GOVERNOR'S OFFICE OF HOMELAND SECURITY AND EMERGENCY PREPAREDNESS
STATE OF LOUISIANA

GRANT AWARD SHEET

1. APPLICANT NAME AND ADDRESS (INCLUDING ZIP CODE) Full Legal Agency Name Parish President or Equivalent Position Street Address City, LA Zip	3. GRANT AWARD NUMBER EMW-2012-SS-00075-S01 4. CFDA NUMBER 97.067 5. ACTION INITIAL GRANT AWARD
2. GRANT TITLE State Homeland Security Program (SHSP) - Fiscal Year 2012	6. AWARD DATE 9/12/2012 7. GOHSEP GRANT SPECIALIST **Julio Gomez** 225.358.5411 Julio.Gomez@la.gov

SECTION I. GRANT AWARD AMOUNT	8. GRANT AWARD AMOUNT **$0.00**

SECTION II. GRANT PERFORMANCE PERIOD

9. GRANT PERFORMANCE PERIOD

BEGIN DATE 9/1/2012 END DATE 2/28/2014

SECTION III. GRANT AWARD SPECIAL CONDITIONS

10. SPECIAL CONDITIONS

The above named grant and related award package is conditionally awarded to your agency subject to your agency's acceptance of 1) special conditions as set forth by GOHSEP and 2) federal grant agreement articles. Additionally all applicants must be in compliance with the federal grant guidance issued for this award. See attached grant agreement articles and grant guidance for specific details.

Please make sure you read and understand the special conditions, articles and guidance as they outline the terms and conditions of your grant award. A copy of these documents should be maintained for your official file.

This grant award is 100% federal funding. The applicant is not required to provide either in-kind match or cash match.

Before you request and receive any of the federal grant funds awarded to your agency, you must establish acceptance of the grant by satisfying the following:

1) to establish acceptance of the grant, special conditions and grant agreement articles, please sign and date both the Grant Award Sheet (page 1) and attached grant agreement articles (page 5),

2) complete the designated applicant point of contact/FFATA reporting requirement form and return to your GOHSEP Homeland Security Grant Specialist, and

SPECIAL CONDITIONS CONTINUED ON PAGE 2.

SECTION IV. SAA AUTHORIZATION

11. TYPED NAME OF SAA OR AUHORIZED REPRESENTATIVE Kevin Davis Director	12. SIGNATURE OF SAA OR AUTHORIZED REPRESENTATIVE / DATE Ken Davis 9/12/2012

SECTION V. SUBGRANTEE ACCEPTANCE

By my signature below, I attest that I am the duly authorized representative to sign on behalf of the Applicant participating in this grant and, on behalf of the Applicant, accept and will comply with the special conditions, grant agreement articles and grant guidance, which are required for participation in this grant program.

13. PRINTED NAME/TITLE OF AUTHORIZED REPRESENTATIVE	14. SIGNATURE OF AUTHORIZED REPRESENTATIVE / DATE

SPECIAL CONDITIONS CONTINUED

A. State Administrative Agency (SAA) Pre-Approval of all Applicant Expenditures

All applicants must obtain approval of their project application by the SAA prior to any obligation/expenditure for equipment, training, exercise, planning, organizational and/or management & administrative projects. Failure to obtain prior approval by the SAA may result in de-obligation of funding.

B. Compliance with all SAA Established Deadlines

As established by the SAA, all applicants must meet imposed deadlines regarding grant award timelines. If extensions to the established deadlines are warranted, the applicant will be required to submit detailed justification, in which the SAA may or may not grant the extension.

C. La. R.S. 29:727

The applicant shall comply with La. R.S. 29:727, including the requirement in La. R.S. 29:727(I) that requires each Parish or Police Jury President, through the Parish Director of Homeland Security and Emergency Preparedness, to form a Parish Emergency Management Advisory Committee (PEMAC). Failure to comply with La. R.S. 29:727 for awarded grant funds may jeopardize all grant funding awarded by the SAA potentially resulting in the suspension and/or de-obligation of this award.

D. Data Collection/Reporting Requirements

The applicant agrees to cooperate with any national and state; assessments, evaluation efforts, and/or data and information collection requests, including, but not limited to, the provision of any information required to the assessment or evaluation of any activities within this project. In addition, applicant agrees to comply with all reporting requirements as set forth by the SAA including but not limited to participation in Parish Threat and Hazard Identification and Risk Assessments (THIRA) and Asset/Capability Surveys and participation in the Automated Critical Asset Management System (ACAMS).

E. Critical Emergency Supplies

Each applicant may utilize their SHSP funds for Critical Emergency Supplies, such as shelf stable food products, water, and basic medical supplies to meet the needs of first responders for the first 72 hours after a disaster or have an alternate plan in place to support first responder needs. Critical emergency supplies, such as shelf stable food products, water, and basic medical supplies are an allowable expense under this SHSP award. Prior to allocating grant funds for critical emergency supplies, applicant must have an approved viable inventory management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning. Approval must be received through GOHSEP Logistics.

F. Emergency Operation Plans

All applicants must submit their existing Emergency Operations Plans (EOPs) to the SAA in order to be eligible for this SHSP award. All applicants are strongly encouraged to update their EOPs at least once every two years. All applicants must maintain, or revise as necessary, jurisdiction-wide All Hazard Emergency Operations Plans consistent with the CPG 101 v.2, September 2010.

G. Multi-Year Training and Exercise Plans (TEPs)

All applicants are required to develop a Multi-Year Training & Exercise Plan (TEP), and update it annually. Applicants must submit their existing TEPs to the SAA in order to be eligible for this SHSP award. Applicants may contribute to the State Multi-Year Training & Exercise Plan (TEP) to satisfy this requirement.

SPECIAL CONDITIONS CONTINUED

H. Exercise Requirements

A. All applicants must develop and maintain a progressive exercise program consistent with the National Exercise Program base plan and the Homeland Security Exercise and Evaluation Program (HSEEP) guidelines. Exercise activities should align to a current TEP developed through an annual TEPW.

B. An After Action Report/Improvement Plan (AAR/IP) shall be completed for each exercise and submitted to the SAA. The AAR/IP should be encrypted (password protected).

I. Management and Administration (M&A)

Applicant may utilize no more than three percent (3%) of their award allocation solely for management and administrative purposes associated with this SHSP award.

J. Law Enforcement Terrorism Prevention Activities (LETPA) Allocations

Per the Homeland Security Act of 2002 (Public Law 107–296), Title XX, § 2006, as amended by the 9/11 Act, Title I, §101, August 3, 2007, 121 Stat. 280, 6 U.S.C. § 607, Applicants are required to ensure that at least 25 percent (25%) of the funds allocated under SHSP are dedicated towards law enforcement terrorism prevention activities linked to one or more core capabilities within the NPG.

K. Personnel Cap

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable FY 2012 SHSP planning, training, exercise, and equipment activities. A personnel cost cap of up to 50 percent (50%) of total SHSP funds may be used for personnel and personnel-related activities as directed by the Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act (Public Law 110-412).

L. National Incident Management System (NIMS) Implementation

In accordance with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the adoption of NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities. Prior to allocation of any Federal preparedness awards in FY 2012, grantees must ensure compliance and/or alignment with FY 2011 NIMS implementation plan. The list of objectives against which progress and achievement are assessed and reported can be found at http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtm#item.

Applicant must comply with the NIMS minimum requirements as set forth by GOHSEP and DHS/FEMA. The SHSP funds are contingent upon NIMS compliance. Applicant must complete the FY2012 NIMS Compliance Assistance Support Tool (NIMSCAST) reporting requirements to the SAA to be eligible to receive funding. In addition, applicant must comply with the NIMS Plan superseded by the Five-Year NIMS Training Plan, released in February 2008 and can be found at http://www.fema.gov/pdf/emergency/nims/nims_training_program.pdf.

M. Project Allocation Worksheet Required Signatures

Applicant must complete the Project Allocation Worksheet, which includes signatures of the Parish Designated Point of Contact and the Sheriff. If proper signatures are not secured, the applicant's grant funding may be suspended and/or de-obligated. The Project Allocation Worksheet may be revised throughout the grant period, but all revisions must include the signatures of the Parish Designated Point of Contact and the Sheriff.

Initials of either the Authorized Representative or the Designated POC acknowledging the addition and acceptance of Special Condition "M" on 9/27/2012:

_____

U.S. Department of Homeland Security

Washington, D.C. 20472

AGREEMENT ARTICLES

Homeland Security Grant Program

GRANTEE:	Governor's Office of Homeland Security & Emergency Preparedness
PROGRAM:	Homeland Security Grant Program
AGREEMENT NUMBER:	EMW-2012-SS-00075-S01

TABLE OF CONTENTS

Article I	Summary Description of Project
Article II	Stonegarden Program Hold
Article III	State Use of UASI Funding
Article IV	Fusion Center Investment
Article V	Administrative Requirements
Article VI	DHS Specific Acknowledgements and Assurances
Article VII	Lobbying Prohibitions
Article VIII	Acknowledgement of Federal Funding from DHS
Article IX	Copyright
Article X	Use of DHS Seal, Logo and Flags
Article XI	Activities Conducted Abroad
Article XII	Fly America Act of 1974
Article XIII	GPD - Drug-Free Workplace Regulations
Article XIV	GPD - Trafficking Victims Protection Act of 2000
Article XV	Civil Rights Act of 1964
Article XVI	Civil Right Act of 1968
Article XVII	Americans with Disabilities Act of 1990
Article XVIII	Age Discrimination Act of 1975
Article XIX	Title IX of the Education Amendments of 1972
Article XX	Rehabilitation Act of 1973
Article XXI	Limited English Proficiency
Article XXII	Animal Welfare Act of 1966
Article XXIII	Clean Air Act of 1970 and Clean Water Act of 1977
Article XXIV	Protection of Human Subjects
Article XXV	National Environmental Policy Act (NEPA) of 1969
Article XXVI	National Flood Insurance Act of 1968
Article XXVII	Flood Disaster Protection Act of 1973
Article XXVIII	Coastal Wetlands Planning, Protection, and Restoration Act of 1990
Article XXIX	USA Patriot Act of 2001

Article I - Summary Description of Project

The FY 2012 Homeland Security Grant Program (HSGP) funding plays an important role in the implementation of Presidential Policy Directive – 8 (PPD-8) by supporting the development and sustainment of core capabilities to fulfill the National Preparedness Goal (NPG). HSGP funding shall be used for costs related to the planning, organization, equipment, training, and exercise needs that prevent, protect against, mitigate, respond to, and recover from acts of terrorism and other catastrophic events. The HSGP consists of the State Homeland Security Program (SHSP), in the amount of $2,801,316, the Urban Areas Security Initiative (UASI), in the amount of $1,250,000, and

Operation Stonegarden (OPSG), in the amount of $400,000. The following parishes received Operation Stonegarden funds: Calcasieu Parish, $70,000, Iberia Parish $60,000, Jefferson Parish, $50,000, LaFourche Parish, $50,000, St. Mary Parish, $90,000, and Terrebonne Parish $80,000. Together, these programs provide an integrated mechanism that builds and sustains core capabilities to support the Nation's Preparedness against terrorist attacks, major disasters and other emergencies.

Article II - Stonegarden Program Hold

The recipients are prohibited from drawing down or reimbursing sub-recipients of Operation Stonegarden (OPSG) funding provided through this award until each unique, specific or modified county level, tribal or equivalent Operations Order and or Frag Order has been reviewed, and approved by official notification by FEMA and Customs and Border Protection/Border Patrol (CBP/BP). Each Operations Order will be transferred via the secure portal (CBP/BP) BPETS system from each respective AOR Sector HQ to CBP/BP HQ in Washington DC for review and pre-approval for Operational continuity, then forwarded to FEMA GPD/PGD OPSG Program Office for final review/approval. Official notification of approval will be sent by FEMA via email to the respective State Administrative Agency (SAA) and CBP/BP HQ in Washington DC.

Article III - State Use of UASI Funding

The State did not provide an Investment that demonstrates how the retained UASI funds will be used to directly support the designated Urban Area, per the requirements set forth within the FY 2012 HSGP Funding Opportunity Announcement (FOA). Please contact your FEMA GPD Headquarters Program Analyst for additional information and further guidance on the steps required to release this hold.

Article IV - Fusion Center Investment

A program hold is placed on Investment 3 and the grantee is prohibited from obligating, expending, or drawing down SHSP funds in the amount of $117,274 in support of their State and/or Major Urban Area Fusion Center. In order to release this hold, the grantee is required to submit the supplemental Fusion Center Investment Justification Addendum as required by the FY 2012 HSGP Funding Opportunity Announcement (FOA). Please contact your FEMA GPD Headquarters Program Analyst to receive a copy of this addendum, and to receive further guidance on the steps required to release this hold.

Article V - Administrative Requirements

The administrative requirements that apply to most DHS award recipients through a grant or cooperative agreement arise from two sources: - Office of Management and Budget (OMB) Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (also known as the "A-102 Common Rule"), found under FEMA regulations at Title 44, Code of Federal Regulations (CFR) Part 13, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." - OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, relocated to 2 CFR Part 215. The requirements for allowable costs/cost principles are contained in the A-102 Common Rule, OMB Circular A-110 (2 CFR § 215.27), DHS program legislation, Federal awarding agency regulations, and the terms and conditions of the award. The four costs principles circulars are as follows: - OMB Circular A-21, Cost Principles for Educational Institutions, relocated to 2 CFR Part 220. - OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments, relocated to 2 CFR Part 225. - OMB Circular A-122, Cost Principles for Non-Profit Organizations, relocated to 2 CFR Part 230. - OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.

Article VI - DHS Specific Acknowledgements and Assurances

All recipients of financial assistance must acknowledge and agree-and require any subrecipients, contractors, successors, transferees, and assignees acknowledge and agree-to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff. 1. Recipients must cooperate with any compliance review or complaint investigation conducted by DHS. 2. Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance. 3. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports. 4. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance. 5. If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties. 6. In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office. The United States has the right to seek judicial enforcement of these obligations.

Article VII - Lobbying Prohibitions

None of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any Federal action concerning the award or renewal of any Federal contract, grant, loan, cooperative agreement. These

lobbying prohibitions can be found at 31 U.S.C. § 1352.

Article VIII - Acknowledgement of Federal Funding from DHS

All recipients of financial assistance will comply with requirements to acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds.

Article IX - Copyright

All recipients of financial assistance will comply with requirements that publications or other exercise of copyright for any work first produced under Federal financial assistance awards hereto related unless the work includes any information that is otherwise controlled by the Government (e.g., classified information or other information subject to national security or export control laws or regulations). For any scientific, technical, or other copyright work based on or containing data first produced under this award, including those works published in academic, technical or professional journals, symposia proceedings, or similar works, the recipient grants the Government a royalty-free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for Government purposes in all such copyrighted works. The recipient shall affix the applicable copyright notices of 17 U.S.C. § 401 or 402 and an acknowledgement of Government sponsorship (including award number) to any work first produced under an award.

Article X - Use of DHS Seal, Logo and Flags

All recipients of financial assistance must obtain DHS's approval prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

Article XI - Activities Conducted Abroad

All recipients of financial assistance will comply with the requirements that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

Article XII - Fly America Act of 1974

All recipients of financial assistance will comply with the requirements of the Preference for U.S. Flag Air Carriers: Travel supported by U.S. Government funds requirement, which states preference for the use of U.S. flag air carriers (air carriers holding certificates under 49 U.S.C. § 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. § 40118) and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B138942.

Article XIII - GPD - Drug-Free Workplace Regulations

All recipients of financial assistance will comply with the requirements of the Drug-Free Workplace Act of 1988 (41 U.S.C. § 701 et seq.), which requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. The recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment. These regulations are codified at 2 CFR 3001.

Article XIV - GPD - Trafficking Victims Protection Act of 2000

All recipients of financial assistance will comply with the requirements of the government-wide award term which implements Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104), located at 2 CFR Part 175. This is implemented in accordance with OMB Interim Final Guidance, Federal Register, Volume 72, No. 218, November 13, 2007.In accordance with the statutory requirement, in each agency award under which funding is provided to a private entity, Section 106(g) of the TVPA, as amended, requires the agency to include a condition that authorizes the agency to terminate the award, without penalty, if the recipient or a subrecipient - (a) Engages in severe forms of trafficking in persons during the period of time that the award is in effect; (b) Procures a commercial sex act during the period of time that the award is in effect; or (c) Uses forced labor in the performance of the award or subawards under the award. Full text of the award term is provided at 2 CFR § 175.15.

Article XV - Civil Rights Act of 1964

All recipients of financial assistance will comply with the requirements of Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq.), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

Article XVI - Civil Right Act of 1968

All recipients of financial assistance will comply with Title VIII of the Civil Rights Act of 1968, which prohibits recipients from discriminating

in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 U.S.C.§ 3601 et seq.), as implemented by the Department of Housing and Urban Development at 24 CFR Part 100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units-i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)-be designed and constructed with certain accessible features (see 24 CFR § 100.201).

Article XVII - Americans with Disabilities Act of 1990

All recipients of financial assistance will comply with the requirements of Titles I, II, and III of the Americans with Disabilities Act, which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12101-12213).

Article XVIII - Age Discrimination Act of 1975

All recipients of financial assistance will comply with the requirements of the Age Discrimination Act of 1975 (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance.

Article XIX - Title IX of the Education Amendments of 1972

All recipients of financial assistance will comply with the requirements of Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 et seq.), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. These regulations are codified at 44 CFR Part 19.

Article XX - Rehabilitation Act of 1973

All recipients of financial assistance will comply with the requirements of Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. § 794, as amended, which provides that no otherwise qualified handicapped individual in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. These requirements pertain to the provision of benefits or services as well as to employment.

Article XXI - Limited English Proficiency

All recipients of financial assistance will comply with the requirements of Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, recipients must take reasonable steps to ensure that LEP persons have meaningful access to your programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. For assistance and information regarding LEP obligations, go to http://www.lep.gov.

Article XXII - Animal Welfare Act of 1966

All recipients of financial assistance will comply with the requirements of the Animal Welfare Act, as amended (7 U.S.C. § 2131 et seq.), which requires that minimum standards of care and treatment be provided for vertebrate animals bred for commercial sale, used in research, transported commercially, or exhibited to the public. Recipients must establish appropriate policies and procedures for the humane care and use of animals based on the Guide for the Care and Use of Laboratory Animals and comply with the Public Health Service Policy and Government Principles Regarding the Care and Use of Animals.

Article XXIII - Clean Air Act of 1970 and Clean Water Act of 1977

All recipients of financial assistance will comply with the requirements of 42 U.S.C. § 7401 et seq. and Executive Order 11738, which provides for the protection and enhancement of the quality of the nation's air resources to promote public health and welfare and for restoring and maintaining the chemical, physical, and biological integrity of the nation's waters is considered research for other purposes.

Article XXIV - Protection of Human Subjects

All recipients of financial assistance will comply with the requirements of the Federal regulations at 45 CFR Part 46, which requires that recipients comply with applicable provisions/law for the protection of human subjects for purposes of research. Recipients must also comply with the requirements in DHS Management Directive 026-04, Protection of Human Subjects, prior to implementing any work with human subjects. For purposes of 45 CFR Part 46, research means a systematic investigation, including research, development, testing, and evaluation, designed to develop or contribute to general knowledge. Activities that meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program that is considered research for other purposes. The regulations specify additional protections for research involving human fetuses, pregnant women, and neonates (Subpart B); prisoners (Subpart C); and children (Subpart D). The use of autopsy materials is governed by applicable State and local law and is not directly

regulated by 45 CFR Part 46.

Article XXV - National Environmental Policy Act (NEPA) of 1969

All recipients of financial assistance will comply with the requirements of the National Environmental Policy Act (NEPA), as amended, 42 U.S.C. § 4331 et seq., which establishes national policy goals and procedures to protect and enhance the environment, including protection against natural disasters. To comply with NEPA for its grant-supported activities, DHS requires the environmental aspects of construction grants (and certain non-construction projects as specified by the Component and awarding office) to be reviewed and evaluated before final action on the application.

Article XXVI - National Flood Insurance Act of 1968

All recipients of financial assistance will comply with the requirements of Section 1306(c) of the National Flood Insurance Act, as amended, which provides for benefit payments under the Standard Flood Insurance Policy for demolition or relocation of a structure insured under the Act that is located along the shore of a lake or other body of water and that is certified by an appropriate State or local land use authority to be subject to imminent collapse or subsidence as a result of erosion or undermining caused by waves or currents of water exceeding anticipated cyclical levels. These regulations are codified at 44 CFR Part 63.

Article XXVII - Flood Disaster Protection Act of 1973

All recipients of financial assistance will comply with the requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within one year of the identification. The flood insurance purchase requirement applies to both public and private applicants for DHS support. Lists of floodprone areas that are eligible for flood insurance are published in the Federal Register by FEMA.

Article XXVIII - Coastal Wetlands Planning, Protection, and Restoration Act of 1990

All recipients of financial assistance will comply with the requirements of Executive Order 11990, which provides that federally funded construction and improvements minimize the destruction, loss, or degradation of wetlands. The Executive Order provides that, in furtherance of Section 101(b)(3) of NEPA (42 U.S.C. § 4331(b)(3)), Federal agencies, to the extent permitted by law, must avoid undertaking or assisting with new construction located in wetlands unless the head of the agency finds that there is no practicable alternative to such construction, and that the proposed action includes all practicable measures to minimize harm to wetlands that may result from such use. In making this finding, the head of the agency may take into account economic, environmental, and other pertinent factors. The public disclosure requirement described above also pertains to early public review of any plans or proposals for new construction in wetlands. This is codified at 44 CFR Part 9.

Article XXIX - USA Patriot Act of 2001

All recipients of financial assistance will comply with the requirements of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act), which amends 18 U.S.C. §§ 175-175c. Among other things, it prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose. The act also establishes restrictions on access to specified materials. "Restricted persons," as defined by the act, may not possess, ship, transport, or receive any biological agent or toxin that is listed as a select agent.2012-09-01 00:00:00.0

By my signature below, I attest that I am the duly authorized representative to sign on behalf of the Applicant participating in this grant and, on behalf of the Applicant, accept and will comply with the grant agreement articles as listed in this document, which are required for participation in this grant program.

Signature of Authorized Representative	Print Name (First & Last)
Title	Date

GOVERNOR'S OFFICE OF HOMELAND SECURITY AND EMERGENCY PREPAREDNESS

STATE OF LOUISIANA

DESIGNATION OF APPLICANT POINT OF CONTACT

The Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) requires each Applicant to designate an individual to be the Point of Contact to adminster the grant award listed below. The Point of Contact is designted as the Administer of this grant award and is the only person required to submit and/or make adjustments to project applications and submit reimbursement requests and quarterly reports on behalf of the Applicant. If a change is required to the designated Point of Contact during the performance period of this grant award, a new Point of Contact Form must be completed and submitted to GOHSEP.

PARISH		GRANT TITLE	
		GRANT NUMBER	

POINT OF CONTACT INFORMATION

Name (First and Last)			
Title			
POC Agency Name			
Address	City	State	Zip Code
Phone Number	Email Address		

APPLICANT INFORMATION

Legal Entity Agency Name *(The Legal Entity may be different from the Applicant POC's agency name, if the POC's agency name is a department/division within the Legal Entity)*	
Tax ID Number	DUNS Number

APPLICANT FFATA REQUIREMENTS (Please check ONLY one)

☐	This Agency **is Exempt** from the reporting requirements as defined under the Federal Funding Accountability and Transparency Act of 2006 (FFATA) (Public Law 109-282), as amended by Section 6202(a) of the Government Funding Transparency Act of 2008 (Public Law 110-252).
☐	This Agency **is NOT Exempt** from the reporting requirements as defined under the Federal Funding Accountability and Transparency Act of 2006 (FFATA) (Public Law 109-282), as amended by Section 6202(a) of the Government Funding Transparency Act of 2008 (Public Law 110-252). *If **not exempt**, please complete the following FFATA Reporting Requirements below.*

If applicable, please list the names (first and last) and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year.

Name (First & Last)	Title	Total Compensation

SIGNATURE OF AUTHORIZED REPRESENTATIVE

By my signature below, I attest that I am the duly authorized representative to sign on behalf of the Applicant participating in this grant and, on behalf of the Applicant, I have desginated the individual named above to be the Point of Contact for this grant award.

Printed Name of Authorized Representative (First and Last)	Title
Signature of Authorized Representative	Date

GOVERNOR'S OFFICE OF HOMELAND SECURITY AND EMERGENCY PREPAREDNESS

STATE OF LOUISIANA

FFATA Reporting Requirements

Reporting Sub-awards and Executive Compensation

Reporting Requirements under the Federal Funding Accountability and Transparency Act of 2006 (FFATA) (Public Law 109-282), as amended by Section 6202(a) of the Government Funding Transparency Act of 2008 (Public Law 110-252).

As defined by the OMB, all new Federal awards of $25,000.00 or more as of October 1, 2010, are subject to FFATA reporting requirements. All sub-grantees must comply with the following:

A. Reporting of first-tier sub-awards.

a. Applicability.

i. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates $25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity (see definitions).

ii. Where and When to Report.

(a) You must report each obligating action described in paragraph a.i. of this award term to the SAA;

(b) For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010).

iii. What to report.

(a) You must report the information about each obligating action to the SAA. The SAA will follow all submission instructions posted at http://www.fsrs.gov.

b. Reporting of Total Compensation of Sub-recipient Executives.

i. Applicability and what to report.

(a) Unless you are exempt as provided in paragraph c. of this award term, for each first-tier sub-recipient under this award, you shall report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

(i) In the sub-recipient's preceding fiscal year, the sub-recipient received:

(1) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub-awards); and

(2) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards);

(ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm).

ii. Where and when to report.

(a) You must report sub-recipient executive total compensation described in paragraph c.i. of this award term:

(i) To the SAA.

(ii) By the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the sub-recipient by November 30 of that year.

c. Exemptions

i. If, in the previous tax year, you had gross income, from all sources, under $300,000, you are exempt from the requirements to report:

(a) Sub-awards; and

(b) The total compensation of the five most highly compensated executives of any sub-recipient

d. Definitions. For purposes of this award term:

i. Entity means all of the following, as defined in 2 CFR part 25:

(a) A Governmental organization, which is a State, local government, or Indian tribe;

(b) A foreign public entity;

(c) A domestic or foreign nonprofit organization;

(d) A domestic or foreign for-profit organization; and

(e) A Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.

ii. Executive means officers, managing partners, or any other employees in management positions.

iii. Sub-award

(a) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible sub-recipient.

(b) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

(c) A sub-award may be provided through any legal agreement, including an agreement that you or a sub-recipient considers a contract.

iv. Sub-recipient means an entity that:

(a) Receives a sub-award from the SAA as the recipient under this award; and

(b) Is accountable to the SAA for the use of the Federal funds provided by the sub-award.

v. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

(a) Salary and bonus;

(b) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

(c) Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

(d) Change in Pension Value.

(i) This is the change in present value of defined benefit and actuarial pension plans.

(e) Above-market earnings on deferred compensation which is not tax-qualified.

(f) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.00.

FY 2012 HOMELAND SECURITY GRANT PROGRAM (HSGP)
FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)

OVERVIEW INFORMATION

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

Catalog of Federal Domestic Assistance (CFDA) Number
97.067

CFDA Title
Homeland Security Grant Program

Funding Opportunity Announcement Title
Fiscal Year (FY) 2012 Homeland Security Grant Program (HSGP)

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

Appropriation Authority for Program
The Consolidated Appropriations Act, 2012, Division D (Public Law 112-74)

FOA Number
DHS-12-GPD-067-000-02

Key Dates and Time
Application Start Date: 02/17/2012
Application Submission Deadline Date: 05/04/2012 at 11:59:59 p.m. EDT
Anticipated Funding Selection Date: 06/29/2012
Anticipated Award Date: 09/30/2012

Other Key Dates
Applying for FY 2012 HSGP funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One immediately after the FOA is published but no later than **April 27, 2012**. This involves submitting a complete Standard Form 424 to Grants.gov Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step One to Grants.gov could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves

submitting the full application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is **May 4, 2012**. For additional details see section X of the full FOA.

Intergovernmental Review
Is an intergovernmental review required?

☒ Yes ☐ No

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

FOA EXECUTIVE SUMMARY

Program Type
Select the applicable program type:

☐ New ☒ Continuing ☐ One-time

Date of origin for Program: 11/25/2002

Opportunity Category
Select the applicable opportunity category:

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

☐ Sole Source

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

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

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

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

☒ State governments

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

Type of Funding Instrument
Select the applicable funding instrument:

☒ Grant ☐ Cooperative Agreement

Cost Share or Match
Select the applicable requirement:

☐ Cost Match ☐ Cost Share ☒ None Required

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

☐ Yes ☒ No

Management and Administration
A maximum of up to five percent (5%) of HSGP funds awarded may be retained by the State, and any funds retained are to be used solely for management and administration (M&A) purposes associated with the HSGP award. This includes allowability of M&A for OPSG. States may pass through a portion of the State M&A allocation to local sub-grantees to support local M&A activities. Sub-grantees may also retain a maximum of up to five percent (5%) of funding passed through by the State solely for M&A purposes associated with the HSGP award.

FULL FOA

I. Funding Opportunity Description

Program Overview and Priorities
The FY 2012 HSGP is comprised of three interconnected grant programs:

- **State Homeland Security Program (SHSP):** SHSP supports the implementation of State Homeland Security Strategies to address the identified planning, organization, equipment, training, and exercise needs to prevent, protect against, mitigate, respond to, and recover from acts of terrorism and other catastrophic events.
- **Urban Areas Security Initiative (UASI):** The UASI program addresses the unique planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and assists them in building an enhanced and sustainable capacity to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.
- **Operation Stonegarden (OPSG):** OPSG supports enhanced cooperation and coordination among local, tribal, territorial, State, and Federal law enforcement agencies in a joint mission to secure the United States' borders along routes of ingress from international borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with international water borders.

Although no longer funded as discrete grant programs, all activities and costs allowed under the FY 2010 Buffer Zone Protection Program (BZPP), FY 2010 Interoperable Emergency Communications Grant Program (IECGP), FY 2011 Citizen Corps Program (CCP), FY 2011 Driver's License Security Grant Program (DLSGP), and FY 2011 Metropolitan Medical Response System (MMRS) grant program are **allowable and encouraged activities and costs** under the FY 2012 HSGP. For additional information on allowable activities under the aforementioned grant programs, please refer to *http://www.fema.gov/government/grant/nondisaster.shtm*.

Program Objectives
The FY 2012 HSGP plays an important role in the implementation of Presidential Policy Directive 8 (PPD-8) by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the *National Preparedness Goal* (NPG). The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 HSGP supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

Examples of tangible outcomes from FY 2012 HSGP include building and sustaining core capabilities through:

- Planning
- Maintenance and Sustainment
- Maturation and Enhancement of State and Major Urban Area Fusion Centers
- Building Law Enforcement Terrorism Prevention Capabilities
- Threat and Hazard Identification and Risk Assessment (THIRA)
- Whole Community Approach to Security and Emergency Management
- Typing of Equipment and Training

For additional details on PPD-8, please refer to *http://www.dhs.gov/xabout/laws/gc_1215444247124.shtm*. For additional information on program priorities and objectives for FY 2012 HSGP, refer to Appendix B – *Program Specific Priorities*.

II. Funding Information

Award Amounts, Important Dates, and Extensions
Available Funding for this FOA: $830,976,000.

HSGP Programs	FY 2012 Allocation
State Homeland Security Program	$294,000,000
Urban Areas Security Initiative	$490,376,000
Operation Stonegarden	$46,600,000
Total	**$830,976,000**

Projected Number of Awards: 56
Projected Award Start Date(s): 09/30/2012
Projected Award End Date(s): 09/30/2014
Period of Performance: 24 months

Grantees must accept their grant awards no later than 90 days from the award date. The grantee shall notify the awarding agency of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Funds will remain on hold until the grantee accepts the award through official correspondence (e.g., written, electronic signature, signed letter or fax to Grant Programs Directorate [GPD]) and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

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

Period of Performance
Is an extension to the period of performance permitted?

☒ Yes ☐ No

The periods of performance outlined above support the effort to expedite the outlay of grant funding and provide economic stimulus. Agencies should request waivers sparingly, and they will be granted only due to compelling legal, policy, or operational challenges. For example, grantees may request waivers from the deadlines outlined above for discretionary grant funds where adjusting the timeline for spending will constitute a verifiable legal breach of contract by the grantee with vendors or sub-recipients, or where a specific statute or regulation mandates an environmental review that cannot be completed within this timeframe or where other exceptional circumstances warrant a discrete waiver.

Additional Funding Information
In FY 2012, the total amount of funds distributed under this grant program will be $830,976,000. The specific information regarding funding allocations for the three HSGP programs are detailed below:

SHSP Allocations: FY 2012 SHSP funds will be allocated based on three factors: minimum amounts as legislatively mandated, DHS' risk methodology, and anticipated effectiveness based on the strength of the Investment Justification (IJ). Each State and territory will receive a minimum allocation under SHSP using the thresholds established in the 9/11 Act. All 50 States, the District of Columbia, and Puerto Rico will receive 0.35 percent of the total funds allocated for grants under Section 2003 and Section 2004 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act, for SHSP. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.08 percent of the total funds allocated for grants under Section 2003 and 2004 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act, for SHSP. Please refer to Appendix A – *Program Specific Allocations* for additional details.

UASI Allocations: FY 2012 UASI funds will be allocated based on DHS' risk methodology and anticipated effectiveness based on the strength of the IJ. Eligible candidates for the FY 2012 UASI program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous metropolitan statistical areas in the United States, in accordance with the 9/11 Act. Please refer to Appendix A – *Program Specific Allocations* for additional details.

Law Enforcement Terrorism Prevention Activities (LETPA) Allocations: Per the *Homeland Security Act of 2002* (Public Law 107–296), Title XX, § 2006, as amended by the 9/11 Act, Title I, §101, August 3, 2007, 121 Stat. 280, 6 U.S.C. § 607, States are required to ensure that at least 25 percent (25%) of the combined HSGP funds allocated under SHSP and UASI are dedicated towards law enforcement terrorism

prevention activities linked to one or more core capabilities within the NPG. The LETPA allocation can be from SHSP, UASI or both.

OPSG Allocations: FY 2012 OPSG funds will be allocated based on risk-based prioritization using a U.S. Customs and Border Protection (CBP) Sector-specific border risk methodology to include, but not limited to: threat, vulnerability, miles of border, and other border-specific "law enforcement intelligence," as well as feasibility of FY 2012 Operation Orders to designated localities within the United States border States and territories. Please refer to Appendix A – *Program Specific Allocations* for additional details.

Eligible sub-recipients under the FY 2012 OPSG are local units of government at the county level and federally-recognized tribal governments in the States bordering Canada (including Alaska), States bordering Mexico, and States and territories with international water borders. The State Administrative Agency (SAA) is the only entity eligible to apply to FEMA for FY 2012 OPSG funds on behalf of the county or similar level of government and federally-recognized tribal governments. Eligible States and territories without a county or similar level of government structure are authorized to accept applications on behalf of the alternative unit of local government. SAAs in this situation must advise FEMA in writing as to their intent. *Note: Not all eligible applicants are guaranteed to receive funding under the FY 2012 OPSG.* Please refer to Appendix A – *Program Specific Allocations* for additional details.

III. Eligibility Information

Eligibility Criteria

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

IV. Funding Restrictions

Restrictions on Use of Award Funds

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

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

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

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

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

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

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

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

The SAA must obligate at least 80 percent (80%) of the funds awarded under SHSP and UASI to local units of government within 45 days of receipt of the funds. For Puerto Rico, the SAA must also obligate at least 80 percent (80%) of the funds to local units of government within 45 days of receipt of the funds. No pass-through requirements will be applied to the District of Columbia, Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands. Any UASI funds retained by the SAA must be used to directly support the designated Urban Areas in the State.

Under SHSP, the State may retain more than 20 percent (20%) of SHSP funding for expenditure made by the State on behalf of the local unit of government. This may occur only with the written consent of the local unit of government, with the written consent specifying the amount of funds to be retained and the intended use of funds. If a written consent agreement is already in place from previous fiscal years, FEMA will continue to recognize it for FY 2012. If any modifications to the existing agreement are necessary to reflect new initiatives, States should contact their assigned FEMA Program Analyst.

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

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

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

V. Application Review Information and Selection Process

Application Review Information
FY 2012 HSGP applications will be evaluated through a review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Investments. The results from the review process may require applicants to revise submissions before the release of HSGP funding.

SHSP and UASI: FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of IJ by the established due dates. State and Urban Area Homeland Security Strategies will also be examined for context.

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

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

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

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

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

Application Selection Process
FY 2012 SHSP and UASI are non-competitive programs. For additional information on FY 2012 SHSP and UASI allocations, refer to Appendix A – *FY 2012 Program Specific Allocations.*

Funds for FY 2012 OPSG will be allocated competitively. This includes the use of risk-based prioritization using CBP Sector-specific border risk to include, but not limited to: threat, vulnerability, miles of border, and other border-specific law enforcement intelligence. Each applicant's final funding allocation will be determined by using a combination of the results of the risk analysis and feasibility of the Operations Orders.

VI. Post-Selection and Pre-Award Guidelines

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

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

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

1. **Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs.

Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through the Payment and Reporting System (PARS).

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

3. **Grant Close-Out Process***.* Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records.

Programmatic Reporting Requirements

1. **Performance Progress Report (SF-PPR).** Awardees are responsible for providing updated performance reports using the SF-PPR (OMB Control Number: 0970-0334) on a semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Grantees should submit 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*.

   Grantees will be required to report on progress towards implementing plans described in their application. Additionally, as part of the SF-PPR, grantees will be required to report on progress towards implementing the following performance measures:

   - All grantees, as part of programmatic monitoring, will be required to describe how expenditures first support maintenance and sustainment of current NPG core capabilities. For additional information on maintenance and sustainment, please see Appendix B – *FY 2012 HSGP Program Specific Priorities*
   - For SHSP and UASI, grantees that maintain an emergency operations plan (EOP) are required to submit a Plan Analysis Tool annually and are required to include bi-annual updates on percentage of completion of the Comprehensive Preparedness Guide (CPG) 101 v.2 compliance (for additional information, see *http://www.fema.gov/prepared/plan.shtm*)

- For SHSP and UASI, grantees will report the number of people trained in a given capability to support a reported number of defined resource typed teams (e.g., 63 responders were trained in structural collapse to support 23 Type 2 USAR Teams)
- For SHSP and UASI, grantees will report the total number of a defined type of resource and capabilities built utilizing the resources of this grant
- For SHSP and UASI, grantees will report what equipment was purchased and what typed capability it supports
- For SHSP and UASI, fusion centers will report on the achievement of capabilities and compliance with measurement requirements within the Maturation and Enhancement of State and Major Urban Area Fusion Centers priority through the annual Fusion Center Assessment Program managed by DHS Office of Intelligence and Analysis (I&A) and reported to FEMA
- For SHSP and UASI, grantees will submit a certification indicating the number of personnel involved in the Nationwide Suspicious Activity Reporting (SAR) Initiative (NSI) as well as the number of personnel who have completed the required training
- For SHSP and UASI, grantees should establish a planning body and demonstrate that the membership and activities reflect the whole community

2. **State Preparedness Report (SPR) Submittal.** Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 109-295), 6 U.S.C. §752(c), requires any State that receives Federal preparedness assistance to submit an SPR to FEMA. States submitted the most recent SPR in December 2011, which meets this requirement in order to receive funding under the FY 2012 HSGP.

3. **Biannual Strategy Implementation Reports (BSIR).** Grantees are responsible for completing and submitting the BSIR reports as a complement to the SF-PPR. 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; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided within the BSIR to show progress made toward meeting strategic goals and objectives. The first BSIR is not due until at least six months after the award notice has been received by the grantee.

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

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

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

VII. DHS FEMA Contact Information

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

Financial and Administrative Information

1. **Grant Programs Directorate (GPD).** FEMA GPD's Grant Operations Division Business Office will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. Callers will be directed to a point of contact who will be able to assist with their financial or administrative question. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.

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

3. **GPD Environmental Planning and Historic Preservation (GPD-EHP).** The FEMA GPD-EHP Team provides guidance and information to grantees and sub-grantees related to submission of materials for EHP review. All EHP Review Packets should be sent to gpdehpinfo@fema.gov.

Programmatic Information

1. **Centralized Scheduling and Information Desk (CSID).** CSID is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, State, and local levels. When necessary, grantees will be directed to a Federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at askcsid@dhs.gov, Monday through Friday, 9:00 a.m. – 5:30 p.m. EST.

Systems Information

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

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

VIII. Other Critical Information

Emergency Management Assistance Compact (EMAC) Membership
In support of the NPG, HSGP recipients must belong to or be located in member States of EMAC, except for American Samoa and the Commonwealth of the Northern Mariana Islands, which are not required to belong to EMAC at this time.

National Incident Management System (NIMS) Implementation
In accordance with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the adoption of NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities.

Prior to allocation of any Federal preparedness awards in FY 2012, grantees must ensure compliance and/or alignment with FY 2011 NIMS implementation plan. The list of objectives against which progress and achievement are assessed and reported can be found at *http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtm#item2*.

The primary grantee/administrator of FY 2012 HSGP award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

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

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

Grantees must update their EOPs at least once every two years. An evaluation matrix to describe progress towards complying with CPG 101 v.2 is published at *http://www.fema.gov/prepared/plan.html*.

Grantees proposing use of grant funding for geospatial information and technology should review the latest version of the DHS Geospatial Guidance that serves as a supplemental resource available at *http://www.fema.gov/pdf/government/grant/2010/fy10_hsgp_geo.pdf*.

FEMA will disseminate guidance during FY 2012 on completing a Threat and Hazard Identification and Risk Assessment (THIRA).

IX. How to Apply

Application Instructions

Investment Justification (SHSP and UASI). As part of the FY 2012 HSGP application process for SHSP and UASI funds, applicants must develop a formal IJ that addresses each Investment being proposed for funding. The IJ must demonstrate how proposed projects address gaps and deficiencies in delivering one or more core capabilities outlined in the NPG and must also describe engagement with and/or impacts on the general population, to include children and individuals with disabilities such as those with access and functional needs. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA.

Instructions for SHSP

- Applicants may propose up to 10 Investments within their IJ to describe the activities they would like to implement with SHSP funds
- Of the up to 10 Investments, applicants are required to propose at least one Investment to provide funding support to the State's primary fusion center, as designated by the Governor. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission

Instructions for UASI

- Urban Areas may propose up to 10 Investments within their IJ to describe the activities they would like to implement with UASI funds
- If applicable, of the up to 10 Investments, Urban Areas are required to propose at least one Investment in support of a DHS-recognized fusion center within the Urban Area. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission
- If UASI funds are used by the SAA in support of the Urban Area, the SAA must, as part of the up to 10 Investments, propose an Investment describing how UASI funds will be used by the SAA to directly support the Urban Area

For specific instructions on completing and submitting Investments, please refer to Appendix D – *FY 2012 HSGP Investment Justification Template and Instructions* (OMB Control Number: 1660-0125/FEMA Form 089-1).

Operations Order and Detailed Budget Summary (OPSG). As part of the FY 2012 OPSG application process, each eligible local unit of government at the county level or federally-recognized tribal government must develop their Operations Order in coordination with State and Federal law enforcement agencies, to include, but not limited to CBP/BP. Operations Orders that are developed at the county level should be inclusive of city, county, tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, and the Operations Order should address this in the Executive Summary. The details should include the names of the agencies, the points of contact, and the individual funding requests. All applications must be coordinated through the CBP sector office and that BP will forward application to the SAA for review.

X. Application and Submission Information

Address to Request Application Package
FEMA makes all funding opportunities available on the Internet at *http://www.grants.gov*. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726. Application forms and instructions are available at Grants.gov. To access these materials, go to *http://www.grants.gov*, select "Apply for Grants," then select the CFDA number (97.067) or the FOA number (DHS-12-GPD-067-000-02) and "Download Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select "Download Application Package," and then follow the prompts to download the application package. To download the instructions, go to "Download Application Package" and select "Instructions."

Content and Form of Application

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

   The application must be started and submitted using Grants.gov after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required form:

   - Standard Form 424, Application for Federal Assistance

   Applying for FY 2012 HSGP funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One as soon after the FOA is published but no later than

April 27, 2012. This involves submitting a complete Standard Form 424 to *www.grants.gov*. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to Grants.gov to complete Step One could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is May 4, 2012.

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

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (available at *http://www.fema.gov/library/viewRecord.do?id=2628*)
- For SHSP and UASI funds, an IJ Report from the Grants Reporting Tool (see Appendix D – *FY 2012 HSGP Investment Justification Template and Instructions*) (OMB Control Number: 1660-0125/FEMA Form 089-1)
- For UASI funds, an overview of the Urban Area Working Groups (UAWG) structure and a list of members and their associated jurisdictions
- For OPSG funds, Operations Orders and Detailed Budget Summary from eligible local units of government at the county level and federally-recognized tribal governments within States and territories (OMB Control Number: 1660-0119/FEMA Form 089-16)
- For OPSG funds, inventory of Operations Orders in FEMA-provided template

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

2. **Dun and Bradstreet Data Universal Numbering System (DUNS) Number.** The applicant must provide a DUNS number with their application. This number is a required field within *http://www.grants.gov* and for CCR. Organizations should verify

that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at (866) 705-5711.

3. **Valid CCR.** The application process also involves an updated and current registration by the applicant, which must be confirmed at *http://www.ccr.gov*.

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

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

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

Hard copies of the application will not be accepted.

Appendix A – FY 2012 Program Specific Allocations

FY 2012 SHSP Allocations

State/Territory	FY 2012 Allocation	State/Territory	FY 2012 Allocation
Alabama	$2,801,316	Montana	$2,801,316
Alaska	$2,801,316	Nebraska	$2,801,316
American Samoa	$640,301	Nevada	$2,801,316
Arizona	$3,310,348	New Hampshire	$2,801,316
Arkansas	$2,801,316	New Jersey	$6,230,200
California	$43,503,883	New Mexico	$2,801,316
Colorado	$2,801,316	New York	$55,610,384
Connecticut	$2,801,316	North Carolina	$3,977,858
Delaware	$2,801,316	North Dakota	$2,801,316
District of Columbia	$2,984,245	Northern Mariana Islands	$640,301
Florida	$8,839,003	Ohio	$5,578,064
Georgia	$4,932,320	Oklahoma	$2,801,316
Guam	$640,301	Oregon	$2,801,316
Hawaii	$2,801,316	Pennsylvania	$7,265,475
Idaho	$2,801,316	Puerto Rico	$2,801,316
Illinois	$11,852,469	Rhode Island	$2,801,316
Indiana	$2,801,316	South Carolina	$2,801,316
Iowa	$2,801,316	South Dakota	$2,801,316
Kansas	$2,801,316	Tennessee	$2,801,316
Kentucky	$2,801,316	Texas	$15,820,512
Louisiana	$2,801,316	U.S. Virgin Islands	$640,301
Maine	$2,801,316	Utah	$2,801,316
Maryland	$4,438,106	Vermont	$2,801,316
Massachusetts	$4,073,885	Virginia	$5,372,259
Michigan	$4,898,578	Washington	$4,705,147
Minnesota	$2,801,316	West Virginia	$2,801,316
Mississippi	$2,801,316	Wisconsin	$2,801,316
Missouri	$2,801,316	Wyoming	$2,801,316
Total			**$294,000,000**

FY 2012 UASI Allocations

State/Territory	Urban Area	FY 2012 Allocation
Arizona	Phoenix Area	$4,018,455
California	Anaheim/Santa Ana Area	$4,455,106
	Bay Area	$26,423,268
	Los Angeles/Long Beach Area	$61,029,547
	Riverside Area	$1,521,937
	San Diego Area	$9,156,712
Colorado	Denver Area	$2,527,525
District of Columbia	National Capital Region	$51,839,027
Florida	Miami/Fort Lauderdale Area	$5,401,304
	Orlando Area	$1,447,416
	Tampa Area	$2,595,211
Georgia	Atlanta Area	$5,283,893
Illinois	Chicago Area	$47,703,062
Indiana	Indianapolis Area	$1,250,000
Louisiana	New Orleans Area	$1,250,000
Maryland	Baltimore Area	$4,116,111
Massachusetts	Boston Area	$10,861,397
Michigan	Detroit Area	$5,232,574
Minnesota	Twin Cities Area	$3,270,673
Missouri	Kansas City Area	$1,250,000
	St. Louis Area	$2,908,188
Nevada	Las Vegas Area	$1,826,923
New Jersey	Jersey City/Newark Area	$21,663,035
New York	New York City Area	$151,579,096
North Carolina	Charlotte Area	$1,494,751
Oregon	Portland Area	$2,157,259
Pennsylvania	Philadelphia Area	$14,268,859
Texas	Dallas/Fort Worth/Arlington Area	$14,292,691
	Houston Area	$23,936,523
	San Antonio Area	$1,250,000
Washington	Seattle Area	$4,365,457
Total		**$490,376,000**

FY 2012 SHSP and UASI LETPA Minimum

State/Territory	Eligible Urban Area(s)	FY 2012 UASI Allocation	Total UASI Allocation	Total SHSP Allocation	Total Allocation by State	LETPA Minimum
Alabama				$ 2,801,316	$ 2,801,316	$ 700,329
Alaska				$ 2,801,316	$ 2,801,316	$ 700,329
American Samoa				$ 640,301	$ 640,301	$ 160,075
Arizona	Phoenix Area	$4,018,455	$ 4,018,455	$ 3,310,348	$ 7,328,803	$ 1,832,201
Arkansas				$ 2,801,316	$ 2,801,316	$ 700,329
California	Anaheim/Santa Ana Area	$4,455,106	$ 102,586,570	$ 43,503,883	$ 146,090,453	$ 36,522,613
	Bay Area	$26,423,268				
	Los Angeles/Long Beach Area	$61,029,547				
	Riverside Area	$1,521,937				
	San Diego Area	$9,156,712				
Colorado	Denver Area	$2,527,525	$ 2,527,525	$ 2,801,316	$ 5,328,841	$ 1,332,210
Connecticut				$ 2,801,316	$ 2,801,316	$ 700,329
Delaware				$ 2,801,316	$ 2,801,316	$ 700,329
District of Columbia	National Capital Region	$51,839,027	$ 51,839,027	$ 2,984,245	$ 54,823,272	$ 13,705,818
Florida	Miami/Fort Lauderdale Area	$5,401,304	$ 9,443,931	$ 8,839,003	$ 18,282,934	$ 4,570,734
	Orlando Area	$1,447,416				
	Tampa Area	$2,595,211				
Georgia	Atlanta Area	$5,283,893	$ 5,283,893	$ 4,932,320	$ 10,216,213	$ 2,554,053
Guam				$ 640,301	$ 640,301	$ 160,075
Hawaii				$ 2,801,316	$ 2,801,316	$ 700,329
Idaho				$ 2,801,316	$ 2,801,316	$ 700,329
Illinois	Chicago Area	$47,703,062	$ 47,703,062	$ 11,852,469	$ 59,555,531	$ 14,888,883
Indiana	Indianapolis Area	$1,250,000	$ 1,250,000	$ 2,801,316	$ 4,051,316	$ 1,012,829
Iowa				$ 2,801,316	$ 2,801,316	$ 700,329
Kansas				$ 2,801,316	$ 2,801,316	$ 700,329
Kentucky				$ 2,801,316	$ 2,801,316	$ 700,329
Louisiana	New Orleans Area	$1,250,000	$ 1,250,000	$ 2,801,316	$ 4,051,316	$ 1,012,829
Maine				$ 2,801,316	$ 2,801,316	$ 700,329
Maryland	Baltimore Area	$4,116,111	$ 4,116,111	$ 4,438,106	$ 8,554,217	$ 2,138,554
Massachusetts	Boston Area	$10,861,397	$ 10,861,397	$ 4,073,885	$ 14,935,282	$ 3,733,821
Michigan	Detroit Area	$5,232,574	$ 5,232,574	$ 4,898,578	$ 10,131,152	$ 2,532,788
Minnesota	Twin Cities Area	$3,270,673	$ 3,270,673	$ 2,801,316	$ 6,071,989	$ 1,517,997
Mississippi				$ 2,801,316	$ 2,801,316	$ 700,329
Missouri	Kansas City Area	$1,250,000	$ 4,158,188	$ 2,801,316	$ 6,959,504	$ 1,739,876
	St. Louis Area	$2,908,188				
Montana				$ 2,801,316	$ 2,801,316	$ 700,329
Nebraska				$ 2,801,316	$ 2,801,316	$ 700,329
Nevada	Las Vegas Area	$1,826,923	$ 1,826,923	$ 2,801,316	$ 4,628,239	$ 1,157,060
New Hampshire				$ 2,801,316	$ 2,801,316	$ 700,329
New Jersey	Jersey City/Newark Area	$21,663,035	$ 21,663,035	$ 6,230,200	$ 27,893,235	$ 6,973,309
New Mexico				$ 2,801,316	$ 2,801,316	$ 700,329
New York	New York City Area	$151,579,096	$ 151,579,096	$ 55,610,384	$ 207,189,480	$ 51,797,370

FY 2012 SHSP and UASI LETPA Minimum (cont.)

State/Territory	Eligible Urban Area(s)	FY 2012 UASI Allocation	Total UASI Allocation	Total SHSP Allocation	Total Allocation by State	LETPA Minimum
North Carolina	Charlotte Area	$1,494,751	$ 1,494,751	$ 3,977,858	$ 5,472,609	$ 1,368,152
North Dakota				$ 2,801,316	$ 2,801,316	$ 700,329
Northern Mariana Islands				$ 640,301	$ 640,301	$ 160,075
Ohio				$ 5,578,064	$ 5,578,064	$ 1,394,516
Oklahoma				$ 2,801,316	$ 2,801,316	$ 700,329
Oregon	Portland Area	$2,157,259	$ 2,157,259	$ 2,801,316	$ 4,958,575	$ 1,239,644
Pennsylvania	Philadelphia Area	$14,268,859	$ 14,268,859	$ 7,265,475	$ 21,534,334	$ 5,383,583
Puerto Rico				$ 2,801,316	$ 2,801,316	$ 700,329
Rhode Island				$ 2,801,316	$ 2,801,316	$ 700,329
South Carolina				$ 2,801,316	$ 2,801,316	$ 700,329
South Dakota				$ 2,801,316	$ 2,801,316	$ 700,329
Tennessee				$ 2,801,316	$ 2,801,316	$ 700,329
Texas	Dallas/Fort Worth/Arlington Area	$14,292,691	$ 39,479,214	$ 15,820,512	$ 55,299,726	$ 13,824,932
	Houston Area	$23,936,523				
	San Antonio Area	$1,250,000				
U.S. Virgin Islands				$ 640,301	$ 640,301	$ 160,075
Utah				$ 2,801,316	$ 2,801,316	$ 700,329
Vermont				$ 2,801,316	$ 2,801,316	$ 700,329
Virginia				$ 5,372,259	$ 5,372,259	$ 1,343,065
Washington	Seattle Area	$4,365,457	$ 4,365,457	$ 4,705,147	$ 9,070,604	$ 2,267,651
West Virginia				$ 2,801,316	$ 2,801,316	$ 700,329
Wisconsin				$ 2,801,316	$ 2,801,316	$ 700,329
Wyoming				$ 2,801,316	$ 2,801,316	$ 700,329
Total		**$490,376,000**		**$294,000,000**	**$784,376,000**	**$196,094,000**

FY 2012 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 2012 OPSG.

Appendix B – FY 2012 Program Specific Priorities

Presidential Policy Directive 8: National Preparedness

Presidential Policy Directive 8: National Preparedness (PPD-8), signed on March 30, 2011, describes the Nation's approach to preparing for the threats and hazards that pose the greatest risk to the security of the United States. National preparedness is the shared responsibility of our whole community. Every member contributes, including individuals, communities, the private and nonprofit sectors, faith-based organizations, and Federal, State, and local governments. We describe our security and resilience posture through the core capabilities that are necessary to address risks, and we will use an integrated, layered, and all-of-Nation approach as our foundation. We define success as 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.

National preparedness is the shared responsibility of all levels of government, the private and nonprofit sectors, and individual citizens. The objective of PPD-8 is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness.

Using the core capabilities, we achieve the NPG by:

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

The core capabilities contained in the NPG are the distinct critical elements necessary for our success. They are highly interdependent and will require us to use existing preparedness networks and activities, improve training and exercise programs, promote innovation, and ensure that the administrative, finance, and logistics systems are in place to support these capabilities. The core capabilities represent an evolution from the Target Capabilities List (TCL). The transition from TCL to core capabilities expands the focus to include mitigation and allows greater focus on prevention and protection activities.

To support building, sustaining, and delivering these core capabilities grantees will use elements of the National Preparedness System (NPS). The NPS is to be an integrated

set of guidance, programs, and processes that can be implemented and measured at all levels of government, thereby enabling the Nation to achieve the Goal.

Building and Sustaining Core Capabilities

Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential of these capabilities are the core capabilities identified in the NPG. Complex and far-reaching threats and hazards require the whole community to integrate preparedness efforts in order to build, sustain, and deliver the core capabilities and achieve the desired outcomes identified in the NPG.

Working together, subject matter experts, government officials, and elected leaders can develop strategies to allocate resources effectively, as well as leverage available assistance to reduce risk. These strategies consider both how to sustain current levels of capability and address gaps in order to achieve the NPG. Achieving the NPG will require participation and resource support from all levels of government. Not all capabilities can be addressed in a given funding cycle, nor can funding be expected to flow from any one source. Officials must prioritize the achievement of capabilities to most effectively ensure security and resilience while understanding the effects of not addressing identified gaps. Building and sustaining capabilities will include a combination of organizational resources, equipment, training, and education. Grants and technical assistance may also be available to support building and sustaining capabilities. Consideration must also be given to finding, connecting to, and strengthening community resources by leveraging the expertise and capacity of individuals, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. Jurisdictions may also choose to use mutual aid agreements to fill gaps or work with partners to develop regional capabilities. Ultimately, a jurisdiction may need to rely on other levels of government to address a gap in capability. This expectation should be communicated well before the time arises when the capabilities are most urgently needed.

As these issues are considered in light of the eligible activities, an effective risk assessment must guide jurisdictions' efforts. This risk picture will cover the range of threats and hazards, from those a community faces daily to those infrequent events that would stress the core capabilities of a jurisdiction. Coupled with the desired outcomes established by a community, this combined perspective is crucial to enabling all levels of government to effectively estimate the level of capabilities required to address its risks.

Files and information on PPD-8 can be found at *http://www.fema.gov/ppd8*.

The President's FY 2013 budget has proposed substantial changes to DHS grant programs. FY 2012 grant programs will prepare grantees for the transition to new requirements in FY 2013 in the following ways:

- Begin the process of transitioning from separate preparedness grant programs in FY 2011 to a more streamlined model within the construct of the FY 2012 appropriations
- Continue the transition to address the core capabilities outlined in the NPG
- Implement a two year period of performance with very limited extensions

Grantees are encouraged to familiarize themselves with the grant proposals in the President's FY 2013 budget.

FY 2012 HSGP and Alignment to PPD-8

The FY 2012 HSGP plays an important role in the implementation of PPD-8 by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the NPG. The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 HSGP supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

Funding Allocations Based Upon Risk

Based upon ongoing intelligence analysis and threat assessments, DHS continues to focus the bulk of SHSP, UASI, and OPSG funds based upon risk. Risk is evaluated at the Federal level using an analytical model developed by DHS in conjunction with other Federal entities. Risk is defined as the product of three principal variables:

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

The risk model is used to allocate HSGP funds and is informed by the risk to specific threats and vulnerabilities—taking into account regional variations—to include the potential risk of terrorism to people, critical infrastructure, and economic security to estimate the relative risk of terrorism faced by a given area. In FY 2012 the threat analysis now takes into account threats from domestic violent extremists as well as international terrorist groups and those individuals inspired by terrorists abroad.

FY 2012 Priorities and Requirements

Priority One: Implementation of PPD-8 and the Whole Community Approach to Security and Emergency Management

FEMA preparedness grant programs offer resources for State, local, tribal, and regional partners to support activities described within PPD-8, NPG, and the Whole Community Approach to Security and Emergency Management, to include development and sustainment of critical capabilities needed to close gaps, increasing national to preparedness.

Advancing "Whole Community" Approach to Security and Emergency Management. Communities are challenged to develop collective, local abilities to withstand the potential impacts of natural disasters and terrorist threats, respond quickly, and recover in a way that sustains or improves the community's overall well-being. Achieving this collective capacity calls for innovative approaches across the community, including emergency management to build up existing practices, institutions, and organizations that help make local communities successful, and that can leverage this infrastructure if and when an incident occurs (for details see *http://www.fema.gov/about/wholecommunity.shtm*).

Objective One: Completion of Threat and Hazard Identification and Risk Assessment (THIRA). THIRA processes at all levels of government establish a foundation to justify and guide preparedness activities and investments. A common approach to that process will enable the whole community to maintain a baseline understanding of the risks that they face, facilitating efforts to identify capability and resource gaps, focus capability improvements, and inform the community of actions they can take to manage their risks. In order to qualify for FY 2012 funding, all grantees shall develop and maintain a THIRA.

THIRAs should include the range of threats and hazards faced by an applicant. The assessment should be based on analysis of the relative consequences of the various threats and hazards with consideration of empirical data to the maximum degree possible. An effective THIRA will allow the applicant to compare and prioritize risks, even if they are dissimilar, by identifying possible threats and hazards, the associated vulnerabilities and cascading effects. THIRA findings should be incorporated into each applicant's preparedness strategy, planning, IJ, and assessment documentation–addressing capability gaps identified during the THIRA process.

An intergovernmental THIRA system is envisioned in the National Preparedness System in which jurisdictions' respective THIRAs can inform one another using a common methodological framework. FEMA will continue to refine the process and disseminate guidance throughout FY 2012. Grantees should work with FEMA to incorporate additional guidance into their THIRA as it becomes available.

Measurement Methods

- Percentage of THIRAs that meet the qualifications set forth by DHS

Reporting

- Grantees will be required to develop a THIRA and upload a copy on ND Grants no later than December 31, 2012. The THIRA must be updated and reviewed by DHS for consistency and content annually

Objective Two: Planning. The CPG 101 v.2 September 2010 helps planners at all levels of government in their efforts to develop and maintain viable all-hazards, all-

threats emergency operations plans (EOPs) by engaging the whole community in thinking through the life cycle of a potential crisis, determining required capabilities, and establishing a framework for roles and responsibilities. All SHSP and UASI grantees that maintain, or revise as necessary, an EOP shall ensure their consistency with the CPG 101 v2 September 2010 which serves as the foundation for State, local, tribal, and territory emergency planning. CPG 101 v.2 can be found at *http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf*. Grantees must update their EOPs at least once every two years. A *Plan Analysis Tool* to describe progress towards complying with CPG 101 v.2 is published and available at *http://www.fema.gov/prepared/plan.shtm*.

Measurement Method

- All SHSP and UASI grantees will report progress toward making their EOPs compliant with CPG 101 v.2 by completing the *Plan Analysis Tool* for Compliance with CPG 101 v.2 available at *http://www.fema.gov/prepared/plan.shtm*

Reporting

- Any SHSP or UASI grantee that maintains an EOP is required to submit the above referenced Plan Analysis Tool annually and is required to include bi-annual updates on percentage completion of CPG 101 v.2 compliance within the SF-PPR

Objective Three: Organization – Typing of Equipment and Training. SHSP and UASI provide funding for equipment, training, and exercises for the prevention, protection against, response to and recovery from terrorism events. A well executed mission requires carefully managed resources (personnel, teams, facilities, equipment, and/or supplies) from the Whole Community to meet incident needs. Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking will facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident.

Measurement Method

- Percentage of total equipment that was purchased using a typed resource under the NIMS in support of developing or maintaining core capability
- Percentage of all personnel trained in a given capability to support a reported number of defined resource typed teams (e.g., Technical search and rescue equipment for urban search and rescue must be identified for use in the development of a NIMS defined Urban Search and Rescue (USAR) team or to outfit technical rescue specialists as typed single resources)
- Percentage of defined type of resource and core capabilities built utilizing grant funds

Reporting

- All grantees will report what equipment was purchased and what typed capability it supports as part of SF-PPR reporting;
- All grantees will report in the SF-PPR the number of people trained in a given capability to support a reported number of defined resource typed teams (e.g., 63 responders were trained in structural collapse to support 23 Type 2 USAR Teams); and
- All grantees will report the total number of a defined type of resource and core capabilities built utilizing the resources of this grant as part of the SF-PPR.

Objective Four: Sustaining Capabilities. In this time of limited resources, HSGP grantees should ensure that grant funding is utilized to sustain core capabilities within the NPG that were funded by past HSGP funding cycles to include training of personnel and lifecycle replacement of equipment. New capabilities should not be built at the expense of maintaining current, essential capabilities. If new capabilities are being built utilizing HSGP funding, grantees must ensure that the capabilities are able to be deployable outside of their community to support regional and national efforts. All capabilities being built or sustained must have a clear linkage one or more core capabilities in the NPG.

Measurement Method

- Percentage of proposed funding, on a project by project basis, supporting the sustainment of the NPG's core capabilities

Reporting

- As part of programmatic monitoring grantees will be required to describe how expenditures first support maintenance and sustainment of current NPG core capabilities within the SF-PPR

Priority Two: Building and Sustaining Law Enforcement Terrorism Prevention Capabilities[1]

As the terrorist threat to the United States has evolved, Federal, State, and local governments have sought to expand their capacity to detect and mitigate the threat posed by those who seek to carry out violent attacks against the people, government or critical infrastructure of the United States. The threat posed by homegrown terrorism is real and not limited to a single ideology. Foreign terrorist groups affiliated with al-Qaida, and individual terrorist thought leaders, are actively seeking to recruit or inspire Westerners to carry out attacks against western and United States targets. The United States must remain vigilant against homegrown and foreign terrorist threats.

[1] Note that this priority has been renamed from *Building Prevention and Protection Capabilities* in FY 2011 to *Building Law Enforcement Terrorism Prevention Capabilities* in FY 2012.

In support of the NPG's core capabilities, DHS encourages the use of SHSP and UASI funding for programs and initiatives that directly support local efforts to enable interdiction and disruption of terrorist activity through enhanced understanding and recognition of pre-operational activity and other crimes, that may be precursors or indicators of terrorist activity, in accordance with applicable P/CRCL protections. Such activities include:

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

Objective One: NSI Training. All personnel funded with SHSP and UASI funding and engaged in the NSI will complete the Department's NSI training.

Measurement Method

- Percentage of SHSP and UASI funded personnel who are engaged in the NSI and have completed the training

Reporting

- Submission of a certification as part of SF-PPR indicating the number of personnel involved in the NSI as well as the number of personnel who have completed the required training

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

One of the Department's highest priorities in FY 2012 remains support for recognized State and major Urban Area fusion centers and the maturation of the Information

Sharing Environment (ISE). Fusion centers serve as focal points within the State and local environment for the receipt, analysis, gathering, and sharing of threat-related information between the Federal government and State, local, tribal, territorial (SLTT) and private sector partners. Building a National Network of Fusion Centers (National Network) empowers law enforcement, fire, emergency management and homeland security personnel by helping them understand local implications of national intelligence, thus enabling them to better protect their communities.

A National Network also provides a mechanism for the Federal government to receive information from SLTT partners, which helps create a more complete intelligence picture at the National level. With timely, accurate information on potential terrorist threats, fusion centers can also directly contribute to and inform investigations initiated and conducted by Federal entities, such as the Joint Terrorism Task Forces led by the Federal Bureau of Investigation (FBI). The *2010 National Security Strategy* identifies fusion centers as critical in enlisting all of our intelligence, law enforcement, fire, emergency, management, and homeland security capabilities to prevent acts of terrorism on American soil.

In support of this strategic vision, the Department is requiring recognized 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 based upon the Global Justice Information Sharing Initiative's (Global) *Baseline Capabilities for State and Major Urban Area Fusion Centers*. The four COCs are: receive; analyze; disseminate; and gather. The four ECs are: Privacy, Civil Rights, and Civil Liberties (P/CRCL) Protection; Sustainment Strategy; Communications and Outreach; and Security. The results from this assessment will help fusion centers identify gaps in their operational and enabling capabilities. Mitigating these gaps will enhance fusion centers' capacity to improve the nation's ability to safeguard the homeland and prevent terrorist and criminal activity, while enabling local officials to better protect their communities.

As maturation of the National Network is one of the Department's highest priorities in FY 2012, DHS is requiring that all fusion center related funding requests be consolidated into a single (1) Investment for States or Urban Areas, in which recognized fusion centers reside, and this Investment must address funding support for the recognized fusion center. **Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission, and Investment requests must directly align to and reference any capability gaps identified during the center's individual 2011 Fusion Center Assessment Report. In particular, each proposed project included in the fusion center Investment must reference the corresponding COC or EC, as well as associated attribute(s), the funding investment is intended to address.** Additionally, any jurisdiction or agency that leverages HSGP funds to support intelligence- or fusion process-related activities (i.e., intelligence unit, real time crime information and analysis centers, etc.) must ensure these efforts are integrated and/or coordinated with the respective State or major Urban Area fusion center(s).

Background: The *Baseline Capabilities for State and Major Urban Area Fusion Centers* (September 2008) identifies the baseline capabilities for fusion centers and the operational standards necessary to achieve each of the capabilities across the National Network. Fusion centers, in partnership with the Federal Government, prioritized four COCs, which reflect the operational priorities of the National Network, and four ECs, which provide a foundation for the fusion process. During the annual fusion center assessment, fusion centers are assessed on their ability to execute the COCs and ECs.

Objective One: Baseline Capabilities. Fusion centers leveraging SHSP and/or UASI grant funds must prioritize the allocation of these grant funds to any capability gaps identified as a result of the 2011 Fusion Center Assessment and, only after identified capability gaps have been addressed, maintain and enhance capabilities in execution of the COCs and ECs. This will ensure the implementation of common and consistent operational standards across the National Network.

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

Measurement Methods (Fusion Center Reporting and Compliance)

In order to effectively measure implementation of this priority, recognized State and major Urban Area fusion centers leveraging SHSP and/or UASI grant funds will be evaluated based upon compliance with the following:

- Successful completion of the annual Fusion Center Assessment Program managed by the DHS Office of Intelligence and Analysis (I&A). The Fusion Center Assessment Program is comprised of the self assessment, validation, staffing and product tables, and cost assessment data and will evaluate each Fusion Center against the four COCs
- Have approved plans, policies, or SOPs and, per the Fusion Center Assessment Program, demonstrate improvement in each of the four COCs
- Have an approved P/CRCL policy that is determined to be at least as comprehensive as the *ISE Privacy Guidelines*
- Conduct an annual audit of their P/CRCL policy in accordance with the *Privacy Civil Rights and Civil Liberties Compliance Verification for the Intelligence Enterprise (http://it.ojp.gov/docdownloader.aspx?ddid=1285*)
- Ensure all staff receive annual training on both the center's P/CRCL policies and 28 CFR Part 23
- All fusion center analytic personnel must meet designated competencies, as identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts,* that have been acquired through experience or training courses Successfully complete an exercise to evaluate the implementation of

the four COCs at least once every two years and address any corrective actions arising from the successfully completed exercises

Reporting

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

HSGP Program Priorities

Homeland Security Strategy Updates

State and Urban Area Homeland Security Strategies are designed to 1) provide a blueprint for comprehensive, enterprise-wide planning for homeland security efforts; and 2) provide a strategic plan for the use of related Federal, State, local, tribal, and private resources within the State and/or Urban Area before, during, and after threatened or actual domestic terrorist attacks, major disasters, and other emergencies.

State and Urban Area Homeland Security Strategies should be updated every two (2) years at a minimum, to ensure that their strategies continue to address all homeland security mission areas (prevent, protect against, respond to, recover from, and mitigate all hazards) and reflect how their goals and objectives align to PPD-8 and the Whole Community approach. When revisiting and updating the strategies, goals, and objectives, States and Urban Areas are strongly encouraged to consider collaboration across disciplines, jurisdictions, and agencies within the framework of the mission areas and based on a capability-based planning approach.

Whole Community Engagement

DHS strongly encourages States, Urban Areas and regions to work with the Whole Community to advance community and individual preparedness and to work as a nation to build and sustain resilience.

Collaboration with Tribes

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

Collaboration with Nonprofit Organizations

DHS strongly encourages States, Urban Areas, and regions to work with the nonprofit community, including through the dedication of LETPA funds and resources, to address the terrorism prevention concerns and needs of the nonprofit sector.

Consolidation of Law Enforcement Terrorism Prevention Activities

Per the *Homeland Security Act of 2002* (Public Law 107–296), Title XX, § 2006, as amended by the 9/11 Act, Title I, §101, August 3, 2007, 121 Stat. 280, 6 U.S.C. § 607,

States are required to ensure that at least 25 percent (25%) of the combined HSGP funds allocated under SHSP and UASI are dedicated towards law enforcement terrorism prevention activities. The LETPA allocation can be from SHSP, UASI or both. This requirement does not include award funds from OPSG. Please refer to Appendix A – *Program Specific Allocations* for LETPA minimum allocations for SHSP and UASI by jurisdiction.

In order to leverage funds for LETPA, activities outlined in the Building Law Enforcement Terrorism Prevention Capabilities are eligible for use of LETPA focused funds. Other terrorism prevention activities proposed for funding under LETPA must be approved by the FEMA Administrator.

Supplemental SHSP Guidance

The SHSP is a core assistance program that provides funds to build capabilities at the State, local, tribal, and territorial levels, to enhance our national resilience to absorb disruptions and rapidly recover from incidents both natural and manmade as well as to implement the goals and objectives included in State homeland security strategies and initiatives in their State Preparedness Report (SPR).

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

Governance

Homeland security partners should examine how they integrate preparedness activities across disciplines, agencies, and levels of government, including State, territorial, local, and tribal units of government. A cohesive planning framework should be incorporated that builds and implements homeland security initiatives which leverage DHS resources, as well as other Federal, State, territory, local, private sector, and tribal resources. Specific attention should be paid to how all available preparedness funding sources (multiple Federal sources as well as State and local sources) can be effectively utilized in a collaborative manner to support the whole community approach to emergency preparedness and management and to the enhancement of overall capabilities.

The FY 2012 HSGP re-emphasizes the importance of creating or utilizing existing governing bodies to act on this guidance and coordinate grant resources. Examples include: State Senior Advisory Committees, Urban Area Working Groups (UAWGs), Statewide Interoperability Governing Board (SIGB), County Emergency Management and Fire Departments, Area Maritime Security Committees, Citizen Corps Councils or their equivalent, and Children's Working Groups. To ensure ongoing coordination efforts, SAAs are encouraged to share community preparedness information submitted in the State's BSIR with the State Citizen Corps Program Manager or his/her equivalent.

As a reminder, the membership of the Senior Advisory Committee must, at a minimum, include the following State officials directly responsible for the administration of FEMA GPD grants, Centers for Disease Control and Prevention (CDC), Assistant Secretary for Preparedness and Response (ASPR) cooperative agreements, and Emergency Medical Services for Children (EMSC) grants: the SAA, ASPR Hospital Preparedness Program (HPP) Coordinator, and CDC Public Health Emergency Preparedness (PHEP) Program Director. In addition, program representatives from the following entities should be members of the committee: State Homeland Security Advisor (if this role is not also the SAA), State Emergency Management Agency Director, State Public Health Officer, State Public Safety Officer (and SAA for Justice Assistance Grants, if different), State Court Official, State EMS Director, State Trauma System Manager, Statewide Interoperability Coordinator, State Citizen Corps or equivalent Point of Contact (POC), the State EMSC Coordinator, State Education Department, State Human Services Department, State Child Welfare Services, State Juvenile Justice Services, Urban Area POC, United States Coast Guard Area Command or Captain of the Port, Senior Members of the Regional Transit Security Working Group, Senior Security Officials from Major Transportation Systems, and the Adjutant General.

Supplemental UASI Guidance

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

Urban Areas must use UASI funds to employ regional approaches to overall preparedness and are encouraged to adopt regional response structures whenever appropriate. UASI program implementation and governance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, mitigation, response, and recovery activities within the region. In some instances Urban Area boundaries cross State borders. States must ensure that the identified Urban Areas take an inclusive regional approach to the development and implementation of the FY 2012 UASI program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, State agencies, Statewide Interoperability Coordinators, Citizen Corps Council(s) or their equivalent, and campus law enforcement in their program activities.

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

Composition
Pursuant to provisions of the 9/11 Act, eligible FY 2012 UASI sites were determined based on an analysis of relative risk of the 100 most populous Metropolitan Statistical Areas (MSAs), as defined by OMB. MSAs are used by DHS to determine eligibility for participation in the program. *Geographical areas queried do not equate to minimum mandated membership representation of an Urban Area, nor does this guarantee funding for geographical areas queried.* UAWGs must continue to take a regional approach to membership but are not required to expand or contract existing Urban Area participation to conform to MSA composition as a result of this legislative change. Detailed information on MSAs is publicly available from the United States Census Bureau at *http://www.census.gov/population/www/metroareas/metrodef.html*.

Program Requirements
The SAA will be responsible for ensuring compliance with the fiduciary and programmatic administration requirements of the FY 2012 UASI program.

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

- **Define the Urban Area.** The SAA POC, in coordination with the candidate Urban Areas, must define the Urban Area, as it will apply to the FY 2012 UASI program. The identified city or combined entity represents the candidate Urban Area eligible to apply for funding under the FY 2012 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 FY 2012 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 FY 2012 UASI program. The SAA POC must notify FEMA of this change.

- **Establish the UAWG.** Membership in the UAWG must provide either direct or indirect representation for all the jurisdictions and response disciplines (including law enforcement, fire, and emergency management) that comprise the defined Urban Area. It must also be inclusive of local Citizen Corps Council or their equivalent and tribal representatives. The UAWG should also ensure the integration of local emergency management, health, and medical systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident. The UAWG should also include officials responsible for the

administration of Center for Disease Control (CDC) and Office of the Assistant Secretary for Preparedness and Response (ASPR) cooperative agreements. Finally, it is also recommended that members advocating on behalf of vulnerable populations including youth, the elderly and individuals with functional needs, socio-economic factors and cultural diversity, be invited to provide representation.

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

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

- **Governance.** The jurisdictions identified in Appendix A – *FY 2012 Program Specific Allocations* represent the candidate Urban Areas eligible to apply for funding. The UAWG will be responsible for coordinating the development and implementation of all program initiatives. States and Urban Areas must consider including counties within which the cities reside, contiguous jurisdictions, MSAs, operational areas, and mutual aid partners, as appropriate, in the governance process.

  In keeping with sound project management practices, the UAWG must ensure that its approach to critical issues such as membership, governance structure, voting rights, grant management and administration responsibilities, and funding allocation methodologies are formalized in a working group charter or other form of standard operating procedure related to the UASI governance. The charter must also outline how decisions made in UAWG meetings will be documented and shared with UAWG members. The UAWG charter must be on file with FEMA prior to drawing down FY 2012 UASI funding and must be available to all UAWG members to promote transparency in decision-making related to the UASI program.

- **Urban Area Homeland Security Strategy.** Urban Areas must utilize their Urban Area Homeland Security Strategy as the basis for requesting funds to support Investments identified in their UASI IJ. There must be a clear correlation between the goals, objectives, and priorities identified in the Urban Area Homeland Security Strategy and proposed FY 2012 UASI program activities. In addition, the Urban Area Homeland Security Strategy must also be consistent with and supportive of the State Homeland Security Strategy. All Urban Areas

receiving funding in FY 2012 must have an approved Urban Area Homeland Security Strategy.

Allocation of Funds

The use and allocation of all grant funds available through the FY 2012 UASI program must focus on the Investments identified in the Urban Area's IJ and the implementation of the FEMA-approved Urban Area Homeland Security Strategy. The use of funds must also be consistent with overall UASI program guidelines, the State Homeland Security Strategy, PPD-8: National Preparedness, and must develop or sustain one or more core capabilities in the NPG. Funds used to support whole community and individual preparedness related efforts, such as engaging non-governmental organizations and vulnerable populations demonstrating the integration of children and individuals with disabilities or access and functional needs in all phases of emergency management, participation of disaster volunteers, such as Community Emergency Response Teams (CERT)in training, exercises and response and recovery operations, and educating the public should be coordinated with local CERT programs, Citizen Corps Councils or their equivalent.

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

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

Supplemental OPSG Guidance

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

FY 2012 OPSG is intended to support United States border States and territories in accomplishing the following objectives:

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

The FY 2012 OPSG funds must be used to increase operational capabilities of Federal, State, local, tribal, and territorial law enforcement, promoting a layered, coordinated approach to law enforcement within United States border States and territories.

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

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

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

Grantees may not begin operations, obligate, or expend any funds until the final Operations Order and embedded budget has been approved by FEMA GPD and CBP/BP Headquarters and any existing special conditions and/or restrictions are removed. FY 2012 OPSG activities are expected to maximize HSGP strategic planning efforts and integration with State, tribal, territory, Urban Area, and local Homeland Security Strategies.

Additional Coordination Requirements

Although CCP and MMRS are no longer funded as discrete grant programs within HSGP, the following coordination requirements will remain in place for FY 2012 for proposed activities that support mass casualty incident preparedness as well as citizen preparedness.

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

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

Appendix C – Funding Guidelines

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

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

Management and Administration (SHSP, UASI, and OPSG)
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 management and administration purposes associated with the HSGP award. This includes allowability of M&A for OPSG. States may pass through a portion of the State M&A allocation to local sub-grantees to support local M&A activities. Sub-grantees may also retain a maximum of up to five percent (5%) of funding passed through by the State solely for management and administration purposes associated with the HSGP award. For additional information on M&A, refer to Information Bulletin 365 located at *http://www.fema.gov/government/grant/bulletins/index.shtm#1*.

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.

Planning (SHSP, UASI, and OPSG)
FY 2012 SHSP and UASI funds may be used for a range of emergency preparedness and management planning activities and that support Performance Objectives such as THIRA and Planning, by placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v.2 as well as development and maintenance of a THIRA. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes.

Grantees must use the *CPG 101: Developing and Maintaining Emergency Operations Plans* in order to develop robust and effective plans. For additional information, please see *http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf*.

Organization (SHSP and UASI Only)
Organizational activities include:

- Program management;
- Development of whole community partnerships;

- Structures and mechanisms for information sharing between the public and private sector;
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors;
- Operational Support;
- As identified in priority one utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident;
- Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs in resulting from a National Special Security Event; and
- Paying salaries and benefits for personnel to serve as qualified intelligence analysts.

States and Urban Areas must justify proposed expenditures of SHSP or UASI funds to support organization activities within their IJ submission by using historical data or other analysis. All States are allowed to utilize up to 50 percent (50%) of their FY 2012 SHSP funding and all Urban Areas are allowed up to 50 percent (50%) of their FY 2012 UASI funding for personnel costs. At the request of a recipient of a grant, the Administrator may grant a waiver of the 50 percent (50%) limitation noted above. Organizational activities under SHSP and UASI include:

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

As identified in the *Maturation and Enhancement of State and Major Urban Area Fusion Centers* priority, all fusion centers analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*, which outlines the minimum categories of training needed for intelligence analysts. These include subject-matter expertise, analytic methodologies, customer-service ethics, information handling and processing skills, critical thinking skills, computer literacy, and objectivity and intellectual honesty. A certificate of completion of such training must be on file with the SAA and must be

made available to FEMA Program Analysts upon request. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing gaps in analytic capability identified during the fusion center's BCA.

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

- **Operational overtime costs.** In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism, operational overtime costs are allowable for increased security measures at critical infrastructure sites. FY 2012 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 (as defined in this FOA) for staffing State or Major Urban Area fusion centers;
    - Hiring of contracted security for critical infrastructure sites;
    - Public safety overtime (as defined in this FOA);
    - Title 32 or State Active Duty National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package (Note: Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package); and
    - Increased border security activities in coordination with CBP, as outlined in Information Bulletin 135.

FY 2012 SHSP funds may only be spent for operational overtime costs upon prior approval provided in writing by the FEMA Administrator.

Note: States with UASI jurisdictions can use funds retained at the State level to reimburse eligible operational overtime expenses incurred by the State (per the above guidance limitations and up to a maximum of 50 percent (50%) of the State share of the UASI grant). Any UASI funds retained by the State must be used in **direct** support of the Urban Area. States must provide documentation to the Urban Area Working Group

(UAWG) and FEMA upon request demonstrating how any UASI funds retained by the State would directly support the Urban Area.

Equipment (SHSP and UASI)
The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for FY 2012 HSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at *https://www.rkb.us*. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Grantees (including sub-grantees) that are using FY 2012 HSGP funds to support emergency communications activities should comply with the *FY 2012 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. Emergency communications activities include the purchase of Interoperable Communications Equipment and technologies such as voice-over-internet protocol bridging or gateway devices, or equipment to support the build out of wireless broadband networks in the 700 MHz public safety band under the Federal Communications Commission Waiver Order. SAFECOM guidance can be found at *http://www.safecomprogram.gov*.

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 department who administer Federal funds from the Department of Health and Human Services for this purpose. Procurement must have a sound threat based justification with an aim to reduce the consequences of mass casualty incidents during the first crucial hours of a response. Prior to procuring pharmaceuticals, grantees must have in place an inventory management plan to avoid large periodic variations in supplies due to coinciding purchase and expiration dates. Grantees are encouraged to enter into rotational procurement agreements with vendors and distributors. Purchases of pharmaceuticals must include a budget for the disposal of expired drugs within the period of performance of the FY 2012 HSGP. The cost of disposal cannot be carried over to another FEMA grant or grant period.

Training (SHSP and UASI)
States, territories, and Urban Areas may use HSGP funds to develop a homeland security training program. Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP and UASI programs and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS, Department of Transportation). Training conducted using HSGP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps, including those for children and individuals

with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the State or Urban Area training cycle. All training and exercises conducted with HSGP funds should support the development and testing of the jurisdiction's EOP or specific annexes, and validation of completed corrective actions from previous exercises or real world events, where applicable.

Exercises (SHSP and UASI)
Exercises conducted with FEMA support should be managed and executed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP Guidance for exercise design, development, conduct, evaluation, and improvement planning is located at *https://hseep.dhs.gov*.

All exercises using HSGP funding must be NIMS compliant. More information is available online at the National Integration Center at *http://www.fema.gov/emergency/nims/index.shtm*.

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

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

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

FY 2012 grant funds are intended to support the NPG by funding projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide grantees the ability to meet this objective, the policy set forth in GPD's Information Bulletin 336 (Maintenance and Sustainment) has been expanded to allow for the support of equipment that has previously been purchased with both Federal grant and non-Federal grant funding. Grantees need to ensure that eligible costs for maintenance and sustainment be an allowable expenditure under applicable grant programs and support one of the core capabilities in the five mission areas contained within the NPG and be deployable through EMAC, where applicable.

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

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

For additional information, refer to the Building Law Enforcement Terrorism Prevention Capabilities priority within Appendix B – *FY 2012 HSGP Program Specific Priorities*.

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

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

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

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

Written approval must be provided by FEMA prior to the use of any HSGP funds for construction or renovation. When applying for construction funds, including communications towers, at the time of application, grantees are highly encouraged to submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits and documents, and to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., completing the FCC's Section 106 review process for tower construction projects; coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects). Projects for which the grantee believes an Environmental Assessment (EA) may be needed, as defined in 44 CFR 10.8 and 10.9, must also be identified to the FEMA Program Analyst within six (6) months of the award and completed EHP review packets must be submitted no later than 12 months before the end of the Period of Performance. EHP review packets should be sent to gpdehpinfo@fema.gov.

FEMA is legally required to consider the potential impacts of all HSGP projects on environmental resources and historic properties. Grantees must comply with all applicable environmental planning and historic preservation (EHP) laws, regulations, and Executive Orders (EOs) in order to draw down their FY 2012 HSGP grant funds. To avoid unnecessary delays in starting a project, grantees are encouraged to pay close attention to the reporting requirements for an EHP review. For more information on FEMA's EHP requirements, SAAs should refer to Information Bulletins 329 and 345 (*http://www.fema.gov/government/grant/bulletins/index.shtm*).

FY 2012 HSGP Program grantees using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. 3141 *et seq*.). Grant recipients must ensure that

their contractors or subcontractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor 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 FY 2012 HSGP planning, training, exercise, and equipment activities. A personnel cost cap of up to 50 percent (50%) of total SHSP and UASI program funds may be used for personnel and personnel-related activities as directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412). Grantees who wish to seek a waiver from the personnel cost cap must provide documentation explaining why the cap should be waived; waiver requests will be considered only under extreme circumstances. In general, the use of SHSP and UASI funding to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost.

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

FY 2012 HSGP funds may not be used to support the hiring of any personnel for the purposes of fulfilling traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

Definitions for hiring, overtime, backfill-related overtime, and supplanting remain unchanged from FY 2011 HSGP.

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

Applicants are reminded that personnel-related activities associated with OPacks will be subject to the PRICE Act requirements in which all States are allowed to utilize up to 50 percent (50%) of their FY 2012 SHSP funding and all Urban Areas are allowed up to 50 percent (50%) of their FY 2012 UASI funding for personnel costs.

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

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

States are encouraged to continue implementing activities previously funded through 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;
- Expedite State progress toward meeting minimum security standards; and
- Plan and expedite State-specific activities to support Federal data and document verification requirements and standards.

Operations (OPSG)
The intent of OPSG is to focus on operational aspects of enhancing coordination between Federal, State, local, tribal, and territorial law enforcement agencies to increase the security of the United States Borders. While equipment is an allowable expense, the FY 2012 OPSG is not intended to be an equipment-centric grant.

- *Operational Overtime.* Operational overtime costs associated with law enforcement activities, in support of border law enforcement agencies for increased border security enhancement. Per the *PRICE of Homeland Security Act* (Public Law 110-412), all grantees are allowed to utilize up to 50 percent (50%) of their FY 2012 OPSG funding for personnel related costs, which include overtime activities. At the request of a grant recipient, the FEMA Administrator

may waive the 50 percent (50%) personnel cap. Waiver decisions are at the discretion of the FEMA Administrator and will be considered on a case-by-case basis. A formal FY 2012 OPSG personnel waiver request should:

- Be requested on official letterhead, include a written justification, and be signed by the authorized representative of the SAA;
- Include a budget and method of calculation of personnel costs both in percentage of the grant award and in total dollar amount. To avoid supplanting issues, the request must also include a three-year staffing history for the requesting entity;
- Include an approved Operations Order from the CBP/BP Sector office which supports the SAA's written justification;
- Be coordinated with the CBP Sector and Office of the Border Patrol; and
- Be forwarded electronically by the SAA to FEMA GPD Program Analyst.

- *Part Time Personnel.* FY 2012 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 (6) 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 FY 2012 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. The FY 2012 OPSG is not intended as a hiring program. Therefore, applying funds toward hiring full-time or permanent sworn public safety officers is unallowable. FY 2012 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 Information Bulletin 358 (*http://www.fema.gov/government/grant/bulletins/index.shtm*) or contact their FEMA Headquarters Program Analyst at (800) 368-6498 for guidance and clarification.

Examples of Allowable Activities for SHSP and UASI

Planning Activities

Examples of planning activities include:

- Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, mitigation, response, and recovery activities
- Developing and implementing homeland security support programs and adopting DHS national initiatives including but not limited to the following:
    - Implementing the NPG and the Whole Community Approach to Security and Emergency Management
    - Pre-event recovery planning
    - Implementing the National Infrastructure Protection Plan (NIPP) and associated Sector Specific Plans
    - Enhancing and implementing Statewide Communication Interoperable Plan (SCIP) and Tactical Interoperable Communications Plans (TICP) that align with the goals, objectives, and initiatives of the *National Emergency Communications Plan* (NECP)
    - Costs associated with the adoption, implementation, and adherence to NIMS compliance requirements, including implementing the NIMS National Credentialing Framework
    - Modifying existing incident management and EOPs to ensure proper alignment with the National Response Framework (NRF) coordinating structures, processes, and protocols
    - Establishing or enhancing mutual aid agreements
    - Developing communications and interoperability protocols and solutions
    - Conducting local, regional, and tribal program implementation meetings
    - Developing or updating resource inventory assets in accordance to typed resource definitions issued by the NIC
    - Designing State and local geospatial data systems
    - Developing and conducting public education and outreach campaigns, including promoting individual, family, and organizational emergency preparedness; alerts and warnings education; promoting training, exercise, and volunteer opportunities; informing the public about emergency plans, evacuation routes, shelter locations; and evacuation plans as well as CBRNE prevention awareness
    - Designing programs to address targeting at-risk populations and engaging them in emergency management planning efforts
    - Activities, materials, services, tools and equipment to achieve planning, protection, mitigation, response and recovery that is inclusive of people with disabilities (physical, programmatic and communications access for

people with physical, sensory, mental health, intellectual and cognitive disabilities)
  - Preparing materials for State Preparedness Reports (SPRs)
  - WHTI implementation activities including the issuance of WHTI-compliant tribal identification cards
- Developing related terrorism prevention activities including:
  - Developing THIRA that reflects a representative make up and composition of the jurisdiction
  - Developing initiatives that directly support local efforts to understand, recognize, prepare for, prevent, mitigate, and respond to pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with civil rights/civil liberties protections
  - Developing law enforcement prevention activities, to include establishing and/or enhancing a fusion center
  - Hiring an IT specialist to plan, develop, and implement the IT applications necessary for a fusion center
  - Developing and planning for information/intelligence sharing groups
  - Integrating and coordinating the fire service, emergency management, public health care, public safety, and health security data-gathering (threats to human and animal health) within State and Major Urban Area fusion centers to achieve early warning, monitoring, and mitigation of threats
  - Integrating and coordinating private sector participation with fusion center activities
  - Developing and implementing preventive radiological/nuclear detection activities
  - Acquiring systems allowing connectivity to State, local, tribal, territorial, and Federal data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate
  - Planning to enhance security during heightened alerts, terrorist incidents, and/or during mitigation and recovery
  - Multi-discipline preparation across first responder community, including EMS for response to catastrophic events and acts of terrorism
  - Accessible public information/education: printed and electronic materials, public service announcements, seminars/town hall meetings, and web postings coordinated through local Citizen Corps Councils or their equivalent
  - Volunteer programs and other activities to strengthen citizen participation
  - Conducting public education campaigns including promoting suspicious activity reporting and preparedness; individual, family, and organizational emergency preparedness; promoting the *Ready* campaign; and/or creating State, regional, or local emergency preparedness efforts that build upon the *Ready* campaign
  - Evaluating Critical Infrastructure Protection (CIP) security equipment and/or personnel requirements to protect and secure sites

- CIP cost assessments, including resources (e.g., financial, personnel) required for security enhancements/deployments
- Multi-Jurisdiction Bombing Prevention Plans (MJBPP)
- Underwater Terrorist Protection Plans

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

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

- Developing or conducting assessments, including but not limited to:
  - Developing pre-event recovery plans

- Conducting point vulnerability assessments at critical infrastructure sites/key assets and develop remediation/security plans
- Conducting or updating interoperable emergency communications capabilities assessments at the local, regional, or Statewide level
- Developing border security operations plans in coordination with CBP
- Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
- Updating and refining threat matrices
- Conducting cyber risk and vulnerability assessments
- Conducting assessments and exercising existing catastrophic incident response and recovery plans and capabilities to identify critical gaps that cannot be met by existing local, regional, and State resources
- Conducting Bombing Prevention Capability Analysis
- Activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs across disciplines (e.g., law enforcement, fire, EMS, public health, behavioral health, public works, agriculture, information technology, and citizen preparedness)
- Activities that directly support the identification of pre-designated temporary housing sites
- Activities that support the identification and development of alternate care sites
- Conducting community assessments, surveys, and research of vulnerabilities and resource needs to determine how to meet needs and build effective and tailored strategies for educating individuals conducting assessments of the extent to which compliance with the integration mandate of disability laws is being achieved
- Soft target security planning (e.g., public gatherings)

- Identifying resources for medical supplies necessary to support children during an emergency, including pharmaceuticals and pediatric-sized equipment on which first responders and medical providers are trained
- Ensuring subject matter experts, durable medical equipment, consumable medical supplies and other resources required to assist children and adults with disabilities to maintain health, safety and usual levels of independence in general population environments
- Developing and implementing a community preparedness strategy for the State/local jurisdiction
- Establishing, expanding, and maintaining volunteer programs and volunteer recruitment efforts that support disaster preparedness and/or response
    - Citizen support for emergency responders is critical through year-round volunteer programs and as surge capacity in disaster response, including but not limited to: Citizen Corps Affiliate Programs and Organizations, Community Emergency Response Teams (CERT), Fire Corps, Medical Reserve Corps (MRC), Neighborhood Watch/USAonWatch, Volunteers in Police Service (VIPS), and jurisdiction specific volunteer efforts
- Establishing and sustaining Citizen Corps Councils or their equivalent

- Working with youth-serving organizations to develop and sustain a youth preparedness program

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

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

    - Web-based and new media platforms that allow real-time information exchange
    - Asset mapping, such as participation in FEMA's Total Asset Visibility and LogViz initiatives
    - A seat(s) in the emergency operation center, or virtual EOC
- Operational Support:
    - Tools for identifying and tracking available paid and unpaid disaster response resources
    - Dedicated space and equipment for private sector representation within a State, county, or city emergency operation center
    - A dedicated business emergency operations center that works with the State, county or city EOC (not construction)
    - Tools for real time information sharing between the public and private sector
    - Licensing, screening, or other requirements for access to real EOC or virtual EOC

Training Information

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

FEMA resources include a number of different training sources:

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

- *Federal Sponsored Courses*. This catalog lists courses developed for and/or delivered by institutions funded by Federal entities other than FEMA. These courses are listed at *http://www.firstrespondertraining.gov.*
- *Approved Federal Sponsored Course Catalog*. This catalog lists Federal-sponsored courses that fall within the FEMA mission scope, and have been approved through the FEMA course review and approval process. An updated version of this catalog can be accessed at *http://www.firstrespondertraining.gov*.
- Additionally the new National Preparedness Directorate (NPD) Online Course Catalog (OCC) allows access to courses delivered by the CDP, EMI, and NTED. It can be accessed at http://*training.fema.gov/occ/.*
- *Joint Training and Exercises with the Public and Private Sectors*. These courses are sponsored and coordinated by private sector entities to enhance public-private partnerships for training personnel to prevent, protect against, mitigate, respond to, and recover from acts of terrorism or catastrophic events.
- *FEMA Provided Training.* FEMA funds the direct delivery of a variety of courses that States, tribes, and territories can request to meet training needs. These courses are listed in the NTED approved course catalog listed at http://training.fema.gov/.

Each FEMA training partner should contact the SAA or designated TPOC for locations within the State that are appropriate for the training. When the direct delivery funds are exhausted, the training partner can continue to offer the classes to the States through one of two methods—the Voluntary Training Enhancement Program (VTEP) or the Excess Delivery Acquisition Program (EDAP).
VTEP is a voluntary program designed to increase flexibility for States and territories while enhancing NTE's training delivery capability and complementing the current training partner pool. Funding from previous fiscal years may be used to support a State, territory, or Urban Area's implementation of this program. Through VTEP, the SAA has the authority to adopt various NTED provided programs for delivery by institutions within its State and local jurisdictions, and designate institutions as recognized providers for the identified standardized curriculum.

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

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

States, territories, and Urban Areas are required, within 30 days after attendance, to submit information through the SAA or TPOC via Web-Forms on all training not provided by FEMA, but supported with HSGP funds. This information will consist of course title, course description, mission area, level of training, the training provider, the date of the course, the number and associated disciplines of the individuals, and the sponsoring jurisdiction. States, territories, and Urban Areas intending to use FEMA funds to support attendance at training not provided by FEMA must ensure these courses:

- Fall within the FEMA mission scope to prepare State, local, tribal, and territorial personnel to prevent, protect against, mitigate, respond to, and recover from acts of terrorism and catastrophic events;
- Build additional capabilities that: (a) support a specific training need identified by the State, territory, and Urban Area, and (b) comport with the State, territory, or Urban Area Homeland Security Strategy;
- Address specific tasks and/or competencies articulated in FEMA's *Emergency Responder Guidelines* and the *Homeland Security Guidelines for Prevention and Deterrence;*
- Address specific capabilities and related tasks articulated in PPD-8; and
- Support the specific program training activities identified in the individual HSGP grant programs (SHSP, UASI, and OPSG) for which the funding will be used.

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

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

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

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

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 Strategy for Blended Learning and access the Responder Training Development Center (RTDC) available at *http://www.firstrespondertraining.gov/rtdc/state/*.

FEMA funds must be used to supplement, not supplant, existing funds that have been appropriated for the same purpose.
States and territories are required to conduct an Improvement Plan Workshop and Training and Exercise Plan Workshop to identify best practices, capability gaps, key priorities, and major events over a multi-year time frame and to align training and exercises in support of those priorities. A Multi-year Training and Exercise Plan will be produced from the Training and Exercise Plan Workshop to include the State's training and exercise priorities, associated training and exercise capabilities, and a multi-year training and exercise schedule. Further guidance concerning the Multi-year Training and Exercise Plan can be found in the Exercises section.

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

Training and exercises for the public or civilian volunteer programs supporting first responders before, during and after disasters should address the needs of the Whole Community. Allowable training includes: all-hazards safety such as emergency preparedness, basic first aid, life saving skills, crime prevention and terrorism awareness, school preparedness, youth preparedness, public health issues, mitigation/property damage prevention, safety in the home, light search and rescue skills, principles of NIMS/ICS, volunteer management, serving and integrating people

with disabilities, pet care preparedness, training necessary to participate in volunteer activities, fulfill surge capacity roles, or promotes individual, family, or whole community safety and preparedness. Exercises that include members of the public or that are conducted for the public should be coordinated with organizations outside of emergency management and focus on the importance of personal preparedness and protective actions.

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

- *Developing, Delivering, and Evaluating Training*. Includes costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, disability accommodations, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the training cycle. Expenditures to provide necessary non-structural accommodations for persons with disabilities and other access and functional needs is allowable (e.g., sign language interpreters, Communication Access Realtime Translation [CART] and other modifications of policies and practices to fully include participants with disabilities). Stakeholders are also encouraged to leverage existing training provided via educational/professional facilities and to incorporate non-traditional methodologies such as the internet, distance learning, or home study whenever such delivery supports training objectives. Pilot courses and innovative approaches to training citizens and instructors are encouraged.
- Training that promotes individual, family, or community safety and preparedness is encouraged, including: all-hazards safety training such as emergency preparedness, basic first aid, life saving skills, crime prevention and terrorism awareness, school preparedness, public health issues, mitigation/property damage prevention, safety in the home, light search and rescue skills, principles of NIMS/ICS, volunteer management and volunteer activities, serving and integrating people with disabilities, pet care preparedness, CPR/AED training, identity theft workshops, terrorism awareness seminars, and disability-inclusive community preparedness conferences. The delivery of the CERT Basic Training Course and supplemental training for CERT members who have completed the basic training, the CERT Train-the-Trainer Course, and the CERT Program Manager Course are strongly encouraged.
- *Overtime and Backfill*. The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs, are allowable. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an

award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.

- *Travel*. Costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- *Hiring of Full or Part-Time Staff or Contractors/Consultants*. Payment of salaries and fringe benefits to full or part-time staff or contractors/consultants must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses. In no case is dual compensation allowable.
- *Certification/Recertification of Instructors.* States are encouraged to follow the NTE Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses that involve training of trainers. This information is contained in Information Bulletin 193, issued October 20, 2005. Additional information can be obtained at *http://www.fema.gov/good_guidance/download/10146*.

Exercise Requirements

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

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

States must complete a cycle of exercise activities during the period of this grant. Exercises conducted by States and Urban Areas may be used to fulfill similar exercise requirements required by other grant programs. To this end, grantees are encouraged to invite representatives/planners involved with other federally-mandated or private exercise activities. States and Urban Areas are encouraged to share, at a minimum, the multi-year training and exercise schedule with those departments, agencies, and organizations included in the plan.

- *Exercise Scenarios.* The scenarios used in HSGP-funded exercises must be based on the State/Urban Area's Homeland Security Strategy and plans.

Acceptable scenarios for SHSP and UASI exercises include: chemical, biological, radiological, nuclear, explosive, cyber, agricultural and natural or technological disasters.

The scenarios used in HSGP-funded exercises must focus on validating existing 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 objectives and capabilities identified in the Multi-year Training and Exercise Plan.

- *Special Event Planning.* If a State or Urban Area will be hosting a special event (e.g., Super Bowl, G-8 Summit), the special event planning should be considered as a training or exercise activity for the purpose of the Multi-Year Training and Exercise Plan. The State or Urban Area should plan to use SHSP or UASI funding to finance training and exercise activities in preparation for those events. States and Urban Areas should also consider exercises at major venues (e.g., arenas, convention centers) that focus on evacuations, communications, and command and control. States should also anticipate participating in at least one Regional Exercise annually. States must include all confirmed or planned special events in the Multi-year Training and Exercise Plan.
- *Exercise Evaluation and Improvement*. Exercises should evaluate performance of the objectives and capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and improvement planning is defined in the HSEEP located at *https://hseep.dhs.gov*.
- *Self-Sustaining Exercise Programs.* States are expected to develop a self-sustaining exercise program. A self-sustaining exercise program is one that is successfully able to implement, maintain, and oversee the Multi-year Training and Exercise Plan, including the development and delivery of HSGP-funded exercises. The program must utilize a multi-disciplinary approach to the development and delivery of exercises, and build upon existing plans, training, and equipment.
- *Role of Non-Governmental Entities in Exercises.* Non-governmental participation in all levels of exercises is strongly encouraged. Leaders from non-governmental entities should be included in the planning, conduct, and evaluation of an exercise. State, local, tribal, and territorial jurisdictions are encouraged to develop exercises that test the integration and use of non-governmental resources provided by non-governmental entities, defined as the private sector and private non-profit, faith-based, community, disability, volunteer, and other non-governmental organizations. Non-governmental participation in exercises should be coordinated with the local Citizen Corps Council(s) or their equivalent and other partner agencies. The scenarios used in HSGP-funded exercises must focus on validating existing capabilities, must comply with and be large enough in scope and size to exercise multiple activities and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities.

Allowable Exercise Costs
Allowable exercise-related costs include:

- *Funds Used to Design, Develop, Conduct, and Evaluate an Exercise*. Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Grantees are encouraged to use government or free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any exercise or exercise gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the exercise cycle.
- Full or part-time staff may be hired to support exercise-related activities. Such costs must be included within the funding allowed for program management personnel expenses.
- The applicant's formal written procurement policy or 44 CFR 13.36– whichever is more stringent – must be followed.
- *Overtime and Backfill*. The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development, and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- *Travel*. Travel costs are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of exercise project(s) or HSEEP programmatic requirements as described in the HSEEP website (e.g., Improvement Plan Workshops, Training and Exercise Plan).
- *Supplies*. Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., gloves, non-sterile masks, and disposable protective equipment).
- *Disability Accommodations*. Materials, services, tools and equipment for exercising inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities).
- *Other Items.* These costs include the rental of equipment and other expenses used specifically for exercises, costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities.

Unauthorized Exercise Costs
Unauthorized exercise-related costs include:

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

Appendix D – FY 2012 HSGP Investment Justification Template and Instructions

Investment Justification (IJ) Application Instructions
States, territories, and Urban Areas are required to use the web-based IJ submission module provided by FEMA in the Grants Reporting Tool (GRT) for their FY 2012 HSGP submission. Please allow enough time before (or no later than 11:59 p.m. EDT) May 4, 2012 to complete the IJ in the GRT. Urban Areas should work in accordance with their respective State's timelines and processes identified by the SAA to ensure the Urban Area IJ is submitted by the SAA in compliance with the application deadline.

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

IJ Planning Worksheet
Applicants may use the Word-based *Investment Justification Planning Worksheet,* which is an optional, off-line tool, to help in drafting each Investment to be included as part of the final HSGP IJ. All responses completed in this worksheet must be transferred to the applicant's official IJ located in the GRT. The Worksheet is available at *www.fema.gov/grants* along with the FY 2012 HSGP FOA materials.

Multi-Applicant Investments
States, territories, and Urban Areas may propose Multi-Applicant Investments, which represent a shared interest between two or more States and territories, or a shared interest between two or more Urban Areas, as one (or more) of their 10 Investment submissions. Urban Areas cannot submit a Multi-Applicant Investment in partnership with the State in which they are located. Each participating State or Urban Area must outline the specific components of the Multi-Applicant Investment for which it would be responsible and include that Investment in its own submission. For 2012, the Multi-Applicant Investments will continue to be evaluated like other Investments as part of the review process, but will not incorporate a bonus point structure.

The FY 2012 HSGP Multi-Applicant submission process will require Multi-Applicant partners to identify a submitting partner who will only be required to initiate the Multi-Applicant Investment within the GRT by providing the Investment name(s) and the names of all partners. Once initiated, all partners will independently complete all sections of their Multi-Applicant Investment. Submitting partners should initiate the Multi-Applicant process early enough to allow all partners to complete their own Investments on time.

FY 2012 HSGP IJ Outline

Question	Response	Review Criteria
Overall Investment Justification Portfolio		
Describe how the spectrum of terrorism and natural hazard risks that the State/territory/Urban Area faces influenced the development of this Investment Justification to include all Investments.	*Narrative* (1500 character max)	The response will be reviewed to provide context for the Investment Justification.
Identify the amount and percentage of funding that will be dedicated to Management & Administration expenditures.	*Amount/Percentage*	
I. Overview		
I.A Identify the Investment as:	*New, Ongoing*	The response will be reviewed to provide context for the Investment.
If the Investment is Ongoing, identify the Investment(s) from prior year(s):	Fiscal Year and Investment Name	
I.B Provide the Investment name:	Short Title (100 character max)	
I.C Provide the applicant name	State/territory Urban Area	
I.D Identify if this Investment focuses on building new capabilities or the sustainment of existing capabilities.	*New, Existing*	
I.E Provide a description of this Investment, including the planning, organization, equipment, training, and/or exercises that will be involved.	Narrative (2500 character max)	The response provides a detailed description and clear understanding of various activities that will be supported by this Investment.
II. Baseline		
II.A Identify the goals and objectives in your State and/or Urban Area Homeland Security Strategy supported by this Investment.	Narrative (1500 character max)	The response will be reviewed to provide context for the Investment.
II.B Describe existing capability levels that address the identified goals/objectives and what will be in place to support the Investment prior to the use of FY 2012 funds.	Narrative (1500 character max)	The response provides a clear understanding of existing capability levels and what capability gap(s) the Investment will address.
II.C Explain the capability gap(s) that this Investment is intended to address.	Narrative (1500 character max)	
III. Project Management and Milestones		
III.A Provide the proposed FY 2012 HSGP funding amount for this Investment. Identify if this is a fusion center Investment.	Amount	The response provides a clear demonstration and a comprehensive understanding of how the Investment supports identified NPG Core Capabilities, primary POETE Solution Area, and LETPA.
III.B If applicable, provide the proposed funding amount that is expected to be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA)	Amount	
III.C Identify the NPG Core Capabilities that are supported by this Investment. For each of the selected Core Capabilities, provide the proposed funding amount to be obligated from this Investment.	*Select all that apply* and Amount	
III.D Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.	*Planning, Organization, Equipment, Training, Exercise*	
III.E Identify up to ten projects/activities, with start and end dates, which will be implemented over the 24 month period of performance. Provide the following information:		The response provides a clear description of projects/activities that will demonstrate progress towards achieving the Investment.
- Project Name	Short title (100 character max)	
- Funding Amount	Amount	
- Project Management Step	*Initiate, Plan, Execute, Control, Close Out*	
- Start Month/Year	Month/Year	
- End Month/Year	Month/Year	
III.F Does this Investment require new construction or renovation, retrofitting, or modification of existing structures?	*No, Yes*	The response will be reviewed to provide context for the Investment.
IV. Accomplishments and Impact		
IV.A Describe the outcomes that will be achieved as a result of this Investment. The outcomes should demonstrate improvement towards building capabilities described in Section II, Baseline.	Narrative (1500 character max)	The response provides a clear description of how the outcomes will be achieved during the FY 2012 HSGP period of performance. The response also describes how accomplishments will bridge capability gap(s) outlined in Section III, Baseline.

Appendix E – FY 2012 OPSG Operations Order Template and Instructions

Operations Order Instructions
As part of the FY 2012 OPSG application process, each eligible local unit of government at the county level or federally-recognized tribal government must develop their Operations Order in coordination with State and Federal law enforcement agencies, to include, but not limited to CBP/BP. Operations Orders that are developed at the county level should be inclusive of city, county, tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, and the Operations Order should address this in the Executive Summary. The details should include the names of the agencies, the points of contact, and the individual funding requests. The OPSG Operations Order Template can be found at *http://www.grants.gov*.

Requirements Overview
The Operations Orders must:

- Be created and submitted in Microsoft Word (*.doc)
- Not exceed six (6) pages in length with the emphasis on the Executive Summary, Mission, and Budget
- Use the following file naming convention when submitting required documents as part of the FY 2012 OPSG application: "FY 2012 OPSG <State Abbreviation> - <Local Unit of Government Name>"

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

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

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

For clarification purposes, the Operations Order may include tables describing cost and expense elements (e.g., equipment, fuel, vehicle maintenance costs).

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

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

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

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

FY 2012 OPERATION STONEGARDEN (OPSG) OPERATIONS ORDER AND BUDGET TEMPLATE

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

Executive Summary

I. SITUATION

A. General Situation:

B. Terrain/Weather:

C. Criminal Element:

D. Friendly Forces:

II. MISSION

III. EXECUTION

A. Management/Supervisor Intent:

B. General Concept:

C. Specific Responsibilities:

1.

2.

3.

D. Coordinating Instructions:

IV. BUDGET

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

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

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

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

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

V. COMMAND/CONTROL/COMMUNICATION

A. Chain of Command:

B. Unit Command:

C. Communications Detail:

D. Map Coordinates:

Notes:

Longitude: **Latitude:**
Degrees: **Minutes:** **Seconds:**
Decimal:
Location Zone:

ANNEX

A. Administration Annex:

B. Execution Annex:

C. Command Annex:

Media Action Plan:

Legal Review:

Risks:

Photos:

Appendix F – FY 2012 OPSG Operational Guidance

The success of Operation Stonegarden (OPSG) will be achieved through an integrated, layered approach to border security and targeted enforcement techniques and strategy. This also includes fulfillment of specific roles and responsibilities, newly defined expectations for operations, disciplined reporting procedures, and the introduction of performance measures in 2012. Successful execution of these objectives will promote situational awareness among participating agencies and ensure a rapid, fluid response to emerging border-security conditions.

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

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

Standardized, accurate, and timely reporting will focus on: monitoring program performance; assessing productivity and results; determining the level of integration and information sharing; evaluation of money spent and operations conducted; and developing best practices for future operations. In FY 2012, OPSG has standardized the form used to capture key data sets. In addition, nationwide standards for submitting the reporting forms will be implemented.

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

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

First Stage: The first stage is outlined in the application process. The original request and justification for funding will be submitted through the Border Patrol sectors, which is consistent with the processes used in previous years. The initial application will use an Integrated Planning Team, made up of operation stakeholders, including the U.S. Border Patrol.

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

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

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

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

II. Tactical Operational Period

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

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

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

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

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

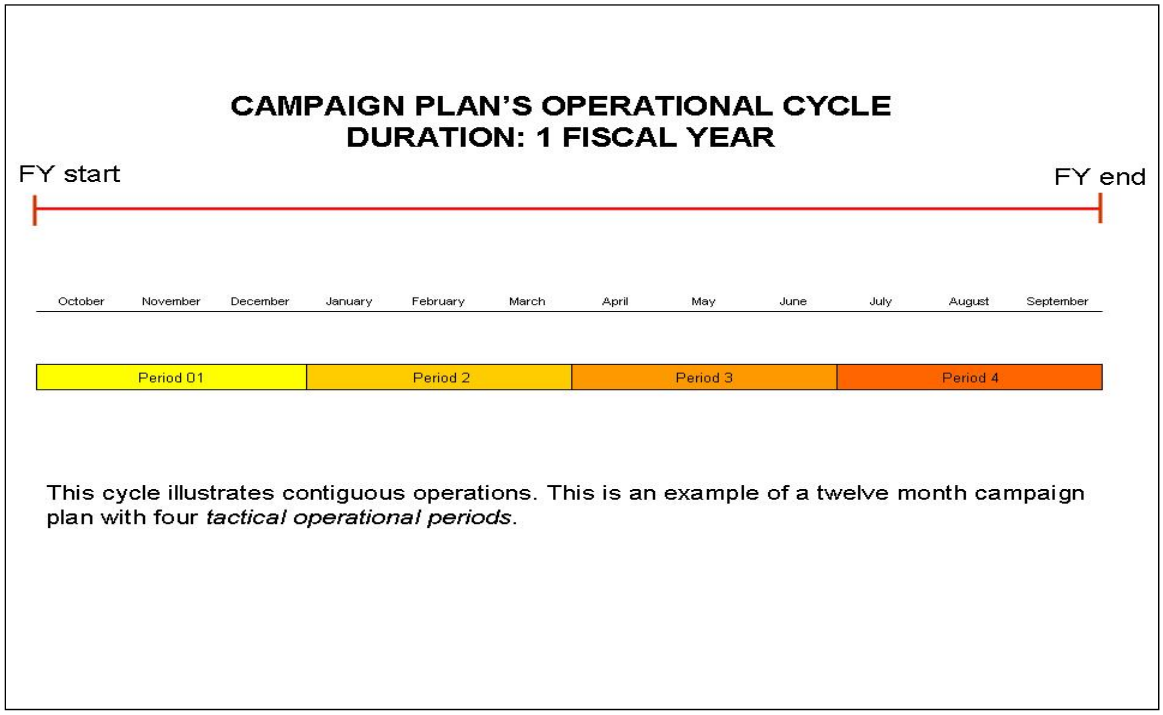

Figure 1: Example of an Ongoing Synchronized Operational Cycle

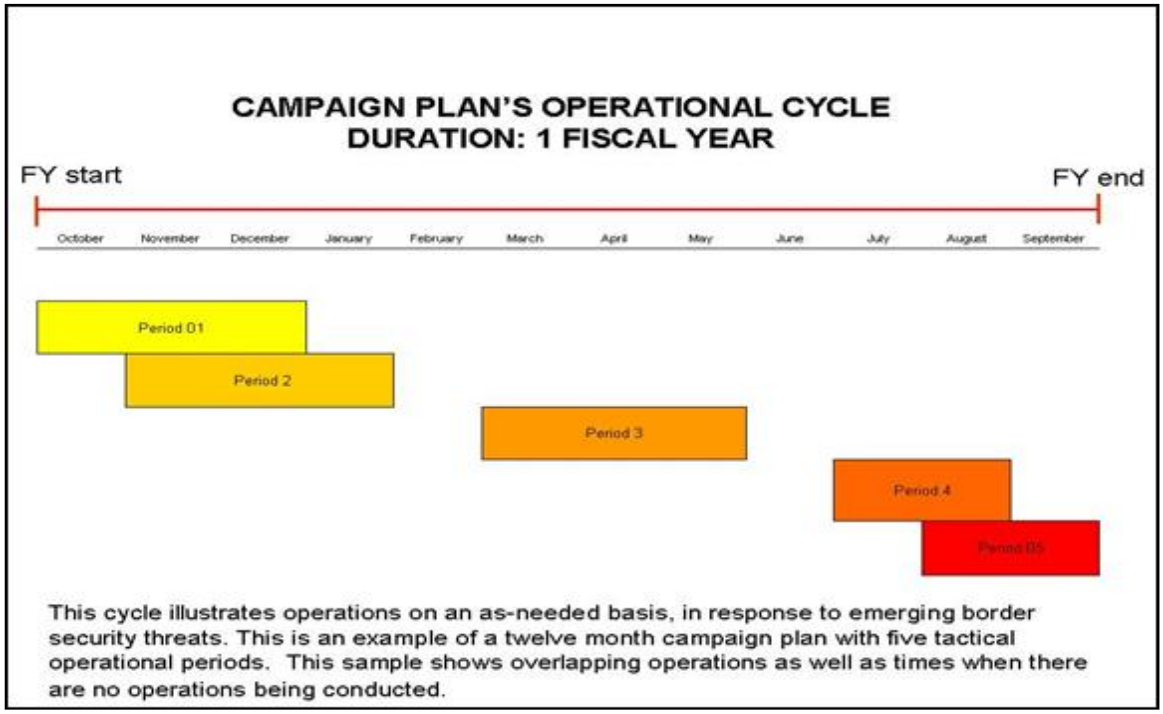

Figure 2: Example of a Dynamic, Unsynchronized Operational Cycle

III. Reporting Procedures

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

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

In FY 2012, the reporting format will be standardized as well. Attachment A, the Daily Activity Report is to be used to submit the ongoing results and outputs from OPSG operations conducted. The Daily Activity Report will be submitted to the Border Patrol sector, if required, or to the participating agency's OPSG coordinator. The agency coordinator will compile the results from each Daily Activity Report at the end of the month and submit a monthly report to the border patrol sector. The monthly report is due to sector by the 10th day of the month. The Border Patrol sector will compile the results from the participating agencies and submit the results to Border Patrol Headquarters by the 15th of each month.

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

IV. Operational roles and responsibilities

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

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

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

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

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

- 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 the first periodic operations order to the Border Patrol and ensure the operation meets the six criteria established in Section II;
- Conduct operations, on an as-needed basis throughout the length of the grant performance period;
- Ensure reports are submitted to the to the Border Patrol, and the SAA when applicable, in the proper format and within established timeframes;
- Request instruction and information from the SAA, when applicable, and/or Border Patrol and other Federal law enforcement agencies regarding techniques, methods, and trends used by transnational criminal organizations in the area; and
- Provide the SAA and Border Patrol a single point of contact that maintains subject matter expertise in OPSG who can coordinate, collect, and report operational activities within the established reporting procedures.

The SAA is responsible for the following:

- Acts as the fiduciary agent for the program and provide expertise in State policy and regulations;

- Enter into a sub-grant agreement with the award recipients to disburse the allocated funding awarded through FEMA/GPD;
- Generate quarterly reports to FEMA and the U.S. Treasury capturing the award recipients' obligation and expenditure of funds;
- Determine if the grant's performance period requires additional refinement over the federally established 24 month period; and
- Conduct audits of the program to ensure that the award recipients are in compliance with program guidance.

Attachment A:

Operation Stonegarden

Daily Activity Report

Date Information

Date of Activity

FY Funds Used

Select...

Agency Identifiers

Sector

Agency Type

Region/County

Agency Name

Operational Expenses

Overtime Hours
Miles Driven/Patrolled
Fuel Used (in Gallons)
Equipment on Order

Labor Cost
Mileage Cost
Fuel Cost
Equipment Cost
Total Cost

Operational Activity

Narcotics Seizures
Cash Seizures
Weapons Seizures
Vehicle Seizures

Misdemeanor Arrests
Felony Arrests
Outstanding Warrants
Citations Issued
Specialty Equipment

Subjects TOT BP
Cases TOT BP
Criminal Aliens TOT BP
Vehicle Stops
Intel Reports

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

Specialty Equipment Usage

Surveillance Tower ☐
Mobile Command Center ☐
Marine Patrol Asset ☐
Aviation Asset ☐
Armored Vehicle ☐
Other Spec. Equipment ☐

Narcotic Seizure Details

Type	Weight	Report Number	Location	Comments
Select...				

Currency Seizure Details

Amount	Report Number	Location	Comments

Vehicle Seizure Details

Make/Model	Estimated Value	Location	Comments

Weapon/Ammunition Seizure Details

Weapon Type	Amount Seized	Report Number	Location	Comments

Specialty Equipment Usage Details

Specialty Equipment	Report Number	Location	Comments

Significant Arrest Details

Name	Date of Birth	Report Number	Location	Comments

Intelligence Summary

Category	Report Number	Location	Summary
Select...			

Authorizing Officer **Date of Report**

V. Definitions

Integrated Planning Team: The IPT will consist of State, 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: A series of related law enforcement operations aimed at accomplishing a strategic or operational objective within a given time and space.

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

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

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

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

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

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

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

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

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

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

GOVERNOR'S OFFICE OF HOMELAND SECURITY AND EMERGENCY PREPAREDNESS

STATE OF LOUISIANA

GRANT AWARD CHECKLIST & GENERAL INFORMATION

GRANT AWARD NO. EMW-2012-SS-00075-S01 **CFDA NO. 97.067** **AWARD DATE: 09/12/2012**

I. FY 2012 Grant Award Packet:

The following MUST be returned to GOHSEP by November 30, 2012:

Completed	Document Description	Due Date	Description
	Grant Award Sheet	11/30/2012	Formal Award Letter. Incudes Special Conditions and Requirements ** Needs To Be Signed by Authorized Representative*
	Applicant Point of Contact (POC)/FFATA Sheet	11/30/2012	Authorized Representative's designated POC to administer the grant award ** Needs To Be Signed by Authorized Representative*
	Grant Agreement Articles	11/30/2012	Federal Terms and Conditions ** Needs To Be Signed by Authorized Representative*

The following are documents which should be kept in grant file.

Place in File	Document Description	Due Date	Description
	Funding Opportunity Announcement (FOA)	N/A	Federal guidance, regulations, and law requirements
	Grant Award Checklist & General Info	N/A	Applicant's checklist for identified documents
	Grant Adjustment Notice Releasing All Holds	Sent from GOHSEP	Official Notice from GOHSEP releasing all holds on grant funding.

II. FY 2012 SHSP Performance Period:

The performance period for FY 12 SHSP will be 09/01/2012 – 2/28/2014. Any funds not obligated in accordance with the spending plan will be de-obligated at the end of this period.

III. FY 2012 SHSP Forms

Copies of all grant forms (some in fillable form) are available on the GOHSEP website:
http://gohsep.la.gov/hsgrantprgindex.aspx