

The Department of Homeland Security  
**Notice of Funding Opportunity**

**Fiscal Year 2015 Homeland Security Grant Program**

**NOTE:** If you are going to apply for this funding opportunity and have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM . It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, then an additional 24 hours for [Grants.gov](http://www.grants.gov) to recognize your information. Information on obtaining a DUNS number and registering in SAM is available from [Grants.gov](http://www.grants.gov) at: <http://www.grants.gov/web/grants/applicants/applicant-resources.html>.

**A. Notice of Funding Opportunity (NOFO) Description**

**Issued By**

U.S. Department of Homeland Security, Federal Emergency Management Agency,  
Grant Programs Directorate

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

97.067

**CFDA Title**

Homeland Security Grant Program

**Notice of Funding Opportunity Title**

FY 2015 Homeland Security Grant Program

- State Homeland Security Program (SHSP)
- Urban Area Security Initiative (UASI)
- Operation Stonegarden (OPSG)

**NOFO Number**

DHS-15-GPD-067-000-01

**Authorizing Authority for Program**

Section 2002 of the *Homeland Security Act of 2002*, as amended (Pub. L. No. 107-296),  
(6 U.S.C. § 603)

**Appropriation Authority for Program**

*Department of Homeland Security Appropriations Act, 2015* (Pub. L. No. 114-4)

**Program Type**

New

## Program Overview, Objectives, and Priorities

### Overview

The purpose of the FY 2015 HSGP is to support state and local efforts to prevent terrorism and other catastrophic events and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States. The FY 2015 HSGP provides funding to implement investments that build, sustain, and deliver the 31 core capabilities essential to achieving the National Preparedness Goal (the Goal) of a secure and resilient Nation. The building, sustainment, and delivery of these core capabilities are not exclusive to any single level of government, organization, or community, but rather, require the combined effort of the whole community. The FY 2015 HSGP supports core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response, and Recovery based on allowable costs. HSGP is comprised of three grant programs:

- State Homeland Security Program (SHSP)
- Urban Area Security Initiative (UASI)
- Operation Stonegarden (OPSG)

Together, these grant programs fund a range of activities, including planning, organization, equipment purchase, training, exercises, and management and administration across all core capabilities and mission areas.

### Objectives

- **State Homeland Security Program (SHSP):** The SHSP assists state, Tribal and local preparedness activities that address high-priority preparedness gaps across all core capabilities where a nexus to terrorism exists. All supported investments are based on capability targets and gaps identified during the Threat and Hazard Identification and Risk Assessment (THIRA) process, and assessed in the State Preparedness Report (SPR).
- **Urban Area Security Initiative (UASI):** The UASI Program assists high-threat, high-density Urban Areas in efforts to build and sustain the capabilities necessary to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.
- **Operation Stonegarden (OPSG):** The OPSG Program supports enhanced cooperation and coordination among Customs and Border Protection (CBP), United States Border Patrol (USBP), and local, Tribal, territorial, state, and Federal law enforcement agencies. The OPSG Program funds investments in joint efforts to secure the United States' borders along routes of ingress from international borders to include travel corridors in states bordering Mexico and Canada, as well as states and territories with international water borders.

All three programs are based on risk-driven, capabilities-based strategic plans that outline high-priority needs relating to terrorism preparedness. For these plans to be effective, government officials and elected leaders, working with the whole community, must consider how to sustain current capability levels, while also addressing potential gaps.

**Priorities**

The National Preparedness System is the instrument the Nation employs to build, sustain, and deliver core capabilities in order to achieve the Goal of a secure and resilient Nation. Complex and far-reaching threats and hazards require a collaborative and whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. The guidance, programs, processes, and systems that support each component of the National Preparedness System allows for the integration of preparedness efforts that build, sustain, and deliver core capabilities and achieve the desired outcomes identified in the Goal.

DHS/FEMA annually publishes the National Preparedness Report (NPR) to evaluate National progress in building, sustaining, and delivering the core capabilities outlined in the Goal. This analysis provides a National perspective on critical preparedness trends for whole community partners to use to inform program priorities, allocate resources, and communicate with stakeholders about issues of shared concern.

Recipients are required to consider national areas for improvement identified in the 2014 NPR, which include the following core capabilities:

- Cybersecurity;
- Infrastructure Systems;
- Health and Social Services;
- Housing; and
- Long-term Vulnerability Reduction.

In addition, the Department of Homeland Security requires recipients to prioritize investments that address capability targets and gaps identified through the annual THIRA and SPR process. These assessments set capability targets and measure current ability to meet those targets.

Minimum funding amounts are not prescribed by the Department for these priorities; however, recipients must support state, local, regional, and national efforts in achieving the desired outcomes of these priorities.

[Appendix B-Program Priorities](#) addresses additional areas where funding can be applied to strengthen preparedness efforts.

**B. Federal Award Information**

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

Available Funding for the NOFO: \$1,044,000,000

HSGP Programs	FY 2015 Allocation
State Homeland Security Program	\$402,000,000

Urban Area Security Initiative	\$587,000,000
Operation Stonegarden	\$55,000,000
<b>Total</b>	<b>\$1,044,000,000</b>

For details on program-specific funding amounts, refer to [Appendix A – FY 2015 Program Allocations](#).

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

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

**Projected Period of Performance Start Date:** September 1, 2015

**Projected Period of Performance End Date:** August 31, 2018

**Funding Instrument:** Grant

**C. Eligibility Information**

**Eligible Applicants**

State Governments (State Administrative Agency)

**Eligibility Criteria**

All 56 States, which includes any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, are eligible to apply for SHSP funds. For those states that are eligible for UASI and OPSG funding, the State Administrative Agency (SAA) is the only entity eligible to submit applications to DHS/FEMA on behalf of UASI and OPSG applicants.

Eligible sub-recipients under the FY 2015 OPSG Program are local units of government at the county level and Federally-recognized Tribal governments in states bordering Canada, states bordering Mexico, and states and territories with international water borders. All applicants must have active ongoing USBP operations coordinated through a CBP sector office to be eligible for OPSG funding.

Eligible high-risk Urban Areas for the FY 2015 UASI Program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous metropolitan statistical areas (MSAs) in the United States. Sub-awards will be made by the SAA to the designated Urban Areas identified in [Appendix A-FY 2015 Program Allocations](#).

## **Other Eligibility Criteria:**

### **Emergency Management Assistance Compact (EMAC) Membership**

In support of the Goal, recipients must belong to, be located in, or act as a temporary member of EMAC, except for American Samoa and the Commonwealth of the Northern Mariana Islands, which are not required to belong to EMAC at this time. All assets supported in part or entirely with FY 2015 HSGP funding must be readily deployable to support emergency or disaster operations per existing EMAC agreements. In addition, funding may be used for the sustainment of core capabilities that, while they may not be physically deployable, support national response capabilities such as Geographic/Geospatial Information Systems (GIS), interoperable communications systems, capabilities as defined under the mitigation mission area of the Goal, and fusion centers.

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

Prior to allocation of any Federal preparedness awards in FY 2015, recipients must ensure and maintain adoption and implementation of NIMS. Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, credentialing, and inventorying promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications is on DHS/FEMA's website under <http://www.fema.gov/resource-management-mutual-aid>.

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

Although state, local, Tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines; DHS/FEMA strongly encourages them to do so in order to leverage the Federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information can be found at [http://www.fema.gov/pdf/emergency/nims/nims\\_alert\\_cred\\_guideline.pdf](http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf)

### **Consolidation of Law Enforcement Terrorism Prevention Activities (LETPA)**

Per section 2006 of the *Homeland Security Act of 2002*, as amended, (6 U.S.C. § 607), DHS/FEMA is required to ensure that at least 25 percent (25%) of grant funding appropriated for the Homeland Security Grant Program and Tribal Homeland Security Grant Program are used for law enforcement terrorism prevention activities. DHS/FEMA meets this requirement, in part, by requiring all SHSP and UASI recipients to ensure that

at least 25 percent (25%) of the combined HSGP funds allocated under SHSP and UASI are dedicated towards law enforcement terrorism prevention activities, as defined in 6 U.S.C. § 607. The LETPA allocation can be from SHSP, UASI or both. This requirement does not include award funds from OPSG. Please refer to [Appendix A – FY 2015 Program Allocations](#) for LETPA minimum allocations for SHSP and UASI by jurisdiction. The 25% LETPA allocation is in addition to the 80% pass through requirement to local units of government and Tribes, referenced below.

The National Prevention Framework describes those activities that should be executed upon the discovery of intelligence or information regarding an imminent threat to the homeland, in order to thwart an initial or follow on terrorist attack, and provides guidance to ensure the Nation is prepared to prevent, avoid, or stop a threatened or actual act of terrorism. Activities outlined in the *National Prevention Framework* are eligible for use of LETPA focused funds. In addition, where capabilities are shared with the protection mission area, the *National Protection Framework* activities are also eligible. Other terrorism prevention activities proposed for funding under LETPA must be approved by the FEMA Administrator.

**Maintenance of Effort**

There is no Maintenance of Effort requirement for this program.

**Cost Share or Match**

Cost share or match is not required for the FY 2015 HSGP.

**D. Application and Submission Information**

**Submission Date and Other Key Dates and Times**

**Date Posted to [Grants.gov](#):** April 2, 2015

**Application Submission Deadline:** May 19, 2015 at 11:59:59 p.m. EDT

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

**Anticipated Award Date:** No later than September 30, 2015

**Other Key Dates (see below for additional information)**

The chart below outlines suggested/estimated deadlines for completing the six steps required for a successful application submission prior to the deadline. These dates are only recommendations as applicants are responsible for planning far enough in advance to complete their application. The requirements outlined in the chart below are outside of DHS/FEMA’s purview. Therefore, DHS/FEMA does not guarantee the timeframes for completing those processes. Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

**Applicants are encouraged to register early for Authorized Organizational Representative (AOR) authorization. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines.**

<b>Task</b>	<b>Suggested timeframe for completion of task to meet submission deadline</b>
Obtaining DUNS Number	April 21, 2015
Obtaining valid EIN	April 21, 2015
Updating SAM registration	April 21, 2015
Establishing an Authorized Organizational Representative (AOR) in <a href="http://Grants.gov">Grants.gov</a>	April 21, 2015
Submitting an initial application in <a href="http://Grants.gov">Grants.gov</a>	May 9, 2015 *Applicants will receive an electronic message confirming eligibility and approval to submit a full application.
Submitting the IJ in the Grants Reporting Tool (GRT)	May 9, 2015

**Address to Request Application Package**

Application forms and instructions are available at [Grants.gov](http://Grants.gov). To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants,” read the registration requirements and register if necessary (**Allow up to 7-10 business days after you submit before your registration is active in SAM, then an additional 24 hours for [Grants.gov](http://Grants.gov) to recognize your information**). In order to obtain the application package select “Download a Grant Application Package”, enter the CFDA and/or the funding opportunity number located on the cover of this NOFO, select “Download Package,” and then follow the prompts to download the application package.

Hard copies of the NOFO are not available.

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

Applications will be processed through the [Grants.gov](http://Grants.gov) portal and DHS/FEMA’s Non-Disaster Grants (ND Grants) System.

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

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

The steps required to apply for an award are:

1. Applying for, updating or verifying the DUNS Number;
2. Applying for, updating or verifying the EIN Number;
3. Updating or verifying the SAM Number;
4. Establishing an authorized Organizational Representative (AOR) in [Grants.gov](http://Grants.gov);
5. Submitting an initial application in [Grants.gov](http://Grants.gov);
6. Submitting the IJ in the Grants Reporting Tool (GRT); and
7. Submitting the complete application in ND Grants

For additional information regarding the DUNS Number, EIN Number, SAM Number, and AOR requirements, please refer to the section below entitled Dun and Bradstreet Universal Numbering System (DUNS) Number, System for Award Management (SAM), and Authorized Organizational Representative (AOR).

### **Submitting an Initial Application in Grants.gov**

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

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

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

Application forms and instructions are available at <http://www.grants.gov> by selecting *Apply for Grants*. Enter the CFDA number or the Opportunity ID Number noted in this NOFO, select *Download Application Package*, and follow the prompts to download the application package. The information submitted in [Grants.gov](http://Grants.gov) will be retrieved by ND Grants, which will allow DHS/FEMA to determine if an applicant is eligible. **Applicants are encouraged to submit their initial application in [Grants.gov](http://Grants.gov) at least ten days before the May 19, 2015, application deadline.**



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

### **Submitting the Final Application Submission in the ND Grants System**

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

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

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

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

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

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

**Dun and Bradstreet Universal Numbering System (DUNS) Number, System for Award Management (SAM), and Authorized Organizational Representative (AOR)**  
Before you can apply for a DHS/FEMA grant at [Grants.gov](http://Grants.gov), you must have a DUNS number and must be registered in the System for Awards Management (SAM).

**Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) Number**  
The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the SF-424 form. Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>.

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

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

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

DHS/FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and for grant award payment; both the EIN and DUNS number are required to register with SAM (see below). The EIN base for an organization is the IRS Tax ID number, for individuals it is their social security number. Both the EIN and the social security number are nine-digit numbers. Organizations and individuals submitting their applications must correctly differentiate the EIN from the DUNS since both are 9-digit numbers. If these numbers are not correctly identified in the application, this may result in a delay in the issuance of the funding award and/or incorrect payment to a recipient organization.

[Applying for an EIN](#) should plan on a minimum of 2 full weeks to obtain an EIN. If you need assistance registering an EIN please contact the [IRS helpline](#). DHS/FEMA cannot assist applicants with questions related to obtaining a current EIN.

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

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

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

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

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

SAM sends notifications to the registered user via email 60, 30, and 15 days prior to expiration of the SAM registration for the Entity. SAM registration may lapse due to inactivity. To update or renew your Entity records(s) in SAM you will need to create a SAM User Account and link it to your migrated Entity records.

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

### **Authorized Organizational Representative**

The next step in the registration process is creating a username and password with [Grants.gov](#) to become an Authorized Organizational Representative (AOR). AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on [Grants.gov](#) visit:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

### **AOR Authorization**

After creating a profile on [Grants.gov](#), the E-Biz Point of Contact (E-Biz POC) a representative from your organization who is the contact listed for SAM will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to [Grants.gov](#) and approves an applicant as the AOR, thereby giving him or her permission to submit applications. To learn more about AOR Authorization visit:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>. To track an AOR status visit:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

The registration process can take four weeks or more to be completed. Therefore registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines. After you have been approved as an AOR you will be able to submit your application online.

### **Electronic Signature**

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

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

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## **HSGP Program Specific Application Instructions**

### ***Investment Justification (SHSP and UASI)***

As part of the FY 2015 HSGP application process for SHSP and UASI funds, applicants must develop a formal IJ that addresses the proposed investments. Each IJ must demonstrate how proposed investments:

- Address capability gaps identified as State priorities in the most recent SPR;
- Align to Urban Area, state, and/or regional THIRAs and national priorities, as outlined in the NPR; and
- Engage and/or impact the whole community, including children, older adults, pregnant women, individuals with limited English proficiency, individuals with disabilities and others with access and functional needs.

Furthermore, the IJ must clearly identify and explain how the project will assist the applicant to achieve capability targets related to preventing, preparing for, protecting against, or responding to acts of terrorism.

### ***Completing Investment Justifications (IJ) in the Grant Reporting Tool (GRT) (SHSP and UASI)***

The IJ Planning Guide contains instructions for collecting the required information for investments and projects. Additionally, applicants should utilize the Project Worksheet to assemble the information required for each project, which will facilitate the input of that information into the GRT.

For more information on how to complete IJs, refer to the Investment Justification Planning Guide located on [fema.gov/grants](http://fema.gov/grants).

### ***Instructions for SHSP***

- Applicants must propose at least one and include up to 10 projects within each investment in their IJ to describe the activities they would plan to implement with SHSP funds.
- Any projects not included in the application must be included in the first BSIR.
- Of the proposed 10 investments, recipients using SHSP funds are required to propose at least one investment in support of a designated fusion center that will be funded by SHSP funds. Recipients must coordinate with the fusion center when developing a fusion center investment prior to submission.
- Recipients investing in emergency communications must describe how activities align to their statewide Communication Interoperable Plan (SCIP). Recipients must coordinate with their statewide Interoperability Coordinator (SWIC) and/or statewide Interoperability Governance Body (SIGB) when developing an emergency communications investment prior to submission to ensure the project supports the statewide strategy to improve emergency communications and is compatible and interoperable with surrounding systems.

### ***Instructions for UASI***

- Urban Areas must propose at least one and up to 10 projects within each investment in their IJ to describe the activities they are planning to implement with UASI funds.
- Any projects not included in the application must be included in the first BSIR.
- If applicable, Urban Areas are required to propose at least one investment in support of a designated fusion center within the Urban Area. Recipients must coordinate with the fusion center when developing a fusion center investment prior to submission.
- If UASI funds are used by the SAA in support of the Urban Area, the SAA must, as part of the up to 10 investments, propose an investment describing how UASI funds will be used by the SAA to directly support the Urban Area.
- Recipients investing in emergency communications must describe how activities align to the SCIP. Recipients must coordinate with the statewide Interoperability Coordinator (SWIC) and/or statewide Interoperability Governance Body (SIGB) when developing an emergency communications investment prior to submission to ensure the project supports the statewide strategy to improve emergency communications and is compatible and interoperable with surrounding systems.

### ***Instructions for OPSG***

As part of the FY 2015 OPSG application process, each eligible local unit of government at the county or Federally-recognized Tribal government level must develop their Operations Order in coordination with state and Federal law enforcement agencies, to include, but not limited to CBP/USBP. Operations Orders that are developed at the county level should be inclusive of city, county, Tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities. The Operations Order should address this in the Executive Summary. Operations Order details should include the names of the agencies, points of contact, and individual funding requests. All applications must be developed in collaboration with the local USBP sector office, the SAA and the local unit of government. The sector office will then forward the application to the SAA for final review before submission to DHS/FEMA. For more information, refer to [Appendix D – FY 2015 OPSG Operations Order Template and Instructions](#) and [Appendix E – OPSG Operational Guidance](#).

### **Intergovernmental Review**

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

### **Funding Restrictions**

Federal funds made available through this award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award.

Award funds may not be used for matching funds for any other Federal award, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

#### ***Funds Transfer Restriction***

The recipient is prohibited from transferring funds between programs (includes SHSP, UASI, and OPSG). Recipients are allowed to submit an investment/project where funds come from multiple funding sources (i.e., SHSP/UASI); however, recipients are not allowed to divert funding from one program to another due to the risk-based funding allocations, which were made at the discretion of DHS/FEMA. For additional details on restrictions on the use of funds, refer to [Appendix C – Funding Guidelines](#).

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

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

Additionally, all recipients are required to comply with DHS/FEMA EHP Policy Guidance. This EHP Policy Guidance can be found in FP 108-023-1, <http://www.dhSES.ny.gov/grants/ehp/EHP-PolicyGuidance-508.pdf>, and FP 108.24.4, <http://www.fema.gov/media-library-data/1388411752234-6ddb79121951a68e9ba036d2569aa488/18Dec13-NoNEPARReview.pdf>.

#### **SAFECOM**

Recipients (including subrecipients) who receive awards under HSGP that wholly or partially provide funding for emergency communication projects and related activities must comply with the most recent version of the [SAFECOM Guidance on Emergency Communications Grants](#). This guidance provides recommendations to recipients regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability. The guidance is intended to ensure that Federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency

communications nationwide. Recipients (including subrecipients) investing in broadband-related investments should review [IB 386](#), Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments, and consult their DHS/FEMA HQ Program Analyst on such Investments before developing applications.

### **Pre-award Costs**

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

### **Direct Costs**

#### Cost Principles

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

#### Planning

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

#### Organization

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

#### Equipment

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

#### Training

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

#### Exercises

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

#### Personnel

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable HSGP planning, training, exercise, and equipment activities. Under the OPSG Program, overtime costs are allowable only in so far as they meet the intent of the Program. Recipients and subrecipients may not use more than 50% of their awards to pay for personnel activities. For more information on the 50% personnel cap, please see IB 358, Clarification on the Personnel Reimbursement for Intelligence Cooperation

and Enhancement of Homeland Security Act of 2008 (Public Law 110-412 – the PRICE Act) at

<http://www.fema.gov/pdf/government/grant/bulletins/info358.pdf>.

#### Travel

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

#### Construction and Renovation

Construction and renovation costs to achieve capability targets related to preventing, preparing for, protecting against, or responding to acts of terrorism are allowed under this program. For construction costs to be allowed, they must be specifically approved by DHS/FEMA in writing prior to the use of any program funds for construction or renovation. Limits on the total amount of grant funding that may be used for construction or renovation may apply. See [Appendix C-Funding Guidelines](#) for additional details. Additionally, recipients are required to submit a SF-424C Budget and Budget detail citing the project costs.

#### Operational Overtime

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

#### Maintenance and Sustainment

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

#### Critical Emergency Supplies

Critical emergency supplies are allowed under this program only as described in this NOFO.

#### Secure Identification

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

### **Management and Administration**

Management and administration (M&A) activities are those directly relating to the management and administration of HSGP funds, such as financial management and monitoring. A maximum of up to five percent (5%) of HSGP funds awarded may be retained by the state, and any funds retained are to be used solely for M&A purposes associated with the HSGP award. Sub-recipients may also retain a maximum of up to five percent (5%) of funding passed through by the state solely for M&A purposes associated with the HSGP award.



A state's HSGP funds for M&A calculation purposes includes the sum total of its SHSP, UASI, and, where applicable, OPSG awards. While the SAA may retain up to five percent (5%) of this total for M&A, the state must still ensure that all sub-recipient award amounts meet the mandatory minimum pass through requirements which are applicable to each HSGP program. To meet this requirement the percentage of SHSP, UASI and OPSG funds passed through to local jurisdictions must be based on the state's total HSGP award prior to withholding any M&A.

For additional information on SHSP and UASI M&A, refer to IB 365. For additional clarification on OPSG M&A, refer to DHS/FEMA Policy FP-207-087-1. These documents can be found at

<http://www.fema.gov/pdf/government/grant/bulletins/info365.pdf> and <http://www.fema.gov/library/viewRecord.do?id=7837>, respectively.

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

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

## **E. Application Review Information**

### **Allocations**

#### ***Risk Methodology***

Based upon the requirements of the Homeland Security Act of 2002, as amended, DHS/FEMA continues to use risk to determine final HSGP allocations. DHS/FEMA defines risk as: "potential for an unwanted outcome resulting from an incident, event, or occurrence, as determined by its likelihood and the associated consequences" (see <http://www.dhs.gov/xlibrary/assets/dhs-risk-lexicon-2010.pdf>). The DHS/FEMA risk methodology is focused on three elements:

- *Threat* –likelihood of an attack being attempted by an adversary;
- *Vulnerability* – likelihood that an attack is successful, given that it is attempted; and
- *Consequence* – effect of an event, incident or occurrence

The risk methodology determines the relative risk of terrorism faced by a given area taking into account the potential risk of terrorism to people, critical infrastructure, and economic security. The analysis includes threats from domestic violent extremists' international terrorist groups, and individuals inspired by terrorists abroad.

### ***SHSP Allocations***

FY 2015 SHSP funds will be allocated based on three factors: minimum amounts as legislatively mandated, DHS/FEMA's risk methodology, and anticipated effectiveness of proposed projects. Anticipated effectiveness is assessed based on the applicant's description of how proposed projects, as outlined in the investment Justification's (IJ's), align with state THIRA and SPR results.

Each state and territory will receive a minimum allocation under SHSP using thresholds established in the *Homeland Security Act of 2002*, as amended. All 50 States, the District of Columbia, and the Commonwealth of Puerto Rico will receive 0.35 percent of the total funds allocated for grants under *Section 2003 and Section 2004 of the Homeland Security Act of 2002*, as amended. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.08 percent of the total funds allocated for grants under *Section 2003 and 2004 of the Homeland Security Act of 2002*, as amended. For details on program-specific funding amounts, refer to [Appendix A – FY 2015 Program Allocations](#).

### ***UASI Allocations***

FY 2015 UASI funds will be allocated based on DHS/FEMA's risk methodology and anticipated effectiveness of proposed projects. Anticipated effectiveness is assessed based on the applicant's description of how proposed projects, as outlined in the IJ's, align with the Urban Area THIRA. Eligible candidates for the FY 2015 UASI program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous Metropolitan Statistical Areas (MSAs) in the United States, in accordance with the *Homeland Security Act of 2002*, as amended. Detailed information on MSAs is publicly available from the United States Census Bureau at <http://www.census.gov/population/www/metroareas/metrodef.html>. For details on program-specific funding amounts, refer to [Appendix A – FY 2015 Program Allocations](#).

### ***OPSG Allocations***

The FY 2015 OPSG Risk Assessment is designed to identify the risk to border security and to assist with the distribution of funds for the grant program. Funding under OPSG is distributed based on the risk to the security of the border. Entities eligible for funding are the state, local and Tribal law enforcement agencies that are located along the border of the United States.

For the purposes of OPSG, risk is defined as the potential for an adverse outcome assessed as a function of threats, vulnerabilities, and consequences associated with an incident, event, or occurrence.

Based upon ongoing intelligence analysis and extensive security reviews, DHS/FEMA continues to focus the bulk of OPSG funds based upon risk analyses. The risk model used to allocate OPSG funds considers the potential risk that certain threats pose to border security and estimate the relative risk faced by a given area. In evaluating risk, DHS/FEMA considers the populations in a particular area that could be at risk, the concentration of people in the area, and specific characteristics of their location that might contribute to risk, such as Intelligence Community assessments of threat and the potential impacts that the threats pose to the security of the border

area. For vulnerability and consequence, DHS/FEMA considers the expected impact and consequences of successful border events occurring in specific areas.

To determine the level of risk, two primary components are considered:

**Threat**: natural or man-made occurrence, individual, entity, or action that has or indicates the potential to harm life, information, operations, the environment, and/or property. OPSG uses the effect of the threat to the border to evaluate consequence.

**Vulnerability**: characteristic of design, location, security posture, operation, or any combination thereof, that renders an asset, system, network, or entity susceptible to disruption, destruction, or exploitation.

Threat and vulnerability are evaluated by assigning each factor a value based on specific operational data from CBP Components. Threat components present in each of the Sectors are used to determine the overall threat score.

These components are:

Terrorism

Criminal Aliens

Drug Trafficking Organizations

Alien Smuggling Organizations

### **Review Criteria**

FY 2015 HSGP applications will be evaluated through a review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed investments. Applicants will be required to align all IJs to at least one core capability identified in the Goal. Descriptions of projects should be clear and concise and should include whether the project supports a NIMS typed resource and whether assets are deployable/shareable. The grant funded activities of every project must align to the HSGP solution areas: Planning, Organization, Exercises, Training and/or Equipment (POETE). A project may have activities in more than one solution area.

Grant projects must be: 1) both feasible and effective at reducing the risks for which the project was designed; and 2) able to be fully completed within the 3-year period of performance.

FEMA will use the information provided in the application and after the submission of the first BSIR, to determine the feasibility and effectiveness of the grant project. Information that would assist in the feasibility and effectiveness determination includes the following:

- Scope of work (purpose and objectives of the project, identification of what is being protected, identification of core capability addressed and whether the core capability is identified in the SPR, where applicable, as a priority)
- Desired outcomes, including expected long-term impact where applicable, and discussion of which core capability gap it helps to close and how
- Summary of status of planning and design accomplished to date (e.g. included in a capital improvement plan)

- Project schedule

Grantees are expected to conform, as applicable, with accepted engineering practices, established codes, standards, modeling techniques, and best practices.

## **Review and Selection Process**

### ***SHSP and UASI***

Using a Reviewer Checklist, DHS/FEMA will verify compliance with all administrative and eligibility criteria identified in the NOFO and review the submission of risk-driven, capabilities-based IJs. Using previously submitted SPR data, DHS/FEMA will verify alignment of the proposed investments and projects to gaps identified through the THIRA/SPR process and national priorities identified in the NPR. IJs will be reviewed at both the investment and project level. The IJ will receive either an approval or conditional approval. Those IJs that are conditionally approved will be revised and must receive final approval prior to access to full funding.

Fusion Center investments will be jointly reviewed by FEMA and the DHS Office of Intelligence and Analysis for compliance with HSGP NOFO requirements to prioritize the alignment of requests with results from the annual Fusion Center Assessment Program. Investments that do not meet the requirements will be revised and must receive approval prior to accessing funds allocated to fusion center activities.

### ***OPSG***

Applications will be reviewed by the SAA and USBP Sector Headquarters for completeness and adherence to programmatic guidelines and evaluated for anticipated feasibility, need, and impact of the Operations Orders.

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

FY 2015 OPSG funds will be allocated competitively based on risk-based prioritization using the USBP Sector-specific border risk methodology described above. Final funding allocations are determined by the Secretary, who may consider information and input from various law enforcement offices or subject matter experts within the Department. Factors considered include, but are not limited to: threat, vulnerability, miles of border, and other border-specific “law enforcement intelligence,” as well as feasibility of FY 2015 Operation Orders to designated localities within the United States Border States and territories. For details on program-specific funding amounts, please refer to [Appendix A – FY 2015 Program Allocations](#).

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

### **Notice of Award**

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

Recipients must accept their awards no later than 90 days from the award date. The recipient shall notify the awarding agency of its intent to accept and proceed with work under the award through the ND Grants system. For instructions on how to accept or decline an award in the ND Grants system, please see pages 40-43 in the [\*ND Grants Recipient Training Manual\*](#).

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

### **SHSP and UASI Pass-Through Requirements**

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

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

The SAA must obligate at least 80 percent (80%) of the funds awarded under SHSP and UASI to local or Tribal units of government within 45 days of receipt of the funds. ‘Receipt of funds’ occurs when the recipient accepts the award or 15 days after the recipient is notified of the award, whichever comes first. The signatory authority of the SAA must certify in writing to DHS/FEMA that pass-through requirements have been met. A letter of intent (or equivalent) to distribute funds is not considered sufficient. The pass through requirement does not apply to SHSP awards made to the District of Columbia, Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands. The Commonwealth of Puerto Rico is required to comply with the pass-through requirement and its SAA must also obligate at least 80 percent (80%) of the funds to local units of government within 45 days of receipt of the funds. Any UASI funds retained by the SAA must be used to directly support the designated Urban Areas in the state. The SAA must propose an investment describing how such UASI funds it retains will be used to directly support the Urban Area.

Under SHSP, the SAA may retain more than 20 percent (20%) of SHSP funding for expenditure made by the state on behalf of the local unit(s) of government. This may occur only with the written consent of the local unit of government, specifying the amount of funds to be retained and the intended use of funds. If a written consent agreement is already in place from previous fiscal years, DHS/FEMA will continue to recognize it for FY 2015. If modifications to the existing agreement are necessary, the SAA should contact their assigned Headquarters Program Analyst.

### **OPSG Pass-Through Requirement**

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

### **Administrative and National Policy Requirements**

Successful applicants for all DHS/FEMA grant and cooperative agreements are required to comply with DHS/FEMA Standard Administrative Terms and Conditions, which are available online at <http://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>.

Before accepting the award the authorized official should carefully read the award package. The award package contains instructions on administering the grant award, as well as the terms and conditions with which the recipient must comply. Recipients must accept all the conditions in this NOFO as well as all Terms and Conditions in the Notice of Award to receive an award under this program.

### **Reporting**

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

### **Federal Financial Reporting Requirements**

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

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

Recipients may review the Federal Financial Reporting Form (FFR) (SF-425) here: [http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf), SF-425 OMB #00348-0061.

## Financial Reporting Periods and Due Dates

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

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

### Financial and Compliance Audit Report

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all Federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of Government and Accountability Office's (GAO) Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?SID=55e12eead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6>.

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

## Program Performance Reporting Requirements

### Performance Progress Reports (SF-PPR)

Recipients are responsible for providing updated performance reports using the SF-PPR on a biannual basis. Recipients must submit the cover page of the SF-PPR as an attachment to the ND Grants system. The SF-PPR can be accessed online at [http://www.na.fs.fed.us/fap/SF-PPR\\_Cover%20Sheet.pdf](http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf). As part of the SF-PPR, recipients will be required to report on progress towards implementing the following performance measures:

- For fusion centers, the achievement of capabilities and compliance with measurement requirements within the Maturation and Enhancement of State and Major Urban Area Fusion Centers priority through the annual Fusion Center Assessment Program managed by the DHS Office of Intelligence and Analysis (I&A) and reported to DHS/FEMA.

## Program Performance Reporting Periods and Due Dates

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

Reporting Period	Report Due Date
January 1 – June 30	July 30
July 1 – December 31	January 30

### Biannual Strategy Implementation Report (BSIR)

In addition to the quarterly financial and biannual performance progress reports, recipients are responsible for completing and submitting BSIRs through the Grants Reporting Tool (GRT). The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30 (the summer BSIR report); and January 30 for the reporting period of July 1 through December 31 (winter BSIR report). All required attributes of each project must be included. Updated obligations, expenditures, and significant developments must be provided within the BSIR to show progress of implementation for every project, as well as how expenditures support Planning, Organization, Equipment, Training and Exercises (POETE). The first BSIR will be due January 30, 2016 (30 days after the end of the first reporting period for the award). Subsequent BSIR reports will require recipients to report on a project-by-project basis.

### Grant Reporting Tool (GRT) Registration

The Grants Reporting Tool (GRT) is the system in which HSGP recipients will submit their BSIR information. HSGP recipients are responsible for filing a semi-annual BSIR report in the GRT and should register to create an account as soon as possible. Recipients should go to the following link and follow the links to create a new account: <https://www.reporting.odp.dhs.gov/>. This report is used to track the progress toward the completion of projects.

### Emergency Operations Plan (EOP)

Recipients must update their EOP at least once every two years to comply with Comprehensive Preparedness Guide (CPG) 101 Version 2.0, *Developing and Maintaining Emergency Operations Plans*. Recipients will use the Unified Reporting Tool (URT) to report their compliance with this reporting requirement.

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

FY 2015 HSGP award recipients must complete, or update (for FY 2014 HSGP recipients) their THIRA using the URT by December 31, 2015. Further details on the THIRA as it relates to HSGP Program requirements can be found in [Appendix B-Program Priorities](#). For additional guidance on THIRA, please refer to CPG 201, Second Edition, available at [www.fema.gov/plan](http://www.fema.gov/plan).



### **State Preparedness Report (SPR)**

The SPR is an annual capability assessment. The *Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA)* requires an SPR from any state/territory receiving Federal preparedness assistance administered by DHS/FEMA. Each state submits an annual SPR to DHS/FEMA. Refer to [Appendix B – FY 2014 HSGP Program Priorities](#) for additional guidance on SPR requirements.

### **FY 2015 Unified Reporting Tool (URT)**

The URT is DHS/FEMA's collection mechanism for THIRA, SPR, and related preparedness information. The FY 2015 SPR includes questions related to NIMS adoption and implementation, CPG 101v2 compliance, and other preparedness questions, as appropriate. Information on the URT, including when recipients will receive the tool and how to use the tool, will be sent to recipients later in 2015.

### **Closeout**

DHS/FEMA will close out the grant award when it determines that all applicable administrative actions and all required work of the HSGP award have been completed by the recipient. This section summarizes the actions that the recipient must take to complete the closeout process in accordance with 2 C.F.R. § 200.343 at the end of the grant's period of performance or the issuance of a Grant Amendment Notice issued to close out the grant.

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, recipients must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance, as well as the following documentation:

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

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

Additionally, the recipient must liquidate all obligations incurred under the HSGP award no later than 90 calendar days after the end date of the period of performance or issuance

of a Grant Amendment Notice that closes out the award, whichever comes first. Recipients who do not liquidate their obligations within this time period may have the costs of their unliquidated obligations disallowed. Recipients are also responsible for promptly returning to DHS/FEMA the balance of any funds that have been drawn down, but remain unliquidated.

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

In addition, any HSGP recipient that issues subawards to any subrecipient is responsible for closing out those subawards as described in 2 C.F.R. § 200.343. HSGP recipients must ensure that they complete the closeout of their subawards in time to submit all necessary documentation and information to DHS/FEMA during the closeout of their own grant award.

## **G. DHS/FEMA Awarding Agency Contact Information**

### **Contact and Resource Information**

#### **Centralized Scheduling and Information Desk (CSID)**

CSID is a non-emergency comprehensive management and information resource developed by DHS/FEMA for grants stakeholders. CSID provides general information on all DHS/FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, state, and local levels. When necessary, recipients will be directed to a Federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at [askcsid@dhs.gov](mailto:askcsid@dhs.gov), Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

#### **Grant Programs Directorate (GPD) Grant Operations Division**

GPD's Grant Operations Division Business Office provides financial support and technical assistance. The Grant Operations Division manages, administers, and conducts application budget review, creates the award package, approves, amends and closes out awards. Additional guidance and information can be obtained by contacting the DHS/FEMA Call Center at (866) 927-5646 or via e-mail to [ASK-GMD@dhs.gov](mailto:ASK-GMD@dhs.gov).

#### **FEMA Regions**

FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance such as conducting cash analysis, financial monitoring, and audit resolution to the grant programs included in this solicitation. GPD will provide programmatic support and technical assistance. A list of contacts in FEMA Regions is available online.

## **Systems Information**

### **Grants.gov.**

For technical assistance with [Grants.gov](http://Grants.gov), please call the customer support hotline at (800) 518-4726.

### **Non-Disaster (ND) Grants.**

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

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

The DHS/FEMA GPD-EHP Team provides guidance and information about the EHP review process to recipients and subrecipients. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov). EHP Technical Assistance, including the EHP Screening Form, can be found online.

### **Telephone Device for the Deaf (TDD)**

The Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this announcement is: (800) 462-7585.

### **Hard copies of the NOFO**

Hard copies of the NOFO can be downloaded from the common electronic “storefront” [Grants.gov](http://Grants.gov).

## **H. Additional Information**

### **Extensions**

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

- 1) Grant program, fiscal year, and award number;
- 2) Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
- 3) Current status of the activity/activities;
- 4) Approved period of performance termination date and new project completion date;
- 5) Amount of funds drawn down to date;
- 6) Remaining available funds, both Federal and non-Federal;

- 7) Budget outlining how remaining Federal and non-Federal funds will be expended;
- 8) Plan for completion, including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
- 9) Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work, as described in the investment justification and approved by DHS/FEMA.

Recipients must submit all proposed extension requests to DHS/FEMA for review and approval no later than 120 days prior to the end of the period of performance. In accordance with GPD policy, extensions are typically granted for no more than a six month time period. For more details please review Information Bulletin 379 at <http://www.fema.gov/pdf/government/grant/bulletins/info379.pdf>.

### **National Preparedness**

DHS/FEMA coordinates with local, state, territory, Tribal, and Federal governments as well as the private and non-profit sectors to facilitate an all-of-nation/whole community, risk driven, and capabilities-based approach to preparedness. This risk driven, capabilities-based approach is grounded in the identification and assessment of risk through the THIRA. For additional information on THIRA, please refer to: <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>. HSGP grant recipients must submit a THIRA annually to ensure that the community's shared understanding of risk evolves to account for changes in the risk landscape, including successful mitigation efforts, emerging threats, hazards, and associated consequences. Information on the National Preparedness System can be found in the National Preparedness System Description (released Nov 2011), at <http://www.fema.gov/national-preparedness-system>. Additional details regarding the National Preparedness System and how it is supported by HSGP can be found in [Appendix B-Program Priorities](#).

### **Payments**

DHS/FEMA utilizes the [Payment and Reporting System \(PARS\)](#) for financial reporting, invoicing and tracking payments.

DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, the recipients must complete a Standard Form 1199A, Direct Deposit Form.

### **Monitoring**

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

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

### **Conflict of Interest**

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

The recipient or subrecipient must disclose to the respective Program Analyst, in writing, any real or potential conflict of interest as defined by the Federal, state, local, or Tribal statutes or regulations or their own existing policies, which may arise during the administration of the Federal award within five days of learning of the conflict of interest. Similarly, subrecipients must disclose any real or potential conflict of interest to the pass-through entity as required by the Recipient's conflict of interest policies, or any applicable state, local, or Tribal statutes or regulations.

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

## Appendix A – FY 2015 Program Allocations

### FY 2015 SHSP Allocations

State/Territory	FY 2015 Allocation	State/Territory	FY 2015 Allocation
Alabama	\$3,734,500	Montana	\$3,734,500
Alaska	\$3,734,500	Nebraska	\$3,734,500
American Samoa	\$854,000	Nevada	\$3,734,500
Arizona	\$4,568,000	New Hampshire	\$3,734,500
Arkansas	\$3,734,500	New Jersey	\$8,354,000
California	\$60,178,500	New Mexico	\$3,734,500
Colorado	\$3,979,000	New York	\$76,949,000
Connecticut	\$3,978,000	North Carolina	\$5,489,000
Delaware	\$3,734,500	North Dakota	\$3,734,500
District of Columbia	\$4,141,500	Northern Mariana	\$854,000
Florida	\$11,040,500	Ohio	\$7,698,000
Georgia	\$6,807,000	Oklahoma	\$3,734,500
Guam	\$854,000	Oregon	\$3,837,000
Hawaii	\$3,734,500	Pennsylvania	\$10,054,500
Idaho	\$3,734,500	Puerto Rico	\$3,734,500
Illinois	\$16,408,500	Rhode Island	\$3,734,500
Indiana	\$3,978,000	South Carolina	\$3,734,500
Iowa	\$3,734,500	South Dakota	\$3,734,500
Kansas	\$3,734,500	Tennessee	\$3,978,000
Kentucky	\$3,978,000	Texas	\$21,498,000
Louisiana	\$3,978,000	U.S. Virgin Islands	\$854,000
Maine	\$3,734,500	Utah	\$3,734,500
Maryland	\$6,153,500	Vermont	\$3,734,500
Massachusetts	\$5,645,000	Virginia	\$7,445,500
Michigan	\$6,658,000	Washington	\$6,493,000
Minnesota	\$3,978,000	West Virginia	\$3,734,500
Mississippi	\$3,734,500	Wisconsin	\$3,978,000
Missouri	\$3,978,000	Wyoming	\$3,734,500
<b>Total</b>			<b>\$402,000,000</b>

### FY 2015 UASI Allocations

State/Territory	Funded Urban Area	FY 2015 UASI Allocation
Arizona	Phoenix Area	\$5,500,000
California	Anaheim/Santa Ana Area	\$5,500,000
	Bay Area	\$28,400,000
	Los Angeles/Long Beach Area	\$69,500,000
	Riverside Area	\$3,000,000
	San Diego Area	\$16,874,000
Colorado	Denver Area	\$3,000,000
District of Columbia	National Capital Region	\$54,000,000
Florida	Miami/Fort Lauderdale Area	\$5,500,000
	Tampa Area	\$3,000,000
Georgia	Atlanta Area	\$5,500,000
Hawaii	Honolulu Area	\$3,000,000
Illinois	Chicago Area	\$69,500,000
Maryland	Baltimore Area	\$5,500,000
Massachusetts	Boston Area	\$18,000,000
Michigan	Detroit Area	\$5,500,000
Minnesota	Twin Cities Area	\$5,500,000
Missouri	St. Louis Area	\$3,000,000
Nevada	Las Vegas Area	\$3,000,000
New Jersey	Jersey City/Newark Area	\$20,800,000
New York	New York City Area	\$180,926,000
North Carolina	Charlotte Area	\$3,000,000
Oregon	Portland Area	\$3,000,000
Pennsylvania	Philadelphia Area	\$18,500,000
	Pittsburgh Area	\$3,000,000
Texas	Dallas/Fort Worth/Arlington Area	\$15,500,000
	Houston Area	\$24,000,000
Washington	Seattle Area	\$5,500,000
<b>Total</b>		<b>\$587,000,000</b>

### FY 2015 SHSP and UASI LETPA Minimums

State/Territory	Funded Urban Area(s)	UASI Allocation	Total UASI Allocation	SHSP Allocation	Total Allocation by State	LETPA
Alabama				\$3,734,500	\$3,734,500	\$933,625
Alaska				\$3,734,500	\$3,734,500	\$933,625
American Samoa				\$854,000	\$854,000	\$213,500
Arizona	Phoenix Area	\$5,500,000	\$5,500,000	\$4,568,000	\$10,068,000	\$2,517,000
Arkansas				\$3,734,500	\$3,734,500	\$933,625
California	Anaheim/Santa Ana Area	\$5,500,000	\$123,274,000	\$60,178,500	\$183,452,500	\$45,863,125
	Bay Area	\$28,400,000				
	Los Angeles/Long Beach Area	\$69,500,000				
	Riverside Area	\$3,000,000				
	San Diego Area	\$16,874,000				
Colorado	Denver Area	\$3,000,000	\$3,000,000	\$3,979,000	\$6,979,000	\$1,744,750
Connecticut				\$3,978,000	\$3,978,000	\$994,500
Delaware				\$3,734,500	\$3,734,500	\$933,625
District of Columbia	National Capital Region	\$54,000,000	\$54,000,000	\$4,141,500	\$58,141,500	\$14,535,375
Florida	Miami/Fort Lauderdale Area	\$5,500,000	\$8,500,000	\$11,040,500	\$19,540,500	\$4,885,125
	Tampa Area	\$3,000,000				
Georgia	Atlanta Area	\$5,500,000	\$5,500,000	\$6,807,000	\$12,307,000	\$3,076,750
Guam				\$854,000	\$854,000	\$213,500
Hawaii	Honolulu Area	\$3,000,000	\$3,000,000	\$3,734,500	\$6,734,500	\$1,683,625
Idaho				\$3,734,500	\$3,734,500	\$933,625
Illinois	Chicago Area	\$69,500,000	\$69,500,000	\$16,408,500	\$85,908,500	\$21,477,125
Indiana				\$3,978,000	\$3,978,000	\$994,500
Iowa				\$3,734,500	\$3,734,500	\$933,625
Kansas				\$3,734,500	\$3,734,500	\$933,625
Kentucky				\$3,978,000	\$3,978,000	\$994,500
Louisiana				\$3,978,000	\$3,978,000	\$994,500
Maine				\$3,734,500	\$3,734,500	\$933,625
Maryland	Baltimore Area	\$5,500,000	\$5,500,000	\$6,153,500	\$11,653,500	\$2,913,375
Massachusetts	Boston Area	\$18,000,000	\$18,000,000	\$5,645,000	\$23,645,000	\$5,911,250
Michigan	Detroit Area	\$5,500,000	\$5,500,000	\$6,658,000	\$12,158,000	\$3,039,500
Minnesota	Twin Cities Area	\$5,500,000	\$5,500,000	\$3,978,000	\$9,478,000	\$2,369,500
Mississippi				\$3,734,500	\$3,734,500	\$933,625
Missouri	St. Louis Area	\$3,000,000	\$3,000,000	\$3,978,000	\$6,978,000	\$1,744,500
Montana				\$3,734,500	\$3,734,500	\$933,625
Nebraska				\$3,734,500	\$3,734,500	\$933,625
Nevada	Las Vegas Area	\$3,000,000	\$3,000,000	\$3,734,500	\$6,734,500	\$1,683,625
New Hampshire				\$3,734,500	\$3,734,500	\$933,625
New Jersey	Jersey City/Newark Area	\$20,800,000	\$20,800,000	\$8,354,000	\$29,154,000	\$7,288,500
New Mexico				\$3,734,500	\$3,734,500	\$933,625
New York	New York City Area	\$180,926,000	\$180,926,000	\$76,949,000	\$257,875,000	\$64,468,750
North Carolina	Charlotte Area	\$3,000,000	\$3,000,000	\$5,489,000	\$8,489,000	\$2,122,250
North Dakota				\$3,734,500	\$3,734,500	\$933,625
Northern Mariana Islands				\$854,000	\$854,000	\$213,500
Ohio				\$7,698,000	\$7,698,000	\$1,924,500
Oklahoma				\$3,734,500	\$3,734,500	\$933,625
Oregon	Portland Area	\$3,000,000	\$3,000,000	\$3,837,000	\$6,837,000	\$1,709,250



**FY 2015 SHSP and UASI LETPA Minimum (continued)**

State/Territory	Funded Urban Area(s)	UASI Allocation	Total UASI Allocation	SHSP Allocation	Total Allocation by State	LETPA
Pennsylvania	Philadelphia Area	\$18,500,000	\$21,500,000	\$10,054,500	\$31,554,500	\$7,888,625
	Pittsburgh Area	\$3,000,000				
Puerto Rico				\$3,734,500	\$3,734,500	\$933,625
Rhode Island				\$3,734,500	\$3,734,500	\$933,625
South Carolina				\$3,734,500	\$3,734,500	\$933,625
South Dakota				\$3,734,500	\$3,734,500	\$933,625
Tennessee				\$3,978,000	\$3,978,000	\$994,500
Texas	Dallas/Fort Worth/Arlington Area	\$15,500,000	\$39,500,000	\$21,498,000	\$60,998,000	\$15,249,500
	Houston Area	\$24,000,000				
U.S. Virgin Islands				\$854,000	\$854,000	\$213,500
Utah				\$3,734,500	\$3,734,500	\$933,625
Vermont				\$3,734,500	\$3,734,500	\$933,625
Virginia				\$7,445,500	\$7,445,500	\$1,861,375
Washington	Seattle Area	\$5,500,000	\$5,500,000	\$6,493,000	\$11,993,000	\$2,998,250
West Virginia				\$3,734,500	\$3,734,500	\$933,625
Wisconsin				\$3,978,000	\$3,978,000	\$994,500
Wyoming				\$3,734,500	\$3,734,500	\$933,625
<b>Total</b>		<b>\$587,000,000</b>	<b>\$587,000,000</b>	<b>\$402,000,000</b>	<b>\$989,000,000</b>	<b>\$247,250,000</b>

## FY 2015 OPSG Eligible States and Territories

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

Note: Not all applicants are guaranteed to receive funding under the FY 2015 OPSG.

## Appendix B – Program Priorities

### **Alignment of HSGP to the National Preparedness System**

The Nation utilizes the National Preparedness System to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (the Goal). The Goal is “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.”

The objective of the National Preparedness System is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based, whole community approach to preparedness. Complex and far-reaching threats and hazards require the engagement of individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>).

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

The FY 2015 HSGP contributes to the implementation of the National Preparedness System by financially supporting the ability of States and local jurisdictions to build, sustain, and deliver core capabilities identified in the Goal. The HSGP’s allowable costs support efforts across the five mission areas of Prevention, Protection, Mitigation, Response, and Recovery.

A key focus and requirement of the HSGP is to prevent terrorism and other catastrophic events and to prepare the Nation for the threats and hazards that pose the greatest risk to the security and resilience of the United States, and the greatest risks along the Nation’s Borders. When applicable, funding should support deployable assets that can be used anywhere in the Nation through automatic assistance and mutual aid agreements, including but not limited to the Emergency Management Assistance Compact (EMAC).

In addition, DHS/FEMA expects recipients to prioritize grant funding to address gaps identified through the annual SPR in achieving capability targets set through the annual THIRA. These assessments identify the jurisdiction’s capability targets and current ability to meet those targets. Recipients should prioritize grant funds to increase capability for high-priority core capabilities with low capability levels. Minimum funding amounts are not prescribed by the Department for these priorities; however recipients are expected to support state, local, regional, and national efforts in achieving the desired outcomes of these priorities.

Recipients are expected to consider national areas for improvement identified in the 2014 NPR, which include cybersecurity, enhancing the resilience of infrastructure systems, health and social

services, housing, and long-term vulnerability reduction. Addressing these areas for improvement will enhance preparedness nation-wide.

The FY 2015 HSGP supports investments that improve the ability of jurisdictions nationwide to:

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

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

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

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

In order to qualify for HSGP Program funding, all recipients shall develop and maintain an annual THIRA and an annual SPR. A THIRA provides a comprehensive approach for identifying and assessing risks and associated impacts. It expands on existing local, Tribal, territorial, and State Hazard Identification and Risk Assessments (HIRAs) and other risk methodologies by broadening the factors considered in the process, incorporating the whole community throughout the entire process, and by accounting for important community-specific characteristics. CPG 201, Second Edition is available at <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

In step four of the THIRA process, a jurisdiction should estimate the resources required to deliver the capability targets set in their THIRAs. Communities express resource requirements as a list of whole community resources needed to successfully manage their capability targets. Each jurisdiction should decide which combination of resources is most appropriate to achieve its capability targets.

The SPR is an annual self-assessment of state preparedness submitted by the 56 States and territories to DHS/FEMA. The Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA) requires an SPR from any state or territory receiving Federal preparedness assistance administered by the Department of Homeland Security.

### **Reporting**

- UASIs are required to submit an annual update to their THIRA. UASIs will submit their THIRA to the designated SAA. THIRA submissions shall be in alignment with CPG 201, Second Edition. The Urban Area should coordinate internally to ensure its submission represents all jurisdictions within the UASI

program. UASI submissions of the THIRA are due no later than December 31 each year.

- States are required to submit an annual update to their THIRA. States will submit their THIRA update along with their annual SPR through the URT and email a copy of the URT submission to their respective DHS/FEMA Regional Federal Preparedness Coordinator and copy [fema-spr@fema.dhs.gov](mailto:fema-spr@fema.dhs.gov). THIRA submissions shall be in alignment with CPG 201, Second Edition. State submissions of the THIRA and SPR are due no later than December 31 each year. The state should coordinate with each eligible Urban Area to ensure that the UASI THIRA submissions occur in advance of this deadline, as the state must include the Urban Area's input when conducting the statewide SPR assessment.

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

HSGP recipients should ensure that funding is used to sustain core capabilities funded by past HSGP funding cycles and grant programs. New capabilities should not be built at the expense of maintaining current and critically needed core capabilities. New capabilities also must be aligned with capability targets and gaps identified through the THIRA/SPR process.

#### **Reporting**

As part of programmatic monitoring, recipients will be required to describe how expenditures support maintenance and sustainment of current core capabilities within the BSIR. HSGP recipients will, on a project-by-project basis, check one of the following:

- Sustaining or maintaining a capability acquired with Federal homeland security funding;
- Sustaining or maintaining a capability acquired without Federal homeland security funding; or
- Developing or acquiring a new core capability.

### **NIMS Implementation**

Recipients receiving HSGP funding are required to implement the NIMS. The NIMS uses a systematic approach to integrate the best existing processes and methods into a unified national framework for incident management. Incident management refers to how incidents are managed across all homeland security activities, including prevention, protection, and response, mitigation, and recovery. FY 2015 HSGP recipients must use standardized resource management concepts for resource typing, credentialing, and an inventory to facilitate the effective identification, dispatch, deployment, tracking and recovery of resources.

#### **Reporting**

- Recipients report on NIMS implementation through the SPR.

### **Fusion Centers**

DHS/FEMA has identified state and major Urban Area fusion centers as a critical component of our Nation's distributed homeland security and counterterrorism architecture. They provide grassroots intelligence and analytic capabilities within the state and local jurisdiction (<http://www.dhs.gov/state-and-major-urban-area-fusion-centers>). To that end, DHS/FEMA preparedness grants will continue to support designated state and major Urban Area fusion

centers (<http://www.dhs.gov/fusion-center-locations-and-contact-information>) and the maturation of the Information Sharing Environment (ISE).

The national network of fusion centers (National Network) provides a mechanism for the Federal government to receive information from state, local, territory and Tribal partners, which helps create a more complete threat picture at the National level. Participating in the Nationwide Suspicious Activity Reporting (SAR) Initiative enables fusion centers to receive and analyze suspicious activity reporting from frontline public safety personnel, the private sector, and the public, and ensure the sharing of SAR with the Federal Bureau of Investigation's Joint Terrorism Task Forces for further investigation.

In support of this strategic vision, the DHS/FEMA is requiring designated state and major Urban Area fusion centers to participate in an annual assessment of their achievement of Critical Operational Capabilities (COCs) and Enabling Capabilities (ECs).

As maturation of the National Network continues to be a high priority in FY 2015, DHS/FEMA is requiring that all fusion center related funding requests be consolidated into a single (1) investment for states or Urban Areas in which designated fusion centers reside. The single investment provides states and urban areas a means to centrally manage and report on fusion center related activities. **Recipients must coordinate with the fusion center when developing a fusion center investment prior to application submission and the investment must directly align to and reference capability gaps identified during the center's individual 2014 Fusion Center Assessment Report. In particular, each proposed project included in the fusion center investment must reference the corresponding COC or EC, as well as associated attribute(s), the funding investment is intended to address.** Additionally, any jurisdiction or agency that leverages HSGP funds to support intelligence- or fusion process-related activities (e.g., intelligence unit, real time crime information and analysis centers) must ensure efforts are integrated and/or coordinated with the state or major Urban Area fusion center(s).

State and major Urban Area fusion centers receiving SHSP and/or UASI grant funds will be evaluated based on compliance with the guidance and requirements for the National Network as set forth by DHS I&A through the annual Fusion Center Assessment Program.

- FY2015 Fusion Center Grant requirements are listed at <http://www.dhs.gov/homeland-security-grant-program-hsgp>.
- DHS/FEMA approved analyst courses that meet the grant requirement are listed at <http://www.dhs.gov/fema-approved-intelligence-analyst-training-courses>.

Through the SF-PPR, fusion centers will report on the achievement of capabilities and compliance with measurement requirements within the Maturation and Enhancement of State and major Urban Area fusion centers priority through the annual Fusion Center Assessment Program managed by DHS I&A and reported to FEMA.

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

Recipients shall develop and maintain, jurisdiction-wide, all threats and hazards EOPs consistent with CPG 101 v.2. Recipients must update their EOP at least once every two years.

## **Reporting**

- Recipients report EOP compliance with CPG 101 v2 in the SPR.

### ***Validating Capabilities***

Recipients should engage elected and appointed officials and other whole community stakeholders to identify long-term training and exercise priorities. These priorities should address capability targets and gaps identified through the annual THIRA and SPR processes, areas for improvement identified from real-world events and preparedness exercises, and national areas for improvement identified in the most recent NPR.

Recipients should document these priorities and schedule of exercise events and supporting training activities in a Multi-year Training and Exercise Plan (TEP). Information related to TEPs and Training and Exercise Planning Workshops (TEPWs) can be found on the Homeland Security Exercise and Evaluation Program (HSEEP) website at <https://www.fema.gov/exercise>.

All recipients will develop and maintain a progressive exercise program consistent with HSEEP and support of the National Exercise Program (NEP) (<http://www.fema.gov/national-exercise-program>). Recipients can examine and validate capability through exercises and are strongly encouraged to nominate exercises into the National Exercise Program (NEP). The NEP serves as the principal exercise mechanism for examining national preparedness and measuring readiness.

## **Reporting**

- Recipients and sub-recipients are required to develop a TEP that identifies training and exercise priorities and activities. The TEP shall be submitted to [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov) no later than June 1 annually. States are encouraged to post their schedules to the National Exercise Scheduling System (NEXS) at <https://www.fema.gov/exercise>.
- Recipients are required to submit one After Action Report/Improvement Plan (AAR/IP) for each HSGP-funded progressive exercise series; or submit individual AAR/IPs for each HSGP-funded exercise. AAR/IPs should be submitted to [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov), no more than 90 days after completion of the exercise. Recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. Recipients are encouraged to use the HSEEP AAR/IP template located at <https://www.fema.gov/exercise> and use the Corrective Action Program (CAP) System at <https://hseep.dhs.gov/caps/>, to track the implementation of corrective actions listed in the AAR/IP.

### ***Reviewing and Updating***

On a recurring basis, capability levels, resources, and plans should be reviewed to determine if they remain relevant or need to be updated. This review should be ongoing and based on a current risk assessment and utilize information gathered during the validation process. These reviews provide a means to examine preparedness analyses, determine priorities, direct preparedness actions, and calibrate goals and objectives.

## Supplemental SHSP Guidance

### *Governance*

In keeping with the guiding principles of governance for all DHS/FEMA preparedness programs, recipients must coordinate activities across preparedness disciplines and levels of government, including state, territorial, local, and Tribal governments. A cohesive planning framework should incorporate DHS/FEMA resources, as well as those from other Federal, state, territory, local, private sector, faith-based community, and Tribal organizations. Specific attention should be paid to how available preparedness funding sources can effectively support a whole community approach to emergency preparedness and management and the enhancement of core capabilities. To ensure this, the SAA must establish or reestablish a unified Senior Advisory Committee (SAC).

### *Senior Advisory Committee (SAC)*

The SAC builds upon previously established advisory bodies under HSGP (including the SHSP and UASI programs), Nonprofit Security Grant Program (NSGP), Transit Security Grant Program (TSGP), and Port Security Grant Program (PSGP). Examples of advisory bodies that should be included on the SAC include: Urban Area Working Groups (UAWGs), Statewide Interoperability Governing Board (SIGB), Area Maritime Security Committees (AMSCs), Regional Transportation Security Working Groups (RTSWG), Citizen Corps Councils, Disability Inclusion Working Groups, and Children's Working Groups. To ensure a whole community effort, SAC membership should include representation from relevant jurisdictions, response disciplines, UASI-funded Urban Areas, Citizen Corps Councils, Tribal organizations, and non-profit, faith based, and other voluntary organizations such as the American Red Cross. SACs are encouraged to develop subcommittee structures, as necessary, to address issue- or region-specific considerations.

The responsibilities of a SAC include:

- Integrating preparedness activities across disciplines, the private sector, non-profit organizations, faith-based and community organizations, and all levels of government, including local, state, Tribal, and territorial, with the goal of maximizing coordination and reducing duplication of effort;
- Creating a cohesive planning network that builds and implements preparedness initiatives using DHS/FEMA resources, as well as other Federal, state, territorial, local, private sector, faith-based community, and Tribal resources;
- Management of all available preparedness funding sources to ensure their effective use of and to minimize duplication of effort; and
- Ensuring applications for SHSP and UASI funds align with the capability gaps identified in the THIRA and SPR.

### *SAC Composition and Scope*

**1. Membership.** The SAC must include whole community intrastate and interstate partners as applicable and have balanced representation among entities with operational responsibilities for terrorism/disaster prevention, protection, mitigation, response, and recovery activities within the state.



The membership of the SAC must reflect the threats and hazards identified in the state's THIRA as well as each of the core capabilities, in particular those core capabilities identified as having large capability gaps identified in the state's most recent SPR. SAAs will use the URT to verify compliance of SAC charter requirements. Further, the SAC must include representatives that were involved in the production of the state's THIRA and represent the interests of the five mission areas as outlined in the Goal.

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

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

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

Finally, DHS/FEMA recommends that organizations advocating on behalf of youth, older adults and individuals with disabilities and others with access and functional needs, socio-economic factors and cultural diversity, be invited to participate in the SAC.

## **2. Collaboration with state agencies and other stakeholder organizations.**

Program representatives from the following entities should be members of the SAC (as applicable): State Homeland Security Advisor (HSA) (if this role is not also the SAA), State Emergency Management Agency (EMA) Director, State Public Health Officer, State Public Safety Officer (and SAA for Justice Assistance Grants, if different), State Coordinator for the DOD 1033 Program, State Court Official, State Emergency Medical Services (EMS) Director, State Trauma System Manager, Statewide Interoperability Coordinator, State Citizen Corps Council, the State Emergency Medical Services for Children (EMSC) Coordinator, State Education Department, State Human Services Department, State Child Welfare Services, State Juvenile Justice Services, Urban Area POC, Senior Members of AMSCs, Senior Members of the RTSWG, Senior Security Officials from Major Transportation Systems, and the Adjutant General.

### ***Senior Advisory Committee Charter***

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

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

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

To manage this effort and to further reinforce collaboration and coordination across the stakeholder community, a portion of the 20 percent (20%) holdback of a state or territory award may be utilized by the SAA for the purpose of supporting the SAC and to ensure representation and active participation of SAC members. Funding may be used for hiring and training planners, establishing and maintaining a program management structure, identifying and managing projects, conducting research necessary to inform the planning process, and developing plans that bridge mechanisms, documents, protocols, and procedures.

SAAs will use the URT to verify compliance of SAC charter requirements.

### **Supplemental UASI Guidance**

The UASI program is intended to provide financial assistance to address the unique multi-discipline planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and to assist these areas in building and sustaining capabilities to prevent, protect against, mitigate, respond to, and recover from threats or acts of terrorism using the Whole Community approach. Urban Areas must use UASI funds to employ regional approaches to overall preparedness and are encouraged to adopt regional response structures whenever appropriate. UASI program implementation and governance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, mitigation, response, and recovery activities within the region. In some

instances, Urban Area boundaries cross state borders. States must ensure that the identified Urban Areas take an inclusive regional approach to the development and implementation of the UASI program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, state agencies, state-wide Interoperability Coordinators, Citizen Corps Council(s), and campus law enforcement in their program activities.

### ***Composition***

Pursuant to provisions of the Homeland Security Act of 2002, as amended, eligible UASI sites were determined based on an analysis of relative risk of the 100 most populous Metropolitan Statistical Areas (MSAs), as defined by the Office of Management and Budget (OMB). MSAs are used by DHS/FEMA to determine eligibility for participation in the program. Geographical areas queried do not equate to minimum mandated membership representation of an Urban Area, nor does this guarantee funding for geographical areas queried. UAWGs must continue to take a regional approach to membership but are not required to expand or contract existing Urban Area participation to conform to MSA composition. Detailed information on MSAs is publicly available from the United States Census Bureau at <http://www.census.gov/population/www/metroareas/metrodef.html>.

### ***UASI Program Requirements***

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

- **Identify POCs.** The SAA must confirm a specific POC with the designated Urban Area. The SAA POCs are responsible for identifying and coordinating with the POC for the UAWG. This information must be provided to DHS/FEMA with the grant application. SAAs must work with existing Urban Areas to ensure that information for current POCs is on file with DHS/FEMA.
- **Define the Urban Area.** The SAA POC, in coordination with the candidate Urban Areas, must define the Urban Area, as it will apply to the UASI program. The identified city or combined entity represents the candidate Urban Area eligible to apply for funding under the UASI program. For those Urban Areas with a combined entity, that area represents the minimum area that must be part of the defined Urban Area. The definition of the Urban Area is limited to jurisdictions contiguous to the geographic area used to determine eligibility, or those jurisdictions in that area which have established formal mutual aid agreements. States may request a waiver for this limitation for regions previously established by Executive Order, law, or compact. For the purposes of the UASI program, the Washington, D.C. Urban Area will consist of the National Capital Region (NCR) as set forth in 10 U.S.C. §2674(f)(2). In coordination with the UAWG, the SAA POC may redefine the geographic boundaries of an existing Urban Area, as it will apply to the UASI program. The SAA POC must notify DHS/FEMA of this change.
- **Establish the UAWG.** Membership in the UAWG must provide either direct or indirect representation for all relevant jurisdictions and response disciplines (including law enforcement, fire service, EMS, and emergency management) that comprise the

defined Urban Area. It must also be inclusive of local Citizen Corps Council and Tribal representatives. The UAWG should also ensure the integration of local emergency management, public health, and health care systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident. In addition, the UAWG should include officials responsible for the administration of Center for Disease Control (CDC) and Assistant Secretary for Preparedness and Response's (ASPR) cooperative agreements. Finally, it must be inclusive of members advocating on behalf of youth, older adults, individuals with disabilities and others with access and functional needs, socio-economic factors and cultural diversity.

The SAA POC must ensure that appropriate representation for the defined Urban Area is included per this guidance. DHS/FEMA strongly encourages that, wherever possible, previously established local working groups should be leveraged for this purpose to ensure that UASI funded resources are managed in the most efficient and effective manner possible. The UAWG may also support state efforts to develop the SPR, particularly as it relates to UASI funded activities.

- **Governance.** The jurisdictions identified in [Appendix A – FY 2015 Program Allocations](#) represent the candidate Urban Areas eligible to apply for funding. The UAWG will be responsible for coordinating the development and implementation of all program initiatives. States and Urban Areas must consider including counties within which the cities reside, contiguous jurisdictions, MSAs, operational areas, and mutual aid partners, as appropriate, in the governance process.

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

UASIs will use the URT to verify UAWG structure and membership. Urban Areas must notify the SAA and Headquarters Program Analyst of any updates to the UAWG structure or membership.

- **Develop Urban Area THIRA.** As a result of the improved governance process and the rationale for maintaining and sustaining existing capabilities and the development of new capabilities, members of the UAWG should be involved in the development of an Urban Area THIRA coordinated with the state THIRA and SPR, and subsequent updates.
- **Allocation of Funds.** The use and allocation of all grant funds available through the UASI program must focus on the investments identified in the Urban Area's IJ. The

use of funds must also be consistent with overall UASI program guidelines, the National Preparedness System, and must develop or sustain one or more core capabilities in the Goal. Funds used to support whole community and individual preparedness related efforts, such as engaging non-governmental organizations demonstrating the integration of children and individuals with disabilities or access and functional needs in all phases of emergency management, participation of disaster volunteers, such as Community Emergency Response Teams (CERTs) in training, exercises and response and recovery operations, and educating the public should be coordinated with local CERT programs and/or Citizen Corps Councils.

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

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

## **Supplemental SHSP and UASI Guidance**

### ***Collaboration with Other Federal Preparedness Programs***

DHS/FEMA strongly encourages states, Urban Areas, and regions to understand other Federal preparedness programs in their jurisdictions and to work with them in a collaborative manner to leverage all available resources and avoid duplicative activities. For example, U. S. Department of Health and Human Services (HHS) has two robust preparedness programs – CDC Public Health Emergency Preparedness (PHEP) cooperative agreement program and ASPR's Hospital Preparedness Program (HPP) cooperative agreement program – that focus on preparedness capabilities. CDC's 15 public health preparedness capabilities and ASPR's eight healthcare preparedness capabilities serve as operational components for many of the core capabilities, and collaboration with the PHEP directors and HPP coordinators can build capacity around shared interests and investments that fall in the scope of these HHS cooperative agreements and the 2015 HSGP. States and Urban Areas should coordinate among the entire scope of Federal partners, national initiatives and grant programs to identify opportunities to leverage resources when implementing their preparedness programs. These may include but are not limited to: Medical Reserve Corps. Emergency Medical Services for Children grants; ASPR HPP; CDC PHEP; CDC Cities Readiness Initiative; Strategic National Stockpile Programs; and EMS; and DOJ grants, and the DOD 1033 Program. However, coordination is not limited to grant

funding. It also includes leveraging assessments such as TSA's Baseline Assessment and Security Enhancement (BASE); reporting from the Intelligence Community, risk information such as U.S. Coast Guard's Maritime Security Risk Analysis Model (MSRAM), and USBP Sector Analysis.

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

#### ***Whole Community Engagement***

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

#### ***Collaboration with Nonprofit Organizations***

SHSP and UASI recipients are encouraged to work with the nonprofit community to address terrorism and all hazards prevention concerns, seek input on the needs of the nonprofit sector, and support the goals of their investments.

#### ***Collaboration with Tribes***

DHS/FEMA strongly encourages states, Urban Areas, and regions to work with Tribal nations in overall initiatives such as whole community preparedness and emergency management planning.

#### ***Multiple Purpose or Dual-Use of Funds***

For both SHSP and UASI, many activities which support the achievement of target capabilities related to terrorism preparedness may simultaneously support enhanced preparedness for other hazards unrelated to acts of terrorism. However, all SHSP and UASI funded projects must assist recipients and subrecipients in achieving target capabilities related to preventing, preparing for, protecting against, or responding to acts of terrorism.

#### ***Enhancing Cybersecurity Capabilities***

Applicants are encouraged to propose projects to aid in implementation of all or part of the National Institute of Standards and Technology (NIST) [Cyber Security Framework](#) when requesting funds for cybersecurity. The Framework gathers existing global standards and practices to help organizations understand, communicate, and manage their cyber risks. For organizations that don't know where to start, the Framework provides a road map. For organizations with more advanced cybersecurity, the Framework offers a way to better communicate with their leadership and with suppliers about management of cyber risks.

The Department of Homeland Security's [Critical Infrastructure Cyber Community C<sup>3</sup> Voluntary Program](#) also provides resources to critical infrastructure owners and operators to assist in adoption of the Framework and managing cyber risks.

#### ***Mass Casualty Incident Preparedness and Citizen Preparedness***

Although the Citizen Corps Program (CCP) and Metropolitan Medical Response System (MMRS) are no longer funded as discrete grant programs within HSGP, SAAs may include IJs funding to support CCP and MMRS activities/programs. Activities funded under these projects must meet the allowability requirements of the SHSP and UASI programs. The following coordination requirements will remain in place for proposed activities that support mass casualty incident preparedness, as well as citizen preparedness.

Mass casualty preparedness must be conducted in collaboration with state/city/local health departments that administer Federal funds from HHS to enhance the integration of local emergency management, public health, and health care systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident or a response to catastrophic events and acts of terrorism. Recipients must also demonstrate how their investments will increase the effectiveness of emergency preparedness planning and response for the whole community by integrating and coordinating activities including children, older adults, pregnant women, and individuals with disabilities and others with access and functional needs. Further, recipients are strongly encouraged to collaborate with local, regional, and state public health and health care partners, including Medical Reserve Corps Units Community Emergency Response Teams (CERTs) Citizen Corps Councils, as well as leverage other Federal programs, such as the HHS ASPR Hospital Preparedness Program and Emergency Systems for Advance Registration of Volunteer Health Professionals, CDC Cities Readiness Initiative, PHEP, and Strategic National Stockpile Programs.

To demonstrate whole community engagement, Citizen Corps Councils and Community CERT programs must register new programs or annually update information for an existing program on line in order to be considered by a state or local jurisdiction for inclusion in their IJs when applying for HSGP funds. Program updates can be made at <http://www.ready.gov/citizen-corps> for Citizen Corps Councils and at <http://www.fema.gov/community-emergency-response-teams> for CERT Programs. The [\*Citizen Corps and CERT Whole Community Core Capabilities Tool\*](#) has been developed to help recipients develop IJs that reference how Citizen Corps and CERT activities contribute to and support specific core capabilities.

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

### ***Emergency Management Accreditation Program***

With funds provided through FY 2015 HSGP, states have the opportunity to encourage their local jurisdictions to pursue assessment and accreditation under the Emergency Management Accreditation Program (EMAP).

EMAP's assessment and accreditation of emergency management organizations against consensus-based, American National Standards Institute (ANSI)-certified standards allows for standardized benchmarking of critical functions necessary for an emergency management organization to meet the core capabilities identified in the National Preparedness Goal (Goal). Additional information on the EMAP Standard is available at <http://www.emaponline.org>.

### **Supplemental OPSG Guidance**

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

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

- Increase capability to prevent, protect against, and respond to border security issues;
- Increase coordination and collaboration among Federal, state, local, Tribal, and territorial law enforcement agencies;
- Continue the distinct capability enhancements required for border security and border protection;
- Provide intelligence-based operations through USBP Sector Level experts to ensure safety and operational oversight of Federal, state, local, Tribal, and territorial law enforcement agencies participating in OPSG operational activities;
- Support a request to any Governor to activate, deploy, or redeploy specialized National Guard Units/Packages and/or elements of state law enforcement to increase or augment specialized/technical law enforcement elements operational activities; and
- Continue to increase operational, material and technological readiness of state, local, Tribal, and territorial law enforcement agencies.

OPSG funds must be used to increase operational capabilities of Federal, state, local, Tribal, and territorial law enforcement, promoting a layered, coordinated approach to law enforcement within Border States and territories of the United States.

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



### ***Coordination Requirements***

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

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

Recipients may not begin operations, obligate, or expend any funds until the final Operations Order and embedded budget has been approved by FEMA GPD and USBP Headquarters and any existing special conditions and/or restrictions are removed.

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

For information on how to determine M&A for OPSG awards, please review the GPD policy [\*Clarification for Allowable Management and Administration \(M&A\) Costs under the Operation Stonegarden Grant Program\*](#), dated June 25, 2013.

### **Other Requirements**

***National Information Exchange Model (NIEM)***. DHS/FEMA requires all grantees to use the latest NIEM specifications and guidelines regarding the use of Extensible Markup Language (XML) when using HSGP funds to develop, procure, or implement homeland security information exchanges, including systems and databases. Further information about NIEM specifications and guidelines is available at <http://www.niem.gov>.

***28 C.F.R. Part 23 Guidance***. DHS/FEMA requires that any information technology system funded or supported by these funds comply with 28 C.F.R. Part 23, *Criminal Intelligence Systems Operating Policies*, if this regulation is determined to be applicable.

## Appendix C - Funding Guidelines

Recipients must comply with all the requirements in 2 C.F.R. Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards).

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

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

### **Continuity of Operations**

FEMA is designated as the Department of Homeland Security's lead agency for managing the nation's Continuity Program. To support this role, FEMA provides direction and guidance to assist in developing capabilities for continuing the Federal and state, territorial, Tribal, and local (STTL) government jurisdictions and private sector organizations' essential functions across a broad spectrum of emergencies.

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

### **Planning (SHSP and UASI only)**

SHSP and UASI funds may be used for a range of emergency preparedness and management planning activities and such as those associated with the development of the THIRA, SPR, continuity of operations plans and other planning activities that support the Goal and placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in [CPG 101 v 2.0](#).

### **Organization (SHSP and UASI Only)**

Organizational activities include:

- Program management;
- Development of whole community partnerships, through groups such as Citizen Corp Councils;
- Structures and mechanisms for information sharing between the public and private sector;

- Implementing models, programs, and workforce enhancement initiatives to address ideologically-inspired radicalization to violence in the homeland;
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors;
- Operational Support;
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident;
- Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs in resulting from a National Special Security Event; and
- Paying salaries and benefits for personnel to serve as qualified intelligence analysts.

States and Urban Areas must justify proposed expenditures of SHSP or UASI funds to support organization activities within their IJ submission. All SAAs are allowed to utilize up to 50 percent (50%) of their SHSP funding and all Urban Areas are allowed up to 50 percent (50%) of their UASI funding for personnel costs. At the request of a recipient of a grant, the FEMA Administrator may grant a waiver of the 50 percent (50%) limitation noted above. Requests for waivers to the personnel cap must be submitted by the authorized representative of the SAA (or recipient agency) to GPD in writing on official letterhead, with the following information:

- Documentation explaining why the cap should be waived;
- Conditions under which the request is being submitted; and
- A budget and method of calculation of personnel costs both in percentages of the grant award and in total dollar amount. To avoid supplanting issues, the request must also include a three-year staffing history for the requesting entity.

Organizational activities under SHSP and UASI include:

- **Intelligence analysts.** Per the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Pub. L. No. 110-412), SHSP and UASI funds may be used to hire new staff and/or contractor positions to serve as intelligence analysts to enable information/intelligence sharing capabilities, as well as support existing intelligence analysts previously covered by SHSP or UASI funding. In order to be hired as an intelligence analyst, staff and/or contractor personnel must meet at least one of the following criteria:
  - Successfully complete training to ensure baseline proficiency in intelligence analysis and production within six months of being hired; and/or,
  - Previously served as an intelligence analyst for a minimum of two years either in a Federal intelligence agency, the military, or state and/or local law enforcement intelligence unit

As identified in the priority entitled, *Maturation and Enhancement of State and Major Urban Area Fusion Centers*, all fusion center analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*, which outlines the minimum categories of training needed for intelligence analysts. A certificate of completion of such training must be on file with the SAA

and must be made available to the recipient's respective Headquarters Program Analyst upon request. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing gaps in analytic capability identified during the fusion center's annual assessment.

- **Overtime costs.** Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security and specifically requested by a Federal agency. Allowable costs are limited to overtime associated with Federally requested participation in eligible fusion activities, including anti-terrorism task forces, Joint Terrorism Task Forces (JTTFs), Area Maritime Security Committees (as required by the *Maritime Transportation Security Act of 2002*), DHS Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams. Grant funding can only be used in proportion to the Federal man-hour estimate, and only after funding for these activities from other Federal sources (i.e., FBI JTTF payments to state and local agencies) has been exhausted. Under no circumstances should DHS/FEMA grant funding be used to pay for costs already supported by funding from another Federal source.
  
- **Operational overtime costs.** In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism and other catastrophic events, operational overtime costs are allowable for increased security measures at critical infrastructure sites. SHSP or UASI funds for organizational costs may be used to support select operational expenses associated with increased security measures at critical infrastructure sites in the following authorized categories:
  - Backfill and overtime expenses for staffing state or Major Urban Area fusion centers;
  - Hiring of contracted security for critical infrastructure sites;
  - Participation in Regional Resiliency Assessment Program activities;
  - Public safety overtime;
  - Title 32 or state Active Duty National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package (Note: Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package); and
  - Increased border security activities in coordination with CBP

SHSP or UASI funds may only be spent for operational overtime costs upon prior approval provided in writing by the FEMA Administrator per the instructions in [IB 379](#).

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

### **Equipment (SHSP and UASI)**

The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for HSGP are listed on the Authorized Equipment List (AEL). The AEL is available in PDF format at <https://www.fema.gov/media-library/assets/documents/101566>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS/FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Grant funds may be used for the procurement of medical countermeasures. Procurement of medical countermeasures must be conducted in collaboration with state/city/local health departments who administer Federal funds from HHS for this purpose and with existing MMRS committees where available, in order to sustain their long term planning for appropriate, rapid, and local medical countermeasures, including antibiotics and antidotes for nerve agents, cyanide, and other toxins. Procurement must have a sound threat based justification with an aim to reduce the consequences of mass casualty incidents during the first crucial hours of a response. Prior to procuring pharmaceuticals, recipients must have in place an inventory management plan to avoid large periodic variations in supplies due to coinciding purchase and expiration dates. Recipients are encouraged to enter into rotational procurement agreements with vendors and distributors. Purchases of pharmaceuticals must include a budget for the disposal of expired drugs within each fiscal year's period of performance for HSGP. The cost of disposal cannot be carried over to another DHS/FEMA grant or grant period.

### **Training (SHSP and UASI)**

Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP and UASI programs and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS and DOT). Training conducted using HSGP funds should address a performance gap identified through an AAR/IP or other assessments (e.g., National Emergency Communications Plan NECP Goal Assessments) and contribute to building a capability that will be evaluated through a formal exercise. Any training or training gaps, including those for children, older adults, pregnant women, and individuals with disabilities and others who also have or access and functional needs, should be identified in the AAR/IP and addressed in the state or Urban Area training cycle. Recipients are encouraged to use existing training rather than developing new courses. When developing new courses, recipients are encouraged to apply the Analysis, Design, Development, Implementation and Evaluation model of instructional design using the [Course Development Tool](#).

### **Exercises (SHSP and UASI)**

Exercises conducted with grant funding should be managed and conducted consistent with HSEEP. HSEEP guidance for exercise design, development, conduct, evaluation, and improvement planning is located at <https://www.fema.gov/exercise>.

### **Maintenance and Sustainment (SHSP, UASI, and OPSG)**

The use of DHS/FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable, as described in FEMA Policy [FP 205-](#)

[402-125-1](#) under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to the original purchase of the equipment, the period covered by maintenance or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty.

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

#### **Law Enforcement Terrorism Prevention Allowable Costs (SHSP and UASI)**

Activities eligible for use of LETPA focused funds are outlined in the [National Prevention Framework](#) (and where capabilities are shared with the protection mission area, the National Protection Framework) and include but are not limited to:

- Maturation and enhancement of designated state and major Urban Area fusion centers, including information sharing and analysis, threat recognition, terrorist interdiction, and training/ hiring of intelligence analysts;
- Coordination between fusion centers and other analytical and investigative efforts including, but not limited to Joint Terrorism Task Forces (JTTFs), Field Intelligence Groups (FIGs), High Intensity Drug Trafficking Areas (HIDTAs), Regional Information Sharing Systems (RISS) Centers, criminal intelligence units, and real-time crime analysis centers;
- Implementation and maintenance of the Nationwide SAR Initiative, including training for front line personnel on identifying and reporting suspicious activities;
- Implementation of the "If You See Something, Say Something™" campaign to raise public awareness of indicators of terrorism and terrorism-related crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations. Note: DHS/FEMA requires that the Office of Public Affairs be given the opportunity to review and approve any public awareness materials (e.g., videos, posters, tri-folds, etc.) developed using HSGP grant funds for the "If You See Something, Say Something™" campaign to ensure these materials are consistent with the Department's messaging and strategy for the campaign and the initiative's trademark;
- Training for countering violent extremism; development, implementation, and/or expansion of programs to engage communities that may be targeted by violent extremist radicalization; and the development and implementation of projects to partner with local communities to prevent radicalization to violence, in accordance with the Strategic

Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States; and

- Increase physical security, through law enforcement personnel and other protective measures by implementing preventive and protective measures at critical infrastructure site or at-risk nonprofit organizations.

### **Critical Emergency Supplies (SHSP and UASI)**

In order to further DHS/FEMA' mission, critical emergency supplies, such as shelf stable products, water, and basic medical supplies are an allowable expense under SHSP and UASI. Prior to the allocation of grant funds for stockpiling purposes, each state must have DHS/FEMA's approval of a five-year viable inventory management plan which should include a distribution strategy and related sustainment costs if planned grant expenditure is over \$100,000.

If grant expenditures exceed the minimum threshold, the five-year inventory management plan will be developed by the recipient and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). FEMA GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under UASI. FEMA GPD and LMD will establish guidelines and requirements for the purchase of these supplies under UASI and monitor development and status of the state's inventory management plan.

States (through their Emergency Management Office) are strongly encouraged to consult with their respective FEMA Regional Logistics Chief regarding disaster logistics- related issues. States are further encouraged to share their DHS/FEMA approved plan with local jurisdictions and Tribes.

### **Construction and Renovation (SHSP and UASI)**

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

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

When applying for funds to construct communication towers, recipients and sub-recipients must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD using the guidelines in EHP Supplement prior to submitting materials for EHP review. Completed EHP review materials for construction and communication tower projects **must** be submitted **as soon as possible** to get approved by the end of the period of performance. EHP review materials should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov).

HSGP Program recipients using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. 3141 *et seq.*). Recipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for

laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the *Davis-Bacon Act*, including Department of Labor (DOL) wage determinations, is available from the following website <http://www.dol.gov/compliance/laws/comp-dbra.htm>.

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

### **Personnel (SHSP and UASI)**

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable HSGP planning, training, exercise, and equipment activities. Personnel may include but are not limited to: training and exercise coordinators, program managers for activities directly associated with SHSP and UASI funded activities, intelligence analysts, and statewide interoperability coordinators (SWIC).

For further details, SAAs should refer to IB # 358, <http://www.fema.gov/pdf/government/grant/bulletins/info358.pdf>, or contact their Headquarters Program Analyst.

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

The following are definitions as it relates to personnel costs:

- *Hiring*. State and local entities may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable /DHS/FEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-DHS/FEMA program activities under any circumstances. Hiring will always result in a net increase of Full Time Equivalent (FTE) employees.
- *Overtime*. These expenses are limited to the additional costs which result from personnel working over and above 40 hours of weekly work time as a direct result of their performance of DHS/FEMA-approved activities specified in this guidance. Overtime associated with any other activity is not eligible.
- *Backfill-related Overtime*. Also called “Overtime as Backfill,” these expenses are limited to overtime costs which result from personnel who are working overtime (as identified above) to perform the duties of other personnel who are temporarily assigned to DHS/FEMA-approved activities outside their core responsibilities. Neither overtime nor backfill expenses are the result of an increase of FTE employees.
- *Supplanting*. Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or recipients may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.



### **Operational Packages (OPacks) (SHSP and UASI)**

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

### **Western Hemispheric Travel Initiative (SHSP)**

In addition to the expenditures outlined above, SHSP funds may be used to support the implementation activities associated with the Western Hemisphere Travel Initiative (WHTI), including the issuance of WHTI-compliant Tribal identification cards. More information on the WHTI may be found at [http://www.dhs.gov/files/programs/gc\\_1200693579776.shtm](http://www.dhs.gov/files/programs/gc_1200693579776.shtm) or [http://www.getyouhome.gov/html/eng\\_map.html](http://www.getyouhome.gov/html/eng_map.html).

### **Other Secure Identification Initiatives (SHSP)**

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

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

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

## **Operations (OPSG)**

The intent of OPSG is to focus on operational aspects of enhancing coordination between Federal, state, local, Tribal, and territorial law enforcement agencies to increase the security of the United States Borders.

- *Operational Overtime.* OPSG funds may be used for operational overtime costs associated with law enforcement activities, in support of border law enforcement agencies for increased border security enhancement. At the request of a recipient, the FEMA Administrator may waive the 50 percent (50%) personnel cap. Waiver decisions are at the discretion of the FEMA Administrator and will be considered on a case-by-case basis. A formal OPSG personnel waiver request should:
  - Be requested on official letterhead, include a written justification, and be signed by the local jurisdiction;
  - Include a budget and method of calculation of personnel costs both in percentage of the grant award and in total dollar amount;
  - Include an approved Operations Order from the USBP Sector office which supports the local jurisdiction's written justification; and
  - Be coordinated with the USBP Sector, SAA, and OBP.
- *Part Time Personnel.* OPSG funds may be used to pay additional current part time law enforcement personnel salaries in order to bring them to temporary full time status.
- *Travel, Per Diem, and Lodging.* Travel and per diem include costs associated with the deployment/redeployment of personnel to border areas and for travel associated with law enforcement entities assisting other local jurisdictions in law enforcement activities. In addition, costs to support up to six month deployment of law enforcement personnel to critical Southwest Border locations to support operational activities (travel costs must be in accordance with applicable travel regulations).
- *Vehicle and Equipment Rentals.*
- *Vehicle/Equipment Maintenance.*
- *Fuel Cost and/or Mileage Reimbursement.* There is no cap for reimbursement of operational activities.
- *Activate Reserve State, local, Tribal, and territorial law enforcement personnel.* Supporting a request to the Governor to activate, deploy, or redeploy specialized National Guard Units/Package and/or elements of state law enforcement to increase or augment specialized/technical law enforcement elements operational activities.
- *Backfill.* Costs associated with backfill for personnel supporting operational activities.
- *Law Enforcement Readiness.* Use of OPSG funds may be used to increase operational, material, and technological readiness of state, local, Tribal, and territorial law enforcement agencies.

## **Unallowable Costs (OPSG)**

OPSG unallowable costs include costs associated with staffing and general IT computing equipment and hardware, such as personal computers, faxes, copy machines, modems, etc. OPSG is not intended as a hiring program. Therefore, applying funds toward hiring full-time or permanent sworn public safety officers is unallowable. OPSG funding shall not be used to supplant inherent routine patrols and law enforcement operations or activities not directly related to providing enhanced coordination between local and Federal law enforcement agencies.

Finally, construction and/or renovation costs are prohibited under OPSG. Applicants should refer to IB 358 or contact their Headquarters Program Analyst at (800) 368-6498 for guidance and clarification.

Due to the nature of OPSG, training and exercise expenses are not allowable costs under OPSG.

### **Unallowable Costs (SHSP, UASI and OPSG)**

Per FEMA policy, the purchase of weapons and weapons accessories is not allowed with HSGP funds.

### **Additional Planning Information**

FEMA's National Preparedness Directorate (NPD) offers technical assistance (TA) that is designed to provide recipients and sub-recipients with specialized expertise to improve their emergency plans and planning. TA deliveries are designed specifically to improve and enhance the continuing development of state and local emergency management across the five mission areas of the National Preparedness Goal and across all core capabilities. TA provides the opportunity to engage emergency managers, emergency planners, and appropriate decision-makers in open discussion of options to improve plans and planning in light of their jurisdiction's needs. There is no cost to approved jurisdictions for DHS/FEMA TA.

TA deliveries combine current emergency management best practices with practical consideration of emerging trends, through discussion facilitated by DHS/FEMA contract specialists and with the support of FEMA Region operational specialists. While the invitation of participants is up to the requesting jurisdiction, DHS/FEMA encourages requesting jurisdictions to include the broadest practical range of its emergency managers and planners in all TA deliveries. TA deliveries should be made open to neighboring jurisdictions. As necessary, DHS/FEMA may also invite other Federal experts and practitioners to participate. Additionally, peer-to-peer representation may also be included from other jurisdictions that have recently used TA for the same planning issue.

The TA catalog, showing the full range of TA available across all five mission areas and by all providers, and the TA request form can be accessed at <http://www.fema.gov/national-incident-management-system/fema-technical-assistance-division>.

### **Additional Training Information**

Per DHS/FEMA Grant Programs Directorate Policy [\*FP 207-008-064-1\*](#), *Review and Approval Requirements for Training Courses Funded Through Preparedness Grants*, issued on September 9, 2013, states, territories, Tribal entities and urban areas are no longer required to request approval from FEMA for personnel to attend non-DHS FEMA training as long as the training is coordinated with and approved by the state, territory, Tribal or Urban Area Training Point of Contact (TPOC) and falls within the FEMA mission scope and the jurisdiction's Emergency Operations Plan (EOP). The only exception to this policy is for Countering Violent Extremism courses.

DHS/FEMA will conduct periodic reviews of all state, territory, and Urban Area training funded by DHS/FEMA. These reviews may include requests for all course materials and physical observation of, or participation in, the funded training. If these reviews determine that courses

are outside the scope of this guidance, recipients will be asked to repay grant funds expended in support of those efforts.

For further information on developing courses using the instructional design methodology and tools that can facilitate the process, SAAs and TPOCs are encouraged to review the [NTED Responder Training Development Center \(RTDC\)](#) website.

*DHS/FEMA Provided Training.* These trainings include programs or courses developed for and delivered by institutions and organizations funded by DHS/FEMA. This includes the Center for Domestic Preparedness (CDP), the Emergency Management Institute (EMI), and the National Training and Education Division's (NTED) training partner programs including, the Continuing Training Grants, the National Domestic Preparedness Consortium (NDPC) and the Rural Domestic Preparedness Consortium (RDPC).

*Approved State and Federal Sponsored Course Catalogue.* This catalogue lists state and Federal sponsored courses that fall within the DHS/FEMA mission scope, and have been approved through the FEMA course review and approval process. An updated version of this catalog can be accessed at <http://www.firstrespondertraining.gov>.

*Training Not Provided by DHS/FEMA.* These trainings includes courses that are either state sponsored or Federal sponsored (non-DHS/FEMA), coordinated and approved by the SAA or their designated TPOC, and fall within the DHS/FEMA mission scope to prepare state, local, Tribal, and territorial personnel to prevent, protect against, mitigate, respond to, and recover from acts of terrorism or catastrophic events.

- *State Sponsored Courses.* These courses are developed for and/or delivered by institutions or organizations other than Federal entities or DHS/FEMA and are sponsored by the SAA or their designated TPOC.
- *Joint Training and Exercises with the Public and Private Sectors.* These courses are sponsored and coordinated by private sector entities to enhance public-private partnerships for training personnel to prevent, protect against, mitigate, respond to, and recover from acts of terrorism or catastrophic events. Overtime pay for first responders and emergency managers who participate in public-private training and exercises is allowable. In addition, states, territories, Tribes, and Urban Areas are encouraged to incorporate the private sector in government-sponsored training and exercises.

Additional information on both DHS/FEMA provided training and other Federal and state training can be found at <http://www.firstrespondertraining.gov>.

*Training Information Reporting System ("Web-Forms").* Web-Forms are an electronic form/data management system built to assist the SAA and its designated state, territory and Tribal Training Point of Contact (TPOC). Reporting training activities through Web-Forms is not required under FY 2015 HSGP; however, the system remains available and can be accessed through the DHS/FEMA Toolkit located at <http://www.firstrespondertraining.gov/admin> in order to support recipients in their own tracking of training.

### **Additional Exercise Information**

Recipients that decide to use HSGP funds to conduct an exercise(s) are encouraged to complete a progressive exercise series. Exercises conducted by states and Urban Areas may be used to fulfill similar exercise requirements required by other grant programs. Recipients are encouraged to invite representatives/planners involved with other Federally-mandated or private exercise activities. States and Urban Areas are encouraged to share, at a minimum, the multi-year training and exercise schedule with those departments, agencies, and organizations included in the plan.

- *Exercise Scenarios.* The scenarios used in HSGP-funded exercises must be based on the state/Urban Area's THIRA and SPR. The scenarios used in HSGP-funded exercises must focus on validating capabilities, must be large enough in scope and size to exercise multiple activities and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities. Exercise scenarios should align with priorities and capabilities identified in the Multi-year TEP.
- *Special Event Planning.* If a state or Urban Area will be hosting a special event (e.g., Super Bowl, G-8 Summit), the special event planning should be considered as a training or exercise activity for the purpose of the Multi-year TEP. The state or Urban Area should plan to use SHSP or UASI funding to finance training and exercise activities in preparation for those events. States and Urban Areas should also consider exercises at major venues (e.g., arenas, convention centers) that focus on evacuations, communications, and command and control.
- *Regional Exercises.* States should also anticipate participating in at least one Regional Exercise annually. States must include all confirmed or planned special events in the Multi-year TEP.
- *Role of Non-Governmental Entities in Exercises.* Non-governmental participation in all levels of exercises is strongly encouraged. Leaders from non-governmental entities should be included in the planning, design, and evaluation of an exercise. State, local, Tribal, and territorial jurisdictions are encouraged to develop exercises that test the integration and use of non-governmental resources provided by non-governmental entities, defined as the private sector and private non-profit, faith-based, community, participation in exercises should be coordinated with the local Citizen Corps Council(s) or their equivalent and other partner agencies.

### **Unauthorized Exercise Costs**

Unauthorized exercise-related costs include:

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

## **Appendix D – FY 2015 OPSG Operations Order Template and Instructions**

### **Operations Order Template Instructions**

The OPSG Operations Order Template can be found at <http://www.grants.gov>.

### **Executive Summary Overview**

Operations Order Executive Summary must:

- Identify the organization name, point of contact, committees, and other structures accountable for implementing OPSG in the jurisdiction (typically this will be a program lead or manager overseeing operations and individuals assigned to that agency).
- Describe how Federal, state, local, and Tribal law enforcement agencies will work together to establish and enhance coordination and collaboration on border security issues.

### **Budget Requirements Overview**

Operations Order Detailed Annual Budget must:

- Explain how costs and expenses were estimated.
- Provide a narrative justification for costs and expenses. Supporting tables describing cost and expense elements (e.g., equipment, fuel, vehicle maintenance costs) may be included.

### **Submission Requirements**

Operations Orders must meet the following submission requirements:

- Must be created and submitted in Microsoft Word (\*.doc)
- Must not exceed six pages in length
- Must be submitted using the following file naming convention: “FY 20XX OPSG <State Abbreviation> - <Local Unit of Government Name>”

Due to the competitive nature of this program, separate attachments will not be accepted or reviewed.

**FY 2015 OPERATION STONEGARDEN (OPSG) OPERATIONS  
ORDER AND BUDGET TEMPLATE**

<b>Op Order Name:</b>	Operation	
<b>Op Order Number:</b>	<Completed by USBP>	
<b>Op Dates:</b>	<b>From:</b>	<b>To:</b>
<b>Report Date:</b>		

**Executive Summary**

I. Situation

A. General Situation:

B. Terrain/Weather:

C. C. Criminal Element:

D. D. Friendly Forces:

**II. MISSION**

**III. EXECUTION**

A. Management/Supervisor Intent:

B. General Concept:

C. Specific Responsibilities:

- 1.
- 2.
- 3.

D. Coordinating Instructions:

**IV. BUDGET**

Within the Operations Order, include budgets and operative spending plans in one-year increments (Year 1, Year 2, and Year 3). The annual operations should be practical and able to be completed within the 36-month period of performance. Recipients may not begin operations, obligate, or expend any funds until the final Operations Order and embedded budget has been approved by FEMA GPD and USBP Headquarters and any existing special conditions and/or restrictions are removed.

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

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

Administration/Logistics/Budget Request		Narrative Justification (Computation of Items)	Federal Request
Law Enforcement Operational Overtime		\$50 per hour OT rate x 11 personnel x 10 hours x 3 day detail x 4 quarters per year x 3 years	\$198,000.00
Fringe Benefits for Law Enforcement		\$27.55/hr x 1.5 OT = (\$41.33/hr) x (.062) = (\$2.56/hr FICA) x 5840 hrs/yr x 3 yrs	\$44,851.20
Travel, Lodging, and Per Diem for deployed LE and/or Federally sponsored (DHS/FEMA) border security task forces, conferences and/or mandatory training		Federal or below: approx. miles of 3,500, 15 days single Occupancy @ \$150 for 5 people	\$1,750.00
General Equipment		Lines, personal flotation devices, GPS software updates, marine batteries, thermal imaging system	
Special Equipment (Requiring separate waiver i.e., Planes, boats, vehicles, SUVs, etc.)		Sea Hawk Boat, Explorer 4x4 Police with Package	\$75,000.00
Part-Time to Full-Time Law Enforcement Personnel			
Activated Reserve Law Enforcement Personnel			
Vehicles:	Vehicle Maintenance	46,800 miles per year x .18 cents per mile = \$8,424.00 x 3 yrs Tires, engine repair, other	\$25,272.00
	Fuel Cost	3,342 x \$4.50 per gallon = \$15,043/yr x 3 yrs	\$45,129.00
<b>Total</b>			<b>\$390,002.20</b>

**A.2 Cost Estimates/Funding Requests (Year 2):**

< INSERT COST ESTIMATES AND FUNDING REQUESTS TABLE >

**A.3 Cost Estimates/Funding Requests (Year 3):**

< INSERT COST ESTIMATES AND FUNDING REQUESTS TABLE >

**V. COMMAND/CONTROL/COMMUNICATION**

A. Chain of Command:

B. Unit Command:

C. Communications Detail:



D. Map Coordinates:

Notes:

Longitude:

Latitude:

Degrees:

Minutes:

Seconds:

Decimal:

Location Zone:

**ANNEX**

A. Administration Annex:

B. Execution Annex:

C. Command Annex:

Media Action Plan:

Legal Review:

Risks:

Photos:

## Appendix E – OPSG Operational Guidance

Appendix E is intended to provide operational guidance to applicants on the development of the concept of operations and campaign planning, the tactical operation period and the reporting procedures. This also delineates specific roles and responsibilities, expectations for operations, and performance measures. Successful execution of these objectives will promote situational awareness among participating agencies and ensure a rapid, fluid response to emerging border-security conditions.

OPSG uses an integrated approach to address transnational criminal activity. Federal, state, local, Tribal, and territorial partners are required to establish and maintain an OPSG Integrated Planning Team (IPT) with representation from all participating law enforcement agencies, co-chaired by representatives from USBP, the SAA, and participating local law enforcement agencies' OPSG program representatives. USBP will provide routine monitoring and technical expertise to each participating agency. The content of each operational plan, to include the requested items will be reviewed for border-security value and approved by the corresponding sector's Chief Patrol Agent or his/her designee.

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

As OPSG continues to evolve, several proven practices are being recognized, centered on short-term, periodic operations in support of overarching near and long-term goals. A multi-step process will be established through the area IPT, including a campaign plan and a cycle of operations to ensure that OPSG partners maintain synergism and have a coordinated impact on reducing border-security risk.

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

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

**First Stage:** Please refer to section IX of the full NOFO.

**Second Stage (Post Award):** After awards are announced participants will create and submit an operations order that forms a campaign plan and captures the initial, generalized-budgetary intent to their IPT. The campaign plan should articulate the participant agency's long-term border security objectives and goals designed to mitigate border-security risk.

Funds should be obligated as needed to target specific threats or vulnerabilities and ensure that OPSG usage is commensurate to the unique risk of each border region. This may require several short-term operations that combine to form an ongoing operational cycle, ensuring that USBP commanders and state, local, and Tribal agency partners reserve the flexibility to respond to the ever-changing elements of border security.

The operations plan also will articulate the budgetary intent of how funds are to be used throughout the performance period. The operations plan will project planned expenditures in the following categories: overtime, equipment, instruction, travel, maintenance, fuel, and administrative funds. The recipient can initiate the procurement of equipment, as well as state how much the county intends to use for M&A while keeping funds for overtime or residual equipment funds available for use as needed. If the recipient intends to spend more than 50% of its award on overtime over the course of the performance period, requests for a PRICE Act waiver would be submitted at the time of the waiver request. The operations plan will meet both the SAA expectations to obligate the funds within 45 days of the award announcement and the demands of the grant's operational intent. Once the operations plan is approved, the area IPT will meet to initiate the last stage in the planning process.

**Third Stage:** Once the recipient is ready to conduct operations, the area IPT will begin planning tactical operations. The tracking number for each operational plan will be assigned by CBP/USBP. The tactical operation number will remain intact for the duration of the grant's period of performance.

In the event that changes or additional funding requests to the original operational plan must be made, a Fragmentary Order (FRAGO) will be created. These modifications will be annotated in the annex section of the FRAGO.

## **II. Tactical Operational Period**

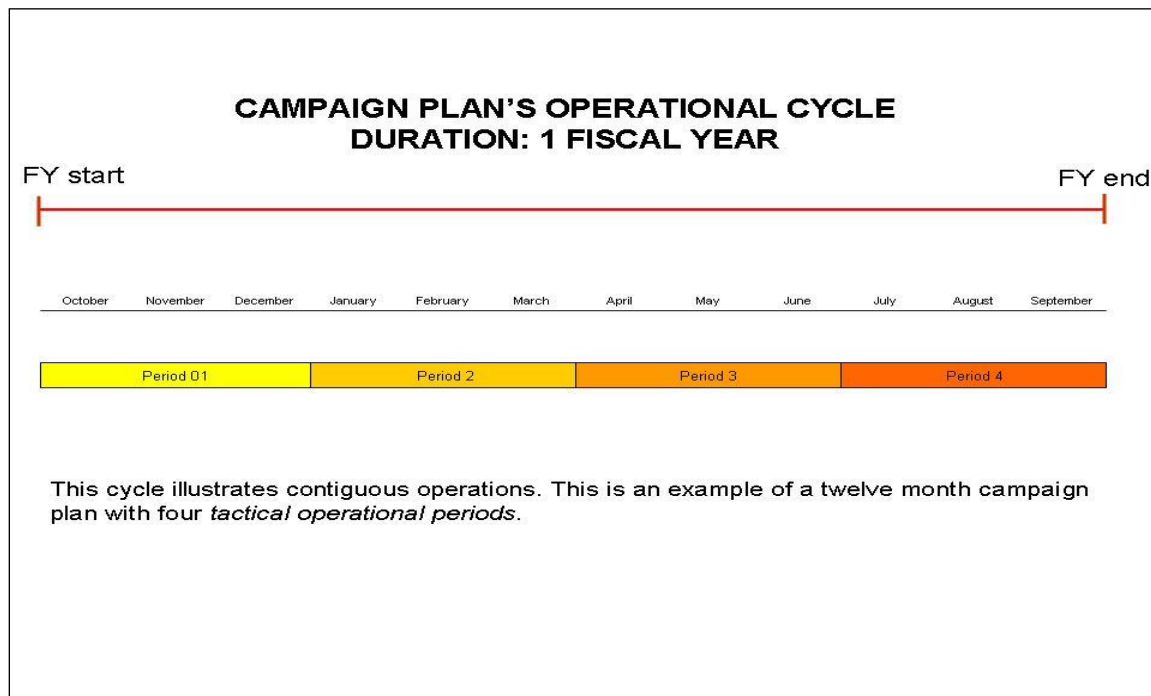
Operational discipline is necessary for the success of OPSG. Deliberate, adaptive, integrated, and intelligence-driven planning is critical to conducting targeted enforcement operations consistent with the objectives of the OPSG. By participating in the OPSG, the state, local, and Tribal agencies agree to conduct operations designed to reduce border-security risk. Tactical operations will be conducted on a periodic basis meeting the criteria outlined below.

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

The IPT should leverage information provided by the fusion center, Border Intelligence Centers or other local intelligence center, when possible, and establish a common operational vision. The BP sector’s Chief Patrol Agent, or his/her designee, will ensure that the information or intelligence has a clear nexus to border security. Intelligence will be shared and vetted for border security value, driving the focus of operations. The tactical operational period should focus on specific targets of interest or specific areas of interest identified by the IPT. Once intelligence-driven targets are identified, the IPT will decide on operational objectives that reflect the intended impact of operations. The objectives should outline how the operation will deter, deny, degrade, or dismantle the operational capacity of the targeted transnational criminal organizations.

The frequency and duration of each tactical operational period should be predicated by local risk factors. The tactical operational period may combine to develop an operational cycle that is synchronous or asynchronous, connected, or unconnected, depending on security conditions and the IPT’s intent. Each tactical operational period will begin on a predetermined date and end on a predetermined date, but the dates may be subject to change commensurate with emerging security conditions. The starting date of the operational period should be established to allow sufficient time for the order to be submitted and approved through BP Headquarters and DHS/FEMA. Once approved, the operation can be conducted.

The following diagrams illustrate two different approaches for conducting operations:<sup>1</sup>



**Figure 1: Example of an Ongoing Synchronized Operational Cycle**

<sup>1</sup> These illustrations reflect a twelve month campaign plan. A campaign plan should be written to encompass the performance period. Performance periods vary from state to state, please contact the State Administrative Agency in your area for clarification.

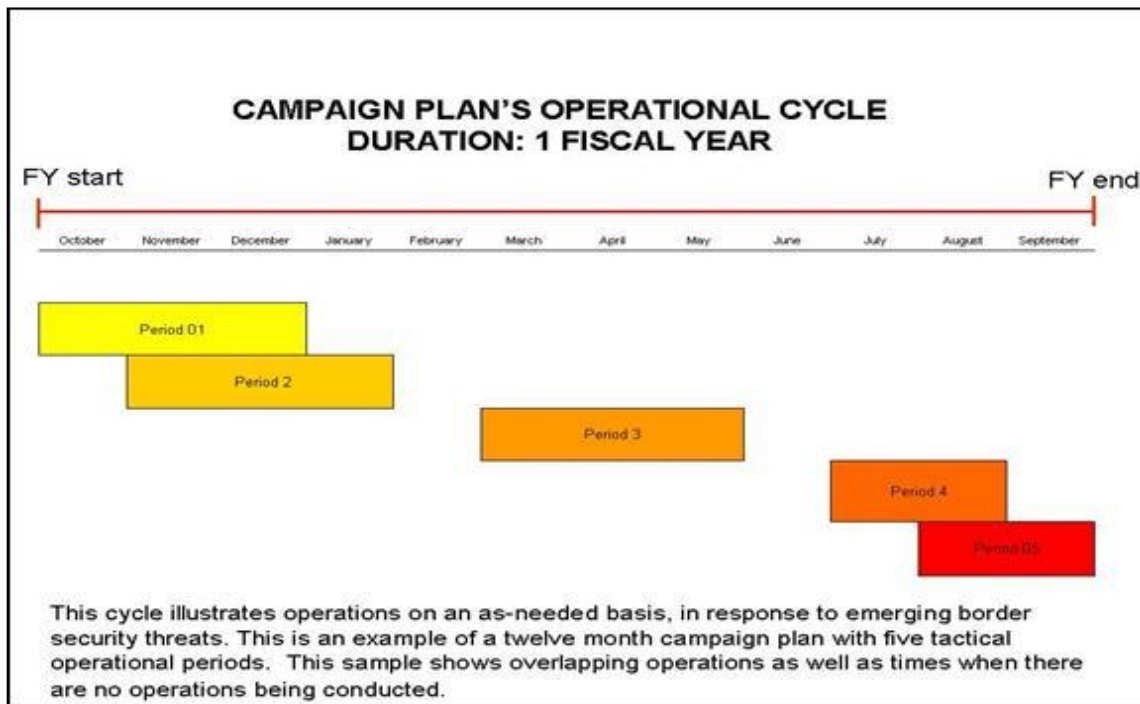


Figure 2: Example of a Dynamic, Unsynchronized Operational Cycle

### III. Reporting Procedures

Participation in OPSG requires accurate, consistent, and timely reporting of how funds are used, and how the state, local and Tribal agencies' operations have impacted border security through the mitigation of threat or vulnerability and the overall reduction of risk. Reporting will focus on: monitoring program performance; determining the level of integration and information sharing; and developing best practices for future operations. To ensure consistent reporting each state, local and Tribal agency will identify a single point of contact to represent their agency as a member of the IPT and to coordinate the submission of reports or execute other aspects of the grant.

Attachment A, *the Daily Activity Report* is to be used to submit the ongoing results and outputs from OPSG operations conducted. The Daily Activity Report will be submitted to the BP sector, if required, or to the participating agency's OPSG coordinator. The agency coordinator will compile the results from each Daily Activity Report at the end of the month and submit a monthly report to the BP sector. The monthly report is due to sector office by the 10<sup>th</sup> day of the following month. The BP sector will compile the results from the participating agencies and submit the results to BP Headquarters by the 15<sup>th</sup> of each following month.

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

#### IV. Operational roles and responsibilities

In order to achieve unity of effort, it is essential that each participant know the roles and responsibilities within the IPT.

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

- Coordinate and chair the area Integrated Planning Team's meetings
- Coordinate with all interested and eligible state, local, and Tribal agencies in the sector's area of operation during the open period of the OPSG application process by:
  - Assisting applicants in completing the operations planning portion of the application, which is similar to the Operations Order used by the Border Patrol<sup>2</sup>
  - Forwarding the approved operation portion of the application to CBP/USBP Headquarters, as well as to the SAA to complete the application process set by DHS/FEMA/GPD
  - BP Sector should detail what operational support they anticipate for specific periods and match the capabilities of partners to fill those gaps.
- Following the announcement of grant awards, coordinate and chair a meeting with state, local, and Tribal agencies that received OPSG awards to develop an individualized campaign plan. This includes:
  - Working with state, local, and Tribal agencies, along with other Federal law enforcement agencies to determine the dates, focus, and needs of each tactical operational period, ensuring that each operation has a nexus to border security;
  - Receiving the first periodic operations order from the state, local, and Tribal agencies and ensuring that the operation is conducted as outlined in Section I;
  - Monitoring and supporting the Operational Cycle throughout the performance period;
  - Ensuring Daily Activity and After Action Reports are submitted by state, local and Tribal agencies in the proper format and within the established timeframes;
  - Providing instruction, when possible, to state, local and Tribal agencies regarding techniques, methods and trends used by transnational criminal organizations in the area; and
  - Providing a single point of contact to participants as a subject matter expert in OPSG that can coordinate, collect, and report operational activities within the established reporting procedures.
  - Provide verification that operations are actually conducted.

The state, local or Tribal agency lead, or their designee, will:

- Coordinate with the SAA on all grant management matters, including but not limited to the development and review of operations orders, expenditure of funds, allowable costs, reporting requirements;

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<sup>2</sup> This will not be entered into the Border Patrol Enforcement Tracking System (BPETS).

- Participate as a member of the Integrated Planning Team to facilitate the application process during the open period and ensure the application is submitted in compliance with the grant instructions;
- Upon receiving a grant award, coordinate and meet as a member of the Integrated Planning team to develop an individualized campaign plan that covers the length of the grant performance period;
- Work within the Integrated Planning team to develop an initial Operational Cycle and determine the duration of the first operational period based on the tactical needs specific to the area;
- Submit all operations orders to the SAA for review, and submit the first periodic operations order to the Border Patrol and ensure the operation meets the six criteria established in Section II;
- Conduct operations, on an as-needed basis throughout the length of the grant performance period;
- Integrate law enforcement partners from contiguous counties and towns into their tactical operations to expand the layer of security beyond existing areas;
- Ensure reports are submitted to the Border Patrol, and the SAA when applicable, in the proper format and within established timeframes;
- Ensure applicable Operation Stonegarden derived data is shared with the designated fusion center in the state and/or Urban Area.
- Request instruction and information from the SAA, when applicable, and/or Border Patrol and other Federal law enforcement agencies regarding techniques, methods, and trends used by transnational criminal organizations in the area; and
- Provide the SAA and Border Patrol a single point of contact that maintains subject matter expertise in OPSG who can coordinate, collect, and report operational activities within the established reporting procedures.

The SAA will:

- Actively engage in the IPT meetings;
- Work in direct coordination and communication with the local or Tribal agency lead on all grant management matters;
- Review all operations orders created by the local or Tribal agency;
- Acts as the fiduciary agent for the program and provide expertise in state policy and regulations;
- Enter into a sub-award agreement with the recipient to disburse the allocated funding awarded through DHS/FEMA/GPD;
- Generate quarterly reports to DHS/FEMA capturing the recipients' obligation and expenditure of funds;
- Determine if the grant's performance period requires additional refinement over the Federally established 36 month period; and
- Conduct audits of the program to ensure that the recipients are in compliance with program guidance.

## Attachment A:


### Operation Stonegarden

#### Daily Activity Report

#### Date Information

Date of Activity

FY Funds Used

Select... 

#### Agency Identifiers

Sector


Agency Type





Region/County

Agency Name





#### Operational Expenses

Overtime Hours

Labor Cost

Miles Driven/Patrolled

Mileage Cost

Fuel Used (in Gallons)

Fuel Cost

Equipment on Order

Equipment Cost

Total Cost

#### Operational Activity

Narcotics Seizures

Misdemeanor Arrests

Subjects TOT BP

Cash Seizures

Felony Arrests

Cases TOT BP

Weapons Seizures

Outstanding Warrants

Criminal Aliens TOT BP

Vehicle Seizures

Citations Issued

Vehicle Stops

Specialty Equipment

Intel Reports

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

#### Specialty Equipment Usage

Surveillance Tower

Marine Patrol Asset

Armored Vehicle

Mobile Command Center

Aviation Asset

Other Spec. Equipment



**Narcotic Seizure Details**

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Type	Weight	Report Number	Location	Comments
Select...				

**Currency Seizure Details**

---

Amount	Report Number	Location	Comments

**Vehicle Seizure Details**

---

Make/Model	Estimated Value	Location	Comments

**Weapon/Ammunition Seizure Details**

---

Weapon Type	Amount Seized	Report Number	Location	Comments

**Specialty Equipment Usage Details**

---

Specialty Equipment	Report Number	Location	Comments

**Significant Arrest Details**

---

Name	Date of Birth	Report Number	Location	Comments

**Intelligence Summary**

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Category	Report Number	Location	Summary
Select...			

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**Authorizing Officer**

**Date of Report**

**V. Definitions**

Integrated Planning Team: The IPT will consist of the awarding state Administrative Agency, local, and Tribal OPSG stakeholders within their Border Patrol sector area and U.S. Border Patrol representatives, but may include other area Federal law enforcement agencies if deemed necessary by the Chief Patrol Agent. The Integrated Planning Team will be used for all aspects of OPSG application, planning, and de-briefings.

Area of Interest: A specific area, areas, or facilities known to be used by transnational criminal organizations in furtherance of their criminal activity.

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

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

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

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

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

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

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

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

Risk: potential for an adverse outcome assessed as a function of threats, vulnerabilities, and consequences associated with an incident, event, or occurrence.

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

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

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

## Appendix F – HSGP Allowable Cost Matrix

<b>Allowable Program Activities</b> <b>Current as of FY 2015 Programs*</b>	SHSP	UASI	OPSG
This list is not all-inclusive. See the respective program guidance for additional details and/or requirements  *As of Publication			
<b>Allowable Planning Costs</b>			
Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, response, and recovery activities	Y	Y	
Developing and implementing homeland security support programs and adopting ongoing DHS/FEMA national initiatives	Y	Y	
Developing related terrorism and other catastrophic event prevention activities	Y	Y	
Developing and enhancing plans and protocols	Y	Y	
Developing or conducting assessments	Y	Y	
Hiring of full- or part-time staff or contract/consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)	Y	Y	
Materials required to conduct planning activities	Y	Y	
Travel/per diem related to planning activities	Y	Y	Y
Overtime and backfill costs (in accordance with operational Cost Guidance)	Y	Y	Y
Issuance of WHTI-compliant Tribal identification cards	Y		
Activities to achieve planning inclusive of people with disabilities	Y	Y	
Coordination with Citizen Corps Councils for public information/education and development of volunteer programs	Y	Y	
Update governance structures and processes and plans for emergency communications	Y	Y	
<b>Allowable Organizational Activities</b>			
Reimbursement for select operational expenses associated with increased security measures at critical infrastructure sites incurred (up to 50 percent of the allocation)	Y	Y	
Overtime for information, investigative, and intelligence sharing activities (up to 50 percent of the allocation)	Y	Y	Y
Hiring of new staff positions/contractors/consultants for participation in information/intelligence analysis and sharing groups or fusion center activities (up to 50 percent of the allocation)	Y	Y	
<b>Allowable Equipment Categories</b>			
Personal Protective Equipment	Y	Y	Y
Explosive Device Mitigation and Remediation Equipment	Y	Y	
CBRNE Operational Search and Rescue Equipment	Y	Y	
Information Technology	Y	Y	Y

<b>Allowable Program Activities</b>			
<b>Current as of FY 2015 Programs*</b>			
This list is not all-inclusive. See the respective program guidance for additional details and/or requirements	SHSP	UASI	OPSG
	*As of Publication		
Cyber Security Enhancement Equipment	Y	Y	
Interoperable Communications Equipment	Y	Y	Y
Detection	Y	Y	Y
Decontamination	Y	Y	
Medical	Y	Y	Y
Power	Y	Y	Y
CBRNE Reference Materials	Y	Y	
CBRNE Incident Response Vehicles	Y	Y	
Terrorism Incident Prevention Equipment	Y	Y	Y
Physical Security Enhancement Equipment	Y	Y	Y
Inspection and Screening Systems	Y	Y	Y
Animal and Plants	Y	Y	
CBRNE Prevention and Response Watercraft	Y	Y	
CBRNE Aviation Equipment	Y	Y	
CBRNE Logistical Support Equipment	Y	Y	
Intervention Equipment	Y	Y	Y
Other Authorized Equipment	Y	Y	Y
<b>Allowable Training Costs</b>			
Overtime and backfill for emergency preparedness and response personnel attending DHS/FEMA-sponsored and approved training classes	Y	Y	
Overtime and backfill expenses for part-time and volunteer emergency response personnel participating in DHS/FEMA training	Y	Y	
Training workshops and conferences	Y	Y	
Activities to achieve training inclusive of people with disabilities	Y	Y	
Full- or part-time staff or contractors/consultants	Y	Y	
Travel	Y	Y	
Supplies	Y	Y	
Instructor certification/re-certification	Y	Y	
Coordination with Citizen Corps Councils in conducting training exercises	Y	Y	
Interoperable communications training	Y	Y	
<b>Allowable Exercise Related Costs</b>			
Design, Develop, Conduct, and Evaluate an Exercise	Y	Y	
Full- or part-time staff or contractors/consultants	Y	Y	
Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in DHS/FEMA exercises	Y	Y	
Implementation of HSEEP	Y	Y	

<b>Allowable Program Activities</b> <b>Current as of FY 2015 Programs*</b>			
This list is not all-inclusive. See the respective program guidance for additional details and/or requirements  *As of Publication	SHSP	UASI	OPSG
	Activities to achieve exercises inclusive of people with disabilities	Y	Y
Travel	Y	Y	
Supplies	Y	Y	
Interoperable communications exercises			
<b>Allowable Management &amp; Administrative Costs</b>			
Hiring of full- or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, and compliance with reporting and data collection requirements	Y	Y	Y
Development of operating plans for information collection and processing necessary to respond to DHS/FEMA data calls	Y	Y	Y
Overtime and backfill costs	Y	Y	Y
Travel	Y	Y	Y
Meeting related expenses	Y	Y	Y
Authorized office equipment	Y	Y	
Recurring expenses such as those associated with cell phones and faxes during the period of performance of the grant program	Y	Y	
Leasing or renting of space for newly hired personnel during the period of performance of the grant program	Y	Y	

## Appendix G – Supplemental Material

GPD works with various subject matter experts and acknowledges the value and expertise these Federal partner agencies provide to help shape the development and implementation of the HSGP. This continued partnership and collaboration helps provide recipients with maximum resources required to effectively manage and implement funds as well as promote transparency. Therefore, GPD is providing hyperlinks to information on various subjects and policies that are relevant to the mission and intent of the DHS/FEMA and its preparedness grant programs.

### **Radiological/Nuclear Detection**

The Radiological/Nuclear Detection Supplemental Resource provides guidance to state and local stakeholders seeking to build or sustain preventive radiological and nuclear detection capabilities using Homeland Security Grant Program funds. The guidance outlines integrating these capabilities with broader national preparedness initiatives, including PPD-8 and THIRA, as well as the Global Nuclear Detection Architecture using POETE-aligned activities. The guidance can be found at <http://www.dhs.gov/publication/homeland-security-grant-program-hsgp-supplemental-resource-radiologicalnuclear-detection>.

### **National Information Exchange Model (NIEM)**

NIEM is a community-driven, standards-based approach to exchanging information. To support information sharing, all recipients of grants for projects implementing information exchange capabilities are required to use NIEM and to adhere to the NIEM conformance rules. Visit <https://niem.gov/grantguidance> for guidance on how to utilize DHS/FEMA award funding for information sharing, exchange, and interoperability activities.

The NIEM Emergency Management domain supports emergency-related services (including preparing first responders and responding to disasters), information sharing, and activities such as homeland security and resource and communications management. The Emergency Management domain has an inclusive governance structure that includes Federal, state, local, industry, and, where necessary, international partnerships. The NIEM Emergency Management domain is committed to community support via technical assistance and NIEM training. For more information on the NIEM Emergency Management domain, to request training or technical assistance or to just get involved, visit <https://niem.gov/EM>.

### **Integrated Public Alert and Warning System (IPAWS)**

The 2015 IPAWS Supplemental Guidance on Public Alert and Warning provides guidance on eligible public alert and warning activities and equipment standards for state, local, territory, and Tribal prospective recipients. The intent of this document is to promote consistency in policy across Federal grant programs, and to ensure compatibility among Federally-funded projects. For more information on the IPAWS, please go to <https://s3-us-gov-west-1.amazonaws.com/dam-production/uploads/1413559956428->

[6f79b8f6e7886041aa5f2338d22a6a8c/FY%202015%20IPAWS%20Supplemental%2010%2002%202014\\_508.pdf](https://www.dhs.gov/hsin-hsgp-guidance).

### **Homeland Security Information Network**

HSIN is a user-driven, web-based, information sharing platform that connects all homeland security professionals including the Department of Homeland Security (DHS) and its Federal, State, local, territorial, Tribal, international, and private sector partners across all homeland security mission areas. HSIN is used to support daily operations, events, exercises, natural disasters, and incidents. To support user mission needs, HSIN provides three sets of services for secure information sharing. The first service provides a shared place for communities to securely collaborate on homeland security issues and includes core functions such as a web conferencing and instant messaging tools with white boarding, video, and chat services for real time communication and situational awareness. The second set provides secure dissemination and sharing capabilities for homeland security alerts, reports, and products. The third set allows users to access and query a variety of shared data and services from all homeland security mission areas and trusted Federal partners. Preparedness grant funds may be used to support planning, training and development costs associated with developing and managing, mission critical, HSIN communities of interest and sites. You can learn more about HSIN at <http://www.dhs.gov/hsin-hsgp-guidance>.