

North Dakota Department of Emergency Services
Notice of FUNDING OPPORTUNITY (NOFO)
FY 2015 HOMELAND SECURITY GRANT PROGRAM (HSGP)
For Local and Tribal Government Agencies, Hospitals,
and Non-Profit Organizations

OVERVIEW INFORMATION

Issued By

North Dakota Department of Emergency Services (NDDDES) through the U.S. Department of Homeland Security (DHS): Federal Emergency Management Agency (FEMA)

Catalog of Federal Domestic Assistance (CFDA) Number

97.067

CFDA Title

Homeland Security Grant Program

Authorizing Authority for Program

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

Appropriation Authority for Program

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

Key Dates and Time

Application Start Date: 04/17/2015

Application Submission Deadline Date and Time: 05/08/2015 at 11:59:59 p.m. CT

Anticipated Funding Selection Date: 05/12/2015

Anticipated Award Date: No later than 11/14/15 or pending EHP approval

Other Key Dates

Period of Performance Start Date: 09/01/2015 approximately

Period of Performance End Date: 08/31/2017 approximately

Eligible Applicants

Local and Tribal Governments, Hospitals, and Non-Profit Organizations as defined in 2 CFR Part 200

Application Package

Application forms and instructions are available at: <http://www.nd.gov/des/homeland/grants/info/>.

FY 2015 Homeland Security Grant Program

Overview

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

This NOFO is for the following grant program: State Homeland Security Program (SHSP)

This grant program funds a range of activities, including planning, equipment purchase, training, and exercises across all core capabilities and mission areas.

Objectives

The State Homeland Security Program (SHSP) assists state, Tribal and local preparedness activities that address high-priority preparedness gaps across all core capabilities where a nexus to terrorism to exists. All supported investments are based on capability targets and gaps identified during the Threat and Hazard Identification and Risk Assessment (THIRA) process, and assess in State Preparedness Report (SPR).

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

National Priorities

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

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

The Department of Homeland Security requires recipients to prioritize investments that address capability targets and gaps identified through the annual THIRA and SPR process. These assessments

set capability targets and measure current ability to meet those targets.

State Priorities

The North Dakota Department of Emergency Services, in consultation with the department's advisory committee (DESAC), has prioritized the following five core capabilities for FY 2015 SHSP local and tribal government, hospital, and non-profit organization project.

- Mission Area: All (Prevention, Protection, Mitigation, Response, and Recovery)
 - Public Information and Warning
- Mission Area: Protection
 - Physical Protective Measures
 - Cybersecurity
- Mission Area: Response
 - Critical Transportation
 - Public & Private Services & Resources

Priority 1: Projects that involve Cybersecurity Core Capability or Physical Protective Measures Core Capability activities.

Priority 2: Projects that involve Public Information and Warning Core Capability or Public and Private Services and Resources Core Capability activities.

Priority 3: Projects that involved Critical Transportation Core Capability activities.

Applicants must prioritize the projects proposed in their application.

Available Funding

To be determined by DESAC.

Note: Not all applicants are guaranteed to receive funding

Eligibility Information

Eligible sub-recipients under the FY 2015 HSGP are described above on page 1.

Other Eligibility Requirements

Emergency Management Assistance Compact (EMAC) Membership

All assets supported in part or entirely with FY 2015 HSGP funding must be readily deployable to support emergency or disaster operations per existing EMAC agreements. In addition, funding may be used for the sustainment of core capabilities that, while they may not be physically deployable, support national response capabilities.

National Incident Management System (NIMS) Implementation

Prior to allocation of any Federal preparedness awards in FY 2015, recipients must ensure and maintain adoption and implementation of NIMS.

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, credentialing, and inventorying promote a

strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications is on DHS/FEMA's website under <http://www.fema.gov/resource-management-mutual-aid>.

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

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

Consolidation of Law Enforcement Terrorism Prevention Activities (LETPA)

Per section 2006 of the *Homeland Security Act of 2002*, as amended, (6 U.S.C. § 607), DHS/FEMA is required to ensure that at least 25 percent (25%) of grant funding appropriated for the Homeland Security Grant Program are used for law enforcement terrorism prevention activities.

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

Cost Share or Match

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

Application Submission Deadline

All applications **must** be received by the established deadline. In general, NDDDES will not review applications that are not received by the deadline or consider them for funding.

How to Apply

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

- 1) Applying for, updating or verifying their Data Universal Numbering System (DUNS) Number;
- 2) Completing grant application;
- 3) Submitting the complete application to NDDDES by the **May 8, 2015 application deadline**.

1. Obtain a Data Universal Numbering System Number (DUNS)

Instructions for obtaining a DUNS number can be found at the following website:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>.

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

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

2. Completing Grant Application

This guidance contains instructions for collecting the required information for the application. Additionally, applicants must use the Project Detail Worksheet to assemble the information required for each project.

3. Final Application Submission to NDDDES

Applications will only be accepted electronically by email. The completed application, including the project detail worksheet should be attached to an email and sent to: drice@nd.gov.

SHSP Program Specific Application Instructions

Project Narrative

As part of the FY 2015 HSGP application process for SHSP funds, applicants must develop a formal project narrative that addresses each category being proposed for funding. The project narrative must demonstrate how proposed projects:

- Address capability gaps identified as State priorities;
- Align to state THIRA and national priorities; and
- Engage and/or impact the whole community, including children, older adults, pregnant women, individuals with limited English proficiency, individuals with disabilities and others with access and functional needs

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

Note: Only projects that align with the five core capabilities listed above under State Priorities will be considered.

Instructions

Applicants must utilize the Project Worksheet to assemble the information required for each project.

Recipients investing in emergency communications must describe how activities align to the statewide Communication Interoperable Plan (SCIP). Recipients must coordinate with the statewide Interoperability Coordinator (SWIC) and/or statewide Interoperability Governance Body (SIGB) when developing an emergency communications project prior to submission to ensure the project supports the statewide strategy to improve emergency communications and is compatible and interoperable with surrounding systems.

Funding Restrictions

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

Environmental Planning and Historic Preservation (EHP) Compliance

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

Additionally, all recipients are required to comply with DHS/FEMA EHP Policy Guidance. This EHP Policy Guidance can be found in FP 108-023-1, <http://www.dhs.gov/grants/ehp/EHP-PolicyGuidance-508.pdf>, and FP 108.24.4, <http://www.fema.gov/media-library-data/1388411752234-6ddb79121951a68e9ba066d2569aa488/18Dec13-NoNEPARreview.pdf>.

Costs incurred to comply with FEMA's EHP requirements are the responsibility of grant recipients. This includes costs associated with the preparation, collection, or assembly of the necessary documentation, the submission of the EHP clearance form, and/or the consultation fees for the development of an Environmental Assessment (EA) or an Environmental Impact Statement (EIS).

SAFECOM

Recipients (including sub-recipients) who receive awards under HSGP that wholly or partially provide funding for emergency communication projects and related activities must comply with the most recent version of the *SAFECOM Guidance on Emergency Communications Grants*, <http://www.dhs.gov/safecom/blog/2015/04/08/fy-2015-safecom-guidance>. This guidance provides recommendations to recipients regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability. The guidance is intended to ensure that Federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. Recipients (including sub-recipients) investing in broadband-related investments should review *IB 386: Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments*, and consult the State Interoperability Coordinator on such Investments before developing applications.

Direct Costs

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

Planning, Equipment, Training, Exercises: Planning, Equipment, Training and Exercises related costs are allowed under this program only as described in this NOFO.

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.

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

Unallowable Costs

The following costs are **not** allowable under this NOFO:

- Pre-award costs are **not** allowable.
- Indirect costs are **not** allowable.

Application Review Information

FY 2015 HSGP applications will be evaluated through a review process for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed project(s). Descriptions of projects should be clear and concise and should include whether the project supports a NIMS typed resource and whether assets are deployable/sharable.

Grant projects must be: 1) both feasible and effective at reducing the risks for which the project was designed; and 2) able to be fully completed within the two-year period of performance. NDDES will use the information provide in the application to determine feasibility and effectiveness of the grant project. Information that would assist in the feasibility and effectiveness determination includes the following:

- Scope of work (purpose and objectives of the project, identification of what is being protective, identification of core capability addressed, desired outcomes)
- Project schedule

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

NDDES will verify compliance with all administrative and eligibility criteria identified in the NOFO and review the submission of risk driven, capabilities-based projects. NDDES will verify alignment of proposed project to gaps identified through the THIRA/SPR process and national priorities identified in the NPR. Sub-recipients may be required by DHS/FEMA to revise their projects.

Pre-Award Notification

Sub-recipients will receive notification by mail if their project is selected for funding sometime in May 2015. This notification is **not** an award. Actual awards will not be issued until the fall of 2015 (see Notice of Award section below). Project started prior to Notice of Grant Award will not be funded.

Notice of Award

Notification of award approval is made through the mail to the awardee authorized official listed in the

initial application. The date of approval of award is the “award date.” The awardee should follow the directions in the notification to accept the award. Notice of Grant Award will be issued once NDDDES receives its award from DHS which is expected sometime in September 2015.

Sub-recipients must accept their awards no later than 15 days from the award date. The sub-recipients shall notify the awarding agency (NDDDES) of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Funds will remain on hold until the sub-recipient accepts the award by signing and returning the Notice of Grant Award to NDDDES. Failure to accept the grant award within the 15 day timeframe may result in a loss of funds.

Sub-recipients who’s project require EHPs and who’s EHPs are not approved by FEMA with 35 days of the State receiving the federal award, will be sent a letter requiring them to accept the funding contingent upon approval of the EHP by FEMA

SHSP Pass-Through Requirements

The SAA (NDDDES) must obligate at least 80% of the funds awarded under SHSP to local units of government within 45 days of receipt of funds. This means that sub-recipients **must** sign and return their Notice of Grant Award to NDDDES within that timeframe.

Administrative and National Policy Requirements

Successful applicants for all DHS/FEMA grants are required to comply with DHS/FEMA Standard Administrative Terms and Conditions available at: <https://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>.

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

Reporting Requirements

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

Financial and Compliance Audit Report

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

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

Program Performance Reporting Requirements

Recipients are responsible for providing updated performance reports using the *2015 HSGP Project Status Report* on a quarterly basis. The form will be accessible online at: <http://www.nd.gov/des/forms/>.

2015 HSGP Project Status Report Reporting Periods and Due Dates

Reporting Period	Report Due Date
September 1, 2015 – December 31, 2015	January 15, 2016
January 1, 2016 – March 31, 2016	April 15, 2016
April 1, 2016 – June 30, 2016	July 15, 2016
July 1, 2016 – September 30, 2016	October 15, 2016
October 1, 2016 – December 31, 2016	January 15, 2017
January 1, 2017 – March 31, 2017	April 15, 2017
April 1, 2017 – June 30, 2017	July 15, 2017
July 1, 2017 – August 31, 2017	September 15, 2017

Emergency Operations Plan (EOP)

Recipients (at the county, city, or tribal level) must update their EOP a least once every two years to comply with Comprehensive Preparedness Guide (CPG) 101 Version 2.0, *Developing and Maintaining Emergency Operations Plans*.

Threat and Hazard Identification and Risk Assessment (THIRA)

FY 2015 HSGP award recipients must complete, or update (for FY 2014 HSGP recipients) their THIRA. To do this, recipients must participate in their county THIRA process. The requirement for this year is Step 2 (Threats and Hazards Contexting). NDDDES staff will aid local jurisdictions by facilitating the THIRA process.

State Preparedness Report (SPR)

The SPR is an annual capability assessment. The *Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA)* requires an SPR from any state/territory receiving federal preparedness assistance administered by DHS/FEMA. Each state submits an annual SPR to DHS/FEMA. Sub-recipients may be required to provide data to inform that SPR.

Closeout

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

Within 15 days after the end of the period of performance, recipients must submit a final project status report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance, as well as the following documentation:

- 1) Final request for payment, if applicable;
- 2) Final Project Status Report;
- 3) A qualitative narrative summary on the impact of those accomplishments thought the entire period of performance submitted to NDDDES in a Word document;
- 4) Equipment Inventory Report – Inventory of all tangible personal property acquired using funds from this award. The form is available at: <http://www.nd.gov/des/forms/>.

- 5) Other documents required by program guidance or terms and conditions of the award.

The recipient must liquidate all obligations incurred under the HSGP award by the end of the period of performance. Recipients who do not liquidate their obligations within the period of performance will have the costs of their unliquidated obligations disallowed.

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

Reimbursement Requests

Reimbursement requests must be made at a minimum on a quarterly basis throughout the period of performance according to the chart below. The form is available at <http://www.nd.gov/des/uploads/resources/287/54169---financial-reimbursement-requested-detail---july-2005.pdf>. The final Reimbursement Request is due 15 days after the end date of the performance period. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

NDDDES Contact Information

Financial, Programmatic, or Administrative Questions Pre-Award and Post Award

NDDDES's Grants and Training Section provides technical assistance. The Grants & Training section manages, administers, and conducts application budget review, creates the award package, approves, amends and closes out awards. Questions should be sent to drice@nd.gov.

GPD Environmental Planning and Historic Preservation (GPD-EHP)

NDDDES provides guidance and information about the EHP review process to sub-recipients. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to khilfer@nd.gov. EHP Technical Assistance, including the EHP Screening Form, can be obtained by contact Karen Hilfer at the above email address.

Additional Information

Extensions

No extensions to the initial period of performance identified in the award will be considered.

National Preparedness

DHS/FEMA coordinates with local, State, territory, Tribal, and Federal governments as well as the private and nonprofit sectors to facilitate an all-of-nation/whole community, risk driven, and capabilities-based approach to preparedness. This approach is grounded in the identification and assessment of risk through the THIRA. For additional information on THIRA, please refer to: <http://www.fema.gov/threat-and-hazard-identification-and-risk-asseessment>. To ensure that the community's shared understanding of risk evolves to account for changes in the risk landscape, including successful mitigation efforts, emerging threats, hazards, and associated consequences sub-recipients are required to participate in their local THIRA process. Information on the National Preparedness System can be found in the National Preparedness System Description (released November 2011), which is posted on the FEMA website at

<http://www.fema.gov/national-preparedness-system>.

Payments

NDDDES uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, the recipient must complete a Direct Deposit Form.

Monitoring

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

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

Conflict of Interest

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

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

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

Appendix A – Program Priorities

Alignment of HSGP to the National Preparedness System

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

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

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

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

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

In addition, DHS/FEMA expects recipients to prioritize grant funding to address gaps identified through the annual SPR in achieving capability targets set through the annual THIRA. These assessments identify the jurisdictions’ capability targets and current ability to meet those targets. Recipients should prioritize grant funds to increase capability for high-priority core capabilities with low capability levels.

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

- Prevent a threatened or an actual act of terrorism;
- Protect our citizens, residents, visitors, and assets against the greatest threats and hazards;

- Mitigate the loss of life and property by lessening the impact of future catastrophic events;
- Respond quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident; and/or
- Recover through a focus on the timely restoration, strengthening, accessibility and revitalization of infrastructure, housing, and a sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident.

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

Reporting on the Implementation of the National Preparedness System

Identifying and Assessing Risk and Estimating Capability Requirements

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

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

For FY 2015 local THIRA's will concentrate on Step Two of the THIRA process, contextualizing threats and hazards.

Reporting

Counties/Tribes are required to submit an annual update to their THIRA to NDDDES. *Applicant's involvement in the local THIRA process should be documented.* Further information will be forthcoming.

Building and Sustaining Capabilities

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

NIMS Implementation

Recipients receiving HSGP funding are required to implement the National Incident Management System (NIMS). The NIMS uses a systematic approach to integrate the best existing processes and methods into a unified national framework for incident management. Incident

management refers to how incidents are managed across all homeland security activities, including prevention, protection, and response, mitigation, and recovery. FY 2015 recipients must use standardized resource management concepts such as typing, credentialing, and inventorying to facilitate the effective identification, dispatch, deployment, tracking, and recovery of resources.

Planning to Deliver Core Capabilities

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

Reporting

County, City, and Tribal Emergency Management programs will submit to NDDES at least once every two years certification of compliance with CPG 101 v2 through the EMPG program.

Validating Capabilities

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

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

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

Reporting

- Sub-recipients are required to develop a multi-year training and exercise plan (TEP) that identifies training and exercise priorities and activities. The TEP shall be submitted to NDDES with the county EMPG grant application.
- Sub-recipients are required to submit one After Action Report/Improvement Plan (AAR/IP) for each HSGP-funded progressive exercise series; or submit individual AAR/IPs for each HSGP-funded exercise. AAR/IPs should be submitted to blvossler@nd.gov or lregorrah@nd.gov no later 30 days after completion of the exercise. Recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. Recipients are encouraged to use the HSEEP AAR/IP template located at <https://www.fema.gov/exercise> and use the Corrective Action Program (CAP) System at <https://hseep.dhs.gov/caps/>, to track the implementation of corrective actions listed in the AAR/IP.

Reviewing and Updating

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

calibrate goals and objectives.

Supplemental SHSP Guidance

Whole Community Engagement

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

Collaboration with Nonprofit Organizations

SHSP 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.

Multiple Purpose or Dual-Use of Funds

For SHSP, 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 funded projects must assist recipients and sub-recipients in achieving target capabilities related to preventing, preparing for, protecting against, or responding to acts of terrorism.

Enhancing Cybersecurity Capabilities

Applicants are encouraged to propose projects to aid in implementation of all or part of the National Institute of Standards and Technology (NIST) *Cyber Security Framework* (<http://www.nist.gov/cyberframework/upload/cybersecurity-framework-021214-final.pdf>) when requesting funds for cybersecurity. The Framework gathers existing global standards and practices to help organizations understand, communicate, and manage their cyber risks. For organizations that don't know where to start, the Framework provides a road map. For organizations with more advanced cybersecurity, the Framework offers a way to better communicate with their leadership and with suppliers about management of cyber risks.

The Department of Homeland Security's *Critical Infrastructure Cyber Community C³ Voluntary Program* (<http://www.dhs.gov/about-critical-infrastructure-cyber-community-c%C2%B3-voluntary-program>) also provides resources to critical infrastructure owners and operators to assist in adoption of the Framework and managing cyber risks.

Citizen Preparedness

Although the Citizen Corps Program (CCP) is no longer funded as discrete grant programs within HSGP, SAAs may include IJs funding to support CCP activities/programs. Activities funded under these projects must meet the allowability requirements of the SHSP program. The following coordination requirements will remain in place for proposed activities that support citizen preparedness.

To demonstrate whole community engagement, Citizen Corps Councils and Community CERT programs must register new programs or annually update information for an existing program on line in order to be considered by a state or local jurisdiction for inclusion in their applications when applying for HSGP funds. Program updates can be made at <http://www.ready.gov/citizen-corps> for Citizen Corps Councils and at <http://www.fema.gov/community-emergency-response-teams> for CERT Programs. The *Citizen Corps and CERT Whole Community Core Capabilities Tool* has been developed

to help recipients develop IJs that reference how Citizen Corps and CERT activities contribute to and support specific core capabilities.

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

Contact Larry Regorrah at lregorrah@nd.gov for information on the North Dakota Citizen Corps program.

Emergency Management Accreditation Program

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

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

Other Requirements

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

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

Appendix B – 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).

Funding guidelines established within this section support the five mission areas—Prevention, Protection, Mitigation, Response, and Recovery—and associated core capabilities within the Goal.

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

Continuity of Operations

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

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

Planning

SHSP funds may be used for a range of emergency preparedness and management planning activities that support the Goal.

Equipment

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

Note: Only equipment that sustains or builds one or more of the five core capabilities listed on page 3 above will be considered for funding.

Training

Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP programs and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS and DOT). Training conducted using HSGP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or other assessments and contribute to building a capability that will be evaluated through a formal exercise. Any training or training gaps, including those for children, older adults, pregnant women, and individuals with disabilities or access and functional

needs, should be identified in the AAR/IP and addressed in the local training cycle. Recipients are encouraged to use existing training rather than developing new courses. When developing new courses, recipients are encouraged to apply the Analysis, Design, Development, Implementation and Evaluation model of instructional design (Course Development Tool) located at <https://www.firstrespondertraining.gov>.

Exercises

Exercises conducted with grant funding should be managed and executed in accordance 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)

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 (<http://www.fema.gov/media-library/assets/documents/32474>) 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 a maintenance or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty.

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

Law Enforcement Terrorism Prevention Allowable Costs (SHSP)

Activities eligible for use of LETPA focused funds are outlined in the National Prevention Framework (<http://www.fema.gov/national-planning-frameworks>) (and where capabilities are shared with the protection mission area, the National Protection Framework) and include but are not limited to:

- Training for countering violent extremism; development, implementation, and/or expansion of programs to engage communities that may be targeted by violent extremist radicalization; and the development and implementation of projects to partner with local communities to prevent radicalization to violence, in accordance with the Strategic Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States; and
- Increase physical security, through law enforcement personnel and other protective measures by implementing preventive and protective measures at critical infrastructure site or other at-risk nonprofit organizations.

Supplanting

Grant funds will be used to supplement existing funds, and will **not** replace (supplant) funds that have been appropriated for the same purpose.

Unallowable Costs

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

Per the Anti-Deficiency Act, federal government personnel, or representatives thereof, are prohibited from participation in projects awarded to sub-recipients. This includes the solicitation, selection and monitoring of sub-recipients.

Additional Training Information

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

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

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

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

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

Additional Exercise Information

Recipients that decide to use HSGP funds to conduct an exercise(s), it is encouraged they complete a progressive exercise series. Recipients are encouraged to invite representatives/planners involved with other Federally-mandated or private exercise activities.

- *Exercise Scenarios.* The scenarios used in HSGP-funded exercises must be based on the State's THIRA. The scenarios used in HSGP-funded exercises must focus on validating capabilities,

must be large enough in scope and size to exercise multiple activities and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities. Exercise scenarios should align with priorities and capabilities identified in the Multi-year Training and Exercise Plan.

- *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 exercise that test the integration and use of non-governmental resources provided by non-governmental entities, defined as the private sector and private non-profit, faith-based, community, participation in exercises should be coordinated with the local Citizen Corps Council(s) or their equivalent and other partner agencies.

Unauthorized Exercise Costs

Unauthorized exercise-related costs include:

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

Appendix C – HSGP Allowable Cost Matrix

This list is not all-inclusive.

Allowable SHSP Program Activities
Allowable Planning Costs
Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, response, and recovery activities
Developing related terrorism and other catastrophic event prevention activities
Developing and enhancing plans and protocols
Developing or conducting assessments
Hiring contract/consultants to assist with planning activities
Materials required to conduct planning activities
Travel/per diem related to planning activities
Activities to achieve planning inclusive of people with disabilities
Coordination with Citizen Corps Councils for public information/education and development of volunteer programs
Update governance structures and processes and plans for emergency communications
Allowable Equipment Categories
See Authorized Equipment List
Allowable Training Costs
Overtime and Backfill for emergency preparedness and response personnel attending DHS/FEMA-sponsored and approved training classes
Overtime and backfill expenses for part-time and volunteer emergency response personnel participating in DHS/FEMA training
Training workshops and conferences
Activities to achieve training inclusive of people with disabilities
Contractors/Consultants
Travel
Supplies
Coordination with Citizen Corps Councils in conducting training exercises
Interoperable communications training
Allowable Exercise Related Costs
Design, Develop, Conduct, and Evaluate an Exercise
Contractors/Consultants
Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in DHS/FEMA exercises
Implementation of HSEEP
Activities to achieve exercises inclusive of people with disabilities
Travel
Supplies
Interoperable communications exercises