

**The U.S. Department of Homeland Security (DHS)  
Notice of Funding Opportunity (NOFO)  
Fiscal Year 2017 Homeland Security Grant Program (HSGP)**

**NOTE: Eligible recipients who plan to apply for this funding opportunity but who have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), should take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM.** New registration can take an average of 7-10 business days to process in SAM. SAM must send out some information for validation with outside parties before your registration can be activated; this includes Taxpayer Identification Number (TIN) validation with the Internal Revenue Service (IRS) and Commercial and Government Entity (CAGE) validation/assignment with the Department of Defense (DoD). This timeframe may be longer if the information you provide is flagged for manual validation by either party. If you notice your registration has had a 'Submitted' status for longer than 10 business days, and you have not otherwise been contacted to correct or update information, please contact the Federal Service Desk at 866-606-8220 or <https://www.fsd.gov>. **Information on obtaining a DUNS number and registering in SAM is available from [Grants.gov](http://www.Grants.gov) at: <http://www.Grants.gov/web/grants/register.html>.** Detailed information regarding DUNS and SAM is also provided in [Section D](#) of this NOFO, subsection, Content and Form of Application Submission.

**A. Program Description**

**Issued By**

U.S. Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), Grant Programs Directorate (GPD)

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

97.067

**CFDA Title**

Homeland Security Grant Program (HSGP)

**Notice of Funding Opportunity Title**

Fiscal Year 2017 Homeland Security Grant Program

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

**NOFO Number**

DHS-17-GPD-067-00-01

**Authorizing Authority for Program**

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

## Appropriation Authority for Program

Department of Homeland Security Appropriations Act, 2017 (Pub. L. No. 115-31)

## Program Type

New

## Program Overview, Objectives, and Priorities

### Overview

The purpose of the Fiscal Year (FY) 2017 HSGP is to support state, local and tribal efforts to prevent terrorism and other catastrophic events and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States. References to these priorities can be found throughout this document. The FY 2017 HSGP provides funding to implement investments that enhance terrorism preparedness and serve to build, sustain, and deliver the 32 core capabilities essential to achieving the National Preparedness Goal (the [Goal](#)) of a secure and resilient Nation. The building, sustainment, and delivery of these core capabilities are not exclusive to any single level of government, organization, or community, but rather, require the combined effort of the [whole community](#), inclusive of children, individuals with disabilities and others with access and functional needs, diverse communities, and people with limited English proficiency. The FY 2017 HSGP supports the core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response, and Recovery based on allowable costs. The FY 2017 HSGP will provide federal funds to assist state, local, tribal, and territorial agencies to obtain the resources required to support implementation of the National Preparedness System (NPS) and the Goal of a secure and resilient Nation. Among the five basic homeland security missions noted in the DHS Quadrennial Homeland Security Review, HSGP supports the goal to Strengthen National Preparedness and Resilience.

HSGP is comprised of three grant programs:

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

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

### Objectives

- **State Homeland Security Program (SHSP):** The SHSP assists state, tribal, territorial, and local preparedness activities that address high-priority preparedness gaps across all core capabilities that support terrorism preparedness. All supported investments are based on capability targets and gaps identified during the Threat and Hazard Identification and Risk Assessment (THIRA) process, and assessed in the State Preparedness Report (SPR).

- **Urban Area Security Initiative (UASI):** The UASI program assists high-threat, high-density Urban Areas in efforts to build, sustain, and deliver the capabilities necessary to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.
- **Operation Stonegarden (OPSG):** The OPSG Program supports enhanced cooperation and coordination among Customs and Border Protection (CBP), United States Border Patrol (USBP), and Federal, state, local, tribal, and territorial law enforcement agencies. The OPSG Program provides funding to support joint efforts to secure the United States' borders along routes of ingress from international borders to include travel corridors in states bordering Mexico and Canada, as well as states and territories with international water borders.

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

### **Priorities**

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

DHS/FEMA publishes the annual National Preparedness Report (NPR) to communicate progress in building, sustaining, and delivering the core capabilities outlined in the Goal. This analysis provides a National perspective on critical preparedness trends for whole community partners to use to inform program priorities, allocate resources, and communicate with stakeholders about issues of shared concern. The NPR can be found at <http://www.fema.gov/national-preparedness-report>.

In developing applications for the FY 2017 HSGP, recipients should consider funding projects that address core capability gaps within the NPR national areas for improvement that relate to terrorism preparedness, including:

- Cybersecurity;
- Infrastructure Systems;
- Economic Recovery;
- Housing; and
- Natural and Cultural Resources.

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

Minimum funding amounts are not prescribed by the DHS for these capability targets and gaps; however, recipients must support state, local, tribal, regional, and national efforts in achieving the desired outcomes of these priorities. Grant funds must clearly support resources the recipients need to achieve the THIRA targets and close capability gaps. [Appendix B-Program Priorities](#) addresses additional areas where funding can be applied to strengthen preparedness efforts.

**B. Federal Award Information**

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

**Available Funding for the HSGP NOFO: \$1,037,000,000**

<b>HSGP Programs</b>	<b>FY 2017 Allocation</b>
State Homeland Security Program	\$402,000,000
Urban Area Security Initiative	\$580,000,000
Operation Stonegarden	\$55,000,000
<b>Total</b>	<b>\$1,037,000,000</b>

For details on program-specific funding amounts, refer to [Appendix A – FY 2017 Program Allocations](#).

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

Extensions to the Period of Performance (PoP) are allowed. For additional information on PoP extensions, refer to [Section H – Additional Information](#) of this NOFO.

**Projected Period of Performance Start Date:** September 1, 2017

**Projected Period of Performance End Date:** August 31, 2020

**Funding Instrument:** Grant

## **C. Eligibility Information**

### **Eligible Applicants**

All 56 states and territories, which includes any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, are eligible to apply for SHSP funds. For those states that are eligible for UASI and OPSG funding, the State Administrative Agency (SAA) is the only entity eligible to submit applications to DHS/FEMA on behalf of UASI and OPSG applicants. A list of eligible UASIs and OPSG States can be found in [Appendix A](#). Tribal governments may not apply directly for HSGP funding; however, funding may be available to tribes under the SHSP and OPSG through the SAA.

### **Eligibility Criteria**

Eligible high-risk Urban Areas for the FY 2017 UASI program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous Metropolitan Statistical Areas (MSAs) in the United States. Sub-awards will be made by the SAA to the designated Urban Areas identified in [Appendix A - FY 2017 Program Allocations](#).

Eligible sub-recipients under the FY 2017 OPSG Program are local units of government at the county level or equivalent level of government and Federally-recognized tribal governments in states bordering Canada or Mexico and states and territories with international water borders. All applicants must have active ongoing USBP operations coordinated through a CBP sector office to be eligible for OPSG funding.

Under the FY 2017 OPSG Program, subrecipients eligible to apply for and receive a subaward directly from the SAA are divided into three Tiers. Tier 1 entities are local units of government at the county level or equivalent and Federally-recognized tribal governments that are on a physical border in states bordering Canada, states bordering Mexico, and states and territories with international water borders. Tier 2 eligible subrecipients are those not located on the physical border or international water but are contiguous to a Tier 1 county. Tier 3 eligible subrecipients are those not located on the physical border or international water but are contiguous to a Tier 2 eligible subrecipient. Tier 2 and Tier 3 eligible subrecipients may be eligible to receive funding based on border security risk as determined by the USBP, as described in Section E of the NOFO.

### **Other Eligibility Criteria**

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

Prior to allocation of any Federal preparedness awards in FY 2017, recipients must ensure and maintain adoption and implementation of NIMS. FEMA describes the specific training and activities involved in NIMS implementation in the NIMS Training Program (<https://www.fema.gov/training-0>) and the NIMS Implementation Objectives (<https://www.fema.gov/implementation-guidance-and-reporting>).

Incident management activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies). Utilization of the standardized resource management concepts such as typing, credentialing, and inventorying promote a strong national mutual aid capability needed to support delivery of core capabilities. Recipients should manage resources purchased or supported with FEMA grant funding according to NIMS resource management guidance. In addition, Comprehensive Preparedness Guide (CPG) 201: Threat and Hazard Identification and Risk Assessment Guide, Second Edition, available at <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>, emphasizes how communities can use THIRA results to make decisions about how to allocate limited resources.

Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications is on DHS/FEMA's website under <http://www.fema.gov/resource-management-mutual-aid>.

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

In support of the Goal, recipients must belong to, be located in, or act as a temporary member of EMAC, except for American Samoa and the Commonwealth of the Northern Mariana Islands, which are not required to belong to EMAC at this time. All assets supported in part or entirely with FY 2017 HSGP funding must be readily deployable and NIMS typed when possible to support emergency or disaster operations per existing EMAC agreements. In addition, funding may be used for the sustainment of core capabilities that, while they may not be physically deployable, support national response capabilities such as Geographic/Geospatial Information Systems (GIS), interoperable communications systems, capabilities as defined under the mitigation mission area of the Goal, and fusion centers.

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

Per section 2006 of the *Homeland Security Act of 2002*, as amended (6 U.S.C. § 607), DHS/FEMA is required to ensure that at least 25 percent (25%) of grant funding appropriated for grants awarded under HSGP's authorizing statute are used for law enforcement terrorism prevention activities. DHS/FEMA meets this requirement, in part, by requiring all SHSP and UASI recipients to ensure that at least 25 percent (25%) of the combined HSGP funds allocated under SHSP and UASI are dedicated towards law enforcement terrorism prevention activities, as defined in 6 U.S.C. § 607. The LETPA allocation can be from SHSP, UASI, or both. This requirement does not include award funds from OPSG. Please refer to [Appendix A – FY 2017 Program Allocations](#) for LETPA minimum allocations for SHSP and UASI by jurisdiction. The 25 percent (25%) LETPA allocation is in addition to the 80 percent (80%) pass through requirement to local units of government and Tribes, referenced below.

The National Prevention Framework describes those activities that should be executed upon the discovery of intelligence or information regarding an imminent threat to the homeland, in order to thwart an initial or follow on terrorist attack, and provides guidance to ensure the Nation is prepared to prevent, avoid, or stop a threatened or actual act of terrorism. Activities outlined in the National Prevention Framework are eligible for use

as LETPA focused funds. In addition, where capabilities are shared with the protection mission area, the National Protection Framework activities are also eligible. Other terrorism prevention activities proposed for funding under LETPA must be approved by the FEMA Administrator.

#### **Cost Share or Match**

There is no cost share or match requirement for the FY 2017 HSGP.

### **D. Application and Submission Information**

#### **Key Dates and Times**

**Date Posted to [Grants.gov](https://www.grants.gov):** **June 2, 2017**

**Application Submission Deadline:** **June 22, 2017, 5:00 p.m. EDT**

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

If there are technical issues, please notify the respective FEMA Headquarters (HQ) Program Analyst before the application deadline. Applicants should contact the Centralized Scheduling and Information Desk (CSID) for FEMA HQ Program Analyst contact information. CSID can be reached by phone at (800) 368-6498 or by e-mail at [askcsid@dhs.gov](mailto:askcsid@dhs.gov), Monday through Friday, 9:00 a.m. – 5:00 p.m. EDT.

**Anticipated Funding Selection Date:** **September 1, 2017**

**Anticipated Award Date:** **No later than September 30, 2017**

#### **Address to Request Application Package**

Application forms and instructions are available at [Grants.gov](https://www.grants.gov) (hard copies of the NOFO and associated application materials are not available). To access these materials, go to [Grants.gov](https://www.grants.gov), select "Applicants" then "Apply for Grants." In order to obtain the application package, select "Download a Grant Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of this NOFO, select "Download Package," and then follow the prompts to download the application package.

Applicants experiencing difficulties accessing information or who have any questions, should call the [Grants.gov](https://www.grants.gov) customer support hotline at (800) 518-4726.

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

Applications will be processed through the [Grants.gov](https://www.Grants.gov) portal and DHS/FEMA's ND Grants System.

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

Applying for an award under this program is a multi-step process. To ensure that an application is submitted on time applicants are advised to start the required steps well in advance of their submission. Failure of an applicant to comply with any of the required steps before the application deadline may disqualify their application from funding.

The steps involved in applying for an award under this program are:

1. Applying for, updating, or verifying their Data Universal Numbering System (DUNS) Number;
2. Applying for, updating, or verifying their Employer ID Number (EIN);
3. Updating or verifying their System for Award Management (SAM) Registration;
4. Establishing an Authorized Organizational Representative (AOR) in [Grants.gov](https://www.Grants.gov);
5. Submitting an initial application in [Grants.gov](https://www.Grants.gov); and
6. Submitting the final application in the ND Grants system.

Each of the required steps associated with the application process are explained in the sections below.

### **Unique Entity Identifier and System for Award Management (SAM)**

Before applying for a DHS/FEMA grant at [Grants.gov](https://www.Grants.gov), applicants must have a DUNS number, be registered in SAM, and be approved as an AOR. The steps for completing these pre-application processes are outlined below.

**NOTE: Applicants are encouraged to register early. The pre-application registration processes can take four weeks or more to complete. Therefore, registration should be done in sufficient time to ensure it does not impact the applicant's ability to meet required submission deadlines.**

### **Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) Number**

The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the SF-424 form. Instructions for obtaining a DUNS number can be found at the following website: <http://www.Grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>.

The applicant must provide a DUNS number with their application. This number is a required field for all subsequent steps in the application submission. Applicants should verify they have a DUNS number, or take the steps necessary to obtain one. Applicants can receive a DUNS number at no cost by calling the DUNS number request line at 866-



705-5711. *DHS/FEMA cannot assist applicants with questions related to obtaining a current DUNS number.*

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

DHS/FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and for grant award payment; both EIN and DUNS are also required to register with SAM (see below). The EIN base for an organization is the Internal Revenue Service (IRS) Tax ID number, for individuals it is their social security number, (both the EIN and social security number are nine-digit numbers).

Organizations and individuals submitting their applications must correctly differentiate the EIN from the DUNS number since both are nine-digit numbers. If these numbers are not correctly identified in the application, a delay in the issuance of the funding award or incorrect payment to a recipient organization may result.

Organizations [applying for an EIN](#) should plan on a minimum of two full weeks to obtain an EIN. For assistance in registering an EIN please contact the [IRS helpline](#).

*DHS/FEMA cannot assist applicants with questions related to obtaining a current EIN.*

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

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

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

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

SAM registration is a multi-step process including validating the EIN with the IRS to obtain a Commercial and Government Entity (CAGE) code. The CAGE code is only valid for one year after issuance and must be current at the time of application. SAM sends notifications to the registered user via email 60, 30, and 15 days prior to expiration of the SAM registration for the Entity. SAM registration may lapse due to inactivity. To update or renew the Entity records(s) in SAM applicants will need to create a SAM User Account and link it to the migrated Entity records.

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

### **Authorized Organizational Representative (AOR)**

The next step in the registration process is creating a username and password with [Grants.gov](http://www.Grants.gov) to become an AOR. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step is often missed and it is crucial for valid submissions. To read more detailed instructions for creating a profile on [Grants.gov](http://www.Grants.gov) visit: <http://www.Grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

### **AOR Authorization**

After creating a profile on [Grants.gov](http://www.Grants.gov), the E-Biz Point of Contact (POC) who is a representative from the applicant organization listed as the contact for SAM, will receive an email to grant the AOR permission to submit applications on behalf of the organization. The E-Biz POC will then log in to [Grants.gov](http://www.Grants.gov) and approve an individual as the AOR, thereby granting permission to submit applications. To learn more about AOR Authorization, visit: <http://www.Grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>. To track an AOR status, visit: <http://www.Grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

### **Electronic Signature**

Applications submitted through Grants.gov constitute an electronically signed application. When submitting the application through Grants.gov, the name of the applicant's AOR will be inserted into the signature line of the application.

Applicants experiencing difficulties accessing information or who have questions should call the [Grants.gov](http://www.Grants.gov) customer support hotline at (800) 518-4726 or email Grants.gov at <mailto:support@Grants.gov>.

The Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award.

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

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

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

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

The information submitted in [Grants.gov](https://www.grants.gov) will be retrieved by ND Grants, which will allow DHS/FEMA to determine if an applicant is eligible. **Applicants are encouraged to submit their initial application in [Grants.gov](https://www.grants.gov) at least ten days before the June 22, 2017, application deadline.**

Applicants experiencing difficulties accessing information should call the [Grants.gov](https://www.grants.gov) customer support hotline at 800-518-4726 or email [Grants.gov](mailto:support@grants.gov) at support@grants.gov. *DHS/FEMA cannot assist applicants with questions related to registering with [Grants.gov](https://www.grants.gov).*

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

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

In [ND Grants](https://www.ndgrants.gov) applicants will be prompted to submit all of the information contained in the following forms. Applicants should review these forms before applying to ensure they have all the information required:

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

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

- Investment Justification; and
- Indirect Cost Agreement, if applicable.

Applicants must submit copies of the following in ND Grants, if applying for construction projects:

- Standard Form 424C, Budget Information (Construction); and
- Standard Form 424D, Standard Assurances (Construction).

Applicants needing assistance registering for the ND Grants system should contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076.

## **HSGP Specific Application Instructions**

### **Development of the Investment Justification (SHSP and UASI)**

As part of the FY 2017 HSGP application process for SHSP and UASI funds, applicants must develop formal investment justifications (IJs) that address the proposed investments.

Each IJ must *demonstrate* how proposed investments:

- Support terrorism preparedness;
- Address capability gaps identified as State priorities in the most recent SPR (*applicable to states only*);
- Align resources that support targets set in the Urban Area, state, and/or regional THIRAs and national priorities, as outlined in the NPR; and
- Engage and/or impact the whole community, including children, older adults, pregnant women, individuals with limited English proficiency, individuals with disabilities and others with access and functional needs, and ensure the protection of civil rights in the building, sustainment, and delivery of core capabilities.

Each IJ must *explain* how the proposed investments will support the applicant's efforts to:

- Prevent a threatened or an actual act of terrorism;
- Prepare for all hazards and threats, while explaining the nexus to terrorism preparedness;
- Protect citizens, residents, visitors, and assets against the greatest threats and hazards, relating to acts of terrorism; and/or
- Respond quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of an act of terrorism or other catastrophic incident.

### **Alignment of Proposed Investments to the THIRA (SHSP and UASI)**

As noted above, investments and projects must clearly address capability targets identified in the THIRA and gaps noted in the SPR.

When completing investment level information, applicants must identify the most relevant portions of their THIRA, SPR (States only) and Capability Estimation and explain how the proposed investment will address at least one of the identified capability gaps. The applicant should use page numbers and reference specific sections of the THIRA.

### **Development of Investments and Projects (SHSP)**

- Applicants must propose at least one and include up to 10 investments.
- Applicants must propose at least one project within each investment in their IJ to describe the activities they would plan to implement with SHSP funds. There is no limit to the number of projects that may be submitted.
- Any projects funded with SHSP funds that are not included in the application must subsequently be included in the first Biannual Strategy Implementation

Report (BSIR). For further information on the BSIR, refer to Section F, subsection [Program Performance Reporting Requirements](#) of this NOFO.

- Of the proposed investments, recipients using SHSP funds are required to propose one (1) single investment in support of a designated fusion center that will be funded by SHSP funds. Recipients must coordinate with the fusion center when developing a fusion center investment prior to submission.
- Recipients investing in emergency communications must describe how activities align to their Statewide Communication Interoperable Plan (SCIP). Recipients must coordinate with their Statewide Interoperability Coordinator (SWIC) and/or Statewide Interoperability Governance Body (SIGB) when developing an emergency communications investment prior to submission to ensure the project supports the statewide strategy to improve emergency communications and is compatible and interoperable with surrounding systems.

#### **Development of Investments and Projects (UASI)**

- Applicants must propose at least one and include up to 10 investments.
- Urban Areas must propose at least one project within each investment in their IJ to describe the activities they are planning to implement with UASI funds. There is no limit to the number of projects that may be submitted. Any projects funded with UASI funds that are not included in the application must subsequently be included in the first BSIR.
- Of the proposed 10 investments, Urban Areas are required to propose one (1) single investment in support of a designated fusion center within the Urban Area, if applicable. Recipients must coordinate with the fusion center when developing a fusion center investment prior to submission.
- If UASI funds are used by the SAA in support of the Urban Area, the SAA must, as part of the list of proposed investments, describe how UASI funds will be used by the SAA to directly support the Urban Area.
- Recipients investing in emergency communications must describe how activities align to the SCIP. Recipients must coordinate with the SWIC and/or SIGB when developing an emergency communications investment prior to submission to ensure the project supports the statewide strategy to improve emergency communications and is compatible and interoperable with surrounding systems.

#### **Completing IJs in the Grant Reporting Tool (GRT) (SHSP and UASI)**

The IJ Planning Guide contains the IJ template and instructions for collecting the required information for investments and projects. A fillable version of the IJ template can be obtained from the FEMA HQ Program Analyst. Applicants should contact the Centralized Scheduling and Information Desk (CSID) for FEMA HQ Program Analyst contact information. CSID can be reached by phone at 800-368-6498 or by e-mail at [askcsid@dhs.gov](mailto:askcsid@dhs.gov), Monday through Friday, 9:00 a.m. – 5:00 p.m. EDT. Additionally, applicants should utilize the Project Worksheet to assemble the information required for each project, which will facilitate the input of that information into the GRT.

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

## **Development of Concept of Operations for OPSG**

As part of the FY 2017 OPSG application process, each eligible local unit of government at the county or Federally-recognized tribal government level must develop a strategic plan called a Concept of Operations (CONOP)/Application, which is a formal proposal of action to address a specific situation and forms the basis for Operations Orders (discussed below), in coordination with state and Federal law enforcement agencies, to include, but not limited to CBP/USBP. CONOPs 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 CONOP/Application should describe participating agencies in the Executive Summary. CONOP/Application details should include the names of the agencies, points of contact, and individual funding requests. All CONOPs/Applications must be developed in collaboration with the local USBP sector office, the SAA and the local unit of government. Requests for funding in CONOPs/Applications must be based on risks and the operational enforcement support requirements of its corresponding USBP Sector. Sector offices will forward the CONOPs to USBP Headquarters for vetting and coordination. Applicants will forward corresponding OPSG Applications to the SAA for submission to FEMA. USBP Headquarters will reconcile all submitted CONOPs with the OPSG Applications. For more information, refer to [Appendix D – FY 2017 OPSG Operations Order Template and Instructions](#) and [Appendix E – OPSG Operational Guidance](#) of this NOFO.

## **Intergovernmental Review**

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

## **Funding Restrictions**

Federal funds made available through this award may be used only for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any other Federal award, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal Government or any other government entity.

Additionally, DHS/FEMA has issued [IB 407a: Use of Grant Funds for Controlled Equipment: Update for Fiscal Year 2017](#), which has placed further restrictions on controlled equipment. For more information on the Controlled Equipment List and Prohibited Equipment, see [Appendix C - Funding Guidelines](#).

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

As a Federal agency, DHS/FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grant funded projects, comply with federal EHP regulations, laws and Executive Orders as applicable. Recipients and sub-recipients proposing projects that have the potential to impact the environment, including but not limited to

construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the DHS/FEMA EHP review process. The EHP review process involves the submission of a detailed project description along with supporting documentation so that DHS/FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, DHS/FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project; otherwise, DHS/FEMA may not be able to fund the project due to non-compliance with EHP laws, executive order, regulations and policies.

Additionally, all recipients are required to comply with GPD EHP Policy Guidance. This EHP Policy Guidance can be found in FP 108-023-1 at <https://www.fema.gov/media-library/assets/documents/85376>.and GPD EHP Compliance and Reference Documentation at: <https://www.fema.gov/environmental-planning-and-historic-preservation-compliance>.

## **SAFECOM**

Recipients and subrecipients who receive awards under HSGP that wholly or partially provide funding for emergency communication projects and related activities must comply with Appendix D of the [SAFECOM Guidance on Emergency Communications Grants](#). Appendix D outlines requirements for any FEMA recipient using funds for emergency communication activities. These requirements include alignment to national and state communications plans, project coordination, and technical standards for emergency communications technologies. The *SAFECOM Guidance* is intended to ensure that Federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. The signatory authority for the SAA must certify in writing to DHS/FEMA their compliance with the *SAFECOM Guidance on Emergency Communications Grants*, specifically Appendix D. This letter should be coordinated with the SWIC or SWIC equivalent for each State.

## **Funds Transfer Restriction**

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

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

Indirect costs are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's

cognizant federal agency) is required at the time of application, and must be provided to DHS/FEMA before indirect costs are charged to the award.

### **Pre-award Costs**

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

### **Cost Principles**

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

### **Direct Costs**

#### **Planning**

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

#### **Organization**

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

#### **Equipment**

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

#### **Training**

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

#### **Exercises**

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

#### **Personnel**

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable HSGP planning, training, exercise, and equipment activities. Under the OPSG Program, overtime costs are allowable only in so far as they meet the intent of the program. Recipients and sub-recipients may not use more than 50% of their awards to pay for personnel activities unless a waiver is approved by FEMA. For more information on the 50% personnel cap, please see FP 207-093-1, Clarification on the Personnel Reimbursement for Intelligence Cooperation and Enhancement of Homeland Security Act of 2008 (Public Law 110-412 – the PRICE Act) at <https://www.fema.gov/media-library/assets/documents/85384>.



### **Operational Overtime**

Operational Overtime costs are allowed under this program only as described in this NOFO. Prior to use of funds for operational overtime, recipients must receive approval from DHS/FEMA.

### **Travel**

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

### **Construction and Renovation**

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

### **Maintenance and Sustainment**

Maintenance and Sustainment related costs, such as maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in FEMA Policy, Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants Policy, FP 205-402-125-1 (<http://www.fema.gov/media-library/assets/documents/32474>).

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

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

A state's HSGP funds for M&A calculation purposes includes the sum total of its SHSP, UASI, and, where applicable, OPSG awards. While the SAA may retain up to five percent (5%) of this total for M&A, the state must still ensure that all sub-recipient award amounts meet the mandatory minimum pass through requirements which are applicable to each HSGP program. To meet this requirement, the percentage of SHSP, UASI and OPSG funds passed through to local jurisdictions must be based on the state's total HSGP award prior to withholding any M&A. For additional information on SHSP and UASI M&A, refer to [IB 365: Management and Administration Costs in the Homeland Security Grant Program](#). For additional clarification on OPSG M&A, refer to DHS/FEMA Policy FP-207-087-1, which can be found at <http://www.fema.gov/library/viewRecord.do?id=7837>.

### **Critical Emergency Supplies**

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

### **Secure Identification**

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

## **E. Application Review Information**

### **Allocations**

#### **Risk Methodology**

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

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

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

#### **SHSP Allocations**

FY 2017 SHSP funds will be allocated based on two factors: minimum amounts as legislatively mandated, and DHS/FEMA’s risk methodology.

Each state and territory will receive a minimum allocation under SHSP using thresholds established in the *Homeland Security Act of 2002*, as amended. All 50 States, the District of Columbia, and the Commonwealth of Puerto Rico will receive 0.35 percent of the total funds allocated for grants under Section 2003 and Section 2004 of the *Homeland Security Act of 2002*, as amended. Each of the four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.08 percent of the total funds allocated for grants under Section 2003 and 2004 of the *Homeland Security Act of 2002*, as amended. For details on program-specific funding amounts, refer to [Appendix A – FY 2017 Program Allocations](#).

#### **UASI Allocations**

FY 2017 UASI funds will be allocated based on DHS/FEMA’s risk methodology. Eligible candidates for the FY 2017 UASI program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous Metropolitan

Statistical Areas (MSAs) in the United States, in accordance with the *Homeland Security Act of 2002*, as amended. Detailed information on MSAs is publicly available from the United States Census Bureau at <https://www.census.gov/programs-surveys/metro-micro.html>. For details on program-specific funding amounts, refer to [Appendix A – FY 2017 Program Allocations](#).

### **OPSG Allocations**

The FY 2017 OPSG Risk Assessment is designed to identify the risk to border security and to assist with the distribution of funds for the grant program. Funding under OPSG is distributed based on the risk to the security of the border. Entities eligible for funding are the state, local and tribal law enforcement agencies that are located along the border of the United States.

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

Based upon ongoing intelligence analysis and extensive security reviews, DHS/CBP continues to focus the bulk of OPSG funds based upon risk analyses. The risk model used to allocate OPSG funds considers the potential risk that certain threats pose to border security and estimate the relative risk faced by a given area. In evaluating risk, DHS/CBP considers intelligence, situational awareness, criminal trends, and statistical data specific to each of the border sectors, and the potential impacts that these threats pose to the security of the border area. For vulnerability and consequence, DHS/CBP considers the expected impact and consequences of successful border events occurring in specific areas.

Threat and vulnerability are evaluated based on specific operational data from DHS/CBP. Threat components present in each of the Sectors are used to determine the overall threat score. These components are: terrorism, criminal aliens, drug trafficking organizations, and alien smuggling organizations.

### **Application Evaluation Criteria**

Prior to making a federal award, FEMA is required by 31 U.S.C. § 3321 and 41 U.S.C. § 2313 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information. Therefore, application evaluation criteria may include the following risk-based considerations of the applicant: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing federal award; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.

FEMA will evaluate FY 2017 HSGP applications for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed investments. FEMA's review will include verification that each IJ or project:

- Aligns to at least one core capability identified in the Goal;
- Effectively addresses capability targets identified in the THIRA and gaps noted in the SPR; and
- Supports a NIMS-typed resource and whether those assets are deployable/shareable to support emergency or disaster operations per existing EMAC agreements.

In addition to the above, FEMA will evaluate whether proposed projects are: 1) both feasible and effective at reducing the risks for which the project was designed; and 2) able to be fully completed within the three-year PoP. FEMA will use the information provided in the application and after the submission of the first BSIR to determine the feasibility and effectiveness of a grant project. Information that would assist in the feasibility and effectiveness determination includes the following:

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

Recipients are expected to conform, as applicable, with accepted engineering practices, established codes, standards, modeling techniques, and best practices, and participate in the development of case studies demonstrating the effective use of grant funds, as requested.

## **Review and Selection Process**

### **SHSP and UASI**

To ensure the effectiveness of proposed investments and projects, all applications will undergo a federal review. The federal review will be conducted by FEMA HQ Program Analysts. FEMA HQ Program Analysts will use a checklist to verify compliance with all administrative and eligibility criteria identified in the NOFO. All proposed investments in core capability POETE elements must align to a capability gap in the SPR. IJs will be reviewed at both the investment and project level. A program hold may be placed on any investment which is found to be noncompliant.

Fusion center investments will be jointly reviewed by FEMA and the DHS Office of Intelligence and Analysis (I&A) for compliance with HSGP NOFO requirements to prioritize the alignment of requests with results from the annual Fusion Center Assessment Program. If a fusion center investment does not meet the requirements, a Fusion Center Addendum must be completed and submitted for review and approval prior to expending funds allocated to fusion center activities.

## **OPSG**

Applications will be reviewed by the SAA and USBP Sector Headquarters for completeness and adherence to programmatic guidelines and evaluated for anticipated feasibility, need, and impact of the Operations Orders. For more information on Operations Orders and other requirements of OPSG see [Appendix E – OPSG Operational Guidance](#).

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

FY 2017 OPSG funds will be allocated competitively based on risk-based prioritization using the OPSG Risk Assessment described above. Final funding allocations are determined by the Secretary, who may consider information and input from various law enforcement offices or subject-matter experts within the Department. Factors considered include, but are not limited to: threat, vulnerability, miles of border, and other border-specific law enforcement intelligence, as well as feasibility of FY 2017 Operation Orders to designated localities within Border States and territories. For details on program-specific funding amounts, please refer to [Appendix A – FY 2017 Program Allocations](#).

### **Supplemental Financial Integrity Review**

Prior to making a Federal award where the Federal share is expected to exceed the simplified acquisition threshold, currently \$150,000, DHS/FEMA is required to review and consider any information about the applicant in the [Federal Awardee Performance and Integrity Information System \(FAPIIS\)](#), which is also accessible through the [SAM](#) website.

- An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a Federal awarding agency previously entered.
- DHS/FEMA will consider any comments by the applicant, in addition to the FAPIIS information, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants, as described in 2 CFR §200.205.

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

### **Notice of Award**

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

Funds will remain on hold until the recipient accepts the award through the ND Grants system and all other conditions of award have been satisfied, or the award is otherwise

rescinded. Failure to accept the grant award within the 90-day timeframe may result in a loss of funds.

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

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

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at: [DHS Standard Terms and Conditions](#).

The applicable DHS Standard Administrative Terms and Conditions will be those in effect at the time the award was made.

Before accepting the award the AOR should carefully review the award package. The award package includes instructions on administering the grant award and the terms and conditions associated with responsibilities under Federal Awards. Recipients must accept all conditions in this NOFO as well as any Special Terms and Conditions in the Notice of Award to receive an award under this program.

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

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

- The SAA must make a firm written commitment to pass through grant funds to sub-recipients;
- The SAA's commitment must be unconditional (i.e., no contingencies for availability of SAA funds);
- There must be documentary evidence (i.e., award document, terms and conditions) of the commitment; and
- The award terms must be communicated to the sub-recipient.

### **Timing and Amount**

The SAA must pass-through at least 80 percent (80%) of the funds awarded under SHSP and UASI to local or tribal units of government within 45 calendar days of receipt of the funds. "Receipt of the funds" occurs either when the SAA accepts the award or 15 calendar days after the SAA receives notice of the award, whichever is earlier.

SAAs are sent notification of their HSGP awards via the Grant Program Directorate's (GPD) Non-disaster (ND) Grants system. If an SAA accepts its award within 15 calendar days of receiving notice of the award in the ND Grants system, the 45-calendar days

pass-through period will start on the date the SAA accepted the award. Should an SAA not accept their HSGP award within 15 calendar days of receiving notice of the award in the ND Grants system, the 45-calendar days pass-through period will begin 15 calendar days after the award notification is sent to the SAA via the ND Grants system.

It is important to note that the PoP start date does not directly affect the start of the 45-calendar days pass-through period. For example, an SAA may receive notice of their HSGP award on August 20, 2017, while the PoP dates for that award are September 1, 2017 through August 31, 2019. In this example, the 45-day pass-through period will begin on the date the SAA accepts their HSGP award or September 4, 2017 (15 calendar days after the SAA was notified of the award), whichever date occurs first. The PoP start date of September 1, 2017, would not affect the timing of meeting the 45-calendar-day pass-through requirement.

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

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

Under SHSP, the SAA may retain more than 20 percent (20%) of funding for expenditure made by the state on behalf of the local unit(s) of government. This may occur only with the written consent of the local unit of government, specifying the amount of funds to be retained and the intended use of funds. States shall review their written consent agreements yearly and ensure that they are still valid. If a written consent agreement is already in place from previous fiscal years, DHS/FEMA will continue to recognize it for FY 2017, unless the written consent review indicates the local government is no longer in agreement. If modifications to the existing agreement are necessary, the SAA should contact their assigned FEMA HQ Program Analyst.

### **Additional OPSG Requirements**

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

## Reporting

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

### Federal Financial Reporting Requirements

#### Federal Financial Report (FFR)

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

Recipients may review the Federal Financial Reporting Form (FFR) (SF-425) at: <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortBy=1>, SF-425 OMB #4040-0014.

#### Financial Reporting Periods and Due Dates

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

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

#### Financial and Compliance Audit Report

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of Government and Accountability Office's (GAO) Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?node=sp2.1.200.f>

### Program Performance Reporting Requirements

#### Performance Progress Reports (PPRs)

Recipients are responsible for providing updated performance reports on a biannual basis as an attachment in ND Grants.

The PPR should include the following:

- A brief narrative of the overall project status;
- A summary of project expenditures; and



- A description of any potential issues that may affect project completion.

As part of the PPR, recipients will be required to report the following information related to fusion center projects:

- Progress toward addressing shortfalls identified by their annual Fusion Center Assessment results.

**Program Performance Reporting Periods and Due Dates**

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

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

**Additional Programmatic Reporting Requirements and Information**

**Biannual Strategy Implementation Report (BSIR)**

In addition to the quarterly financial and biannual performance progress reports, recipients are responsible for completing and submitting BSIRs through the Grants Reporting Tool (GRT). The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30 (the summer BSIR report); and January 30 for the reporting period of July 1 through December 31 (winter BSIR report). All required attributes of each project must be included. Updated obligations, expenditures, and significant developments must be provided within the BSIR to show progress of implementation for every project, as well as how expenditures support Planning, Organization, Equipment, Training and Exercises (POETE). The first BSIR will be due January 30, 2017 (30 days after the end of the first reporting period for the award). Subsequent BSIR reports will require recipients to report on a project-by-project basis.

**State Preparedness Report (SPR)**

The SPR is an annual capability assessment. The *Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA)* requires an SPR from any state/territory receiving Federal preparedness assistance administered by DHS/FEMA. Each state submits an annual SPR to DHS/FEMA.

UASI recipients can complete an SPR on a voluntary basis. Completing a SPR helps identify capability gaps and prioritize investments required to reach the THIRA targets, resulting in a stronger investment justification. Refer to [Appendix B – FY 2017 HSGP Program Priorities](#) for additional guidance on SPR requirements.

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

States, territories, and Urban Areas should review and, if necessary, revise and update their THIRAs on an annual basis. A single THIRA submission will support multiple

grant awards received by a jurisdiction. This submission is valid for the entire PoP of the individual grant award(s).

Further details on the THIRA as it relates to HSGP Program requirements can be found in [Appendix B-Program Priorities](#). For additional guidance on THIRA, please refer to CPG 201, Second Edition, available at <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

### **Emergency Operations Plan (EOP)**

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

### **Supplemental Information Reporting Systems**

In addition to ND Grants, the following information systems are used for the submission of required reports:

#### **Grant Reporting Tool (GRT)**

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

#### **FY 2017 Unified Reporting Tool (URT)**

The URT is DHS/FEMA's collection mechanism for THIRA, SPR, and related preparedness information. The FY 2017 URT includes questions related to NIMS adoption and implementation, CPG 101v2 compliance, and other preparedness questions, as appropriate. Information on the URT, including when recipients will receive the tool and how to use the tool, will be sent to recipients later in 2017.

### **Closeout Reporting Requirements**

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

- 1) Final request for payment, if applicable;
- 2) SF-425 –Final FFR;
- 3) Final Performance Progress Report;
- 4) A qualitative narrative summary on the impact of those accomplishments throughout the entire PoP submitted to the respective FEMA HQ Program

- Analyst, which includes a description of progress made in closing core capability gaps identified in the SPR and reaching THIRA targets; and
- 5) Other documents required by program guidance or terms and conditions of the award.

After these reports have been reviewed and approved by DHS/FEMA, a close-out notice will be completed. The notice will indicate the PoP as closed, list any remaining funds that will be de-obligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR.

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

The recipient is responsible for returning any funds that have been drawn down but remain as unliquidated on recipient financial records.

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

### **Contact and Resource Information**

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

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

#### **GPD Grant Operations Division**

GPD's Grant Operations Division Business Office provides support regarding financial matters and budgetary technical assistance. Additional guidance and information can be obtained by contacting the FEMA Call Center at 866-927-5646 or via e-mail to [ASK-GMD@dhs.gov](mailto:ASK-GMD@dhs.gov).

#### **FEMA Regions**

FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance such as conducting cash analysis, financial monitoring, and audit resolution to the grant programs included in this solicitation. GPD will provide programmatic support and technical assistance. Contact information for the ten FEMA Regions is available at the following websites:

Region I	<a href="https://www.fema.gov/region-i-ct-me-ma-nh-ri-vt">https://www.fema.gov/region-i-ct-me-ma-nh-ri-vt</a>
Region II	<a href="https://www.fema.gov/region-ii-nj-ny-pr-vi-0">https://www.fema.gov/region-ii-nj-ny-pr-vi-0</a>
Region III	<a href="https://www.fema.gov/region-iii-dc-de-md-pa-va-wv">https://www.fema.gov/region-iii-dc-de-md-pa-va-wv</a>
Region IV	<a href="https://www.fema.gov/region-iv-al-fl-ga-ky-ms-nc-sc-tn">https://www.fema.gov/region-iv-al-fl-ga-ky-ms-nc-sc-tn</a>
Region V	<a href="https://www.fema.gov/region-v-il-mi-mn-oh-wi">https://www.fema.gov/region-v-il-mi-mn-oh-wi</a>
Region VI	<a href="https://www.fema.gov/region-vi-arkansas-louisiana-new-mexico-oklahoma-texas">https://www.fema.gov/region-vi-arkansas-louisiana-new-mexico-oklahoma-texas</a>
Region VII	<a href="https://www.fema.gov/region-vii-ia-ks-mo-ne">https://www.fema.gov/region-vii-ia-ks-mo-ne</a>
Region VIII	<a href="https://www.fema.gov/region-viii-co-mt-nd-sd-ut-wy">https://www.fema.gov/region-viii-co-mt-nd-sd-ut-wy</a>
Region IX	<a href="https://www.fema.gov/fema-region-ix-arizona-california-hawaii-nevada-pacific-islands">https://www.fema.gov/fema-region-ix-arizona-california-hawaii-nevada-pacific-islands</a>
Region X	<a href="https://www.fema.gov/region-x-contact-information-ak-id-or-wa">https://www.fema.gov/region-x-contact-information-ak-id-or-wa</a>

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

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

<https://www.fema.gov/environmental-planning-and-historic-preservation-compliance>.

### **Systems Information**

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

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

## **H. Additional Information**

### **National Preparedness**

The National Preparedness Goal defines what it means for the whole community to be prepared for all types of disasters and emergencies. The National Preparedness System is the instrument the Nation employs to build, sustain, and deliver core capabilities in order to achieve the Goal of a secure and resilient Nation.

DHS/FEMA coordinates with local, state, territory, and tribal governments as well as the private and non-profit sectors to facilitate a whole community, risk-driven, and capabilities-based approach to preparedness. This risk-driven, capabilities-based approach is grounded in the identification and assessment of risk through the THIRA. For additional information on THIRA, please refer to:

<http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>. Recipients should review and, if necessary, revise and update their THIRAs on an annual basis to ensure that the community's shared understanding of risk evolves to account for changes in the risk landscape, including successful mitigation efforts, emerging threats, hazards, and associated consequences. Information on the National Preparedness System can be found at <http://www.fema.gov/national-preparedness-system>. Additional details

regarding the National Preparedness System and how it is supported by HSGP can be found in [Appendix B - Program Priorities](#).

### **Active Shooter Preparedness**

DHS aims to enhance national preparedness through a whole community approach by providing the necessary products, tools, and resources to help all stakeholders prepare for and respond to an active shooter incident. To that end, DHS has developed a comprehensive “Active Shooter Preparedness” website, which includes a variety of informational resources. The website address is: <https://www.dhs.gov/active-shooter-preparedness>.

In addition, within the Homeland Security Information Network (HSIN), the Joint DHS and FBI Countering Violent Extremism (CVE) and Active Shooter Web Portal provides a restricted-access forum to share Unclassified For Official Use Only (FOUO), Sensitive but Unclassified (SBU), and Law Enforcement Sensitive (LES) Information. The portal provides users and training practitioners with accurate, appropriate, and relevant CVE and Active Shooter training development resources, subject-matter expert information, and outreach initiatives. It also has forums to provide feedback, products useful to others, and allows participants to ask questions concerning CVE or the Active Shooter Program. Persons with a job-related duty, public service interest, or who support a CVE and/or Active Shooter program can request access into this Portal. Additional information can be found on the DHS website at: <https://www.dhs.gov/cveas-portal#>.

States, territories, and Urban Areas are encouraged to review the referenced active shooter guidance, evaluate their preparedness needs in conjunction with, or supplemental to, their THIRA and SPR processes, and to utilize preparedness grant funds as necessary to address any capability gaps identified in this area.

### **Expanded Allowable Costs for General Purpose Equipment**

HSGP allows expenditures on general purpose equipment if it aligns to and supports one or more core capabilities identified in the Goal and has a nexus to terrorism. General purpose equipment must be sharable through the Emergency Management Assistance Compact (EMAC)<sup>1</sup> and allowable under 6 U.S.C. § 609. Examples of such general purpose equipment may include:

- Law enforcement vehicles;
- Emergency medical services (EMS) equipment and vehicles;
- Fire service equipment and vehicles, to include hose, pump accessories, and foam concentrate for specialized chemical, biological, radiological, nuclear, and explosives (CBRNE) response; and

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<sup>1</sup> Except for American Samoa and the Commonwealth of the Northern Mariana Islands which are not required to belong to EMAC at this time.

- Office equipment for staff<sup>2</sup> engaged in homeland security program activity.

Equipment allowability is based on the Authorized Equipment List (AEL) *but exceptions may be considered on a case-by-case basis if* (1) the equipment identified to be purchased directly maps to a core capability contained within the Goal<sup>3</sup>, and (2) the equipment's purpose (when operational) falls under the permitted use of funds in accordance with the Homeland Security Act of 2002, as amended.

### **Payments**

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

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

### **Monitoring and Evaluation**

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

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

### **Case Studies**

As part of its grant oversight responsibility, FEMA is conducting a series of grant effectiveness case studies jointly with grant recipients to highlight how states and urban areas have used federal grants to improve preparedness. The purpose of the project is to better understand the factors that jurisdictions consider when determining which grant projects to fund, how grant recipients measure grant effectiveness, and to document key findings and success stories that will help both grant recipients and FEMA more effectively communicate the importance of federal grant programs to policymakers and the public. Although not mandatory, recipients are encouraged to participate given the mutual benefits to be gained from this collaborative effort.

### **Conflict of Interest**

To eliminate and reduce the impact of conflicts of interest in the sub-award process, recipients and sub-recipients must follow their own policies and procedures regarding the

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<sup>2</sup> This applies to all homeland security personnel, and is not limited to management and administration staff, and costs are to be captured outside the cap on management and administration costs.

<sup>3</sup> <https://www.fema.gov/media-library/assets/documents/25959>

elimination or reduction of conflicts of interest when making sub-awards. Recipients and pass-through entities are also required to follow any applicable Federal, state, local, tribal, or territorial statutes or regulations governing conflicts of interest in the making of sub-awards.

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

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

### **Extensions**

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

- 1) Grant program, fiscal year, and award number;
- 2) Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
- 3) Current status of the activity/activities;
- 4) Approved PoP termination date and new project completion date;
- 5) Amount of funds drawn down to date;
- 6) Remaining available funds, both Federal and non-federal;
- 7) Budget outlining how remaining Federal and non-federal funds will be expended;
- 8) Plan for completion, including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
- 9) Certification that the activity/activities will be completed within the extended PoP without any modification to the original Statement of Work, as described in the investment justification and approved by DHS/FEMA.

Extension requests will be granted only due to compelling legal, policy, or operational challenges. Extension requests will only be considered for the following reasons:

- Contractual commitments by the grant recipient with vendors or sub-recipients prevent completion of the project within the existing PoP;
- The project must undergo a complex environmental review that cannot be completed within this timeframe;
- Projects are long-term by design and therefore acceleration would compromise core programmatic goals; and
- Where other special circumstances exist.

Recipients must submit all proposed extension requests to DHS/FEMA for review and approval no later than 120 days prior to the end of the PoP. In accordance with GPD policy, extensions are typically granted for no more than a six month time period.



## Appendix A – FY 2017 HSGP Program Allocations

### FY 2017 SHSP Allocations

State/Territory	FY 2017 Allocation
Alabama	\$3,752,000
Alaska	\$3,752,000
American Samoa	\$857,600
Arizona	\$4,551,000
Arkansas	\$3,752,000
California	\$60,159,500
Colorado	\$3,963,000
Connecticut	\$3,962,000
Delaware	\$3,752,000
District of Columbia	\$4,124,500
Florida	\$11,023,500
Georgia	\$6,790,000
Guam	\$857,600
Hawaii	\$3,752,000
Idaho	\$3,752,000
Illinois	\$16,391,500
Indiana	\$3,962,000
Iowa	\$3,752,000
Kansas	\$3,752,000
Kentucky	\$3,962,000
Louisiana	\$3,962,000
Maine	\$3,752,000
Maryland	\$6,136,500
Massachusetts	\$5,628,000
Michigan	\$6,641,000
Minnesota	\$3,962,000
Mississippi	\$3,752,000
Missouri	\$3,962,000
Montana	\$3,752,000
Nebraska	\$3,752,000
Nevada	\$3,752,000
New Hampshire	\$3,752,000
New Jersey	\$8,337,000
New Mexico	\$3,752,000
New York	\$76,930,000
North Carolina	\$5,472,000
North Dakota	\$3,752,000
Northern Mariana Islands	\$857,600

State/Territory	FY 2017 Allocation
Ohio	\$7,681,000
Oklahoma	\$3,752,000
Oregon	\$3,822,100
Pennsylvania	\$10,037,500
Puerto Rico	\$3,752,000
Rhode Island	\$3,752,000
South Carolina	\$3,752,000
South Dakota	\$3,752,000
Tennessee	\$3,962,000
Texas	\$21,481,000
U.S. Virgin Islands	\$857,600
Utah	\$3,752,000
Vermont	\$3,752,000
Virginia	\$7,428,500
Washington	\$6,476,000
West Virginia	\$3,752,000
Wisconsin	\$3,962,000
Wyoming	\$3,752,000
<b>Total</b>	<b>\$402,000,000</b>

## FY 2017 UASI Allocations

State/Territory	Funded Urban Areas	FY 2017 UASI Allocation
Arizona	Phoenix Area	\$5,180,000
California	Anaheim/Santa Ana Area	\$5,180,000
	Bay Area	\$27,536,000
	Los Angeles/Long Beach Area	\$68,110,000
	Riverside Area	\$2,837,000
	Sacramento Area	\$2,837,000
	San Diego Area	\$16,158,000
Colorado	Denver Area	\$2,837,000
District of Columbia	National Capital Region	\$52,809,000
Florida	Miami/Fort Lauderdale Area	\$5,180,000
	Tampa Area	\$2,837,000
Georgia	Atlanta Area	\$8,430,000
Illinois	Chicago Area	\$68,110,000
Indiana	Indianapolis Area	\$1,000,000
Maryland	Baltimore Area	\$4,212,000
Massachusetts	Boston Area	\$17,270,000
Michigan	Detroit Area	\$5,180,000
Minnesota	Twin Cities Area	\$5,180,000
Missouri	St. Louis Area	\$2,837,000
Nevada	Las Vegas Area	\$2,837,000
New Jersey	Jersey City/Newark Area	\$20,034,000
New York	New York City Area	\$178,123,000
North Carolina	Charlotte Area	\$2,837,000
Ohio	Cleveland Area	\$2,837,000
Oregon	Portland Area	\$2,837,000
Pennsylvania	Philadelphia Area	\$17,763,000
	Pittsburgh Area	\$2,837,000
Texas	Dallas/Fort Worth/Arlington Area	\$14,802,000
	Houston Area	\$23,193,000
	San Antonio Area	\$1,000,000
Utah	Salt Lake City Area	\$1,000,000
Virginia	Hampton Roads Area	\$1,000,000
Washington	Seattle Area	\$5,180,000
<b>Total</b>		<b>\$580,000,000</b>

**FY 2017 SHSP and UASI LETPA Minimums**

<b>State/Territory</b>	<b>Funded Urban Area(s)</b>	<b>UASI Allocation</b>	<b>Total UASI Allocation</b>	<b>SHSP Allocation</b>	<b>Total Allocation by State</b>	<b>LETPA</b>
Alabama				\$3,752,000	\$3,752,000	\$938,000
Alaska				\$3,752,000	\$3,752,000	\$938,000
American Samoa				\$857,600	\$857,600	\$214,400
Arizona	Phoenix Area	\$5,180,000	\$5,180,000	\$4,551,000	\$9,731,000	\$2,432,750
Arkansas				\$3,752,000	\$3,752,000	\$938,000
California	Anaheim/Santa Ana Area	\$5,180,000	\$122,658,000	\$60,159,500	\$182,817,500	\$45,704,375
	Bay Area	\$27,536,000				
	Los Angeles/Long Beach Area	\$68,110,000				
	Riverside Area	\$2,837,000				
	Sacramento Area	\$2,837,000				
	San Diego Area	\$16,158,000				
Colorado	Denver Area	\$2,837,000	\$2,837,000	\$3,963,000	\$6,800,000	\$1,700,000
Connecticut				\$3,962,000	\$3,962,000	\$990,500
Delaware				\$3,752,000	\$3,752,000	\$938,000
District of Columbia	National Capital Region	\$52,809,000	\$52,809,000	\$4,124,500	\$56,933,500	\$14,233,375
Florida	Miami/Fort Lauderdale Area	\$5,180,000	\$8,017,000	\$11,023,500	\$19,040,500	\$4,760,125
	Tampa Area	\$2,837,000				
Georgia	Atlanta Area	\$8,430,000	\$8,430,000	\$6,790,000	\$15,220,000	\$3,805,000
Guam				\$857,600	\$857,600	\$214,400
Hawaii				\$3,752,000	\$3,752,000	\$938,000
Idaho				\$3,752,000	\$3,752,000	\$938,000
Illinois	Chicago Area	\$68,110,000	\$68,110,000	\$16,391,500	\$84,501,500	\$21,125,375
Indiana	Indianapolis Area	\$1,000,000	\$1,000,000	\$3,962,000	\$4,962,000	\$1,240,500
Iowa				\$3,752,000	\$3,752,000	\$938,000
Kansas				\$3,752,000	\$3,752,000	\$938,000
Kentucky				\$3,962,000	\$3,962,000	\$990,500
Louisiana				\$3,962,000	\$3,962,000	\$990,500
Maine				\$3,752,000	\$3,752,000	\$938,000
Maryland	Baltimore Area	\$4,212,000	\$4,212,000	\$6,136,500	\$10,348,500	\$2,587,125
Massachusetts	Boston Area	\$17,270,000	\$17,270,000	\$5,628,000	\$22,898,000	\$5,724,500
Michigan	Detroit Area	\$5,180,000	\$5,180,000	\$6,641,000	\$11,821,000	\$2,955,250
Minnesota	Twin Cities Area	\$5,180,000	\$5,180,000	\$3,962,000	\$9,142,000	\$2,285,500
Mississippi				\$3,752,000	\$3,752,000	\$938,000
Missouri	St. Louis Area	\$2,837,000	\$2,837,000	\$3,962,000	\$6,799,000	\$1,699,750
Montana				\$3,752,000	\$3,752,000	\$938,000

State/Territory	Funded Urban Area(s)	UASI Allocation	Total UASI Allocation	SHSP Allocation	Total Allocation by State	LETPA
Nebraska				\$3,752,000	\$3,752,000	\$938,000
Nevada	Las Vegas Area	\$2,837,000	\$2,837,000	\$3,752,000	\$6,589,000	\$1,647,250
New Hampshire				\$3,752,000	\$3,752,000	\$938,000
New Jersey	Jersey City/Newark Area	\$20,034,000	\$20,034,000	\$8,337,000	\$28,371,000	\$7,092,750
New Mexico				\$3,752,000	\$3,752,000	\$938,000
New York	New York City Area	\$178,123,000	\$178,123,000	\$76,930,000	\$255,053,000	\$63,763,250
North Carolina	Charlotte Area	\$2,837,000	\$2,837,000	\$5,472,000	\$8,309,000	\$2,077,250
North Dakota				\$3,752,000	\$3,752,000	\$938,000
Northern Mariana Islands				\$857,600	\$857,600	\$214,400
Ohio	Cleveland Area	\$2,837,000	\$2,837,000	\$7,681,000	\$10,518,000	\$2,629,500
Oklahoma				\$3,752,000	\$3,752,000	\$938,000
Oregon	Portland Area	\$2,837,000	\$2,837,000	\$3,822,100	\$6,659,100	\$1,664,775
Pennsylvania	Philadelphia Area	\$17,763,000	\$20,600,000	\$10,037,500	\$30,637,500	\$7,659,375
	Pittsburgh Area	\$2,837,000				
Puerto Rico				\$3,752,000	\$3,752,000	\$938,000
Rhode Island				\$3,752,000	\$3,752,000	\$938,000
South Carolina				\$3,752,000	\$3,752,000	\$938,000
South Dakota				\$3,752,000	\$3,752,000	\$938,000
Tennessee				\$3,962,000	\$3,962,000	\$990,500
Texas	Dallas/Fort Worth/Arlington Area	\$14,802,000	\$38,995,000	\$21,481,000	\$60,476,000	\$15,119,000
	Houston Area	\$23,193,000				
	San Antonio Area	\$1,000,000				
U.S. Virgin Islands				\$857,600	\$857,600	\$214,400
Utah	Salt Lake City Area	\$1,000,000	\$1,000,000	\$3,752,000	\$4,752,000	\$1,188,000
Vermont				\$3,752,000	\$3,752,000	\$938,000
Virginia	Hampton Roads Area	\$1,000,000	\$1,000,000	\$7,428,500	\$8,428,500	\$2,107,125
Washington	Seattle Area	\$5,180,000	\$5,180,000	\$6,476,000	\$11,656,000	\$2,914,000
West Virginia				\$3,752,000	\$3,752,000	\$938,000
Wisconsin				\$3,962,000	\$3,962,000	\$990,500
Wyoming				\$3,752,000	\$3,752,000	\$938,000
<b>Total</b>		<b>580,000,000</b>	<b>580,000,000</b>	<b>402,000,000</b>	<b>982,000,000</b>	<b>245,500,000</b>

## FY 2017 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 2017 OPSG.

## **Appendix B – FY 2017 HSGP Program Priorities**

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

The Nation uses the National Preparedness System to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (the Goal). The Goal is “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” The objective of the National Preparedness System is to facilitate an integrated, whole community, risk-informed, capabilities-based approach to preparedness. Complex and far-reaching threats and hazards require the engagement of individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>).

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

The FY 2017 HSGP contributes to the implementation of the National Preparedness System by financially supporting the ability of States and local jurisdictions to build, sustain, and deliver core capabilities identified in the Goal. The HSGP’s allowable costs support efforts across the Prevention, Protection, Mitigation, Response, and Recovery mission areas. A key focus and requirement of the HSGP is to prevent terrorism and other catastrophic events and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States, and the greatest risks along the Nation’s Borders. When applicable, funding should support deployable assets that can be used anywhere in the Nation through automatic assistance and mutual aid agreements, including but not limited to the Emergency Management Assistance Compact (EMAC).

Recipients are expected to consider national areas for improvement identified in the 2016 National Preparedness Report as they relate to terrorism preparedness. They include cybersecurity; economic recovery; housing; infrastructure systems; natural and cultural resources; and supply chain integrity and security. Addressing these areas for improvement will enhance preparedness nation-wide. Minimum funding amounts are not prescribed by the Department for these priorities; however, recipients are expected to support state, local, regional, and national efforts in achieving the desired outcomes of these priorities.

In addition, DHS/FEMA requires recipients to prioritize grant funding to address capability gaps identified through the THIRA and SPR process. These assessments identify the jurisdiction’s capability targets, current ability to meet those targets, and capability gaps. Recipients must prioritize grant funds to address high-priority core capabilities with low capability levels. The FY 2017 HSGP supports investments that improve the ability of jurisdictions nationwide to:

- Prevent a threatened or an actual act of terrorism;
- Protect citizens, residents, visitors, and assets against the greatest threats that pose the greatest risk to the security of the United States;
- Mitigate the loss of life and property by lessening the impact of future catastrophic events;
- Respond quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident; and/or
- Recover through a focus on the timely restoration, strengthening, accessibility and revitalization of infrastructure, housing, and a sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident; and do so in a manner that engages the whole community while ensuring the protection of civil rights.

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

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

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

States, territories, and Urban Areas should review and, if necessary, revise and update their THIRAs on an annual basis. A single THIRA submission will support multiple grant awards received by a jurisdiction. This submission is valid for the entire PoP of the individual grant award(s). The THIRA, a four-step risk assessment process, provides a comprehensive approach for identifying and assessing risks and associated impacts. It expands on existing local, tribal, territorial, and state Hazard Identification and Risk Assessments (HIRAs) and other risk methodologies by broadening the factors considered in the process, incorporating the whole community throughout the entire process, and by accounting for important community-specific characteristics. CPG 201, Second Edition is available at <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

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

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

### **Reporting**

- Urban Areas should review and, if necessary, revise and update their THIRAs on an annual basis. UASIs should submit their updated THIRAs to the designated SAA. THIRA updates should be in alignment with CPG 201, Second Edition.



Urban Areas should coordinate internally to ensure THIRAs represent all jurisdictions within the Urban Area.

- For FY 2017, if any updates are made to an Urban Area THIRA, Step 4 of the THIRA should be completed for all Response and Recovery core capabilities, including the core capabilities common to multiple mission areas.
- States and territories should review and, if necessary, revise and update their THIRAs on an annual basis. States and territories should submit their THIRA updates along with their annual SPR through the URT and email a copy of the URT submission to their respective FEMA Regional Federal Preparedness Coordinator ([refer to the FEMA Region websites above](#)) and copy fema-spr@fema.dhs.gov. THIRA submissions should be in alignment with CPG 201, Second Edition.
  - For FY 2017, SHSP recipients should complete Step 4 of the THIRA for all Response and Recovery core capabilities, including the common core capabilities for those mission areas.
- States and territories must submit their SPRs to FEMA no later than December 31 each year. SAAs should coordinate with eligible Urban Areas in advance of this deadline to include the Urban Area's input when conducting the statewide SPR assessment.

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

States are required to prioritize grant funding for building and sustaining capabilities in areas with capability gaps identified through the THIRA and SPR process.

#### **Reporting**

- In each HSGP recipient's BISR, as part of programmatic monitoring, recipients will be required to describe how expenditures support maintenance and sustainment of core capabilities. HSGP recipients will, on a project-by-project basis, check one of the following:
  - Building a capability acquired with HSGP funding; or
  - Sustaining a capability acquired with HSGP funding.

### **NIMS Implementation**

Recipients receiving HSGP funding are required to implement NIMS. NIMS defines a national, interoperable approach for sharing resources, coordinating and managing incidents, and communicating information. Incident management refers to how incidents are managed across all homeland security activities, including prevention, protection, mitigation, response, and recovery. FY 2017 HSGP recipients must use standardized resource management concepts for resource typing, credentialing, and an inventory to facilitate the effective identification, dispatch, deployment, tracking and recovery of resources.

#### **Reporting**

- Recipients report on NIMS implementation through the URT.

## Fusion Centers

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

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

In support of this strategic vision, the DHS/FEMA is requiring designated state and major Urban Area fusion centers to participate in an annual assessment of their performance. As maturation of the National Network continues to be a high-priority in FY 2017, DHS/FEMA is requiring that all fusion center-related funding requests be consolidated into a single (1) investment for states or Urban Areas in which designated fusion centers reside. The single investment provides states and Urban Areas a means to centrally manage and report on fusion center related activities. **Recipients must coordinate with the fusion center when developing the fusion center investment prior to application submission.** The fusion center must utilize its individual assessment data when developing the investment. Each proposed project included in the fusion center investment must align to, and reference, specific performance areas of the Assessment that the funding is intended to support. Additionally, any jurisdiction or agency that leverages HSGP funds to support intelligence- or fusion process-related activities (e.g., intelligence unit, real time crime information and analysis centers) must ensure efforts are integrated and/or coordinated with the state or major Urban Area fusion center(s).

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

- FY2017 Fusion Center Grant requirements are listed at <http://www.dhs.gov/homeland-security-grant-program-hsgp>.
- DHS/FEMA approved analyst courses that meet the grant requirement are listed at <http://www.dhs.gov/fema-approved-intelligence-analyst-training-courses>.

Through the PPR, fusion centers will report on the compliance with measurement requirements within the fusion centers priority through the annual Fusion Center Assessment managed by DHS I&A and reported to FEMA.

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

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

#### **Reporting**

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

### ***Validating Capabilities***

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

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

All recipients will develop and maintain a progressive exercise program consistent with HSEEP. A progressive, multi-year exercise program is a series of increasingly complex exercises linked to a set of common program priorities with each successive exercise building upon the previous one until proficiency is achieved.

The NEP serves as the principal exercise mechanism for examining national preparedness and measuring readiness. Recipients are strongly encouraged to nominate exercises into the NEP. For additional information on the NEP, please refer to <http://www.fema.gov/national-exercise-program>.

#### **Reporting**

- Recipients are required to develop a Multi-year TEP that identifies training and exercise priorities and activities. The Multi-year TEP shall be submitted to [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov) no later than 90 days after the completion of the TEPW.
- Recipients are required to submit either one After Action Report/Improvement Plan (AAR/IP) for each HSGP-funded progressive exercise series; or individual AAR/IPs for each HSGP-funded exercise to [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov) no more than 90 days after completion of the exercise.
- Recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. Recipients are encouraged to use the HSEEP AAR/IP template located at <https://www.fema.gov/exercise>.

## Supplemental SHSP Guidance

### *Governance*

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

### *Senior Advisory Committee (SAC)*

The SAC builds upon previously established advisory bodies under HSGP (including the SHSP and UASI programs), Nonprofit Security Grant Program (NSGP), Transit Security Grant Program (TSGP), and Port Security Grant Program (PSGP). Examples of advisory bodies that should be included on the SAC include: Urban Area Working Groups (UAWGs), Statewide Interoperability Governing Board (SIGB), Area Maritime Security Committees (AMSCs), Regional Transportation Security Working Groups (RTSWG), Citizen Corps Whole Community Councils, Disability Inclusion Working Groups, and Children's Working Groups. SAC membership shall include at least one representative from relevant stakeholders including:

- Individuals from the counties, cities, towns, and Indian tribes within the State or high-risk urban area, including, as appropriate, representatives of rural, high-population, and high-threat jurisdictions;
- UASI-funded Urban Areas;
- Citizen Corps Whole Community Councils;
- Local or tribal government officials;
- Tribal organizations;
- Emergency response providers, including representatives of the fire service, law enforcement, emergency medical services, and emergency managers;
- Public health officials and other appropriate medical practitioners;
- Individuals representing educational institutions, including elementary schools, community colleges, and other institutions of higher education;
- State and regional interoperable communications coordinators, as appropriate;
- State and major urban area fusion centers, as appropriate; and
- Non-profit, faith based, and other voluntary organizations such as the American Red Cross.

SACs are encouraged to develop subcommittee structures, as necessary, to address issue- or region-specific considerations.

The responsibilities of a SAC include:

- Integrating preparedness activities across disciplines, the private sector, non-profit organizations, faith-based and community organizations, and all levels of government, including local, state, tribal, and territorial, with the goal of maximizing coordination and reducing duplication of effort;
- Creating a cohesive planning network that builds and implements preparedness initiatives using DHS/FEMA resources, as well as other Federal, state, local, tribal, territorial, local, private sector, and faith-based community resources;
- Management of all available preparedness funding sources to ensure their effective use of and to minimize duplication of effort;
- Ensuring applications for SHSP and UASI funds align with the capability gaps identified in the THIRA and SPR;
- Assist in preparation and revision of the State, regional, or local homeland security plan or the threat and hazard identification and risk assessment, as the case may be; and
- Assist in determining effective funding priorities for SHSP grants.

### ***SAC Composition and Scope***

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

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

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

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

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

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

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

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

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

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

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

To ensure ongoing coordination efforts, SAAs are encouraged to share community preparedness information submitted in the state's BSIR with members of the SAC. SAAs are also encouraged to share their THIRA and SPR with members of the SAC applying for other FEMA preparedness

grants in order to enhance their understanding of statewide capability gaps. The charter should be made available upon request to promote transparency in decision-making related to HSGP activities.

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

SAA's will use the URT to verify compliance of SAC charter requirements.

### **Supplemental UASI Guidance**

The UASI program is intended to provide financial assistance to address the unique multi-discipline planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and to assist these areas in building and sustaining capabilities to prevent, protect against, mitigate, respond to, and recover from threats or acts of terrorism using the whole community approach. Urban Areas must use UASI funds to employ regional approaches to overall preparedness and are encouraged to adopt regional response structures whenever appropriate. UASI program implementation and governance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, mitigation, response, and recovery activities within the region. In some instances, Urban Area boundaries cross state borders. States must ensure that the identified Urban Areas take an inclusive regional approach to the development and implementation of the UASI program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, state agencies, state-wide Interoperability Coordinators, Citizen Corps Whole Community Council(s), and campus law enforcement in their program activities.

### ***Composition***

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

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

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

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

**Establish the UAWG.** Membership in the UAWG must provide either direct or indirect representation for all relevant jurisdictions and response disciplines (including law enforcement, fire service, EMS, and emergency management) that comprise the defined Urban Area. It must also be inclusive of local Whole Community Citizen Corps Council and tribal representatives. The UAWG should also include at least one representative from each of the following significant stakeholders:

- Local or tribal government officials;
- Emergency response providers, which shall include representatives of the fire service, law enforcement, emergency medical services, and emergency managers;
- Public health officials and other appropriate medical practitioners;
- Individuals representing educational institutions, including elementary schools, community colleges, and other institutions of higher education;
- State and regional interoperable communications coordinators, as appropriate; and
- State and major urban area fusion centers, as appropriate.

Members of the UAWG shall be a representative group of individuals from the counties, cities, towns, and tribes within the State or high-risk urban area, including, as appropriate, representatives of rural, high-population, and high-threat jurisdictions.

- In addition, the UAWG should include officials responsible for the administration of Centers for Disease Control and Prevention (CDC) and Assistant Secretary for Preparedness and Response's (ASPR) cooperative agreements. Finally, it must be inclusive of members advocating on behalf of youth, older adults, individuals with



disabilities, individuals with limited English proficiency and others with access and functional needs, socio-economic factors and cultural diversity.

The SAA POC must ensure that appropriate representation for the defined Urban Area is included per this guidance. DHS/FEMA strongly encourages that, wherever possible, previously established local working groups should be leveraged for this purpose to ensure that UASI funded resources are managed in the most efficient and effective manner possible. The UAWG should support state efforts to develop the SPR, particularly as it relates to UASI funded activities. UASI recipients can complete an SPR on a voluntary basis and should coordinate with the respective state(s). Completing an SPR helps to identify capability gaps and to prioritize investments required to reach the THIRA targets, resulting in a stronger investment justification.

- **Governance.** The jurisdictions identified in [Appendix A – FY 2017 Program Allocations](#) represent the candidate Urban Areas eligible to apply for funding. The UAWG will be responsible for coordinating the development and implementation of all program initiatives. States and Urban Areas must consider including counties within which the cities reside, contiguous jurisdictions, MSAs, operational areas, and mutual aid partners, as appropriate, in the governance process.

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

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

- **Develop Urban Area THIRA.** As a result of the improved governance process and the rationale for maintaining and sustaining existing capabilities and the development of new capabilities, members of the UAWG should be involved in the development of an Urban Area THIRA coordinated with the state THIRA and SPR, and subsequent updates. UAWGs must ensure that applications for funding under the UASI Program align with the capability gaps identified in the Urban Area THIRA.
- **Allocation of Funds.** The use and allocation of all grant funds available through the UASI program must focus on the investments identified in the Urban Area's IJ and investments in building capabilities should focus on resource requirements identified in the THIRA to the extent practicable. The use of funds must also be consistent with overall UASI program guidelines, the National Preparedness System, and must develop

or sustain one or more core capabilities in the Goal. Funds used to support whole community and individual preparedness related efforts, such as engaging non-governmental organizations demonstrating the integration of children, individuals with disabilities or access and functional needs, limited English proficiency, and individuals from underserved socio-economic populations in all phases of emergency management, participation of disaster volunteers, such as Community Emergency Response Teams (CERTs) in training, exercises and response and recovery operations, and educating the public should be coordinated with local CERT programs and/or Citizen Corps Whole Community Councils.

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

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

## **Supplemental SHSP and UASI Guidance**

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

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

EMS; Department of Justice grants; the Department of Defense 1033 Program; and NPPD/Office of Infrastructure Protection's Regional Resilience Assessment Program (RRAP). However, coordination is not limited to grant funding. It also includes leveraging assessments such as TSA's Baseline Assessment and Security Enhancement (BASE); reporting from the Intelligence Community, risk information such as U.S. Coast Guard's Maritime Security Risk Analysis Model (MSRAM), and USBP Sector Analysis.

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

Federal agencies participating in the Emergency Preparedness Grant Coordination process are working to identify current preparedness activities and areas for collaboration across federal grants with public health and healthcare preparedness components. The participating federal agencies include:

- Department of Health and Human Services (HHS) Assistant Secretary for Preparedness and Response (ASPR)
- Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA)
- HHS Centers for Disease Control and Prevention (CDC)
- HHS Health Resources and Services Administration (HRSA)
- Department of Transportation (DOT) National Highway Traffic Safety Administration (NHTSA)

Federal agencies are actively coordinating guidance and technical assistance and encourage all recipients to actively coordinate preparedness activities for their jurisdictions. More information on the Emergency Preparedness Grant Coordination process can be found at <http://www.fema.gov/media-library/assets/documents/114411>.

### ***Ensuring the Protection of Civil Rights***

As the Nation works towards achieving the Goal it is important to continue to protect the civil rights of individuals. Recipients must carry out their programs and activities, including those related to the building, sustainment, and delivery of core capabilities, in a manner that respects and ensures the protection of civil rights for protected populations. These populations include, but are not limited to individuals with disabilities and others with access and functional needs, individuals with limited English proficiency, and other diverse racial and ethnic populations in accordance with Section 504 of the Rehabilitation Act of 1973, Title VI of the Civil Rights Act of 1964, and related statutes. The DHS Standard Terms and Conditions includes the civil rights provisions that apply to recipients. These terms and conditions can be found at [DHS Standard Terms and Conditions](#). Additional information on civil rights provisions is available at: <http://www.fema.gov/office-equal-rights>.

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

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

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

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

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

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

### ***Improving Cybersecurity***

When requesting funds for cybersecurity, applicants are encouraged to propose projects that would aid in implementation of all or part of the Framework for Improving Critical Infrastructure Cybersecurity (“The Framework”) developed by the National Institute of Standards and Technology (NIST). The Framework gathers existing international standards and practices to help organizations understand, communicate, and manage their cyber risks. For organizations that do not know where to start with developing a cybersecurity program, the Framework provides initial guidance. For organizations with more advanced practices, the Framework offers a way to improve their programs, such as better communication with their leadership and suppliers about management of cyber risks.

The Department of Homeland Security's Critical Infrastructure Cyber Community C<sup>3</sup> Voluntary Program also provides resources to critical infrastructure owners and operators to assist in adoption of the Framework and managing cyber risks. Additional information on the Critical Infrastructure Cyber Community C<sup>3</sup> Voluntary Program can be found at [www.dhs.gov/ccubedvp](http://www.dhs.gov/ccubedvp).

The Department of Homeland Security's Enhanced Cybersecurity Services (ECS) program is an example of a resource that assists in protecting U.S.-based public and private entities and combines key elements of capabilities under the “Detect” and “Protect” functions to deliver an impactful solution relative to the outcomes of the Cybersecurity Framework. Specifically, ECS offers intrusion prevention and analysis services that help U.S.-based companies and state, local, tribal, and territorial governments defend their computer systems against unauthorized access, exploitation, and data exfiltration. ECS works by sourcing timely, actionable cyber threat indicators from sensitive and classified Government Furnished Information (GFI). DHS then shares those indicators with accredited Commercial Service Providers (CSPs). Those CSPs in turn use the indicators to block certain types of malicious traffic from entering a company's networks. Groups interested in subscribing to ECS must contract directly with a CSP in order to receive services. Please visit <http://www.dhs.gov/enhanced-cybersecurity-services> for a current list of ECS CSP points of contact.

### ***Mass Casualty Incident Preparedness and Individual Preparedness***

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

Mass casualty preparedness must be conducted in collaboration with state/city/local health departments that administer federal funds from HHS to enhance the integration of local emergency management, public health, emergency medical services, and health care systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident or a response to catastrophic events and acts of terrorism. The Federal Interagency Committee on Emergency Medical Services (FICEMS) has recommended that State and local EMS systems improve their mass casualty incident triage capabilities through adoption of triage protocols and systems that are based on the Model Uniform Core Criteria. Recipients must also demonstrate how their investments will increase the effectiveness of emergency preparedness planning and response for the whole community by integrating and coordinating activities including under-represented diverse populations that may be more impacted by disasters including children, seniors, individuals with disabilities or access and functional needs, individuals with diverse culture and language use, individuals with lower economic capacity and other underserved populations. Further, recipients are strongly encouraged to collaborate with local, regional, and state public health and health care partners, including Medical Reserve Corps Units Community Emergency Response Teams (CERTs) Citizen Corps Whole Community Councils, as well as leverage other federal programs, such as the HHS ASPR Hospital Preparedness Program and Emergency Systems for Advance Registration of Volunteer Health Professionals, CDC Cities Readiness Initiative, PHEP, and Strategic National Stockpile Programs.

### ***Whole Community Preparedness***

SHSP and UASI recipients should engage with the whole community to advance community and individual preparedness and to work as a nation to build and sustain resilience. Recipients should have a coordinating body to serve as their Citizen Corps or Whole Community Council, with membership that may include, but is not limited to: representatives from emergency management, homeland security, law enforcement, fire service, EMS, public health or their designee, elected officials, the private sector (especially privately owned critical infrastructure), private nonprofits, nongovernmental organizations (including faith-based, community-based, and voluntary organizations), advocacy groups for under-represented diverse populations that may be more impacted by disasters including children, seniors, individuals with disabilities or access and functional needs, individuals with diverse culture and language use, individuals with lower economic capacity and other underserved populations. Recipients must also integrate program design and delivery practices that ensure representation and services for under-represented diverse populations that may be more impacted by disasters including children, seniors, individuals with disabilities or access and functional needs, individuals with diverse culture and language use, individuals with lower economic capacity and other underserved populations.

Individual preparedness must be coordinated by an integrated body of government and nongovernmental representatives. Recipients must have a coordinating body to serve as their Citizen Corps Whole Community Council, with membership that includes, but is not limited to: representatives from emergency management, homeland security, law enforcement, fire service, EMS, public health or their designee, elected officials, the private sector (especially privately owned critical infrastructure), private nonprofits, nongovernmental organizations (including faith-based, community-based, and voluntary organizations), advocacy groups for under-represented diverse populations that may be more impacted by disasters including children, seniors, individuals with disabilities or access and functional needs, individuals with diverse culture and language use, individuals with lower economic capacity and other underserved populations.

In addition to the Citizen Corps Whole Community Councils and CERT programs, the following preparedness programs are allowable expenses:

- **Prepareathon:** FEMA’s Individual and Community Preparedness Division (ICPD) launched Prepareathon (formerly America’s PrepareAthon!) in 2013, with the goal of empowering individuals and communities to take action to improve their preparedness and resilience. The purpose of Prepareathon is to motivate people and communities to take action to prepare for and protect themselves against disasters. Supported by FEMA, communities conduct Prepareathon events year-round with a focus on encouraging participants to take specific actions to protect themselves from the disasters most likely to affect them and their community. Prepareathon events are unique to each community and may be aligned to a particular theme in the Ready Campaign’s National Seasonal Preparedness Messaging Calendar ([www.ready.gov/prepare](http://www.ready.gov/prepare)). Prepareathon is a critical part of FEMA’s overarching mission to support citizens and first responders to ensure that as a Nation we work together to build, sustain and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards.
- **Youth Preparedness Resources** to support practitioners as they create and run programs in their communities are available at [www.ready.gov/youth-preparedness](http://www.ready.gov/youth-preparedness). One of these resources, the Youth Preparedness Catalog, identifies over 200 existing programs, curricula, and resources that may be of interest to those seeking an introduction to, or learning more about, youth preparedness programs. The Catalog describes national, regional, and state-level programs. The Catalog can be found at <http://www.fema.gov/media-library/assets/documents/94775>.

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

With funds provided through FY 2017 HSGP, states have the opportunity to encourage their local jurisdictions to pursue assessment and accreditation under the Emergency Management Accreditation Program (EMAP).

EMAP’s assessment and accreditation of emergency management organizations against consensus-based, American National Standards Institute (ANSI)-certified standards allows for standardized benchmarking of critical functions necessary for an emergency management

organization to meet the core capabilities identified in the Goal. Additional information on the EMAP Standard is available at <http://www.emaponline.org>.

### **Supplemental OPSG Guidance**

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

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

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

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

- **Federal, State, Local, Tribal, and Territorial OPSG Integrated Planning Team (IPT).** It is required that Federal, state, local, tribal, and territorial partners establish and maintain a formalized OPSG IPT with representation from all participating law enforcement agencies, co-chaired by representatives from USBP, the SAA, and participating law enforcement agencies' OPSG program representatives.
- **No less than two IPT meetings must take place during every funding year:**
  - Prior to submitting the Concept of Operations (application)
  - Prior to submitting the Campaign Plan

### ***Coordination Requirements***

All operational plans should be crafted in cooperation and coordination among Federal, state, local, tribal, and territorial partners. Consideration will be given to applications that are coordinated across multiple jurisdictions. All applicants must coordinate with the USBP Sector

Headquarters with geographic responsibility for the applicant's location in developing and submitting an Operations Order with an embedded budget to the SAA.

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

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

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

Management and administration (M&A) activities are those directly relating to the management and administration of OPSG funds, such as financial management and monitoring. Sub-recipients and friendly forces may retain funding for M&A purposes; however, the total amount retained by both the sub-recipient and friendly forces cannot exceed 5% of the subrecipient award.

Friendly forces are local law enforcement entities that are second tier sub-recipients under OPSG. In other words, friendly forces are entities that receive a subaward from a subrecipient under the OPSG program. Friendly Forces must comply with all requirements of sub-recipients under 2 C.F.R. Part 200.

#### **Other Requirements**

***National Information Exchange Model (NIEM).*** DHS/FEMA requires all grant recipients to use the latest NIEM specifications and guidelines when using HSGP funds to develop, procure, or implement homeland security information exchanges, including systems and databases. This includes, but is not limited to the use of Extensible Markup Language (XML) and Java Script Object Notation (JSON). Further information about NIEM specifications and guidelines is available at <http://www.niem.gov>.

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



## **Appendix C – FY 2017 HSGP Funding Guidelines**

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

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

Allowable investments made in support of the HSGP priorities as well as other capability-enhancing projects must have a nexus to terrorism preparedness and fall into the categories of planning, organization, exercises, training, or equipment aligned to a capability gap in the SPR. Recipients are encouraged to use grant funds for evaluating grant-funded project effectiveness and return on investment aligned to the relevant POETE element, and FEMA encourages recipients to provide the results of that analysis to FEMA.

### **Continuity of Operations**

Continuity planning and operations are an inherent element of each core capability and the coordinating structures that provide them. Continuity operations increase resilience and the probability that organizations can perform essential functions in the delivery of core capabilities that support the mission areas. FEMA is responsible for coordinating the implementation and development, execution, and assessment of continuity capabilities among executive departments and agencies. To support this role, FEMA develops and promulgates Federal Continuity Directives (FCDs) to establish continuity program and planning requirements for executive departments and agencies and Continuity Guidance Circulars (CGCs) for state, local, tribal, and territorial governments, non-governmental organizations, and private sector critical infrastructure owners and operators. This direction and guidance assists in developing capabilities for continuing the essential functions of federal and state, local, tribal, territorial governmental entities as well as the public/private critical infrastructure owners, operators, and regulators enabling them.

Presidential Policy Directive 40, FCD 1, FCD 2, CGC 1, and CGC 2 outline the overarching continuity requirements and guidance for organizations and provides guidance, methodology, and checklists. For additional information on continuity programs, guidance, and directives, visit <http://www.fema.gov/guidance-directives> and <https://www.fema.gov/national-continuity-programs>.

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

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

## Organization (SHSP and UASI)

Organizational activities include:

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

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

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

Organizational activities under SHSP and UASI include:

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

- Previously served as an intelligence analyst for a minimum of two years either in a Federal intelligence agency, the military, or state and/or local law enforcement intelligence unit.

All fusion center analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*, which outlines the minimum categories of training needed for intelligence analysts. A certificate of completion of such training must be on file with the SAA and must be made available to the recipient's respective FEMA HQ Program Analyst upon request.

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

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

[Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding.](#)

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

### **Organization (OPSG)**

- **Operational Overtime Costs.** OPSG funds should be used for operational overtime costs associated with law enforcement activities, in support of border law enforcement agencies for increased border security enhancement. At the request of a recipient, the FEMA Administrator may waive the 50 percent (50%) personnel cap. Waiver decisions are at the discretion of the FEMA Administrator and will be considered on a case-by-case basis. A formal OPSG personnel waiver request should:
  - Be requested on official letterhead, include a written justification, and be signed by the local jurisdiction;
  - Include a budget and method of calculation of personnel costs both in percentage of the grant award and in total dollar amount;
  - Include an approved Operations Order from the USBP Sector office which supports the local jurisdiction's written justification; and
  - Be coordinated with the USBP Sector, SAA, and the DHS/CBP Office of the Border Patrol (OBP).
  
- **Personnel**
  - OPSG funds may be used to pay additional current part time law enforcement personnel salaries in order to bring them to temporary full time status.
  - OPSG funds may support a Governor's request 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.
  - Costs associated with backfill for personnel supporting operational activities are allowable.
  - As with all OPSG personnel costs, OPSG grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or recipients may be required to supply documentation certifying that a reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.
  - Temporary or Term Appointments
    - o Sub-recipients may utilize temporary or term appointments for the purpose of augmenting the law enforcement presence on the borders. However, applying

funds toward hiring full-time or permanent sworn public safety officers is unallowable.

- For OPSG purposes, temporary appointments are non-status appointments for less than one year.
  - For OPSG purposes, term appointments are non-status appointments for one year, extendable for one year as necessary.
  - OPSG-funded temporary or term appointments may not exceed the approved period of performance.
  - OPSG funding for temporary or term appointments may pay for salary only. Benefits are not allowable expenses for term or temporary employees.
  - OPSG remains a non-hiring program. Appropriate uses of temporary or term appointments include:
    - To carry out specific enforcement operations work for ongoing OPSG funded patrols throughout the Sector Area of Operation;
    - To staff operations of limited duration; such as OPSG enhanced enforcement patrols targeting specific locations or criminal activity; and,
    - To fill OPSG positions in activities undergoing transition or personnel shortages and local backfill policies (medical/military deployments)
    - OPSG term and temporary appointments must have all necessary certifications and training to enforce state and local laws. OPSG funds will not be used to train or certify term or temporary appointments except as otherwise stated in the OPSG section of this NOFO.
    - DHS provides no guarantee of funding for temporary or term appointments. In addition to the terms of this NOFO, sub-recipients must follow their own applicable policies and procedures regarding temporary or term appointments.
- **Travel, Per Diem, and Lodging.** OPSG funds may be used for domestic travel and per diem, including 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, allowable costs include supporting up to six month deployment of law enforcement personnel to critical Southwest Border locations for operational activities (travel costs must be in accordance with applicable travel regulations).

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

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

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

EMS electronic patient care data systems should comply with the most current data standard of the National Emergency Medical Services Information System ([www.NEMESIS.org](http://www.NEMESIS.org)).

### **Equipment (OPSG)**

- **Equipment Marking.** Because equipment purchased with OPSG funding is intended to be used to support Operation Stonegarden activities, it must be appropriately marked to ensure its ready identification and primary use for that purpose. When practicable, any equipment purchased with OPSG funding shall be prominently marked as follows:

*"Purchased with DHS funds for Operation Stonegarden Use"*

- **Fuel Cost and/or Mileage Reimbursement.** There is no cap for reimbursement of fuel and mileage costs in support of operational activities.
- **Vehicle and Equipment Rentals.** Allowable purchases under OPSG include patrol cars and other mission-specific vehicles whose primary use is to increase operational activities/patrols on or near a border nexus in support of approved border security operations. A detailed justification must be submitted to the respective FEMA HQ Program Analyst prior to purchase.

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

Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP and UASI programs and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS and DOT). Training conducted using HSGP funds should address a performance gap identified through a TEP or other assessments (e.g., National Emergency Communications Plan NECP Goal Assessments) and contribute to building a capability that will be evaluated through a formal exercise. Any training or training gaps, including training related to under-represented diverse populations that may be more impacted by disasters, including children, seniors, individuals with disabilities or access and functional needs, individuals with diverse culture and language use, individuals with lower economic capacity and other underserved populations, should be

identified in a TEP and addressed in the state or Urban Area training cycle. Recipients are encouraged to use existing training rather than developing new courses. When developing new courses, recipients are encouraged to apply the Analysis, Design, Development, Implementation and Evaluation model of instructional design. Recipients are also encouraged to utilize the FEMA training courses offered through the Emergency Management Institute, the Center for Domestic Preparedness, the National Domestic Preparedness Consortium, and other partners. The FEMA training course catalog is found by accessing the following link: [www.firstrespondertraining.gov](http://www.firstrespondertraining.gov).

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

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

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

The use of DHS/FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable, as described in FEMA Policy [FP 205-402-125-1](#) under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to the original purchase of the equipment, the period covered by maintenance or warranty plan must not exceed the PoP of the specific grant funds used to purchase the plan or warranty.

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

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

Activities eligible for use of LETPA focused funds include but are not limited to:

- Maturation and enhancement of designated state and major Urban Area fusion centers, including information sharing and analysis, threat recognition, terrorist interdiction, and training/ hiring of intelligence analysts;
- Coordination between fusion centers and other analytical and investigative efforts including, but not limited to Joint Terrorism Task Forces (JTTFs), Field Intelligence Groups (FIGs), High Intensity Drug Trafficking Areas (HIDTAs), Regional Information Sharing Systems (RISS) Centers, criminal intelligence units, and real-time crime analysis centers;

- Implementation and maintenance of the Nationwide SAR Initiative, including training for front line personnel on identifying and reporting suspicious activities;
- Implementation of the “If You See Something, Say Something™” campaign to raise public awareness of indicators of terrorism and terrorism-related crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations. Note: DHS requires that the Office of Public Affairs (OPA) be given the opportunity to review and approve any public awareness materials (e.g., videos, posters, tri-folds, etc.) developed using HSGP grant funds for the “If You See Something, Say Something™” campaign to ensure these materials are consistent with the Department’s messaging and strategy for the campaign and the initiative’s trademark. This coordination with OPA should be facilitated by the FEMA HQ Program Analyst;
- Increase physical security, through law enforcement personnel and other protective measures, by implementing preventive and protective measures at critical infrastructure site or at-risk nonprofit organizations; and
- Building and sustaining preventive radiological and nuclear detection capabilities, including those developed through the Securing the Cities initiative.

#### **Law Enforcement Readiness (OPSG)**

OPSG grant funds may be used to increase operational, material, and technological readiness of state, local, tribal, and territorial law enforcement agencies. The Delegation of Immigration Authority, Section 287(g) of the Immigration and Nationality Act (INA) program allows a state or local law enforcement entity to enter into a partnership with Immigration and Customs Enforcement (ICE), under a joint Memorandum of Agreement (MOA), in order to receive delegated authority for immigration enforcement within their jurisdictions. OPSG grant funds may be requested and may be approved on a case by case basis for immigration enforcement training in support of the border security mission. Requests for training will be evaluated on a case by case basis and can only be used for certification in the 287 (g) program provided by DHS/ICE. OPSG sub-recipients with agreements under Section 287(g) of the INA (8 U.S.C. 1357(g)) to receive delegated authority for immigration enforcement within their jurisdictions may also be reimbursed for 287(g) related operational activities with approval from FEMA on a case by case basis. For OPSG, sub-recipients must be authorized by USBP Headquarters and Sectors and operational activities must be coordinated through a USBP Sector.

#### **Federally-Led Task Forces and Investigations (SHSP and UASI)**

In addition, reimbursement for operational overtime law enforcement activities related to combating transnational crime organizations in support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism is an allowable expense under SHSP and UASI on a case by case basis. Allowable costs are limited to overtime associated with federally requested participation in federally-led task forces and investigations, 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. SHSP and UASI operational overtime for combating transnational crime organizations require prior approval in writing by the FEMA Administrator per the instructions in IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding).



### **Regional Border Projects (OPSG)**

Recipients are encouraged to prioritize the acquisition and development of regional projects on the borders to maximize interoperability and coordination capabilities among federal agencies and with state, local, and tribal law enforcement partners.

Such regional projects include:

- Communications equipment:
  - Radio systems and repeaters
- Situational Awareness equipment:
  - License Plate Reader Networks
  - Visual detection and surveillance systems
  - Sensor Systems
  - Radar Systems (for air incursions)

### **Controlled Equipment (SHSP, UASI, and OPSG)**

Grant funds may be used for the purchase of Controlled Equipment, however, because of the nature of the equipment the potential impact on the community, there are additional and specific requirements in order to acquire this equipment. Refer to [IB 407a: Use of Grant Funds for Controlled Equipment: Update for Fiscal Year 2017](#), for the complete Controlled Equipment List and specific requirements for acquiring controlled equipment with DHS/FEMA grant funds. FEMA Form 087-0-0-1: Controlled Equipment Request is available for download at <https://www.fema.gov/media-library/assets/documents/115708>.

### **Requirements for Small Unmanned Aircraft System (SHSP, UASI, and OPSG)**

All requests to purchase Small Unmanned Aircraft System (SUAS) with FEMA grant funding must also include a description of the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment.

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

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

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

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

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

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

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

Recipients using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. § 3141 *et seq.*). Recipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the *Davis-Bacon Act*, including Department of Labor (DOL) wage determinations, is available from the following website <https://www.dol.gov/whd/govcontracts/dbra.htm>.

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

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

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

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

For further details, SAs should refer to [FP 207-093-1, Clarification on the Personnel Reimbursement for Intelligence Cooperation and Enhancement of Homeland Security Act of 2008 \(Public Law 110-412 – the PRICE Act\)](#) , or contact their FEMA HQ Program Analyst.

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

The following are definitions as it relates to personnel costs:

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

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

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

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

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

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

SHSP funds may also be used to support the Department’s additional efforts to enhance secure identification, including driver’s license and identification security enhancements. Activities that facilitate secure identification, including IT enhancements for identification management and

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

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

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

#### **Unallowable Costs (OPSG)**

OPSG unallowable costs include costs associated with staffing and general IT computing equipment and hardware, such as personal computers, faxes, copy machines, modems, etc. OPSG is not intended as a hiring program. Therefore, applying funds toward hiring full-time or permanent sworn public safety officers is unallowable. OPSG funding shall not be used to supplant inherent routine patrols and law enforcement operations or activities not directly related to providing enhanced coordination between local and federal law enforcement agencies. Finally, construction and/or renovation costs are prohibited under OPSG. Applicants should refer to FP 207-093-1 at <https://www.fema.gov/media-library/assets/documents/85384>, or contact their FEMA HQ Program Analyst at (800) 368-6498 for guidance and clarification.

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

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

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

#### **Prohibited Equipment (SHSP, UASI and OPSG)**

Grant funds may not be used for the purchase of Prohibited Equipment. Refer to [IB 407a: Use of Grant Funds for Controlled Equipment: Update for Fiscal Year 2017](#).

### **Additional Planning Assistance**

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

TA deliveries combine current emergency management best practices with practical consideration of emerging trends, through discussion facilitated by DHS/FEMA contract specialists and with the support of FEMA Region operational specialists. Additionally, peer-to-peer representation may also be included from other jurisdictions that have recently addressed the same planning issue.

The TA request form can be accessed at <http://www.fema.gov/national-incident-management-system/fema-technical-assistance-division>.

### **Additional Training Information**

Per DHS/FEMA Grant Programs Directorate Policy [FP 207-008-064-1](#), Review and Approval Requirements for Training Courses Funded Through Preparedness Grants, issued on September 9, 2013, states, territories, tribal entities and urban areas are no longer required to request approval from FEMA for personnel to attend non-DHS FEMA training as long as the training is coordinated with and approved by the state, territory, tribal or Urban Area Training Point of Contact (TPOC) and falls within the FEMA mission scope and the jurisdiction's Emergency Operations Plan (EOP). The only exception to this policy is for Countering Violent Extremism courses, which must be approved in advance by the DHS Office for Civil Rights and Civil Liberties. For additional information on review and approval requirements for training courses funded with preparedness grants please refer to the following policy: <http://www.fema.gov/media-library/assets/documents/34856>.

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

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

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

Training Grants, the National Domestic Preparedness Consortium (NDPC) and the Rural Domestic Preparedness Consortium (RDPC).

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

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

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

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

*Training Information Reporting System (“Web-Forms”).* Web-Forms are an electronic form/data management system built to assist the SAA and its designated state, territory and Tribal Training Point of Contact (TPOC). Reporting training activities through Web-Forms is not required under FY 2017 HSGP; however, the system remains available and can be accessed through the DHS/FEMA Toolkit located at <http://www.firstrespondertraining.gov/admin> in order to support recipients in their own tracking of training.

### **Additional Exercise Information**

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

- *Validating Capabilities.* Exercises examine and validate capabilities-based planning across the Prevention, Protection, Mitigation, Response, and Recovery mission areas. The extensive engagement of the whole community, including but not limited to

examining the needs and requirements for individuals with disabilities, individuals with limited English proficiency and others with access and functional needs, is essential to the development of an effective and comprehensive exercise program. Exercises are designed to be progressive – increasing in scope and complexity and drawing upon results and outcomes from prior exercises and real-world events – to challenge participating communities. Consistent with Homeland Security Exercise and Evaluation Program guidance and tools, the National Exercise Program (NEP) serves as the principal exercise mechanism for examining national preparedness and measuring readiness. Exercises should align with priorities and capabilities identified in a multi-year TEP.

- *Special Event Planning.* If a state or Urban Area will be hosting a special event (e.g., Super Bowl, G-8 Summit), the special event planning should be considered as a training or exercise activity for the purpose of the multi-year TEP. States must include all confirmed or planned special events in the Multi-year TEP. The state or Urban Area may plan to use SHSP or UASI funding to finance training and exercise activities in preparation for those events. States and Urban Areas should also consider exercises at major venues (e.g., arenas, convention centers) that focus on evacuations, communications, and command and control.
- *Regional Exercises.* States should also anticipate participating in at least one regional exercise annually.
- *Role of Non-Governmental Entities in Exercises.* Non-governmental participation in all levels of exercises is strongly encouraged. Leaders from non-governmental entities should be included in the planning, design, and evaluation of an exercise. State, local, tribal, and territorial jurisdictions are encouraged to develop exercises that test the integration and use of resources provided by non-governmental entities, defined as the private sector and private non-profit, faith-based, and community organizations. Participation in exercises should be coordinated with local Citizen Corps Whole Community Council(s) or their equivalents and other partner agencies.

### **Unauthorized Exercise Costs**

Unauthorized exercise-related costs include:

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

## **Appendix D – FY 2017 OPSG Operations Order Template and Instructions**

### **Operations Order Template Instructions**

The OPSG Operations Order Template can be found by selecting the link for the FY 2017 HSGP NOFO on FEMA’s preparedness grants page (<https://www.fema.gov/preparedness-non-disaster-grants>).

### **Executive Summary Overview**

Operations Order Executive Summary must:

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

### **Budget Requirements Overview**

Operations Order Detailed Annual Budget must:

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

### **Submission Requirements**

Operations Orders must meet the following submission requirements:

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

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



## Appendix E – FY 2017 OPSG Operational Guidance

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

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

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

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

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

The overarching operational cycle involves three stages: 1) application, 2) concept of operations to formulate a Campaign Plan, and 3) one or more tactical operational periods, which are all developed by the IPT. All operations orders: Concept of Operations (CONOPS), Operation Orders (OO) or Campaign Plans and Fragmentary Orders (FRAGOs) except for the initial application package shall be submitted through the CBP Stonegarden Data Management System in MAX.gov.

**Application:** Please refer to [Section D – Application and Submission Information-Instructions for OPSG](#).

**Campaign Plan:** After awards are announced participants will create and submit an operations order that forms a campaign plan and captures the initial, generalized-budgetary intent to their

IPT. The campaign plan should articulate the participant agency's long-term border security objectives and goals designed to mitigate border-security risk.

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

The operations plan also will articulate the budgetary intent of how funds are to be used throughout the performance period. The operations plan will project planned expenditures in the following categories: overtime, equipment, travel, maintenance, fuel, and administrative funds. The sub-recipient can initiate the procurement of equipment, as well as state how much the county intends to use for M&A while keeping funds for overtime or residual equipment funds available for use as needed. If the sub-recipient intends to spend more than 50% of its award on overtime over the course of the performance period, a PRICE Act waiver request must be submitted in accordance with [IB 379: Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding](#). The operations plan will meet both the SAA expectations to obligate the funds within 45 days of the award announcement and the demands of the grant's operational intent. **Sector approved campaign plans must be submitted to USBP Headquarters no later than 4 months after the official awards announcement has been made.**

**Tactical Operational Periods:** Once the sub-recipient is ready to conduct operations, the area IPT will begin planning tactical operations. The operation order tracking number for each operational plan will be assigned by CBP/USBP. The operation order number will remain intact for the duration of the grant's PoP.

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

## II. Tactical Operational Period

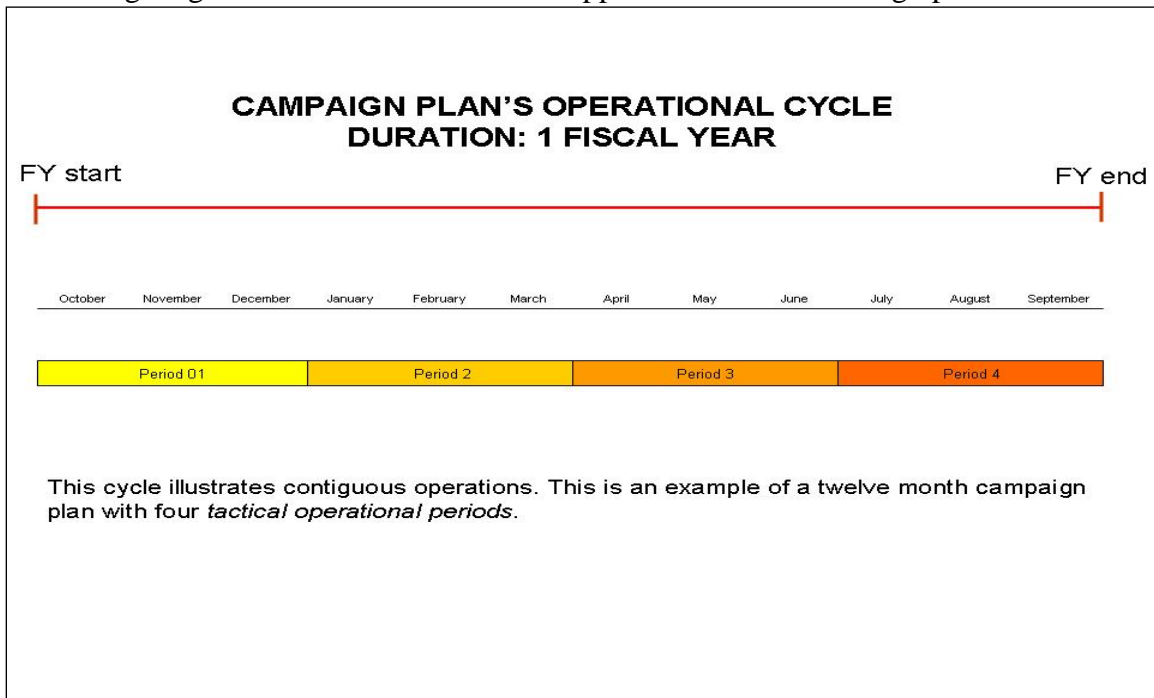
Operational discipline is necessary for the success of OPSG. Deliberate, adaptive, integrated, and intelligence-driven planning is critical to conducting targeted enforcement operations consistent with the objectives of the OPSG. By participating in the OPSG, the state, local, tribal, and territorial agencies agree to conduct operations designed to reduce border-security risk. Tactical operations will be conducted on a periodic basis meeting the criteria outlined below. Tactical operational periods are composed of six critical elements: 1) a pre-planning meeting with the IPT; 2) specified beginning and ending dates; 3) the integration of intelligence and border security; 4) use of targeted enforcement techniques; 5) clearly stated objectives; and 6) an after-action meeting. A campaign should involve several tactical operational periods. These periods require deliberate on-going planning to ensure command, staff, and unit activities synchronize to current and future operations. The cyclical nature of the process will ensure OPSG activities align with the fluctuating border-security threats and vulnerabilities. Planners

should recognize that shorter, frequent tactical operational periods increase the flexibility and leverage gained through OPSG funding.

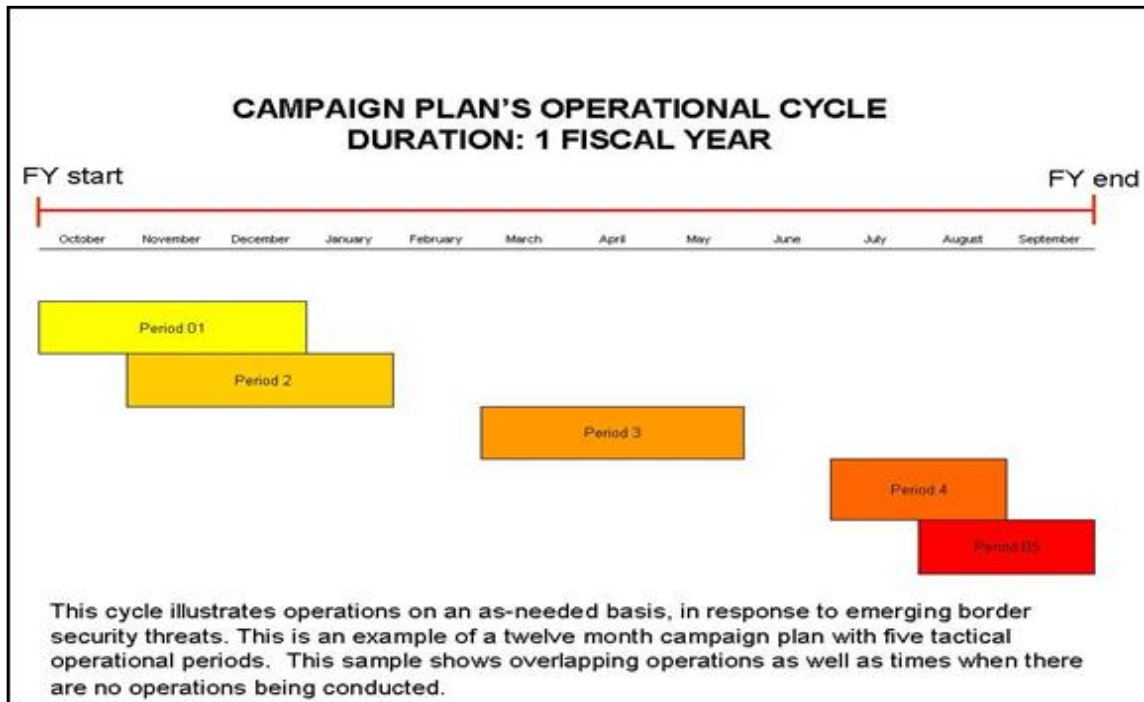
The IPT should leverage information provided by the fusion center, Border Intelligence Centers or other local intelligence center, when possible, and establish a common operational vision. The USBP sector's Chief Patrol Agent, or his/her designee, will ensure that the information or intelligence has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

The frequency and duration of each tactical operational period should be predicated by local risk factors. The tactical periods may be broken-down into three, six or twelve month increments. The tactical operational period may combine to develop an operational cycle that is synchronous or asynchronous, connected, or unconnected, depending on security conditions and the IPT's intent. Each tactical operational period will begin on a predetermined date and end on a predetermined date, but the dates may be subject to change commensurate with emerging security conditions. The starting date of the operational period should be established to allow sufficient time for the order to be submitted and approved by the corresponding USBP Sector and in concurrence with its SAA and USBP Headquarters. The USBP Sectors will upload copies of tactical period operations in the corresponding campaign plan folder in the CBP Stonegarden Data Management System in MAX.gov.

The following diagrams illustrate two different approaches for conducting operations:<sup>4</sup>



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



**Figure 2: Example of a Dynamic, Unsynchronized Operational Cycle**

<sup>4</sup> These illustrations reflect a twelve month campaign plan. A campaign plan should be written to encompass the performance period. Performance periods vary from state to state, please contact the State Administrative Agency for clarification.

### III. Reporting Procedures

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

The Daily Activity Report, which can be found by selecting the link for the FY 2017 HSGP NOFO on FEMA's preparedness grants page (<https://www.fema.gov/preparedness-non-disaster-grants>), is to be used to submit the ongoing results and outputs from OPSG operations conducted. The information and statistics included in the DAR will be delineated by agency (friendly forces). The Daily Activity Report must be submitted to the USBP sector, or the participating agency's OPSG coordinator within 48-hours of the conclusion of each OPSG shift. Sub-recipients and Sectors are responsible to ensure that DARs are submitted in the proper format and in a timely manner. DARs will be submitted using the CBP Stonegarden Data Management System in [www.MAX.gov](http://www.MAX.gov). Friendly Forces receiving funding through a sub-recipient will submit DARs within 48 hours. Border Patrol Sectors and OPSG subrecipients will implement internal protocols to ensure operational data from sub-recipients and friendly force DARs are properly collected following the established guidelines. USBP Sector Coordinators will compile the results from each Daily Activity Report at the end of the month and reconcile with the OPSG sub-recipients by the 10<sup>th</sup> day of the following month. The USBP sector will compile the reconciled results from the participating agencies and submit the results to USBP Headquarters by the 15<sup>th</sup> of each following month.

In addition to the ongoing reporting of outputs, sub-recipient participants will be required to submit After Action Reports to USBP sectors within 10 days of closing the operational PoP for that funding year. 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. All AARs and other OPSG reporting requirements will be submitted through the CBP Stonegarden Data Management System in [www.MAX.gov](http://www.MAX.gov). Sectors are responsible for submitting AARs into Border Patrol Enforcement Tracking System (BPETS) as applicable.

### IV. Operational roles and responsibilities

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

The USBP 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, tribal, and territorial agencies in the sector’s area of operation during the open period of the OPSG application process by:
  - Assisting applicants in completing the operations planning portion of the application, which is similar to the Operations Order used by the Border Patrol<sup>5</sup>
  - Forwarding the approved operation portion of the application to CBP/USBP Headquarters, as well as to the SAA to complete the application process set by DHS/FEMA/GPD
  - Detailing what operational support the USBP Sector anticipates for specific periods and matching the capabilities of partners to fill those gaps; and
- Following the announcement of grant awards, coordinate and chair a meeting with state, local, tribal, and territorial agencies that received OPSG awards to develop an individualized campaign plan. This includes:
  - Working with state, local, tribal, and territorial agencies, along with other federal law enforcement agencies to determine the dates, focus, and needs of each tactical operational period, ensuring that each operation has a nexus to border security;
  - Receiving the first periodic operations order from the state, local, tribal, and territorial 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;
  - 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;
  - Providing verification that operations are actually conducted;
  - Documenting and conducting random, on-site operational verification of OPSG patrols by sub-recipients and friendly forces;
  - Verifying that sub-recipients are performing OPSG enforcement duties in accordance with applicable grant, statute, regulatory guidance, and instructions; and
  - Ensuring that grant funds are appropriately expended to meet sector border enforcement operational requirements and assist in enhancing sub-recipient/friendly force capabilities in order to provide for enhanced enforcement presence, operational integration, and intelligence sharing in border communities.

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<sup>5</sup> This will not be entered into the Border Patrol Enforcement Tracking System (BPETS).

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

- Coordinate with the SAA on all grant management matters, including but not limited to the development and review of operations orders, expenditure of funds, allowable costs, reporting requirements;
- Participate as a member of the Integrated Planning Team to facilitate the application process during the open period and ensure the application is submitted in compliance with the grant instructions;
- Upon receiving a grant award, coordinate and meet as a member of the Integrated Planning team to develop an individualized campaign plan that covers the length of the grant performance period;
- Work within the Integrated Planning team to develop an initial Operational Cycle and determine the duration of the first operational period based on the tactical needs specific to the area;
- Submit all operations orders to the SAA for review, and submit the first periodic operations order to the Border Patrol and ensure the operation meets the six criteria established in Section II;
- Conduct operations, on an as-needed basis throughout the length of the grant performance period;
- Integrate law enforcement partners from contiguous counties and towns into their tactical operations to expand the layer of security beyond existing areas;
- Ensure all required reports, including reports from friendly forces, are submitted to the Border Patrol and the SAA, when applicable, in the proper format and within established timeframes;
- Ensure applicable Operation Stonegarden derived data is shared with the designated fusion center in the state and/or Urban Area.
- Request instruction and information from the SAA, when applicable, and/or Border Patrol and other federal law enforcement agencies regarding techniques, methods, and trends used by transnational criminal organizations in the area; and
- Provide the SAA and Border Patrol a single point of contact that maintains subject-matter expertise in OPSG who can coordinate, collect, and report operational activities within the established reporting procedures.

The SAA will:

- Actively engage in the IPT meetings;
- Work in direct coordination and communication with the local or tribal agency lead on all grant management matters;
- Review all operations orders created by the local or tribal agency;
- Acts as the fiduciary agent for the program and provide expertise in state policy and regulations;
- Enter into a sub-award agreement to disburse the allocated funding awarded through DHS/FEMA/GPD;
- Generate quarterly reports to DHS/FEMA capturing the sub-recipients' obligation and expenditure of funds;

- Determine if the grant’s performance period requires additional refinement over the federally established 36-month period; and
- Conduct audits of the program to ensure that the sub-recipients are in compliance with program guidance.

## V. Definitions (OPSG only)

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

Campaign Plan: The first Operational Order based on the CONOP aimed at accomplishing a strategic or operational objective within a given time and space.

Concept of Operations (CONOP): 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). It is also the operational equivalent of the OPSG grant application.

Fragmentary Order (FRAGO): A fragmentary order is a modification of the approved campaign plan. After an operation order has been approved, any changes to a campaign plan will be submitted as a FRAGO. Subsequent FRAGO’s are permissible.

Friendly Forces: Local law enforcement entities with whom OPSG sub-recipients provide funding to support border security operations.

Integrated Planning Team: Group that coordinates on all aspects of OPSG application, planning, and de-briefings.

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.

Operation/Operational Order (OO): A formal description of the action to be taken to accomplish or satisfy a CONOP, Campaign Plan, or FRAGO. The OO includes a detailed description of actions to be taken and required logistical needs to execute an operation.

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

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



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.

Tier: Tier refers to the geographical location of a municipality, county or tribe with respect to the border, i.e., Tier 1 is a county located on the border; a Tier 2 county is a county contiguous to a Tier 1 county. A Tier 3 is a county not located on the physical border; a Tier 3 county is a county contiguous to a Tier 2 county.

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

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

## Appendix F – FY 2017 HSGP Allowable Cost Matrix

Allowable Program Activities <sup>6</sup>	SHSP	UASI	OPSG
<b>Allowable Planning Costs</b>			
Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, response, and recovery activities	Y	Y	N
Developing and implementing homeland security support programs and adopting ongoing DHS/FEMA national initiatives	Y	Y	N
Developing related terrorism and other catastrophic event prevention activities	Y	Y	N
Developing and enhancing plans and protocols	Y	Y	N
Developing or conducting assessments	Y	Y	N
Hiring of full- or part-time staff or contract/consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)	Y	Y	N
Materials required to conduct planning activities	Y	Y	N
Travel/per diem related to planning activities	Y	Y	Y
Overtime and backfill costs (in accordance with operational Cost Guidance)	Y	Y	Y
Issuance of WHTI-compliant Tribal identification cards	Y	N	N
Activities to achieve planning inclusive of people with disabilities and others with access and functional needs and limited English proficiency.	Y	Y	N
Coordination with Citizen Corps Councils for public information/education and development of volunteer programs	Y	Y	N
Update governance structures and processes and plans for emergency communications	Y	Y	N
Activities to achieve planning inclusive of people with limited English proficiency	Y	Y	Y
<b>Allowable Organizational Activities</b>			
Reimbursement for select operational expenses associated with increased security measures at critical infrastructure sites incurred (up to 50 percent of the allocation)	Y	Y	N
Overtime for information, investigative, and intelligence sharing activities (up to 50 percent of the allocation)	Y	Y	Y
Hiring of new staff positions/contractors/consultants for participation in information/intelligence analysis and sharing groups or fusion center activities (up to 50 percent of the allocation)	Y	Y	N
<b>Allowable Equipment Categories</b>			
Personal Protective Equipment	Y	Y	Y
Explosive Device Mitigation and Remediation Equipment	Y	Y	N
CBRNE Operational Search and Rescue Equipment	Y	Y	N
Information Technology	Y	Y	Y
Cybersecurity Enhancement Equipment	Y	Y	N
Interoperable Communications Equipment	Y	Y	Y
Detection	Y	Y	Y
Decontamination	Y	Y	N
Medical	Y	Y	Y
Power (e.g., generators, batteries, power cells)	Y	Y	Y
CBRNE Reference Materials	Y	Y	N
CBRNE Incident Response Vehicles	Y	Y	N
Terrorism Incident Prevention Equipment	Y	Y	Y
Physical Security Enhancement Equipment	Y	Y	Y

<sup>6</sup> Current as of publication for FY 2017 Programs. This list is not all-inclusive. See the respective program guidance for additional details and/or requirements

<b>Allowable Program Activities <sup>6</sup></b>	<b>SHSP</b>	<b>UASI</b>	<b>OPSG</b>
Inspection and Screening Systems	Y	Y	Y
Animal Care and Foreign Animal Disease	Y	Y	N
CBRNE Prevention and Response Watercraft	Y	Y	N
CBRNE Aviation Equipment	Y	Y	N
CBRNE Logistical Support Equipment	Y	Y	N
Intervention Equipment (e.g., tactical entry, crime scene processing)	Y	Y	Y
Other Authorized Equipment	Y	Y	Y
<b>Allowable Training Costs</b>			
Overtime and backfill for emergency preparedness and response personnel attending DHS/FEMA-sponsored and approved training classes	Y	Y	Y
Overtime and backfill expenses for part-time and volunteer emergency response personnel participating in DHS/FEMA training	Y	Y	Y
Training workshops and conferences	Y	Y	Y
Activities to achieve training inclusive of people with disabilities and others with access and functional needs and limited English proficiency	Y	Y	N
Full- or part-time staff or contractors/consultants	Y	Y	Y
Travel	Y	Y	Y
Supplies	Y	Y	N
Instructor certification/re-certification	Y	Y	N
Coordination with Citizen Corps Councils in conducting training exercises	Y	Y	N
Interoperable communications training	Y	Y	N
Activities to achieve planning inclusive of people with limited English proficiency.	Y	Y	N
<b>Allowable Exercise Related Costs</b>			
Design, Develop, Conduct, and Evaluate an Exercise	Y	Y	N
Full- or part-time staff or contractors/consultants	Y	Y	N
Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in DHS/FEMA exercises	Y	Y	N
Implementation of HSEEP	Y	Y	N
Activities to achieve exercises inclusive of people with disabilities and others with access and functional needs.	Y	Y	N
Travel	Y	Y	N
Supplies	Y	Y	N
Interoperable communications exercises	Y	Y	N
Activities to achieve planning inclusive of people with limited English proficiency.	Y	Y	N
<b>Allowable Management &amp; Administrative Costs</b>			
Hiring of full- or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, and compliance with reporting and data collection requirements	Y	Y	Y
Development of operating plans for information collection and processing necessary to respond to DHS/FEMA data calls	Y	Y	Y
Overtime and backfill costs	Y	Y	Y
Travel	Y	Y	Y
Meeting related expenses	Y	Y	Y
Authorized office equipment	Y	Y	N
Recurring expenses such as those associated with cell phones and faxes during the PoP of the grant program	Y	Y	N
Leasing or renting of space for newly hired personnel during the PoP of the grant program	Y	Y	N

## **Appendix G – FY 2017 HSGP Supplemental Material**

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

### **Radiological/Nuclear Detection**

The Domestic Nuclear Detection Office (DNDO) is charged with coordinating the development of the global nuclear detection and reporting architecture for a managed and coordinated response to radiological and nuclear threats. This is achieved through planning and coordination efforts with partners from federal, state, local, tribal, territorial, and international governments and the private sector. To support these efforts, DNDO has developed a Radiological/Nuclear Detection Supplemental Resource to provide guidance to stakeholders seeking to build or sustain preventive radiological and nuclear detection capabilities using DHS/FEMA preparedness grants. The guidance outlines integrating these capabilities with broader national preparedness initiatives, including PPD-8 and THIRA, as well as the Global Nuclear Detection Architecture using POETE-aligned activities. For more information please refer to <http://www.dhs.gov/publication/homeland-security-grant-program-hsgp-supplemental-resource-radiologicalnuclear-detection>.

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

NIEM is a common vocabulary that enables efficient information exchange across diverse public and private organizations. NIEM can save time and money by providing consistent, reusable data terms and definitions and repeatable processes. To support information sharing, all recipients of grants for projects implementing information exchange capabilities are required to use NIEM and to adhere to the NIEM conformance rules. Visit <https://niem.gov/grants> for guidance on how to utilize DHS/FEMA award funding for information sharing, exchange, and interoperability activities.

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

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

The 2017 IPAWS Supplemental Guidance on Public Alert and Warning provides guidance on eligible public alert and warning activities and equipment standards for prospective state, local, tribal, and territorial recipients. The intent of this document is to promote consistency in policy

across federal grant programs, and to ensure compatibility among federally-funded projects. For more information on the IPAWS, please go to <https://www.fema.gov/media-library/assets/documents/105518>.

### **Homeland Security Information Network**

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

### **GSA's State and Local Purchasing Programs**

The U.S. General Services Administration (GSA) offers two efficient and effective procurement programs for State and local and governments and certain other non-Federal entities, to purchase products and services directly from pre-vetted contractors, to fulfill homeland security and technology needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term government-wide contracts with commercial firms that provide access to millions of commercial products and services at volume discount pricing

#### **Cooperative Purchasing** ([www.gsa.gov/cooperativepurchasing](http://www.gsa.gov/cooperativepurchasing))

Cooperative Purchasing, authorized by statute, allows state and local governments to purchase under specific GSA Federal Supply Schedule (also known as Multiple Award Schedules (MAS) and Schedules) contracts to save time, money, and meet their everyday needs and mission.

State and local governments are authorized to purchase IT products, software and services found under **Federal Supply Schedule 70** and the IT related categories under the Consolidated Schedule through the introduction of Cooperative Purchasing, and state and local governments may purchase alarm and signal systems, facility management systems, firefighting and rescue equipment, law enforcement and security equipment, marine craft and related equipment, special purpose clothing, and related services as contained in **Federal supply Schedule 84** (or any amended or subsequent version of that Federal supply classification group).

#### **Disaster Purchasing** ([www.gsa.gov/disasterpurchasing](http://www.gsa.gov/disasterpurchasing))

Disaster Purchasing, authorized by statute, allows state and local governments access to all Federal Supply Schedules, for the purchase of products and services to facilitate disaster preparedness or response or recovery from major disasters declared by the president under the

Robert T. Stafford Disaster Relief and Emergency Assistance Act OR to facilitate recovery from terrorism, or nuclear, biological, chemical, or radiological attack.

### **State, Local, Tribal and Territorial (SLTT) Cybersecurity Engagement Program**

The DHS Office of Cybersecurity and Communications (CS&C), within the National Protection and Programs Directorate, is responsible for enhancing the security, resilience, and reliability of the Nation’s cyber and communications infrastructure. CS&C works to prevent or minimize disruptions to critical information infrastructure in order to protect the public, the economy, and government services. CS&C leads efforts to protect the federal “.gov” domain of civilian government networks and to collaborate with the private sector—the “.com” domain—to increase the security of critical networks.

The DHS SLTT Cybersecurity Engagement Program within CS&C was established to help non-federal public stakeholders and associations manage cyber risk. The program provides appointed and elected SLTT government officials with cybersecurity risk briefings, information on available resources, and partnership opportunities to help protect their citizens online. Through these and related activities, the program coordinates the Department’s cybersecurity efforts with its SLTT partners to enhance and protect their cyber interests. More information on all of the DHS CS&C resources available to support SLTT governments is available at <https://www.us-cert.gov/ccubedvp>.

### **Regional Resiliency Assessment Program (RRAP)**

The Regional Resiliency Assessment Program (RRAP) is a cooperative assessment of specific critical infrastructure within a designated geographic area and a regional analysis of the surrounding infrastructure that address a range of infrastructure resilience issues that could have regionally and nationally significant consequences. These voluntary, non-regulatory RRAP projects are led by the Office of Infrastructure Protection (IP), within the Department of Homeland Security’s National Protection and Programs Directorate, and are selected each year by the Department with input and guidance from Federal, State, and local partners. For additional information on the RRAP, please visit <https://www.dhs.gov/regional-resiliency-assessment-program>.