

REQUEST FOR APPLICATIONS (RFA) #05 HSGP - UASI

Government of the District of Columbia
Executive Office of the Mayor
Office of the Deputy Mayor for Public Safety and Justice

**FISCAL YEAR 2005 HOMELAND SECURITY GRANT
PROGRAM: URBAN AREAS SECURITY INITIATIVE**

RFA Release Date: January 7, 2005

Application Submission Deadline: March 1, 2005, 5:00 p.m.

LATE APPLICATIONS WILL NOT BE ACCEPTED

Contact Person: Leeann Turner
(202) 727-9542
leeann.turner@dc.gov

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SECTION I: GENERAL INFORMATION

A. Background

The FY05 Urban Areas Security Initiative (UASI) Program provides financial assistance to address the unique planning, equipment, training, and exercise needs of large urban areas, and to assist them in building an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism.

The intent of the UASI program is to create a sustainable national model program to enhance security and overall preparedness to prevent, respond to, and recover from acts of terrorism. States must ensure that the identified urban areas take an inclusive regional approach to the development and implementation of the FY05 UASI Program and involve core cities, core counties, contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, state agencies, Citizen Corps Council(s), and MMRS steering committees.

The FY05 UASI Program further provides the opportunity to enhance regional preparedness efforts. Urban areas are encouraged to employ regional approaches to overall preparedness and to adopt regional response structures whenever appropriate to meet the needs identified through the assessments and in the urban area strategy. Furthermore, it is the Office of Domestic Preparedness's (ODP) intent to guide state and urban area security and preparedness efforts toward a project-oriented process to address 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. In addition, urban areas should include citizens in planning, preparedness, training, exercises, and volunteer activities to support first responders through the local Citizen Corps Council(s).

B. Granting Office

The FY 2005 HSGP: UASI program for the National Capital Region, is distributed and monitored by the State Administrative Agent (SAA) for the District of Columbia, more specifically, the Office of the Deputy Mayor of Public Safety and Justice.

C. Eligibility

Eligible applicants must be a National Capital Region (NCR) local government entity or a non-profit organization located within and serving the needs of the NCR. Furthermore, in order to be considered an eligible project, it must be vetted and endorsed by the Regional Emergency Support Function (R-ESF) committees at the Metropolitan Washington Council of Governments (MWCOG).

Title 10, United States Code, Section 2674 (f) (2) provides the following definition of the National Capital Region:

The term “National Capital Region” means the geographic area located within the boundaries of (A) the District of Columbia, (B) Montgomery and Prince Georges Counties in the State of Maryland, (C) Arlington, Fairfax, Loudoun, and Prince William Counties and the City of Alexandria in the Commonwealth of Virginia, and (D) all cities and other units of government within the geographic areas of such District, Counties, and City.

D. Inquiries

To ensure fairness and consistency, all questions not addressed in this Request for Applications (RFA) must be submitted in writing. The question and answer will then be distributed to all those parties requesting an application. Questions that can be answered by referring to sections of the application or that are specific to an applicant may be answered directly by grant administration staff. Oral explanations or instructions given prior to the award of grants will not be binding.

Applicants may submit written questions regarding application instructions to:

Leeann Turner
Director for Homeland Security Grants Administration
Office of the Deputy Mayor for Public Safety and Justice
1350 Pennsylvania Ave. NW
Suite 327
Washington, DC 20004
Email: leeann.turner@dc.gov

All questions must be received by 5:00 pm, February 21, 2005. Any applicant who has requested and received an RFA may request a copy of the written responses to all properly submitted inquiries or any resulting amendments to this RFA.

E. Regulations

All applications will be considered under the Federal guidelines that determine allowable expenses.

F. Amount of Funding

A total of \$77,500,000 is available in the FY 2005 Homeland Security Grant Program: Urban Areas Security Initiative.

G. Match Requirement

The Fiscal Year 2005 Homeland Security Grant Program: Urban Areas Security Initiative does not have a match requirement.

H. Response Date

To be considered, **proposals must be received no later than 5:00 p.m. Tuesday, March 1, 2005.**

Proposals must be mailed or hand-delivered to:

Leeann Turner
Director for Homeland Security Grants Administration
Office of the Deputy Mayor for Public Safety and Justice
1350 Pennsylvania Ave. NW
Suite 327
Washington, DC 20004
Email: leeann.turner@dc.gov

Any proposal received after the specified time will be considered **INELIGIBLE** and will **NOT** be reviewed for funding. Faxed proposals will not be accepted.

I. Period of Performance

These grant funds will be allocated for the period beginning October 1, 2004 through January 31, 2007. All grant expenditures must occur within this time frame. Any extensions of this period of funding must be negotiated on an individual basis and should not be assumed. The Office of the Deputy Mayor for Public Safety and Justice does reserve the right to negotiate alternative funding dates if needed.

J. Application Review and Funding Allocations

When the application is received, grant administration staff will verify that all required materials have been included and placed in the proper order. No late or additional submissions of information will be accepted. Applications that are not complete will be considered non-responsive. After applications are checked for completion, they will be forwarded to the Chief Administrative Officers (CAO) committee at MWCOG and the National Capital Region Senior Policy Group (SPG) to determine what projects will be funded and at what funding level. These decisions are based on individual scoring of applications and take into consideration:

- ❑ Eligibility of costs and project activities contained in the application based on the specific federal grant requirements.
- ❑ Extent to which the project meets the goals and objectives of the National Capital Region Urban Area Homeland Security Strategy and the NCR Eight Commitments to Action.
See Appendix A
- ❑ Past performance of the applicant with regards to FY02-04 Emergency Preparedness/Homeland Security Grant Programs.
- ❑ Overall priorities of the National Capital Region.
- ❑ Amount of funds available to meet the requests.

Proposal Review Criteria

Criterion 1: Program Overview (60)

- Statement of need (20)
 - Documentation of identified need for services
 - Description of how the need meets the NCR/UAHSS goals and objectives and/or the NCR Eight Commitments to Action (*see Appendix A*)
 - Description of how the need meets the national initiatives (*see section IV.*)
- Services to be provided (20)
 - Detailed description of the project
 - How the services provided will meet the identified need
- Goals and Objectives (20)
 - Measurable and Specific to project
 - Clearly outline the activities of the project

Criterion 2: Management Overview (5)

- Organizational structure that ensures project success
- Clearly defined roles and job descriptions for the project

Criterion 3: Fiscal Management (5)

- Accounting safeguards and structure
- Current audit and response to any findings (if applicable)
- Accurate and defined budget for project

Criterion 4: Evaluation (30)

- Applicant must have a strategy for evaluating program, including a clear methodology and data and instruments that will be used for evaluation.

From this review and rating process, specific allocations will be determined. All decisions made by the CAO and SPG are final and binding. Note: As there are generally far more requests for funds than funds available, applicants may not be chosen for funding or may receive only partial funding for the project.

K. Notification of Award

The Office of the Deputy Mayor for Public Safety and Justice will notify all applicants of the final award decisions within 10 working days of the determination. For those applicants receiving funding, this notice will include the amount of funds to be granted, identify any unallowable costs that application contains, note any reduction in funding from the initial request and outline the necessary steps the applicant must complete to establish the actual award. **No grant activities should begin until the actual grant award has been issued.** All applicants will be notified of the status of their application, via email, within this time frame.

SECTION 2 : PROPOSAL FORMAT

A. Description of Proposal Sections

Applicants are required to follow the format below and each proposal must contain the following information. Any missing items or format deviations may render the proposal non-responsive. Pages in excess of the maximum allowed will be deleted from the proposal:

- a. Applicant Profile (**See Appendix B**)
- b. Table of Contents (**Not counted in page total**)
- c. Proposal Summary (**Not to exceed 5 pages**)
- d. Project Goals and Objectives (**Not to exceed 5 pages**)
- e. Project Description (**Not to exceed 10 pages**)
- f. Organization, Experience & Qualifications (**Not to exceed 5 pages**)
- g. Staffing Plan (**Not counted in page total**)
- h. Project Budget and Budget Narrative (**Not counted in page total**)
- i. Certifications and Assurances (**Not counted in page total**)
- j. Appendices

The maximum number of pages for the total proposal cannot exceed twenty (20) single-spaced pages on 8 ½ by 11 inch paper. Margins must be not less than one inch and a font size of 12-point is required (New Times Roman or Courier type recommended). Pages should be numbered. Applicants should feel free to submit fewer pages than recommended for any section.

The purpose and content of each section is described below. Applicants should include all information needed to adequately describe their objectives and plans for services. It is important that proposals reflect continuity among the goals and objectives, project design, work plan of activities, and that the budget demonstrates the level of effort required for the proposed services.

- a. **Applicant Profile** - Each applicant must include an Applicant Profile, which identifies the applicant, type of organization, project service area and the amount of grant funds requested. *See Appendix B.*
- b. **Table of Contents** - The Table of Contents should list major sections of the proposal with quick reference page indexing.
- c. **Proposal Summary** - This section of the application should be brief and serve as the cornerstone of the proposal. The proposal summary should highlight the major aspects of the objectives that are discussed in depth in other sections of the proposal.
- d. **Project Goals, Objectives and Implementation Steps** - This section of the application should identify measurable objectives with specific implementation steps for achieving the project goals. Overarching project goals should be related to the goals and objectives found in the NCR Urban Area Homeland Security Strategy and/or the NCR Eight Commitments to Action. *See Appendix A for NCR/HSS goals*

and objectives and NCR Eight Commitments to Action. See Appendix D for format requirements.

e. Project Description - The section of the application should contain the description of activities that justifies and describes the project to be implemented. Also include specific steps that will be taken to address the national initiatives (*see section IV*). The project description should describe the steps that will be taken address one or more of the following:

- Assess vulnerability of and harden critical infrastructures,
- Build/enhance a pharmaceutical stockpile and distribution network,
- Develop/enhance interoperable communication systems,
- Enhance capability to support international border and waterway security,
- Establish/enhance a public health surveillance system,
- Establish/enhance a terrorism/early warning system, center, or task force,
- Establish/enhance Citizen Corps Councils,
- Establish/enhance citizen emergency preparedness awareness campaigns,
- Establish/enhance cyber security programs,
- Establish/enhance emergency operations centers,
- Establish/enhance explosive ordinance disposal units/bomb squads,
- Establish/enhance public-private emergency preparedness programs,
- Establish/enhance regional response teams,
- Establish/enhance sustainable homeland security exercise programs,
- Establish/enhance sustainable homeland security training programs,
- Establish/enhance sustainable homeland security planning programs, or
- Manage, update and/or implement the State Homeland Security Strategy

f. Organization, Experience, and Qualifications of Applicant - This section shall describe the capability of the prospective grantee to fulfill the requirements of the Scope of Services and other essential information concerning the prospective grantee as follows:

- Information and evidence regarding the qualifications, experience, expertise, and capability of the prospective grantee to address the needs of the selected target population.
- Information and evidence regarding the qualifications, experience, expertise and capability of the prospective grantee to provide the proposed services.
- Past and present specific experience in successfully operating a project similar to that required in this RFA.
- A copy of any specific license or certification required to perform the services of this grant, including, but not limited to an appropriate certificate of occupancy.
- Documentation that key management and project staff meet District license and/or certification requirements if appropriate.
- Proof of current registration and status of non-profit organization.

g. Staffing Plan

- Proposed staffing patterns should reflect the number and type of personnel required for the delivery of all services, including volunteers, and the percentage of time that each will devote to the project shall be depicted.
- The applicant shall describe in the application how it will keep accurate personnel records for each employee, including name, address, social security number, a resume of education, training, previous employment, letter of employment and salary. When hiring staff, written work experience and personal references must be obtained and documented.
- The applicant must provide evidence that all personnel involved in the provision of services are properly trained and qualified to carry out these services. Accordingly, the applicant shall include in the application, at a minimum, a staffing pattern and associated job descriptions and qualifications of the staff. Job descriptions must be specific to the position to be funded. Submissions of generic job descriptions for similar type positions are not acceptable. The job description must also specify requirements relative to accountability and supervision. Job descriptions shall be included in the application submission.

h. Project Budget and Budget Justification - Standard budget forms are provided in Appendix C. The budget for this proposal shall contain detailed, itemized cost information that shows personnel and other direct costs. The detailed budget narrative shall contain a justification for each category listed in the budget. The narrative should clearly state how the applicant arrived at the budget figures.

For example:

- **Personnel.** Salaries and wages for full and part-time project staff should be calculated in the budget section of the grant proposal. If staff members are being paid from another source of funds, their time on the project should be referred to as donated services (i.e., in-kind, local share, and applicant share). Fringe should not exceed 20%.
- **Non-Personnel.** These costs generally include expenditures for space rented or donated, and should be comparable to prevailing rents in the surrounding geographic area. Applicants should also add in the cost of utilities and telephone services directly related to grant activities, maintenance services (if essential to the Project) and insurance on the facility.
- **Costs** for the rental, lease and purchase of equipment should be included, listing office equipment, desks, copying machines, word processors, etc. Cost for supplies such as paper, stationery, pens, computer diskettes, publications, subscriptions and postage should also be estimated in detail.
- All **transportation-related expenditures** should be included, estimates on staff travel, pre-approved per diem rates, ground transportation, consultant travel costs, employee reimbursement and so forth.
- **Funding from Other Sources.** If the applicant is requesting funds from this Project to support an existing project, the applicant must state with specificity, the

amount of funding that will be used from other sources, and must identify those sources.

- i. Certification and Assurances** - Application shall provide the information requested in Appendices E and F and return them with the application.
- j. Appendices** - This section shall be used to provide technical material, supporting documentation and endorsements. Such items may include:
 - Audited financial statement
 - Indication of nonprofit corporation status
 - Roster of Board of Directors
 - Proposed organizational chart for the project
 - Staff resumes
 - Position/Job descriptions

B. Application Identification

Six (6) copies, including an original and five (5) copies, of the application are to be submitted in a sealed envelope or package clearly marked “**Application in Response to FY2005 HSGP: UASI.**” **Of the six (6) copies, one (1) copy must be an original.** Applications that are not submitted in a sealed envelope or package and so marked **will not be accepted**. Telephonic, telegraphic, electronic and facsimile submissions **will not be accepted**.

Application Submission Date and Time

Applications are due no later than 5:00p.m. EST, on March 1, 2005. All applications will be recorded upon receipt. **Applications will not be accepted at or after 5:01p.m., EST, on March 1, 2004. Any additions or deletions to an application will not be accepted after the deadline.**

Six (6) copies, including one (1) original and five (5) copies of the application **must be** mailed or delivered to the following location:

Office of the Deputy Mayor for Public Safety and Justice
Attention: Leann Turner
1350 Pennsylvania, NW, Suite 327
Washington, DC 20004

Mail/Courier/Messenger Delivery

Applications that are mailed or delivered by Messenger/Courier services must be sent in sufficient time to be received by the 5:00p.m., EST, deadline on March 1, 2005 at the above location. The Office of the Deputy Mayor for Public Safety and Justice will not accept applications arriving via messenger/courier services at or after 5:01 p.m., EST on March 1, 2005

LATE APPLICATIONS WILL NOT BE ACCEPTED

SECTION III: PROGRAM GUIDANCE

A. Management and Administrative Costs

Local jurisdiction sub grantees may retain and use up to 2.5% of their sub award for local M&A purposes.

A.1 - Allowable Management and Administrative Costs

- Hiring of full-time or part-time staff or contractors/consultants:
 - To assist with the management of FY05 UASI programs.
 - To assist with design, requirements, and implementation of FY05 UASI programs.
 - To assist with the implementation and administration of the NCR/HSS, as it may relate to the individual grant program.
- Hiring of full-time or part-time staff or contractors/consultants and expenses related to:
 - UASI pre-application submission management activities and application requirements.
 - Meeting compliance with reporting/data collection requirements, including data calls.
- Development of operating plans for information collection and processing necessary to respond to DHS/ODP data calls
- Travel expenses
- Meeting-related expenses (For a complete list of allowable meeting-related expenses, please review the *OJP Financial Guide* at <http://www.ojp.usdoj.gov/FinGuide>).
- Acquisition of authorized office equipment:
 - including personal computers, laptop computers, printers, LCD projectors, and other equipment or software which may be required to support the implementation of the homeland security strategy
- The following are allowable only within the period of performance of the grant program:
 - Recurring fees/charges associated with certain equipment, such as cell phones, faxes, etc.
 - Leasing and/or renting of space for newly hired personnel to administer programs within FY05 HSGP.

B. Planning Programs

UASI funds may be used for a range of homeland security planning activities, including the following:

B.1 - Developing and implementing homeland security support programs and adopting DHS national initiatives including but not limited to the following:

- Costs associated with the implementation and adoption HSPD-8 initiatives
- Costs associated with the implementation and adoption of NIMS
- Costs associated with the modifying existing incident management and emergency operations plans to ensure proper alignment with the NRP coordinating structures, processes, and protocols
- Establishment or enhancement of mutual aid agreements
- Development of communications and interoperability protocols and solutions
- Conducting local, regional, and tribal program implementation meetings
- Developing or updating resource inventory assets in accordance to typed resource definitions issued by the NIC
- Design state and local geospatial data systems
- Development of related critical infrastructure terrorism prevention activities including:
 - Planning for enhancing security during heightened alerts, during terrorist incidents, and/or during mitigation and recovery
 - Public information/education: printed and electronic materials, public service announcements, seminars/town hall meetings, web postings coordinated through local Citizen Corps Councils
 - Citizen Corps activities in communities surrounding critical infrastructure sites, including Neighborhood Watch, VIPS, and other opportunities for citizen participation
 - Evaluating CIP security equipment and/or personnel requirements to protect and secure sites
 - CIP cost assessments, including resources (financial, personnel, etc.) required for security enhancements/deployments.

B.2 - Develop and enhance plans and protocols, including but not limited to:

- Develop or enhance emergency operations plans and operating procedures
- Develop terrorism prevention/deterrence plans
Develop plans, procedures, and requirements for the management of infrastructure and resources related to HSGP and implementation of State or Urban Area Homeland Security Strategies
- Develop or enhance border security plans
- Develop or enhance cyber security plans
- Develop or enhance cyber risk mitigation plans
- Develop or enhance agriculture/food security risk mitigation, response, and recovery plans
- Develop public/private sector partnership emergency response, assessment, and resource sharing plans
- Develop or update local or regional communications plans
- Development of plans to support and assist special needs jurisdictions, such as port authorities and rail and mass transit agencies
- Development or enhancement of continuity of operations and continuity of government plans

- Development or enhancement of existing catastrophic incident response and recovery plans to include and integrate federal assets provided under the NRP.

B.3 - Develop or conduct assessments, including but not limited to:

- Conduct point vulnerability assessments at critical infrastructure sites/key assets and develop remediation/security plans
- Conduct cyber risk and vulnerability assessments
- Conducting assessments and exercises of existing catastrophic incident response and recovery plans and capabilities to identify critical gaps that cannot be met by existing local and state resources
- Activities which directly support the identification of specific catastrophic incident priority response and recovery projected needs
- Activities which directly support the identification and advance preparation of predesignated temporary housing sites; for example:
 - Conducting assessments and studies to identify qualified candidate sites
 - Obtaining accurate site surveys and existing utility information
 - Coordinating zoning requirements and necessary permits and/or waivers
 - Coordinating environmental impact requirements related to a selected site
 - Coordinating historic preservation requirements related to a selected site.

B.4 - Allowable Planning Costs

- Public Education/Outreach
- Develop and implement homeland security support programs and adopt ongoing DHS national initiatives
- Develop and enhance plans and protocols
- Develop or conduct assessments
- Establish, enhance, or evaluate Citizen Corps-related volunteer programs
- Hiring of full or part-time staff or contractors/consultants to assist with planning activities (not for the purpose of hiring public safety personnel)
- Conferences to facilitate planning activities
- Materials required to conduct planning activities
- Travel/per diem related to planning activities
- Other projects areas with prior approval from ODP

C - Equipment Programs

Allowable equipment categories for FY05 HSGP are listed on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by ODP and the Oklahoma City National Memorial Institute for the Prevention of Terrorism (MIPT) at <http://www.rkb.mipt.org>. The website is designed to provide emergency responders, purchasers, and planners with a trusted, integrated, online source of information on products, standards, certifications, grants, and other equipment related information. By integrating this information, which includes the InterAgency Board's (IAB) Standardized Equipment List (SEL) and the AEL from ODP, into one location, responders, vendors, standards organizations, training facilities, and grant making organizations have a trusted first source to answering questions such as:

- What equipment is on the market?
- Has it been certified?
- If so, to what standard?
- What training is needed to use it effectively?
- Are there experts available for consultation and questions?

The FY05 HSGP AEL is housed on the RKB and relies heavily on the SEL developed by the IAB for Equipment Standardization and Interoperability. The 2005 AEL has been modified to facilitate cross-referencing of the SEL in an effort to eliminate redundancy. Both the AEL and SEL are available on the RKB, which also offers an interactive version that provides links to corresponding SEL items and commercial products.

In some cases, items on the SEL are not allowable under FY05 HSGP or will not be eligible for purchase unless specific conditions are met. In addition, some items eligible under this grant program are beyond the scope of the SEL and thus will only appear in the AEL.

C.1 - Information Technology Programs

C.1.a - Extensible Markup Language (XML) Requirements

- XML is a computer programming language designed to transmit both data and the meaning of the data. The XML specification defines a standard way to add markup language to documents, identifying the embedded structures in a consistent way. By applying a consistent identification structure, data can be shared between different systems, up and down the levels of agencies, across the nation, and around the world, with the ease of using the Internet. XML lays the technological foundation that supports interoperability and the exchange of information to support DHS efforts in the prevention, preparedness, and response to threats or acts of terrorism.
- To support homeland security, public safety, and justice information sharing, ODP requires all grantees to use the Global Justice Data Model specifications and guidelines regarding the use of XML for all HSGP awards. The grantee shall make available without restriction all schemas (extensions, constraint, proxy) generated as a result of this grant, as specified in the guidelines. The Global Justice XML Data Model (GJXDM) is intended to be a data reference model for the exchange of information within the homeland security, justice, and public safety communities. GJXDM is a product of the Global Justice Information Sharing Initiative's (Global) Infrastructure and Standards Working Group (GISWG). It was developed by the GISWG's XML Structure Task Force (XSTF). The Global Justice Data Model specifications and guidelines include the use of XML to support the exchange of information within the homeland security, public safety, and justice communities.
- Most major software vendors fully support the general XML standard, and major database vendors and their database applications provide software development "tools" to assist homeland security technical staff to develop and use XML more

efficiently and productively within agency applications. The general XML standard is designed to be independent of vendor, operating system, source application, destination application, storage medium (database), and/or transport protocol.

- Additionally, the use of XML allows homeland security personnel to share vital information which no longer entails purchasing new systems or compromising one's business practices. XML allows systems already in use and those being developed to communicate with each other and paves the way for future expanded collaboration between agencies. Further information about the required use of XML and Global Justice Data Model specifications and guidelines is available at <http://www.it.ojp.gov/gjxdm>.

C.1.b - Geospatial Guidance

- Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). In geospatial systems, this location information is often paired with detailed information about the location such as the following: purpose/use, status, capacity, engineering schematics, operational characteristics, environmental and situational awareness.
- State and local emergency organizations will increasingly incorporate geospatial technologies and data to prepare, prevent, respond and recover from terrorist activity. In the preparedness phase, emergency planners and responders need current, accurate, and easily accessible information to ensure the readiness of teams to respond. It is also an important component in strategy development, the mapping and analysis of critical infrastructure vulnerabilities, and public health surveillance capabilities. Geospatial information can provide a means to prevent terrorist activity by detecting and analyzing patterns of threats and possible attacks, and sharing that intelligence. During response and recovery, geospatial information is used to provide a dynamic common operating picture, coordinate and track emergency assets, enhance 911 capabilities, understand event impacts, accurately estimate damage, locate safety zones for quarantine or detention, and facilitate recovery.
- Please see *Appendix J: Geospatial Guidance* for additional information. Authorized equipment expenditures (hardware, software, and data) for geospatial homeland security purposes are primarily described in Information Technology section of the Authorized Equipment List.

C.2 - Allowable Categories of Equipment For Purchase

- Personal Protection Equipment (PPE)
- Explosive Device Mitigation and Remediation Equipment
- CBRNE Operational Search and Rescue Equipment
- Information Technology

- Cyber Security Enhancement Equipment
- Interoperable Communications Equipment
- Detection Equipment
- Decontamination Equipment
- Medical Supplies and Limited Pharmaceuticals
- Power Equipment
- CBRNE Reference Materials
- CBRNE Incident Response Vehicles
- Terrorism Incident Prevention Equipment
- Physical Security Enhancement Equipment
- Inspection and Screening Systems
- Agricultural Terrorism Prevention, Response, and Mitigation Equipment
- CBRNE Response Watercraft
- CBRNE Aviation Equipment
- CBRNE Logistical Support Equipment
- Intervention Equipment
- Other Authorized Equipment

D - Operational Activities

The National Capital Region may use up to **25%** of FY05 UASI funds to support operational overtime costs associated with increased security measures at critical infrastructure sites in UASI jurisdictions. No more than **25%** of the gross amount of the UASI awards may be used for operational expenses and overtime costs for the three (3) operational activities noted below.

1. The National Capital Region may use up to **25%** of FY05 UASI funds to support operational overtime costs associated with increased security measures at critical infrastructure sites in UASI jurisdictions.
 - Of this amount, up to **10%** of FY05 UASI funds may be used to support operational overtime costs incurred at **Code Yellow or Orange** alert that are associated with increased security measures at critical infrastructure sites in UASI jurisdictions.
 - The remaining **15%** of FY05 UASI funds may be used to support operational overtime costs incurred **only** at **Code Orange** alert that are associated with increased security measures at critical infrastructure sites in UASI jurisdictions.

This guidance also applies to operational overtime costs incurred at National Special Security Events (NSSEs) in UASI jurisdictions, as designated by the Secretary of Homeland Security.

States should be judicious in the use of federal grant funds when protecting critical infrastructure and should leverage public/private partnerships. States should also consider the use of private assets in the protection of private facilities.

In support of these efforts for enhanced capabilities of detecting, deterring, disrupting, and preventing acts of terrorism, costs eligible for reimbursement under this policy are identical to those deemed allowable under previous Code Orange alerts. Therefore, subject to the conditions stated above, states and local governments may use FY05 UASI and LETPP funds 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)
- 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).

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

2. 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, Joint Terrorism Task Forces (JTTF), Area Maritime Security Committees (as required by the Maritime Transportation Security Act of 2002), and Terrorism Early Warning (TEW) groups.
3. Hiring of contractors/consultants is allowable for participation in information/intelligence sharing groups or intelligence fusion centers.

Funding may not be used to supplant ongoing, routine public safety activities of state and local emergency responders, and may not be used to hire staff for operational activities or backfill.

D.1 - Critical Infrastructure Protection

States and local governments should generally consider critical infrastructure to include any system or asset that if attacked would result in catastrophic loss of life and/or catastrophic economic loss. In addition, protection for the following specific types of facilities should also be considered:

- Protective security enhancements for large public gatherings/areas, such as New Year's Eve celebrations, sporting events and outdoor concerts
- Public water systems serving large population centers
- Primary data storage and processing facilities, major stock exchanges and major banking centers
- Chemical facilities located in close proximity to large population centers
- Major power generation facilities that exceed 2000MW and if successfully attacked would disrupt the regional electric grid

- Hydroelectric facilities and dams that produce power in excess of 2000MW or could result in catastrophic loss of life if breached
- Nuclear Power plants
- Electric substations 500KV or larger, and substations 345KV or larger that are part of a critical system supporting populations in excess of one million people
- Rail and highway bridges over major waterways that, if destroyed, would cause catastrophic economic loss
- Major highway tunnels under waterways that if attacked would cause catastrophic loss of life or catastrophic economic impact
- Major natural gas transmission pipelines in excess of 3000 bcf throughput
- Natural gas and liquid natural gas (LNG) storage facilities
- Major petroleum handling facilities such as pipelines, ports, refineries and terminals
- Major mass transit subway systems and the supporting ventilation systems
- Telecommunications, internet, and cyber facilities

E. Training Programs

States, territories, and urban areas may use HSGP funds to enhance the capabilities of state and local emergency preparedness and response personnel through development of a state homeland security training program. Allowable training-related costs under ODP grant programs include: 1) establishment of CBRNE terrorism and cyber security training programs within existing training academies, universities or junior colleges; and 2) overtime and backfill costs associated with attendance at ODP-sponsored and ODP approved CBRNE and cyber security training courses.

The target audience for training courses include emergency preparedness, prevention and response personnel, emergency managers and public/elected officials within the following disciplines: firefighters, law enforcement, emergency management, emergency medical services, hazardous materials, public works, public health, health care, public safety communications, governmental administrative, cyber security and private security providers. The homeland security training program should also include training for citizens in awareness, preparedness, prevention, response skills, and volunteer activities and be coordinated through state and local Citizen Corps Councils.

States are encouraged to adopt current ODP awareness and performance level courses. In order to deliver these courses, state and local instructors must have been certified to deliver the course by successfully completing ODP train-the-trainer course delivery. Detailed descriptions of ODP courses are included in the *ODP CBRNE Training Course Catalog* at <http://www.ojp.usdoj.gov/ODP/docs/coursecatalog.pdf>. Programs of instruction for these courses will be made available upon request to assist efforts to institutionalize these training programs at the state and local levels.

ODP will conduct periodic reviews of all state and urban area training funded by ODP. 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.

ODP provides the following definitions of key training terms to facilitate a common understanding of the FY05 HSGP guidance:

- **ODP Courses:** those courses developed for and or delivered by institutions and organizations funded by ODP.
- **Federal Courses Related to CBRNE Terrorism:** those courses developed for and or delivered by institutions funded by federal entities other than ODP that fall within the ODP mission scope to prepare state and local personnel to prevent, respond to, and recover from acts of terrorism involving CBRNE weapons.
- **Non-Federal Courses:** those courses developed for and or delivered by institutions or organizations other than federal entities or ODP.
- **Developing and Institutionalizing Non-ODP Courses.** States and urban areas intending to either 1) develop a new course or 2) institutionalize an existing non-ODP course must follow the updated FY05 ODP course approval process. Please see *Appendix G: Overview of Approval Process for Non-ODP Developed Courses* for more information.

E.1 - Developing and Institutionalizing Non-ODP Courses:

This revised course approval process will facilitate the sharing of best practices among states and urban areas and will help reduce duplication regionally and nationally.

States planning to develop a new course must notify ODP of their intent to do so, but do not need to forward any pre-existing course materials for advance review. States and urban areas will be required to submit information via the Training section of the ODP website (<http://www.ojp.usdoj.gov/ODP/training.htm>) the proposed title, description of the course to be developed, the sponsoring jurisdiction, and the intended audience to ODP. ODP funds can be used to support costs associated with the course development process, provided that the state or urban area abides by ODP procedures. However, if the course is disapproved as part of the course review process, no additional ODP funds can be dedicated to delivering the course until modifications are made and the course is approved.

In accordance with the FY05 ODP course approval process, States or urban areas developing new or institutionalizing existing courses shall establish a mechanism to ensure that any non-ODP courses are in compliance with the following:

- *ODP Emergency Responder Guidelines*
- *ODP Homeland Security Guidelines for Prevention and Deterrence*
- *ODP Strategy for Blended Learning*
- 29 CFR 1910.120, *Hazardous Waste Operations and Emergency Response*
- 29 CFR 1910.134, *Respiratory Protection*
- 40 CFR 311 *Worker Protection*
- National Fire Protection Association (NFPA) 471, *Recommended Practice for Responding to Hazardous Materials Incidents*

- NFPA 472, *Professional Competence of Responders to Hazardous Materials Incidents*
- NFPA 473, *Standard for Competencies for Emergency Medical Services (EMS) Personnel Responding to Hazardous Materials Incidents*
- NFPA 1600, *Standard on Disaster/Emergency Management and Business Continuity Programs 2004, specifically Section 5.1.2*

In addition, states and urban areas shall follow accepted principles of instructional systems design, employing the Analysis, Design, Development, Implementation, and Evaluation (ADDIE) model or equivalent methodologies. (The ADDIE process is explained in greater depth in the *ODP Blended Learning Strategy* available on the ODP website at:

<http://www.ojp.usdoj.gov/ODP/blendedlearning>.) States and urban areas shall apply these methodologies to ensure that complete curriculum exists for training funded by ODP grant. Complete curriculum consists of:

- **Level of Training.** The state or urban area will identify the level(s) of training of the course(s) and materials submitted. Each submission must be identified as Awareness, Performance–Defense (Occupational Safety and Health Administration (OSHA) Operations), Performance–Offensive (OSHA Technician), or Planning/Management (OSHA Incident Command) levels. More detailed descriptions of the levels can be found at <http://www.ojp.usdoj.gov/ODP/training.htm> or <http://www.osha.gov>.
- **Program of Instruction/Syllabus.** The program of instruction or syllabus is an outline or matrix of the course content. It addresses the scope of the training, course learning objectives, duration of the training (broken-down by module, session, or lesson), resource requirements, instructor to student ratio and an evaluation strategy. These items are not all-inclusive, but are the minimum categories that should be addressed.
- **Training Support Package.** The training support package includes all of the materials associated with the delivery of a training course. The following items should be included:
 - **Instructor Guide/Instructor Outline/Instructor Lesson Plans:** The published instructor material that contains course text and special instructor notes that provides the information to deliver the material
 - **Participant Manual/Guide/Workbook:** The published student material that contains the supporting information in booklet or handout form that the participant has available for reference
 - **Audio/Visual Support Materials:** Any audio/visual components that are part of any learning module, session, lesson, or that supports the overall training being delivered
 - **Special Support Materials:** Any descriptions of practical exercises, tabletop exercises, hands-on exercises, or other material that supports learning objectives.

- **Module/Session/Lesson Content.** Training courses should be designed based on a building block approach. Each sub-component in the course should be titled as a module, session, or lesson. Regardless of the title, each module, session, or lesson, should have a Lesson Administration Page that outlines the following:
 - **Scope Statement:** A brief description of the content of the module, session, or lesson
 - **Terminal Learning Objectives:** An action verb statement that outlines what the participant is expected to learn or be capable of performing at the conclusion of the module, session, or lesson. There should be only one terminal learning objective per module, session, or lesson
 - **Enabling Learning Objectives:** Enabling learning objectives are the incremental learning objectives that support the terminal learning objective. There should be at least one enabling learning objective per module, session, or lesson. Each enabling learning objective must be a measurable performance statement that enables the participant to demonstrate achievement of the terminal learning objective
 - **Resource List:** A listing of the resources needed to successfully accomplish the module, session, or lesson
 - **Instructor to Participant Ratio:** The instructor to participant requirement for successful presentation of the material (e.g., 1:25)
 - **Reference List:** A listing of all reference materials used to develop the module, session, or lesson (This information may also be included as a bibliography).
 - **Practical Exercise Statement:** This describes any exercises associated with the module, session, or lesson
 - **Evaluation Strategy:** This defines the strategy used to evaluate the module, session, or lesson (e.g., written and/or performance test).

Conditional Approvals of Non-ODP Courses:

In contrast to FY04, no conditional approvals in advance of an independent third-party subject matter expert (SME) review will be granted in FY05 for use of ODP funds to develop or institutionalize non-ODP courses. ODP will require states and urban areas to adhere to a streamlined course approval process. Please see *Appendix G: Overview of Approval Process for Non-ODP Developed Courses* for more information. Courses will either be approved or disapproved following this review process.

E.2 - Attending Other Federal Courses Related to CBRNE Terrorism:

States are no longer required to submit requests for personnel to attend certain Federal courses that fall within the ODP mission scope of preparing state and local personnel to prevent, respond to, and recover from acts of terrorism involving CBRNE weapons. In lieu of requesting approval, states and urban areas will be required to submit information on all federal training they are supporting with ODP funds via the Training section of the ODP website (<http://www.ojp.usdoj.gov/ODP/training.htm>). This information will consist of course title, level of the training, the training provider, the date of the course, the number of individuals to be trained, and the sponsoring jurisdiction.

Several broad categories of courses will automatically be included in the list of eligible federal courses:

- All NIMS training approved by the NIMS Integration Center (NIC) is eligible for use of ODP funds.
- All Incident Command System (ICS) training offered through the National Fire Academy and the Emergency Management Institute is eligible for use of ODP funds. This guidance applies to resident training, train-the-trainer, and field delivery of courses.

A list of federal courses that fall within the ODP mission scope is included in *Appendix H: Federal Training Course List*.

These courses must build additional capabilities that 1) meet a specific need identified through the homeland security assessment process, and 2) comport with the State or Urban Area Homeland Security Strategy.

Federal funds must be used to supplement—not supplant—existing funds that have been appropriated for the same purpose. Thus, if the state or urban area has already budgeted for personnel to attend courses, ODP funds may only be used to send additional individuals above and beyond those previously budgeted.

E.3 - Attending Non-ODP Courses Related to CBRNE Terrorism:

Effective immediately, states and urban areas are no longer required to request approval for personnel to attend non-ODP courses that fall within the ODP mission scope of preparing state and local personnel to prevent, respond to, and recover from acts of terrorism involving CBRNE weapons. States and urban areas will instead be required to submit information on all non-ODP training which they are supporting with ODP funds via the Training section of the ODP website (<http://www.ojp.usdoj.gov/ODP/training.htm>). This information will consist of course title, level of the training, the training provider, the date of the course, the number of individuals to be trained, and the sponsoring jurisdiction. States or urban areas intending to use ODP funds to support attendance at non-ODP courses must ensure that these courses:

- Fall within the ODP mission scope to prepare
- Fall within the ODP mission scope to prepare state and local personnel to prevent, respond to, and recover from acts of terrorism involving CBRNE weapons;
- Build additional capabilities that 1) meet a specific need identified through the homeland security assessment process, and 2) comport with the State or Urban Area Homeland Security Strategy;
- Address the specific tasks articulated in the *ODP Emergency Responder Guidelines* and the *ODP Homeland Security Guidelines for Prevention and Deterrence*;
- Address the specific tasks and capabilities articulated in the Universal Task List and Target Capabilities List, as they become available;
- Comport with all applicable federal, state, and local certification and regulatory requirements.

Federal funds must be used to supplement—not supplant—existing funds that have been appropriated for the same purpose. Thus, if the state or urban area has already budgeted for personnel to attend courses, ODP funds may only be used to send additional individuals above and beyond those previously budgeted.

E.3.a - Eligibility of Hazardous Materials Courses:

Hazardous materials courses, including basic, operations, and technician level courses, are eligible for support through ODP funds only if the course *fully* addresses the hazardous materials sections included in the *ODP Emergency Responder Guidelines* and the *ODP Homeland Security Guidelines for Prevention and Deterrence*. If the hazardous materials course does **not fully** address the hazardous materials sections included in the *ODP Emergency Responder Guidelines* and the *ODP Homeland Security Guidelines for Prevention and Deterrence*, then the course is not considered an allowable use of ODP funds.

The training must not supplant existing resources, but rather must build additional capabilities above and beyond those that currently exist. Any additional capabilities pursued through these training opportunities must meet a specific need identified through the homeland security assessment process and must comport with the State or Urban Area Homeland Security Strategy.

E.3.b - Eligibility of Search and Rescue, Special Weapons and Tactics (SWAT), and Medical Trauma Courses:

On September 1, 2004, ODP issued Information Bulletin #132 on the Interagency Security Plan, available at <http://www.ojp.usdoj.gov/ODP/docs/bulletins.htm>. In this bulletin, ODP expanded the allowable use of grant funds to support additional training in the areas of search and rescue, SWAT, and medical trauma provided certain requirements were met. The following sections provide further detail on these initiatives.

Eligibility of Search and Rescue Courses: States and urban areas shall conduct search and rescue training in compliance with:

- NFPA 1670, *Standard on Operations and Training for Technical Rescue and Search Incidents*
- NFPA 1006, *Standard for Rescue Technician Professional Qualifications*

- Only Urban Search and Rescue (USAR) courses approved by FEMA and delivered by FEMA-certified providers are eligible for use of ODP funds. A list of these courses and providers will be maintained by ODP in coordination with FEMA.

- The training must not supplant existing resources, but rather must build additional capabilities above and beyond those that currently exist. Any additional capabilities pursued through these training opportunities must meet a specific need identified through the homeland security assessment process and must comport with the State or Urban Area Homeland Security Strategy.

- If the basic, foundational USAR course fully addresses the fire service and or hazardous materials sections included in the *ODP Emergency Responder Guidelines* and the *ODP Homeland Security Guidelines for Prevention and Deterrence*, no additional CBRNE-specific training is necessary for eligibility purposes. However, if the foundational USAR course does not fully address these sections included in the *ODP Emergency Responder Guidelines* and the *ODP Homeland Security Guidelines for Prevention and Deterrence*, then the student must also complete follow-on CBRNE awareness training within a reasonable timeframe in order for the USAR course to be considered an allowable use of ODP funds.
- These USAR courses are intended to build a critical capacity at the state and local levels. The execution of this training in the stated capacity-building context is unrelated to designation of national USAR teams. Therefore, states and UASI jurisdictions may not request such designation based on training.

Eligibility of SWAT Courses: SWAT courses, including basic, foundational courses, are eligible for support through ODP funds, provided that the training meets the following requirements:

- The training must not supplant existing resources, but rather must build additional capabilities above and beyond those that currently exist. Any additional capabilities pursued through these training opportunities must meet a specific need identified through the homeland security assessment process and must comport with the State or Urban Area Homeland Security Strategy.
- States and urban areas shall conduct training in compliance with state and local regulations and policies governing the certification of SWAT personnel.
- Trainees shall be sworn officers and shall have completed a Basic SWAT school accredited by the appropriate state-level criminal justice organization.
- Training shall be conducted by instructors certified by a state or national level criminal justice organization
- The State or Urban Area shall develop and implement a safety plan excluding service ammunition and weapons from the training site and shall not employ live chemical agents (to include OC) or impact weapons during the training
- If a foundational SWAT course fully addresses the law enforcement sections included in the *ODP Emergency Responder Guidelines* and the *ODP Homeland Security Guidelines for Prevention and Deterrence*, no additional CBRNE-specific training is necessary for eligibility purposes. However, if the foundational SWAT course does not fully address the law enforcement sections included in the *ODP Emergency Responder*
- *Guidelines* and the *ODP Homeland Security Guidelines for Prevention and*
- *Deterrence*, then the student must also complete follow-on CBRNE awareness training within a reasonable timeframe in order for the foundational SWAT course to be considered an allowable use of ODP funds.

Eligibility of Medical Trauma Courses: Medical trauma courses—including basic, foundational courses—are eligible for support through ODP funds, provided that the training meets the following requirements:

- The training must not supplant existing resources, but rather must build additional capabilities above and beyond those that currently exist. Any additional capabilities pursued through these training opportunities must meet a specific need identified through the homeland security assessment process and must comport with the State or Urban Area Homeland Security Strategy.
- States and urban areas shall conduct training in compliance with NFPA 473, *Standard for Competencies for EMS Personnel Responding to Hazardous Materials Incidents*.
- States and urban areas shall conduct training in compliance with state and local regulations and policies governing the certification of EMS providers.
- States or urban areas shall coordinate their efforts with the closest MMRS jurisdiction.
- Trainees shall have completed a basic Emergency Medical Technician (EMT) certification per the state or local accreditation requirements. This type of training may not be funded with ODP monies.
- If a foundational medical trauma course fully addresses the emergency medical services sections included in the *ODP Emergency Responder Guidelines* and the *ODP Homeland Security Guidelines for Prevention and Deterrence*, no additional CBRNE-specific training is necessary for eligibility purposes. However, if the foundational medical trauma course does not fully address the emergency medical services sections included in the *ODP Emergency Responder Guidelines* and the *ODP Homeland Security Guidelines for Prevention and Deterrence*, then the student must also complete follow-on CBRNE awareness training within a reasonable timeframe in order for the foundational medical trauma course to be considered an allowable use of ODP funds.

E.4 - Evaluation of ODP Training Courses

The goal of evaluating ODP training courses is to determine how much a participant's knowledge, skills, and abilities change after completion of a course relative to knowledge, skills, and abilities prior to the class. ODP utilizes a self-assessment methodology and collects information via a standardized evaluation form. The form is designed to gather data about the course and participant, including data such as the participant's professional discipline and years of service. Additionally, the evaluation measures the participant's knowledge relative to a set of standardized learning objectives both before and after taking the course.

If a state or local jurisdiction uses ODP funds to provide ODP-approved courses, the state or local jurisdiction must use the standard evaluation form to collect data about the course and its participants. An ODP-approved course is defined as one developed by the state or local jurisdiction and approved by ODP for delivery. If the state or local jurisdiction receives training through its ODP course allocation, the training partner delivering the course is responsible for data collection and entry. Similarly, if the state or

local jurisdiction enters into a direct contract with one of the ODP training partners, training partner is still responsible for the data collection and entry function.

However, if the ODP-sponsored course is delivered by a state or local organization, the course provider is responsible for collecting data on the course and its participants. As part of the course approval process, the course developer establishes a set of course objectives directly tied to the course content. The objectives are incorporated into the standardized course evaluation form. Course participants are required to complete all fields and the course instructor is responsible for ensuring that all forms are complete. Course providers are granted access to and enter data into the ODP Secure Portal. Costs related to developing and administering the self-assessment and collecting information via a standardized evaluation form is allowable.

E.5 - Allowable Training Costs

- Overtime and backfill funding for emergency preparedness and response personnel attending ODP-sponsored and approved training classes –
 - 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). Further, overtime payments and backfill costs associated with sending personnel to training are allowable, provided that the training being attended is ODP sponsored training. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to Federal Insurance Contributions Act (FICA), Workers' Compensation and Unemployment Compensation.
- Grantee's may also use ODP grant funds to cover overtime and backfill expenses for part-time and volunteer emergency response personnel participating in ODP training.
 - These covered expenses may be specifically used for part-time, paid-for-call, paid-on-call, and paid-per-call volunteer personnel, as well as stipends for volunteer firefighter personnel and reimbursement of wages for volunteer responder personnel. Please see ODP Information Bulletin #141, located at <http://www.ojp.usdoj.gov/ODP/docs/info141.htm>, for additional information and related requirements.
- Training Workshops and Conferences –
 - Grant funds may be used to plan and conduct training workshops or conferences to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and training plan development.
- Full or Part-Time Staff or Contractors/Consultants –

- Full or part-time staff may be hired to support training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the state or local unit(s) of government and have the approval of the state or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured by the state in the design, development, conduct, and evaluation of CBRNE training. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.
- Travel –
 - Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the training project(s) or for attending ODP-sponsored courses. These costs must be in accordance with state law as highlighted in the *OJP Financial Guide*. States must also follow state regulations regarding travel. If a state or territory does not have a travel policy they must follow federal guidelines and rates, as explained in the *OJP Financial Guide*. For further information on federal law pertaining to travel costs please refer to <http://www.ojp.usdoj.gov/FinGuide>.
- Supplies –
 - Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., copying paper, gloves, tape, and nonsterile masks).
- Other Items –
 - These costs include the rental of space/locations for planning and conducting training, badges, etc.

F. Exercise Programs

Exercises conducted with ODP 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 contain guidance and recommendations for designing, developing, conducting, and evaluating exercises. HSEEP Volumes I-III can be found at ODP's website at <http://www.ojp.usdoj.gov/ODP/exercises.htm>. Volume IV, which contains sample exercise materials and documents, can be found on ODP's Secure Portal at <https://ODP.esportals.com> or <http://www.llis.gov>.

F.1 - Exercise Planning Workshop:

States must conduct an annual Exercise Planning Workshop (EPW) to examine the progress and effectiveness of their current exercise strategy and program. A Multiyear Exercise Plan and schedule must be produced from the EPW and submitted through ODP's Secure Portal Exercise Scheduler located at <https://ODP.esportals.com>. Refer to HSEEP Volume III, Chapter 2 for further guidance on EPWs and the Multiyear Exercise Plan and schedule.

F.2 - Exercise Scenarios

The scenarios used in SHSP, UASI, and LETPP-funded exercises must be terrorism-related and based on the state's/urban area's homeland security strategy and plans. Acceptable scenarios for exercises include: chemical, biological, radiological, nuclear, explosive, cyber and agricultural. Grantees that need further clarification on scenarios should consult with their ODP Exercise Manager for assistance and/or approval. Fifteen all-hazards National Planning Scenarios, including twelve terrorism scenarios, have been developed, and will be made available for use in national, federal, state, and local homeland security preparedness activities (See *HSPD-8: National Preparedness* on page 48). Citizen participation in exercises is encouraged to include back filling non-professional tasks for first responders deployed on exercise, administrative and logistical assistance with exercise implementation, and providing simulated victims, press, and members of the public. Citizen participation in exercises should be coordinated with local Citizen Corps Council(s).

Grantees that 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. This report is available at <http://www.ojp.usdoj.gov/ODP/exercises.htm>.

Grantees must justify the purchase and use of a given MS&G product/service, by a) documenting the training and/or exercise objective(s), b) documenting how the selected product/service will support those objectives, and c) justification for the chosen product category (potentially referring to Volume III benefits/limitations). The form for this justification can be found at <http://www.ojp.usdoj.gov/ODP/exercises.htm>.

If a state or urban area will be hosting an upcoming special event (e.g., Superbowl, G-8 Summit, etc.), 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 fund training and exercise activities in preparation for that event.

All tabletop exercises (TTXs), drills, functional exercises (FEs), and full-scale exercises (FSEs) will be evaluated and performance based. An After Action Report (AAR) and Improvement Plan will be prepared and submitted to DHS/ODP following every TTX, drill, FE, and FSE. AAR/IPs must be provided to ODP within 60 days following completion of each exercise (see HSEEP Volume II, Appendix A). Currently, these AAR/IPs can be submitted through the ODP Secure Portal. However ODP is working with other agencies to develop a national reporting system. *A state or local jurisdiction that conducts an exercise using SHSP, UASI, and LETPP funds must follow the HSEEP doctrine and protocol contained in Volume II.*

States are encouraged to develop a self-sustaining State Homeland Security Exercise and Evaluation Program which is modeled after the national HSEEP. This may include, for example: hiring dedicated exercise program staff, awareness seminars on HSEEP, attending exercise training courses, and maintaining a system to track the completion and

submission of AARs and Improvement Plans from exercises (including costs associated with meeting with local units of government to define procedures).

F.3 - Allowable Exercise Costs

- Exercise Planning Workshop –
 - Grant funds may be used to plan and conduct an Exercise Planning Workshop to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and exercise plan development.

- 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. The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of CBRNE exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.

- Overtime and backfill costs –
 - Overtime and backfill costs associated with the design, development and conduct of CBRNE 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). Further, overtime payments and backfill costs associated with sending personnel to exercises are allowable, provided that the event being attended is an ODP sponsored exercise. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.

- Grantee's may also use ODP grant funds to cover overtime and backfill expenses for part-time and volunteer emergency response personnel participating in ODP exercises.
 - These covered expenses may be specifically used for part-time, paid-for-call, paid-on-call, and paid-per-call volunteer personnel, as well as stipends for volunteer firefighter personnel and reimbursement of wages for volunteer responder personnel. Please see ODP Information Bulletin #141, located at

<http://www.ojp.usdoj.gov/ODP/docs/info141.htm>, for additional information and related requirements.

- Travel –
 - Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) 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). These costs must be in accordance with state law as highlighted in the *OJP Financial Guide*. States must also follow state regulations regarding travel. If a state or territory does not have a travel policy they must follow federal guidelines and rates, as explained in the *OJP Financial Guide*. For further information on federal law pertaining to travel costs please refer to <http://www.ojp.usdoj.gov/FinGuide>.
- 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, exercise signs, badges, etc.

G. Construction and Renovation Programs

Use of HSGP funds for construction 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.

- The following actions and improvements do not constitute construction or renovation, and are allowable under specific HSGP program guidance:
 - Improved lighting
 - Fencing
 - Communications antennas (not over 200 feet)
 - Closed-circuit television (CCTV) systems
 - Motion detection systems
 - Barriers, doors, gates and related security enhancements.
- Project construction and renovation not exceeding \$1,000,000 is allowable, as deemed necessary by the Director, SLGCP, 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
 - Communications antennas (over 200 feet)

- Any other construction or renovation efforts that change or expand the footprint of a facility or structure, including security enhancements to improve perimeter security.
- Approval process. In order for grantees to drawdown funds for construction and renovation costs:
Grantee must provide to ODP:
 - 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
 - How the construction or renovation project will address the identified vulnerability(ies) from the assessment
 - Consequences of not implementing the construction or renovation project
 - *Written approval must be provided by ODP prior to the use of an HSGP funds for construction or renovation.*
- National Environmental Policy Act (NEPA). NEPA requires ODP 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 wishing to use ODP funding for construction projects must complete and submit a **NEPA Compliance Checklist** to their respective ODP Preparedness Officer for review. Additionally, 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 ODP funding, the need to perform an Environmental Assessment (EA) or draft an Environmental Impact Statement (EIS). *Note: Reasonable costs related to the production of an environmental assessment or environmental impact statement are allowable.*

H. Unauthorized Program Expenditures

- **Construction and Renovation**
 - Construction and renovation is generally prohibited, except as noted above under *Construction and Renovation Programs* on page 23. Such construction and renovation shall be strictly limited and allowable when it is a necessary component of a security system at critical infrastructure facilities.
- **Hiring of Public Safety Personnel**
 - HSGP/UASI is not intended as a hiring program and funds may not be used to support the hiring of sworn public safety officers or to supplant traditional public safety positions and responsibilities.

SECTION IV : NATIONAL INITIATIVES

This section provides background information on key national preparedness initiatives and priority focus areas that are new to the FY05 Homeland Security Grant Program. Included in this section are discussions about HSPD-5: *Management of Domestic Incidents* and HSPD-8: *National Preparedness*, which address the management of domestic incidents and national preparedness, respectively. Also included are sections on the National Response Plan, a new standardized awareness training initiative, catastrophic incident response planning, and public awareness and citizen participation.

These new initiatives result in both additional programmatic requirements for grantees as well as a broader range of allowable costs. ***Grantees are strongly encouraged to pay close attention to the language in these sections in order to stay abreast of significant initiatives being highlighted by DHS and to comply with associated program requirements.***

A. National Incident Management System

Issued on March 1, 2004, NIMS provides a consistent nationwide approach for federal, state, territorial, tribal, and local governments to work effectively and efficiently together to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

On September 8, 2004, Secretary Ridge issued a letter to governors outlining the requirements for implementing the NIMS in FY05. (The letter is available on the NIC website at <http://www.fema.gov/nims/>.) The NIC is working with federal departments and agencies to ensure that they develop a plan to adopt NIMS and that all FY05 federal preparedness assistance program documents begin the process of addressing state, territorial, tribal, and local NIMS implementation. ***All HSGP award recipients and their SAAs must coordinate with other state agencies, tribal governments, and local jurisdictions to ensure NIMS implementation.***

Implementation of and compliance with NIMS is critical to ensuring full and robust preparedness across our nation. HSPD-5 established ambitious deadlines for NIMS adoption and implementation. FY05 is a start up year for NIMS implementation and full compliance with the NIMS is not required for an applicant to receive FY05 grant funds. Since FY05 is a critical year for initial NIMS adoption, awardees should start now by prioritizing FY05 preparedness assistance (in accordance with the eligibility and allowable uses of the grant) to facilitate its implementation.

Leveraging HSGP Funding

Grantees and subgrantees are encouraged to leverage HSGP funding to support planning for and implementation of NIMS. Detailed guidance is provided in each relevant program section describing allowable costs supporting NIMS planning and implementation.

Minimum FY05 NIMS Compliance Requirements

- State and territory level efforts to implement NIMS must include the following:

- Incorporating NIMS into existing training programs and exercises
- Ensuring that federal preparedness funding (including HSGP funds) support NIMS implementation at the state and local levels (in accordance with the eligibility and allowable uses of the grants)
- Incorporating NIMS into Emergency Operations Plans (EOPs)
- Promotion of intrastate mutual aid agreements
- Coordinating and providing technical assistance to local entities regarding NIMS
- Institutionalizing the use of the ICS.

At the state, territorial, tribal, and local levels, jurisdictions should support NIMS implementation by:

- **Completing the NIMS Awareness Course: “National Incident Management System, An Introduction” IS 700.** This independent study course is available online and will take between forty-five minutes to three hours to complete. The course is available on the Emergency Management Institute web page at: <http://training.fema.gov/EMIWeb/IS/is700.asp>.
- **Formally recognizing NIMS and adopting NIMS principles and policies.** States, territories, tribes, and local entities should establish legislation, executive orders, resolutions, or ordinances to formally adopt NIMS. The NIC will provide sample language and templates to assist in formally adopting NIMS through legislative and/or executive/administrative means.
- **Establish a NIMS baseline by determining which NIMS requirements are already satisfied.** The NIC is developing a web-based self-assessment system, the NIMS Capability Assessment Support Tool (NIMCAST) to evaluate their incident response and management capabilities. The NIC is currently piloting the NIMCAST with a limited number of states. Upon completion of the pilot, the NIC will provide all potential future users with voluntary access to the system. Additional information about the NIMCAST tool will be provided later this year.
- **Establishing a timeframe and developing a strategy for full NIMS implementation.** States, territories, tribes, and local entities are encouraged to achieve full NIMS implementation during FY05. To the extent that full implementation is not possible during FY05, federal preparedness assistance must be leveraged to complete NIMS implementation in FY06. By FY07, federal preparedness assistance will be conditioned upon full compliance with NIMS. Again, in order for NIMS to be implemented successfully across the nation, it is critical that states provide support and leadership to tribal and local entities to ensure full NIMS implementation. States should work with the tribal and local governments to develop a strategy for statewide compliance with NIMS.
- **Institutionalizing the use of the ICS.** State, territorial, tribal, and local entities that are not already using ICS, must institutionalize the use of ICS (consistent with the concepts and principles taught by DHS) across the entire response system. All federal, state,

territory, tribal, and local jurisdictions will be required to adopt ICS in order to be compliant with NIMS.

FY 06 and 07 Requirements

In order to receive FY06 preparedness funding, the minimum FY05 compliance requirements described above must be met. Applicants will be required to certify as part of their FY06 grant applications that they have met the FY05 NIMS requirements. Additional information about NIMS compliance and resources for achieving compliance will be forthcoming from the NIC. The NIC web page, <http://www.fema.gov/nims>, will be updated regularly with NIMS information and implementation guidance. States and local jurisdictions experiencing costs associated with meeting FY05 NIMS requirements are encouraged to leverage FY05 HSGP funds to meet those requirements.

B. HSPD-8: National Preparedness

HSPD-8 establishes policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies by requiring a National Preparedness Goal, establishing mechanisms for improved delivery of federal preparedness assistance to state and local governments, and outlining actions to strengthen preparedness capabilities of federal, state, and local entities. Statewide all-hazards preparedness strategies should be consistent with the National Preparedness Goal, assess the most effective ways to enhance preparedness, address areas facing higher risk especially to terrorism, and address local government concerns and Citizen Corps efforts.

The National Preparedness Goal aims for federal, state, local, and tribal entities to achieve and sustain nationally accepted risk based target levels of capability for prevention, preparedness, response, and recovery for major events, especially terrorism. The target levels of capability are based upon National Planning Scenarios, a UTL, and a Target Capabilities List. These tools are being developed with input from the homeland security community at all levels and will continue to be updated over time. States should take steps in FY05 to review and incorporate these tools in their preparedness efforts in preparation for full implementation of HSPD-8 in FY06.

The National Planning Scenarios illustrate the scope and magnitude of major, catastrophic events for which the nation needs to be prepared. They include 12 terrorist attacks (including chemical, biological, radiological, nuclear, explosive, and cyber), two natural disasters, and pandemic influenza. The scenarios provide the detail in terms of casualties, property damage, and economic losses needed to project capability requirements for prevention, preparedness, response and recovery. Summaries of the National Planning Scenarios are available on the ODP Secure Portal located at <https://odp.esportals.com>. The National Planning Scenarios will be made available as soon as they are finalized.

The UTL defines the essential tasks that need to be performed from the incident scene to the national level for major events illustrated by the National Planning Scenarios. Federal, state, local, and tribal entities select the appropriate tasks that apply to their assigned missions. The UTL also includes information on operating conditions and standards needed to develop

quantifiable performance measures for planning, equipment, training, and exercises. The UTL is available on the ODP Secure Portal located at <https://odp.esportals.com>.

The Target Capabilities List identifies the capabilities needed to perform the tasks identified in the UTL for the major events illustrated by the National Planning Scenarios. A capability consists of properly planned, organized, equipped, trained, and exercised personnel needed to perform a task. The Target Capabilities List will include Tiers to account for reasonable differences in capability levels among entities based on population density, critical infrastructure, and other risk factors. Entities are preparedness organizations established by levels of government with participation from the private and nonprofit sector, as described in NIMS. The Target Capabilities List will also include performance metrics. The Target Capabilities List will be available on the ODP Secure Portal located at <https://odp.esportals.com> in January 2005.

ODP will develop detailed National Planning Guidance (due by March 31, 2005) in coordination with federal, state, local, and tribal entities that describes the National Preparedness Goal, the target levels of capability, and how to apply them in the development and update of preparedness assessments and strategies. The current variety of assessments, surveys, and data calls will be realigned over time to support the Goal. As necessary, federal regulatory requirements will be modified to support the National Preparedness Goal, to the extent permitted by law. ODP will provide information about changes in preparedness assessments and strategies in upcoming information bulletins and various forums.

C. HSPD-8 Implementation / Preventing and Preparing for Terrorist Attacks Involving Improvised Explosive Devices

Improvised explosive devices (IEDs) pose a threat of great concern to states and local jurisdictions across the nation. IEDs have historically been the terrorist weapon of choice because they combine a high degree of effectiveness with minimal cost. In light of the comparatively high probability of terrorist attacks involving IEDs, grantees should leverage FY05 HSGP funding to develop capabilities to prevent, detect, interdict, and respond to IED terrorist attacks.

To energize the national focus on preventing and responding to IED attacks, ODP is developing an end-to-end prototype planning tool based on the IED National Planning Scenario. The IED scenario includes a detailed 'prevention prologue' chronicling plausible pre-attack adversary tactics, techniques and procedures, as well as depictions of the attack and its effects. This prologue and the attack scenario provide a means to evaluate task proficiency, regional prevention frameworks, and response in exercises and other forms of evaluation.

In recognition of the IED threat, and as an initial step in implementation of HSPD- 8, each urban area receiving FY05 UASI funds must develop a multi-jurisdictional prevention and response plan based on the IED scenario and test their integrated plan(s) through a cycle of exercise activity (at a minimum, two discussion-based and one full-scale evaluated exercise) that addresses the associated tasks as outlined in the IED scenario. If a state does not have a designated urban area(s), then it must identify a multi-jurisdictional metropolitan area or region in which to conduct this IED exercise. If a state had an urban area participating in the

UASI program in previous fiscal years, they are strongly encouraged to use those jurisdictions to meet the IED exercise requirement.

The IED exercise requirement is intended to support the prioritized development and evaluation of plans, policies, procedures, protocols, and capabilities for the prevention and detection of and response to an incident of national significance as depicted in the IED scenario. The goal of this planning and exercise requirement is to facilitate the integration of regional operational planning and activities across urban areas. In addition, these activities will serve as an initial step toward implementation of HSPD-8.

ODP will release specific guidance on complying with this planning and exercise requirement in concert with the release of the National Planning Guidance in March 2005. Following the release of this guidance, grantees will have *six months* to conduct the planning and synchronization necessary to integrate regional prevention and response efforts either into an existing framework or into a new planning document for the IED scenario. Grantees will then have *one year* following the submission of the integrated plan(s) to complete the cycle of multi-jurisdictional exercise activities. The regional plan must include NIMS principles and concepts, including use of the ICS, and must be submitted to ODP.

D. Achieving Tactical Interoperable Communications

Inadequate and unreliable wireless communications have plagued public safety organizations for decades. These challenges were dramatically highlighted during the response to the terrorist attacks of September 11, 2001. Interoperability issues persist and in many cases public safety agencies cannot perform their mission-critical duties as a result. These agencies are unable to share critical voice and/or data information via radio with other jurisdictions in day-to-day operations and emergency response to incidents, including acts of terrorism and natural disasters.

Issues surrounding interoperable communications were consistent themes in assessment data and homeland security strategies recently submitted to ODP by states and urban areas. In an effort to address these issues, many states have been proactive in developing statewide strategies or plans specific to the challenges of interoperable communications. In addition, ten urban areas recently participated in RapidCom 9/30, a program implemented in FY04 to help ensure that incident commanders in these localities have the ability to adequately communicate with each other and their respective command centers within one hour of an incident.

Building on these successes, **each urban area receiving FY05 UASI funds must develop a plan to achieve tactical interoperable communications across jurisdictions in the urban area and test the plan through the cycle of exercise activity required for the IED scenario.** Each state that does not have a designated urban area(s), it must use the same multi-jurisdictional metropolitan area or region designated to test the prevention and response plans discussed in *Section C: HSPD-8 Implementation / Preventing and Preparing for Terrorist Attacks Involving Improvised Explosive Devices* on page 49. For the purposes of this requirement, tactical interoperable communications is defined as the rapid provision of on-scene, incident based mission critical voice communications among all first-responder (EMS, fire and law

enforcement) agencies, as appropriate for the incident, and in support of Incident Command and Operations Section personnel as defined in the NIMS model.

Tactical interoperable communications may be provided through the use of common equipment (common channels, cached radios or shared systems) or a gateway between dissimilar systems and/or radio frequency bands; it may use fixed and/or mobile/portable solution(s). Tactical interoperable communications must be rapidly deployable at any time (24/7), and should be fully operational within an hour of an incident occurring. The state and/or urban area must become familiar with the features and problems that are inherent with the solution(s) they choose. Finally, no technical solution will work without trained support staff. The state and/or urban area must ensure that sufficient personnel are trained as Communications Unit Leaders, as defined within the NIMS, to support equipment deployment.

Similar to the IED requirement, ODP will release specific guidance on the tactical interoperable communications requirement in concert with the SAFECOM Program Office and the release of the National Planning Guidance in March 2005. Grantees will have *six months* from the release of the guidance to develop the tactical interoperable communications plan based on the template provided by ODP and developed with SAFECOM. In order to make the most effective use of funding, tactical interoperable communications plans should always be in support of long-term interoperability by building upon or accelerating long-term strategies and efforts. The UASI jurisdictions that developed plans as part of their participation in the RapidCom 9/30 initiative will need to submit the plan developed as part of that process and validate that plan through the exercise requirement. These communications plans should take into account the State Homeland Security Strategies and Urban Area Homeland Security Strategies that have been submitted and are currently being implemented. Grantees will have *one year* following the submission of the tactical interoperable communications plan to validate the plan as part of the cycle of multi-jurisdictional exercise activities required for the IED scenario.

In support of efforts to enhance interoperable communications, ODP has established the Interoperable Communications Technical Assistance Program (ICTAP), a technical assistance program designed to enhance interoperable communications between local, state, and federal emergency responders and public safety officials. The goal of ICTAP is to enable local public safety agencies to communicate as they prevent or respond to a CBRNE terrorist attack. ICTAP leverages other federal, state, and local interoperability efforts whenever possible to enhance the overall capacity for agencies and individuals to communicate with one another. Grantees are encouraged to request ICTAP support should they need assistance in meeting the tactical interoperable communications requirement.

E. National Response Plan

The National Response Plan (NRP) is an all-discipline, all-hazards plan that establishes a single, comprehensive framework for the management of domestic incidents. It provides the structure and mechanisms for the coordination of federal support to state, local, and tribal incident managers and for exercising direct federal authorities and responsibilities. The NRP assists in the important homeland security mission of preventing terrorist attacks within the United States;

reducing the vulnerability to all natural and manmade hazards; and minimizing the damage and assisting in the recovery from any type of incident that occurs.

Federal NRP Implementation

Compliance with the NRP coordinating structures, protocols and processes is essential for ensuring a national comprehensive approach to domestic incident management. Implementation of the NRP will occur over a one-year period in three phases.

- Phase I – Transitional Period (0 to 60 days): Departments and agencies and other organizations modify training, designate staffing of NRP organizational elements, and become familiar with NRP structures, processes, and protocols
- Phase II – Plan Modification (60 to 120 days): Departments and agencies and other organizations modify existing Federal interagency plans to align with the NRP and conduct necessary training
- Phase III – Initial Implementation and Testing (120 days to 1 year): Four months after its issuance, the NRP is to be fully implemented, and the INRP, FRP, CONPLAN, and FRERP are superseded. Other existing plans remain in effect, modified to align with the NRP. During this timeframe, DHS will conduct systematic assessments of NRP coordinating structures, processes, and protocols implemented for actual Incidents of National Significance

State and local NRP Implementation

As part of the NRP implementation, state, territorial, local, and tribal governments and NGOs are requested to:

- Utilize established incident reporting protocols to notify local and regional Joint Terrorism Task Forces (JTTFs) and the Homeland Security Operations Center (HSOC), as appropriate
- Coordinate with the HSOC regarding procedures for establishing connectivity for domestic incident management purposes. Local government procedures should be coordinated with the respective state government and/or emergency management agency
- Modify existing incident management and emergency operations plans within 120 days (or no later than the next major plan maintenance cycle) to ensure proper alignment with NRP coordinating structures, processes, and protocols.

F. Institutionalizing Awareness Training

In an effort to meet the needs of emergency responders who require awareness-level CBRNE training, ODP has developed a standardized CBRNE awareness training program that supports state and local efforts to institutionalize CBRNE awareness training. The goal of this program is to provide states and urban areas with a mechanism for delivery and sustainment of CBRNE awareness training for all emergency response disciplines included in their strategies, including

but not limited to: emergency management, emergency medical service, fire service, government administrative, hazardous materials, health care, law enforcement, public communications, public health, and public works. The standardized awareness curriculum covers basic awareness level training; prevention and deterrence of terrorism; chemical and biological weapons agents; radiological and nuclear materials and explosive devices; and response actions.

The program relies on a train-the-trainer approach to maximize the program's reach and facilitate ongoing efforts to incorporate CBRNE Standardized Awareness Authorized Trainer (SAAT) into state and local training programs. Trainers designated by states and urban areas will participate in a 12-hour National CBRNE SAAT Train-the-Trainer course taught by members of the National Domestic Preparedness Consortium (NDPC). Graduates of that program will then be certified to deliver the 6-hour National CBRNE Standardized Awareness course to personnel within their state and local jurisdiction. The expectation is that this program will build a core cadre of instructors who will carry out this training on an ongoing basis within their state and local area. Overtime and backfill costs associated with training deliveries will be eligible for reimbursement under the SHSP and the UASI Programs. ODP will support Authorized Trainers with course materials and program updates as necessary.

The National CBRNE Standardized Awareness Program has fully met the requirements of the ODP Course Development and Review Process and will be referenced in the ODP Course Catalog as *AWR 160, Direct Delivery* and *AWR 160-1, Train-the-Trainer Courses*.

Implementation of this initiative was announced in [ODP Information Bulletin #130](#), dated August 30, 2004; additional guidance was provided in [ODP Information Bulletin #138](#), dated October 25, 2004. (Information bulletins are available on the ODP website at <http://www.ojp.usdoj.gov/odp/docs/bulletins.htm>.) During FY05, ODP will complete delivery of AWR-100-1 Train-the-Trainer to cadres of authorized trainers in all UASI jurisdiction and all states and territories. The intent of this initiative is for states and urban areas to institutionalize sustainable training systems to maintain this training. Training POCs in states will be expected to lead the overall effort for this program. States and urban areas are also expected to then conduct follow-on training sessions for their emergency responders based on needs identified in their homeland security strategies.

More detailed information on the National CBRNE Standardized Awareness Training initiative will be provided through additional communications to state and urban area points of contact. Inquiries on this program specific to a jurisdiction's participation should be directed to an ODP Preparedness Officer.

G. Catastrophic Incident Planning

The Catastrophic Incident Response Annex (CIRA) to the NRP establishes a coordinated strategy for accelerating the delivery and application of federal resources and capabilities in support of a jurisdictional response to a catastrophic incident. The NRP defines a catastrophic incident as any natural or manmade incident, including terrorism, which produces extraordinary levels of mass casualties, damage, and disruption severely affecting the population, infrastructure, environment, economy, and government functions.

In support of the CIRA, catastrophic incident response planning is now included as an allowable expense under FY05 SHSP and UASI. Allowable costs related to this type of effort include: conducting assessments and exercises of existing catastrophic incident response and recovery plans and capabilities; activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs; activities to develop a surge capacity; and activities that directly support the identification and advance preparation of pre-designated temporary housing sites. State and local jurisdiction catastrophic incident planning activities should be coordinated with both ODP and FEMA to ensure federal, state, and local expectations and plans are synchronized.

FEMA's Recovery Division has prepared more detailed guidance on the specific planning requirements and concerns that states and locals should consider when engaging in site identification and selection. Additional information can be obtained through FEMA regional staff.

H. Public Awareness and Citizen Participation

Citizens are a critical component of homeland security, and to have a fully prepared community, citizens must be fully aware, trained, and practiced on how to detect, deter, prepare for, and respond to emergency situations. Recent surveys indicate that citizens are concerned about the threats facing the nation and are willing to participate to make their communities safer, yet most Americans have low awareness of federal, state, and local emergency preparedness plans, are not involved in local emergency drills, and are not adequately prepared at home.

Informed and engaged citizens are an essential component of homeland security and the mission of Citizen Corps is to have everyone in America participate in making their community safer, stronger, and better prepared. To achieve this, state, county, local, and tribal Citizen Corps Councils have formed nationwide to help educate and train the public, and to develop citizen/volunteer resources to support local emergency responders, community safety, and disaster relief.

In support of this mission, all SHSP and UASI award recipients must work with their state and local Citizen Corps Councils to more fully engage citizens through the following:

- **Expand plans and task force memberships to address citizen participation.** Develop or revise state and local plans, such as EOPs, to integrate citizen/volunteer resources and participation, and include advocates for increased citizen participation in task forces and advisory councils.
- **Awareness and outreach to inform and engage the public.** Educate the public on personal preparedness measures, alert and warning systems, and state and local emergency plans via a range of community venues and communication channels.
- **Include citizens in training and exercises.** Provide emergency preparedness and response training for citizens, improve training for emergency responders to better

address special needs populations, and involve citizens in all aspects of emergency preparedness exercises, including planning, implementation, and after action review.

Develop or expand programs that integrate citizen/volunteer support for the emergency responder disciplines. Develop or expand the Citizens Corps Programs (Volunteers in Police Service (VIPS), Medical Reserve Corps (MRC), Community Emergency Response Teams (CERT), Neighborhood Watch, and Fire Corps), activities of the Citizen Corps affiliates, and ad hoc opportunities for citizens to support emergency responders year-round and during a disaster.

SECTION V: AWARD AND REPORTING REQUIREMENTS

A. Grant Award to Applicant

Upon approval of the application the grant will be awarded to the respective applicant. This date will be known as the “*award date*.”

Required Submissions: Signed award document and special conditions returned to the DC/SAA.

B. Drawdown of Funds

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can request funds up to 120 days prior to expenditure using the “Sub Grantee Request for Funds” form. This form will be attached to the sub grant award documents.

Funds received by subgrantees 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 and the Uniform Rule 28 CFR Part 70, *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations*, at http://www.access.gpo.gov/nara/cfr/waisidx_03/28cfr70_03.html.

These guidelines state that subgrantees 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. Please consult the *OJP Financial Guide* or the applicable OMB Circular for additional guidance.

State grantees are subject to the interest requirements of the Cash Management Improvement Act (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 to a subgrantee or otherwise for program purposes.

Advanced funds will be allowed once certain criteria have been met. These criteria will be attached to the sub grant award documents.

C. Reporting Requirements

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

Financial Status Report (FSR)

Obligations and expenditures must be reported to the DC/SAA on a quarterly basis through the FSR, which are due within 20 days of the end of each calendar quarter (i.e. for the quarter ending March 31, FSR is due on April 20). 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. The DC/SAA will provide a copy of this form in the initial award package. Future awards and fund drawdowns will be withheld if these reports are delinquent.

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

- 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
- OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- 28 CFR Part 70, *Uniform administrative requirements for grants and agreements (including subawards) with institutions of higher education, hospitals and other nonprofit organizations*, at http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html
- OMB Circular A-21, *Cost Principles for Educational Institutions*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- OMB Circular A-122, *Cost Principles for Non-Profit Organizations*, at <http://www.whitehouse.gov/omb/circulars/index.html>.

Additionally, grantees should be familiar with the requirements included in the *OJP Financial Guide* at <http://www.ojp.usdoj.gov/FinGuide/>.

Required Submissions: FSR (quarterly).

Biannual Strategy Implementation Reports (BSIR)

Following award of the grant, subgrantees will be responsible for providing updated obligation and expenditure information on a regular basis. Subgrantees will provide consolidated information to the DC/SAA in their BSIR. The BSIR is due within 20 days of the end of each calendar quarter (i.e. for the quarter ending March 31, FSR is due on April 20). Updated obligation and expenditure information must be provided with BSIRs to show progress made in meeting strategic goals and objectives. The DC/SAA will provide additional guidance for BSIR submission with award documents. Future awards and fund drawdowns may be withheld if these reports are delinquent. The final BSIR is due 90 days after the end date of the award period.

Required Submissions: BSIR (biannually).

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 *HSEEP Volume II: Exercise Evaluation and Improvement* located at <http://www.ojp.usdoj.gov/odp/docs/HSEEPv2.pdf>. The SAA must report on scheduled exercises and ensure that an AAR and Improvement Plan (IP) are prepared for each exercise conducted with ODP support (grant funds or direct support) and submitted to ODP within 60 days following completion of the exercise. Given that requirement, sub grantees must ensure that all AAR documents and IPs are submitted within 45 days of exercise completion.

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. ODP 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 development of AARs and IPs is provided in Volume II of the HSEEP manuals.

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 Accounting 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/index.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than 9 months after the end of the recipient's fiscal year. In addition, the DC/SAA, 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 FY05 HSGP assistance for audit and examination purposes, provided that, in the opinion of the DC/SAA, 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.

D. Monitoring

Grant recipients will be monitored periodically by DC/SAA program managers to ensure that the program goals, objectives, timelines, 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, and administrative issues relative to each program, and will identify areas where technical assistance and other support may be needed. As a part of the monitoring program, DC/SAA will provide assistance in the evaluation of strategy goals and objectives that is needed by state and local jurisdictions.

E. Grant Close-out Process

Within 90 days after the end of the grant period, the grantee will submit a final FSR and a final BSIR detailing all accomplishments throughout the project. After both of these reports have been reviewed and approved by the DC/SAA program manager, 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 de-obligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR.

Required Submissions: 1) Final SF-269 FSR and 2) Final BSIR.

Appendices

APPENDIX A: NCR/HSS GOALS AND OBJECTIVES AND NCR EIGHT COMMITMENTS TO ACTION

Goals and Objectives of the 2003 Homeland Security Strategy for the NCR

- **Goal 1 – Ensure preparedness planning efforts across the NCR, including the public, business and nonprofit sectors, which clearly define roles, relationships, processes and actions with deadlines.**
 - Objective 1.1 – Ensure preparedness planning efforts across the NCR, including the public, business and nonprofit sectors, which clearly define roles, relationships, processes and actions with deadlines.
- **Goal 2 – Provide coordinated, consistent, standardized training to meet regional homeland security training requirements for responders, government officials, schools and the public.**
 - Objective 2.1 – Coordinate and track the training requirements and delivery of terrorism and security related training that are inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners.
- **Goal 3 – Regularly exercise NCR response capability to ensure continued improvement through a rigorous corrective action program, measure current capability and provide realistic training to area responders, government officials, business and nonprofit sectors and the public.**
 - Objective 3.1 – Establish a comprehensive program to include a calendar for terrorism and security-related exercises across the NCR that is inclusive of all levels of government, as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate.
- **Goal 4 – Capitalizing on the regional nature of the grant, acquire, allocate, standardize and manage equipment and systems to enhance preparedness, response and recovery efforts of responders in the NCR. Ensure that the public safety community is properly equipped to perform during incidents resulting from terrorism or use of weapons of mass destruction (WMD).**
 - Objective 4.1 – Develop a regional equipment program that augments NCR jurisdiction equipment programs so that area responders have necessary equipment to protect the region and themselves.

NCR Eight Commitments to Action

In August 2002 at the NCR Homeland Security Summit Maryland, Virginia, and the District of Columbia agreed upon *Eight Commitments to Action* as a framework to achieve the strategic objectives. The *Commitments to Action* focus on the following eight areas:

1. Terrorism Prevention
 - U.S. Attorneys for the judicial districts within the NCR will work with the FBI to enhance coordination and information sharing through their respective JTTFs and ATTFs.
2. Citizen Involvement in Preparedness
 - Utilize mechanisms for regional cooperation in endorsing and implementing Citizen Corps programs within the NCR.
3. Decision-Making and Coordination
 - Work in partnership to utilize a coordinated process for decision-making for significant incidents or emergency situations in the NCR.
4. Emergency Protective Measures
 - Work in partnership to define and develop a common set of emergency protective measures to protect the health and safety of the public in the event of a major emergency event in the NCR.
5. Infrastructure Protection
 - Work in partnership with the private sector to jointly identify and set protection priorities and guidelines for infrastructure assets and services in the NCR.
6. Media Relations and Communication
 - Work in partnership to develop a Joint Information System for the NCR during response to a major emergency or disaster event.
7. Mutual Aid
 - Utilize EMAC and pursue resolution of existing responsibility, reimbursement, and liability issues related to implementing mutual aid agreements in the NCR.
8. Training and Exercises
 - Work in partnership to coordinate plans for terrorism and security-related training and exercises across the NCR that are inclusive of all levels of government as well as schools and universities, health care institutions, and other private and non-profit partners as appropriate.

APPENDIX B: APPLICANT PROFILE



GOVERNMENT OF THE
DISTRICT OF
COLUMBIA

APPLICANT PROFILE

FY 2005 Homeland Security Grant Program: Urban Areas Security Initiative	
PROJECT TITLE:	
EMERGENCY SUPPORT FUNCTION:	
PROJECT PERIOD:	
PROJECT SYNOPSIS:	
IMPLEMENTING JURISDICTION:	
AGENCY:	_____
ADDRESS:	_____ _____ _____
AUTHORIZATION OFFICIAL	
NAME:	_____
TITLE:	_____
ADDRESS:	_____
TEL:	_____
FAX:	_____
EMAIL:	_____
PROJECT DIRECTOR	
NAME:	_____
TITLE:	_____
ADDRESS:	_____
TEL:	_____
FAX:	_____
EMAIL:	_____
FINANCIAL OFFICER	
NAME:	_____
TITLE:	_____
ADDRESS:	_____
TEL:	_____
FAX:	_____
EMAIL:	_____
Signature of Authorized Official	Date

APPENDIX C: BUDGET JUSTIFICATION WORKSHEET

PURPOSE: The Budget Justification Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information including the budget narrative must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each position by title and name of employee, if available. If staff members are being paid from another source of funds, their time on the project should be referred to as donated services (i.e., in-kind, local share, and applicant share) and not included in the budget justification.

Name/Position	Computation	Cost
<i>Total</i>		\$ -

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
<i>Total</i>		\$ -

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
<i>Total</i>				\$ -

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years. Expendable items should be included either in the “Supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contractual” category. Explain how the equipment is necessary for the success of the project.

Item	Computation	Cost
<i>Total</i>		\$ -

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Item	Computation	Cost
<i>Total</i>		\$ -

F. Consultants/Contracts - Indicate whether applicant’s formal, written Procurement Policy or Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees stemming from sole source or non-competed contracts in excess of \$450 per day require additional justification and prior approval from ODP.

Name of Consultant	Service Provided	Computation	Cost
<i>subtotal</i>			\$ -

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
<i>subtotal</i>			\$ -

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
<i>subtotal</i> \$ -	

G. Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
<i>Total</i> \$ -		

H. Indirect Costs - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
<i>Total</i> \$ -		

Budget Summary	Amount
A. Personnel	\$ -
B. Fringe Benefits	\$ -
C. Travel	\$ -
D. Equipment	\$ -
E. Supplies	\$ -
F. Consultants/Contracts	\$ -
G. Other	\$ -
Total Direct Costs	\$ -
H. Indirect Costs	\$ -
TOTAL PROJECT COSTS	\$ -

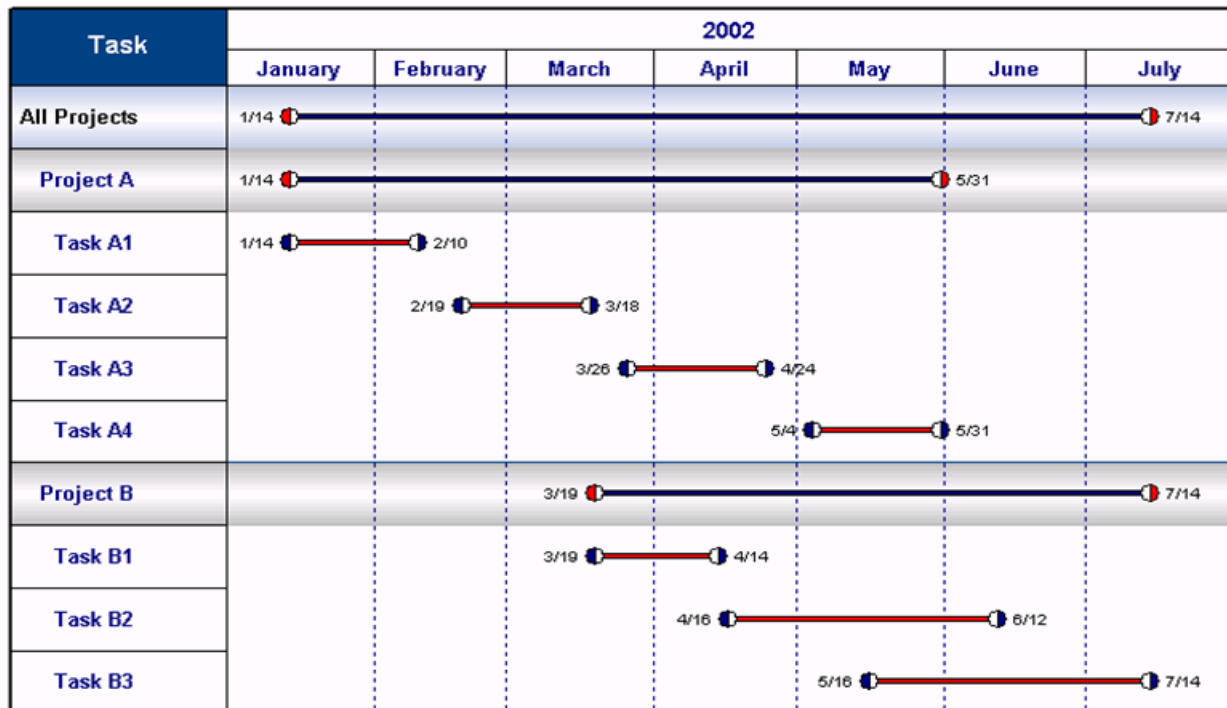
APPENDIX D: FORMAT REQUIREMENTS FOR PROJECT GOALS, OBJECTIVES AND IMPLEMENTATION STEPS

This section of the application should contain a complete breakdown of the essential tasks and activities necessary to achieve the project goal and objectives. Each goal must be supported by one or more objectives and each objective should include a series of tasks and one or more deliverable. Either a narrative description in outline form or a Gantt chart is acceptable:

NARRATIVE DESCRIPTION IN OUTLINE FORM:

1. **Goal 1** – describe project goal and outcome/benefit; list total time span of entire project; overall milestones of project; deliverable; etc
 - 1.1. **Objective 1** – identify the collective course of action the project will follow to reach the goal.
 - 1.1.1. **Implementation step 1** – identify the specific course of action that will be taken to reach each objective.
 - 1.1.2. **Implementation step 2** – identify the specific course of action that will be taken to reach each objective.

GANTT CHART:



APPENDIX E: CERTIFICATIONS

**GOVERNMENT OF THE DISTRICT OF COLUMBIA
OFFICE OF THE DEPUTY MAYOR FOR PUBLIC SAFETY AND JUSTICE**

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code. and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, The applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - III, "Disclosure of Lobbying Activities," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers including sub grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c.) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F. for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in The applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an on-going drug-free awareness program to inform employees about—
 - (1) The dangers of drug abuse in the workplace;
 - (2) The applicant's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs;and

- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title to: Office of Grants Management and Development, 717 14th St., NW, Suite 1200, Washington, DC 20005. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
 - (1) Taking appropriate personnel action against such an employee, up to and incising termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - (3) Making a good faith effort to continue to maintain a drug free workplace through implementation of paragraphs (a), (1), (c), (d), and (e). and (f)

B. The applicant may insert in the space provided below the sites for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

As the duly authorized representative of the applications, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name: _____

3. Grantee IRS/Vendor Number: _____

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

APPENDIX F: STANDARD ASSURANCES

GOVERNMENT OF THE DISTRICT OF COLUMBIA OFFICE OF THE DEPUTY MAYOR FOR PUBLIC SAFETY AND JUSTICE

STANDARD ASSURANCES

The applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project.

Also, the Application assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of The applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of The applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646 which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et. seq.).
4. It will comply with the minimum wage and maximum hour's provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency of the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal-sponsoring agency concerning special requirements of Law, program requirements, and other administrative requirements.

8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA), list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234-, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal Financial Assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et. seq.) By (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its sub grantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18. Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Flood Plain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d),

or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.

14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L 97-348), dated October 19, 1982, (16 USC 3501 et. seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Print Name

Print Title

Signature

Date

APPENDIX G: OVERVIEW OF APPROVAL PROCESS FOR NON-ODP DEVELOPED COURSES

1. State/local request for review of non-ODP developed training courses should be made through the SAA or UAWG to the ODP Preparedness Officer using the Course Approval Request Form. This form is found in the *Office of State and Local Government Coordination and Preparedness (SLGCP) Course Approval Process, Non-SLGCP Developed Courses, Appendix B*, which is available on the ODP website at: <http://www.ojp.usdoj.gov/odp/training.htm>.
2. The ODP Preparedness Officer will perform a preliminary review to ensure all training course materials are included and, if complete, will forward the request to the ODP Training Division. ***Notable change from FY04 language: All course materials must be submitted with the original application and conditional approvals are no longer offered.***
3. Upon receipt of the request, the ODP Training Division will respond as follows (See Appendix C of the *SLGCP Course Approval Process, Non- SLGCP Developed Courses*):
 - a. Contents will be inventoried and logged into the SLGCP Training Approval Tracking System.
 - b. An in-depth cross-check for potential duplication of training courses will be conducted.
 - c. An initial review and comparison to SLGCP standards will be performed.
4. ODP will initiate an independent subject matter review of course materials based on the completed application.
5. The independent review for subject matter accuracy, statutory compliance, and instructional design will be completed within 15 working days from receipt of the course materials. For courses that require on-site review the period may be extended to 60 days.
6. Upon completion of the independent review and the Course Evaluation, Observations, and Findings form, the ODP Training Division will notify the ODP Preparedness Officer and the appropriate SAA or UAWG of the outcome and provide either the letter of approval or disapproval. Notification of results will be completed within five (5) working days from receipt of the Course Evaluation, Observations, and Findings form.

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APPENDIX H: FEDERAL TRAINING COURSE LIST

Eligible Federal Terrorism Training Courses

Note: Grantees should refer to the Training section of the ODP website (<http://www.ojp.usdoj.gov/odp/training.htm>) on a regular basis to view additions to this list of eligible federal training courses related to terrorism preparedness. The information provided in the following pages is accurate as of December 2004.

This information has been drawn from the *Compendium of Federal Terrorism Training for State and Local Audiences*. Grantees can access this list of eligible federal terrorism preparedness courses electronically on the Training section of the ODP website (<http://www.ojp.usdoj.gov/odp/training.htm>) and click on the course name to view all course information. The additional course information is also available directly through the Compendium at <http://www.fema.gov/compendium/index.jsp>.

Advanced Chemical and Biological Integrated Response Course (ACBIRC)--Technician Level

Federal Department/Agency: Department of Defense

Sponsor: U.S. Army Dugway Proving Ground, Special Programs Division

Advanced Incident Command System (ICS)

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute

Sponsor: FEMA/Emergency Management Institute

Advanced Life Support Response to Hazardous Materials Incidents

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy

Sponsor: FEMA/National Fire Academy

Advanced Radiation Incident Operations (ARIO)

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute

Sponsor: FEMA/Emergency Management Institute

Advanced Safety Operations and Management

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy

Sponsor: FEMA - National Fire Academy

Agent Characteristics and Toxicity--First Aid and Special Treatment (ACTFAST)

Federal Department/Agency: Department of Homeland Security, FEMA, Chemical Stockpile Emergency Preparedness Program

Sponsor: FEMA/ CSEPP

Basic Incident Command

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute

Sponsor: FEMA/Emergency Management Institute

Command and Control of Fire Department Operations at Target Hazards

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy

Sponsor: FEMA/ National Fire Academy

Command and Control of Incident Operations

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy

Sponsor: FEMA-National Fire Academy

Command and Control of Operations at Multi-Alarm Incidents

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy

Sponsor: FEMA-National Fire Academy

Command and Control of Operations at Natural and Man-made Disasters

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy

Sponsor: FEMA/ National Fire Academy

Command and General Staff Functions in the Incident Command System

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy

Sponsor: FEMA-National Fire Academy

Critical Response Team (CRT) Training

Federal Department/Agency: Department of Defense

Sponsor: CBC, PBA, ARC, and GP

Emergency Response to Criminal/Terrorist Incidents

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute

Sponsor: FEMA/Emergency Management Institute

Emergency Response to Terrorism: Awareness

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy

Sponsor: FEMA-National Fire Academy

Emergency Response to Terrorism: Basic Concepts

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy

Sponsor: FEMA/ National Fire Academy

Emergency Response to Terrorism: Self-Study

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy

Sponsor: FEMA/National Fire Academy

Emergency Response to Terrorism: Strategic Concepts for Chief Officers

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy
Sponsor: FEMA - National Fire Academy

Emergency Response to Terrorism: Tactical Considerations--Company Officer

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy
Sponsor: FEMA/National Fire Academy

Emergency Response to Terrorism: Tactical Considerations--EMS

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy
Sponsor: FEMA - National Fire Academy

Emergency Response to Terrorism: Tactical Considerations--Hazardous Materials

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy
Sponsor: FEMA - National Fire Academy

Field Management of Chemical and Biological Casualties

Federal Department/Agency: Department of Defense
Sponsor: U.S. Army Medical Research Institute of Chemical Defense (MRICD)

Fundamentals Course for Radiological Response

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute
Sponsor: FEMA/Emergency Management Institute

Incident Command for Highrise Operations

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy
Sponsor: FEMA-National Fire Academy

Incident Command for Structural Collapse Incidents

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy
Sponsor: FEMA-National Fire Academy

Incident Command System for Law Enforcement Agencies

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute
Sponsor: FEMA/Emergency Management Institute

Incident Command System for Public Works

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute
Sponsor: FEMA/Emergency Management Institute

Incident Command System Self-Study

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy
Sponsor: FEMA-National Fire Academy

Incident Command System/Emergency Operations Center (ICS/EOC) Interface

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute

Sponsor: FEMA/Emergency Management Institute

Incident Response to Terrorist Bombings - Awareness

Federal Department/Agency: Department of Homeland Security, Border & Transportation Security, Office for Domestic Preparedness

Sponsor: NMT, EMRTC, member of NDPC

Incident Safety Officer

Federal Department/Agency: Department of Homeland Security, FEMA, National Fire Academy

Sponsor: FEMA - National Fire Academy

Intermediate Incident Command System (ICS)

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute

Sponsor: FEMA/Emergency Management Institute

Personal Protective Equipment

Federal Department/Agency: Department of Homeland Security, FEMA, Chemical Stockpile Emergency Preparedness Program

Sponsor: FEMA/CSEPP

Preparing for and Managing the Consequences of Terrorism

Federal Department/Agency: Department of Defense

Sponsor: National Interagency Civil-Military Institute (NICI)

Re-ACT FAST II Video/DVD (Refresher of Agent Characteristics and Toxicology First Aid and Special Treatment)

Federal Department/Agency: Department of Homeland Security, FEMA, Chemical Stockpile Emergency Preparedness Program

Sponsor: FEMA/CSEPP

Security Training Courses: Response to Weapons of Mass Destruction

Federal Department/Agency: Department of Transportation

Sponsor: Federal Transit Administration

Senior Officials Workshop: Preparedness and Response for Terrorist Incidents Involving Weapons of Mass Destruction

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute

Sponsor: FEMA/ Emergency Management Institute

Terrorism Planning Course

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute

Sponsor: FEMA/ Emergency Management Institute

Use of Auto-Injectors by Civilian Emergency Medical Personnel

Federal Department/Agency: Department of Homeland Security, FEMA, Chemical Stockpile Emergency Preparedness Program

Sponsor: FEMA/CSEPP

Use of Biological Agent Detection Materials--Bio-Assay (SMART) Tickets

Federal Department/Agency: Department of Homeland Security, Border & Transportation Security, Office for Domestic Preparedness

Sponsor: Office for Domestic Preparedness

Use of Chemical Agent Detection Materials--M8, M9, and M256A1 Kit

Federal Department/Agency: Department of Homeland Security, Border & Transportation Security, Office for Domestic Preparedness

Sponsor: Office for Domestic Preparedness

Weapons of Mass Destruction Crime Scene Management for Emergency Responders

Federal Department/Agency: Department of Homeland Security, Border & Transportation Security, Office for Domestic Preparedness

Sponsor: Community Research Associates (CRA)

Weapons of Mass Destruction HazMat Evidence Collection

Federal Department/Agency: Department of Justice - Federal Bureau of Investigation

Sponsor: Community Research Associates (CRA)

Weapons of Mass Destruction/Terrorism: An Overview (ARC 3079-2)

Federal Department/Agency: Department of Defense

Sponsor: CBC, PBA, ARC, and GP

WMD AIM CBT Application Disk 1: Incident Commander and Staff

Federal Department/Agency: Department of Energy

Sponsor: (DOE)

WMD AIM CBT Application Disk 2: HAZMAT - First Responder

Federal Department/Agency: Department of Energy

Sponsor: (DOE)

WMD AIM CBT Application Disk 3: Hospital and EMS - First Responder

Federal Department/Agency: Department of Energy

Sponsor: (DOE)

WMD AIM CBT Application Disk 4: General Education

Federal Department/Agency: Department of Energy
Sponsor: (DOE)

WMD CBT Disk 1: Chemical Exercise

Federal Department/Agency: Department of Energy
Sponsor: (DOE)

WMD CBT Disk 2: Biological Exercise

Federal Department/Agency: Department of Energy
Sponsor: (DOE)

WMD CBT Disk 3: High-Explosive Exercise

Federal Department/Agency: Department of Energy
Sponsor: (DOE)

WMD CBT Disk 4: Radiological Exercise

Federal Department/Agency: Department of Energy
Sponsor: (DOE)

WMD Radiological/Nuclear Awareness Train-the-Trainer

Federal Department/Agency: Department of Energy
Sponsor: NNSA/NV and NCEE

WMD Radiological/Nuclear Course for HazMat Technicians

Federal Department/Agency: Department of Homeland Security, Border & Transportation Security, Office for Domestic Preparedness
Sponsor: NNSA/NV, NCEE, member of NDPC

WMD Radiological/Nuclear Responder Operations Course

Federal Department/Agency: Department of Homeland Security, Border & Transportation Security, Office for Domestic Preparedness
Sponsor: NNSA/NV, NCEE, member of NDPC

WMD Scenarios

Federal Department/Agency: Department of Homeland Security, FEMA, Emergency Management Institute
Sponsor: FEMA/ Emergency Management Institute

WMD/Terrorism Chapter Leadership Course

Federal Department/Agency: Department of Defense
Sponsor: CBC, PBA, ARC, and GP

APPENDIX I: GUIDANCE FOR DEVELOPMENT OF INTEROPERABLE COMMUNICATIONS PLANS

In May 2004, ODP adopted language about grant guidance developed by SAFECOM in an effort to ensure interoperability through the various layers of federal, state and local government. (See ODP Information Bulletin #113.) SAFECOM developed this general grant criteria in concert with representatives of the public safety community in an effort to coordinate the way in which funding is allocated and to maximize the prospects for interoperable communications.

The intent of the SAFECOM grant guidance is to ensure that the communications equipment being procured will lead to improved multi-disciplinary and/or multi-jurisdictional interoperable public safety communications. The grant guidance provides a list of questions to be answered in order to demonstrate how the applicants proposed project would enhance interoperability. The guidance also encourages that—where appropriate—applicants purchase equipment that meets standards that have been developed and adopted by the public safety communications community—American National Standards Institute (ANSI)/TIA/EIAA-102 Phase 1 (Project 25) suite of standards. This recommendation is intended for government-owned or -leased land mobile public safety radio equipment, and its purpose is to make sure that such equipment or systems are capable of interoperating with other public safety land mobile equipment or systems. It is not intended to apply to commercial services that offer other types of interoperability solutions and does not exclude any application if it demonstrates that the system or equipment being proposed will lead to enhanced interoperability. The grant guidance does not propose to preclude funding of non-Project 25 equipment when there are compelling reasons for using other solutions. Absent these compelling reasons, ODP intends that Project 25 equipment will be preferred for digital systems to which the standard applies.

The SAFECOM interoperable communications guidance addresses the following issues:

- Criteria
 - Who Should Be Involved with Public Safety Communications Interoperability
 - Lifecycle of Public Safety Communications Projects
 - Common Public Safety Communications Goals
 - Common Criteria for All Grant Applicants
 - Standards
 - Governance
- Criteria for Public Safety Communications Equipment Grants
 - Building, Upgrading, Enhancing, Replacing and Maintaining Public Safety Communications Systems and Equipment
- Supplemental Criteria for Public Safety Equipment Grants
 - Planning for public safety communication systems
 - Training public safety staff on issues related to emergency response communications
 - Managing public safety communications projects
 - Generic Examples of Linking Disparate Public Safety Communications Systems

The SAFECOM grant guidance materials are available in their entirety on the SAFECOM website (<http://www.safecomprogram.gov>) in the electronic library. (See <http://www.safecomprogram.gov/libresults.cfm?libid=431&secid=3>.) They can also be accessed through ODP Information Bulletin #113, posted on the ODP website at <http://www.ojp.usdoj.gov/odp/docs/bulletins.htm>.

APPENDIX J: GEOSPATIAL GUIDANCE

ODP recognizes the important contribution that geospatial information and technology plays in strengthening our nation's security posture. DHS has created a Geospatial Enterprise Architecture (GEA) to help guide geospatial data investments for the building a standardized national model that will promote collaboration and interoperability. This document is available by e-mailing gmo@dhs.gov.

Grantees are recommended to review the guidance provided below. This will ensure that grantees have applied due diligence in reviewing and assessing requirements for their objectives that involve geospatial components. The following considerations should be made when developing a geospatial program:

- Does the state have a homeland security geospatial strategy?
- Does the state have a single Geospatial Information System (GIS) that primarily focuses on homeland security?
- Has the state/jurisdiction identified the homeland security geospatial requirements?
- Does the state maintain a current inventory of geospatial assets (both equipment and personnel)?
- Has the state established public, private, academic, military and tribal communities for homeland security geospatial collaboration?
- What memoranda of understanding are in place for data sharing?
- Is the homeland security geospatial data stored in more than one location? Is it readily accessible to first responders and to emergency operations centers?
- Is there a backup system for the geospatial systems?
- Does the state have a team of established geospatial personnel that can provide 24/7 expertise and equipment for emergencies?
- Has the state established geospatial preparedness metrics?
- How do the geospatial systems support critical infrastructure mapping (e.g. HSPD-7), readiness assessments (e.g. HSPD-8), and incident management (e.g. NIMS)?
- Does the state ensure compatibility with the geospatial data by complying with federally-adopted geospatial standards, specifications, and guidelines such as those published by the Federal Geographic Data Committee (FGDC) and the Open Geospatial Consortium (OGC)?
- Does the state register or publish the geospatial resources that are planned or result from programs or projects as a means to avoid expenditures of time, effort, and funds on redundant acquisitions?
- Does the state place an emphasis on geospatial resource sharing and collaboration?

The following describes those federally maintained, endorsed or adopted initiatives that grantees are strongly recommended to review:

National Spatial Data Infrastructure (NSDI) (<http://www.fgdc.gov/nsdi/nsdi.html>)

The NSDI was created under Executive Order 12906 calling for the establishment of the NSDI defined as the technologies, policies, and people necessary to promote sharing of geospatial data throughout all levels of government, private and nonprofit sectors, and the academic community.

The NSDI clearing house is available to local, state, and federal contributors to register as clearinghouse nodes where metadata about geospatial data, services, and resources can be published and harvested for discovery by any user. FGDC manages NSDI and provides guidance and instruction for using and registering nodes on NSDI.

Geospatial One Stop Portal (www.geodata.gov)

As a part of one of Office of Management and Budget's 24 Federal E-Gov initiatives (www.whitehouse.gov/omb/egov/), the Geospatial One Stop portal was established to promote data sharing across federal entities and is available to the public for use as a discovery portal. Geospatial One Stop portal (www.geodata.gov) is an interface to NSDI established under Executive Order 12906. The portal harvests geospatial resource metadata from nodes registered with NSDI and is a repository for all metadata published and accessible on NSDI. Users also have the option to publish metadata holdings directly to Geospatial One Stop enabling smaller organizations with the ability to share and collaborate on geospatial resources.

An important feature on Geospatial One Stop for grantees is the geodata.gov Market Place. Here users can find information about planned acquisitions of geospatial resources and future projects or activities that may align with their own objectives. If grantees find no existing resources on Geospatial One Stop in either the metadata searches or in the Market Place, they are strongly encouraged to register their planned activities for geospatial data acquisition or future projects and activities so that others may prevent from redundant efforts.

United States National Grid (<http://www.fgdc.gov/standards/status/usng.html>)

The objective of this US National Grid standard is to create a more interoperable environment for developing location-based services within the United States and to increase the interoperability of location services appliances with printed map products by establishing a nationally consistent grid reference system as the preferred grid for NSDI applications. The U.S. National Grid is based on universally-defined coordinate and grid systems and can, therefore, be easily extended for use world-wide as a universal grid reference system.

There are a number of coordinate reference systems that can be used either in location service appliances or on printed maps for the purpose of establishing a location. Within automated location service appliances, the conversion of coordinates based on one well-defined reference system to coordinates based on another can be both automatic and transparent to the user. These devices can support multiple coordinate reference systems with little difficulty. However, it is not easy for humans to work in multiple reference systems and humans cannot convert between systems without the aid of location service appliances, calculators, or conversion tables (FGDC-STD-011-2001).

Federal Geographic Data Committee (FGDC) (www.fgdc.gov)

The FGDC is a 19-member interagency committee composed of representatives from the Executive Office of the President, Cabinet-level and independent agencies. The FGDC is developing NSDI in cooperation with organizations from state, local and tribal governments, the academic community, and the private sector. NSDI encompasses policies, standards, and procedures for organizations to cooperatively produce and share geographic data.

FGDC Metadata (www.fgdc.gov/metadata/metadata.html)

Metadata or "data about data" describe the content, quality, condition, and other characteristics of data. FGDC approved the Content Standard for Digital Geospatial Metadata (FGDC-STD-001-1998) in June 1998.

FGDC Standards (www.fgdc.gov/standards/standards.html)

Standards facilitate the development, sharing, and use of geospatial data. The FGDC develops geospatial data standards for implementing the NSDI, in consultation and cooperation with state, local, and tribal governments, the private sector and academic community, and, to the extent feasible, the international community.

FGDC Framework (www.fgdc.gov/framework/framework.html)

GIS applications of many different disciplines have a recurring need for a few themes of data. The framework is a collaborative community based effort in which these commonly needed data themes are developed, maintained, and integrated by public and private organizations within a geographic area. Local, regional, state and federal government organizations and private companies see the framework as a way to share resources, improve communications, and increase efficiency.

Open Geospatial Consortium (OGC™) (www.opengeospatial.org)

The Open Geospatial Consortium, Inc. (OGC) is a nonprofit, international, voluntary consensus standards organization that is leading the development of standards for geospatial and location based services. Through member-driven consensus programs, OGC works with government, private industry, and academia to create open and extensible software application programming interfaces for geographic information systems and other mainstream technologies.

Consulting with the OGC specifications and standards is highly recommended for grantees interested in open, interoperable solutions; especially those involving publishing geospatial data and resources as a service. Many of the specifications, documents, and guidance provided here have been adopted as industry standard. Others are fairly new and not mature. It is encouraged to comply with these consensual guidance and standards wherever relevant to specific projects and objectives.

U.S Army Corps of Engineers CADD/GIS technology Center Spatial Data Standards- (<http://tsc.wes.army.mil/products/TSSDS-TSFMS/tssds/html/>)

The Spatial Data Standard for Facilities, Infrastructure, and Environment (SDSFIE) have focused on the development of graphic and non-graphic standards for GIS implementations at Air Force, Army, Navy, and Marine Corps installations, U.S. Army Corps of Engineers Civil Works activities, and other Government organizations.

The SDSFIE provides a standardized grouping of geographically referenced (i.e., geospatial) features (i.e., real-world features or objects depicted graphically on a map at their real-world location (i.e., coordinates). Each geospatial feature has an "attached" attribute table containing pertinent data about the geospatial feature.

The National Map- (<http://nationalmap.gov/>)

The U.S. Geological Survey (USGS) holds responsibility for maintaining nationally consistent foundation data layers that will support the DHS GEA. These data layers include:

- High-resolution digital orthorectified imagery from aerial photographs or satellite imagery
- High resolution surface elevation data to derive contours and digital terrain models
- Vector feature data for hydrography (linear and open water bodies), transportation (roads, railway, and waterways), manmade structures, and boundaries
- Land Use Land Cover that classifies land surface types
- Geographic names of physical and cultural features (to support U.S. Board of Geographic Names)

Through partnerships that include cooperative arrangements for exchange of data, standards development, database development, web mapping services and applications, training, and technology exchange, the USGS has established a network of National Geospatial Partnership Offices and State Liaison positions across the nation

(<http://nationalmap.usgs.gov/partnerships.html>).