

FY 2013 TRIBAL HOMELAND SECURITY GRANT PROGRAM (THSGP) FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)

OVERVIEW INFORMATION

Issued By

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

Catalog of Federal Domestic Assistance (CFDA) Number

97.067

CFDA Title

Homeland Security Grant Program

Funding Opportunity Announcement Title

Fiscal Year (FY) 2013 Tribal Homeland Security Grant Program (THSGP)

Authorizing Authority for Program

Section 2005 of the *Homeland Security Act of 2002*, Public Law 107-296, (6 U.S.C. § 606), as amended by the *Implementing Recommendations of the 9/11 Commission Act of 2007*.

Appropriation Authority for Program

The Department of Homeland Security Appropriations Act, 2013 (Public Law 113-6)

FOA Number

DHS-13-GPD-067-000-02

Key Dates and Time

Application Start Date: 05/21/2013

Application Submission Deadline Date: 06/24/2013 at 11:59:59 PM EST

Anticipated Funding Selection Date: 08/02/2013

Anticipated Award Date: 09/01/2013

Other Key Dates

Applying for FY 2013 THSGP funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One immediately after the FOA is published but no later than June 17, 2013, by submitting a complete Standard Form 424 to Grants.gov. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step One to Grants.gov could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full

application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is June 24, 2013. For additional details see Section X of the full FOA.

Intergovernmental Review

Is an intergovernmental review required?

Yes No

Applicants shall provide a copy of applications to be submitted under the FY 2013 THSGP to their respective State Administrative Agency (SAA) of each State in which any part of the applicant jurisdiction is located to ensure consistency with the State's homeland security plans. This also allows all entities within the States to ensure there is collaboration and coordination in the implementation and execution of Federal grant dollars in support of the National Preparedness Goal (NPG). If the Governors of the States determine that the application is inconsistent with the State's homeland security plans, or otherwise do not support the application, they may notify the FEMA Administrator in writing of that fact within 30 days of receiving the application. The writing must provide an explanation for not supporting the application. For a list of SAAs, please contact the Centralized Scheduling and Information Desk (CSID) by phone at (800) 368-6498 or by e-mail at askcsid@fema.gov, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

FOA EXECUTIVE SUMMARY

Program Type

Select the applicable program type:

New Continuing One-time

Date of origin for Program: 01/04/2007

Opportunity Category

Select the applicable opportunity category:

Discretionary Mandatory Competitive Non-competitive

Application Process

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

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

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

Eligible Applicants

The following entities are eligible to apply directly to FEMA under this solicitation.

Native American Tribal Governments (Federally recognized) that are “directly eligible Tribes”

Federally recognized Tribes are those Tribes appearing on the list published by the Secretary of the Interior pursuant to the *Federally Recognized Indian Tribe List Act of 1994*, Public Law 103–454, (25 U.S.C. § 479a-1).

“Directly eligible Tribes” are defined in Section 2001 of the *Homeland Security Act of 2002*, (6 U.S.C. § 601), as amended by § 101 of the 9/11 Act, Public Law 110-53.

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

Type of Funding Instrument

Select the applicable funding instrument:

Grant Cooperative Agreement

Cost Share or Match

Select the applicable requirement:

Cost Match Cost Share None Required

Maintenance of Effort

Is there a Maintenance of Effort (MOE) requirement?

Yes No

Management and Administration

Management and administration (M&A) activities are those defined as directly relating to the management and administration of THSGP funds, such as financial management and monitoring. A maximum of up to five percent (5%) of funds awarded may be retained by the tribal grantee, and any funds retained are to be used solely for M&A purposes associated with the THSGP award.

Indirect Costs

Indirect costs are allowable only if the applicant has an approved indirect cost rate with the cognizant Federal agency. 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. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.

FULL FOA

I. Funding Opportunity Description

Program Overview and Priorities

THSGP is one tool among a comprehensive set of initiatives authorized by Congress and implemented by the Administration to help strengthen the Nation against risks associated with potential terrorist attacks. Funding under THSGP is provided to strengthen Tribes' capacity to prepare for and respond to emergency situations.

Program Objectives

The FY 2013 THSGP plays an important role in the implementation of the National Preparedness System (NPS) by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal (NPG) of a secure and resilient Nation. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The FY 2013 THSGP's allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

The Department of Homeland Security Appropriations Act, 2013 (Public Law 113-6) authorized additional funding allocated at the discretion of the Secretary of the Department Homeland Security, to support appropriated programs in FY 2013. DHS has augmented the THSGP in FY 2013 by allocating an additional \$4.3 million over FY 2012 available THSGP funding to support efforts that to build and sustain core capabilities through activities such as:

- Planning
- Maintenance and sustainment
- Building Law Enforcement Terrorism Prevention (LETP) capabilities
- Conducting a Threat and Hazard Identification and Risk Assessment (THIRA)
- Whole community approach to security and emergency management
- Strengthening governance integration
- Typing of equipment and training

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For additional information on program priorities and objective for FY 2013 THSGP, refer to Appendix A – *THSGP Priorities*.

II. Funding Information

Award Amounts, Important Dates, and Extensions

Available Funding for this FOA: \$10,000,000

Projected Number of Awards: 50

Projected Award Start Date(s): 09/01/2013

Projected Award End Date(s): 08/31/2015

Period of Performance: 24 months

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

Period of Performance

Is an extension to the period of performance permitted?

Yes No

Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications as to why an extension is required. Agencies should request extensions sparingly and expect extensions to be granted only under exceptional circumstances. For additional information on the period of performance extensions, refer to Information Bulletin (IB) 379 located at <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>.

Additional Funding Information

In an effort to assist with FY 2013 planning and application development, the table below provides a historical overview of THSGP application submissions and funding.

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Total Funds Available	\$1,645,000	\$1,788,000	\$10,000,000	\$10,000,000	\$6,000,000
Total Funding Requested	\$12,141,043	\$6,316,827	\$42,233,222	\$39,798,929	\$21,174,154
Number of Applications Received	17	20	48	58	50
Number of Applications Funded	12	13	24	21	23
Average Award Amount	\$137,000	\$137,538	\$416,667	\$476,190	\$260,870

Law Enforcement Terrorism Prevention (LETP)

Per Section 2006 of *The Homeland Security Act of 2002* (Public Law 107-296), as amended by the 9/11 Act (6 U.S.C. § 607), tribal grantees are required to ensure that at least 25 percent (25%) of THSGP award funds are dedicated towards law enforcement terrorism prevention planning, organization, training, exercise, and equipment activities. For additional information on law enforcement terrorism prevention, refer to Appendix B – *Funding Guidelines*.

III. Eligibility Information

Eligibility Criteria

In order to be eligible to receive THSGP funding, grantees must be considered “directly eligible Tribes as well as Federal recognized Tribes.” Per 6 U.S.C. § 601(4), the term “directly eligible Tribe” means –

- (A) any Indian Tribe –
 - (i) that is located in the continental United States;
 - (ii) that operates a law enforcement or emergency response agency with the capacity to respond to calls for law enforcement or emergency services;
 - (iii)
 - a. that is located on or near (50 miles) an international border or a coastline bordering an ocean (including the Gulf of Mexico) or international waters;
 - b. that is located within 10 miles of a system or asset included on the prioritized critical infrastructure list established under section 210E(a)(2) [of the Homeland Security Act of 2002, as amended by Section 1001 of the 9/11 Act] or has such a system or asset within its territory;
 - c. that is located within or contiguous to one of the 50 most populous metropolitan statistical areas in the United States; or
 - d. the jurisdiction of which includes not less than 1,000 square miles of Indian country, as that term is defined in section 1151 of title 18, United States Code; and
 - (iv) that certifies to the Secretary that a State has not provided funds under section 2003 [UASI] or 2004 [SHSP] [of the Homeland Security Act of 2002, as amended by Section 101 of the 9/11 Act] to the Indian Tribe or consortium of Indian Tribes for the purpose for which direct funding is sought; and
- (B) a consortium of Indian Tribes, if each Tribe satisfies the requirements of subparagraph (A).

In summary, eligible Tribes must meet the requirements set forth in (A) (i), and (A) (ii), and (A) (iv). Tribes must also meet one of the requirements set forth in (A) (iii); either (A) (iii) (a), or (A) (iii) (b), or (A) (iii) (c), or (A) (iii) (d). Finally, (B) may also be satisfied, if each Tribe satisfies the requirements of subparagraph (A).

In (A)(iii)(a), above, “near” an international border or a coastline means within 50 miles of an international border or coastline, and “coastline bordering...international waters” does not include the coastline of the Great Lakes.

In FY 2013, applicants must self-certify as to whether they meet the eligibility requirements. Self-certification will be provided on the THSGP Eligibility Certification Form as part of application Investment Justification (IJ). Any questions regarding an applicant’s proximity to a Critical Infrastructure and Key Resources (CI/KR) site, as described in the eligibility criteria, may be directed to the SAA. Any additional questions

regarding the overall self-certification of eligibility process may be directed to the Centralized Scheduling and Information Desk (CSID). CSID can be reached by phone at (800) 368 - 6498 or by e-mail at askcsid@fema.gov, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

IV. Funding Restrictions

Restrictions on Use of Award Funds

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

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

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

THSGP grantees may only fund investments that were included in the FY 2013 IJs that were submitted to FEMA and evaluated through the peer review process.

For additional details on restrictions on the use of funds please refer to Appendix B - *Funding Guidelines*.

V. Application Review and Selection Information

Application Review Information

FY 2013 THSGP funds will be allocated based on two factors: 1) eligibility, as defined in the *Homeland Security Act of 2002*, as amended by the 9/11 Act and self-certified by applicant, and 2) effectiveness: the score of the applicant's THSGP IJ. With respect to the effectiveness criteria, THSGP IJs will be evaluated through a peer review process for completeness, adherence to programmatic guidelines, and the anticipated effectiveness of the proposed Investment(s). Only the information included in the IJ will be scored in the peer review process.

As part of the FY 2013 THSGP scoring process, applicants who have not received funding in prior years will receive five points in addition to the peer reviewers' average score for each Investment submitted as part of their IJ.

Tribes are encouraged to participate as volunteer reviewers in the FY 2013 peer review process. FEMA GPD seeks peer reviewers who are:

- Experienced professionals, including Native American Association leaders/members, with experience in tribal relations as it relates to homeland security and/or emergency management
- Representative of a variety of disciplines relating to homeland security and/or emergency management
- Familiar with the peer review process

Participation in the process will provide reviewers the unique opportunity to gain insight into the evaluation process and to learn innovative ideas being utilized by their peers. Those interested in participating in the peer review process should contact the CSID.

For additional details on application review information, please refer to Appendix C - *THSGP Investment Justification (IJ) Outline*.

Application Selection Process

The following process will be used to make awards under FY 2013 THSGP:

- Applicants will self-certify the tribe's eligibility per the *Homeland Security Act of 2002*, as amended by the 9/11 Act;
- FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of an IJ by the established due dates;
- Eligible applications will be reviewed and scored through a peer review process to analyze the anticipated effectiveness of proposed Investments; and
- FEMA will use the results of the peer review effectiveness scores to make recommendations for funding to the Secretary of Homeland Security.

VI. Post-Selection and Pre-Award Guidelines

Notice of Award

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

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

Administrative and Federal Financial Requirements

Grantees are obligated to submit various financial and programmatic reports as a condition of their award acceptance. Please see below for a summary of financial and/or programmatic reports as required. Future awards and fund draw-downs may be withheld if these reports are delinquent.

- 1. Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw-downs may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through the Payment and Reporting System (PARS).
- 2. Grant Close-Out Process.** Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. As part of the final report, grantees must submit the Tangible Personal Property Report (SF-428), available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-428.pdf, to provide an inventory of all tangible personal property acquired using THSGP funds. An inventory of all construction projects that used THSGP funds has to be reported using the Real Property Status Report (Standard Form SF 429) available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf.

Programmatic Reporting Requirements

- 1. Performance Progress Report (SF-PPR).** Awardees are responsible for providing updated performance reports using the SF-PPR (OMB Control Number: 0970-0334) on a semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Grantees must submit the cover page of the SF-PPR as an attachment to the ND Grants system. The SF-PPR can be accessed online at http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf.

Grantees will be required to report on progress towards implementing plans described in their application.

2. **Biannual Strategy Implementation Reports (BSIR).** In addition to the Quarterly Reports grantees are responsible for completing and submitting BSIR reports. The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided within the BSIR to show progress made toward meeting strategic goals and objectives as well as how expenditures support Planning, Organization, Equipment, Training and Exercises (POETE). The first BSIR is not due until at least six months after the award notice has been received by the grantee.
3. **Exercise Evaluation and Improvement.** Exercises implemented with grant funds should evaluate the performance of capabilities against the level of capabilities required. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program (HSEEP) located at <https://hseep.dhs.gov>.
4. **Monitoring.** Grant recipients will be monitored on an annual and as needed basis by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

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

VII. DHS FEMA Contact Information

Contact and Resource Information

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

Financial and Administrative Information

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

- 2. FEMA Regions.** FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance to the grant programs included in this solicitation. For a list of contacts, please go to <http://www.fema.gov/about/contact/regions.shtm>.
- 3. GPD Environmental Planning and Historic Preservation (GPD-EHP).** The FEMA GPD-EHP Team provides guidance and information about the EHP review process to grantees and sub-grantees. 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 at https://www.rkb.us/ehp_docs.cfm.

Programmatic Information

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

Systems Information

- 1. Grants.gov.** For technical assistance with Grants.gov, please call the Grants.gov customer support hotline at (800) 518-4726.
- 2. Non Disaster (ND) Grants.** For technical assistance with the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076.

VIII. Other Critical Information

Mutual Aid Requirement

In support of the National Preparedness Goal (NPG), all assets supported in part or entirely with FY 2013 THSGP funding by States, territories and Tribes must be readily deployable to support emergency or disaster operations. 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 NPG, and fusion centers.

National Preparedness

DHS 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. The THIRA supports the community's shared understanding of risk and how it evolves to account for changes in the risk landscape, including successful mitigation efforts, emerging threats, hazards, and associated consequences. Information on the NPS can be found in the National Preparedness System Description (released Nov 2011), which is posted on the FEMA website at <http://www.fema.gov/national-preparedness/national-preparedness-system>. Additional details regarding the NPS and how it's supported by THSGP can be found in Appendix A – *THSGP Priorities*.

National Incident Management System (NIMS) Implementation

Prior to allocation of any Federal preparedness awards in FY 2013, grantees 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, inventorying, and cataloging promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and national Tier I NIMS Resource Types can be found at <http://www.fema.gov/resource-management>.

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, 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

Environmental Planning and Historic Preservation (EHP) Compliance. As a Federal agency, 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. Grantees and sub-grantees 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 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 FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, 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.

SAFECOM Guidance for Emergency Communications Grants Compliance

Grantees (including sub-grantees) that are using THSGP funds to support emergency communications activities should comply with the *FY 2013 SAFECOM Guidance for Emergency Communications Grants*. SAFECOM Guidance is available at <http://www.safecomprogram.gov/grant/Default.aspx>.

Emergency Operation Plans (EOPs)

Grantees must update their EOP at least once every two years. An evaluation matrix to describe and calculate the percentage towards compliance with CPG 101 v.2 is available at <http://www.fema.gov/national-preparedness/plan>.

Threat and Hazard Identification and Risk Assessment (THIRA)

Grantees must submit a THIRA by December 31, 2013. Further details on the THIRA as it relates to THSGP requirements can be found in Appendix B – *Program Specific Priorities*. For additional guidance on THIRA, please refer to CPG 201 and the supplemental toolkit, available at <http://www.fema.gov/national-preparedness/plan>.

IX. How to Apply

Application Instructions

THSGP Investment Justification (IJ): As part of the FY 2013 THSGP application process, applicants must develop a formal IJ that addresses each Investment being proposed for funding. The IJ must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities and link to one or more core capabilities identified in the NPG. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Applicants must ensure that the IJ is consistent with all applicable requirements outlined in the application kit.

Applicants will find additional information regarding the THSGP IJ template, FEMA Form 089-22 (OMB Control Number: 1660-0113), in Appendix C – *THSGP Investment Justification (IJ) Outline*.

X. Application and Submission Information

Address to Request Application Package

FEMA makes all funding opportunities available on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", enter the CFDA number (97.067) or the FOA Number noted in the Overview Information section of the FOA and then select "Download Application Package". Select "Download Application Package," and then follow the prompts to download the application package. To download the instructions, go to "Download Application Package" and select "Instructions."

Content and Form of Application

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

The application must be started and submitted using Grants.gov after registration in the System for Award Management (SAM) is confirmed. The on-line application includes the following required form:

- Standard Form 424, Application for Federal Assistance

Applying for FY 2013 THSGP funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One as soon after the FOA is published but no later than June 17, 2013. This involves submitting a complete Standard Form 424 to www.grants.gov. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to Grants.gov to complete Step One could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is June 24, 2013.

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

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 112-0-3C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- THSGP Investment Justification (OMB Control Number: 1660-0113/FEMA Form: 089-22) (see Appendix C–*THSGP Investment Justification “IJ” Outline* for a description of the IJ and the IJ submission process).

The program title for the THSGP (formerly known as State Homeland Security Program Tribal) listed in the CFDA is “Homeland Security Grant Program.” The CFDA number is 97.067.

- 2. Dun and Bradstreet Data Universal Numbering System (DUNS) Number.** The applicant must provide a DUNS number with their application. This number is a required field within <http://www.grants.gov> and for SAM. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at (866) 705-5711.
- 3. System for Award Management (SAM).** The application process also involves an updated and current SAM registration by the applicant at <http://www.sam.gov>. Please ensure that your organization’s name, address, DUNS number and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used to apply for all FEMA awards. Future payments will be contingent on the information provided in SAM; therefore it is imperative that the information is correct. .

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

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

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

Hard copies of the application will not be accepted.

Appendix A - THSGP Priorities

The Alignment of THSGP to the National Preparedness System (NPS)

The NPS is the instrument the Nation will employ to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (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 NPS is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the NPS enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>).

National preparedness is a shared responsibility of the whole community. Every member must be given the opportunity to contribute.

The FY 2013 THSGP plays an important role in the implementation of the NPS by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks for each of the five mission areas outlined in the Goal. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The THSGP allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

Particular emphasis in THSGP will be placed on capabilities that address the greatest risks to the security and resilience of tribal communities and the United States. Funding will support deployable assets that can be utilized through automatic assistance and mutual aid agreements.

Using the core capabilities, FY 2013 THSGP supports the achievement of the NPG by:

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

The core capabilities contained in the Goal are highly interdependent and require us to use 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.

To support building, sustaining, and delivering these core capabilities grantees will use the components of the NPS. The components of the NPS 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/national-preparedness-system>.

Building and Sustaining Core Capabilities

FY 2013 THSGP focuses on the development and sustainment of core capabilities as outlined in the Goal. Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential capabilities are the core capabilities identified in the Goal.

Working together, individuals, tribal government officials, and elected leaders can develop plans to allocate resources effectively and reduce risk. For these plans to be effective, those involved must consider methods to reduce and manage risk as well as how to sustain appropriate levels of capability and address potential shortfalls in order to achieve the Goal.

Achieving the Goal will require participation and resources from the whole community. Not all capabilities can be addressed in a given local, tribal, State, or Federal funding cycle, nor can funding be expected to flow from any one source. Officials must prioritize the achievement of certain capabilities to most effectively ensure their security and resilience while understanding the effects of not addressing other identified needs. Building and sustaining capabilities will include a combination of organizational resources, equipment, training, and education. Consideration must also be given to finding, connecting to, and strengthening community resources by using the expertise and capacity of individuals, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. Jurisdictions must also use mutual aid agreements to fill needs and work with partners to develop regional capabilities. Ultimately, a jurisdiction may need to rely on other levels of government or partners to address a particular need. This expectation should be communicated well before an event occurs when the capabilities are most urgently needed.

As these issues are considered in light of the eligible activities, the results of an effective THIRA must inform jurisdictions' preparedness planning efforts. This risk picture will provide an understanding of potential consequences from the range of threats and hazards a community faces daily as well as those infrequent events that would stress the core capabilities of a jurisdiction. Coupled with the desired outcomes

and capability targets established by a community, this combined perspective is crucial to enabling all levels of government, including tribal nations, to effectively estimate the level of capabilities required to manage its greatest risks.

Files and information on the NPS can be found at <http://www.fema.gov/national-preparedness/national-preparedness-system>.

Threat and Hazard Identification and Risk Assessment (THIRA)

Knowledge of risks enables a community to make informed decisions about how to manage risk and develop needed capabilities. Risk is commonly thought of as a product of a threat or hazard, the vulnerability of a community or facility to a threat or hazard, and the resulting consequences that may impact the community or facility. By considering these elements of risk, which often change, as well as the impact of successful mitigation initiatives, as outlined in the National Preparedness System (<http://www.fema.gov/national-preparedness-system>), a community can understand how to best manage or reduce its exposure to risk.

Federal investments in local, State, territory, and tribal preparedness capabilities have contributed to the development of a significant national-level capacity to prevent, protect against, mitigate, respond to, and recover from emergencies and catastrophic incidents. THSGP prescribes national capability priorities in order to prioritize and invest in key deployable capabilities.

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. A guide on how to complete a THIRA is available at <http://www.fema.gov/national-preparedness/plan>.

Tribal grantees should apply the results of their THIRA to determine the resources needed to deliver core capabilities to the targets set in their THIRAs, identify what resources they currently have to meet those needs, and determine where they currently have adequate resources and surpluses that may need to be maintained or shortfalls that may need to be filled. Tribal grantees should examine current capability levels through the lens of real-world incidents, assessments, and exercises to determine whether changes to current capability levels are warranted. This process should consider identifying, connecting to, and strengthening community resources by using the expertise and capability of the whole community; individuals, communities, the private and nonprofit sectors, faith-based organizations, and all levels of government.

The outputs of the process serve as the foundation for tribal grantees to work with whole community partners to develop strategies to reduce resource requirements through mitigation and protection activities, sustain current strengths in investments where capabilities have already been built, obtain required resources from whole community partners or borrow resources through mutual aid to bridge shortfalls, and

build new capabilities through grants and investments. Tribal grantees should consider all resources available to it, including local and State support, bond initiatives, mutual aid, and Federal grants, as appropriate, to support building and sustaining capabilities.

Data from the State Hazard Mitigation Plan, Fusions Centers and other sources of threat and risk data should be considered when developing a tribal THIRA. Ultimately, a tribal grantee may find that it can address capability needs through existing or new mutual aid agreements with neighboring communities or fill shortfalls through the private sector or other means in order to build and sustain capabilities.

Risk-informed planning, such as that based on the THIRA output is consistent with and expands on nationally accepted emergency management standards, which have long required using risk assessments, such as hazard mitigation plans, as the basis for planning across the mission areas. A continuous cycle of identifying and assessing risk, estimating capabilities, implementing strategic plans, and incorporating the results into future THIRAs allows tribes to identify and understand changes to its risk landscape. It also provides the means to communicate and educate individuals, families, businesses, organizations, community leaders, and senior officials on the risks facing a community and the required capabilities to address them. THSGP grantees must also ensure that regional plans (e.g., emergency operations plans, local/tribal/regional/state catastrophic plans, etc.) incorporate the desired outcomes from the THIRA in order to address the roles, responsibilities, strategies and procedures necessary to deliver the core capabilities, and achieve secure and resilient communities.

FY 2013 THSGP grantees are required to complete a THIRA by December 31, 2013 and submit a final THIRA to their respective FEMA Region. THIRA documents shall be in alignment with CPG 201: Threat and Hazard Identification and Risk Assessment. More information on CPG 201 is available at <http://www.fema.gov/national-preparedness/plan>. Grantees are authorized to use THSGP grant funds for costs associated with developing and completing the THIRA (see Appendix B: Funding Guidelines, *Planning*). THSGP grantees are responsible for sharing the results from their THIRA with the applicable FEMA Federal Preparedness Coordinator (FPC).

Updates to the THIRA guidance are under development based on feedback and experiences gained from the 2012 THIRA submittals. An updated version of the guidance, reflecting that feedback, and guidance on the capability estimation process, will be available in the near future, to guide development of 2013 THIRAs.

Strengthening Governance Integration

DHS preparedness grant programs are intended to support the core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response and Recovery that are necessary to prepare for incidents that pose the greatest risk to the Nation's security. Each program reflects the Department's intent to build and sustain an integrated network of national capabilities across all levels of government and the whole community. Disparate governance structures must be integrated and refined to ensure resources are targeted to support the most critical needs of a community based on risk

driven, capabilities-based planning. Strong and inclusive governance systems better ensure that disparate funding streams are coordinated and applied for maximum impact.

DHS requires that all governance processes that guide the allocation of preparedness grant funds adhere to the following guiding principles:

- *Prioritization of Investments* – resources must be allocated to address the most critical capability needs.
- *Transparency* – stakeholders must be provided visibility on how preparedness grant funds are allocated and distributed, and for what purpose.
- *Substantive Local Involvement* – the tools and processes that are used to inform the critical priorities which DHS grants support must include local government representatives. At the state and regional level, local risk assessments must be included in the overarching analysis to ensure that all threats and hazards are accounted for.
- *Flexibility with Accountability* – recognition of unique preparedness gaps at the local level, as well as maintaining and sustaining existing capabilities.
- *Support of Regional Coordination* – recognition of inter/intra-state partnerships and dependencies at the state and regional level, and within metropolitan areas

Advancing “Whole Community” Approach to Security and Emergency Management

DHS preparedness grant programs offer resources for State, local, tribal, and regional partners to support approaches described in documents such as the NPG, the NPS description, and “*A Whole Community Approach to Emergency Management: Principles, Themes, and Pathways for Action*” to include development and sustainment of critical capabilities needed to close shortfalls, increasing national preparedness.

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

A comprehensive tribal emergency management system must engage stakeholders at all levels. Local emergency management organizations should remain informed and have the opportunity to provide input to tribal planning processes. Although FEMA expects Tribes to include support for their local entities in THSGP, each Tribal Council is responsible for determining the appropriate amount of funding to be passed through to support the development or enhancement of local emergency management performance capabilities. In support of engaging stakeholders at all levels, THSGP

funds may be sub-granted to nongovernmental emergency management stakeholder entities such as nonprofits, public and private universities, hospitals, or faith-based entities.

Innovation and Sustained Support for the National Campaign for Preparedness

In support of the National Preparedness Goal, actions that build and sustain preparedness is an ongoing effort and seeks to build on a range of existing activities to include: federal preparedness efforts; grants, technical assistance and other federal preparedness resources; research and development efforts; and a comprehensive national preparedness campaign, inclusive of public outreach and community-based and private-sector programs.

With support from FY 2013 THSGP funding, grantees are encouraged to foster individual and community preparedness and resilience in support of the National Campaign for Preparedness by identifying resource needs; mobilizing partners; and creating innovative and effective solutions that can be grown, sustained, and replicated. This priority may be achieved by:

- Promoting preparedness activities that empower communities to organize themselves and take direct action to put local residents in leadership roles in planning, organizing, and sharing accountability for the success of local disaster management related projects and programs
- Actively supporting citizen preparedness drills, exercises, and community days of action such as the Great Shakeout, as well as preparedness initiatives for local schools and campuses, educational institutions, faith based organizations and private businesses
- Demonstration of progress toward whole community inclusion in development of emergency plans and integration of nontraditional resources in emergency plans (e.g., EOPs)

Improve Immediate Emergency Victim Care at Mass Casualty Events

In recognition of the substantial impact mass casualty events have on families, communities, and state, local and regional first responder agencies and public/private medical service providers, FY 2013 THSGP funding must support efforts to improve mass casualty care capabilities with a specific focus on providing immediate emergency care to victims of mass casualty events, including mass shootings. This priority may be achieved by:

- Engaging in mass casualty planning, training, and exercises specifically involving law enforcement, fire, and EMS providers to rapidly deploy into areas that have been cleared but not secured in order to initiate treatment at or near the point of injury and effect rescue of survivors. Plans, training and exercises must include strategies that ensure the health and safety of first responders and citizen responders, and training associated with the prevention and detection of secondary attacks

- Improving coordination between law enforcement, fire, first responder agencies, EMS systems, and local healthcare delivery and trauma systems to improve victim triage, treatment and transport, to ensure patients are distributed to appropriate levels of definitive emergency care
- Establishing protocols on the medical principles of tactical emergency casualty care and conducting training for responders
- Empowering community bystanders through public education initiatives and training about life sustaining actions and how they can support survivors and providers in a mass casualty event.

Grantees are strongly encouraged to develop new, or enhance and expand upon existing relationships with law enforcement agencies at the local, state and federal level to collaborate on innovative prevention and protection strategies that substantially reduce the impact of mass casualty events.

Appendix B - Funding Guidelines

Grantees must comply with all the requirements in 44 CFR Part 13 and 2 CFR Part 225.

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

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

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

In administering the THSGP grant award, the Tribe must comply with the following general requirements:

- 1. THSGP Priorities.** THSGP aligns to all mission areas outlined in the NPG. Applicants must align proposed funding to at least one or more NPG core capabilities within the IJ Template.
- 2. Law Enforcement Terrorism Prevention.** Per the § 2006 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act (6 U.S.C. § 607), tribal grantees are required to ensure that at least 25 percent (25%) of THSGP award funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.
- 3. Management and Administration (M&A).** M&A Activities are those defined directly relating to the management and administration of THSGP funds, such as financial management and monitoring. The amount of M&A is specified in each year's FOA.
- 4. Indirect Costs.** Indirect costs are allowable only if the applicant has an approved indirect cost rate with the cognizant Federal agency. 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. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.

5. Allowable Costs. The following pages outline global allowable costs guidance applicable to THSGP.

Allowable activities made in support of the THSGP priorities as well as other capability-enhancing projects must fall into the categories of planning, organization, equipment, training, or exercises. Additional detail about each of these allowable expense categories, as well as sections on additional activities including explicitly unallowable costs is provided. In general, grantees should consult their FEMA Headquarters Program Analyst prior to implementing any Investment to ensure that it clearly meets the allowable expense criteria established by the guidance.

Planning Activities

Planning efforts can include the prioritizing of needs, building capabilities, updating preparedness strategies, allocating resources, and delivering preparedness programs across disciplines (e.g., law enforcement, fire, EMS, health care systems, public health, behavioral health, public works, rural water associations, agriculture, information technology, emergency communications, and the general public, including people with disabilities) and levels of government. Planning provides a methodical way to engage the whole community in thinking through the life cycle of potential crises, determining required capabilities, and establishing a framework for roles and responsibilities. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes.

Planning activities should focus on the five mission areas outlined in the NPG: Prevention, Protection, Mitigation, Response, and Recovery. All jurisdictions are encouraged to work through Citizen Corps Councils, nongovernmental entities, and the general public in planning activities. Tribes are encouraged to include disciplines responsible for the health, safety, education, and care of infants and children and those responsible for integrating the accessibility and functional needs of children and adults with disabilities. Grantees must use the *CPG 101v.2: Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans* in order to develop robust and effective plans. For additional information, please see http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf.

The National Disaster Recovery Framework (NDRF) provides an overarching interagency coordination structure for the recovery phase for incidents covered under the *Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended* (Public Law 100-707) (the “Stafford Act”) and significant non-*Stafford Act* incidents. The NDRF is a guide that promotes effective recovery and is a tool that can be used to efficiently direct pre-disaster recovery planning activities. For more information on the NDRF see <http://www.fema.gov/pdf/recoveryframework/ndrf.pdf>.

Organization Activities

Section 2008 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act, allows the use of grant funds for the following activities:

- Paying salaries and benefits for personnel to serve as qualified intelligence analysts
- 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

Equipment Activities

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

Grantees (including sub-grantees) that are using THSGP funds to support emergency communications equipment activities should comply with the FY 2013 *SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. SAFECOM Guidance can be found at <http://www.safecomprogram.gov/grant/Default.aspx>.

Training Activities

Tribes are strongly encouraged to use THSGP funds to develop and/or maintain a homeland security training program. Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the THSGP and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS, DOT). All training procured under THSGP must be in support of the development or maintenance of an identified team or capability described and typed under the NIMS where such typing guidance exists as published by FEMA.

Training conducted using THSGP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through a formal exercise. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP. All training and exercises conducted with THSGP funds should support the development and testing of the jurisdiction's Emergency Operations Plan (EOP) components or specific annexes, consistent with the priorities in the NPS. Grantees are encouraged to use existing training rather than developing new courses. When developing new courses, grantees are encouraged to apply the Analysis Design Development and Implementation Evaluation (ADDIE) model of instruction design (<https://www.firstrespondertraining.gov/content.do>).

Exercise Activities

All exercises using THSGP funding must be NIMS compliant. More information is available online at the NIC at <http://www.fema.gov/emergency/nims/index.shtm>

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

Personnel Activities

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable THSGP planning, training, exercise, and equipment activities.

A personnel cap of up to 50 percent (50%) of total THSGP funds may be used for personnel activities as directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412). For further details, THSGP grantees should refer to IB 358 or contact their FEMA Headquarters Program Analyst.

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

Construction and Renovation

Construction is not an allowable cost, though certain very limited exceptions may apply. (6 U.S.C. § 609). Where construction is permitted, THSGP funds for construction may not exceed the greater of \$1,000,000 or 15 percent (15%) of the grant award. For the purposes of the limitations on funding levels, communications towers are not considered construction.

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

When applying for funds to construct communication towers, grantees and sub-grantees must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. Grantees and sub-grantees are also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects; compliance with all state and EHP laws and requirements). Projects for which

the grantee believes an Environmental Assessment (EA) may be needed, as defined in 44 CFR 10.8 and 10.9, must also be identified to the FEMA Program Analyst within six months of the award. Completed EHP review materials for construction and communication tower projects must be submitted no later than 12 months before the end of the period of performance. EHP review materials should be sent to gpdehpinfo@fema.gov. THSGP grantees using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. 3141 *et seq.*). Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor (DOL) wage determinations, is available from the following website <http://www.dol.gov/compliance/laws/comp-dbra.htm>.

Law Enforcement Terrorism Prevention Activities Allowable Costs

Applicants are required to ensure that at least 25 percent (25%) of THSGP allocated funds are dedicated toward law enforcement terrorism prevention planning, organization, training, exercise, and equipment activities linked to one or more core capabilities in the five mission areas contained within the NPG. Per § 2006 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act (6 U.S.C. § 607), these are the types of activities allowed to be counted toward the 25 percent (25%) requirement:

- Information sharing and analysis;
- Target hardening;
- Threat recognition;
- Terrorist interdiction;
- Overtime expenses consistent with a State homeland security plan, including for the provision of enhanced law enforcement operations in support of Federal agencies, including for increased border security and border crossing enforcement;
- Establishing, enhancing, and staffing with appropriately qualified personnel State, local, and regional fusion centers that comply with the guidelines established under 6 U.S.C. § 124h;
- Paying salaries and benefits for personnel, including individuals employed by the grant recipient on the date of the relevant grant application, to serve as qualified intelligence analysts;
- Any other activity permitted under the Fiscal Year 2007 Program Guidance of the Department for the Law Enforcement Terrorism Prevention Program; and
- Any other terrorism prevention activity authorized by the Administrator.

Other Allowable Costs – Maintenance and Sustainment

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

THSGP grant funds are intended to support the NPG and fund projects that build and sustain the 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 National preparedness Goal, and (4) shareable through the Emergency Management Assistance Compact. Additionally, eligible costs must also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars.

Other Allowable Costs – Critical Emergency Supplies

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

The inventory management plan and distribution strategy, to include sustainment costs, will be developed and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under THSGP. GPD and LMD will establish guidelines and requirements for the purchase of these supplies under THSGP and monitor development and status of the Tribe's inventory management plan and distribution strategy. Linkages between specific projects undertaken with THSGP funds and strategic goals and objectives will be highlighted through regular required reporting mechanisms, including the BSIR.

Other Allowable Costs - Secure Identification

In addition to the expenditures outlined above, THSGP funds may be used to support the development and production of enhanced tribal documents (e.g., Enhanced Tribal Cards [ETCs]) designed to meet the requirements of the WHTI. More information on the WHTI may be found at http://www.dhs.gov/files/programs/gc_1200693579776.shtm and http://www.getyouhome.gov/html/eng_map.html.

When completing the IJ Template, please refer to <http://www.fema.gov/prepared/ppd8.shtm> for a list of the core capabilities that best fit the proposed activities and costs. If you need further assistance in determining the core capabilities that fit your proposed WHTI project, please contact the CSID by phone at

(800) 368-6498 or by e-mail at askcsid@fema.gov, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

Appendix C - THSGP Investment Justification (IJ) Outline

Tribes should use the 2003 Excel-based THSGP IJ Template (OMB Control Number: 1660-01113) for their THSGP application submission. If using a more recent version of Excel (e.g., Excel 2007) applicants should save the final version of the IJ in the Excel 2003 format before submitting. The THSGP IJ Template can be found at <http://www.fema.gov/grants> or <http://www.grants.gov>.

When applying for THSGP funding, it is recommended that Tribes use the name of the Tribe as listed in the Federal Register, which can be found at <http://www.bia.gov/idc/groups/xraca/documents/text/idc011463.pdf>. Applicants can also contact the CSID to confirm the Tribe name as listed in the Federal Register.

Additional tips and helpful hints on how to complete the IJ Template can also be found in the THSGP Reference Guide at <http://www.fema.gov/grants>.

After the THSGP IJ Template has been completed in Excel, please upload the IJ Template as an attachment with the other required application materials (see Section X within the full FOA) to <http://www.grants.gov> no later than 11:59 p.m. EST June 24, 2013.

THSGP Investment Justification Outline

Fiscal Year (FY) 2013 Tribal Homeland Security Grant Program (THSGP) Investment Justification Outline

Question	Response	Scoring Criteria
I. Background (N/S)		
I.A Provide the Tribe name	Short title (100 char. max.)	N/S
I.B Provide the Investment name:	Short title (100 char. max.)	
I.C Provide a baseline understanding of the spectrum of terrorism and natural hazard risks and demographics that the Tribe faces and influenced the development of this Investment Justification (IJ).	Narrative (2500 char. max.)	
II. Overview (25%)		
II.A Identify the Investment as: If ongoing, describe the Investment's current state and what will be accomplished prior to the application of FY 2013 funds. <i>Please note, if this Investment is marked "New", please move to question II.B.</i>	<i>New, Ongoing</i> Narrative (1500 char. max.)	N/S
II.B Identify if this Investment focuses on building new capabilities or the sustainment of existing capabilities	<i>Building, Sustainment</i>	
II.C Provide a description of this Investment, including the planning, organization, equipment, training, and/or exercises that will be involved.	Narrative (1500 char. max.)	The response provides a detailed description and clear understanding of various activities that will be supported by this Investment.
III. Baseline (25%)		
III.A Identify the goals and objectives that will be supported by this Investment. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i>	Narrative (1500 char. max.)	N/S
III.B Describe existing capability levels that address the identified goals/objectives and what will be in place to support the Investment prior to the use of FY 2013 funds.	Narrative (1500 char. max.)	The response provides a clear understanding of existing capability levels and what capability gap(s) the Investment will address.
III.C Explain the capability gap(s) that this Investment is intended to address. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i>	Narrative (1500 char. max.)	

Question	Response	Scoring Criteria
IV. Project Management and Milestones (25%)		
IV.A Provide the proposed FY 2012 THSGP funding amount for this Investment.	Amount	N/S
IV.B Identify the amount and percentage of funding that will be dedicated to Management and Administration (M&A) expenditures. <i>Please note, M&A cannot exceed five percent (5%) of the total award amount.</i>	Amount/Percentage	N/S
IV.C Identify the National Preparedness Goal (NPG) core capabilities that are supported by this Investment. For each of the selected NPG core capabilities, provide the proposed funding amount to be obligated from this Investment.	<i>Select all that apply and Amount</i>	The response provides a clear demonstration and a comprehensive understanding of how the Investment supports identified National Preparedness Goal core capabilities and primary
IV.D Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.	<i>Planning, Organization, Equipment, Training, Exercise</i>	
IV.E Each grantee must submit a detailed budget narrative, in addition to SF-424A, explaining related costs and expenses as a part of the application. This budget narrative should be detailed and should serve to: (1) explain	Narrative (1500 char. max.)	The response provides a clear explanation of how the funds will be utilized and demonstrates
IV.F Identify up to ten projects/activities, with start and end dates, which will be		The response also provides a clear description of projects/activities that will demonstrate progress towards achieving the Investment.
- Project Name	Short title (100 char. max.)	
- Funding Amount	Amount	
- Project Management Process	<i>Initiate, Plan, Execute, Month/Year</i>	
- Start Month/Year	Month/Year	
- End Month/Year		
IV.G Does this Investment require new construction or renovation, retrofitting, or modification of existing structures?	No/Yes	N/S
V. Law Enforcement Terrorism Prevention Activities (N/S)		
V.A If applicable, provide the proposed funding amount that is expected to be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA). <i>Please note, at least 25 percent (25%) of the total amount awarded to recipient must be dedicated towards LETPA.</i>	Amount	N/S
VI. Accomplishments and Impact (25%)		
VIA Describe the outcomes that will be achieved as a result of this Investment. The outcomes should demonstrate improvements towards building	Narrative (1500 char. max.)	The response provides a clear description of how the
VI.B Identify the mission areas that are supported by this Investment:	<i>Select all that apply</i>	N/S

N/S: Not Scored