within their jurisdictions.

Additional information on interoperable communications is included in the SAFECOM Grant Guidance for Emergency Response Communications and Interoperability, FY 2007, and can be found on:

<http://www.safecomprogram.gov/SAFECOM/grant/default.htm>.

### **B.6 -- Strengthen Preventive Radiological/Nuclear Detection Capabilities**

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

[http://www.ojp.usdoj.gov/odp/grants\\_hsgp.htm](http://www.ojp.usdoj.gov/odp/grants_hsgp.htm).

## B.7 -- Enhance Catastrophic Planning to Address Nationwide Plan Review Results

This focus area addresses the need for enhanced catastrophic planning and lessons from the 2006 Nationwide Plan Review (NPR). States and Urban Areas participating in the NPR received peer reviews of their Emergency Operations Plan (EOP) that identified required improvements or revisions.

In support of enhanced catastrophic planning activities, States and Urban Areas must ensure and test the feasibility and adequacy of plans and procedures in the areas identified in the Review that require increased emphasis: Evacuation Planning; Citizen Preparedness and Special Needs Population<sup>4</sup> Planning Requirements; Logistics and Resource Management; Continuity of Operations (COOP) / Government (COG), and Recovery Planning.

States and Urban Areas are strongly encouraged to consider how transit systems, intercity bus service providers, port infrastructure, and passenger rail can play a role in these activities. These efforts should be undertaken based on and tailored to address the specific risks faced by each State and Urban Area. Specific lessons, recommendations, and tools can be found in the:

More information can be found at:

- DHS *Nationwide Plan Review (NPR) Phase 2 Report* at <https://www.llis.dhs.gov/member/secure/DynamicPage.cfm?pageTitle=NationwidePlanReview>
- *Areas of Special Focus* (Pgs. 41-57 in the Phase 2 Report) available at: [https://www.llis.dhs.gov/member/secure/detail.cfm?content\\_id=17255](https://www.llis.dhs.gov/member/secure/detail.cfm?content_id=17255)
- Department of Justice's *An ADA Guide for Local Governments: Making Community Emergency Preparedness and Response Programs Accessible to People with Disabilities* available at: <http://www.ada.gov/emergencyprep.htm>
- U.S. Department of Transportation's (DOT) *Catastrophic Hurricane Evacuation Plan Evaluation: A Report to Congress* at [https://www.llis.dhs.gov/member/secure/detail.cfm?content\\_id=17100](https://www.llis.dhs.gov/member/secure/detail.cfm?content_id=17100)
- *The Federal Response to Hurricane Katrina: Lessons Learned* at [https://www.llis.dhs.gov/member/secure/detail.cfm?content\\_id=15644](https://www.llis.dhs.gov/member/secure/detail.cfm?content_id=15644)

---

<sup>4</sup> For the purposes of this document, special needs populations include individuals with various disabilities, individuals with medical conditions, older individuals, individuals from diverse cultural and linguistic backgrounds, and individuals living in poverty.

## II. Eligible Applicants and Funding Availability

### A. Allocations Based on Risk and Anticipated Effectiveness

The FY 2007 Homeland Security Appropriations Act directed DHS to administer the HSGP in a manner consistent with the FY 2006 HSGP practice. Consequently, G&T will allocate SHSP, LETPP, and UASI funds based on risk and anticipated effectiveness, with a minimum allocation to States under SHSP and LETPP.

For SHSP, UASI, and LETPP, G&T will combine analysis on risk and anticipated effectiveness to finalize the allocations. Each applicant's final funding allocation will be determined using a combination the results of the risk and effectiveness analysis, with approximately a two-thirds weight applied to risk and approximately a one-third weight applied to effectiveness. This weighting further reinforces DHS' commitment to a risk-based approach to national preparedness. Although MMRS and CCP funds will be accounted for in the Investment Justification, these funds will be allocated on a formula basis identical to FY 2006.

#### A.1 -- Risk

Risk will be evaluated at the Federal level using a risk analysis model developed by DHS in conjunction with other Federal entities. Risk is defined as the product of three principal variables:

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

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

#### A.2 -- Anticipated Effectiveness

Applicants must submit a justification for investments (Investment Justification) that documents how initiatives support the Goal, relevant State or Urban Area Homeland Security Strategy, and Enhancement Plan. Investment Justifications must include all HSGP funding, including all UASI funding, any minimum allocations for SHSP and LETPP, and all formula allocations under MMRS and CCP. Applications will be

evaluated based on the anticipated effectiveness of an applicant's plan to address priorities outlined by the applicant, this Guidance, and the Goal, and thereby reduce overall risk. Additional details, including scoring criteria, can be found in Chapter III under Required FY 2007 HSGP Application Submissions and in the Investment Justification Reference Manual.

All Investment Justifications will be formally reviewed and scored through a peer review process that builds on the FY 2006 effort. In addition, G&T will provide additional assistance during the application period to States and Urban Areas in developing their Investment Justifications. Applicants will have the opportunity to provide drafts to G&T prior to the submission deadline for a mid-term review. This review will focus on administrative issues to ensure that the draft submissions align with the requirements outlined in the Investment Justification Reference Manual.

## **B. Eligible Applicants**

The Governor of each State has designated a State Administrative Agency (SAA) to apply for and administer the funds under HSGP. The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and other designated recipients.<sup>5</sup>

### **B.1 -- NIMS Compliance**

To be eligible to receive FY 2007 Federal preparedness funding assistance, applicants must meet NIMS compliance requirements. State, Territory, Tribal, and local governments are considered to be in full NIMS compliance if they have adopted and/or implemented the FY 2005 and FY 2006 compliance activities. Adoption and/or implementation has been self-certified each year by the Governor's office for each State and Territory, which includes Tribal and local governments. Additional information on achieving compliance is available through the NIMS Integration Center (NIC) at <http://www.fema.gov/emergency/nims/>.

## **C. Funding Availability**

For planning purposes, applicants should assume that the total amount of FY 2007 HSGP funding for States, Territories, and Urban Areas will not exceed twice the historical average percentage of HSGP program funds received annually from FY 2003 through FY 2006. For further information, the SAA should coordinate with its respective Preparedness Officer.

---

<sup>5</sup> As defined in the Conference Report accompanying the Department of Homeland Security Appropriations Act of 2006, the term "local unit of government" means "any county, city, village, town, district, borough, parish, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized Tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State."

**C.1 -- FY 2007 SHSP and LETPP Allocations**

SHSP and LETPP funds will be allocated based on the analyses of risk and anticipated effectiveness. Each State will receive a minimum allocation under SHSP and LETPP using the USA PATRIOT Act formula. All 50 States, the District of Columbia, and Puerto Rico will receive 0.75 percent of the total allocation for those programs. Four Territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.25 percent of the total for SHSP and LETPP.

**C.2 -- FY 2007 UASI Allocations**

FY 2007 UASI funds will be allocated based on risk and anticipated effectiveness upon completion of the application review process. The 45 candidates are eligible to apply for funding under the UASI program. The eligible candidates have been grouped into two tiers according to relative risk. Tier I includes the six highest risk areas; Tier II includes the other 39 candidate areas. The tier approach was employed to allow applicants with a similar level of risk to compete for funding on a level playing field.

**Table 2 – UASI Jurisdictions**

<b>FY 2007 Tier I Urban Areas</b> <i>6 Urban Areas, \$410,795,000 allocated</i>	
Bay Area (CA) Chicago Area (IL) Houston Area (TX) Los Angeles/Long Beach Area (CA) National Capital Region (DC) New York City/Northern New Jersey Area (Includes New York City Area and Jersey City/Newark Area)	
<b>FY 2007 Tier II Urban Areas</b> <i>39 Urban Areas, \$336,105,000 allocated</i>	
Anaheim/Santa Ana Area (CA) Atlanta Area (GA) Baltimore Area (MD) Boston Area (MA) Buffalo Area (NY) Charlotte Area (NC) Cincinnati Area (OH) Cleveland Area (OH) Columbus Area (OH) Dallas/Fort Worth/Arlington Area (TX) Denver Area (CO) Detroit Area (MI) El Paso Area (TX) Fort Lauderdale Area (FL) Honolulu Area (HI) Indianapolis Area (IN) Jacksonville Area (FL) Kansas City Area (MO) Las Vegas Area (NV) Memphis Area (TN)	Miami Area (FL) Milwaukee Area (WI) New Orleans Area (LA) Norfolk Area (VA) Oklahoma City Area (OK) Orlando Area (FL) Philadelphia Area (PA) Phoenix Area (AZ) Pittsburgh Area (PA) Portland Area (OR) Providence Area (RI) Sacramento Area (CA) San Antonio Area (TX) San Diego Area (CA) Seattle Area (WA) St. Louis Area (MO) Tampa Area (FL) Tucson Area (AZ) Twin Cities Area (MN)

**C.3 -- FY 2007 MMRS Allocations**

FY 2007 MMRS funding will be divided evenly among the 124 MMRS jurisdictions listed in Table 3.

**Table 3 – MMRS Allocations**

<b>State</b>	<b>MMRS Jurisdiction</b>	<b>FY 2007</b>
Alabama	Birmingham, Huntsville, Mobile, and Montgomery	\$1,032,581
Alaska	Anchorage and Southeast Alaska	\$516,290
Arizona	Glendale, Mesa, Phoenix, and Tucson	\$1,032,581
Arkansas	Little Rock	\$258,145
California	Los Angeles, San Francisco, San Diego, San Jose, Long Beach, Oakland, Sacramento, Fresno, Santa Ana, Anaheim, Riverside, Glendale, Huntington Beach, Stockton, Bakersfield, Fremont, Modesto, and San Bernardino	\$4,646,613
Colorado	Aurora, Colorado Springs, and Denver	\$774,435
Connecticut	Hartford	\$258,145
Florida	Miami, Jacksonville, Tampa, St. Petersburg, Hialeah, Ft. Lauderdale, and Orlando	\$1,807,016
Georgia	Atlanta and Columbus	\$516,290
Hawaii	Honolulu	\$258,145
Illinois	Chicago	\$258,145
Indiana	Ft. Wayne and Indianapolis	\$516,290
Iowa	Des Moines	\$258,145
Kansas	Kansas City and Wichita	\$516,290
Kentucky	Lexington/Fayette and Louisville	\$516,290
Louisiana	Baton Rouge, Jefferson Parish, New Orleans, and Shreveport	\$1,032,581
Maryland	Baltimore	\$258,145
Massachusetts	Boston, Springfield, and Worcester	\$774,435
Michigan	Detroit, Grand Rapids, and Warren	\$774,435
Minnesota	Minneapolis and St. Paul	\$516,290
Mississippi	Jackson	\$258,145
Missouri	Kansas City and St. Louis	\$516,290
Nebraska	Lincoln and Omaha	\$516,290
Nevada	Las Vegas	\$258,145
New Hampshire	Northern New England MMRS	\$258,145
New Jersey	Jersey City and Newark	\$516,290
New Mexico	Albuquerque	\$258,145
New York	Buffalo, New York City, Rochester, Syracuse, and Yonkers	\$1,290,726
North Carolina	Charlotte, Greensboro, and Raleigh	\$774,435
Ohio	Akron, Cincinnati, Cleveland, Columbus, Dayton, and Toledo	\$1,548,871
Oklahoma	Oklahoma City and Tulsa	\$516,290
Oregon	Portland	\$258,145
Pennsylvania	Allegheny County and Philadelphia	\$516,290
Rhode Island	Providence	\$258,145
South Carolina	Columbia	\$258,145

State	MMRS Jurisdiction	FY 2007
Tennessee	Chattanooga, Knoxville, Memphis, and Nashville	\$1,032,581
Texas	Amarillo, Arlington, Austin, Corpus Christi, Dallas, El Paso, Fort Worth, Garland, Houston, Irving, Lubbock, San Antonio, and Southern Rio Grande	\$3,355,887
Utah	Salt Lake City	\$258,145
Virginia	Arlington County, Chesapeake, Newport News, Norfolk, Richmond, and Virginia Beach	\$1,548,871
Washington	Seattle, Spokane, and Tacoma	\$774,435
Wisconsin	Madison and Milwaukee	\$516,290
<b>Total</b>		<b>\$32,010,000</b>

**C.4 – FY 2007 CCP Allocations**

CCP allocations are determined using the USA PATRIOT Act formula. All 50 States, the District of Columbia, and Puerto Rico will receive a minimum amount of 0.75 percent of the total available grant funding. Four Territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum amount of 0.25 percent of the total available grant funding. The balance of CCP funds are distributed on a population-share basis. In addition to CCP allocations, States and Urban Areas are encouraged to fully leverage all HSGP resources to accomplish the Citizen Corps mission.

**Table 6 – CCP Allocations**

State	FY 2007
Alabama	\$241,443
Alaska	\$128,392
American Samoa	\$38,038
Arizona	\$281,549
Arkansas	\$189,807
California	\$1,158,080
Colorado	\$244,560
Connecticut	\$211,033
Delaware	\$133,613
District of Columbia	\$125,107
Florida	\$625,584
Georgia	\$372,512
Guam	\$40,869
Hawaii	\$146,145
Idaho	\$150,613
Illinois	\$479,659
Indiana	\$291,207
Iowa	\$195,241
Kansas	\$188,806
Kentucky	\$230,283
Louisiana	\$240,451



<b>State</b>	<b>FY 2007</b>
Maine	\$147,490
Maryland	\$271,710
Massachusetts	\$294,887
Michigan	\$402,944
Minnesota	\$258,136
Mississippi	\$193,927
Missouri	\$277,514
Montana	\$136,289
Nebraska	\$160,184
Nevada	\$179,229
New Hampshire	\$147,154
New Jersey	\$362,216
New Mexico	\$165,108
New York	\$668,107
North Carolina	\$361,209
North Dakota	\$127,608
Northern Mariana Islands	\$38,385
Ohio	\$441,938
Oklahoma	\$212,124
Oregon	\$214,829
Pennsylvania	\$469,970
Puerto Rico	\$222,696
Rhode Island	\$140,368
South Carolina	\$232,655
South Dakota	\$131,651
Tennessee	\$282,236
Texas	\$772,774
Utah	\$180,820
Vermont	\$127,213
Virgin Islands	\$39,528
Virginia	\$328,817
Washington	\$291,665
West Virginia	\$161,870
Wisconsin	\$269,847
Wyoming	\$123,910
<b>Total</b>	<b>\$14,550,000</b>

### III. Program and Application Requirements

#### A. Period of Performance

The period of performance for all programs within HSGP is **36 months** from the date of award. Any unobligated funds will be deobligated by G&T at the end of this period. Extensions to the period of performance will be considered on a case-by-case basis only through formal written requests to G&T with a thorough justification that includes detailed reasons for the request (e.g., equipment vendor delays, lengthy procurement processes) and demonstrates a clear need for an extension beyond 36 months.

#### B. Application Process

DHS is participating in the e-Government initiative (one of eight initiatives included in the President's Management Agenda). Grants.gov, part of this initiative, is a "storefront" that provides a unified process for all customers of Federal grants to find funding opportunities and apply for funding. SAAs **must apply** for FY 2007 HSGP funding through the online Grants.gov system through the Authorized Organization Representative (AOR) to ensure a successful submission. If applicants have previously used Grants.gov, the same account may be used for FY 2007 HSGP. **Completed Applications must be submitted to Grants.gov no later than 11:59 p.m. Eastern Standard Time, April 5, 2007.** Please note the Grants.gov technical support hours are Monday-Friday, 7 a.m. to 9 p.m., Eastern Standard Time. For more detail, see <http://www.grants.gov/contactus/contactus.jsp>.

#### C. Required FY 2007 HSGP Application Submissions

Applicants must complete the following for the FY 2007 HSGP application:

***Note: In addition to these general requirements, applicants should review the relevant program-specific sections of this Guidance for additional requirements that may apply.***

##### C.1 -- Valid Central Contractor Registry (CCR) Registration

The HSGP application process also involves an updated and current registration by the SAA and the SAA Business Point of Contact through CCR. **Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for FY 2007 HSGP funding through Grants.gov at <http://www.grants.gov>.** States that have not previously submitted an application through Grants.gov are strongly encouraged to initiate the registration process as soon as possible. Instructions are available on the Grants.gov website ([www.grants.gov](http://www.grants.gov)).

## C.2 -- DUNS Number

The SAA must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number with the FY 2007 HSGP application. This number is a required field within Grants.gov and for CCR Registration. Organizations should verify that they have a DUNS number or take the steps necessary to obtain one as soon as possible. (Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-800-333-0505).

## C.3 -- Grants.gov Online Application and Requirements

The on-line application must be completed and submitted using Grants.gov after CCR registration is confirmed. The on-line application includes the following required forms and submissions:

- Standard Form 424, Application for Federal Assistance
- Standard Form LLL, Disclosure of Lobbying Activities
- Standard Form 424B, Assurances
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters
- Any additional Required Attachments
- Standard Form 424A, Budget Information

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

- **Non-Supplanting Certification:** This certification affirms that these grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review, as well as in the pre-award review, post-award monitoring, and any potential audits. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.
- **Assurances:** Assurances forms (SF-424B and SF-424D) can be accessed at <http://apply.grants.gov/agency/FormLinks?family=7>. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.

- **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:** This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 28 CFR part 67, *Government-wide Debarment and Suspension (Non-procurement)*; 28 CFR part 69, *New Restrictions on Lobbying*; and 28 CFR part 83, *Government-wide Requirements for Drug-Free Workplace (Grants)*. All of these can be referenced at: [http://www.access.gpo.gov/nara/cfr/waisidx\\_04/28cfrv2\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html).

The certification will be treated as a material representation of fact on which DHS will rely in awarding grants.

#### C.4 -- For identified UASI Urban Areas (if applicable):

- **Identify Points of Contact:** For new Urban Areas, the SAA must designate a specific point of contact (POC) to work with G&T and the designated Urban Area on implementation of the FY 2007 UASI. The SAA POCs are then responsible for identifying and coordinating with the POC from the Urban Area Working Group. This information must be provided to G&T along with the grant application. Existing Urban Areas must ensure that information for current POCs is on file with G&T.
- **Define the Urban Area:** For new Urban Areas, the SAA POC, in coordination with the candidate Urban Areas, as outlined in Chapter V, UASI Program Guidance, must fully define the Urban Area, as it will apply to FY 2007 UASI. The identified city or combined entity represents the candidate Urban Area eligible to apply for funding under the FY 2007 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 with which jurisdictions in that area have established formal mutual aid agreements. States may request a waiver for this limitation for regions previously established by Executive Order, law or compact. For the purposes of the FY 2007 UASI, 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 Urban Area Working Group (UAWG), the SAA POC may redefine the geographic boundaries of an existing Urban Area, as it will apply to the FY 2007 UASI Program. The SAA POC must notify G&T of this change.

- **Establish the Urban Area Working Group (UAWG):** Membership in the UAWG must provide either direct or indirect representation for all the jurisdictions that comprise the defined Urban Area. The SAA POC must determine appropriate representation for that geographic area to serve on the UAWG, including local MMRS and Citizen Corps Council representatives. Furthermore, where there is a Regional Transit Security Working Group or an Area Maritime

Security Committee active within the geographical area, the UAWG should include them as functional sub-committees to their organization. G&T strongly encourages that, wherever possible, previously established local working groups be leveraged for this purpose. An overview of the UAWG structure and a list of members and their associated jurisdictions must be provided to G&T along with the grant application. New Urban Areas must provide to G&T an overview of the UAWG structure, a list of members, and their associated jurisdictions along with the grant application. Existing Urban Areas must notify G&T of any updates to the UAWG structure or membership.

### C.5 -- Single Point of Contact (SPOC) Review

Executive Order 12372, located at <http://www.archives.gov/federal-register/codification/executive-order/12372.html>, requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State SPOC, if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC or the reason such submission is not required should be provided.

### C.6 -- Program and Capability Enhancement Plan

All States and Territories were required to create a Program and Capability Enhancement Plan as a result of their Program and Capability Review<sup>6</sup>, and submit the Enhancement Plan<sup>7</sup> as part of their FY 2006 HSGP application. The Enhancement Plan is intended to serve as an enterprise-wide program management plan for the State homeland security program, looking globally at the prioritized needs of the State homeland security program across all Urban Areas, jurisdictions, and disciplines.

While States and Territories may choose to update their Enhancement Plan for their FY 2007 HSGP application submission, **an update is not required for the FY 2007 HSGP application submission. However, States and Territories must clearly indicate in their submissions that the current plan remains valid if an update is not provided.** G&T will use the most recent version of the State Enhancement Plan on file at the time applications are received, whether it is the FY 2006 submission or an update for FY 2007.

The Enhancement Plan should be reflective of all statewide homeland security priorities, including those focused on Urban Areas. Thus, Urban Areas are not required to develop or submit a separate Enhancement Plan and should reference support to

<sup>6</sup> G&T released the initial guidance for conducting a Program and Capability Review on October 31, 2005, via the *State Homeland Security Program and Capability Review Guidebook Volume I*.

<sup>7</sup> States and Territories should still use the template disseminated on November 14, 2005, in the *State Homeland Security Program and Capability Review Guidebook Volume II: Enhancement Plan* to update their Enhancement Plans.

statewide Initiatives within their Investment Justifications. However, if an Urban Area elects to develop an Urban Area Enhancement Plan in addition to the State submission, it must demonstrate coordination with Initiatives in the State Enhancement Plan and include the Urban Area information as an appendix within the State submission. The consolidated Enhancement Plan, including both State and Urban Area information, must be submitted to DHS as a single attachment as part of the application process. Urban Area Investment Justifications must clearly support both State and Urban Area Enhancement Plan Initiatives.

Enhancement Plans will be used by the peer reviewers to provide context for the Investments outlined in State and Urban Area Investment Justifications. However, they will not be scored.

### C.7 -- Investment Justification

As in FY 2006, States, Territories, and Urban Areas will be required to submit Investment Justifications for FY 2007 HSGP requests. The Investment Justifications will be reviewed to determine the ***anticipated effectiveness*** component of the FY 2007 HSGP allocation decisions.

In the Investment Justification, States, Territories, and Urban Areas will outline which Initiatives identified in the Enhancement Plans they wish to support in whole or in part through FY 2007 HSGP funding. An Investment Justification template will be provided to facilitate the application submission process. States, Territories and Urban Areas are **required** to use the Investment Justification template in Microsoft Excel format for their FY 2007 Investment Justification submissions. Please see the Investment Justification Reference Manual for further guidance in completing the Investment Justification.

Investment Justifications must include all HSGP funding, including all UASI funding, any minimum allocations for SHSP and LETPP, and all formula allocations under MMRS and CCP. A maximum of 15 Investments may be submitted per State, Territory, and Urban Area. While States and Urban Areas will develop individual Investment Justifications, **the Urban Area Investments must be included as part of the overall State application.** States and Urban Areas are strongly encouraged to coordinate with each other to present an application that represents a collaborative, integrated approach, and to avoid duplication of efforts. Determinations of anticipated effectiveness will take into account the integration and synchronization of State and Urban Area submissions.

#### **Multi-State and Multi-Urban Area Investments**

States and Urban Areas may choose to submit multi-State or multi-Urban Area Investments as part of their application. (Multi-State Investments represent shared Investments between two or more States. Multi-Urban area Investments are shared Investments between two or more Urban Areas participating in the UASI program.) States or Urban Areas shall include proposed multi-State or multi-Urban Area activities as one (or more) of up to 15 Investments in their submission. Each participating State or Urban Area must outline the specific components of the multi-State or multi-Urban

Area Investment for which it would be responsible, and include that Investment in its own submission. States and Urban Areas must note in the Investment Heading section of the Investment Justification template that a proposed Investment is multi-State or multi-Urban Area and specify the other States or Urban Areas involved in the Investment. Multi-State or Multi-Urban Area Investments should be consistent with their respective States' Enhancement Plans and describe the added value in enhancing preparedness provided by the proposed joint Investment.

Multi-State/multi-Urban Area Investments will be reviewed using the same criteria as other Investments outlined in Table 6. The review panel will also consider additional criteria specific to multi-State or multi-Urban Area Investments (included in the table). Multi-State/multi-Urban Area Investments will be reviewed by a separate peer review panel, which may provide a bonus to the applicants' effectiveness score. Applicants who propose one multi-State or multi-Urban Area Investment may receive up to a 5% bonus. Applicants who propose more than one multi-State or multi-Urban Area Investments may receive up to an 8% bonus. The peer review panel may also recommend funding amounts for the multi-State/multi-Urban Area Investments, which will be communicated with final award documentation. States and Urban Areas will be required to fund any multi-State or multi-Urban Area Investments that receive a bonus, although specific funding levels will not be mandated. For additional information, please see the Investment Justification Reference Guide.

Each Investment Justification will be reviewed for completeness, adherence to programmatic guidelines, feasibility, and how well the proposed solution addresses the identified need or capability shortfall. The Investment Justification will also be used to evaluate anticipated effectiveness in order to make funding decisions for the competitive-based component of HSGP. Anticipated effectiveness is evaluated based on the stated vision and the ability to execute the investment.

The following table outlines the Investment Justification sections and questions, as well as their scoring criteria and relative weights.

**Table 4 – Investment Justification Outline**

Question	Scoring Criteria
<b>OVERALL</b>	
<p><b>Overall Investment Justification Question:</b> Describe your understanding of the spectrum of terrorism and natural hazard risks your State/Territory/Urban Area faces. Explain how this understanding influenced development of this Investment Justification.</p>	<p>The information provided will be scored in terms of its contribution to setting context and relationship to other questions.</p>

Question	Scoring Criteria
<b>BASELINE</b>	
<p><b>Investment Heading:</b></p> <ul style="list-style-type: none"> <li>• State/Territory name</li> <li>• Urban Area name (if applicable)</li> <li>• Investment name</li> <li>• Total FY 2007 HSGP funding requested</li> <li>• Investment Phase – Ongoing or New</li> </ul>	<p>The information provided will be scored in terms of its contribution to setting context and relationship to other questions.</p>
<p><b>I.A. Baseline – FY 2006 Request Name and Funding:</b> If the Investment was included in the FY 2006 HSGP request, please provide the name of this Investment and the total amount of FY 2006 HSGP funding that was dedicated to this Investment, if any.</p>	<p>The information provided will be scored in terms of its contribution to setting context and relationship to other questions.</p>
<p><b>I.B. Baseline – Description:</b> Provide a summary description of the current state of this Investment, its objectives, and any outcomes that will be completed <u>prior</u> to the application of FY 2007 HSGP funds. Describe the capability gap(s) that this Investment is intended to address. Discuss why this Investment was selected over other options.</p>	<p>The information provided will be scored in terms of its contribution to setting context and relationship to other questions.</p>
<b>STRATEGY (15%)</b>	
<p><b>II.A. Strategy – Enhancement Plan:</b> Explain how this Investment supports Initiatives in the Program and Capability Enhancement Plan. Please reference relevant page numbers in the Enhancement Plan and confirm continued use of a FY 2006 Plan or an updated Plan.</p>	<ul style="list-style-type: none"> <li>• Response provides linkage between the Investment and Initiative from the Enhancement Plan</li> <li>• Response demonstrates how the Investment will contribute to reaching the Enhancement Plan Initiative</li> </ul>
<p><b>II.B. Strategy – Homeland Security Strategy goals and objectives:</b> Explain how this Investment supports the State/Territory/Urban Area Homeland Security Strategy goals and objectives.</p>	<ul style="list-style-type: none"> <li>• Response provides linkage between the Investment and Homeland Security Strategy goals and objectives</li> <li>• Response demonstrates how the Investment will support the Homeland Security Strategy goals and objectives</li> </ul>
<p><b>II.C. Strategy – Target Capabilities:</b> From the drop-down boxes, select one primary and up to four secondary Target Capabilities that this Investment supports. For the primary Target Capability selected, provide an explanation of how it is supported by this Investment.</p>	<ul style="list-style-type: none"> <li>• Explanation provides linkage between the Investment and primary Target Capability</li> <li>• Explanation demonstrates how the Investment will support the primary Target Capability</li> </ul>
<p><b>II.D. Strategy – National Priorities:</b> From the drop-down boxes, select the National Priority(ies) that this Investment supports; up to four may be selected.</p>	<p>The information provided will be scored in terms of its contribution to setting context and relationship to other questions.</p>



Question	Scoring Criteria
<b>FUNDING PLAN (10%)</b>	
<p><b>III.A. Funding Plan:</b> Provide the total estimated cost for the FY 2007 HSGP period of performance for this Investment by completing the following table:</p> <ul style="list-style-type: none"> <li>• Provide solution area costs (including personnel) for funding sources other than FY 2007 HSGP funds, identify the funding source</li> <li>• For each solution area that has an associated FY 2007 HSGP funds request, provide a brief summary of the planned expenditures (including personnel)</li> </ul>	<ul style="list-style-type: none"> <li>• Explanation references appropriate activities, services, or products for the solution area</li> <li>• Explanation describes how the funds will be used specifically towards this Investment</li> </ul>
<b>MILESTONES (10%)</b>	
<p><b>III.B. Milestones:</b> Provide specific milestones for the Investment over the FY 2007 HSGP period of performance, including a description and start and end dates for each milestone; up to 10 milestones may be provided.</p>	<ul style="list-style-type: none"> <li>• Each milestone provides a clear description of the milestone activities as well as start and end dates</li> <li>• Milestones collectively present a clear sequence of events that will allow the Investment to reach its objectives for this period of performance</li> </ul>
<b>PROJECT MANAGEMENT (25%)</b>	
<p><b>III.C. Project Management:</b> Describe the management team that is directly responsible for the implementation of this Investment. Specifically, describe any key Investment roles and responsibilities, structures, and subject matter expertise required by this Investment, including at least the project manager and the contracts management structure. An organizational chart may be included in the response.</p>	<ul style="list-style-type: none"> <li>• Response identifies and describes a project manager role, specifically referencing the responsibilities of the project manager position as well as the decision-making authority; if the project manager is the same as in other Investments, the response explains why this is appropriate</li> <li>• Response describes a contracts management structure</li> <li>• Response describes, at a high-level, the operational roles, responsibilities, and subject matter expertise required to manage the Investment</li> </ul>
<b>INVESTMENT CHALLENGES (5%)</b>	
<p><b>III.D. Investment Challenges:</b> List and describe up to five potential challenges to effective implementation of this Investment over the entire FY 2007 HSGP period of performance. For each identified challenge, provide a brief description of how the challenge will be mitigated, and indicate a probability of occurrence (high, medium, low), and level of impact should it occur (high, medium, low).</p>	<p>Response identifies the following:</p> <ul style="list-style-type: none"> <li>• Investment challenge(s)</li> <li>• Mitigation strategy for each challenge listed</li> <li>• Probability of occurrence</li> <li>• Level of impact should the challenge occur</li> </ul>

Question	Scoring Criteria
<b>IMPACT (35%)</b>	
<p><b>IV.A. Impact:</b> What outcomes will indicate that this Investment is successful at the end of the FY 2007 HSGP period of performance?</p>	<ul style="list-style-type: none"> <li>• Response describes specific outcomes that will determine the Investment's success, including what will be measured</li> <li>• Response includes specific outputs that lead to outcomes, including what will be measured</li> <li>• Response references performance measures and metrics from the TCL</li> <li>• Response describes how the outcomes will mitigate risks outlined in the Overall Investment Justification Question</li> </ul>
<p><b>IV.B. Sustainability:</b> What is the long-term approach to sustaining the capabilities developed by this Investment?</p>	<ul style="list-style-type: none"> <li>• Response describes how the capabilities developed by this Investment will be maintained/sustained long term, or</li> <li>• Response describes why the Investment will not be maintained/sustained long term</li> </ul>
<b>MULTI-STATE/MULTI-URBAN AREA INVESTMENTS (if applicable)</b>	
<p>While there are no specific questions regarding multi-State or multi-Urban Area collaboration, the determination of a bonus on the total effectiveness score, if any, will be based on a collective review of all related, proposed multi-State and multi-Urban Area Investments using the following criteria:</p> <ul style="list-style-type: none"> <li>• Are the capability gaps described in the <u>Baseline</u> responses relevant to each other? Do the descriptions indicate that multi-State/multi-Urban Area collaboration is needed to effectively close the capability gaps?</li> <li>• Are the Investments' <u>Strategy</u> responses consistent? Are the Investments supporting similar Initiatives in the Enhancement Plans? Are the Investments supporting similar State Homeland Security Strategy goals and objectives? Are the Investments supporting related Target Capabilities and National Priorities?</li> <li>• In the <u>Funding Plan</u>, is the amount of funds requested by each State/Urban Area consistent? Do the solution areas described address the same multi-State/multi-Urban Area solution?</li> <li>• Do the <u>Milestones</u> in each Investment include activities that are conducted across States/Urban Areas? Do the milestones across the multi-State/multi-Urban Area Investments align?</li> <li>• Do the <u>Project Management</u> plans consistently reference partner States/Urban Areas, describe how the partners will be organized, and indicate who will have decision authority and ownership of Investment outputs?</li> <li>• Do the <u>Investment Challenges</u> include challenges posed by coordinating across States/Urban Areas and their mitigation strategies?</li> <li>• Do the <u>Impact</u> responses describe multi-State/multi-Urban Area outputs, outcomes, and measures?</li> <li>• Do the <u>Sustainability</u> responses include a strategy for continuing multi-State/multi-Urban Area collaboration?</li> </ul>	

## D. Application Evaluation

G&T will evaluate and act on applications within 90 days of the submission deadline. The majority of SHSP and LETPP funds, and 100 percent of UASI funds, will be awarded based on risk and a peer reviewed evaluation of anticipated effectiveness. The analysis may reduce the amount of funding from that requested.

## E. Allowable Costs Guidance

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

### E.1 -- Planning

Planning activities are central to SHSP, UASI, LETPP, MMRS, and CCP. States and Urban Areas may use FY 2007 HSGP funds for planning efforts that enable States and Urban Areas to prioritize needs, build capabilities, update preparedness strategies, allocate resources, and deliver preparedness programs across disciplines (e.g., law enforcement, fire, EMS, public health, behavioral health, public works, agriculture, and information technology) and levels of government. Working through Citizen Corps Councils, all jurisdictions are encouraged to include non-governmental entities and the general public in planning and associated training and exercises.<sup>8</sup> Examples of allowable planning costs are addressed in each program's individual section.

In support of efforts by State and local governments to improve their preparedness programs, program evaluations are now allowable planning costs. In addition to financial audits and program monitoring, program evaluations help managers track progress and demonstrate performance by quantitatively measuring program results. The evaluation process can provide objective evidence of program performance and its effectiveness, demonstrating positive outcomes to funding sources and the community. Programs may use evaluation findings to justify continued funding and to attract new funding sources. A well-executed evaluation may point out areas in which the program can improve its operations.

Additional information on the program evaluation process and its value is available through the Center for Program Evaluation within the Bureau of Justice of Assistance at the U.S. Department of Justice. Reference materials can be accessed at <http://www.ojp.usdoj.gov/BJA/evaluation/index.html>.

FY 2007 HSGP requires a comprehensive program evaluation of State and local activities to be submitted to respective Governors between September 1 and October 1, 2007. States will work in consultation with their assigned G&T Preparedness Officer to develop program evaluation reporting requirements that align with existing State performance management guidelines and the State's planned use of FY 2007 HSGP funds.

### E.2 -- Organization (UASI and LETPP only)

States and Urban Areas may use FY 2007 UASI and LETPP funds to support select organization activities. States and Urban Areas must justify proposed expenditures of

<sup>8</sup> Non-governmental entities include the private sector and private non-profit, faith-based, community, volunteer and other non-governmental organizations.

UASI or LETPP funds to support organization activities within their Investment Justification submission by using historical data or other analysis.<sup>9</sup> No more than 25 percent of the gross amount of the allocation for these programs may be used for operational expenses and overtime costs for the three (3) operational activities noted below.

1. Operational overtime costs associated with increased security measures at critical infrastructure sites during DHS-declared periods of heightened alert.

In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism, costs eligible for reimbursement under this policy are those deemed allowable under previous Code Orange alerts. Subject to the conditions stated above, States and local governments may use FY 2007 UASI and LETPP funds for organizational costs 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 local emergency operations centers (EOCs) and/or fusion centers
- Hiring of contracted security for critical infrastructure sites
- Public safety overtime
- National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package
- Increased border security activities in coordination with U.S. Customs and Border Protection (CBP), as outlined in G&T Information Bulletin #135

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

**UASI:** Up to 10% of FY 2007 UASI funds may be used for operational overtime costs incurred in UASI jurisdictions during Code Yellow and higher alert levels. The remaining 15% may be used to support costs incurred during Code Orange and higher alert levels. Operational overtime costs incurred at National Special Security Events (NSSEs) in UASI jurisdictions, as designated by the Secretary of Homeland Security, are also allowed.

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

---

<sup>9</sup> The effectiveness of a request for the use of funds for allowable organizational costs will be judged on the Investment Justification to illustrate the need for such resources to effectively achieve a capability that will have a meaningful impact in the reduction of risk.

**Full-time Counterterrorism Staffing Pilot for FY 2007 UASI**

- As a pilot in FY 2007, Tier 1 UASI jurisdictions, identified in Chapter II, may use FY 2007 UASI funds to support non-overtime (or regular time) operational costs for existing positions that are currently assigned to full-time counterterrorism duties, including intergovernmental assignments. (Counterterrorism duties include such activities as intelligence gathering, information sharing, and surveillance.) Costs associated with newly hired personnel or regular time for personnel at all engaged in traditional public safety or non-counterterrorism duties in these jurisdictions are ineligible. Any Tier 1 jurisdiction electing to pursue this option must take the following actions:
  - Include a specific implementation plan for these counterterrorism activities as an Investment within the Urban Area's FY 2007 Investment Justification. This submission must clearly demonstrate how the proposed support for operational personnel would enhance prevention activities, what milestones would be achieved during the period of performance, what tangible outcomes would be achieved through these actions, and how assignment rotations among counterterrorism positions, if applicable, will be employed to improve understanding and collaboration among counterterrorism missions.
  - Submit documentation with the application from the jurisdiction's chief elected official that certifies in writing that funds being used under this provision are only maintaining existing personnel who are performing purely counterterrorism duties.
  - Develop and submit for review within 60 days of the grant award a detailed audit process to ensure that during that implementation no new personnel are being supported through the pilot; that supported personnel are involved only in counterterrorism activities; and that the objectives outlined in the Investment Justification are being fulfilled. Findings from these audit activities must be submitted to DHS for review on a semiannual basis.

DHS reserves the right to issue final approval for a jurisdiction's proposal. Grantees are encouraged to consider how this pilot effort can support implementation of specialized capabilities within transit systems. Furthermore, the above provisions represent a pilot effort for FY 2007 only. Results from this pilot process will determine whether similar provisions will be included in future fiscal years.

**LETPP:** Up to 25 percent of FY 2007 LETPP funds may be used for operational overtime costs incurred during Code Orange and above alerts. Costs associated with **border protection activities only** are also eligible at Code Yellow, provided that those activities are conducted in accordance with previous guidance issued in Information Bulletin #135. These activities must be coordinated with CBP.

1. Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security. This includes activities such as anti-terrorism task forces, JTTFs, Area Maritime Security Committees (as required by the Maritime Transportation Security Act of 2002), DHS Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams.
2. UASI and LETPP funds may be used to hire new staff and/or contractor positions to serve as intelligence analysts to enable information/intelligence sharing capabilities. In order to be hired as an intelligence analyst, staff and/or contractor personnel must meet at least one of the following criteria:
  - Successfully complete training to ensure baseline proficiency in *intelligence analysis and production* within six months of being hired; and/or,
  - Previously served as an intelligence analyst for a minimum of two years either in a Federal intelligence agency, the military, or State and/or local law enforcement intelligence unit.

Costs associated with hiring new intelligence analysts are allowable only for **two years**, after which States and Urban Areas shall be responsible for supporting the sustainment costs for those intelligence analysts.

The International Association of Law Enforcement Intelligence Analysts' (IALEIA) Educational Standard # 7 (page 14 of the *IALEIA Analytic Standards booklet*) provides standards on the categories of training needed for intelligence analysts.

A list of approved courses will be shared as soon as possible. ***A certificate of completion of such training must be on file with the SAA and must be made available to Preparedness Officers upon request.***

### E.3 -- Equipment

The 21 allowable equipment categories for FY 2007 HSGP are listed on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by G&T and the National Memorial Institute for the Prevention of Terrorism (MIPT) at <http://www.rkb.mipt.org>.

The AEL is housed on the RKB, with listings for the AEL and the Fall 2006 Standardized Equipment List (SEL). In some cases, items on the SEL are not allowable under HSGP or will not be eligible for purchase unless specific conditions are met. The updated AEL for FY 2007 will be available in February 2007. During FY 2007, G&T will highlight significant updates to the AEL in real time on the RKB. These updates will be noted in a change log posted on the main page of the AEL within the RKB.

Significant changes to several personal protective equipment standards are expected during FY 2007. Grantees should refer to the notes included in each equipment item

entry within the AEL for additional information on these changes and their impact on allowability.

### ***Equipment Standards***

Unless otherwise stated in program guidance, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. For example, respiratory protection equipment will require NIOSH certification. Compliance must be demonstrated either via third-party certification by an approved certifying organization or, where permitted by the standard, a supplier's declaration of conformity (SDOC) with appropriate supporting data and documentation per ISO/IEC 17050. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

A list of mandatory standards for each equipment item can be found at the following website: <http://rkb.mipt.org>.

## **E.4 -- Training**

States, Territories, and Urban Areas are encouraged to use HSGP funds to develop a State/Territory homeland security training program. Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP, UASI, LETPP, MMRS, and CCP grant programs. Allowable training topics include, but are not limited to, CBRNE terrorism and catastrophic events, cyber/agriculture/food security, intelligence gathering and analysis, citizen and community preparedness, and training for volunteers.

Training conducted using HSGP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps should be identified in the AAR/IP and addressed in the State or Urban Area training cycle. All training and exercises conducted with HSGP funds should support the development and testing of the jurisdiction's Emergency Operations Plan (EOP) or specific annexes.

### ***Definitions***

G&T facilitates a number of different training sources:

- **G&T Provided Training:** These courses or programs are developed for and/or delivered by institutions and organizations funded directly by G&T. This includes the Center for Domestic Preparedness (CDP), the National Domestic Preparedness Consortium (NDPC), the Rural Domestic Preparedness Consortium (RDPC) and G&T Training Partners funded through the Continuing and Demonstration Training grant programs.
- **Training Not Provided by G&T:** These courses are either State sponsored or Federal sponsored, coordinated and approved by the SAA or their designated Training Point of Contact (TPOC), and fall within the G&T mission scope to

prepare State and local personnel to prevent, protect against, respond to, and recover from acts of terrorism or catastrophic events.

- **State Sponsored Courses:** These courses are developed for and/or delivered by institutions or organizations other than Federal entities or G&T and are sponsored by the SAA or their designated TPOC.
- **Approved State Sponsored Course Catalog:** This catalog lists State/Territory sponsored courses that fall within the G&T mission scope and have been approved through the G&T course review and approval process. An updated version of this catalog can be accessed at [http://www.firstrespondertraining.gov/odp\\_webforms](http://www.firstrespondertraining.gov/odp_webforms).
- **Federal Sponsored Courses:** This catalog lists courses developed for and/or delivered by institutions funded by Federal entities other than G&T.
- **Approved Federal Sponsored Course Catalog:** This catalog lists Federal-sponsored courses that fall within the G&T mission scope, and have been approved through the G&T course review and approval process. An updated version of this catalog can be accessed at [http://www.firstrespondertraining.gov/odp\\_webforms](http://www.firstrespondertraining.gov/odp_webforms).

### ***Training Information Reporting System (“Web-Forms”)***

Web-Forms is an electronic form/data management system built to assist the SAA and its designated State/Territory TPOC with the reporting of State and Federal sponsored training information. Web-Forms can be accessed through the G&T Toolkit located at [www.firstrespondertraining.gov/admin](http://www.firstrespondertraining.gov/admin).

### ***G&T Provided Training***

The Office of Grants and Training funds the direct delivery of a variety of classes that States can request to meet training needs. These classes are listed in the G&T approved course catalog listed at [http://www.firstrespondertraining.gov/odp\\_webforms](http://www.firstrespondertraining.gov/odp_webforms).

Each G&T Training Partner should contact the SAA or designated TPOC for locations within the State that are appropriate for the training. Most of the courses are targeted to meet a particular need or population. When the direct delivery funds are exhausted, the Training Partner can continue to offer the classes to the States through one of two methods—the Cooperative Training Outreach Program (CO-OP) or the Excess Delivery Acquisition Program (EDAP).

The G&T CO-OP has been reworked and renamed as the Voluntary Training Enhancement Program (VTEP). VTEP is a voluntary program designed to increase flexibility for States and Territories while enhancing G&T’s training delivery capability and complementing the current training partner pool. Funding from previous fiscal years **may** be used to support a State, Territory, or Urban Area’s implementation of this program.

Through VTEP, the SAA will have the authority to adopt various G&T provided programs for delivery by institutions within their State and local jurisdictions, and designate institutions as recognized providers for the identified standardized curriculum. VTEP will provide a training infrastructure for implementation that addresses the



challenges experienced by State, local, and Tribal jurisdictions to develop courses for a new audience and bring popular courses to more jurisdictions in the State. G&T recognizes existing capabilities of State/local fire and police academies, universities and community colleges, and other certified or approved institutions to deliver identified G&T provided training programs. G&T will provide additional information in an upcoming information bulletin.

EDAP allows a G&T Training Partner to charge for a course delivery when the Federal grant that developed the program is completed or more deliveries of a requested class are needed than the grant funds can accommodate. This cost per class is approved by G&T so that States pay for the cost of instruction only, not the curriculum development costs that were paid by G&T 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 G&T (State or Federal Sponsored Courses)***

States, Territories, and Urban Areas are not required to request approval from G&T for personnel to attend training not provided by G&T (State or Federal-sponsored courses) provided that the training is coordinated with and approved by the SAA or TPOC and falls within the G&T mission scope and the jurisdiction's EOP and Strategy of preparing State and local personnel or citizens to prevent, protect against, respond to, and recover from acts of terrorism or catastrophic events.

States, Territories, and Urban Areas are required, within 30 days after attendance, to submit information through the SAA or TPOC via Web-Forms on all training not provided by G&T, but supported with HSGP funds. This information will consist of course title, course description, mission area, level of training, the training provider, the date of the course, the number and associated disciplines of the individuals, and the sponsoring jurisdiction. Access to Web-Forms will be accomplished through the G&T toolkit located at [www.firstrespondertraining.gov/admin](http://www.firstrespondertraining.gov/admin). States, Territories, and Urban Areas intending to use G&T funds to support attendance at training not provided by G&T must ensure these courses:

- Fall within the G&T mission scope to prepare State and local personnel to prevent, protect against, respond to, and recover from acts of terrorism and catastrophic events
- Build additional capabilities that a) support a specific training need identified by the State, Territory, and Urban Area, and b) comport with the State, Territory, or Urban Area Homeland Security Strategy
- Address specific tasks and/or competencies articulated in G&T's *Emergency Responder Guidelines* and the *Homeland Security Guidelines for Prevention and Deterrence*
- Address specific capabilities and related tasks articulated in the September 2006 version of the TCL, available through LLIS
- Support the specific program training activities identified in the individual HSGP grant programs (SHSP, UASI, LETPP, MMRS, CCP) for which the funding will be used

- Comport with all applicable Federal, State, and local regulations, certifications, guidelines, and policies deemed appropriate for the type and level of training

In support of the continuing efforts to build common catalogs of approved training not provided by G&T, the SAA/TPOC will be allowed three deliveries of the same course within a State/Territory before the course is required to go through the G&T State course review and approval process. Additional course deliveries will be authorized during the review period. However, if the course is disapproved as part of the process, no additional G&T funds can be dedicated to attending the course.

### ***State and Federal-Sponsored Course Catalogs***

Courses approved by G&T will be added to either the approved State Sponsored Course Catalog or the Federal Sponsored Course Catalog. Courses identified within these catalogs may be attended on an unlimited basis within any State/Territory as long as the training is coordinated and approved by the SAA/TPOC. A full description of the G&T Course Development, Review, and Approval Process, as well as the approved course catalogs, can be found at [http://www.firstrespondertraining.gov/odp\\_webforms](http://www.firstrespondertraining.gov/odp_webforms). G&T will respond to the initial request for review within 15 days with one of the following outcomes:

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

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

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

G&T funds must be used to supplement, not supplant, existing funds that have been appropriated for the same purpose. G&T will conduct periodic reviews of all State, Territory, and Urban Area training funded by G&T. These reviews may include requests for all course materials and physical observation of, or participation in, the funded training. If these reviews determine that courses are outside the scope of this guidance, grantees will be asked to repay grant funds expended in support of those efforts.

States and Territories are required to conduct an annual Training and Exercise Plan Workshop to identify key priorities and major events over a multi-year time frame and to align training and exercises in support of those priorities. A Multi-year Training and Exercise Plan will be produced from the Training and Exercise Plan Workshop to include the State's training and exercise priorities, associated training and exercise capabilities, and a multi-year training and exercise schedule. Further guidance concerning the Multi-year Training and Exercise Plan can be found in the Exercises discussion in section E.5.

### ***Allowable Training Costs***

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

- **Funds used to develop, deliver, and evaluate training**, including costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment.
- **Overtime and Backfill** costs associated with attending or teaching G&T-sponsored and/or approved training courses and programs are allowed. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from both their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Further, overtime costs associated with employees who participate in training in a teaching role for which they are compensated are not allowed. Fringe benefits on overtime hours are limited to Federal Insurance Contributions Act (FICA), Workers' Compensation and Unemployment Compensation.
- **Travel** costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants** to support training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15% of the total allocation as specified in section E.6. In no case is dual compensation allowable (see above).

- **Certification/Recertification of Instructors** is an allowable cost. States are encouraged to follow the G&T Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses that involve training of trainers. This information is contained in an information bulletin issued in October 2006.
- **Reimbursement for tuition for enrollment** in higher education programs that incorporate existing Master's Degree curricula in homeland security that are aligned with Department programs and priorities is an allowable cost, provided that:
  - a. No more than \$10,000 per person during the 36-month period of performance may be directed to allowable higher education tuition costs at an accredited college or university.
  - b. Individuals are responsible for a 1/3 tuition expense matching requirement
  - c. Individuals cannot qualify for tuition reimbursement from overlapping periods of performance across different HSGP program years
  - d. Individuals must successfully complete coursework at a passing level of achievement such that they can demonstrate credits earned toward a Master's Degree at an accredited college or university
  - e. Individuals participating in allowable higher education activities must commit to two years of additional service to their assigned State or local agency upon completion of education activities. Failure to complete two years of service post-completion will result in the *grantee* repaying all awarded amounts back to the Federal government.

## E.5 -- Exercises

Exercises conducted with G&T support (grant funds or direct support) must be managed and executed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP Volumes I-III contains guidance for exercise design, development, conduct, evaluation and improvement planning. HSEEP Volume IV provides sample exercise materials. All four volumes can be found on the HSEEP website at <http://hseep.dhs.gov>.

### ***NIMS Compliance***

Exercises conducted using HSGP funding must be NIMS compliant, as defined by the 2007 NIMS compliance matrices. More information is available online at the NIMS Integration Center, <http://www.fema.gov/emergency/nims/index.shtm>.

### ***Training and Exercise Plan Workshop***

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

The Training and Exercise Plan will include the State's training and exercise priorities (based on the homeland security strategy and previous year improvement plans),

associated capabilities, and a multi-year training and exercise schedule (to be updated annually and resubmitted to G&T within 60 days of the Workshop). The schedule should reflect all exercises that are being conducted throughout the State, including Urban Areas, and not just those that are sponsored by G&T. All scheduled exercises must be entered through the National Exercise Schedule (NEXS) Application, which is located on the HSEEP website. A template of the Multi-year Training and Exercise Plan can be found in HSEEP Volume IV.

The Multi-year Training and Exercise Plan should employ a cycle of activity that includes training and exercises of increasing levels of complexity. The training cycle will follow a building block approach that identifies, for each State priority, the related capability(ies), and the focus of the training necessary to address the associated capabilities. States must complete a cycle of exercise activity (one discussion-based and one operations-based exercise) during the period of this grant. States and Urban Areas are encouraged to use exercises as an opportunity to meet the requirements of multiple exercise programs. To this end, grantees are encouraged to invite representatives/planners involved with other Federally-mandated (e.g., HHS, Chemical Stockpile Emergency Preparedness Program, Radiological Emergency Preparedness, Federal Aviation Administration) or private (e.g., Joint Commission on Accreditation of Healthcare Organizations) exercise activities. States and Urban Areas are encouraged to share, at a minimum, the multi-year training and exercise schedule with those departments, agencies, and organizations included in the plan.

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

### ***Exercise Scenarios***

The scenarios used in HSGP-funded exercises must be based on the State's/Urban Area's Homeland Security Strategy and plans. Acceptable scenarios for SHSP, UASI, MMRS, and CCP exercises include: chemical, biological, radiological, nuclear, explosive, cyber, agricultural and natural or technological disasters. LETPP exercise scenarios must be terrorism-based. If conducting a natural or technological disaster exercise, the scenario must be catastrophic in scope and size, as defined by the National Response Plan.

The scenarios used in HSGP-funded exercises must focus on validating existing capabilities and must be large enough in scope and size to exercise multiple tasks and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations. Exercise scenarios should also be based on the Multi-year Training and Exercise Plan.

### ***Models, Simulations and Games (MS&G)***

Grantees who wish to expend funds on models, simulations, or games (MS&G) must consult with "Review of Models, Simulations, and Games for Domestic Preparedness Training and Exercising, Volume III," which provides an overview and analysis of existing models, simulations, and games. Grantees can also consult with the MS&G

Decision Support System, which automates the aforementioned report into a searchable database. Both the report and system are available through the HSEEP website.

### ***Special Event Planning***

If a State or Urban Area will be hosting an upcoming special event (e.g., Super Bowl, G-8 Summit); they anticipate participating in the United States Coast Guard Spill of National Significance (SONS) exercise; or they anticipate that they will apply to be a venue for a future Top Officials (TOPOFF) exercise, they should plan to use SHSP or UASI funding to finance training and exercise activities in preparation for that event. States and Urban Areas should also consider exercises at major venues (e.g., arenas, convention centers) that focus on evacuations, communications, and command and control. States should also anticipate participating in at least one Regional Exercise annually. States must include all confirmed or planned special events in the Multi-year Training and Exercise Plan.

### ***Exercise Evaluation***

All exercises will be performance-based and evaluated. An After-Action Report/Improvement Plan (AAR/IP) will be prepared and submitted to G&T following every exercise, regardless of type or scope. AAR/IPs must conform to the HSEEP format, should capture objective data pertaining to exercise conduct, and must be developed based on information gathered through Exercise Evaluation Guides (EEGs) found in HSEEP Volume IV. The EEGs and AAR/IPs are currently being updated to reflect the TCL. In the interim of these revisions, the current HSEEP EEGs and AAR/IP template should be utilized. All applicants are encouraged to use the Lessons Learned Information Sharing System (LLIS.gov) as a source for lessons learned and to exchange best practices.

AAR/IPs must be provided to G&T within 60 days following completion of each exercise (see HSEEP Volume IV for sample AAR/IP template). Currently, these AAR/IPs can be submitted through the G&T Secure Portal under each State's respective library folder.

In order to leverage assessments to ensure the gathering of objective exercise-based data, States are encouraged to form Cadres of Evaluators. These Cadres should be comprised of peers in the areas being evaluated, and should be available to evaluate exercises occurring throughout the State.

### ***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. Components of a self-sustaining exercise program may include, but are not limited to: hiring dedicated exercise program staff; conducting awareness seminars on HSEEP; attending exercise training courses; or maintaining a system to track the completion and submission of AAR/IPs from exercises (including costs associated with meeting with local units of government to define procedures).

**Role of Non-Governmental Entities in Exercises**

Non-governmental participation in all levels of exercises is strongly encouraged. Leaders from non-governmental entities should be included in the planning, conduct, and evaluation of an exercise. State and local jurisdictions are encouraged to develop exercises that test the integration and use of non-governmental resources provided by non-governmental entities, defined as the private sector and private non-profit, faith-based, community, volunteer and other non-governmental organizations. Non-governmental participation in exercises should be coordinated with the local Citizen Corps Council(s).

**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.
- **Self-Sustaining Exercise and Evaluation Program:** Includes costs related to developing and maintaining a self-sustaining State Homeland Security Exercise and Evaluation Program modeled on the national HSEEP, including HSEEP awareness seminars, exercise training courses, and AAR/IP tracking.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants** – Full or part-time staff may be hired to support exercise-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or the awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15% of the total allocation as specified in section E.6. The services of contractors/consultants may also be procured to support the design, development, conduct, and evaluation of exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) – whichever is more stringent – must be followed. In no case is dual compensation allowable. 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 pm to 5:00 pm), even though such work may benefit both activities.
- **Overtime and Backfill** – Overtime and backfill costs associated with the design, development, and conduct of exercises are allowable expenses. Payment of overtime expenses will be for work performed by award (SAA) or sub-award employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the exercise project(s). These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation

allowable (see above). Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.

- **Travel** – Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s).
- **Supplies** – Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).
- **Other Items** – These costs include the rental of space/locations for exercise planning and conduct, rental of equipment (e.g., portable toilets, tents), food, refreshments, gasoline, exercise signs, badges, etc.

### ***Unauthorized Exercise Costs***

Unauthorized exercise-related costs include:

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

### **E.6 -- Personnel**

Hiring, overtime, and backfill expenses are allowable under this grant only to perform programmatic activities deemed allowable under existing guidance. (See individual program guidance sections for more information on allowable activities.) Supplanting, however, is not allowed.

Up to 15% of the program funds for SHSP, UASI and LETPP may be used to support the hiring of full or part-time personnel to conduct program activities that are allowable under the FY 2007 HSGP (i.e., planning, training program management, exercise program management, etc). The 15% ceiling does not apply to MMRS or CCP. Grantees may request that DHS issue a waiver to increase that ceiling. Waiver decisions are at the discretion of DHS and will be considered on a case-by-case basis. The ceiling on personnel costs does not apply to contractors, and is in addition to eligible management and administrative (M&A) costs and eligible hiring of intelligence analysts. Grantees may hire staff only for program management functions, not operational duties. Hiring planners, training program coordinators, exercise managers, and grant administrators fall within the scope of allowable program management functions. For example, a local, uniformed, law enforcement patrol officer cannot be hired using grant dollars to perform regular local law enforcement patrol duties. As another example, firefighters cannot be hired using grant dollars to perform routine fire service duties or serve on hazardous materials units. See also Appendix A for allowable hiring expenditures.



Grantees are permitted to hire or laterally move existing public safety officers to new positions that support allowable HSGP management functions. In the case of lateral transfers, grant funds may be used to support only those positions that are allowable under the FY 2007 HSGP program guidance.

In addition, positions created and funded through G&T grants may continue to be supported with future year funding provided that the position is dedicated to the same or similar purposes allowable under applicable G&T program guidance.

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

- **Overtime** – These expenses are the result of personnel who worked over and above their normal scheduled daily or weekly work time in the performance of G&T-approved activities.
- **Backfill** – Also called “Overtime as Backfill,” these expenses are the result of personnel who are working overtime in order to perform the duties of other personnel who are temporarily assigned to G&T-approved activities outside their core responsibilities. Neither overtime nor backfill expenses are the result of an increase of Full-Time Equivalent (FTE) employees.
- **Hiring** – State and local entities may use grant funding to cover the salary of newly hired personnel who are undertaking allowable G&T program activities. This may also include new personnel who are hired to fulfill duties as a result of existing personnel being reassigned full-time to other G&T-approved activities. Hiring will always result in a net increase of FTEs.
- **Supplanting** – Replacing a currently budgeted full-time position with one or more full-time employees.

## E.7 -- Management and Administrative (M&A)

All programs within FY 2007 HSGP have allowable M&A costs for both the State as well as the local unit of government, Urban Area, or designated subgrantee. No more than 5 percent of the total amount allocated to the State for programs within FY 2007 HSGP may be retained at the State level and used for M&A purposes. These State M&A funds must be included when accounting for the total funds retained by the State. States may apply M&A funds from all five programs under the FY 2007 HSGP to M&A costs accrued under any of the FY 2007 HSGP programs. For example, States can use M&A funds from SHSP to support M&A costs associated with MMRS.

In addition, local jurisdiction subgrantees may retain and use up to 3 percent of their subaward from the State for local M&A purposes. States may pass through a portion of the State M&A allocation to local subgrantees in order to supplement the 3 percent M&A allocation allowed on subgrants. However, no more than 5 percent of the total subaward may be expended by subgrantees on M&A costs.

## E.8 -- Construction and Renovation

Use of HSGP funds for construction and renovation is generally prohibited except as outlined below. Such construction and renovation shall be strictly limited and allowable only when it is a necessary component of a security system at critical infrastructure facilities.

- CCP and MMRS funds may not be used for any type of construction or renovation.
- Project construction and renovation not exceeding \$1,000,000 is allowable, as deemed necessary by the Assistant Secretary, G&T, under SHSP, UASI, and LETPP. These program funds may be used for construction and renovation projects only when those projects specifically address enhanced security at critical infrastructure facilities. The following actions and improvements are considered to constitute construction or renovation, and must follow the approval process outlined below:
  - Construction and/or renovation to guard facilities
  - Any other construction or renovation efforts that change or expand the footprint of a facility or structure, including security enhancements to improve perimeter security.
- The following actions and improvements are allowable as non-construction activities under specific HSGP program guidance and must comply with National Environmental Policy Act (NEPA) and other relevant provisions.
  - Improved lighting
  - Fencing
  - Closed-circuit television (CCTV) systems
  - Motion detection systems
  - Barriers, doors, gates and related security enhancements
- In addition, the erection of communications towers that are included in a jurisdiction's interoperable communications plan is allowed, subject to all applicable laws, regulations, and licensing provisions.

### ***Construction Approval Process for SHSP, UASI, and LETPP***

In order for grantees to draw down funds for construction and renovation costs under SHSP, UASI, and LETPP, grantees must provide to G&T:

- A description of the asset or facility, asset location, whether the infrastructure is publicly or privately owned, and the construction or renovation project
- Certification that a facility vulnerability assessment has been conducted for the facility
- An outline addressing how the construction or renovation project will address the identified vulnerabilities from the assessment
- Consequences of not implementing the construction or renovation project

Written approval must be provided by G&T prior to the use of any HSGP funds for construction or renovation.

***National Environmental Policy Act (NEPA)***

NEPA requires DHS, through G&T, to analyze the possible environmental impacts of each construction project. The purpose of a NEPA review is to weigh the impact of major Federal actions or actions undertaken using Federal funds on adjacent communities, water supplies, historical buildings, endangered species, or culturally sensitive areas prior to construction. Grantees may be required to provide additional detailed information on the activities to be conducted, locations, sites, possible construction activities, possible alternatives, and any environmental concerns that may exist. Results of the NEPA Compliance Review could result in a project not being approved for DHS funding, the need to perform an Environmental Assessment (EA) or draft an Environmental Impact Statement (EIS).

Approval from G&T for construction or renovation projects does not relieve grantees of NEPA requirements.

**F. Unallowable Costs Guidance**

Several costs are strictly prohibited under FY 2007 HSGP. Grantees should contact their G&T Preparedness Officer for guidance and clarification.

**F.1 -- Hiring of Public Safety Personnel**

FY 2007 HSGP funds may not be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities. See also Appendix A for allowable hiring expenditures.

**F.2 -- Construction and Renovation**

Construction and renovation is generally prohibited, except as noted above under Construction and Renovation Guidance in this Section. Such construction and renovation shall be strictly limited and allowable when it is a necessary component of a security system at critical infrastructure facilities.

**G. Pass-Through Requirements****G.1 -- SHSP, UASI, LETPP**

Each State must make no less than 80 percent of the total grant program amount available to local units of government, including identified Urban Areas, within 60 days of the receipt of funds. Any UASI funds retained by the SAA must be used to directly support the designated Urban Areas in the State. For Puerto Rico, the pass-through requirement is 50 percent of total grant program funds within 60 days of receipt of funds.

**G.2 -- MMRS**

In States with MMRS jurisdictions, SAAs should pass 100 percent of the MMRS program funding allocation to their MMRS jurisdiction(s). For MMRS jurisdictions within multiple States, each SAA involved should pass-through 100 percent of the funding to the designated fiduciary/coordinating entity. However, States may retain up to 20 percent of the MMRS program funding allocation to facilitate strategy assessment and capability integration between the State and the MMRS jurisdictions. Any funds retained by the State must be documented in a written agreement between the SAA and Chair of the involved MMRS Steering Committee(s).

SAAs, Urban Area Working Groups, and MMRS Steering Committees are required to continue close coordination to ensure that MMRS program requirements, capabilities, and initiatives are adequately represented in, and reflective of, State and UASI Homeland Security Strategies, Enhancement Plans, and Investment Justifications.

**G.3 -- CCP**

There are no minimum pass-through requirements for CCP. However, if funds are retained by the State or Territory, the Citizen Corps Program Manager must consult with local Citizen Corps Councils to expend funds in a manner that supports local or statewide efforts to educate, train, and involve citizens. If the State chooses to subgrant funds to a local unit of government, the recipient must have a Citizen Corps Council, comprised of the appropriate members of government and non-governmental representatives, that is registered at [www.citizencorps.gov](http://www.citizencorps.gov).

**G.4 -- Territorial Pass-Through Requirements**

Due to the unique nature of the Territorial governments in Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands, no pass-through requirements will be applied to those Territories. However, these Territories are expected to take into account the needs of local communities prior to making funding distribution decisions.

**G.5 -- Memorandum of Understanding (MOU) Requirements**

For any HSGP programs involving pass-through of funds, the State may retain some or all of the local unit of government's or Urban Area's allocation of grant funds for expenditures made by the State on behalf of the local unit of government or Urban Area. This may occur only if requested in writing by that local unit of government or Urban Area. States holding grant funds on behalf of local units of government or Urban Areas must enter into a formal MOU with the local unit of government or Urban Area specifying the amount of funds to be retained by the State and the intended use of funds.

If an MOU is already in place from FY 2006 for existing efforts, G&T will continue to recognize the MOU for FY 2007. If any modifications to the existing MOU are

necessary to reflect new initiatives, States should contact their assigned G&T Preparedness Officer. States must submit these MOUs to their G&T Preparedness Officer for review to ensure compliance. A final, executable copy of the MOU will be kept on file with the SAA and DHS.

## **H. Technology Requirements**

### **H.1 -- National Information Exchange Model**

DHS, the U.S. Department of Justice (DOJ), and their associated domains announced the first production release of the National Information Exchange Model or NIEM Version 1.0 in November 2006. The NIEM establishes a single standard Extensible Markup Language (XML) foundation for exchanging information among DHS, DOJ, and supporting domains, such as justice, emergency management, and intelligence. To support homeland security, public safety, and justice information sharing, G&T requires all grantees to use the latest NIEM specifications and guidelines regarding the use of XML for all HSGP awards.

NIEM enables information sharing by an exchange development methodology that results in a common semantic understanding among participating organizations and data formatted in a semantically consistent manner.

Grantees must ensure that any products developed with IPP funds shall be compliant with NIEM standards. Further information about the required use of NIEM specifications and guidelines is available at <http://www.niem.gov>. Questions or comments about the use of NIEM specifications and guidelines may be submitted to: <http://www.niem.gov/contact.php>.

### **H.2 -- Geospatial Guidance**

G&T encourages grantees to align geospatial activities with the guidance available on the G&T website at [http://www.ojp.usdoj.gov/odp/grants\\_hsgp.htm](http://www.ojp.usdoj.gov/odp/grants_hsgp.htm).

## **I. Administrative Requirements**

### **I.1 -- Freedom of Information Act (FOIA)**

DHS recognizes that much of the information submitted in the course of applying for funding under this program, or provided in the course of its grant management activities, may be considered law enforcement sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information under Federal control is subject to requests made pursuant to the Freedom of Information Act (FOIA), 5. U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the DHS FOIA Office, and may likely fall within one or more of the

available exemptions under the Act. The applicant is encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. The applicant may also consult G&T regarding concerns or questions about the release of information under State and local laws. The grantee should be familiar with the regulations governing Protected Critical Infrastructure Information (6 CFR Part 29) and Sensitive Security Information (49 CFR Part 1520), as these designations may provide additional protection to certain classes of homeland security information.

## **I.2 -- Compliance with Federal Civil Rights Laws and Regulations**

The grantee is required to comply with Federal civil rights laws and regulations. Specifically, the grantee is required to provide assurances as a condition for receipt of Federal funds from DHS that its programs and activities comply with the following:

- *Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000 et. seq.* – No person on the grounds of race, color or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance;
- *Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794* – No qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance;
- *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et. seq.* – Discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance;
- *The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq.* – No person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity receiving Federal financial assistance.

The grantee must comply with all regulations, guidelines, and standards adopted under the above statutes. The grantee is also required to submit information, as required, to the DHS Office for Civil Rights and Civil Liberties concerning its compliance with these laws and their implementing regulations.

## **I.3 -- Services to Limited English Proficient (LEP) Persons**

Recipients of DHS financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services,

including oral and written translation, where necessary. The grantee is encouraged to consider the need for language services for LEP persons served or encountered both in developing their proposals and budgets and in conducting their programs and activities. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, please see <http://www.lep.gov>.

#### **I.4 -- Integrating Individuals with Disabilities into Emergency Planning**

Executive Order #13347, entitled "Individuals with Disabilities in Emergency Preparedness" and signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. DHS has outlined several steps for States to consider in protecting individuals with disabilities.

Further information on this issue can be found at the Disability and Emergency Preparedness Resource Center at <http://www.disabilitypreparedness.gov>. This resource center provides information to assist emergency managers in planning and response efforts related to people with disabilities. In addition, all grantees should be mindful of Section 504 of the Rehabilitation Act of 1973, which prohibits discrimination based on disability by recipients of Federal financial assistance.

#### **I.5 -- Compliance with Federal Energy Policy Legislation**

In accordance with the FY 2007 DHS Appropriations Act, all FY 2007 HSGP funds must comply with the following two requirements:

- None of the funds made available through FY 2007 HSGP shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order No. 13123, part 3 of title V of the National Energy Conservation Policy Act (42 USC 8251 et seq), or subtitle A of title I of the Energy Policy Act of 2005 (including the amendments made thereby).
- None of the funds made available through FY 2007 HSGP shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC 13212).

## IV. State Homeland Security Program

### A. Program Overview

The State Homeland Security Program (SHSP) is a core homeland security assistance program that provides funds to build capabilities at the State and local levels through planning, equipment, training, and exercise activities and to implement the goals and objectives included in State Homeland Security Strategies and initiatives in the Program and Capability Enhancement Plan. SHSP funding also supports the four mission areas of homeland security—prevent, protect, respond, and recover—and addresses all of the National Priorities and the 37 Target Capabilities, as they relate to terrorism.

The allowable scope of SHSP activities includes catastrophic events, provided that activities implemented also build capabilities that relate to terrorism. Many of the capabilities included within the TCL are dual-use in nature, in that they can apply to both terrorism preparedness as well as other hazards. Activities implemented under SHSP must support terrorism preparedness and build or enhance capabilities that relate to terrorism in order to be considered eligible, even if the capabilities themselves do not focus exclusively on terrorism. For example, mass evacuation planning supports terrorism preparedness but also other types of catastrophic events. Planning for pandemic influenza and linking that effort to a larger bioterrorism preparedness effort offers another example. Grantees must demonstrate the dual-use nature of any activities implemented under this program that are not explicitly focused on terrorism preparedness.

### B. Program Requirements

Use of SHSP funds must be consistent with and supportive of implementation of the State Homeland Security Strategy. Linkages between specific projects undertaken with SHSP funds and strategic goals and objectives will be highlighted through regular required reporting mechanisms, including the Biannual Strategy Implementation Report (BSIR).

### C. Authorized Program Expenditures

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

#### C.1 -- Planning

FY 2007 SHSP funds may be used for a broad range of homeland security planning activities. Additional details and examples are available at [http://www.ojp.usdoj.gov/odp/grants\\_hsgp.htm](http://www.ojp.usdoj.gov/odp/grants_hsgp.htm).



## C.2 -- Organization

Organization costs are not allowed under SHSP.

## C.3 -- Equipment

FY 2007 SHSP funds may be used for equipment acquisition from the 21 equipment categories listed in the FY 2007 G&T AEL. The AEL is available in its entirety online through the RKB at <http://www.rkb.mipt.org> and the equipment categories are outlined in Appendix A.

## C.4 -- Training

FY 2007 SHSP funds may be used to enhance the capabilities of State and local government and non-governmental emergency preparedness and response personnel through development of a State homeland security training program. Allowable training-related costs include:

- Establishment of, support for, conduct of, and attendance at preparedness training programs within existing training academies/institutions, universities, or junior colleges. Preparedness training programs are defined as those programs related to prevention, protection, response, and or recovery from natural, technical, or manmade catastrophic incidents, supporting one or more Target Capabilities in alignment with National Priorities as stated in the Goal. Examples of such programs include but are not limited to CBRNE terrorism, critical infrastructure protection, information and intelligence sharing, cyber security, and citizen preparedness through Citizen Corps Councils.
- Overtime and backfill costs associated with attendance at G&T-sponsored and approved training courses
- Training to support enterprise-wide homeland security planning, to include participation from non-governmental entities
- Training to support the National Infrastructure Protection Plan
- Training in interoperable communications
- Training to support regional collaboration, to include non-governmental entities
- Training to support intelligence fusion and information sharing activities
- Training to support citizen preparedness and citizen volunteer support through Citizen Corps Councils

## C.5 -- Exercises

SHSP funds may be used to design, develop, conduct, and evaluate exercises that:

- Provide homeland security preparedness personnel and volunteers a venue to practice prevention, protection, response, and recovery activities
- Evaluate prevention and response plans, policy, procedures, and protocols, including NIMS, the NRP, and State and local EOPs

- Assess the readiness of jurisdictions to prevent and respond to terrorist attacks
- Encourage coordination with surrounding jurisdictions in prevention, protection, response, and recovery activities
- Implementation of HSEEP, including developing and maintaining a self-sustaining State Homeland Security Exercise and Evaluation Program that is modeled on the national HSEEP

Grantees should consider inclusion of law enforcement personnel in exercise and planning activities focused on mass prophylaxis capabilities.

### **C.6 -- Personnel**

Allowable personnel costs for SHSP are explained in Chapter III, Section E – Allowable Costs Guidance. Up to 15% of the program funds may be used to support the hiring of full or part-time personnel to conduct program activities that are allowable under the FY 2007 HSGP (i.e., planning, training program management, exercise program management, etc).

## V. Urban Areas Security Initiative

### A. Program Overview

The FY 2007 UASI program provides financial assistance to address the unique multi-discipline planning, operations, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and to assist them in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism.

The FY 2007 UASI program provides the opportunity to enhance regional preparedness efforts. Urban Areas must employ regional approaches to overall preparedness and are encouraged to adopt regional response structures whenever appropriate to meet the goals identified in the Urban Area Homeland Security Strategy and common, measurable objectives. Security and preparedness officials at all levels should seek opportunities to leverage funding from multiple sources whenever possible and not restrict their activities to Federal funding alone. UASI funding will be provided to identified Urban Area authorities through the SAAs. In some instances Urban Area boundaries cross State borders. States must ensure that the identified Urban Areas take an inclusive regional approach to the development and implementation of the FY 2007 UASI program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, State agencies, Citizen Corps Council(s), and MMRS(s) in their program activities.

Investments should focus on outcomes that increase capabilities to prevent, protect against, respond to, or recover from CBRNE, agriculture, and cyber terrorism incidents; however, the allowable scope of UASI activities includes catastrophic events, provided that these activities also build capabilities that relate to terrorism.

Many of the capabilities included within the TCL are dual-use in nature, in that they can apply to both terrorism preparedness as well as other hazards. Activities implemented under UASI must support terrorism preparedness and build or enhance capabilities that relate to terrorism in order to be considered eligible, even if the capabilities themselves do not focus exclusively on terrorism. For example, mass evacuation planning supports terrorism preparedness but also other types of catastrophic events. Planning for pandemic influenza and linking that effort to a larger bioterrorism preparedness effort offers another example. Grantees must demonstrate the dual-use nature of any activities implemented under this program that are not explicitly focused on terrorism preparedness.

### B. Program Requirements

The State agency with overall responsibility for developing the State Homeland Security Strategy and administering G&T programs will be responsible for the administration of the FY 2007 UASI program.

## B.1 -- Governance

The identified city or combined entity represents the candidate Urban Area eligible to apply for funding under the FY 2007 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 Urban Area Working Group (UAWG) will be responsible for coordinating development and implementation of all program initiatives, including the Investment Justification, Urban Area Homeland Security Strategy development, the methodology for allocating funds (in coordination with the SAA), and any direct services that are delivered by G&T.

UAWG membership must include local MMRS and Citizen Corps Council representatives, to include non-governmental members and Citizen Corps Program Managers. Furthermore, where there is a Regional Transit Security Working Group or an Area Maritime Security Committee active within the geographical area, the UAWG should include them as functional sub-committees to their organization. G&T strongly encourages that, wherever possible, previously established local working groups be leveraged for this purpose. An overview of the UAWG structure and a list of members and their associated jurisdictions must be provided to G&T along with the grant application.

## B.2 -- Urban Area Homeland Security Strategy

Urban Areas must utilize their Urban Area Homeland Security Strategy, the State's Program and Capability Enhancement Plan, and the Goal and TCL as the basis for requesting funds to support Investments identified in the Investment Justification. There must be a clear correlation between the goals, objectives, and priorities identified in the Urban Area Homeland Security Strategy and FY 2007 UASI program activities. In addition, the Urban Area Homeland Security Strategy must also be consistent with and supportive of the State Homeland Security Strategy and the Program and Capability Enhancement Plan submitted by the State as part of the FY 2007 HSGP application.

Any newly identified Urban Areas receiving funding in FY 2007 must develop an Urban Area Homeland Security Strategy. Findings from the Program and Capability Review as well as recently updated State Homeland Security Strategies can serve as a guide for the development of an Urban Area Homeland Security Strategy. This strategy must be developed jointly by all units of government in the defined Urban Area and comport with Homeland Security Strategy Guidance released in July 2005 (<http://www.ojp.usdoj.gov/odp/assessments/definition.htm>) to ensure that strategies align with the Goal. All new Urban Area Homeland Security Strategies must be completed and submitted to G&T no later than July 3, 2007.

## B.3 -- Allocation of Funds

The intent of the grant is to establish a metropolitan area-wide approach to homeland security. Therefore, the use and allocation of all grant funds available through the FY 2007 UASI program must focus on the investments identified in the Urban Area's

Investment Justification and the implementation of the validated Urban Area Homeland Security Strategy. The use of funds must also be consistent with the State Homeland Security Strategy, the Program and Capability Enhancement Plan, the Goal, TCL and UASI program guidelines. Funds used to support Citizen Corps related efforts, such as citizen preparedness, volunteer participation, and the integration of non-governmental resources should be coordinated with Citizen Corps Councils.

The SAA POC, in coordination with the UAWG, must develop a methodology for allocating funding available through the UASI program. The UAWG must reach consensus on funding allocations. If consensus cannot be reached within the 60-day time period allotted for the State to obligate funds to subgrantees, the SAA must make the allocation determination. If consensus cannot be reached within the 60-day time period and the Urban Area crosses State boundaries, the SAA to whom funding has been awarded must make the allocation determination. The SAA must provide written documentation verifying consensus of the UAWG, or the failure to achieve consensus, on the allocation of funds provided through the FY 2007 UASI program. This documentation must be submitted to G&T not later than 60 days after the grant award date, and prior to the obligation or drawdown of funds. Any funds retained by the State on behalf of an Urban Area must be used in direct support of the Urban Area.

#### **B.4 -- Defining Urban Areas**

In coordination with the UAWG, the SAA POC may redefine the geographic boundaries of the Urban Area as it will apply to the FY 2007 UASI program. The SAA POC must notify G&T of this change.

- For the purposes of the FY 2007 UASI program, the State may request a waiver to define Urban Areas using regions previously established by Executive Order, law, or compact.
- If the Urban Area is expanded to include additional jurisdictions, those additional jurisdictions are eligible for, but not entitled to, receipt of funding through the program. All FY 2007 UASI program budget allocations must continue to support the Urban Area Homeland Security Strategy and will require consensus from the UAWG. If consensus cannot be reached, the SAA must make the allocation determination.
- Training, planning, organizing, and exercising projects can be implemented as regional projects with or without a change to the Urban Area.

The definition of the Urban Area is limited to jurisdictions contiguous to the geographic area used to determine eligibility, or with which jurisdictions in that area have established formal mutual aid agreements. States may request a waiver for this limitation for regions previously established by Executive Order, law, or compact. For the purposes of the FY 2007 UASI program, the Washington, D.C. Urban Area will consist of the NCR as set forth in 10 U.S.C. 2674(f)(2).

## C. Authorized Program Expenditures

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

### C.1 -- Planning

Urban Areas may use FY 2007 UASI funds for multi-discipline planning efforts to prioritize needs, update preparedness strategies, allocate resources, and deliver preparedness programs. These efforts include the collection and analysis of intelligence and information and the development of policies, plans, procedures, mutual aid agreements, strategies, and other publications that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and tasks. It is explicitly permissible to use planning funds to hire government and/or contractor personnel to conduct planning activities described here.

Similar to SHSP, FY 2007 UASI funds may be used for a broad range of homeland security planning activities. Additional details and examples are available at [http://www.ojp.usdoj.gov/odp/grants\\_hsgp.htm](http://www.ojp.usdoj.gov/odp/grants_hsgp.htm).

### C.2 -- Organization

Allowable organization costs for UASI are explained in Chapter III, Section E – Allowable Costs Guidance. No more than 25 percent of the gross amount of an UASI allocation may be used for operational expenses and overtime costs across the three identified operational activities.

### C.3 -- Equipment

UASI funds may be used for equipment acquisition from the 21 equipment categories listed in the FY 2007 G&T AEL. The AEL is available in its entirety online through the RKB at <http://www.rkb.mipt.org> and the equipment categories are outlined in Appendix A.

### C.4 -- Training

FY 2007 UASI funds may be used to enhance the capabilities of State and local government and non-governmental emergency preparedness and response personnel through development of a State homeland security training program. Allowable training-related costs include:

- Establishment of, support for, conduct of, and attendance at preparedness training programs within existing training academies/institutions, universities, or junior colleges. Preparedness training programs are defined as those programs related to prevention, protection, response, and or recovery from natural, technical, or manmade catastrophic incidents, supporting one or more Target

Capabilities in alignment with National Priorities as stated in the Goal. Examples of such programs include but are not limited to: CBRNE terrorism; critical infrastructure protection; information and intelligence sharing; cyber security; and citizen preparedness through Citizen Corps Councils.

- Overtime and backfill costs associated with attendance at G&T-sponsored and approved training courses. UASI funding may also be used for training citizens in awareness, prevention, protection, response, and recovery skills coordinated through Citizen Corps Councils.

## **C.5 -- Exercises**

All Urban Areas are required to develop a Multi-year Training and Exercise Plan and submit it to G&T on an annual basis. While Urban Area specific, this plan must tie into the Multi-year Training and Exercise Plan developed by the State, and be in line with the Urban Area Homeland Security Strategy. Further, Urban Areas are encouraged to develop a Multi-year Plan and Schedule that takes into consideration anticipated training needs of the Urban Area for at least the immediate year, with exercises being timed to provide responders the opportunity to utilize training received. This combined schedule should also ensure that training and exercises complement each other. An example of a combined Multi-year Training and Exercise Plan can be found at the HSEEP Website or G&T Secure Portal. Further guidance concerning Training and Exercise Plan Workshops can be found in the HSEEP Volumes. Urban Areas should also consider inclusion of law enforcement personnel in exercise and planning activities focused on mass prophylaxis capabilities.

Urban Areas are eligible to apply for exercise direct support, but must do so in coordination with the SAA. Direct support exercises provided to Urban Areas will count against the amount of direct support allotted to the State for FY 2007.

## **C.6 -- Personnel**

Allowable personnel costs for UASI are explained in Chapter III, Section E – Allowable Costs Guidance. Up to 15% of the program funds may be used to support the hiring of full or part-time personnel to conduct program activities that are allowable under the FY 2007 HSGP (i.e., planning, training program management, exercise program management, etc).

## VI. Law Enforcement Terrorism Prevention Program

### A. Program Overview

In FY 2007 the Law Enforcement Terrorism Prevention Program (LETPP) is focusing on providing resources to law enforcement and public safety communities (working with their private partners) to support critical terrorism prevention activities such as establishing / enhancing fusion centers and collaborating with non-law enforcement partners, other government agencies, and the private sector. Although other prevention activities continue to be allowable, the priority for FY 2007 is the establishment and enhancement of fusion centers.

Effective prevention efforts depend on the ability of all levels/sectors of government and private industry to collect, analyze, disseminate, and use homeland security-related intelligence. This capacity, known as the “fusion process,” serves as the foundation for all State and Urban Area fusion centers. Accordingly, the establishment of a network of fusion centers to facilitate effective nationwide homeland security information sharing is a top prevention priority that will be supported through the expanded FY 2007 LETPP.

**Establishing a baseline capability level within all State and Urban Area fusion centers is the primary emphasis of FY 2007 LETPP fusion-related guidance.**

Fusion centers should achieve a diversified representation of personnel based on their specific needs and functions. LETPP guidance related to fusion centers will be specifically highlighted in each of the sections below. Additional guidance is available at [http://www.ojp.usdoj.gov/odp/grants\\_hsgp.htm](http://www.ojp.usdoj.gov/odp/grants_hsgp.htm).

### B. Program Requirements

The SAA must coordinate the implementation of this program with the State’s Lead Law Enforcement Agency (LLEA). When identifying administrative and planning needs, each grantee should assess current staffing levels and determine whether a portion of the FY 2007 LETPP funds should be used to enhance administrative capabilities within the LLEA.

#### ***Establishment / Enhancement of Fusion Centers***

LETPP funds utilized to establish / enhance State and local fusion centers must support the following:

- Development of a statewide fusion process that corresponds with the *Global Justice / Homeland Security Advisory Council (HSAC) Fusion Center Guidelines*, which can be accessed at [http://it.ojp.gov/documents/fusion\\_center\\_guidelines.pdf](http://it.ojp.gov/documents/fusion_center_guidelines.pdf).
- Achievement of a baseline level of capability as defined by the *Fusion Capability Planning Tool* located at [http://www.ojp.usdoj.gov/odp/grants\\_hsgp.htm](http://www.ojp.usdoj.gov/odp/grants_hsgp.htm). Grantees are encouraged to use the *Fusion Capability Planning Tool* to determine and prioritize areas of improvement, as well as develop strategies to



overcome shortfalls. Jurisdictions are encouraged to prioritize the expenditure of LETTP funds to address identified areas of improvement.

Prior to drawing down and expending FY 2007 LETTP funds to support the fusion process, each jurisdiction must complete the ***Federal Fusion Center Survey*** (which will be distributed via Homeland Security Advisors under separate cover) and participate in an independent review of the completed survey.

## C. Authorized Program Expenditures

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

### C.1 -- Planning

LETTP funds may be used for a range of law enforcement terrorism prevention planning activities, including the following:

#### ***Establishment / Enhancement of Fusion Centers***

- Hiring an IT specialist to plan, develop, and implement the IT applications necessary for the fusion center
- Developing and planning for information/intelligence sharing groups
- Hiring contractors and consultants to make recommendations on the development of the fusion center

#### ***Additional LETTP Allowable Planning Costs***

- Conducting point vulnerability analyses and assessments
- Soft target security planning (public gatherings)
- Developing border security operations plans in coordination with CBP
- Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
- Updating and refining threat matrices
- Integrating and coordinating private sector participation with fusion center activities
- Acquiring systems allowing connectivity to State, local, and Federal data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate
- Designing and developing State and local geospatial data systems
- Costs associated with the implementation and adoption of NIMS
- Developing related terrorism prevention activities (examples are available at [http://www.ojp.usdoj.gov/odp/grants\\_hsgp.htm](http://www.ojp.usdoj.gov/odp/grants_hsgp.htm))

- Integrating and coordinating private sector participation with fusion center activities

## C.2 -- Organization

Allowable organization costs for LETPP are explained in Chapter III, Section E – Allowable Costs Guidance. No more than 25 percent of the gross amount of a LETTP allocation may be used for operational expenses and overtime costs across the three identified operational activities.

## C.3 -- Equipment

LETPP funds may be used for equipment acquisition from the LETPP equipment categories listed in the FY 2007 G&T AEL. The AEL is available in its entirety online through the RKB at <http://www.rkb.mipt.org> and the equipment categories are outlined in Appendix A.

### ***Establishment / Enhancement of Fusion Centers***

Specific allowable equipment acquisition related to fusion centers includes the following:

- Purchasing computers, IT hardware, software, radios, communications equipment, etc. to be used solely in the fusion center
- Leasing office space to house the fusion center
- Digital Intelligence Forensics Recovery and Evidence Device workstations
- Pending approval from the DHS Office of Intelligence and Analysis (I&A), the purchase of STE phones is allowable. Prior to purchasing STE phones, jurisdictions must complete a STE phone justification checklist, available upon request from DHS Preparedness Officers, and submit it to DHS through the appropriate Preparedness Officer. DHS Preparedness Officers will work with I&A to review the request and make a determination regarding the proposed purchase and associated encryption.

## C.4 -- Training

LETPP funds may be used for a range of law enforcement terrorism prevention related training activities to enhance the capabilities of State and local personnel, including the following:

### ***Establishment / Enhancement of Fusion Centers***

Grant funds may be used to hire new staff and/or contractor positions to serve as intelligence analysts to support information/intelligence fusion capabilities (see “Personnel” section below for more information). **In order to be hired as an Intelligence Analyst, new staff and/or contractor personnel must meet at least one of the following criteria:**

- **Successfully completed 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.**

The International Association of Law Enforcement Intelligence Analysts' (IALEIA) Educational Standard # 7 (page 14 of the IALEIA Analytic Standards booklet) provides standards on the categories of training needed for intelligence analysts. These include subject-matter expertise, analytic methodologies, customer-service ethics, information handling and processing skills, critical thinking skills, computer literacy, and objectivity and intellectual honesty.

DHS grant funds may be used to ensure intelligence analysts are properly trained in fulfillment of this requirement. Grant funds may be used to support intelligence analyst training in the following manners:

- **Participation in DHS approved intelligence analyst training:** A list of approved courses is being identified and will be shared as soon as possible. States wishing to develop or sponsor intelligence analyst courses for a national audience should submit courses to G&T for review and approval in accordance with the process outlined in Chapter III of this document. The list of approved courses will be constantly updated and can be accessed in the G&T catalog at [http://198.104.156.52/ODP\\_Webforms/Index.asp](http://198.104.156.52/ODP_Webforms/Index.asp).
- **Limited participation in non-DHS approved intelligence analyst training:** States may send students to attend non-approved intelligence analysis courses for up to three offerings in accordance with the training process outlined in Chapter III of this document.

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

### ***Additional LETPP Allowable Training Costs***

Allowable costs include training courses that focus on:

- Building information sharing capacities (especially among law enforcement, non-law enforcement, other government agencies, and the private sector)
- Methods of target hardening
- Facility law enforcement security personnel, to include facilities, vessels and ports
- CBRNE, agriculture, and cyber threats
- History of terrorism and social environments contributing to threats
- Surveillance and counter-surveillance techniques

- Critical Infrastructure Protection training, to include identifying/assessing critical infrastructure assets, vulnerabilities, and threats
- Cyber/agriculture/food security threats recognition and protective measures training
- Multi-cultural training for undercover operations related to terrorist organizations
- Languages, such as Arabic, Urdu, or Farsi, which are spoken by known terrorists and terrorist organizations
- Joint training with other homeland security entities (e.g., U.S. Secret Service, CBP)
- Use of interoperable communications equipment
- Collection, analysis, mapping, integration, and dissemination of geospatial data and imagery
- Geospatial database use, design, development, and management training
- Citizens in terrorism awareness and for volunteer participation to support law enforcement activities, to include the Volunteers in Police Service and Neighborhood Watch programs

### **C.5 -- Exercises**

LETPP funds may be used to design, develop, conduct, and evaluate terrorism prevention-related exercises, including the following:

- Exercises to evaluate the effectiveness of information sharing plans, policies, procedures, and protocols
- Exercises to evaluate NIMS implementation
- Exercises to evaluate facility and/or vessel security protection
- Exercises to evaluate area maritime security protection
- Exercises to evaluate threat recognition capabilities
- Exercises to evaluate cyber security capabilities
- Exercises to evaluate agricultural/food security capabilities
- Exercises to evaluate prevention readiness and techniques
- “Red Team” (force on force) exercises
- Interoperable communications exercises
- Critical infrastructure vulnerability, protection, and/or attack exercises

Where practical, these exercises should involve the public sector, non-governmental partners, trained citizen volunteers, and the general public. State and local governments should work with their Citizen Corps Councils to include volunteers from programs such as Volunteers in Police Service, Neighborhood Watch, and the general public.

### **C.6 -- Personnel**

Allowable personnel costs for LETPP are explained in Chapter III, Section E – Allowable Costs Guidance. Up to 15% of the program funds may be used to support the hiring of

full or part-time personnel to conduct program activities that are allowable under the FY 2007 HSGP (i.e., planning, training program management, exercise program management, etc).

## VII. Metropolitan Medical Response System

### A. Program Overview

The FY 2007 MMRS program provides funding to designated localities to assist in maintaining plans, delivering training, purchasing equipment and pharmaceuticals, and conducting exercises to develop and sustain the capabilities necessary to respond to a mass casualty event, whether caused by a CBRNE terrorist act, epidemic disease outbreak, natural disaster, or HAZMAT accident, during the crucial first hours of a response until significant external assistance can arrive and become operational.

MMRS establishes linkages among emergency responders, medical treatment resources, public health departments, emergency management offices, volunteer organizations, and other local elements working together to reduce the mortality and morbidity that would result from a catastrophic incident. The MMRS program also emphasizes enhanced mutual aid with neighboring localities (MMRS “Operational Area”) and State and Federal agencies. Additional information is provided at <http://mmrs.fema.gov>.

The FY 2007 MMRS Program will support the MMRS jurisdictions in:

- Achieving preparedness in MMRS-related Target Capabilities/Capability Focus Areas, which supports efforts to implement the Goal
- Ensuring that their strategic goals, objectives, operational capabilities, resource requirements, and preparedness status are adequately incorporated in State and Urban Area Homeland Security Assessment and Strategy documents
- Revising their operational plans to reflect State and Urban Area Homeland Security Assessments and Strategies
- Implementing program guidance incorporating increased collaboration with the U.S. Department of Health and Human Services, specifically the HRSA National Bioterrorism Hospital Preparedness Program (NBHPP) and the CDC Public Health Emergency Preparedness Program (PHEP)
- Continuing the distinct capability enhancements required for Pandemic Influenza preparedness
- Ensuring the maintenance of MMRS capabilities established through the completion of deliverables and other requirements promulgated in previous Federal funding guidance documents and related directives

### B. Program Requirements

#### B.1 -- Allocation of Funds

MMRS is inherently multi-jurisdictional; funds must be expended to support each regional MMRS to establish and sustain enhanced local capabilities. States are encouraged to pass through 100 percent of grant funds, but may retain up to 20 percent to facilitate strategy assessment and capability integration between the State and

MMRS jurisdictions. States must have written concurrence between the SAA and MMRS Steering Committee Chair to use any such funds to:

- Support mass casualty preparedness in regional MMRS Operational Areas overall
- Advise and assist MMRS jurisdictions in awareness of, and in providing input to, State and Urban Area Homeland Security Assessments, Strategies, Enhancement Plans, Investment Justifications, and other relevant homeland security requirements
- Provide for MMRS engagement with the Senior Advisory Committee
- Ensure that MMRS-related mutual aid agreements conform with statewide and State regional resource management requirements and capabilities
- Advise and assist MMRS jurisdictions with HSPD-8 preparedness assessments and reporting

States are reminded that MMRS funds must be expended to support efforts to establish and sustain enhanced local capabilities in MMRS jurisdictions.

SAs, in coordination with other relevant State government elements, such as public health, are expected to ensure that MMRS jurisdictions are aware of activities of the Senior Advisory Committee and are able to seek information from, and provide information to that body.

## **B.2 -- MMRS Priority Target Capabilities/Capability Focus Areas (TC/CFA)**

The listing below constitutes the revised MMRS Target Capabilities/Capability Focus Areas (TCs/CFAs) for FY 2007. It reflects the correlation of the Goal, National Priorities, and TCL, and updates the FY 2004 and 2005 MMRS CFAs. The Target Capabilities constitute the primary guidance for the MMRS activities engaged in achieving these capabilities. Particular emphasis is placed on the preparedness and performance measures for each Target Capability. MMRS jurisdictions must give priority attention to these TCs/CFAs, but also have the option of using grant funds to improve capabilities in any of the other Target Capabilities listed for MMRS in Appendix C, provided they are reflected in the relevant State and/or Urban Area strategies, Enhancement Plans, and Investment Justifications. MMRS jurisdictions must also sustain enhanced capabilities achieved through the implementation of prior years' program guidance and funding.

1. Strengthen Medical Surge Capabilities
2. Strengthen Mass Prophylaxis Capabilities
3. Strengthen WMD/Hazardous Materials Response and Decontamination Capabilities
4. Strengthen Interoperable Communications Capabilities
5. Strengthen Information Sharing and Collaboration Capabilities
6. Expand Regional Collaboration
7. Triage and Pre-Hospital Treatment

8. Medical Supplies Management and Distribution
9. Mass Care (Sheltering, Feeding, and Related Services)
10. Emergency Public Information and Warning
11. Fatality Management

*Note:* CFA 12 outlined in the FY 2006 guidance has been removed as this capability is considered to be primarily the responsibility of emergency management.

For additional information on the TC/CFAs, please see [http://www.ojp.usdoj.gov/odp/grants\\_hsgp.htm](http://www.ojp.usdoj.gov/odp/grants_hsgp.htm) or <https://www.mmrs.fema.gov>.

### **B.3 -- Pandemic Influenza Preparedness**

#### ***MMRS Contributions to Preparedness***

As stated in the *National Strategy for Pandemic Influenza*, “Preparing for a pandemic requires the leveraging of all instruments of national power, and coordinated action by all segments of government and society.”

The HHS Plan, “Public Health Guidance on Pandemic Influenza for State and Local Partners,” Section 2 provides that, “An effective local response will depend on pre-established partnerships and collaborative planning by public health officials, hospital administrators, and community leaders, who have considered a range of best-case and worst-case scenarios. It will require flexibility and real-time decision-making, guided by epidemiologic information on the pandemic virus.”

The MMRS purpose, partnerships, guidance, and capabilities achieved by MMRS jurisdictions provide a proven and established foundation for this collaborative planning. Accordingly, an overarching requirement for MMRS jurisdictions is the revision and updating of Continuity of Operations/Continuity of Government (COOP/COG) plans for emergency medical, mental health, and public health functions, and their supporting infrastructure, throughout their Operational Area. Key aspects of this activity include:

- Reviewing mutual aid agreements to ensure that they include the sharing of facilities, personnel, equipment and supplies, to include provisions for closing facilities when their key resources are decremented to the point of non-viability and making available their able personnel and remaining supplies and equipment to facilities that are viable
- Stockpiling and priority dispensing of influenza vaccine and anti-viral medication to first responders and first receivers
- Providing enhanced public safety protection of mass casualty response facilities and resources such as medical treatment facilities and pharmaceutical storage and dispensing sites.
- Establishing legal authorities incorporating Altered Standards of Care
- Updating COOP/COG plans to include clear lines of succession for key management positions; protection of essential records, facilities, equipment, and



personnel; operation of alternate facilities; and functioning of emergency communications

The CDC-PHEP FY 2006 Cooperative Agreement guidance, including the Phase II PanFlu Preparedness Supplement, provides for discounted bulk purchases for anti-viral pharmaceuticals and ventilators. MMRS jurisdictions should access that source for these materials before using MMRS grant funds to acquire them.

#### **B.4 -- NIMS Compliance**

MMRS jurisdictions are invited to participate in a pilot project, “Deployability of MMRS Assets,” and are requested to emphasize certain elements of the recently released, “NIMS Compliance for Hospitals and Healthcare System.” Details are provided at [http://www.ojp.usdoj.gov/odp/grants\\_hsgp.htm](http://www.ojp.usdoj.gov/odp/grants_hsgp.htm).

#### **B.5 -- Capabilities Documentation**

Capabilities Documentation, as outlined in the FY 2006 HSGP, is no longer required. However, MMRS jurisdictions are strongly encouraged to keep current their “Inventory of Capabilities” documentation as a key reference for: general operational briefings and training; mutual-aid operational uses; NIMS-compliant resources management activities; inputs to State/UASI homeland security strategies, Enhancement Plans and Investment Justifications; and data for national preparedness assessments.

#### **B.6 -- Medical Reserve Corps**

The Medical Reserve Corps (MRC) program is administered by the Office of the Surgeon General and is a key source for volunteers to support mass casualty incidents. MMRS jurisdictions are encouraged to establish and support MRC units. Up to \$25,000 per MMRS jurisdiction may be used to support local MRC units.

MRC units are community-based and are composed of local volunteer medical and public health professionals, as well as others without health backgrounds. These groups supplement existing emergency response capabilities and contribute to meeting the public health needs of the community throughout the year. MRC units are not intended to replace or substitute for local, existing emergency response systems. The local MRC unit provides an organized framework to identify, credential, train, and prepare volunteers.

The following are examples of the types of allowable expenses that MMRS jurisdictions may consider when supporting/establishing MRC units:

- Organizing the MRC unit, including establishment of a leadership and management structure (through hiring of full or part-time staff or contractors/consultants)

- Implementing mechanisms to assure appropriate integration and coordination with existing local emergency response and health assets and capabilities (including provision of legal protections for volunteers)
- Developing plans to organize and mobilize the MRC unit in response not only to urgent needs, but also to address other public health needs in the community
- Recruiting volunteers for the MRC unit
- Credentialing MRC volunteers
- Training MRC volunteers
- Equipping MRC volunteers

## C. Authorized Program Expenditures

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

### C.1 -- Planning

Jurisdictions should ensure that MMRS strategic goals, objectives, operational capabilities, and resource requirements adequately reflect the State and Urban Area Homeland Security Strategies. MMRS jurisdictions should also update/modify their operational plans and training and exercise activities as necessary to achieve conformance with the National Preparedness Goal and the NRP, to include coordinating structures, processes, and protocols.

### C.2 -- Organization

Organization costs are not allowed under MMRS.

### C.3 -- Equipment

MMRS funds may be used for equipment acquisition from the MMRS equipment categories listed in the FY 2007 G&T AEL. The AEL is available in its entirety online through the RKB at <http://www.rkb.mipt.org> and the equipment categories are outlined in Appendix A.

### C.4 -- Training

Allowable activities include:

- Training to strengthen medical surge, mass prophylaxis, triage and pre-hospital treatment, medical supplies management and distribution, mass care, and fatality management
- Training to support Pandemic Flu preparedness
- Training in support of “Mass Casualty Response Teams”

## C.5 -- Exercises

This section provides guidance specific to MMRS. For additional information on allowable exercise costs, see Chapter III, Section E – Allowable Costs Guidance.

### ***Exercise Costs Guidance***

Exercises conducted with G&T support (grant funds or direct support) must be managed and executed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP). The HSEEP Volumes contain guidance and recommendations for designing, developing, conducting, and evaluating exercises, as well as sample exercise materials. All HSEEP Volumes can be found at the HSEEP website at <http://hseep.dhs.gov>.

### ***Exercise Scenarios***

The scenarios used in MMRS exercises must focus on catastrophic incidents with national impact (i.e., catastrophic natural hazard, terrorist incident). The parameters for what is considered a catastrophic incident are defined in the National Response Plan. Grantees are allowed flexibility to develop exercise scenarios that apply to their jurisdiction within these parameters, with a focus on medical issues related to preparedness and response. Scenarios should be targeted to the MMRS Capability Focus Areas provided above. Grantees should consider inclusion of law enforcement personnel in exercise and planning activities focused on mass prophylaxis capabilities.

Grantees who need further clarification on exercise development, conduct, or scenarios should consult with their G&T Exercise Manager for assistance and/or approval. Citizen participation in exercises is strongly encouraged and should be coordinated with local Citizen Corps Councils. Citizen roles and responsibilities include, but are not limited to, backfilling non-professional tasks for first responders deployed on exercise planning and implementation, providing simulated victims, press, and members of the public; functioning in a range of surge capacity roles; and participating in the after-action review.

### ***CDC Public Health Emergency Preparedness Cooperative Agreement Exercise Requirement***

The FY 2006 CDC PHEP Cooperative Agreement Guidance provides, under “Additional Requirements,” guidance on exercise evaluations and encourages the use of HSEEP. This requirement is not intended to be duplicative of other existing exercise requirements. MMRS jurisdictions, in coordination with the Urban Area Working Group, where relevant, other jurisdictions and organizations within their MMRS Operational Area, State level and multi-State organizations are expected to schedule, design, conduct and evaluate mass casualty exercises that are in compliance with both DHS and CDC exercise requirements and guidance.

## **C.6 -- Personnel**

Hiring, overtime, and backfill expenses are allowable only to perform programmatic activities deemed allowable under existing guidance. Supplanting, however, is not allowed. The 15% cap in Chapter III, Section E is not applicable to MMRS.

## **C.7 -- Construction and Renovation**

Construction and renovation is not allowed under MMRS.

## VIII. Citizen Corps Program

### A. Program Overview

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

### B. Program Requirements

The FY 2007 Citizen Corps Program (CCP) funds provide resources for States and local communities to: 1) bring together the appropriate leadership to form and sustain a Citizen Corps Council; 2) develop and implement a plan or amend existing plans to achieve and expand citizen preparedness and participation; 3) conduct public education and outreach; 4) ensure clear alerts/warnings and emergency communications with the public; 5) develop training programs for the public, for both all-hazards preparedness and volunteer responsibilities; 6) facilitate citizen participation in exercises; 7) implement volunteer programs and activities to support emergency responders; 8) involve citizens in surge capacity roles and responsibilities during an incident in alignment with the Emergency Support Functions and Annexes; and 9) conduct evaluations of programs and activities.

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

#### B.1 -- State Responsibilities

Citizen preparedness and participation must be coordinated by an integrated body of government and non-governmental representatives. States and local government recipients of HSGP funds, including Urban Areas, must have such a body to serve as their Citizen Corps Council with membership that includes, but is not limited to: representatives from emergency management, homeland security, law enforcement, fire service, medical services/public health, elected officials, the private sector (especially privately owned critical infrastructure), private non-profits, non-governmental organizations (including faith-based and community-based organizations), and advocacy groups for special needs populations. Representatives from existing Citizen Corps programs, to include Volunteers in Police Service (VIPS), Medical Reserve Corps (MRC), Community Emergency Response Team (CERT), Neighborhood Watch/USAonWatch, Fire Corps, and Affiliates should also be included on these Citizen Corps Councils.

Senior Advisory Councils and Urban Area Working Groups may serve as Citizen Corps Councils if the appropriate representatives are members, to include the State/UASI Citizen Corps Program Manager(s) and non-governmental members. SAAs must coordinate all citizen involvement in emergency preparedness, planning, mitigation,

response, and recovery funded with any source of HSGP funds with the State agency currently responsible for the administration of Citizen Corps. A listing of current State Citizen Corps Program Managers is available by visiting <http://www.citizencorps.gov/councils/> and selecting “State Citizen Corps Program Managers.”

State Citizen Corps Program Managers must also continue to provide program management via the administrative section of the Citizen Corps website, [www.citizencorps.gov](http://www.citizencorps.gov), to include managing the approval process for local Citizen Corps Councils, CERT programs, managing administrative section passwords for local users, and managing calendar events, subscribers, and e-mails to local Councils.

All State homeland security strategies, policies, guidance, plans (including EOPs, Program and Capability Enhancement Plans and Investment Justifications), and evaluations must be reviewed by the body serving as the State Citizen Corps Council and must include considerations for government/non-governmental collaboration and citizen involvement in preparedness and response. Non-governmental representatives are expected to evaluate most closely the functional areas of warnings, emergency public information, evacuation, mass care, resource management from non-governmental sources, unaffiliated volunteer and donations management, and non-governmental resource integration (goods and personnel) to support each Emergency Support Function in the EOP.

## **B.2 -- Reporting Requirements**

All financial reporting requirements for CCP funds are included in HSGP reporting requirements described in Appendix B. The SAA must, however, coordinate the financial, programmatic, and administrative issues relating to the Citizen Corps mission with the State Citizen Corps Program Manager. The State Citizen Corps Program Manager must also participate in the G&T required monitoring process.

## **C. Authorized Program Expenditures**

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

### **C.1 -- Planning**

Integrating non-governmental entities into the planning process is critical to achieve comprehensive community preparedness. As such, establishing and sustaining bodies to serve as Citizen Corps Councils is supported by HSGP funds. In addition, State and local government homeland security strategies, policies, guidance, plans, and evaluations must include a greater emphasis on government/non-governmental collaboration, citizen preparedness, and volunteer participation. CCP funds may be

used to support this integration and for targeted strategic planning for and evaluation of citizen involvement.

Examples include:

- Conduct or participate in community assessments, surveys, and research of vulnerabilities and resource needs, and determine citizen education and participation to meet the needs
- Work with emergency management structures to design surge capacity strategies using non-governmental resources, to include NIMS-typed private sector resources and NIMS-typed volunteer roles for deployment through the Emergency Management Assistance Compact (EMAC)
- Ensure jurisdiction EOPs adequately address warnings, emergency public information, evacuation, mass care, resource management from non-governmental sources, unaffiliated volunteer and donations management, and volunteer resource integration to support each Emergency Support Function, to include appropriate considerations for special needs populations
- Conduct Citizen Corps program assessments and evaluations, citizen preparedness surveys, volunteer impact studies, and cost/benefit analysis

All State homeland security strategies, policies, guidance, plans (including EOPs, Program and Capability Enhancement Plans and Investment Justifications), and evaluations must be reviewed by the body serving as the State Citizen Corps Council and must include considerations for citizen preparedness and volunteer participation.

### ***Public Education/Outreach***

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

Allowable expenditures include:

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

All materials must include the national or jurisdiction's Citizen Corps logo, tagline and website or the Ready logo, tagline, and website and comply with logo standards (See [https://www.citizencorps.gov/pdf/logo\\_guide.pdf](https://www.citizencorps.gov/pdf/logo_guide.pdf)).

***Citizen Participation ~ Volunteer Programs and Disaster Response Support***

Citizen support for emergency responders is critical through year-round volunteer programs and as surge capacity in disaster response. Citizen Corps funding may be used to establish, enhance or expand volunteer programs and volunteer recruitment efforts for Neighborhood Watch/USAonWatch, Community Emergency Response Teams (CERT), Volunteers in Police Service (VIPS), Medical Reserve Corps (MRC), and Fire Corps; for the Citizen Corps Affiliate Programs and Organizations; and for jurisdiction specific volunteer efforts. Examples include:

- Recruiting, assessing, and training volunteers
- Retaining, recognizing, and motivating volunteers
- Purchasing, maintaining, or subscribing to a system to track volunteers (in compliance with applicable privacy laws), to include identification and credentialing systems, and to track volunteer hours
- Evaluating volunteers

**C.2 -- Organization**

Organization activities supported with CCP funding are limited to the development and support of citizen surge capacity response deployments.

**C.3 -- Equipment**

Non-governmental preparedness and response includes public alerts and warnings systems and equipment to support non-governmental personnel in preparedness and response roles. States and Urban areas are encouraged to fully leverage all HSGP resources for this purpose and all allowable equipment costs are listed in the FY 2007 AEL, available in its entirety online through the RKB at <http://www.rkb.mipt.org>.

Any equipment purchased with CCP funding must be used for specific preparedness or volunteer training or by volunteers in carrying out their response functions. CCP funding is not intended for equipment to be used by uniformed emergency responders, except to support training for citizens. Expenditures for non-governmental personnel response kits (e.g. CERT or MRC kits / backpacks) or clothing items for official identification must not exceed 30 percent of the total Citizen Corps Program allocation.

**C.4 -- Training**

Training is a central component of the Citizen Corps mission and its programs. Training funded with these grants can include all-hazards safety, such as emergency preparedness, basic first aid, life saving skills, crime prevention and terrorism awareness, public health issues, mitigation/property damage prevention, safety in the home, light search and rescue skills, principles of NIMS/ICS, community relations, volunteer management, serving people with disabilities, any training necessary to participate in volunteer activities, any training necessary to fulfill surge capacity roles, or



other training that promotes individual, family, or community safety and preparedness.

Training to serve people with disabilities should be conducted by instructors who represent groups/organizations that are most familiar with people with disabilities whenever possible.

Funding for CERT training includes the delivery of the CERT basic training to volunteers, supplemental training for CERT members who have completed the basic training, and the CERT Train-the-Trainer training. Note that the Independent Study course, "Introduction to CERT" (IS 317) must not be substituted for delivery of basic training consistent with the 20-hour CERT curriculum.

Training should be delivered with specific consideration to include all ages, ethnic and cultural groups, persons with disabilities, and special needs populations at venues throughout the community, to include schools, neighborhoods, places of worship, the private sector, non-governmental organizations, and government locations. Jurisdictions are also encouraged to incorporate non-traditional methodologies such as the Internet, distance learning, home study, and to leverage existing training provided via educational/professional facilities. Pilot courses and innovative approaches to training citizens and instructors are encouraged.

Instruction for trainers and training to support the Citizen Corps Council members in their efforts to manage and coordinate the Citizen Corps mission is also an allowable use of the FY 2007 Citizen Corps funding.

## **C.5 -- Exercises**

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

Examples of appropriate volunteer citizen or volunteer organization support for emergency preparedness and response exercises include, but are not limited to: serving in volunteer response roles aligned with the ESFs, to include positions in the Emergency Operations Center; administrative and logistical assistance with exercise planning and implementation; backfilling non-professional tasks for first responders deployed on the exercise; providing simulated victims, press, and members of the public; serving as evaluators; and participating in the after-action review.

Allowable costs include the costs associated with the design, development, and conduct of exercises specifically designed for non-governmental entities and/or the general public to support the citizen/volunteer component of emergency responder exercises, to include recruiting, preparing, tracking, supporting, and debriefing citizens regarding their role in the exercise. Exercises should ensure that citizens, including citizens with

disabilities and special needs populations, participate in all phases of emergency responder exercises, to include planning, implementation, and after-action review.

Exercises conducted with G&T support (grant funds or direct support) must be managed and executed in accordance with the HSEEP. The HSEEP Volumes contain guidance and recommendations for designing, developing, conducting, and evaluating exercises. HSEEP Volume IV provides sample exercise materials. All four volumes can be found at the HSEEP website (<http://hseep.dhs.gov>).

### **C.6 -- Personnel**

Hiring, overtime, and backfill expenses are allowable only to perform programmatic activities deemed allowable under existing guidance. Supplanting, however, is not allowed. The 15% cap in Chapter III, Section E is not applicable to CCP.

### **C.7 -- Construction and Renovation**

Construction and renovation is not allowed under CCP.

# Appendix A – Authorized Program Expenditures

Table 5 – FY 2007 Allowable Cost Matrix

<b>Allowable Program Activities Current as of FY 2007 Programs*</b> See the respective program guidance for additional details and/or requirements  *As of Publication	DHS										HHS					
	HSGP					Firefighters	IPP					CEDAP	NBHPP	BTCDDP	PHEPCA	
	SHSP	UASI	LETPP	MMRS	CCP		EMPG	BZPP	TSGP	PSGP	IBSGP					
<b>Allowable Planning Costs</b>																
Public education & outreach	Y	Y	Y	Y	Y	Y	Y		Y							Y
Develop and implement homeland security support programs and adopt ongoing DHS National Initiatives	Y	Y	Y	Y	Y		Y	Y	Y							Y
Develop and enhance plans and protocols	Y	Y	Y	Y	Y		Y	Y	Y	Y			Y			Y
Develop or conduct assessments	Y	Y	Y	Y	Y	Y	Y		Y	Y				Y		Y
Establish, enhance, or evaluate Citizen Corps related volunteer programs	Y	Y	Y	Y	Y		Y		Y							Y
Hiring of full- or part-time staff or contract/consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)	Y	Y	Y	Y	Y		Y	Y	Y				Y	Y	Y	
Conferences to facilitate planning activities	Y	Y	Y	Y	Y		Y	Y	Y							Y
Materials required to conduct planning activities	Y	Y	Y	Y	Y		Y	Y	Y							Y
Travel/per diem related to planning activities	Y	Y	Y	Y	Y		Y	Y	Y				Y	Y	Y	
Overtime and backfill costs (IAW operational Cost Guidance)	Y	Y	Y	Y	Y		Y	Y	Y							
Other project areas with prior approval from G&T	Y	Y	Y	Y	Y	Y	Y		Y	Y						

Allowable Program Activities Current as of FY 2007* Programs See the respective program guidance for additional details and/or requirements  *As of publication	DHS											HHS			
	HSGP					IPP									
	SHSP	UASI	LETPP	MMRS	CCP	Firefighters	EMPG	BZPP	TSGP	PSSGP	IBSGP	CEDAP	NBHPP	BTCDP	PHEPCA
<b>Allowable Organizational Activities</b>															
Overtime for information, investigative, and intelligence sharing activities (up to 25 percent of the allocation)		Y	Y												
Reimbursement for select operational expenses associated with increased security measures at critical infrastructure sites incurred during periods of DHS-declared Code Orange		Y	Y												
Hiring of full- or part-time staff or contractors for emergency management activities					Y	Y	Y								
Hiring of contractors/consultants for participation in information/intelligence analysis and sharing groups or fusion center activities (limited to 25 percent of the allocation)		Y	Y												
<b>Allowable Equipment Categories</b>															
Personal Protective Equipment	Y	Y	Y	Y		Y			Y	Y		Y	Y		Y
Explosive Device Mitigation and Remediation Equipment	Y	Y	Y			Y		Y	Y	Y	Y				
CBRNE Operational Search and Rescue Equipment	Y	Y	Y	Y		Y		Y*	Y	Y	Y	Y			
Information Technology	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		Y
Cyber Security Enhancement Equipment	Y	Y	Y	Y	Y		Y	Y	Y	Y	Y				
Interoperable Communications Equipment	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y	Y	Y		Y
Detection Equipment	Y	Y		Y		Y	Y	Y	Y	Y	Y	Y			Y
Decontamination Equipment	Y	Y		Y		Y			Y				Y		Y
Medical Supplies and Limited Pharmaceuticals	Y	Y		Y	Y	Y	Y		Y				Y		
Power Equipment	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y				
CBRNE Reference Materials	Y	Y	Y	Y	Y	Y	Y		Y		Y			Y	Y
CBRNE Incident Response Vehicles	Y	Y	Y	Y		Y	Y		Y						

Allowable Program Activities Current as of FY 2007 Programs* See the respective program guidance for additional details and/or requirements  *As of publication	DHS										HHS					
	HSGP					Firefighters	IPP					CEDAP	NBHPP	BTCDP	PHEPCA	
	SHSP	UASI	LETPP	MMRS	CCP		EMPG	BZPP	TSGP	PSGP	IBSGP					
Terrorism Incident Prevention Equipment	Y	Y	Y			Y		Y	Y	Y	Y					
Physical Security Enhancement Equipment	Y	Y	Y				Y	Y	Y	Y	Y	Y	Y			
Inspection and Screening Systems	Y	Y	Y	Y		Y		Y	Y	Y	Y					
Agriculture Terrorism Prevention, Response, and Mitigation Equipment	Y	Y		Y				Y								
CBRNE Response Watercraft	Y	Y	Y						Y							
CBRNE Aviation Equipment	Y	Y														
CBRNE Logistical Support Equipment	Y	Y	Y	Y		Y	Y		Y		Y					
Intervention Equipment	Y	Y	Y					Y	Y		Y					
Other Authorized Equipment	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y					
<b>Allowable Training Costs</b>																
Overtime and backfill for emergency preparedness and response personnel attending G&T-sponsored and approved training classes and technical assistance programs	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y					
Overtime and backfill expenses for part-time and volunteer emergency response personnel participating in G&T training	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y					
Training workshops and conferences	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y		Y	Y	Y	
Full- or part-time staff or contractors/consultants	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y		Y	Y	Y	
Travel	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y		Y	Y	Y	
Supplies	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y			Y	Y	
Tuition for higher education	Y	Y	Y	Y	Y	Y										
Other items	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y					
<b>Allowable Exercise Related Costs</b>																
Design, Develop, Conduct and Evaluate an Exercise	Y	Y	Y	Y	Y		Y		Y	Y	Y					
Exercise planning workshop	Y	Y	Y	Y	Y		Y		Y	Y	Y				Y	
Full- or part-time staff or contractors/consultants	Y	Y	Y	Y	Y		Y		Y	Y	Y		Y		Y	
Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in G&T exercises	Y	Y	Y	Y	Y		Y		Y	Y	Y					
Implementation of HSEEP	Y	Y	Y	Y	Y		Y									
Travel	Y	Y	Y	Y	Y		Y		Y	Y	Y				Y	
Supplies	Y	Y	Y	Y	Y		Y		Y	Y	Y				Y	
Other items	Y	Y	Y	Y	Y		Y		Y	Y	Y					

<b>Allowable Program Activities Current as of FY 2007 Programs*</b> See the respective program guidance for additional details and/or requirements  *As of publication	DHS											HHS			
	HSGP					Firefighters	EMPG	BZPP	TSGP	PSSGP	IBSGP	CEDAP	NBHPP	BTCDP	PHEPCA
	SHSP	UASI	LETPP	MMRS	CCP										
	<b>Allowable Management &amp; Administrative Costs</b>														
Hiring of full- or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, compliance with reporting and data collection requirements	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		Y		Y	
Development of operating plans for information collection and processing necessary to respond to G&T data calls	Y	Y	Y	Y	Y		Y	Y	Y	Y					
Overtime and backfill costs	Y	Y	Y	Y	Y		Y					Y		Y	
Travel	Y	Y	Y	Y	Y		Y	Y	Y	Y		Y		Y	
Meeting related expenses	Y	Y	Y	Y	Y		Y	Y	Y	Y		Y		Y	
Authorized office equipment	Y	Y	Y	Y	Y	Y	Y	Y	Y			Y			
Recurring expenses such as those associated with cell phones and faxes during the period of performance of the grant program	Y	Y	Y	Y	Y	Y	Y	Y				Y		Y	
Leasing or renting of space for newly hired personnel during the period of performance of the grant program	Y	Y	Y	Y	Y	Y	Y								

\*Only select sub-categories within AEL Categories 3 and 20 are eligible for FY 2007 BZPP funding. These sections include: 3.1.6, 3.2.2, 3.2.3, 3.2.4, and 20.3.

## Appendix B – Award and Reporting Requirements

The table below outlines the key overarching HSGP programmatic requirements. Additional requirements and guidance concerning allowable costs can be found in Chapter III and the program-specific chapters.

**Table 6 – HSGP Programmatic Requirements**

Requirement	Description	Page
CI/KR Protection Program	States must develop and implement a statewide/regional CI/KR protection program in accordance with the Risk Management Framework outlined in the NIPP.	4-5
Fusion Centers	States must establish the means to gather, analyze, disseminate, and use homeland security information in accordance with the <i>Global Fusion Center Guidelines</i> .	5
Communications Interoperability	States must develop and adopt statewide communications interoperability plans by the end of calendar year 2007.	6
Emergency Operations Plan	States and Urban Areas must ensure and test the feasibility and adequacy of plans and procedures covered in the Nationwide Plan Review.	7
NIMS Compliance	All applicants must meet NIMS compliance requirements.	9
Investment Justifications	Investment Justifications must be used for all HSGP funds, and Urban Area Investments must be included in the overall State application.	18-22
Program Evaluations	FY 2007 HSGP requires a comprehensive program evaluation of State and local activities to be submitted to respective Governors between September 1 and October 1, 2007.	23
Counterterrorism Staffing Pilot	Tier 1 UASI jurisdictions may use FY 2007 UASI funds to support non-overtime (or regular time) operational costs for existing positions that are currently assigned to full-time counterterrorism duties, provide they include a specific implementation plan as part of their application, submit a written certification from the jurisdiction's chief elected official, and develop a detailed audit process.	25
Intelligence Analysts	Intelligence Analysts funded through UASI or LETPP must meet experience requirements or complete training within six months of being hired. Costs associated with hiring new intelligence analysts are allowable only for two years, after which States and Urban Areas shall be responsible for supporting the sustainment costs for those intelligence analysts.	26
Training and Exercise Plan	States and Urban Areas are required to conduct an annual Training and Exercise Plan Workshop (T&EPW).	32-33
Pass-Through	Grantees must follow the appropriate pass-through requirement for each HSGP program.	39-40
Urban Area Strategy	New Urban Areas must develop and submit an Urban Area Homeland Security Strategy by July 3, 2007.	48
Federal Fusion Center Survey	Prior to drawing down FY 2007 LETPP funds to support the fusion process, grantees must complete the Federal Fusion Center Survey and participate in an independent review of the completed survey.	53
Reporting	Grantees must meet all reporting requirements.	B-5 to B-9

## A. Grant Award and Obligation of Funds

Upon approval of the application, the grant will be awarded to the respective SAA. This date will be known as the “award date.” The signed award document with special conditions must be returned to **DOJ, Office of Justice Programs, Attn: Control Desk – G&T Award, 810 7<sup>th</sup> Street, NW – 5<sup>th</sup> Floor, Washington, DC 20531**. The State’s obligation period must be met within **60 days** of the award date. An obligation is defined as a definite commitment that creates a legal liability for the payment of funds for goods and services ordered or received. Four requirements must be met to obligate grant funds:

- There must be some action to establish a firm commitment on the part of the awarding entity.
- The condition must be unconditional on the part of the awarding entity.
- There must be documentary evidence of the commitment.
- The award terms must be communicated to the official grantee.

Within 60 days of the grant award, the SAA will submit a prioritization of investments based upon the final grant award amounts and a certification that funds have been passed through to local units of government (to include the identification of subgrantees and sub-award amounts).

A sample award package is included below.

### *Sample Review of Award*

#### **Office of Grants and Training Post Award Instructions for G&T Awards**

**The Office of Grant Operations will provide fiscal support and oversight of the grant programs, while the OJP Office of the Comptroller will continue to provide support for grant payments. The following is provided as a guide for the administration of awards.**

#### **1. Review Award and Special Conditions Document.**

**Notification of award approval is made by e-mail through the OJP Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official.**

Carefully read the award and any special conditions or other attachments.

**If you agree** with the terms and conditions, the authorized official should sign and date both the original and the copy of the award document page in Block 19.

You should maintain a copy and return the original signed documents to:



Office of Justice Programs  
Attn: Control Desk - G&T Award  
810 Seventh Street, NW – 5<sup>th</sup> Floor  
Washington, DC 20531

**If you do not agree** with the terms and conditions, contact the awarding G&T Program Manager as noted in the award package.

**2. Read Guidelines.**

Read and become familiar with the *OGO Financial Management Guide*, which is available at 1-866-9ASKOGO or online at <http://www.dhs.gov/xopnbiz/grants/>.

**3. Complete and Return ACH Form.**

The Automated Clearing House (ACH) Vendor/Miscellaneous Payment Enrollment Form (refer to Step 3 attachment) is used to arrange direct deposit of funds into your designated bank account.

**4. Access to Payment Systems.**

OJP uses the Phone Activated Paperless System (PAPRS) to request funds. Grantees will receive a letter with the award package containing their PIN to access the system and Grant ID information.

**5. Reporting Requirements.**

Reporting requirements must be met during the life of the grant (refer to the *OGO Financial Management Guide* and the specific program guidance for a full explanation of these requirements, special conditions, and any applicable exceptions). The payment system contains edits that will prevent access to funds if reporting requirements are not met on a timely basis. Refer to Step 5 attachments for forms, due date information, and instructions.

**6. Questions about your award?**

A reference sheet is provided containing frequently asked financial questions and answers. Questions regarding grant **payments** should be addressed to the OJP Office of the Comptroller at 1-800-458-0786 or e-mail at [askoc@ojp.usdoj.gov](mailto:askoc@ojp.usdoj.gov). Questions regarding all other financial/administrative issues should be addressed to the OGO Information Line at 1-866-9ASKOGO (927-5646) or e-mail at [ask-ogo@dhs.gov](mailto:ask-ogo@dhs.gov).

**Important Note:** *If you have any questions about GMS, need to establish a GMS account, or require technical assistance with accessing your award, please contact the GMS Hotline at 1-888-549-9901.*

**B. Drawdown and Expenditure of Funds**

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can draw down and expend grant funds through the

Phone Activated Paperless System (PAPRS). A limited pool of grantees may also use the Automated Standard Application for Payments (ASAP).

In support of continuing efforts to meet the accelerated financial statement reporting requirements mandated by the U.S. Department of the Treasury and the Office of Management and Budget (OMB), payment processing will be interrupted during the last five (5) working days of each month. SAAs should make payment requests before the last five working days of the month to avoid delays in payment deposits.

For example, for the month of October 2006, the last day to request (draw down) payments was October 24, 2006. Payments requested after that date were processed when the regular schedule resumed on November 1, 2006. A similar schedule will follow at the end of each month.

SAAs should request funds based upon immediate disbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days. Grantees may elect to draw down funds up to 120 days prior to expenditure/disbursement. G&T strongly encourages recipients to draw down funds as close to expenditure as possible to avoid accruing interest. **Funds received by grantees must be placed in an interest-bearing account and are subject to the rules outlined in the Uniform Rule 28 CFR Part 66, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments**, at:

[http://www.access.gpo.gov/nara/cfr/waisidx\\_04/28cfrv2\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html) and the Uniform Rule 28 CFR Part 70, Uniform Administrative Requirements for Grants and Agreements (Including Subawards) with Institutions of Higher Education, Hospitals and other Non-profit Organizations, at:

[http://www.access.gpo.gov/nara/cfr/waisidx\\_04/28cfrv2\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html). These guidelines state that entities are required to promptly, but at least quarterly, remit interest earned on advances to:

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

The subgrantee may keep interest amounts up to \$100 per year for administrative expenses for all Federal grants combined. Please consult the OGO *Financial Management Guide* or the applicable OMB Circular for additional guidance. Although advance drawdown requests may be made, State grantees remain subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its implementing regulations at 31 C.F.R. Part 205. Interest under CMIA will accrue from the time Federal funds are credited to a State account until the time the State pays out the funds or transfers the funds to a subgrantee.

***Important Note:*** Although advance drawdown requests may be made, State grantees remain subject to the interest requirements of CMIA and its implementing regulations at 31 CFR Part 205. Interest under CMIA will accrue from the time Federal funds are credited to a State account until the time the State pays out the funds for program purposes.

## C. Reporting Requirements

Reporting requirements for all programs included in HSGP will be consolidated into a single reporting system.

### C.1 -- Financial Status Report (FSR) (Required quarterly)

***Obligations and expenditures must be reported to G&T on a quarterly basis through the FSR, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, FSR is due on April 30).*** Please note that this is a change from previous fiscal years. A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods where no grant activity occurs. ***Future awards and fund draw downs will be withheld if these reports are delinquent.***

FSRs **must now be filed online** through the Internet at <https://grants.ojp.usdoj.gov>. Forms and instructions can be found at <http://www.ojp.usdoj.gov/forms.htm>.

Grantees are reminded to review the following documents and ensure that grant activities are conducted in accordance with the applicable guidance:

- [OMB Circular A-102](http://www.whitehouse.gov/omb/circulars/index.html), *Grants and Cooperative Agreements with State and Local Governments*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-87](http://www.whitehouse.gov/omb/circulars/index.html), *Cost Principles for State, Local, and Indian Tribal Governments*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-110](http://www.whitehouse.gov/omb/circulars/index.html), *Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-21](http://www.whitehouse.gov/omb/circulars/index.html), *Cost Principles for Educational Institutions*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-122](http://www.whitehouse.gov/omb/circulars/index.html), *Cost Principles for Non-Profit Organizations*, at <http://www.whitehouse.gov/omb/circulars/index.html>

For FY 2007 awards, grant and subgrant recipients should refer to the OGO Financial Guide. All awards from FY 2005 and earlier are still governed by the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/FinGuide>. OGO can be contacted at 1-866-9ASKOGO or by e-mail at [ask-OGO@dhs.gov](mailto:ask-OGO@dhs.gov).

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

## C.2 -- Biannual Strategy Implementation Reports (BSIR) and Categorical Assistance Progress Report (CAPR)

Following award of a grant, the State and its subgrantees will be responsible for providing updated obligation and expenditure information on a regular basis. **The applicable SAAs are responsible for completing and submitting the CAPR/BSIR reports.** The BSIR submission will satisfy the narrative requirement in Box 12 of the biannual Categorical Assistance Progress Report (CAPR – OJP Form 4587/1). SAAs will still be required to submit the CAPR form with a line in box 12 that reads: See BSIR.

***The BSIR and the CAPR are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and on January 30 with a reporting period of July 1 through December 31). Grantees will provide initial overall obligation and expenditure information with the CAPR/BSIR submission due January 30, 2008.*** Updated obligation and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. G&T will provide a web-enabled application for the BSIR submission to grantees and a copy of the CAPR (OJP Form 4587/1) in the initial award package. ***Future awards and fund drawdowns may be withheld if these reports are delinquent.***

CAPRs **must be filed online** through the Internet at <https://grants.ojp.usdoj.gov>. Forms and instructions can be found at <http://www.ojp.usdoj.gov/forms.htm>.

**Required Submission:** CAPR/BSIR (biannually)

## C.3 -- Exercise Evaluation and Improvement

Exercises implemented with grant funds should be threat- and performance-based and should evaluate performance of critical prevention and response tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement* located at <http://www.ojp.usdoj.gov/G&T/docs/HSEEPv2.pdf>. Grant recipients must report on scheduled exercises and ensure that an AAR and IP are prepared for each exercise conducted with G&T support (grant funds or direct support) and submitted to G&T within 60 days following completion of the exercise.

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The IP outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR. Generally the IP, with at least initial action steps, should be included in the final AAR. G&T is establishing a national database to facilitate the scheduling of exercises, the

submission of the AAR/IPs, and the tracking of IP implementation. Guidance on the development of AARs and IPs is provided in Volume II of the HSEEP manuals.

**Required Submissions:** AARs and IPs (as applicable)

#### **C.4 -- Financial and Compliance Audit Report**

Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accountability Office, *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2007 HSGP assistance for audit and examination purposes, provided that, in the opinion of the Secretary of Homeland Security or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, through any authorized representative, access to, and the right to examine, all records, books, papers or documents related to the grant.

The State shall require that subgrantees comply with the audit requirements set forth in *OMB Circular A-133*. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

#### **C.5 -- Federal Funding Accountability and Transparency Act**

While there are no State and Urban Area requirements in FY 2007, the Federal Funding Accountability and Transparency Act of 2006 may affect State and Urban Area reporting requirements in later years. The Act requires the Federal government to create a publicly searchable online database of Federal grant recipients by January 1, 2008 with an expansion to include subgrantee information by January 1, 2009.

#### **C.6 -- National Preparedness Reporting Compliance**

The Government Performance and Results Act (GPRA) requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. G&T will work with grantees to develop tools and processes to support this requirement. DHS anticipates using this information to inform future-year grant program funding decisions.

*National Assessment of State and Local Preparedness*

HSPD-8 calls for an assessment of national preparedness. Furthermore, the FY 2007 DHS Appropriations Act requires a comprehensive national assessment of State and local preparedness in FY 2007. Additional guidance will be provided during the grant period to outline how this assessment will be developed through close coordination with State and local partners. DHS will strive to ensure reporting requirements support State and local level performance management requirements, where applicable. Congress also requires a Federal Preparedness Report on the Nation's level of preparedness for all hazards, including natural disasters, acts of terrorism, and other man-made disasters, including an estimate of the amount of Federal, State, local, and Tribal expenditures required to attain the National Preparedness Priorities by October 4, 2007, and annually thereafter.

*Catastrophic Resource Report*

The Department is also required to develop and submit an annual Catastrophic Resource Report which estimates the resources of DHS and other Federal agencies needed for and devoted specifically to developing the capabilities of Federal, State, local, and Tribal governments necessary to respond to a catastrophic incident. This requirement includes an estimate of State, local, and Tribal government catastrophic incident preparedness.

*State Preparedness Report*

Congress requires that States receiving DHS-administered Federal preparedness assistance shall submit a State Preparedness Report to the Department on the State's level of preparedness by January 4, 2008, and annually thereafter. The report shall include (A) an assessment of State compliance with the national preparedness system, NIMS, the NRP, and other related plans and strategies; (B) an assessment of current capability levels and a description of target capability levels; and (C) an assessment of resource needs to meet the National Preparedness Priorities, including an estimate of the amount of expenditures required to attain the Priorities and the extent to which the use of Federal assistance during the preceding fiscal year achieved the Priorities.

**C.7 -- Program Impact**

As required under the Government Performance Results Act (GPRA), DHS collects and reports performance information across all of its programs, including grant programs. For grant programs, assessing performance information allows the Department to ensure that grant funds are achieving positive, measurable progress in improving national preparedness. The Department uses general information from the State Homeland Security Program to report on the following performance measures:

- Percent of jurisdictions demonstrating acceptable performance on applicable critical tasks in exercises using approved scenarios
- Percent of State and local homeland security agency grant recipients reporting measurable progress toward identified goals and objectives to prevent and respond to terrorist attacks

- Percent of progress toward implementation of State strategies observed by Preparedness Officers
- Percent of participating Urban Area grant recipients reporting measurable progress made toward identified goals and objectives to prevent and respond to terrorist attacks
- Percent of progress toward State strategies implementation for Urban Area Grant Recipients observed by preparedness officers

To collect and report on these measures, the Department will use information from: AARs from homeland security exercises using the HSEEP doctrine and general information from State Strategies, BSIR, and grant monitoring. The Department uses the information to assess overall program effectiveness and impact and to report results to Congress, the Office of Management and Budget, and the President.

## D. Monitoring

Grant recipients will be monitored periodically by G&T program staff and OGO staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets and other related program criteria are being met. Monitoring will be accomplished through a combination of office-based and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, performance and administrative issues relative to each program and will identify areas where technical assistance and other support may be needed.

The recipient is responsible for monitoring award activities, to include subawards, to provide reasonable assurance that the Federal award is administered in compliance with requirements. Responsibilities include the accounting of receipts and expenditures, cash management, maintaining adequate financial records, and refunding expenditures disallowed by audits.

## E. Grant Close-Out Process

***Within 90 days after the end of the award period, SAAs must submit a final FSR, final CAPR, and final BSIR detailing all accomplishments throughout the project.***

After these reports have been reviewed and approved by G&T, a Grant Adjustment Notice (GAN) will be completed to close out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR.

**Required Submissions:** 1) Final SF-269a, due 90 days from the end of the grant period; and, 2) Final CAPR/BSIR, due 90 days from the end of the grant period

# Appendix C – Relationship of Programs to Target Capabilities

Below, “Y” denotes a direct role for the capability, while “\*” denotes a supporting role.

**Table 7 – Relationship between Grant Programs and Target Capabilities**

37 Target Capabilities and Categories	Grant Programs													
	DHS										HHS			
	HSGP					IPP								
	SHSP	UASI	LETPP	MMRS	CCP	BZPP	TSGP	PSGP	IBSGP	EMPG	Firefighters	NBHP	BTCDP	PHEPCA
<b>Common Target Capabilities</b>														
Planning	Y	Y	Y	Y	*	Y	Y	Y	Y	Y	Y	Y		Y
Community Preparedness and Participation	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y			
Communications	Y	Y	Y	Y	*	Y	Y	Y	Y	Y	Y	Y		Y
Risk Management	Y	Y			*	Y	Y	Y	Y	Y				
<b>Prevent Mission Area Target Capabilities</b>														
Info Gathering and Recognition of Indicators and Warnings	Y	Y	Y	Y	*	Y	Y	Y	Y					
Law Enforcement Investigation and Operations	Y	Y	Y		*	Y	Y	Y						
Intelligence Analysis and Production	Y	Y	Y		*	Y	Y	Y						
CBRNE Detection	Y	Y	Y	Y	*	Y	Y	Y	Y	Y	Y	Y	Y	
Intelligence / Information Sharing and Dissemination	Y	Y	Y		*	Y	Y	Y	Y	Y				
<b>Protect Mission Area Target Capabilities</b>														
Critical Infrastructure Protection	Y	Y	Y		*	Y	Y	Y	Y					
Epidemiological Surveillance & Investigation	Y	Y		Y		Y						Y	Y	Y
Public Health Laboratory Testing	Y	Y		Y		Y						Y	Y	Y
Food and Agriculture Safety and Defense	Y	Y			*	Y				Y				



37 Target Capabilities and Categories	Grant Programs													
	DHS										HHS			
	HSGP					IPP								
	SHSP	UASI	LETPP	MMRS	CCP	BZPP	TSGP	PSSP	IBSGP	EMPG	Firefighters	NBHPP	BTCDP	PHEPCA
<b>Respond Mission Area Target Capabilities</b>														
Onsite Incident Management	Y	Y			*	*	Y	*		Y	Y	Y		
Citizen Protection: Evacuation and/or In-Place Protection	Y	Y		Y	*		Y	*	*	Y				
Emergency Operations Center Management	Y	Y			*	*	Y	Y		Y				
Isolation and Quarantine	Y	Y		Y	*					Y		Y		Y
Critical Resource Logistics and Distribution	Y	Y		Y	*	*	Y	*	*	Y				
Urban Search & Rescue	Y	Y		Y	*		*			Y	Y			
Volunteer Management and Donations	Y	Y			*					Y				
Emergency Public Information and Warning	Y	Y		Y	*	*	Y	Y	*	Y				Y
Responder Safety and Health	Y	Y		Y	*		*	*		Y	Y	Y	Y	Y
Triage and Pre-Hospital Treatment	Y	Y		Y	*		Y			Y	Y	Y		
Public Safety and Security Response	Y	Y		Y	*	*	Y	Y		Y	Y			
Medical Surge	Y	Y		Y	*							Y	Y	
Animal Health Emergency Support	Y	Y			*								Y	
Medical Supplies Management and Distribution	Y	Y		Y	*		*	*	*	Y		Y	Y	
Environmental Health	Y	Y		Y	*									Y
Mass Prophylaxis	Y	Y		Y	*			*		Y		Y	Y	Y
Explosive Device Response Operations	Y	Y			*	*	Y	Y	Y		Y			
Mass Care	Y	Y		Y	*					Y				
Firefighting Operations/Support	Y	Y		Y	*			*			Y			
Fatality Management	Y	Y		Y	*					Y		Y		
WMD/Hazardous Materials Response and Decontamination	Y	Y		Y	*	*	Y			Y	Y	Y	Y	Y
<b>Recover Mission Area Target Capabilities</b>														
Structural Damage and Mitigation Assessment	Y	Y			*		Y							
Economic & Community Recovery	Y	Y			*					Y				
Restoration of Lifelines	Y	Y			*				Y					

## Appendix D – Assistance Resources and Support

### A. Centralized Scheduling and Information Desk (CSID) Help Line

CSID is a non-emergency resource for use by emergency responders across the Nation. CSID is a comprehensive coordination, management, information, and scheduling tool developed by DHS through G&T for homeland security terrorism preparedness activities. CSID provides general information on all G&T programs and information on the characteristics of CBRNE, agriculture, cyber-terrorism, defensive equipment, mitigation techniques, and available Federal assets and resources. CSID also maintains a comprehensive database containing key personnel contact information for homeland security terrorism preparedness programs and events. These contacts include personnel at the Federal, State, and local levels.

*The CSID can be contacted at 1-800-368-6498 or [askcsid@dhs.gov](mailto:askcsid@dhs.gov). CSID hours of operation are from 8:00 am–7:00 pm (EST), Monday-Friday.*

### B. Office of Grant Operations (OGO)

G&T's Office of Grant Operations (OGO) provides fiscal support, including pre- and post-award administration and technical assistance, for the grant programs included in this solicitation, with the exception of payment related issues. All grant and sub-grant recipients should refer to the *OGO Financial Management Guide*, which is available at <http://www.dhs.gov/xopnbiz/grants/>. All payment related questions should be referred to the Office of Justice Programs/Office of the Comptroller (OJP/OC) Customer Service at 1-800-458-0786 or [askoc@ojp.usdoj.gov](mailto:askoc@ojp.usdoj.gov).

*OGO can be contacted at 1-866-9ASK-OGO or by e-mail at [ask-OGO@dhs.gov](mailto:ask-OGO@dhs.gov).*

### C. Homeland Security Preparedness Technical Assistance Program

The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides technical assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to respond to CBRNE terrorist incidents. In addition to the risk assessment assistance already being provided, G&T also offers a variety of other technical assistance programs.

*Further information on the HSPTAP can be found on G&T's website at <http://www.ojp.usdoj.gov/odp/ta.htm> under the Catalog link, or by contacting the CSID.*

## D. Lessons Learned Information Sharing (LLIS) System

LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, AARs from exercises and actual incidents, and other relevant homeland security documents. LLIS facilitates improved preparedness nationwide by providing response professionals with access to a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

The LLIS website also includes a national directory of responders and homeland security officials, as well as an updated list of homeland security exercises, events, and conferences. Additionally, LLIS includes online collaboration tools, including secure email and message boards, where users can exchange information. LLIS uses strong encryption and active site monitoring to protect all information housed on the system.

*The LLIS website is located at <https://www.llis.gov>.*

## E. Equipment Purchase Assistance Program

The Equipment Purchase Assistance Program (EPAP) provides G&T grantees with access to prime vendors through memoranda of agreement with the Defense Logistics Agency (DLA). Benefits of the program include shorter procurement lead time, online ordering, a diverse inventory of commercial products, and seven-day delivery for routine items. When ordering equipment through this program, grantees may only use funds awarded by G&T; State and local funds may not be used. Establishing an account with DLA is a straightforward process that should be initiated by contacting the appropriate program representative. Additional information on the programs and contact information for program representatives is available in a fact sheet posted on the G&T website at <http://www.ojp.usdoj.gov/odp/docs/fs-padef.htm>.


*Further information and contact information for the EPAP can be found on G&T's website at <http://www.ojp.usdoj.gov/odp/docs/fs-padef.htm> or by contacting CSID.*

## F. GSA's Cooperative Purchasing Program

The U.S. General Services Administration (GSA) offers an efficient and effective procurement tool for State and local governments to purchase information technology products and services to fulfill homeland security and other needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes. The Cooperative Purchasing program allows State and local governments to purchase from Schedule 70 (the Information Technology Schedule) and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing is authorized by Federal law and was enacted when Section

211 of the E-Government Act of 2002 amended the Federal Property and Administrative Services Act.

Under this program, State and local governments have access to over 3,500 GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The U.S. General Services Administration provides a definition of State and local governments as well as other vital information under the frequently asked questions section on its website at [www.gsa.gov/cooperativepurchasing](http://www.gsa.gov/cooperativepurchasing). The term “State and local governments” does not include contractors of, or grantees of, the Federal, State, or local governments not otherwise named in the approved list of entities.

*State and local governments can find eligible contractors on GSA’s website, [www.gsa.gov](http://www.gsa.gov), denoted with a  symbol. Assistance is available from GSA at the local and national level. For assistance at the local level, visit [www.gsa.gov/csd](http://www.gsa.gov/csd) to find the point of contact in your area. For assistance at the national level, contact Patricia Reed at [patricia.reed@gsa.gov](mailto:patricia.reed@gsa.gov), 213-534-0094. More information is available at [www.gsa.gov/cooperativepurchasing](http://www.gsa.gov/cooperativepurchasing).*

## G. Exercise Direct Support

DHS has engaged multiple contractors with significant experience in designing, conducting, and evaluating exercises to provide support to States and local jurisdictions in accordance with the State Homeland Security Strategies and HSEEP. Contract support is available to help States conduct an Exercise Plan Workshop, develop a Multi-year Exercise Plan and build or enhance the capacity of States and local jurisdictions to design, develop, conduct, and evaluate effective exercises.

Direct support to States will be provided on a reduced basis during FY 2007. In FY 2007, States will receive Direct Support for three exercises: one Training and Exercise Plan Workshop, one discussion-based exercise, and one operations-based exercise. While States are allowed to submit as many direct support applications as they choose, they are strongly encouraged to give careful thought to which exercises will require the additional assistance that will be provided through the Direct Support program. Exercises involving cross-border or mass-gathering issues will be counted against the number of direct-support exercises being provided to States.

Applications for direct support are available at <http://hseep.dhs.gov> and are reviewed on a monthly basis.

HSEEP offers several tools and resources to help design, develop, conduct, and evaluate exercises, including:

- HSEEP Volumes I-IV
- HSEEP Training (Mobile Course and Independent Study Course)
- HSEEP Toolkit

- HSEEP Website (<http://hseep.dhs.gov>)

## H. Protected Critical Infrastructure Information (PCII)

The security and protection of the Nation's critical infrastructure are of paramount importance, not only to the Federal, State, and local governments, but also to private utilities, businesses, and industries. The PCII Program, established pursuant to the Critical Infrastructure Information Act of 2002 (CII Act), created a new framework, which enables State and local jurisdictions, and members of the private sector, to voluntarily submit sensitive information regarding the Nation's CI/KR to DHS. The Act also provides statutory protection for voluntarily shared CII from public disclosure and civil litigation. If validated as Protected Critical Infrastructure Information, these documents can only be shared with authorized users who agree to appropriately safeguard the information.

The PCII Program seeks to facilitate greater sharing of CI/KR information among the owners and operators of critical infrastructures and government entities with infrastructure protection responsibilities, thereby reducing the Nation's vulnerability to terrorism. In support of this effort, DHS has developed an accreditation program to prepare government entities to properly handle and safeguard PCII. Accreditation is formal recognition that the covered government entity has the capacity and capability to receive and store PCII. DHS encourages all SAAs to pursue PCII accreditation to enable their State government and attending local government agencies to access PCII. Accreditation activities include signing an MOA with DHS, appointing a PCII Officer, training potential and current PCII users, and implementing a self-inspection program.

For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at [pcii-info@dhs.gov](mailto:pcii-info@dhs.gov).

## I. Information Sharing Systems

DHS encourages all State, regional, local, and Tribal entities using FY 2007 HSGP funding in support of information sharing and intelligence fusion and analysis centers to leverage available Federal information sharing systems, including Law Enforcement Online (LEO) and the Homeland Security Information Network (HSIN). For additional information on LEO, contact the LEO Program Office at [leoprogramoffice@leo.gov](mailto:leoprogramoffice@leo.gov) or 202-324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at 703-674-3003.

## Appendix E – Acronyms

### A

AAR	After Action Reports
ACH	Automated Clearing House
AEL	Authorized Equipment List
AFG	Assistance to Firefighters Grants
AHRQ	Agency for Healthcare Research and Quality
ANSI	American National Standards Institute
ASAP	Automated Standard Application for Payments

### B

BSIR	Biannual Strategy Implementation Reports
BZPP	Buffer Zone Protection Program

### C

CAPR	Categorical Assistance Progress Reports
CCR	Central Contractor Registry
CBP	Customs and Border Protection
CBRNE	Chemical, Biological, Radiological, Nuclear, and Explosive
CCP	Citizen Corps Program
CCTV	Closed-Circuit Television
CDC	Centers for Disease Control and Prevention
CERT	Community Emergency Response Teams
CFA	Capability Focus Area
CFR	Code of Federal Regulations
CFDA	Catalog of Federal Domestic Assistance
CI/KR	Critical Infrastructure/Key Resources
CIP	Critical Infrastructure Protection
CMIA	Cash Management Improvement Act
COG	Continuity of Government
COOP	Continuity of Operations
CO-OP	Cooperative Training Outreach Program
CRI	Cities Readiness Initiative
CSID	Centralized Scheduling and Information Desk

### D

D&B	Dun and Bradstreet
DHS	U.S. Department of Homeland Security
DLA	Defense Logistics Agency
DNDO	Domestic Nuclear Detection Office
DOJ	U.S. Department of Justice
DOT	U.S. Department of Transportation
DUNS	Data Universal Numbering System

**E**

EDAP	Excess Delivery Acquisition Program
EEG	Exercise Evaluation Guide
ELO	Enabling Learning Objectives
EMAC	Emergency Management Assistance Compact
EMI	Emergency Management Institute
EMPG	Emergency Management Performance Grants
EMS	Emergency Medical Services
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
EPAP	Equipment Purchase Assistance Program
ESF	Emergency Support Function

**F**

FAR	Federal Acquisition Regulations
FBI	Federal Bureau of Investigation
FEMA	Federal Emergency Management Agency
FOIA	Freedom of Information Act
FSR	Financial Status Report
FTE	Full-Time Employees

**G**

G&T	Office of Grants and Training
GAN	Grant Adjustment Notice
GAO	Government Accountability Office
GMS	Grants Management System
GPRA	Government Performance and Results Act

**H**

HAZMAT	Hazardous Materials
HDER	Homeland Defense Equipment Reuse
HHS	U.S. Department of Health and Human Services
HRSA	Health Resources and Services Administration
HSA	Homeland Security Advisor
HSC	Homeland Security Council
HSEEP	Homeland Security Exercise and Evaluation Program
HSGP	Homeland Security Grant Program
HSIN	Homeland Security Information Network
HSPD	Homeland Security Presidential Directive
HSPTAP	Homeland Security Preparedness Technical Assistance Program

**I**

IAFIS	Integrated Automated Fingerprint Identification System
IALEIA	International Association of Law Enforcement Intelligence Analysts
IBSGP	Intercity Bus Security Grant Program

	ICS	Incident Command System
	ICTAP	Interoperable Communications Technical Assistance Program
	IP	Improvement Plan
	IPP	Infrastructure Protection Program
	IPRSGP	Intercity Passenger Rail Security Grant Program
	ISIP	Initial Strategy Implementation Plan
<b>J</b>		
	JTTF	Joint Terrorism Task Force
<b>L</b>		
	LAP	Lesson Administration Page
	LEP	Limited English Proficient
	LETPP	Law Enforcement Terrorism Prevention Program
	LLEA	Lead Law Enforcement Agency
	LLIS	Lessons Learned Information Sharing
	LOCES	Letter of Credit Electronic Certification System
<b>M</b>		
	M&A	Management and Administrative
	MEEMCN	Minimum Essential Emergency Medical Communications Network
	MIPT	National Memorial Institute for the Prevention of Terrorism
	MOA	Memorandum of Agreement
	MOU	Memorandum of Understanding
	MMRS	Metropolitan Medical Response System
	MRC	Medical Reserve Corps
	MS&G	Models, Simulations, and Games
<b>N</b>		
	NBHP	National Bioterrorism Hospital Preparedness Program
	NCIC	National Crime Information Center
	NCR	National Capital Region
	NDPC	National Domestic Preparedness Consortium
	NEPA	National Environmental Policy Act
	NFA	National Fire Academy
	NGO	Non-Governmental Organization
	NIC	NIMS Integration Center
	NIEM	National Information Exchange Model
	NIMS	National Incident Management System
	NIPP	National Infrastructure Protection Plan
	NRP	National Response Plan
	NSGIC	National States' Geographic Information Council
	NSSE	National Special Security Event
<b>O</b>		
	OC	Office of the Comptroller



	ODP	Office for Domestic Preparedness
	OIC	Office for Interoperability and Compatibility
	OGO	Office of Grant Operations
	OJP	Office of Justice Programs
	OMB	Office of Management and Budget
	OSHA	Occupational Safety and Health Administration
<b>P</b>		
	PAPRS	Phone Activated Paperless Request System
	PHEP	Public Health Emergency Preparedness
	POC	Point of Contact
	POETE	Plan, Organize, Equip, Train, Exercise
	POI	Point of Instruction
	PPE	Personal Protective Equipment
	PSGP	Port Security Grant Program
<b>R</b>		
	RDT&E	Research, Development, Testing, and Evaluation
	RKB	Responder Knowledge Base
	RTSWG	Regional Transit Security Working Group
<b>S</b>		
	SAA	State Administrative Agency
	SEL	Standardized Equipment List
	SHSEEP	State Homeland Security Exercise and Evaluation Program
	SHSP	State Homeland Security Program
	SNS	Strategic National Stockpile
	SOP	Standard Operating Procedure
	SPOC	Single Point of Contact
	SRM	Service Reference Model
	STE	Secure Terminal Equipment
<b>T</b>		
	T&EPW	Training and Exercise Planning Workshop
	TA	Technical Assistance
	TCL	Target Capabilities List
	TLO	Terminal Learning Objectives
	TOPOFF	Top Officials Exercise
	TPOC	Training Point of Contact
	TSGP	Transit Security Grant Program
	TSP	Training Support Package
<b>U</b>		
	UASI	Urban Areas Security Initiative
	UAWG	Urban Area Working Group
	UHF	Ultra High Frequency

<b>V</b>	USDA	U.S. Department of Agriculture
	VIPS	Volunteers in Police Service
	VTEP	Voluntary Training Enhancement Program
<b>W</b>		
	WMD	Weapons of Mass Destruction
<b>X</b>		
	XML	Extensible Markup Language