The U.S. Department of Homeland Security (DHS)
Notice of Funding Opportunity (NOFO)
Fiscal Year (FY) 2018 Homeland Security Grant Program (HSGP)

NOTE: **If you are going to apply for this funding opportunity and have <u>not</u> obtained a Data Universal Numbering System (DUNS) number and/or <u>are not</u> currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM. It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information. Information on obtaining a DUNS number and registering in SAM is available from Grants.gov at:** http://www.grants.gov/web/grants/register.html. **Detailed information regarding DUNS and SAM is also provided in** Section D – Application and Submission Information **of this NOFO, subsection, Content and Form of Application Submission.**

A. <u>Program Description</u>

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 2018 Homeland Security Grant Program
- State Homeland Security Program (SHSP)
- Urban Area Security Initiative (UASI)
- Operation Stonegarden (OPSG)

NOFO Number
DHS-18-GPD-067-00-01

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

Appropriation Authority for Program
Department of Homeland Security Appropriations Act, 2018 (Pub. L. No. 115-141)

Program Type
New

Program Overview, Objectives and Priorities

Overview
The FY 2018 Homeland Security Grant Program (HSGP) is set against the backdrop of a year in which the United States faced numerous and unprecedented homeland security challenges. These included the three major hurricanes that devastated parts of Texas, Florida, and much of Puerto Rico and the U.S. Virgin Islands, as well as massive wildfires across the State of California. In addition to these natural disasters, the Nation also responded to multiple incidents as part of the evolving threat landscape, including witnessing the first known terrorist attack against mass transportation on our soil; cyberattacks against critical port infrastructure; and mass casualty events involving both vehicles and active shooters.

The National Preparedness Goal (the Goal) defines what it means to be prepared for such diverse and complicated events. The National Preparedness System is the instrument the Nation employs to build, sustain, and deliver the core capabilities needed to achieve the goal of a more secure and resilient Nation. The development and sustainment of these core capabilities is not exclusive to any single level of government or organization, but rather requires the combined effort of the whole community. To that end, the FY 2018 HSGP represents one part of a comprehensive set of measures authorized by Congress and implemented by the Administration. 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.

The recently released 2018-2022 FEMA Strategic Plan creates a shared vision for the field of emergency management and sets an ambitious, yet achievable, path forward to unify and further professionalize emergency management across the country. The Homeland Security Grant Program supports the goal of Readying the Nation for Catastrophic Disasters. We invite all of our stakeholders and partners to also adopt these priorities and join us in building a stronger Agency and a more prepared and resilient Nation.

Objectives
Within this broader construct, the objective of the FY2018 HSGP is to provide funds to eligible entities to support state, local, tribal, and territorial 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.

State Homeland Security Program (SHSP): The SHSP supports state, tribal, territorial, and local preparedness activities that address high priority preparedness gaps across all core capabilities that support terrorism preparedness.

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.

Performance metrics for this program are as follows:
SHSP and UASI:
- Percent improvement in Stakeholder Preparedness Review (SPR) capabilities against Threat and Hazard Identification and Risk Assessment (THIRA) targets.
- Percent of states and territories with a THIRA and SPR that meet current DHS/FEMA guidance.

OPSG:
- Percent of funding that provides intelligence-based operational support.
- Percent of funding that provides force multiplier activities across two or more state, local, or tribal law enforcement agencies.

Priorities
The 2017 National Preparedness Report identified the following subset of core capabilities as national areas for improvement:
- Cybersecurity;
- Infrastructure Systems;
- Economic Recovery;
- Housing;
- Supply Chain Integrity and Security;
- Natural and Cultural Resources; and
- Risk Management for Protection Programs and Activities.

In developing applications for the FY 2018 HSGP, recipients should consider funding projects that address core capability gaps within the NPR national areas for improvement to the extent that they relate to terrorism preparedness.

For purposes of SHSP and UASI, DHS/FEMA requires states, territories, and Urban Areas to complete a Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) (formerly known as the State Preparedness Report) and prioritize grant funding to support closing capability gaps or sustaining capabilities identified in this process. Additional information on the THIRA/SPR process, including other NPS tools and resources, can be found at https://www.fema.gov/national-preparedness-system.

B. Federal Award Information

Award Amounts, Important Dates, and Extensions

Available Funding for the HSGP NOFO: **$1,067,000,000**

HSGP Programs	FY 2018 Allocation
State Homeland Security Program	$402,000,000
Urban Area Security Initiative	$580,000,000
Operation Stonegarden	$85,000,000
Total	**$1,067,000,000**

For details on program-specific funding amounts, refer to Appendix A – FY 2018 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, subsection, Period of Performance Extensions.

Projected Period of Performance Start Date: September 1, 2018

Projected Period of Performance End Date: August 31, 2021

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. The State Administrative Agency (SAA) is the only entity eligible to submit HSGP applications to DHS/FEMA, including those applications submitted on behalf of UASI and OPSG applicants. A list of eligible Urban Areas and OPSG States can be found in Appendix A - FY 2018 HSGP Program Allocations. 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 2018 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 2018 Program Allocations.

Eligible subrecipients under the FY 2018 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 2018 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 2018, recipients must ensure and maintain adoption and implementation of NIMS. FEMA describes the specific activities involved in NIMS implementation in 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.

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 2018 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 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 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 2018 Program Allocations for LETPA minimum allocations for SHSP and UASI by jurisdiction. The 25 percent LETPA allocation is in addition to the 80 percent 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. Also, 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 2018 HSGP.

D. Application and Submission Information

Key Dates and Times

Date Posted to Grants.gov:	**May 21, 2018**
Application Submission Deadline:	**June 20, 2018, 5:00 p.m. ET**

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 received after the deadline or consider them for funding. DHS/FEMA may, however, extend the application deadline on request for an 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@fema.gov, Monday through Friday, 9:00 a.m. – 5:00 p.m. ET.

Anticipated Funding Selection Date:　　　　**August 27, 2018**

Anticipated Award Date:　　　　**No later than September 30, 2018**

Address to Request Application Package
Application forms and instructions are available on Grants.gov (hard copies of the NOFO and associated application materials are not available). To access the application package, select "Applicants" then "Apply for Grants" followed by "Get Application Package." Enter the Funding Opportunity Number located on the first page of this NOFO. Select "Apply" and then "Create Workspace." Follow the prompts to download the instructions and begin the application.

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

Initial applications are processed through the Grants.gov portal. Final applications are completed and submitted through FEMA's Non-Disaster Grants (ND Grants) System.

Content and Form of Application Submission
Applying for an award under this program is a multi-step process. 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 deadline for submitting their application 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 and Employer ID Number (EIN);
2. Updating or verifying their System for Award Management (SAM) Registration;
3. Establishing an Authorized Organizational Representative (AOR) in Grants.gov;
4. Submitting an initial application in Grants.gov; and
5. Submitting the final application in the ND Grants system.

Unique Entity Identifier and System for Award Management (SAM)
All applicants for this award must:
1. Be registered in SAM before submitting its application;
2. Provide a valid DUNS number in its application; and
3. Continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by DHS/FEMA.

DHS/FEMA 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 DHS/FEMA is ready to make a federal award. DHS/FEMA may

determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Electronic Delivery
DHS/FEMA is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. DHS/FEMA requires applicants to submit their initial applications online through Grants.gov and to submit final applications through ND Grants.

How to Register to Apply through Grants.gov
1. *Instructions:* Read the instructions below about registering to apply for DHS/FEMA funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

    The registration process can take up to four weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

    Organizations must have a DUNS Number, active SAM registration, and Grants.gov account to apply for grants.

    If individual applicants are eligible to apply for this grant funding opportunity, refer to https://www.grants.gov/web/grants/applicants/registration.html.

    Organization applicants can find complete instructions here: https://www.grants.gov/web/grants/applicants/organization-registration.html.

2. *Obtain a DUNS Number*: All entities applying for funding, including renewal funding, must have a DUNS number from Dun & Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form. For more detailed instructions for obtaining a DUNS number, refer to https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html.

3. *Register with SAM*: In addition to having a DUNS number, all organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.

    For more detailed instructions for registering with SAM, refer to https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html.

4. *Create a Grants.gov Account*: The next step in the registration process is to create an account with Grants.gov. Applicants must know their organization's DUNS number to complete this process.

   For more information, follow the on-screen instructions or refer to
   https://www.grants.gov/web/grants/applicants/registration.html.

5. *Add a Profile to a Grants.gov Account*: A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile.

   For more detailed instructions about creating a profile on Grants.gov, refer to
   https://www.grants.gov/web/grants/applicants/registration/add-profile.html.

6. *EBiz POC Authorized Profile Roles*: After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role.
   For more detailed instructions about creating a profile on Grants.gov, refer to
   https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html.

7. *Track Role Status*: To track your role request, refer to
   https://www.grants.gov/web/grants/applicants/registration/track-role-status.html.

8. *Electronic Signature*: When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; **this step is often missed, and it is crucial for valid and timely submissions.**

How to Submit an Initial Application to DHS/FEMA via Grants.gov
Grants.gov applicants apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each Notice of Funding Opportunity (NOFO), you can create individual instances of a Workspace. **Applicants are encouraged to submit their initial application in Grants.gov at least seven days before the June 20, 2018, application deadline.**

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities using Workspace, refer to:
https://www.grants.gov/web/grants/applicants/workspace-overview.html

1. *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

2. *Complete a Workspace*: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission.

3. *Adobe Reader*: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace so that they will appear similar to other Standard or DHS/FEMA forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader. NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html.

4. *Mandatory Fields in Forms:* In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

5. *Complete SF-424 Fields First*: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

6. *Submit a Workspace*: An application may be submitted through workspace by clicking the "Sign and Submit" button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package <u>at least seven days prior to the close date</u> to provide you with time to correct any potential technical issues that may disrupt the application submission.

7. *Track a Workspace*: After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to https://www.grants.gov/web/grants/applicants/applicant-training.html.

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant

opportunity, contact the number listed in the application package of the grant for which you are applying.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the DHS/FEMA with tracking your issue and understanding background information on the issue.

Submitting the Final Application in Non-Disaster Grants System (ND Grants)
After submitting the initial application in Grants.gov, eligible applicants will be notified by DHS/FEMA and asked to proceed with submitting their complete application package in ND Grants. Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement or the latest, seven days before the application deadline. Early registration will allow applicants to have adequate time to start and complete their application.

In ND Grants applicants will be prompted to submit all of the information contained in the following forms. Applicants should review these forms before applying to ensure they have all the information required:
- Standard Form 424A, Budget Information (Non-construction);
- Standard Form 424B, Standard Assurances (Non-construction); and
- Standard Form LLL, Disclosure of Lobbying Activities.

In addition, applicants must submit copies of the following in ND Grants:
- Investment Justification (located on https://www.fema.gov/preparedness-non-disaster-grants);
- List of Urban Area Working Group (UAWG) and Senior Advisory Committee (SAC) members;
- SAC charter; and
- Indirect Cost Agreement, if requesting indirect costs. If there is no current indirect cost agreement, then the applicant must contact the Federal Cognizant Agency to negotiate a rate and notify the relevant HQ Program Analyst or Grant Management Specialist.

Applicants must submit copies of the following in ND Grants if applying for construction projects. The forms may be accessed in the Forms tab under SF-424 Family on Grants.gov:
- 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 or (800) 865-4076.

Timely Receipt Requirements and Proof of Timely Submission
All applications must be received in ND Grants by **5:00 PM Eastern Time on June 20, 2018**. Proof of timely submission is automatically recorded by ND Grants. An electronic date/time stamp is generated within the system when the application is successfully received by ND Grants. The applicant with the AOR role who submitted the application will receive an acknowledgment of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov

with the successful transmission of their initial application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov and ND Grants receive your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the systems time to process the application. Applicants needing assistance with the ND Grants system should contact ndgrants@fema.gov or (800) 865-4076.

HSGP Specific Application Instructions

Development of the Investment Justification (SHSP and UASI)
As part of the FY 2018 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;
- Support closing capability gaps or sustaining capabilities identified in the 2017 THIRA/SPR process and national priorities as outlined in the National Preparedness Report; and
- Engage and/or impact the whole community, including children, older adults, pregnant women, and 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 incidents.

Development of Investments and Projects (SHSP)
- Applicants must propose at least one, and may include up to 10 investments.
- Within each investment in their IJ, applicants must propose at least one project to describe the activities they 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 – Federal Award Administration Information](#), subsection Additional Programmatic Requirements and Information.

- Of the proposed SHSP-funded investments, one (1) single investment must be in support of a designated fusion center. Recipients must coordinate with the fusion center when developing a fusion center investment prior to submission. See additional information on how to develop fusion center investments below.
- Of the proposed SHSP-funded investments, at least one (1) investment must be in support of the state or territory's cybersecurity efforts. Recipients must limit the use of SHSP funds for projects that support the security and functioning of critical infrastructure and core capabilities as they relate to terrorism preparedness and may simultaneously support enhanced preparedness for other hazards unrelated to acts of terrorism. The investment name must include the word "Cybersecurity" to easily identify the required cybersecurity investment.
- All emergency communications investments must describe how such activities align with 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. The investment name must include the words "emergency communications" to easily identify any emergency communications investments.
- Projects should describe how the proposed investment supports closing capability gaps or sustaining capabilities identified in the THIRA/SPR process.

Development of Investments and Projects (UASI)
- Applicants must propose at least one, and may include up to 10 investments.
- Within each investment in their IJ, Urban Areas must propose at least one project 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. See additional information on how to develop fusion center investments below.
- Of the proposed UASI-funded investments, at least one (1) investment must be in support of the urban area's cybersecurity efforts. Recipients must limit the use of UASI funds for projects that support the security and functioning of critical infrastructure and core capabilities as they relate to terrorism preparedness and may simultaneously support enhanced preparedness for other hazards unrelated to acts of terrorism. The investment name must include the word "Cybersecurity" to easily

identify the required cybersecurity investment.
- If UASI funds are used by the State in support of the Urban Area, the SAA must, as part of the list of proposed investments, describe how those funds will directly support the Urban Area.
- All emergency communications investments must describe how such 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. The investment name must include the words "emergency communications" to easily identify any emergency communications investments.
- Projects should describe how the proposed investment supports building or sustaining capabilities to meet their 2017 THIRA targets.

Development of Fusion Center Investments (SHSP and UASI)
If applicable, each IJ must include and identify a fusion center investment that will:
- Indicate alignment to a designated Fusion Center.
- Provide both a brief narrative description and funding itemization of the project activities relating to the proposed resources that directly support the designated Fusion Center. This descriptive narrative should align with both the financial itemization and improvement or sustainment of performance measures as a result of receiving the proposed funding. If the project description and funding itemization do not directly support the fusion center and the relationship to the fusion center is not identified, then the investment may be conditionally approved until a Fusion Center Addendum is submitted and approved. Note: A sample project description and funding itemization are below.
- Identify the expected improvement or sustainment of performance measures as a result of receiving the proposed funding for the itemized projects.
- Effectively address performance measures identified in each fusion center's individual assessment data found in the HSIN-Intel Fusion Center Profile. A list of the 2018 Performance Measures can be found in Appendix H-Fusion Center Performance Measures.

Sample Fusion Center Project Description

The following is an example of a sample fusion center project description that could be included in a SHSP or UASI investment:

The X Fusion enhancement project will fund salaries, benefits, and training for X number of Fusion Center intelligence analysts, maintenance and support for the center's enabling systems, travel costs associated with training, and the replacement of X computer monitors within the Fusion Center. The project will directly sustain the Center's achieved abilities and work to close the gap of any current capabilities through the sustained funding of its current analytical staff and enabling systems. This project is in direct alignment with performance measures 2018.1-2018.23. We anticipate seeing an

improvement of the quality and quantity of reporting as a direct result of the funding of this project.

Sample Fusion Center Funding Itemization
The funding itemization for a fusion center investment should include the amount and percent of each relevant solution area. As an example:

Solution Area and Amount of Proposed Funding		Percent of Proposed Funding
Planning:	*$10,000.00*	*2%*
Organization:	*$200,000*	*48%*
Equipment:	*$200,000*	*48%*
Training:	*$10,000*	*2%*
Exercises:	*$0*	*0%*
Total:	*$420,000*	*100%*

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@fema.gov, Monday through Friday, 9:00 a.m. – 5:00 p.m. ET. 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.

Development of Concept of Operations for OPSG
As part of the FY 2018 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, 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 2018 OPSG Operations Order Template and Instructions and Appendix E – OPSG Operational Guidance.

Intergovernmental Review
An intergovernmental review may be required. Applicants must contact their state's Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372 (See http://www.fws.gov/policy/library/rgeo12372.pdf).

Funding Restrictions
Federal funds made available through this award may be used only for the purpose outlined 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.

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 subrecipients proposing projects that have the potential to impact the environment, including but not limited to the 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 DHS/FEMA EHP Policy Guidance, FEMA Policy #108-023-1. The EHP screening form is located here, and further EHP guidance can be found at https://www.fema.gov/media-library/assets/documents/85376.

Emergency Communications and Resilience
All entities using HSGP funding to support emergency communications investments are required to comply with the SAFECOM Guidance on Emergency Communications Grants (SAFECOM Guidance). The SAFECOM Guidance provides current information on emergency communications policies, eligible costs, best practices, and technical standards for State, local, tribal, and territorial grantees investing Federal funds in emergency communications projects. It is also designed to promote and align with the National Emergency Communications Plan (NECP). Conformance with the SAFECOM Guidance helps ensure that Federally-funded investments are compatible, interoperable, resilient, and support national goals and objectives for improving emergency communications. Additional information on this topic can be found in

Requirements Applicable to Emergency Communications Investments
If an entity uses HSGP funding to support emergency communications investments, the following requirements shall apply to all such grant-funded communications investments in support of the emergency communications priorities and recognized best practices:

- Applicants must describe in the investment how proposed communications investments align to needs identified in their Statewide Communication Interoperability Plan (SCIP). Effective project alignment will require advance coordination with the SWIC and consultation with governing bodies such as the Statewide Interoperability Governing Body (SIGB) or Statewide Interoperability Executive Committee (SIEC), as they serve as the primary steering group for the statewide interoperability strategy. Additionally, grantees should consult subject matter experts serving on governance bodies such as broadband experts, chief information officers, representatives from utilities, or legal and financial experts when developing proposals.

- The signatory authority for the SAA must certify in writing to DHS/FEMA their compliance with the *SAFECOM Guidance*. The certification letter should be coordinated with the SWIC for each State and must be uploaded to ND Grants at the time of the first Program Performance Report (PPR) submission.

- All states and territories must designate a full-time SWIC who has the authority and resources to actively improve interoperability with emergency management and response agencies across all levels of government, to include establishing statewide plans, policies, and procedures, and coordinating decisions on communications investments funded through Federal grants. SWIC status information will be maintained by the DHS Office of Emergency Communications and will be verified by FEMA GPD through programmatic monitoring activities.

- By the period of performance end date, all states and territories must update their SCIP, with a focus on communications resilience/continuity, to include assessment and mitigation of all potential risks identified in the SCIP: natural disasters, accidental damage (human failures), intentional damage (sabotage, terrorism), cybersecurity, etc. Following the initial update, the SCIP should be updated on an annual basis. SCIP status information will be maintained by the DHS Office of Emergency Communications and will be verified by FEMA GPD through programmatic monitoring activities.

- All states and territories must test their emergency communications capabilities and procedures (as outlined in their operational communications plans) in conjunction with regularly planned exercises (separate/addition emergency communications exercises are not required) and must submit an After Action Report/Improvement Plan (AAR/IP) to the Homeland Security Exercise and Evaluation Program's (HSEEP) electronic message inbox at hseep@fema.dhs.gov within 90 days of exercise completion (see Appendix B – FY 2018 HSGP Program Priorities). Exercises should be used to both demonstrate and validate skills learned in training and to identify gaps in capabilities. Resilience and continuity of communications should be tested during training and exercises to the extent possible. Further, exercises should include participants from multiple jurisdictions, disciplines, and levels of government and

include emergency management, emergency medical services, law enforcement, interoperability coordinators, public health officials, hospital officials, officials from colleges and universities, and other disciplines and private sector entities, as appropriate. Findings from exercises should be used to update programs to address gaps in emergency communications as well as emerging technologies, policies, and partners. Recipients are encouraged to increase awareness and availability of emergency communications exercise opportunities across all levels of government.

States, territories, and other eligible grant recipients are advised that HSGP funding may be used to support communications planning (including the cost of hiring a SWIC, participation in governance bodies and requirements delineated above), training, exercises, and equipment costs. Costs for transitioning to the FirstNet network may also be eligible. More information regarding FirstNet can be found in Appendix I – Supplemental Emergency Communications Guidance. Details regarding allowable costs are provided in Appendix C – FY 2018 HSGP Funding Guidelines.

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 subrecipients may not use more than 50 percent of their awards to pay for personnel activities unless a waiver is approved by FEMA. For more information on the 50 percent personnel cap, please see FEMA Policy (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 FP 205-402-125-1, Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants Policy (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 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. Subrecipients may also retain a maximum of up to five percent 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 of this total for M&A, the state must still ensure that all subrecipient 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 Information Bulletin (IB) 365: Management and Administration Costs in the Homeland Security Grant Program. For additional clarification on OPSG M&A, refer to DHS/FEMA Policy207-087-1, 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.

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 preparedness. General purpose equipment, like all equipment funded under HSGP, must be sharable through the Emergency Management Assistance Compact (EMAC)[1] and allowable under 6 U.S.C. § 609, and any other applicable provision of the *Homeland Security Act of 2002*, as amended. 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

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[1] Except for American Samoa and the Commonwealth of the Northern Mariana Islands which are not required to belong to EMAC at this time.

(CBRNE) response; and
- Office equipment for staff[2] 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, and (2) the equipment's purpose (when operational) falls under the permitted use of funds in accordance with 6 U.S.C. §609, and any other applicable provision of the *Homeland Security Act of 2002*, as amended.

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* – the likelihood of an attack being attempted by an adversary;
- *Vulnerability* – the likelihood that an attack is successful, given that it is attempted; and
- *Consequence* – the 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 violent domestic extremists, international terrorist groups, and individuals inspired by terrorists abroad.

NOTE: The THIRA/SPR process is separate from the risk methodology, and its results do not affect grant allocations.

SHSP Allocations
FY 2018 SHSP funds will be allocated based on two factors: minimum amounts as legislatively mandated, and DHS/FEMA's risk methodology. THIRA/SPR results do not impact grant allocation or award.

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

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[2] 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.

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 2018 Program Allocations.

UASI Allocations
FY 2018 UASI funds will be allocated based on DHS/FEMA's risk methodology. THIRA/SPR results do not impact grant allocation or award.

Eligible candidates for the FY 2018 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 2018 Program Allocations.

OPSG Allocations
The FY 2018 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. The THIRA/SPR process is not required for OPSG.

For the purposes of OPSG, the 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 note, 41 U.S.C. § 2313, and 2 C.F.R. § 200.205 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 2018 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 with at least one core capability identified in the Goal;
- Demonstrates how investments support closing capability gaps or sustaining capabilities identified in the THIRA/SPR process; 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. To that end, IJs should include:
- An explanation of how the proposed project will achieve objectives as identified in the SPR, including expected long-term impact where applicable, and which core capability gap(s) it helps to close and how;
- A summary of the status of planning and design efforts accomplished to date (e.g., included in a capital improvement plan); and
- A project schedule with clear milestones.

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 (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. Recipients must be able to demonstrate how investments support closing capability gaps or sustaining capabilities identified in the THIRA/SPR process. 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.

Emergency communications investments will be jointly reviewed by FEMA and the DHS Office of Emergency Communications (OEC) to verify compliance with SAFECOM guidance. FEMA and OEC will coordinate directly with the recipient on any compliance concerns and will provide technical assistance as necessary to help ensure full compliance.

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 2018 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 the border, and other border-specific law enforcement intelligence, as well as the feasibility of FY 2018 Operation Orders to designated localities within Border States and territories. For details on program-specific funding amounts, refer to Appendix A – FY 2018 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 the 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 passing through grant funds to subrecipients;
- The SAA's commitment must be unconditional (i.e., no contingencies for the 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 subrecipient.

Timing and Amount
The SAA must pass-through at least 80 percent 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 GPD's 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, 2018, while the PoP dates for that award are September 1, 2018, 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, 2018 (15 calendar days after the SAA was notified of the award), whichever date occurs first. The PoP start date of September 1, 2018, 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 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 of funding for expenditures 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 2018, 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 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 Reporting (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
October 1 – December	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 the 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, 2019 (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.

2018/2019 Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) Process
By December 31, 2018, FY 2018 recipients are required to submit a THIRA/SPR, using an updated methodology that assesses only the response, recovery, and cross-cutting capabilities. In FY 2019, all core capabilities will be required and the SPR will still be submitted annually. However the THIRA requirement will be reduced to every three years.

Also beginning with the FY 2018 award cycle, the State Preparedness Report will be known as the Stakeholder Preparedness Review. The acronym SPR will continue to be used. States, territories, and Urban Areas will be required to submit a SPR annually.

Further details on the THIRA as it relates to HSGP Program requirements can be found in Appendix B – FY 2018 HSGP Program Priorities. For additional guidance on THIRA, please refer to CPG 201, Third Edition, available at http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment.

2017 Threat and Hazard Identification and Risk Assessment (THIRA)
Although the THIRA/SPR process is changing this year, as discussed later in this section, grant investment justifications for FY 2018 applications should be based on previously submitted 2017 THIRA results. The THIRA is a grant requirement for all States,

territories, and Urban Areas. The THIRA is a risk-informed assessment of capability requirements that helps jurisdictions identify, understand, and plan for its worst most plausible threats and hazards.

2017 Stakeholder Preparedness Review (SPR) [formerly State Preparedness Report]
The SPR is a grant requirement for all States, territories, and UASIs. It is an annual capability assessment that helps jurisdictions identify capability gaps and prioritize investment requirements to reach the targets set in their THIRA. Completing the SPR and tying the results to funding requests creates a stronger investment justification. Additional information on the THIRA/SPR process can be found at https://www.fema.gov/national-preparedness-system.

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 Grant 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 2018 Unified Reporting Tool (URT)
The URT is DHS/FEMA's collection mechanism for THIRA, SPR, and related preparedness information. The FY 2018 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 2018.

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

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

Disclosing Information per 2 C.F.R. § 180.335
This reporting requirement pertains to disclosing information related to government-wide suspension and debarment requirements. Before a recipient enters into a grant award with FEMA, the recipient must notify FEMA if it knows if any of the recipient's principals under the award fall under one or more of the four criteria listed at 2 C.F.R. § 180.335. At any time after accepting the award, if the recipient learns that any of its principals falls under one or more of the criteria listed at 2 C.F.R. § 180.335, the recipient must provide immediate written notice to FEMA in accordance with 2 C.F.R. § 180.350.

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@fema.gov, Monday through Friday, 9:00 a.m. – 5:00 p.m. ET.

   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@fema.gov.

   FEMA Regional Offices
   FEMA Regional Offices 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. FEMA Regional Office contact information is available here.

   GPD Environmental Planning and Historic Preservation (EHP)
   The DHS/FEMA GPD EHP Team provides guidance and information about the EHP review process to recipients and subrecipients. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should

be sent to gpdehpinfo@fema.gov. EHP Technical Assistance, including the EHP Screening Form, can be found online at https://www.fema.gov/media-library/assets/documents/90195.

Systems Information

Grants.gov
For technical assistance with Grants.gov, call the customer support hotline 24 hours per day, 7 days per week (except Federal holidays) at (800) 518-4726 or e-mail at support@grants.gov.

Non-Disaster (ND) Grants
For technical assistance with the ND Grants system, please contact the ND Grants Helpdesk at ndgrants@fema.gov or (800) 865-4076, Monday through Friday, 9:00 a.m. – 5:00 p.m. ET.

Payment and Reporting System (PARS)
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.

H. Additional Information

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 and Use of Grant-Funded Resources during Real-World Incident Operations
Analyzing the use of grant-funded investments in real-world event (RWE) operations will improve the ability of FEMA and its state and local partners to assess the effectiveness of these investments and to better understand how grant funds support improvements in nationwide capability levels. Currently, FEMA conducts case studies with a limited number of grant recipients each year to explore how jurisdictions prioritize grant investments based on risk and capability assessments and the ways specific investments improve state and local preparedness. Recipients will be required to submit information on how they use grant funds in real-world incident operations in the URT with the implementation of the new THIRA/SPR methodology.

Conflicts of Interest in the Administration of Federal Awards or Subawards
For conflicts of interest under grant-funded procurements and contracts, refer to the section on Procurement Integrity in this NOFO and 2 C.F.R. §§ 200.317 – 200.326.

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

The recipient or subrecipient must disclose to the respective Program Analyst, in writing, any real or potential conflict of interest as defined by the Federal, state, local, 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, subrecipients must disclose any real or potential conflict of interest to the pass-through entity as required by the recipient's conflict of interest policies, or any applicable 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, subrecipient, or DHS/FEMA employees.

Period of Performance Extensions
Extensions to the period of performance for 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) The grant program, fiscal year, and award number;
   2) Reason for the 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 subrecipients 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 period.

Procurement Integrity
Through audits conducted by DHS Office of Inspector General (OIG) and FEMA grant monitoring, findings have shown that some FEMA recipients have not fully adhered to the proper procurement requirements when spending grant funds. Anything less than full compliance with Federal procurement policies jeopardizes the integrity of the grant as well as the grant program.

The below highlights the Federal procurement requirements for FEMA recipients when procuring goods and services with Federal grant funds. DHS will include a review of recipients' procurement practices as part of the normal monitoring activities. **All procurement activity must be conducted in accordance with Federal Procurement Standards at 2 C.F.R. §§ 200.317 – 200.326.** Select requirements under these standards are listed below. The recipient must comply with all requirements, even if they are not listed below.

Under 2 C.F.R. § 200.317, when procuring property and services under a Federal award, states must follow the same policies and procedures they use for procurements from their non-Federal funds; additionally, states must follow 2 C.F.R. § 200.322 regarding procurement of recovered materials, and 2 C.F.R. § 200.326 regarding required contract provisions.

All other non-Federal entities, such as tribes, must use their own documented procurement procedures that reflect applicable state, local, territorial, and tribal laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in 2 C.F.R. Part 200. These standards include, but are not limited to providing for full and open competition consistent with the standards of 2 C.F.R. § 200.319.

Competition and Conflicts of Interest
Among the requirements of 2 C.F.R. § 200.319(a) applicable to all non-Federal entities other than States, in order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements. **FEMA considers this an organizational conflict of interest and interprets this restriction as applying to contractors that help a recipient develop its grant application, project plans, or project budget. This prohibition also applies to the use of former employees to manage the grant or carry out a contract when such former employees worked on such activities while they were employees of the non-Federal entity.**

Under this prohibition, unless the non-Federal entity solicits for and awards a contract covering both development and execution of specifications (or similar elements as described above), and this contract was procured in compliance with 2 C.F.R. §§ 200.317 – 200.326, Federal funds cannot be used to pay a contractor to carry out the work if that contractor also worked on the development of such specifications. This rule applies to all contracts funded with Federal grant funds, including pre-award costs, such as grant writer fees, as well as post-award costs, such as grant management fees.

Additionally, some of the situations considered to be restrictive of competition include, but are not limited to:
- Placing unreasonable requirements on firms in order for them to qualify to do business;
- Requiring unnecessary experience and excessive bonding;
- Noncompetitive pricing practices between firms or between affiliated companies;
- Noncompetitive contracts to consultants that are on retainer contracts;
- Organizational conflicts of interest;
- Specifying only a "brand name" product instead of allowing "an equal" product to be offered and describing the performance or other relevant requirements of the procurement; and
- Any arbitrary action in the procurement process.

Pursuant to 2 C.F.R. § 200.319(b), non-Federal entities other than states must conduct procurements in a manner that prohibits the use of statutorily or administratively imposed state, local, territorial or tribal geographical preferences in the evaluation of bids or proposals, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference. Nothing in this section preempts state licensing laws. When contracting for architectural and engineering services, geographic location may be a selection criterion provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.

Pursuant to 2 C.F.R. § 200.318(c)(1), non-Federal entities other than states are required to maintain written standards of conduct covering conflicts of interest and governing the actions of their employees engaged in the selection, award, and administration of contracts. **No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest.** Such conflicts of interest would arise when the employee, officer or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract.

The officers, employees, and agents of the non-Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-Federal entities may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-Federal entity.

If the recipient or subrecipient (other than states) has a parent, affiliate, or subsidiary organization that is not a state, local government, territory, or Indian tribe, the non-Federal entity must also maintain written standards of conduct covering organizational conflicts of interest. In this context, organizational conflict of interest means that because of a relationship with a parent company, affiliate, or subsidiary organization, the non-Federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization. The non-Federal entity must disclose in writing any potential conflicts of interest to FEMA or the pass-through entity in accordance with applicable FEMA policy.

Supply Schedules
Generally, a non-Federal entity may seek to procure goods or services from a Federal supply schedule, state supply schedule, or group purchasing agreement. State and local governments may procure goods and services from a General Services Administration (GSA) schedule. Information about GSA programs for state and local governments can be found at https://www.gsa.gov/resources-for/programs-for-state-and-local-governments. For local governments that purchase off a GSA schedule, this will satisfy the Federal requirements for full and open competition provided that the recipient follows the GSA ordering procedures; however, local governments will still need to follow the other rules under 2 C.F.R. §§ 200.317 – 200.326, such as contract cost and price (§ 200.323) and solicitation of minority, women-owned, or small businesses (§ 200.321).

For non-Federal entities other than states, such as tribes, that want to procure goods or services from a state supply schedule, cooperative purchasing program, or other similar program, in order for such procurements by to be permissible, the following must be true:
- The procurement of the original contract or purchasing schedule and its use by the recipient complies with state and local law, regulations, and written procurement procedures.
- The state or other entity that originally procured the original contract or purchasing schedule entered into the contract or schedule with the express purpose of making it available to the recipient and other similar types of entities.
- The contract or purchasing schedule specifically allows for such use, and the work to be performed for the non-Federal entity falls within the scope of work under the contract as to type, amount, and geography.
- The procurement of the original contract or purchasing schedule complied with all of the procurement standards applicable to a non-Federal entities other than states under at 2 C.F.R. §§ 200.317 – 200.326.
- With respect to the use of a purchasing schedule, the recipient must follow ordering procedures that adhere to state and local laws and regulations and the minimum requirements of full and open competition under 2 C.F.R. Part 200.

If a non-Federal entity other than a state seeks to use such a state supply schedule, cooperative purchasing program, or other similar type of arrangement, it is recommended that recipients discuss their procurement plans with the FEMA Grant Programs Directorate.

Documentation
Non-Federal entities are required to maintain and retain the following:
- Backup documentation, such as bids and quotes.
- Cost/price analyses on file for review by Federal personnel, if applicable.
- Other documents required by Federal regulations applicable at the time a grant is awarded to a recipient.

FEMA requires that non-Federal entities maintain the following documentation for federally funded purchases:
- Specifications
- Solicitations
- Competitive quotes or proposals
- Basis for selection decisions
- Purchase orders
- Contracts
- Invoices
- Cancelled checks

Non-Federal entities should keep detailed records of all transactions involving the grant. FEMA may at any time request copies of purchasing documentation along with copies of cancelled checks for verification.

Non-Federal entities who fail to fully document all purchases will find their expenditures questioned and subsequently disallowed.

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 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 at: https://www.dhs.gov/cveas-portal#.

States and Urban Areas are encouraged to review the referenced active shooter guidance, evaluate their preparedness needs, and consider applying for HSGP funding to address any needs identified in this area (see Appendix C – FY 2018 HSGP Funding Guidelines for allowable

costs). To address training needs associated with active shooter incidents, FEMA's Emergency Management Institute provides a free, web-based training course entitled *IS-907: Active Shooter: What You Can Do*, available at the following website: https://training.fema.gov/is/courseoverview.aspx?code=IS-907.

Soft Targets and Crowded Places
There are continued and growing threats facing Soft Targets and Crowded Places (ST-CP) throughout the nation. ST-CPs are those locations or environments that are easily accessible to large numbers of people on a predictable or semi-predictable basis that have limited security or protective measures in place. These locations are vulnerable to attack using simple tactics and readily accessible weapons such as small arms, edged weapons, and vehicles as a weapon, improvised explosive devices, and unmanned aerial systems. ST-CPs can include places such as town centers, shopping malls, open-air venues, outside hard targets/venues perimeters, and other places of meeting and gathering. DHS is committed to reducing the risk of attacks against ST-CPs and the impact of attacks if they do occur. However, the protection and security of ST-CPs is a shared responsibility among whole community partners including: the public, ST-CP owners and operators, security industry partners, the Federal Government, and State, local, tribal, and territorial (SLTT) government partners. States, territories, urban areas, and public and private sector partners are encouraged to identify security gaps and build capabilities that address security needs of ST-CP, understanding the unique challenges related to protecting locations that are open to the public. States, territories, urban areas, and public and private sector partners are also encouraged to use resources to instill a culture of awareness, vigilance, and preparedness. For more information and additional resources, see the Department of Homeland Security's Hometown Security Program.

Appendix A – FY 2018 HSGP Program Allocations

FY 2018 SHSP Allocations

State/Territory	FY 2018 Allocation
Alabama	$3,980,000
Alaska	$3,980,000
American Samoa	$1,000,000
Arizona	$3,980,000
Arkansas	$3,980,000
California	$59,235,000
Colorado	$3,980,000
Connecticut	$3,980,000
Delaware	$3,980,000
District of Columbia	$3,980,000
Florida	$10,566,000
Georgia	$6,508,000
Guam	$1,000,000
Hawaii	$3,980,000
Idaho	$3,980,000
Illinois	$15,712,000
Indiana	$3,980,000
Iowa	$3,980,000
Kansas	$3,980,000
Kentucky	$3,980,000
Louisiana	$3,980,000
Maine	$3,980,000
Maryland	$5,882,000
Massachusetts	$5,395,000
Michigan	$6,368,000
Minnesota	$3,980,000
Mississippi	$3,980,000
Missouri	$3,980,000
Montana	$3,980,000
Nebraska	$3,980,000
Nevada	$3,980,000
New Hampshire	$3,980,000
New Jersey	$7,993,000
New Mexico	$3,980,000
New York	$76,930,000
North Carolina	$5,246,000
North Dakota	$3,980,000
Northern Mariana Islands	$1,000,000

FY 2018 SHSP Allocations

State/Territory	FY 2018 Allocation
Ohio	$7,364,000
Oklahoma	$3,980,000
Oregon	$3,980,000
Pennsylvania	$9,622,000
Puerto Rico	$3,980,000
Rhode Island	$3,980,000
South Carolina	$3,980,000
South Dakota	$3,980,000
Tennessee	$3,980,000
Texas	$20,591,000
U.S. Virgin Islands	$1,000,000
Utah	$3,980,000
Vermont	$3,980,000
Virginia	$7,120,000
Washington	$6,208,000
West Virginia	$3,980,000
Wisconsin	$3,980,000
Wyoming	$3,980,000
Total	**$402,000,000**

FY 2018 UASI Allocations

State/Territory	Funded Urban Area	FY 2018 UASI Allocation
Arizona	Phoenix Area	$4,000,000
California	Anaheim/Santa Ana Area	$5,000,000
	Bay Area	$27,500,000
	Los Angeles/Long Beach Area	$68,000,000
	Riverside Area	$3,000,000
	Sacramento Area	$2,500,000
	San Diego Area	$16,700,000
Colorado	Denver Area	$3,000,000
District of Columbia	National Capital Region	$52,750,000
Florida	Miami/Fort Lauderdale Area	$6,000,000
	Orlando Area	$1,500,000
	Tampa Area	$3,000,000
Georgia	Atlanta Area	$6,000,000
Hawaii	Honolulu Area	$1,500,000
Illinois	Chicago Area	$68,000,000
Maryland	Baltimore Area	$4,000,000
Massachusetts	Boston Area	$17,500,000
Michigan	Detroit Area	$5,000,000
Minnesota	Twin Cities Area	$5,000,000
Missouri	St. Louis Area	$3,000,000
Nevada	Las Vegas Area	$5,000,000
New Jersey	Jersey City/Newark Area	$22,750,000
New York	New York City Area	$178,750,000
North Carolina	Charlotte Area	$2,500,000
Oregon	Portland Area	$2,500,000
Pennsylvania	Philadelphia Area	$17,500,000
	Pittsburgh Area	$2,500,000
Texas	Dallas/Fort Worth/Arlington Area	$14,800,000
	Houston Area	$22,750,000
	San Antonio Area	$1,500,000
Virginia	Hampton Roads Area	$1,500,000
Washington	Seattle Area	$5,000,000
Total		**$580,000,000**

Appendix A - FY 2018 HSGP Program Allocations

FY 2018 SHSP and UASI LETPA Minimums

State/Territory	Funded Urban Area(s)	UASI Allocation	Total UASI Allocation	SHSP Allocation	Total Allocation by State	LETPA
Alabama				$3,980,000	$3,980,000	$995,000
Alaska				$3,980,000	$3,980,000	$995,000
American Samoa				$1,000,000	$1,000,000	$250,000
Arizona	Phoenix Area	$4,000,000	$4,000,000	$3,980,000	$7,980,000	$1,995,000
Arkansas				$3,980,000	$3,980,000	$995,000
California	Anaheim/Santa Ana Area	$5,000,000	$122,700,000	$59,235,000	$181,935,000	$45,483,750
	Bay Area	$27,500,000				
	Los Angeles/Long Beach Area	$68,000,000				
	Riverside Area	$3,000,000				
	Sacramento Area	$2,500,000				
	San Diego Area	$16,700,000				
Colorado	Denver Area	$3,000,000	$3,000,000	$3,980,000	$6,980,000	$1,745,000
Connecticut				$3,980,000	$3,980,000	$995,000
Delaware				$3,980,000	$3,980,000	$995,000
District of Columbia	National Capital Region	$52,750,000	$52,750,000	$3,980,000	$56,730,000	$14,182,500
Florida	Miami/Fort Lauderdale Area	$6,000,000	$10,500,000	$10,566,000	$21,066,000	$5,266,500
	Orlando Area	$1,500,000				
	Tampa Area	$3,000,000				
Georgia	Atlanta Area	$6,000,000	$6,000,000	$6,508,000	$12,508,000	$3,127,000
Guam				$1,000,000	$1,000,000	$250,000
Hawaii	Honolulu Area	$1,500,000	$1,500,000	$3,980,000	$5,480,000	$1,370,000
Idaho				$3,980,000	$3,980,000	$995,000
Illinois	Chicago Area	$68,000,000	$68,000,000	$15,712,000	$83,712,000	$20,928,000
Indiana				$3,980,000	$3,980,000	$995,000
Iowa				$3,980,000	$3,980,000	$995,000
Kansas				$3,980,000	$3,980,000	$995,000
Kentucky				$3,980,000	$3,980,000	$995,000
Louisiana				$3,980,000	$3,980,000	$995,000
Maine				$3,980,000	$3,980,000	$995,000
Maryland	Baltimore Area	$4,000,000	$4,000,000	$5,882,000	$9,882,000	$2,470,500
Massachusetts	Boston Area	$17,500,000	$17,500,000	$5,395,000	$22,895,000	$5,723,750
Michigan	Detroit Area	$5,000,000	$5,000,000	$6,368,000	$11,368,000	$2,842,000
Minnesota	Twin Cities Area	$5,000,000	$5,000,000	$3,980,000	$8,980,000	$2,245,000
Mississippi				$3,980,000	$3,980,000	$995,000
Missouri	St. Louis Area	$3,000,000	$3,000,000	$3,980,000	$6,980,000	$1,745,000
Montana				$3,980,000	$3,980,000	$995,000

Appendix A - FY 2018 HSGP Program Allocations

FY 2018 SHSP and UASI LETPA Minimums

State/Territory	Funded Urban Area(s)	UASI Allocation	Total UASI Allocation	SHSP Allocation	Total Allocation by State	LETPA
Nebraska				$3,980,000	$3,980,000	$995,000
Nevada	Las Vegas Area	$5,000,000	$5,000,000	$3,980,000	$8,980,000	$2,245,000
New Hampshire				$3,980,000	$3,980,000	$995,000
New Jersey	Jersey City/Newark Area	$22,750,000	$22,750,000	$7,993,000	$30,743,000	$7,685,750
New Mexico				$3,980,000	$3,980,000	$995,000
New York	New York City Area	$178,750,000	$178,750,000	$76,930,000	$255,680,000	$63,920,000
North Carolina	Charlotte Area	$2,500,000	$2,500,000	$5,246,000	$7,746,000	$1,936,500
North Dakota				$3,980,000	$3,980,000	$995,000
Northern Mariana Islands				$1,000,000	$1,000,000	$250,000
Ohio				$7,364,000	$7,364,000	$1,841,000
Oklahoma				$3,980,000	$3,980,000	$995,000
Oregon	Portland Area	$2,500,000	$2,500,000	$3,980,000	$6,480,000	$1,620,000
Pennsylvania	Philadelphia Area	$17,500,000	$20,000,000	$9,622,000	$29,622,000	$7,405,500
	Pittsburgh Area	$2,500,000				
Puerto Rico				$3,980,000	$3,980,000	$995,000
Rhode Island				$3,980,000	$3,980,000	$995,000
South Carolina				$3,980,000	$3,980,000	$995,000
South Dakota				$3,980,000	$3,980,000	$995,000
Tennessee				$3,980,000	$3,980,000	$995,000
Texas	Dallas/Fort Worth/Arlington Area	$14,800,000	$39,050,000	$20,591,000	$59,641,000	$14,910,250
	Houston Area	$22,750,000				
	San Antonio Area	$1,500,000				
U.S. Virgin Islands				$1,000,000	$1,000,000	$250,000
Utah				$3,980,000	$3,980,000	$995,000
Vermont				$3,980,000	$3,980,000	$995,000
Virginia	Hampton Roads Area	$1,500,000	$1,500,000	$7,120,000	$8,620,000	$2,155,000
Washington	Seattle Area	$5,000,000	$5,000,000	$6,208,000	$11,208,000	$2,802,000
West Virginia				$3,980,000	$3,980,000	$995,000
Wisconsin				$3,980,000	$3,980,000	$995,000
Wyoming				$3,980,000	$3,980,000	$995,000
Total		**$580,000,000**	**$580,000,000**	**$402,000,000**	**$982,000,000**	**$245,500,000**

Appendix A - FY 2018 HSGP Program Allocations

FY 2018 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 2018 OPSG.

Appendix B – FY 2018 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 to achieve the National Preparedness Goal (the Goal). 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 2018 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. 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).

The FY 2018 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.

DHS/FEMA requires recipients to prioritize grant funding to demonstrate how investments support closing capability gaps or sustaining capabilities identified in the THIRA/SPR process. Recipients are also expected to consider national areas for improvement identified in the 2017 National Preparedness Report as they relate to terrorism preparedness. These 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.

Reporting on the Implementation of the National Preparedness System

Identifying Plausible, Worst Case, Threats, and Hazards and Estimating Capability Requirements
By December 31, 2018, FY 2018 recipients are required to submit a THIRA/SPR, using an updated methodology that assesses only the response, recovery, and cross-cutting capabilities. In FY 2019, all core capabilities will be required and the SPR will still be submitted annually. However the THIRA requirement will be reduced to every three years.

> **Reporting**
> - States, territories, and urban areas will submit their THIRA/SPR through the URT no later than December 31, 2018. States, territories and Urban Areas should work collaboratively to create the most accurate THIRA/SPR possible. Jurisdictions and Urban Areas may share scenarios, targets, and assessed capabilities when appropriate.

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 BSIR, as part of programmatic monitoring, the recipient will be required to describe how expenditures support closing capability gaps or sustaining capabilities identified in the THIRA/SPR process. HSGP recipients will, on a project-by-project basis, check one of the following:
>   - Building a capability with HSGP funding; or
>   - Sustaining a capability with HSGP funding.

Planning to Deliver Capabilities
Recipients shall develop and maintain, jurisdiction-wide, all threats and hazards EOPs consistent with (CPG 101 Version 2.0 (v2), Developing and Maintaining Emergency Operations Plans. 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. Recipients must be able to demonstrate how investments support closing capability gaps or sustaining capabilities identified in the THIRA/SPR, areas for improvement identified from real-world incidents and preparedness exercises, and national areas for improvement identified in the most recent National Preparedness Report.

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 HSEEP website at https://www.fema.gov/exercise.and https://preptoolkit.fema.gov/web/hseep-resources/program-management.

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 National Exercise Program (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 no later than 90 days after the completion of the TEPW. Recipients are encouraged to enter their exercise information in the Preparedness Toolkit at https://www.fema.gov/national-exercise-program. DHS/FEMA will release additional guidance on Preparedness Toolkit, including how to enter exercise data, later in 2018.
- Recipients shall submit their AAR/IPs to hseep@fema.dhs.gov and indicate for exercises that use HSGP funds, indicating which year's funds were used. If the recipient submits a single AAR/IP to cover a HSGP progressive exercise series, the recipient must then specify the applicable HSGP grant year and the dates of the exercises in their submission to hseep@fema.dhs.gov. Submission of the AAR/IP shall be no later than 90 days after completion of the single exercise or progressive series. This link provides access to a sample AAR/IP template: https://preptoolkit.fema.gov/web/hseep-resources/improvement-planning. Recipients are encouraged to enter their AAR/IP in the Preparedness Toolkit at https://preptoolkit.fema.gov. DHS/FEMA will release additional guidance on Preparedness Toolkit, including how to develop and enter an AAR/IP, later in 2018.

Recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. This link provides access to a sample AAR/IP template: https://preptoolkit.fema.gov/web/hseep-resources/improvement-planning.

Improving Cybersecurity
The cybersecurity of our Nation's critical infrastructure is a top priority. National preparedness, and more specifically the protection of critical infrastructure, requires an ability to prevent and respond to cyber incidents. FEMA strongly encourages preparedness grant recipients and subrecipients to assess their cybersecurity risks and consider the use of preparedness grants for funding cybersecurity investments that will effectively address those risks.

Cybersecurity investments are permissible under HSGP. Recipients must limit the use of SHSP funds for projects that support the security and functioning of critical infrastructure and core capabilities as they relate to terrorism preparedness and may simultaneously support enhanced preparedness for other hazards unrelated to acts of terrorism. Additionally, grant-funded cybersecurity investments must support or otherwise be associated with the systems and equipment that are considered allowable costs under HSGP.

When requesting funds for cybersecurity, applicants are encouraged to propose projects that would aid in the implementation 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 in developing a cybersecurity program, the Framework provides initial guidance. For organizations with more advanced practices, the Framework offers a way to further improve cyber risk management practices.

The Department of Homeland Security's Critical Infrastructure Cyber Community C³ Voluntary Program also provides resources to support critical infrastructure owners and operators in the adoption of the Framework to more effectively manage cyber risk. Additional information on the C³ Program can be found at www.dhs.gov/ccubedvp.

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.

Fusion Centers

A critical component of the national response to the 9/11 terrorist attacks was the development of a national-level, decentralized, and coordinated terrorism-related information sharing environment (ISE). State and local governments, supported by federal investments from DHS, DOJ, HHS, and other federal agencies, established the National Network of Fusion Centers (National Network), which became the backbone of the national ISE. This National Network, comprised of 79 state and major Urban Area fusion centers, collaborates and shares information with partners from all levels of government, and the private sector, as well as other field-based information sharing partners, including HIDTAs, RISS Centers, JTTFs, and major city/county intelligence units, among others.

The National Network is a national asset that contributes to protecting the Homeland by providing a national capacity to identify, collect, analyze, and share information. State and local agencies that own and operate fusion centers have access to unique sources of information and maintain unique partnerships with local communities that cannot be replicated by federal agencies. These factors, combined with their operational independence from the federal government, allow fusion centers to provide partners with a distinct perspective on threats within their jurisdictions, contributing to a more comprehensive understanding of the threats facing our nation. National Network participation 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 addition to those activities identified in the National Prevention Framework, fusion centers are also encouraged to collaborate with those analytic, investigative, and information-sharing focused entities to combat transnational criminal organizations in support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism. Such entities include, but are not limited to Joint Terrorism Task Forces (JTTFs), Area Maritime Security Committees, Border Enforcement Security Task Forces, Integrated Border Enforcement Teams, High-Intensity Drug Trafficking Areas (HIDTAs), and Regional Information Sharing Systems (RISS) Centers.

Today's threats – to include terrorism, drugs, active shooters, transnational organized crime, and cyber – require federal, state, and local governments to leverage this national capacity to effectively respond to the evolving nature of the various national and homeland security threats confronting our Nation. Ultimately, timely analysis of key indicators from local, state, and federal partners will enable all stakeholders to identify emerging trends and develop and implement data-driven strategies to prevent, protect against, mitigate, and respond effectively.

To underscore the importance of the National Network as a critical component of our Nation's distributed homeland security and counterterrorism architecture, DHS/FEMA preparedness grants will continue to prioritize support for designated fusion centers (http://www.dhs.gov/fusion-center-locations-and-contact-information) and the maturation of the Information Sharing Environment (ISE).

Consistent with the designation as a high priority area in FY 2018, DHS/FEMA requires that all fusion center-related funding requests be consolidated into a single (1) investment for SHSP and a single (1) investment for UASI for states or Urban Areas in which designated fusion centers reside, as described in Section D in this NOFO regarding development of investments. 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. Further, 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). The fusion center must utilize its 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. Specific investment development instructions and a sample project description are available in Section D – Application and Submission Information.

Fusion centers should prioritize the following capabilities to further enable and mature this national asset and strengthen the collective capacity to identify, collect, analyze, and share information, and disseminate actionable and strategic intelligence to key stakeholders.

- **Addressing Emerging Threats**: Fusion centers provide a national-level, decentralized, and coordinated information sharing environment across all levels of government and disciplines that can be leveraged and applied to address emerging threats to homeland security, national security, public safety, and/or public health, and especially those threats that may have little or no warning. Fusion centers should leverage and build upon their terrorism-focused analytic and information sharing capabilities so they can be applied to address threats across the DHS mission space, to include transitional organized criminal activity, cyber threats, and/or natural hazards, among others that require close collaboration with DHS operational entities such as CBP, ICE, USCG, and FEMA.
- **Analytic Capability**: Fusion centers should maintain a strong analytic capability at both tactical and strategic levels to address a wide array of threats or hazards that could have implications for homeland security and/or national security. This capability includes building and sustaining a capable workforce of analysts that have the necessary experience and training, access to open source, unclassified, classified information, products, data, and suspicious activity reporting, as well as necessary services and technology to facilitate analytic capabilities. This capability also includes the ability to plan appropriately, assess/forecast, prioritize, and execute against both known and emerging threat vectors, while protecting privacy, civil rights, and civil liberties. Fusion centers should also consider their operational capacity when aligning manpower and resources in support of this capability (i.e., the ability to maintain watch and analytic support functions over a 24/7 operational tempo).
- **Technological Integration**: Access to data, information, and products is essential for fusion centers to effectively identify, collect, analyze, and share information. Just as threats do not stop at jurisdictional borders, fusion centers must be able to effectively access and share appropriate information and data across jurisdictions, agencies, and

disciplines. Fusion centers should ensure they have the necessary technological capacity to access, analyze, and share information, including criminal intelligence, both within their jurisdictions, as well as with other fusion centers across the country through a variety of systems, databases, tools, and technologies that allow for federated searching and data/information analysis that protects PII and includes appropriate privacy, civil rights, and civil liberties protections. Such approaches should also address the evaluation and use of emerging capabilities, including social network analysis, federated search technology, complex data indexing, social media, open source, facial recognition, unmanned aircraft systems, geographic information systems (GIS), and license plate reader technologies.

State and major Urban Area fusion centers receiving SHSP 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.

- FY 2018 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 through the annual Fusion Center Assessment managed by DHS Office of Intelligence & Analysis and reported 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, and 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 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.

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 2018 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.

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, the 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). Additionally, Urban Areas are required to establish Urban Area Working Groups (UAWGs) representative of the counties, cities, towns, and tribes within the high-risk urban area, including, as appropriate, representatives of rural jurisdictions, high-population jurisdictions, and high-threat jurisdictions.

Senior Advisory Committee (SAC)
The SAC builds upon previously established advisory bodies under 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 UAWGs, Statewide Interoperability Governing Board (SIGB), Area Maritime Security Committees (AMSCs), Regional Transportation Security Working Groups (RTSWGs), Citizen Corps Whole Community Councils, Disability Inclusion Working Groups, and Children's Working Groups. The membership of the SAC must reflect the state's unique risk profile and the interests of the five mission areas as outlined in the Goal. Further, the SAC must include representatives that were involved in the production of the state's THIRA/SPR.

SAC Composition and Scope
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 of UASI-funded Urban Areas;
- Representatives that were involved in the production of the state's THIRA/SPR;
- State and Urban Area Chief Information Officers (CIOs) and Chief Information Security Officers (CISOs);
- Statewide Interoperability Coordinator (SWIC) and Statewide Interoperability Governing Body (SIGB) members;
- 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;
- Hospitals;
- 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
- Nonprofit, faith-based, and other voluntary organizations such as the American Red Cross.

Additionally, 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 Awardee for HHS' Hospital Preparedness Program, State Public Safety Officer (and SAA for Justice Assistance Grants, if different), State Coordinator for the DoD 1033 Program (also known as the Law Enforcement Support Office (LESO) 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.

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

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.

Applicants must submit the list of SAC members and the SAC charter at the time of application as an attachment in ND Grants. Additionally, SAAs will use the URT to verify compliance with SAC charter requirements.

SAC Responsibilities
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, the private sector, and faith-based community resources;
- Management of all available preparedness funding sources to ensure their effective use and to minimize duplication of effort;
- Ensuring applications for SHSP and UASI funds align with the capability gaps identified in the THIRA/SPR process;
- 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 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 and UASI's THIRA/SPR data;
- 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/SPR data 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 SHSP and UASI activities.

To manage this effort and to further reinforce collaboration and coordination across the stakeholder community, a portion of the 20 percent holdback of a state or territory award may be utilized by the SAA to support 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.

Urban Area Working Group (UAWG)
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.

UAWG Composition and Scope
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 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 https://www.census.gov/programs-surveys/metro-micro.html.

The SAA must confirm a specific POC with the designated Urban Area. The SAA POC is 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.

Membership in the UAWG must provide either direct or indirect representation for all relevant jurisdictions and response disciplines (including law enforcement, fire service, EMS, hospitals, public health, 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;
- Chief Information Officer (CIO) and Chief Information Security Officer (CISO);
- 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, including HCCs;

- 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.

In addition to representatives from the local jurisdictions and tribes within the State or high-risk urban area, 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 must also complete an SPR and should coordinate with the respective state(s). States and UASIs should work collaboratively to create the most accurate THIRA and SPR possible. Jurisdictions and UASIs may share scenarios, targets, and assessed capabilities when appropriate. Completing an SPR helps to identify capability gaps and to prioritize investments required to reach the THIRA targets, resulting in a stronger investment justification.

Urban Areas will use the URT to verify UAWG structure and membership. The list of UAWG members must also be submitted at the time of application as an attachment in ND Grants. Urban Areas must notify the SAA and the FEMA HQ Program Analyst of any updates to the UAWG structure or membership.

UAWG Responsibilities
The UAWG will be responsible for coordinating the development and implementation of all program initiatives. Members of the UAWG should be involved in the development of an Urban Area THIRA and SPR coordinated with the State THIRA and SPR, and subsequent updates.

UAWGs must ensure that applications for funding under the UASI program support closing capability gaps or sustaining capabilities identified in the Urban Area THIRA and SPR.

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 period allotted for the state to obligate funds to subrecipients, 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 period allotted for the state to obligate funds to subrecipients. 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.

UAWG Charter
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 another 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 submitted at the time of application in ND Grants and 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.

Supplemental SHSP and UASI Guidance

Collaboration

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 four 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 (also known as the Law Enforcement Support Office (LESO) 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 a 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 here.

Collaboration with Health Care Coalitions (HCCs)

HCCs are regional entities comprised of health care, public health, emergency management and emergency medical services organizations that plan and respond together, leverage resources, and address challenges in health care delivery brought on by public health and medical incidents. Given that many of the risks being mitigated include the potential for a range of mass casualties, including those across the CBRNE spectrum, planning efforts should include the participation of HCCs, and should take into account the elements and capabilities articulated in the 2017-2022 Health Care Preparedness and Response Capabilities (https://www.phe.gov/Preparedness/planning/hpp/reports/Documents/2017-2022-healthcare-pr-capablities.pdf).

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.

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 include 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 https://www.fema.gov/office-equal-rights.

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, hospitals, HCCs, 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, hospitals, HCCs, 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 with a particular theme in the Ready Campaign's National Seasonal

Preparedness Messaging Calendar (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. 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.

Supplemental OPSG Guidance

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

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

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

OPSG funds must be used to 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. The appropriate Sector Headquarters will approve final Operations Orders 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 FEMA GPD has approved the final Operations Order and the embedded budget and USBP Headquarters and any existing special conditions and/or restrictions are removed.

Appendix C – FY 2018 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 capability gaps identified during the THIRA/SPR process. Recipients are encouraged to use grant funds for evaluating grant-funded project effectiveness and return on investment FEMA encourages recipients to provide the results of that analysis to FEMA.

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

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 of their SHSP funding, and all Urban Areas are allowed up to 50 percent of their UASI funding for personnel costs. Personnel hiring, overtime, and backfill expenses are permitted under this grant only to the extent that such expenses are for the allowable activities within the scope of the grant. Personnel expenses may include but are not limited to: training and exercise coordinators, program managers and planners, intelligence analysts, and statewide interoperability coordinators (SWIC).

At the request of a recipient, the FEMA Administrator may grant a waiver of this 50 percent limitation. 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.

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:
  - 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.

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. In that regard, HSGP recipients are urged to consider using grant funding to support soft target preparedness activities. SHSP or UASI funds may be used to support select operational expenses

associated with increased security measures in the authorized categories cited in the table below, but this table is not exhaustive. DHS/FEMA retains the discretion to approve other types of requests that do not fit within one of the categories of the table.

Table 1: Authorized Operational Overtime Categories

	Category	Description
1	**National Terrorism Advisory System (NTAS)**	Security measures in response to an <u>increase in the threat level</u> under the NTAS to an "elevated" or "imminent" alert status. GPD Information Bulletin No. 367, *Impact of National Terrorism Advisory System on Homeland Security Grant Programs*, remains applicable; therefore, advance authorization from FEMA is not required. Refer to https://www.dhs.gov/topic/ntas for additional information on the NTAS.
2	**National Security Special Event (NSSE)**	Security measures for a <u>designated</u> NSSE. NSSEs are events of national or international significance deemed by DHS to be a potential target for terrorism or other criminal activity.
3	**Special Event Assessment Rating (SEAR) Level 1 through Level 4 Events**	Security measures required for SEAR Level 1 through Level 4 events as designated by the Department of Homeland Security (DHS) and included in the DHS National Special Events List, as defined below: - SEAR 1: A significant event with national and/or international importance that may require extensive Federal interagency support; - SEAR 2: A significant event with national and/or international importance that may require some level of Federal interagency support. - SEAR 3: An event of national and/or international importance that requires only limited Federal support. - SEAR 4: An event with limited national importance that is managed at state and local level. NOTE: In cases where a threat of terrorism can be associated with a SEAR Level 5 event, the event planners should coordinate with their state or territory Homeland Security Advisor to seek re-adjudication of the SEAR rating. Operational overtime for security measures associated with such events will be considered for approval by FEMA if re-adjudication results in a SEAR 1 through 4 rating.
4	**States of Emergency**	Declarations of states of emergency by the Governor <u>associated with a terrorism-related threat or incident</u>. This excludes Presidentially-declared major disasters or emergencies where federal funding support for the proposed grant-funded activity is made available through the FEMA Public Assistance program or other Federal disaster grants.
5	**National Critical Infrastructure Prioritization Program (NCIPP)**	Protection of Level 1 and Level 2 facilities identified through the Department of Homeland Security's NCIPP <u>based on a terrorism-related threat</u> to critical infrastructure.

	Category	Description
6	**Directed Transit Patrols**	Targeted security patrols in airports and major transit hubs <u>based on a terrorism-related threat</u> to transportation systems.
7	**Other Related Personnel Overtime Costs**	Overtime costs may be authorized for personnel assigned to directly support any of the security activities relating to the categories above. Examples include firefighters and emergency medical services personnel; public works employees who may be responsible for installing protective barriers and fencing; public safety personnel assigned to assist with event access and crowd control; emergency communications specialists; fusion center analysts; National Guard; contract security services; etc.
8	**Operational Support to a Federal Agency**	Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities related to homeland security/terrorism preparedness 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. 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. 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.

All allowable operational overtime costs are also subject to the administration requirements outlined in the following subsection.

Administration of Operational Overtime Requests
- With the exception of an elevated NTAS alert, SHSP or UASI funds may only be spent for operational overtime costs upon prior written approval by FEMA. The State Administrative Agency (SAA) must submit operational overtime requests in writing, to its assigned FEMA Grant Programs Directorate (GPD) Program Analyst (PA). FEMA GPD will consider requests for special event activities up to one year in advance. However such requests must be within the award's current period of performance and not result in the need for a request to extend the period of performance. SAAs should contact the Centralized Scheduling and Information Desk (CSID) for PA contact information. CSID can be reached by phone at (800) 368-6498 or by e-mail at askcsid@fema.dhs.gov, Monday through Friday, 9:00 a.m. – 5:00 p.m. ET.
- All operational overtime requests must clearly explain how the request meets the criteria of one or more of the categories listed in the table above. Requests must address the threat

environment as it relates to the event or activity requiring operational overtime support and explains how the overtime activity is responsive to the threat. Request letters sent to FEMA GPD must be UNCLASSIFIED but may be labeled "For Official Use Only." If explaining the threat will require the sharing of classified information, the letter should state as such. FEMA GPD will then make arrangements for the sharing of classified information through official channels.

- Post-event operational overtime requests will only be considered on a case-by-case basis, where it is demonstrated that exigent circumstances prevented submission of a request in advance of the event or activity.
- Under no circumstances may DHS/FEMA grant funding be used to pay for costs already supported by funding from another federal source.
- 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). 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.
- FEMA will consult and coordinate with appropriate DHS components as necessary to verify information used to support operational overtime requests. For example, the review of operational overtime requests for the protection of critical infrastructure will be coordinated with DHS Office of Cyber and Infrastructure Analysis to verify the Level I or Level II NCIPP designation. Also, DHS Office of Intelligence and Analysis will be consulted to validate reported threat information associated with the event or activity.

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

For further details, SAAs should refer to 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 to fulfil 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 grant 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.

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. Overtime pay is for enhanced patrol for certified public safety officers, along with limited support for other law enforcement direct support personnel (i.e., Communication Officers/Dispatchers, non-sworn patrol pilots). Overtime shall be reimbursed consistent with the non-Federal entity's overtime policy and the requirements as stated below:
a) Overtime is time worked that exceeds the required number of hours during an employee's designated shift.
b) Overtime must be worked to increase patrol capacity and in support of identified and approved USBP border security operations.
c) The OPSG overtime hourly rate of pay will be no more than the approved overtime rate per local law and policy and in accordance with applicable state and federal regulations.
d) Exempt salaried employees may not be reimbursed for overtime unless the non-Federal entity's policy specifically allows for overtime reimbursement.
e) The non-Federal entity may not utilize OPSG funding to pay for an employee's overtime hours or pay that exceeds 16-hours worked in any 24-hour period.

Personnel Costs.
- Up to 50 percent of an OPSG award may be used to pay for all personnel costs (only to the extent that such expenses are for the allowable activities within the scope of the grant). At the request of a recipient, the FEMA Administrator may waive the 50 percent 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:
  o Be requested on official letterhead, include a written justification, and be signed by the local jurisdiction;
  o Include a budget and method of calculation of personnel costs both in the percentage of the grant award and in total dollar amount;
  o Include an approved Operations Order from the USBP Sector office which supports the local jurisdiction's written justification; and

- o Be coordinated with the USBP Sector, SAA, and the DHS/CBP Office of the Border Patrol (OBP).
- 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 Subrecipients may utilize temporary or term appointments to augment the law enforcement presence on the borders. However, applying funds toward hiring full-time or permanent sworn public safety officers is unallowable.
  - o For OPSG purposes, temporary appointments are non-status appointments for less than one year.
  - o For OPSG purposes, term appointments are non-status appointments for one year, extendable for one year as necessary.
  - o OPSG-funded temporary or term appointments may not exceed the approved period of performance.
  - o OPSG funding for temporary or term appointments may pay for salary only. Benefits are not allowable expenses for term or temporary employees.
  - o 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, subrecipients must follow their own applicable policies and procedures regarding temporary or term appointments.

Travel, Per Diem, and Lodging Costs. 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).

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 subrecipient and friendly forces cannot exceed 5 percent of the subrecipient award.

Friendly forces are local law enforcement entities that are second tier subrecipients 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 subrecipients under 2 C.F.R. Part 200.

Equipment (SHSP and UASI)
The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories for HSGP are listed on the Authorized Equipment List (AEL). The AEL is available at http://www.fema.gov/authorized-equipment-list. Some equipment items require prior approval before the obligation or purchase of the items. Please reference the grant notes for each equipment item to ensure prior approval is not required.

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.

Investments in emergency communications systems and equipment must meet applicable SAFECOM Guidance. Such investments must be coordinated with the SWIC and the State Interoperability Governing Body (SIGB) to ensure interoperability and long-term compatibility.

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.NEMSIS.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.

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

All requests to purchase Small Unmanned Aircraft Systems (SUAS) with FEMA grant funding must comply with IB 426 and 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.

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 Analyze, Design, Develop, Implement, and Evaluate (ADDIE) model of instructional design.

Recipients are also encouraged to utilize the National Training and Education Division's National Preparedness Course Catalog. Trainings include programs or courses developed for and delivered by institutions and organizations funded by DHS/FEMA/NTED. This includes the Center for Domestic Preparedness (CDP), the Emergency Management Institute (EMI), and NTED's Training Partner

Programs, including the Continuing Training Grants (CTG), the National Domestic Preparedness Consortium (NDPC), the Rural Domestic Preparedness Consortium (RDPC), and other partners.

The catalog features a wide range of course topics in multiple delivery modes to meet FEMA's mission scope as well as the increasing training needs of Federal, state, local, territorial, and tribal audiences. All courses have been approved through NTED's course review and approval process. The catalog can be accessed at 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 the 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 all public and private sector partners wanting to implement and/or expand the DHS "If You See Something, Say Something®" campaign using grant funds work directly with the DHS Office of Partnership and Engagement (OPE) to ensure all public awareness materials (e.g., videos, posters, tri-folds, etc.) are consistent with the Department's messaging and strategy for the campaign and compliant with the initiative's trademark, which is licensed to DHS by the New York Metropolitan Transportation Authority. Coordination with OPE, through the Campaign's Office (seesay@hq.dhs.gov), must 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 (SHSP, UASI, and 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. SHSP, UASI, or 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. SHSP, UASI, or OPSG subrecipients 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, subrecipients must be authorized by USBP Headquarters and Sectors and operational activities must be coordinated through a USBP Sector.

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)

Critical Emergency Supplies (SHSP and UASI)

Critical emergency supplies, such as shelf stable products, water, and medical equipment and 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.

SAAs (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 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 online at https://www.dol.gov/whd/govcontracts/dbra.htm.

OPSG funds may not be used for any construction.

> **Communications Towers**. When applying for funds to construct communication towers, recipients and subrecipients 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

gpdehpinfo@fema.dhs.gov.

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.

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 on 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.

Emergency Management Accreditation Program
With funds provided through FY 2018 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.emap.org.

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. More information on the purpose of NIEM is located in Appendix G – FY 2018 HSGP Supplemental Material of this NOFO.

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.

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.
*   Grant funds may not be used for the purchase of equipment not approved by DHS/FEMA. Grant funds must comply with IB 426 and may not be used for the purchase of the following equipment: firearms; ammunition; grenade launchers; bayonets; or weaponized aircraft, vessels, or vehicles of any kind with weapons installed.
*   Unauthorized exercise-related costs include:
    o   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).
    o   Equipment that is purchased for permanent installation and/or use, beyond the scope of the conclusion of the exercise (e.g., electronicmessaging sign).

Resources for Planning, Training, and Exercising

Planning Assistance
FEMA's National Preparedness Directorate (NPD) offers technical assistance (TA) that is designed to provide recipients and subrecipients 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. Although 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.

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, local, 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/National Training and Education Division (NTED) Provided Training
Trainings include programs or courses developed for and delivered by institutions and organizations funded by DHS/FEMA/NTED. This includes the Center for Domestic Preparedness (CDP), the Emergency Management Institute (EMI), and NTED's Training Partner Programs, including the Continuing Training Grants (CTG), the National Domestic Preparedness Consortium (NDPC), the Rural Domestic Preparedness Consortium (RDPC), and other partners.

NTED's National Preparedness Course Catalog
This online searchable catalog features a compilation of courses managed by the three primary FEMA training organizations: the CDP, EMI, and NTED. The catalog features a wide range of course topics in multiple delivery modes to meet FEMA's mission scope as well as the increasing training needs of Federal, state, local, territorial, and tribal audiences. All courses have been

approved through NTED's course review and approval process. The 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 is an electronic data management system built to assist SAA TPOCs and Federal agencies with submitting non-NTED provided training courses for inclusion in the State/Federal-Sponsored Course Catalog through electronic forms. The information collected is used in a two-step review process to ensure the training programs adhere to the intent of the HSGP guidance and the course content is structurally sound and current. As these programs may be delivered nationwide, it is vital to ensure each training program's viability and relevance to the Homeland Security mission. Reporting training activities through Web-Forms is not required under FY 2018 HSGP. However, the system remains available and can be accessed through the DHS/FEMA Toolkit located at https://www.firstrespondertraining.gov/frt/ to support recipients in their own tracking of training deliveries.

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 incidents – 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.

Appendix D –
FY 2018 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 2018 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 in Microsoft Word (*.doc)
- Must be submitted using the following file naming convention: "FY 20XX OPSG <State Abbreviation> - <Local Unit of Government Name>"
- OO must be reviewed by the Sector and the SAA prior to submission into the CBP Operation Stonegarden Data Management System.

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

Appendix E – FY 2018 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) shall be submitted through the CBP Stonegarden Data Management System. All OPSG grant Application packages shall be submitted to the SAA for entry into Grants.gov.

Application: Please refer to Section D – Application and Submission Information of this NOFO.

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 subrecipient 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 subrecipient intends to spend more than 50 percent 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 four months after the official awards announcement has been made.**

Tactical Operational Periods: Once the subrecipient 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.

Local risk factors should predicate the frequency and duration of each tactical operational period. 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.

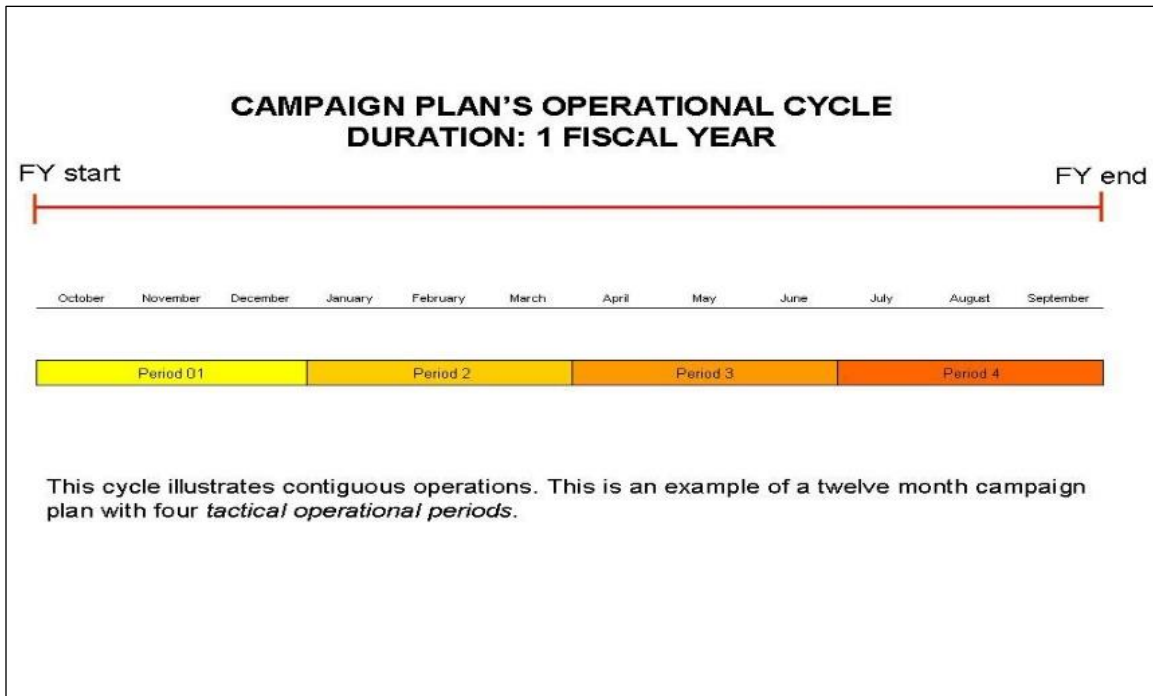The following diagrams illustrate two different approaches for conducting operations:[4]

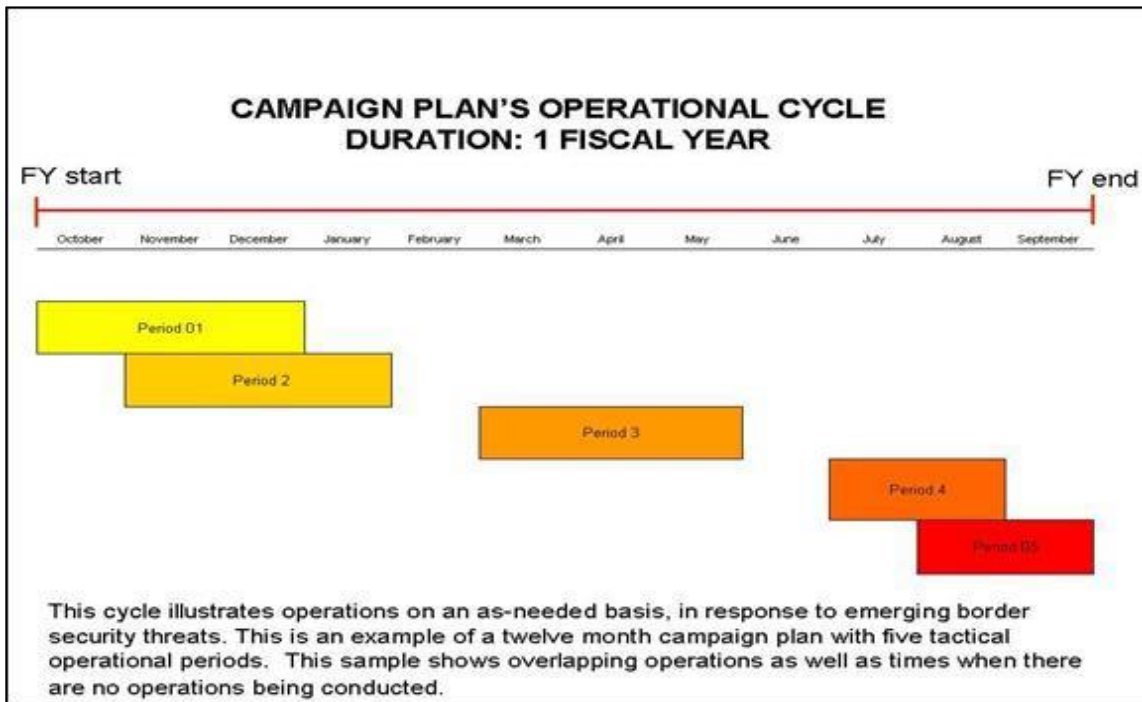**Figure 1: Example of an Ongoing Synchronized Operational Cycle**

Figure 2: Example of a Dynamic, Unsynchronized Operational Cycle

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[4] 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 2018 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. Subrecipients 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. Friendly Forces receiving funding through a subrecipient will submit DARs within 48 hours. Border Patrol Sectors and OPSG subrecipients will implement internal protocols to ensure operational data from subrecipients 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 subrecipients by the 10th 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 15th of each following month.

In addition to the ongoing reporting of outputs, subrecipient 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. 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
- 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 conducted;
  - Documenting and conducting random, on-site operational verification of OPSG patrols by subrecipients and friendly forces;
  - Verifying that subrecipients are performing OPSG enforcement duties in accordance with the 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 subrecipient/friendly force capabilities in order to provide for enhanced enforcement presence, operational integration, and intelligence sharing in border communities.

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;
- 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 Areas.
- 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 biannual reports to DHS/FEMA capturing the subrecipients' 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 subrecipients 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 subrecipients 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 2018 HSGP Allowable Cost Matrix

Allowable Program Activities [6]	SHSP	UASI	OPSG
Allowable Planning Costs			
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 only to the extent that such expenses are for allowable activities within the scope of the grant (not for the purpose of hiring public safety	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
Allowable Organizational Activities Note: Personnel hiring, overtime, and backfill expenses are permitted under this grant only to the extent that such expenses are for the allowable activities within the scope of the grant.			
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
Allowable Equipment Categories			
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

[6] Current as of publication for FY 2018 Programs. This list is not all-inclusive. See the respective program guidance for additional details and/or requirements

Allowable Program Activities [6]	SHSP	UASI	OPSG
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
Allowable Training Costs			
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
Allowable Exercise Related Costs			
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
Allowable Management & Administrative Costs			
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 2018 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, 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. Got to 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, go to https://niem.gov/EM.

Integrated Public Alert and Warning System (IPAWS)
The 2018 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, go to https://www.fema.gov/informational-materials.

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. For further information, refer to the section on Procurement Integrity in this NOFO and 2 C.F.R. §§ 200.317 – 200.326.

> **Cooperative Purchasing** (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)
> 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, visit https://www.dhs.gov/regional-resiliency- assessment-program.

Law Enforcement Support Office, or 1033 Program
LESO facilitates a law enforcement support program, which originated from the National Defense Authorization Act of Fiscal Year 1997. This law allows the transfer of excess Department of Defense property that might otherwise be destroyed by law enforcement agencies across the United States and its territories.

No equipment is purchased for distribution. All items were excess which had been turned in by military units or had been held as part of reserve stocks until no longer needed. Requisitions cover the gamut of items used by America's military -- clothing and office supplies, tools, and rescue equipment, vehicles, small arms, and more. There is no fee for the equipment itself, however, the law enforcement agencies are responsible for the shipping costs.

For additional information on the LESO, please visit
http://www.dla.mil/DispositionServices/Offers/Reutilization/LawEnforcement.aspx

Appendix H – Fusion Center Performance Measures

Reference Number	Performance Measures
2018.1	Percentage of federal Information Intelligence Reports (IIRs) originating from fusion center information that address a specific Intelligence Community need
2018.2	Percentage of evaluation federal IIRs originating from fusion center information that the Intelligence Community otherwise used in performing its mission (e.g., contained first-time reporting; corroborated existing information; addressed a critical intelligence gaps; or helped define an issue or target).
2018.3	Percentage of fusion center distributable analytic products that address a specific Intelligence Community need
2018.4	Number of Suspicious Reports (SAR) vetted and submitted by fusion centers that result in the initiation or enhancement of an investigation by the Federal Bureau of Investigation (FBI)
2018.5	Number of SAR vetted and submitted by fusion centers that involve an individual on the TSC Watchlist
2018.6	Percentage of Requests for Information (RFIs) from the Terrorist Screening Center (TSC) for which fusion centers provided information for a TSC case file
2018.7	Percentage of I&A Watchlist nominations that were initiated or updated existing case files based on information provided by fusion centers
2018.8	Number of distributable analytic products co-authored by one or more fusion centers and/or federal agencies
2018.9	Percentage of fusion center distributable analytic products that address Homeland Security topics
2018.10	Percentage of fusion center distributable analytic products that address state/local customer information needs
2018.11	Percentage of key customers reporting that they are satisfied with fusion center products and services
2018.12	Percentage of key customers reporting that fusion center products and services are relevant
2018.13	Percentage of key customers reporting that fusion center products and services are timely for mission needs
2018.14	Percentage of key customers reporting that fusion center products and services influenced their decision making related to threat response activities within their AOR
2018.15	Percentage of key customers reporting that fusion center products and services resulted in increased situational awareness of threats within their AOR
2018.16	Number of tips and leads vetted by the fusion center
2018.17	Number of tips and leads vetted by the fusion center that were provided to other F/SLTT agencies for follow up action
2018.18	Number of responses to RFIs from all sources
2018.19	Number of situational awareness products developed and disseminated by fusion centers
2018.20	Number of case support and/or tactical products developed and disseminated by fusion centers
2018.21	Percentage of federally designated special events in which fusion centers played a direct role
2018.22	Percentage of federally declared disasters in which fusion centers played a direct role
2018.23	Number of public safety incidents in which fusion centers played a direct role

Appendix H – FY 2018 Fusion Center Performance Measures

Appendix I – Supplemental Emergency Communications Guidance

Lessons learned from recent major disasters, unplanned events, and full-scale exercises have identified a need for greater coordination of emergency communications among senior elected officials, emergency management agencies, and first responders at all levels of government. Federal responders arriving on the scene of a domestic incident are not always able to communicate with state, local, tribal and territorial response agencies, as well as key government officials. State and local first responders sometimes experience similar problems, particularly when the incident requires a multi-agency, regional response effort, or when primary communications capabilities fail. This lack of operability and interoperability between Federal, state, local, tribal, and territorial agencies – further complicated by problems with communications survivability and resilience – has hindered the ability to share critical information, which can compromise the unity-of-effort required for an effective incident response.

Departments and agencies at all levels of government have identified a need for improvement in a number of high-priority areas, including: Governance, Planning, Training and Exercises, Operational Coordination, and Technology. In addition, communications resilience and continuity should be viewed as a critical component within each of these areas. These priorities are explained in detail in Section 2 of the FY 2018 SAFECOM Guidance on Emergency Communications Grants *(SAFECOM Guidance)*. By addressing these priorities, which are reflective of proven best practices, emergency communications can be significantly improved at all levels of government. The end goal is to ensure operable, interoperable, and resilient communications that maintain a continuous flow of critical information, under all conditions, among multi-jurisdictional and multi-disciplinary emergency responders, command posts, agencies, critical infrastructure sectors, and government officials for the duration of an emergency response operation, and in accordance with the National Incident Management System (NIMS) and the National Emergency Communications Plan (NECP), which describes goals and objectives for improving emergency communications nationwide.

To help meet this goal, the *SAFECOM Guidance* outlines requirements for grant applications, including alignment to national, regional, and state communications plans (e.g., NECP, Statewide Communications Interoperability Plan (SCIP), Tactical Interoperability Communications Plan (TICP), FEMA Regional Emergency Communications Plan (RECP), project coordination, and technical standards for emergency communications technologies. SCIPs define the current and future direction for interoperable and emergency communications within a state or territory, while TICPs are designed to allow urban areas, counties, regions, states/territories, tribes, or Federal Departments/Agencies to document interoperable communications governance structures, technology assets, and usage policies and procedures. In addition, FEMA's formal planning process has produced 10 RECPs and their associated State and/or Tribal/Territorial Annexes that identify emergency communications capability shortfalls and potential resource requirements. Grant recipients are encouraged to leverage these planning resources as a source of input and reference for all emergency communications grant applications and investment justifications.

In addition, DHS/FEMA formally recognizes several statewide emergency communications governance bodies (e.g., Statewide Interoperability Coordinator (SWIC), Statewide Interoperability Governing Body [SIGB], Statewide Interoperability Executive Committee (SIEC), FirstNet State

Single Point of Contact (SPOC)), and strongly encourages grant recipients to closely coordinate with these entities when developing an emergency communications investment to ensure projects support the state or territory's strategy to improve their communications capabilities with the goal of achieving fully operable, interoperable, and resilient communications. In addition, grantees should work with public and private entities, and across jurisdictions and disciplines, to demonstrate engagement with the Whole Community in accordance with Presidential Policy Directive-8 (PPD-8).

For regional, cross-border initiatives, DHS/FEMA requires applicants to coordinate projects with national level emergency communications coordination bodies, such as the National Committee of Statewide Interoperability Coordinators (NCSWIC) and the Regional Emergency Communications Coordination Working Groups (RECCWGs). The NCSWIC promotes and coordinates state level activities designed to ensure the highest level of public safety communications across the nation. RECCWGs are congressionally mandated planning and coordination bodies located in each FEMA Region that and provide a collaborative forum to assess and address the survivability, sustainability, operability, and interoperability of emergency communications systems at all levels of government. Grant-funded investments that are coordinated with these bodies will help ensure that Federally-funded emergency communications investments are interoperable and support national policies.

Resilient Communications Guidance
Nothing better demonstrates a modern nation than its ability to effectively communicate. The risk imposed by the reliance on communication systems by government and the private sector can be reduced by understanding dependencies, analyzing effects, and taking action. Entities planning to use HSGP funding for communications investments are encouraged to work with State Emergency Management Agencies, SWICs, SIGBs, and appropriate stakeholders at the regional, state, local, territorial, and tribal levels to:
- Establish robust, resilient, reliable and interoperable communications capabilities. Account for the mission impact of communication system disruptions in your planning.
- Ensure mission-related communications (voice, video, data and network security requirements) are adequately planned for and understood. It is important to maintain current documentation of your communication systems architecture and perform regular audits. Your ability to continue operations is dependent on the availability of and access to communications systems with sufficient resiliency, redundancy, and accessibility to perform essential functions and provide critical services during a disruption.
- Ensure critical communication systems connectivity among key government leadership, internal elements, other supporting organizations, and the public under all conditions. As such, organizations should ensure current copies of vital records, including electronic files and software, are backed-up and maintained off-site.
- Ensure all communications systems/networks are traced from end to end to identify all Single Points of Failure (SPF). In doing so, grantees should work with communication service providers to add redundancy at key critical infrastructure facilities as needed.
- Ensure key communication systems resiliency through:
  - Ensuring availability of backup systems;
  - Ensuring diversity of network element components and routing;
  - Ensuring geographic separation of primary and alternate transmission media;

- o Ensuring availability of back-up power sources;
- o Ensuring availability and access to systems that are not dependent on commercial infrastructure;
- o Maintain spares for designated critical communication systems; and
- o Work with commercial suppliers to remediate communication Single Points of Failure.
- All communications system owners are encouraged to address the following issues:
  - o Integrate communications needs into continuity planning efforts by incorporating mitigation options to ensure uninterrupted communications support;
  - o Establish a cybersecurity plan that includes continuity of a communications component such as Radio Frequency (RF)-based communications that do not rely on public infrastructure.
  - o Maintain communications capabilities to ensure their readiness when needed;
  - o Frequently train and exercise personnel required to operate communications capabilities;
  - o Test and exercise communications capabilities; and
  - o Consider Electromagnetic Pulse (EMP) protective measures for communications systems where practical.

DHS/FEMA Communications Support Services
DHS Office of Emergency Communications (OEC) and FEMA offer a variety of technical assistance and other support services to assist state and local entities in their efforts to comply with the above requirements, including the *SAFECOM Guidance*, with the goal of ensuring interoperable and resilient emergency communications. A summary of DHS/FEMA support services is provided below. Grant recipients are encouraged to refer to the respective websites for additional information.

DHS OEC Support:
To assist in these efforts, DHS established OEC, which assists agencies through a myriad of services, to include direct technical assistance and training provided at no cost to the jurisdiction. The TA offerings include (but are not limited to):
- Enhanced Governance Structure – Enhanced SCIP Workshop
- Communications Unit (COMU) Policy and Planning Development at the State and County Level
- COMU Assistance under Emergency Management Assistance Compact (EMAC)
- Next Generation 9-1-1 (NG9-1-1)
- Alerts and Warnings
- Continuity Planning

Information on these services is available at https://www.dhs.gov/ictapscip-resources and https://www.dhs.gov/oec-technical-assistance-program.

FEMA Disaster Emergency Communications Division (DEC) Support:
DEC has developed State Communications Annexes for all of the 56 States and Territories. DEC provides technical assistance, coordinated through the FEMA Region, Regional Emergency Communications Coordinator (RECC) in scheduling with the State and Territories major updates to

the Annexes. Major updates are scheduled on a 3-5 year cycle. FEMA DEC supports the major update with a team of communications and emergency management specialists that facilitate a process of interaction with state representatives. This process is coordinated through the SWICC or State designated representative. All documentation is the responsibility of the FEMA support team and validated through state interaction.

Minor yearly updates to the State Annexes is accomplished through the RECCWG process. FEMA DEC support staff, working in coordination with the Region Specific RECC, incorporate pertinent update information provided by State and local Representatives. Additionally, operational information identified through exercises and incident response activities is a source of update data. The FEMA RECC, with the support of the DEC team, is responsible for maintaining the State Annexes – changes and modifications to the Annexes are validated with the State through RECC coordination with the SWIC or designated state representative.

FEMA National Preparedness Directorate (NPD) Support:
NPD provides training, exercises, and technical assistance to state, local, tribal and territorial (SLTT) stakeholders that support operational and emergency communications. Descriptions and resources specific to operational communication are available on FEMA's website (https://www.fema.gov/core-capability-development-sheets) within the Response Mission Area and include the following information to support jurisdictions:
- Description of the operational communications core capability
- Training for building and sustaining operational communication with specific course titles
  - Trainings can also be found at https://www.firstrespondertraining.gov/frt/.
- Example capability targets to complete a Threat and Hazard Identification and Risk Assessment
  - Help in developing targets can be requested at FEMA-SPR@fema.dhs.gov
- Resources Types that support operational communications
  - Additional resource types and position qualifications can be found at https://rlt.preptoolkit.fema.gov
- Tools to validate capabilities through exercises
  - Technical assistance and support from subject matter experts can be requested through www.fema.gov/national-exercise-program

FEMA National Continuity Programs (NCP) Support:
NCP's support services focus on holistic continuity planning, of which communications continuity is an important component. Currently, continuity communications training and technical assistance is limited to the FEMA National Radio System (FNARS) and the Integrated Public Alert and Warning System (IPAWS), and is delivered either on an ad hoc basis at the request of the State entity, through a FEMA Region, or via a requirement for terms of use. Entities interested in NCP support services should contact FEMA-CGC@fema.dhs.gov or consult NCP's Continuity Resources Toolkit webpage at https://www.fema.gov/continuity-resource-toolkit.

FirstNet
The Middle Class Tax Relief and Job Creation Act of 2012, Pub. L. No. 112-96, as amended (codified in part at 47 U.S.C. §§ 1401-1473) established the First Responder Network Authority (hereinafter FirstNet Authority) as an independent authority within the National

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Telecommunications and Information Administration ("NTIA").[1] The FirstNet Authority's statutory mission to establish a nationwide public safety broadband network (FirstNet).[2] FirstNet uses the 700 MHz D block spectrum to provide Long-Term Evolution (LTE)-based broadband services and applications to public safety entities.[3] FirstNet became operational in March 2018 and is based on a single, national network architecture that will evolve with technological advances and initially consist of a core network and radio access network (RAN).

FirstNet will provide public safety entities with mission-critical broadband data capabilities and services including, but not limited to messaging, image sharing, video streaming, group text, voice, data storage, application, location-based services, and Quality of Service, Priority, and Preemption. Public safety entities seeking to enhance their operational capabilities using broadband technology may seek grant funding to support the following:

- **Planning for integration** of information technology (IT) infrastructure, software, and site upgrades necessary to connect to FirstNet.
- **Handheld broadband devices** including smartphones, feature phones, tablets, wearables, push-to-talk (PTT) devices.
- **Vehicle-mounted or otherwise field operated data devices** such as ruggedized laptops.
- **Network access devices** including portable Wi-Fi devices, Universal Serial Bus (USB) modems/dongles, trunk-mounted modems, routers.
- **Customer Owned and Managed (COAM) broadband deployable equipment**, enabling public safety to own and dispatch coverage expansion or capacity enhancement equipment within their jurisdiction.
- **Broadband device accessories** that enable efficient and safe public safety operations such as headsets, belt clips, earpieces, remote Bluetooth sensors, ruggedized cases.
- **Subscriber Identification Modules (SIMs)/Universal Integrated Circuit Cards (UICCs)** to allow public safety users to update existing devices to operate on public safety prioritized services.
- **One-time purchase and subscription-based applications** for public safety use which could include, among a number of other options, enterprise mobility management (EMM), mobile device management (MDM), mobile Virtual Private Network (VPN), identify services, or cloud service tools.

As FirstNet is built out in all 56 states and territories and coverage and capacity for first responders expands, recipients are strongly encouraged to coordinate with the Statewide Interoperability Coordinator (SWIC) and FirstNet on (1) the planning, deployment timelines, and operational availability of the network deployment within a specific state or territory; (2) to ensure the project does not conflict with network planning efforts; and (3) that the project complies with all technical requirements. FirstNet requires participating agencies to demonstrate a subscription to public safety-prioritized broadband services to purchase FirstNet broadband devices or applications. **Information Bulletin #386 is hereby rescinded as the technical requirements and nationwide network architecture has been developed, and FirstNet is operational**. Recipients, however, must coordinate with FirstNet in advance of any strategic acquisition of broadband LTE equipment

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[1] 47 U.S.C. § 1424(a).
[2] 47 U.S.C. § 1426(b).
[3] 47 U.S.C. §§ 1401(2), 1421(a).

to ensure that purchases adhere to all applicable standards for public safety entities. Recipients with questions on FirstNet should contact info@firstnet.gov. Refer to the FY 2018 SAFECOM Guidance for additional guidance.