FY 2020 Homeland Security Grant Program

Michigan Supplemental Guidance

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Preface

The Fiscal Year (FY) 2020 Homeland Security Grant Program (HSGP) funding priorities are supported in this guidance, as is Michigan's commitment to correct identified capability shortfalls. The Michigan State Police, Emergency Management and Homeland Security Division (MSP/EMHSD) is dedicated to assisting regional partner's implementation of the National Preparedness System (NPS) through the development and sustainment of core capabilities identified in the National Preparedness Goal (NPG). Allowable costs support efforts to build and sustain core capabilities across the prevention, protection, mitigation, response, and recovery mission areas. HSGP-funded activities must support the NPG (see Appendix A, Summary of National Preparedness Goal) and align to the Federal FY 2020 HSGP Notice of Funding Opportunity, the FY 2020 Preparedness Grants Manual, and Michigan's FY 2020 HSGP Investment Justifications.

The investment descriptions included in this guidance document are the FY 2020 State Homeland Security Program (SHSP) investments submitted to the Department of Homeland Security (DHS) / Federal Emergency Management Agency (FEMA), Grants Program Directorate (GPD). The FY 2020 Urban Areas Security Initiative (UASI) Investment Justification is available to the UASI Region in a separate document. However, the HSGP guidance contained herein is applicable to the SHSP and UASI programs.

Michigan's FY 2020 SHSP and UASI investments are based on data derived from capability assessments resulting from the Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) process. Capability-based investment planning allows regional homeland security partners to target funding to priority areas of the greatest concern for each region.

MSP/EMHSD will provide continued support to regional partners with implementation of statewide homeland security initiatives and the NPS throughout the FY 2020 period of performance.

Please note: This guidance is intended to provide supplemental information regarding administration of the HSGP and is not a complete resource for all potential HSGP funding scenarios or reporting requirements.

Program Purpose

The FY 2020 HSGP is one of three grant programs that constitute the DHS/FEMA focus on enhancing the ability of state, local, tribal, and territorial governments, as well as nonprofits, to prevent, protect against, respond to, and recovery from terrorist attacks. These grant programs are part of a comprehensive set of measures authorized by Congress and implemented by DHS to help strengthen the nation's communities against potential terrorist attacks.

In FY 2020, there are three components of the HSGP:

1. State Homeland Security Program (SHSP);
2. Urban Areas Security Initiative (UASI); and
3. Operation Stonegarden (OPSG)

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

Please note: This guidance document does not address OPSG. Refer to the Federal FY 2020 HSGP Notice of Funding Opportunity for information relating to OPSG.

Description of Programs

The HSGP includes a suite of risk-based grants to assist SLTT efforts in preventing, preparing for, protecting against, responding to, and recovering from acts of terrorism. FEMA's comprehensive suite of grant programs are an important part of the Administration's larger, coordinated effort to strengthen homeland security preparedness. HSGP is one tool among a set of initiatives to help prepare the nation for threats and hazards that pose the greatest risk to the security of the United States.

State Homeland Security Program (SHSP)
The SHSP assists state, local, tribal, and territorial efforts to build, sustain, and deliver the capabilities necessary to prevent, prepare for, protect against, and respond to acts of terrorism.

Use of SHSP funds must be consistent with and directly support capability sustainment or implementation of initiatives designed to addressed capability shortfalls identified through the Threat and Hazard Identification and Risk Assessment (THIRA) and the Stakeholder Preparedness Review (SPR) process and align to one of the State's approved FY 2020 SHSP Investments (see FY 2020 HSGP - SHSP Investments section of this document for additional information). Linkages between specific projects undertaken with SHSP funds and specified documents will be highlighted and monitored through required reporting mechanisms.

Urban Area Security Initiative (UASI)
The UASI assists high-threat, high-density Urban Areas efforts to build, sustain, and deliver the capabilities necessary to prevent, prepare for, protect against, and respond to acts of terrorism.

Use and allocation of all grant funds available through the UASI must focus on the investments identified in the Urban Area's FY 2020 Investment Justification and support capability sustainment or address shortfalls identified through the Urban Areas THIRA and SPR process.

Operation Stonegarden (OPSG)
OPSG supports enhanced cooperation and coordination among Customs and Border Protection (CBP), United States Border Patrol (USBP) and federal, state, local, tribal, and territorial law enforcement agencies to improve overall border security. OPSG provides funds to support joint efforts to secure the United States borders along routes of ingress/egress and to and from international borders, including travel corridors in states border Mexico and Canada as well as states and territories with international water borders.

This Guidance Document Is Not Applicable to OPSG
Refer to the Department of Homeland Security's FY 2020 Homeland Security Grant Program Notice of Funding Opportunity for additional information on OPSG.

Alignment of HSGP to the National Preparedness System

The Nation uses the NPS to build, sustain, and deliver core capabilities to achieve the NPG. Subrecipients will use the National Preparedness System to support their efforts to build, sustain, and deliver 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.

As the National Preparedness System matures, FEMA is getting better data on our capabilities as a nation that can be used to drive our focus and our resources at all levels. States, territories and urban areas provide annual data on their proficiency across 32 core capabilities through the Threat and Hazard Identification and Risk Assessment, Stakeholder Preparedness Review, after-action reports, and other preparedness data. This data feeds into the National Preparedness Report and forms a shared national picture of needs relative to capability gaps, including what threats and hazards are posing the greatest risks and what core capabilities are most in need of improvement or sustainment. Analytic results help shape prioritization decisions at FEMA and across the nation to make sure time and resources are focused in the right areas.

The HSGP provides financial support to help build, sustain, and deliver core capabilities identified in the NPG. A key focus and requirement of the HSGP is to prevent terrorism and other catastrophic events and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States, including risks along the Nation's borders. When applicable, funding should support deployable assets that can be used anywhere in the Nation through automatic assistance and mutual aid agreements, including, but not limited to, the Emergency Management Assistance Compact (EMAC).

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

- Prevent a threatened or an actual act of terrorism;
- Protect citizens, residents, visitors, and assets against the greatest threats that pose the greatest risk to the security of the United States;

- Mitigate the loss of life and property by lessening the impact of future catastrophic events;
- Respond quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident; and
- Recover through a focus on the timely restoration, strengthening, accessibility and revitalization of infrastructure, housing, and a sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident, and do so in a manner that engages the whole community while ensuring the protection of civil rights.

Homeland Security Grant Program Funding Requirements

In 2020, DHS is focusing on the criticality of information sharing and collaboration to building a national culture of preparedness and protecting against terrorism and other emerging threats to our national security. DHS and its homeland security mission were born from the "failures among federal agencies and between the federal agencies and state and local authorities to share critical information related to the threat of terrorism" prior to the September 11, 2001, attacks. The threat profile has changed in the last two decades there are continuous cyber threats by sophisticated actors, threats to soft targets and crowded places, threats to the country's democratic election process and threats from new and emerging technologies. But information sharing and cooperation between state, local, and tribal authorities and federal agencies is just as vital, and perhaps even more vital, today. For the FY 2020 grant, DHS identified four priority areas, tied to some of the most serious threats that subrecipients must address with HSGP funds.

In assessing the national risk profile for FY 2020, four priority areas attracted the most concern. And due to the unique threats that the nation faces in 2020, DHS/FEMA has determined that these four priorities will be addressed by allocating specific percentages of HSGP funds to each of these four areas, for a total of 20 percent. The following are the four priority areas for FY 2020:

1. Enhancing cybersecurity (including election security) – 5 percent
2. Enhancing the protection of soft targets/crowded places (including election security) – 5 percent;
3. Enhancing information and intelligence sharing and cooperation with federal agencies, including DHS – 5 percent;
4. Addressing emergent threats (e.g., unmanned aerial systems [UASs], etc.) – 5 percent.

All subrecipients are required to allocate at least 5 percent of their allocations to these four priority areas and each project must be reviewed and approved by FEMA prior to any expenditures. This requirement applies to SHSP and UASI funds.

1. All regions are required to allocate at least 5 percent of their allocation to cybersecurity.
2. All regions are required to allocate at least 5 percent of their allocation to enhancing the protection of soft targets and crowded spaces, including election security.
3. Non-UASI regions may choose to allocate funding towards information and intelligence sharing.

4. All regions are required to allocate at least 5 percent of their allocation to addressing emergent threats.

Cybersecurity
Cybersecurity projects must support the security and functioning of critical infrastructure and core capabilities as they relate to preventing, preparing for, protecting against, or responding to acts of terrorism. Recipients and subrecipients of FY 2020 HSGP grant awards are required to complete the 2020 Nationwide Cybersecurity Review (NCSR), enabling agencies to benchmark and measure progress of improving their cybersecurity posture. The CIO, CISO or equivalent for each recipient should complete the NCSR. If there is no CIO or CISO, the most senior cybersecurity professional should complete the assessment. The NCSR is available at no cost to the user and takes approximately 2-3 hours to complete. The 2020 NCSR will be open from October – December 2020.

- The NCSR is an annual requirement for recipients and subrecipients of HSGP funds. Additionally,
- For detailed information and background on the NCSR, please see FEMA Information Bulletin 439.

Soft Target and Crowded Spaces
Soft targets and crowded places are increasingly appealing to terrorists and other extremist actors because of their relative accessibility and the large number of potential targets. This challenge is complicated by the prevalent use of simple tactics and less sophisticated attacks. Segments of our society are inherently open to the general public, and by nature of their purpose do not incorporate strict security measures. Given the increased emphasis by terrorists and other extremist actors to leverage less sophisticated methods to inflict harm in public areas, it is vital that the public and private sectors collaborate to enhance security of locations such as transportation centers, parks, restaurants, shopping centers, special event venues, and similar facilities.

Additional resources and information regarding securing soft targets and crowded places are available through the Cybersecurity and Infrastructure Security Agency.

The Department of Homeland Security designated the infrastructure used to administer the Nation's elections as critical infrastructure. This designation recognizes that the United States' election infrastructure is of such vital importance to the American way of life that its incapacitation or destruction would have a devastating effect on the country.

Given the importance of the Nation's election infrastructure, and the multiple and evolving threats to that infrastructure, at least one project must be in support of efforts to enhance election security. Additional resources and information regarding election security are available through the Cybersecurity and Infrastructure Security Agency.

Information Sharing and Cooperation
Effective homeland security operations rely on timely information sharing and actionable intelligence to accurately assess and prevent threats against the United States. Accordingly, DHS works diligently to enhance intelligence collection, integration, analysis, and information sharing capabilities to ensure partners, stakeholders, and senior leaders receive actionable intelligence and information necessary to inform their decisions and operations. A critical and statutorily charged mission of DHS is to deliver intelligence and information to federal, state,

local, and tribal governments and private sector partners. Cooperation and information sharing among state, federal, and local partners across all areas of the homeland security enterprise, including counterterrorism, cybersecurity, border security, immigration enforcement, and other areas is critical to homeland security operations and the prevention of, preparation for, protection against, and responding to acts of terrorism.

Additional resources and information regarding collaboration and information sharing are available through the Department's Office of Intelligence and Analysis.

Emerging Threats
The spread of rapidly evolving and innovative technology, equipment, techniques, and knowledge presents new and emerging dangers for homeland security in the years ahead. Terrorists remain intent on acquiring weapons of mass destruction (WMD) capabilities, and rogue nations and non-state actors are aggressively working to develop, acquire, and modernize WMDs that they could use against the Homeland. Meanwhile, biological and chemical materials and technologies with dual use capabilities are more accessible throughout the global market. Due to the proliferation of such information and technologies, rogue nations and non-state actors have more opportunities to develop, acquire, and use WMDs than ever before. Similarly, the proliferation of unmanned aircraft systems, artificial intelligence, and biotechnology increase opportunities of threat actors to acquire and use these capabilities against the United States and its interests.

Additional resources and information regarding emerging threats are available through the Countering Weapons of Mass Destruction Office and the Cybersecurity and Infrastructure Security Agency.

FY 2020 SHSP and UASI Funding Priorities

The table below provides a breakdown of the FY 2020 SHSP and UASI priorities, showing the core capabilities enhanced and examples of eligible project types for each area. DHS/FEMA anticipates continued use of national priorities in future years that will be updated as the threats evolve and as capability gaps are closed. DHS/FEMA is also strongly encouraging recipients and subrecipients to begin planning to sustain existing capabilities through other funding mechanisms.

<table>
<tr><th colspan="2">National Priority Areas:
Enhancing Cybersecurity (including election security)</th></tr>
<tr><th>Core Capabilities</th><th>Example Project Types</th></tr>
<tr><td>▪ Cybersecurity
▪ Intelligence and information sharing</td><td>▪ Cybersecurity risk assessments
▪ Projects that address vulnerabilities identified in cybersecurity risk assessments
  ○ Improving cybersecurity of critical infrastructure to meet minimum levels identified by the CISA
  ○ Cybersecurity training and planning</td></tr>
<tr><th colspan="2">National Priority Areas:
Enhancing the Protection of Soft Targets/ Crowded Places (including election security)</th></tr>
<tr><th>Core Capabilities</th><th>Example Project Types</th></tr>
<tr><td></td><td></td></tr>
</table>

<table>
<tr><td>▪ Operational coordination
▪ Public information and warning
▪ Intelligence and information sharing
▪ Interdiction and disruption
▪ Screening, search, and detection
▪ Access control and identity verification
▪ Physical protective measures
▪ Risk management for protection programs and activities</td><td>▪ Operational Overtime
▪ Physical security enhancements
  o Security Cameras (CCTV)
  o Security screening equipment for people and baggage
  o Lighting
  o Access controls
▪ Fencing, gates, barriers, etc.</td></tr>
<tr><td colspan="2">National Priority Areas:
Enhancing information and intelligence sharing and cooperation with federal agencies, including DHS</td></tr>
<tr><th>Core Capabilities</th><th>Example Project Types</th></tr>
<tr><td>▪ Intelligence and information sharing</td><td>▪ Fusion center operations
▪ Information sharing with all DHS components, fusion centers, and other entities designated by DHS
▪ Cooperation with DHS officials and other entities designated by DHS in intelligence, threat recognition and analysis
▪ Joint training and planning with DHS officials and other entities designated by DHS</td></tr>
<tr><td colspan="2">National Priority Areas:
Addressing Emergent Threats, such as Transnational Criminal Organizations and UAS</td></tr>
<tr><th>Core Capabilities</th><th>Example Project Types</th></tr>
<tr><td>▪ Interdiction & disruption
▪ Screening, search and detection
▪ Physical protective measures
▪ Intelligence and information sharing
▪ Planning
▪ Public Information and Warning
▪ Operational Coordination</td><td>▪ Sharing and leveraging intelligence and information
▪ UAS detection technologies
▪ Enhancing weapons of mass destruction and/or improvised explosive device prevention, detection, response and recovery capabilities.
  o Chemical biological radiological nuclear and explosive detection, prevention, response, and recovery equipment</td></tr>
</table>

Homeland Security Grant Program Restrictions

Award Period of Performance
The subrecipient period of performance for this grant is included in the subrecipient grant agreement. Refer to individual grant agreements for exact effective dates.

National Incident Management System (NIMS) Implementation
Subrecipients must ensure and maintain adoption and implementation of NIMS. 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.

Although State, Local, Tribal, and Private Sector partners, including non-governmental 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 201 infrastructure and facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information can be found at http://fema.gov/nims-doctrine-supporting-guides-tools.

For questions on NIMS implementation, please contact Mr. Henrik Hollaender at 517-284-3970 or HollaenderH@michigan.gov.

Emergency Management Assistance Compact (EMAC) Membership
All assets supported in part or entirely with FY 2020 HSGP funding must be readily deployable and NIMS-typed when possible to support emergency or disaster operations per existing EMAC agreements. In addition, funding may be used for the sustainment of core capabilities that, while they may not be physically deployable, support national response capabilities such as Geographic/Geospatial Information Systems, interoperable communications systems, capabilities as defined under the mitigation mission area of the NPG, and fusion centers.

Law Enforcement Terrorism Prevention Activities (LETPA)
Consistent with the requirements of section 2006 of the Homeland Security Act of 2002, subrecipients are required to ensure at least 25 percent (25%) of their HSGP funds are dedicated towards law enforcement terrorism prevention activities, as defined in 6 U.S.C. §607. The LETPA allocation can be from SHSP, UASI, or both. The 25 percent LETPA allocation may be met by funding projects in any combination of the four FY 2020 national priority areas and any other investments.

Activities outlined in the National Prevention Framework are eligible for use as LETPA-focused funds. Also, where capabilities are shared with the protection mission area, the National Protection Framework activities are also eligible. Other terrorism prevention activities proposed for funding under LETPA must be approved by the FEMA Administrator.

Personnel Costs
Personnel hiring, overtime, and backfill expenses are permitted under the FY 2020 HSGP for allowable planning, training, exercise, and equipment activities. Subrecipients may not use more than 50% of their total program funds for personnel and personnel-related activities.

In general, the use of HSGP funding to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost. See the FY 2020 HSGP Funding Guidelines section of this document for additional information.

Management and Administration
A maximum of 5% of subrecipient HSGP funds awarded may be used to support Management and Administration (M&A) costs associated with implementation of the grant award. Any funds retained are to be used solely for management and administrative purposes associated with the HSGP award. M&A activities are those directly relating to the management and administration of HSGP funds, such as financial management and monitoring.

Multiple Purpose or Dual-Use of Funds
For both SHSP and UASI, many activities which support the achievement of core capabilities related to the national priorities and terrorism preparedness may simultaneously support

enhanced preparedness for other hazards unrelated to acts of terrorism. However, all SHSP and UASI funded projects must assist subrecipients in achieving core capabilities related to preventing, preparing for, protecting against, or responding to acts of terrorism, per section 2008(c) of the Homeland Security Act of 2002 (6 U.S.C. §609(c)).

Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR)

The THIRA includes standardized language to describe threat and hazard impacts that are used to establish capability targets. This allows communities to collect more specific, quantitative information while also providing important context. Through the SPR process, communities collect more detailed and actionable data on their current capabilities and identify capability gaps. Communities then indicate their intended approaches for addressing those gaps and assess the impact of relevant funding sources on building and sustaining capabilities. The THIRA and SPR are interconnected processes that, together, communities use to evaluate their preparedness. The THIRA/SPR sets a strategic foundation for putting the National Preparedness System into action. Communities complete the THIRA every three years and use the data from the process to assess their capabilities in the SPR, which is an annual review. It is important that communities complete the THIRA on a multi-year cycle, as it enables them to assess year-over-year trends in changes to their capabilities, while still periodically reviewing the capability targets to keep them relevant. All UASI funded Urban Areas are required to complete an Urban Area THIRA every three years and an annual update to their SPR.

Building and Sustaining Capabilities

Subrecipients must prioritize grant funding for building and sustaining capabilities in areas that align with national priorities in the FY 2020 HSGP NOFO and capability gaps identified through the THIRA and SPR process. All capabilities being built or sustained must have a clear linkage to one or more core capabilities in the NPG.

Nationwide Cybersecurity Review

The cybersecurity of our Nation's critical infrastructure is a top priority. National preparedness, and more specifically the protection of critical infrastructure, requires an ability to prevent and respond to cyber incidents.

All subrecipients will be required to complete the 2020 Nationwide Cybersecurity Review (NCSR). The NCSR is open annually from October to December. The NCSR provides an avenue for agencies to benchmark and measure progress of improving their cybersecurity posture. The Chief Information Officer, Chief Information Security Officer, or equivalent for each subrecipient should complete the assessment. The NCSR is available at no cost and takes about 2-3 hours to complete.

Environmental Planning and Historic Preservation (EHP) Compliance

FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grant-funded projects, comply with Federal EHP regulations, laws, and Executive Orders, as applicable.

THE EHP REVIEW PROCESS MUST BE COMPLETED PRIOR TO INITIATING WORK ON A PROJECT. FEMA WILL NOT FUND PROJECTS THAT ARE INITIATED WITHOUT THE REQUIRED EHP REVIEW APPROVAL.

Subrecipients proposing projects that have the potential to impact the environment 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 to complete the review process.

Subrecipients shall not undertake any project without the prior approval of GPD and must comply with all conditions placed on the project as the result of the EHP review. Any change to the approved project description will require re-evaluation for compliance with EHP requirements. Proposed construction or renovation projects that are part of larger projects funded from a non-FEMA source (such as an Emergency Operations Center that is part of a larger proposed public safety complex), also require that a FEMA EHP review is completed before the larger project is initiated. Activities that require an EHP review include, but are not limited to: construction and renovation projects, including certain installation activities; various equipment purchases such as sonar; and select training and exercise activities.

Failure of the subrecipient to meet EHP requirements, obtain required permits, and comply with any conditions that may be placed on the project as the result of FEMA's EHP review, will result in the denial of Federal funding. The EHP screening memo must be submitted to FEMA, and the EHP review of the project must be completed and approval received before funds are released to carry out the proposed project. Any project initiated prior to receiving EHP approval will result in a non-compliance finding and will not be eligible for funding.

For questions concerning applicability of any specific project or activity to the EHP Program, or for assistance with completing the required Environmental and Historic Preservation Screening Memo, please contact EMD_HSGP@michigan.gov.

Additionally, all subrecipients are required to comply with FEMA EHP Policy Guidance, FEMA Policy #108-023-1. The EHP screening form is located https://www.fema.gov/media-library/assets/documents/90195, and further EHP guidance can be found at https://www.fema.gov/media-library/assets/documents/118323.

Emergency Operations Plans (EOP)
Subrecipients should develop, maintain, or revise as necessary, jurisdiction-wide, all threats and hazards EOPs consistent with the Comprehensive Preparedness Guide (CPG) 101 Version 2.0, Developing and Maintaining Emergency Operations Plans. CPG 101 v.2 serves as the foundation for State, local, Tribal, and Territory emergency planning. EOPs should be updated at least once every two years.

Ensuring the Protection of Civil Rights
As the Nation works towards achieving the NPG, it is important to continue to protect the civil rights of individuals. Subrecipients must carry out their programs and activities, including those related to the building, sustainment, and delivery of core capabilities, in a manner that respects and ensures the protection of civil rights for protected populations. Federal civil rights statues, such as Section 504 of the Rehabilitation Act of 1973 and Title VI of the Civil Rights Act of 1964, along with DHS/FEMA regulations, prohibit discrimination on the basis of race, color, national origin, sex, religion, age, disability, English proficiency, or economic status in connection with programs and activities receiving federal financial assistance from DHS/FEMA. The DHS Standard Terms and Conditions include a complete list of civil rights provisions that apply to

subrecipients. The terms and conditions can be found at https://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions. Additional information on civil rights provisions is available at https://www.fema.gov/about/offices/equal-rights.

Prohibitions on Expending Grant or Cooperative Agreement Funds for Certain Telecommunications and Video Surveillance Services or Equipment.
Effective **August 13, 2020**, DHS/FEMA recipients and subrecipients may not use grant funds under the programs covered by FEMA's 2020 Preparedness Grants Manual (which includes HSGP, NSGP, and EMPG), provided in FY 2020 or previous years, to: procure or obtain; extend or renew a contract to procure or obtain; or enter into a contract to procure or obtain any equipment, system, or services that use "covered telecommunications equipment or services;" or enter into or extend or renew contracts with entities that use "covered telecommunications equipment or services" as a substantial or essential component of any system, or as critical technology of any system.

This prohibition is mandated by section 889 of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (FY 2019 NDAA), Pub. L. 115-232 (2018) which defines covered equipment or services as:

1. Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation, (or any subsidiary or affiliate);
2. For the purpose of public safety, security of Government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate);
3. Telecommunications or video surveillance services provided by such entities or using such equipment; or
4. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the People's Republic of China.

Additional information is provided on pages 16-17 of the 2020 FEMA Preparedness Grants Manual.

Whole Community Engagement
Whole Community is a means by which residents, emergency management practitioners, organizational and community leaders, and government officials can collectively understand and assess the needs of their respective communities and determine the best ways to organize and strengthen their assets, capacities, and interests. By doing so, a more effective path to societal security and resilience is built. SHSP and UASI subrecipients must engage with the Whole Community to advance community and individual preparedness and work as a nation to build and sustain resilience. Subrecipients must also integrate the needs of children, older adults, individuals with disabilities, individuals with limited English proficiency and others with access and functional needs, socio-economic factors, and cultural diversity with SHSP and UASI funds.

Collaboration with Tribes

Subrecipients are strongly encouraged to work with Tribal nations in overall initiatives such as whole community preparedness and emergency management planning.

Collaboration with Nonprofit Organizations

SHSP and UASI subrecipients 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.

Fusion Centers

A critical component of the national response to the 9/11 terrorist attacks was the development of a national-level, decentralized, and coordinated terrorism-related information sharing environment (ISE). State and local governments, supported by federal investments from DHS, the Department of Justice (DOJ), Department of Health and Human Services (HHS), and other federal agencies, established the National Network of Fusion Centers (National Network), which became the backbone of the national ISE.

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

To underscore the importance of the National Network as a critical component of our Nation's distributed homeland security and counterterrorism architecture, fusion centers **must** prioritize the following capabilities to further enable and mature this national asset:

- **Addressing Emerging Threats**: Fusion centers should leverage and build upon their terrorism-focused analytic and information-sharing capabilities so they can be applied to address threats across the DHS mission space, including transnational organized criminal activity, cyber threats, and natural hazards, among others that require close collaboration with DHS operational entities such as Custom and Border Protection (CBP), Immigration and Customs Enforcement (ICE), United States Secret Service (USSS), the Cybersecurity and Infrastructure Security Agency (CISA), the United States Coast Guard (USCG), and FEMA.

- **Analytic Capability**: Fusion centers must maintain a strong analytic capability at both tactical and strategic levels to address a wide array of threats or hazards that could have implications for homeland security or national security. This capability includes, but is not limited to:
  - Building and sustaining a workforce of analysts with the necessary experience and training; access to open source, unclassified and classified information, products, data, and suspicious activity reporting; as well as necessary services and technology to facilitate analytic capabilities and collaboration.
  - Conducting routine threat assessments for respective jurisdictions, including the identification of threats, intelligence gaps, and mitigation efforts.

- Establishing, formalizing, and maintaining bi-directional information sharing with federal and other state agencies in accordance with state authorities.
- Maintaining an ability to routinely support federal government efforts to watchlist terrorists and transnational organized crime actors.
- Appropriately planning for, and assessing/forecasting, prioritizing, and executing against both known and emerging threat vectors, while protecting privacy, civil rights, and civil liberties.

- **Technological Integration:** Access to data, information, and products is essential for fusion centers and the federal government. Just as threats do not stop at jurisdictional borders, fusion centers must be able to effectively access and share appropriate information and data across jurisdictions, agencies, and disciplines. Fusion centers must **ensure and certify via the Fusion Center Assessment** they have the necessary technological capacity to access, analyze, and share information, including criminal intelligence and online/social media threat information, both within their jurisdictions, as well as with other fusion centers across the country and with the Federal government.

- **Interagency Collaboration:** Fusion centers must maintain strong partnerships to enable operational, investigative, and analytic collaboration and deconfliction of threat information with other partners located within their jurisdiction and across their region, including HIDTAs, RISS Centers, DHS intelligence and operational entities, FBI Field Offices, JTTFs, and major city/county intelligence units.

State and urban area fusion centers receiving SHSP or UASI grant funds will be evaluated based on compliance with the guidance and requirements for the National Network as set forth by DHS Intelligence and Analysis (I&A) through the annual Fusion Center Assessment. Additional fusion center grant requirements are listed at http://www.dhs.gov/homeland-security-grant-program-hsgp. DHS/FEMA approved analyst courses that meet the grant requirement are listed at http://www.dhs.gov/fema-approved-intelligence-analyst-training-courses.

FY 2020 HSGP Funding Guidelines

Subrecipients 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 NPG. Allowable investments made in support of the HSGP priorities as well as other capability-enhancing projects must have a nexus to terrorism preparedness and fall into the categories of planning, organization, equipment, training or exercises and must aligned to closing capability gaps or sustaining capabilities identified in the THIRA/SPR.

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

Planning (SHSP and UASI)
SHSP and UASI funds may be used for a range of emergency preparedness planning activities such as those associated with the development, review, and revision of the THIRA, SPR, continuity of operations plans, and other planning activities that support the NPG and placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v2.

Organization (SHSP and UASI)
Subrecipients must justify proposed expenditures of SHSP or UASI funds to support organization activities. Organizational activities include:

- Program management
- Development of whole community partnerships, through groups such as Citizen Corp Councils
- Structures and mechanisms for information sharing between the public and private sector
- Implementing models, programs, and workforce enhancement initiatives to address ideologically inspired radicalization to violence in the homeland
- Tools, resources, and activities that facilitate shared situational awareness between the public and private sectors
- Operational Support
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident
- Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS) or needs resulting from a National Special Security Event
- Paying salaries and benefits for personnel to serve as qualified Intelligence Analysts. Per the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act*, Pub. L. No. 110-412, § 2, codified in relevant part, as amended, at 6 U.S.C. § 609(a), SHSP and UASI funds may be used to hire new staff and/or contractor positions to serve as intelligence analysts to enable information/intelligence sharing capabilities, as well as support existing intelligence analysts previously covered by SHSP or UASI funding. *See* 6 U.S.C. § 609(a). To be hired as an intelligence analyst, staff and/or contractor personnel must meet at least one of the following criteria:

- Complete training to ensure baseline proficiency in intelligence analysis and production within six months of being hired; and/or,
- Previously served as an intelligence analyst for a minimum of two years either in a federal intelligence agency, the military, or state and/or local law enforcement intelligence unit.

- All fusion center analytical personnel must demonstrate qualifications that meet or exceed competencies identified in the Common Competencies for state, local, and tribal Intelligence Analysts, which outlines the minimum categories of training needed for intelligence analysts. A certificate of completion of such training must be on file with the State Administrative Agency (SAA).

Subrecipients may use up to 50 percent of their SHSP funding, and all high-risk urban areas may use up to 50 percent of their UASI funding, for personnel costs. Personnel hiring, overtime, and backfill expenses are permitted under this grant only to the extent that such expenses are for allowable activities within the scope of the grant. Personnel expenses may include but are not limited to training and exercise coordinators, program managers and planners, intelligence analysts, and Statewide Interoperability Coordinators.

Organizational activities under SHSP and UASI include:

Operational Overtime Costs
In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism, operational overtime costs are allowable for increased protective security measures at critical infrastructure sites or other high-risk locations and to enhance public safety during mass gatherings and high-profile events. In that regard, HSGP subrecipients are urged to consider using grant funding to support soft target preparedness activities. SHSP or UASI funds may be used to support select operational expenses associated with increased security measures in the authorized categories cited in the table below. FEMA retains the discretion to approve other types of requests that do not fit within one of the categories of the table.

Category		Description
1	National Terrorism Advisory System (NTAS)	Security measures in response to an increase in the threat level under the NTAS to an “elevated” or “imminent” alert status. GPD Information Bulletin No. 367, *Impact of National Terrorism Advisory System on Homeland Security Grant Programs*, remains applicable.
2	National Security Special Event (NSSE)	Security measures for a designated NSSE. NSSEs are events of national or international significance deemed by DHS to be a potential target for terrorism or other criminal activity.
3	Special Event Assessment Rating (SEAR) Level 1 through Level 4 Events	Security measures required for SEAR Level 1 through Level 4 events as designated by the Department of Homeland Security (DHS) and included in the DHS National Special Events List, as defined below: • SEAR 1: A significant event with national and/or international importance that may require extensive Federal interagency support; • SEAR 2: A significant event with national and/or international importance that may require some level of Federal interagency support. • SEAR 3: An event of national and/or international importance that requires only limited Federal support. • SEAR 4: An event with limited national importance that is managed at state and local level.

		NOTE: In cases where a threat of terrorism can be associated with a SEAR Level 5 event, the event planners should coordinate with their state or territory Homeland Security Advisor to seek re-adjudication of the SEAR rating. Operational overtime for security measures associated with such events will be considered for approval by FEMA if re-adjudication results in a SEAR 1 through 4 rating.
4	States of Emergency	Declarations of states of emergency by the Governor associated with a **terrorism-related threat or incident**. This excludes Presidentially declared major disasters or emergencies where Federal funding support for the proposed grant-funded activity is made available through the FEMA Public Assistance program or other Federal disaster grants.
5	National Critical Infrastructure Prioritization Program (NCIPP)	Protection of Level 1 and Level 2 facilities identified through the Department of Homeland Security's NCIPP based on a terrorism-related threat to critical infrastructure.
6	Directed Transit Patrols	Targeted security patrols in airports and major transit hubs based on a terrorism-related threat to transportation systems.
7	Other Related Personnel Overtime Costs	Overtime costs may be authorized for personnel assigned to directly support any of the security activities relating to the categories above. Examples include firefighters and emergency medical services personnel; public works employees who may be responsible for installing protective barriers and fencing; public safety personnel assigned to assist with event access and crowd control; emergency communications specialists; fusion center analysts; National Guard; contract security services; etc.
8	Operational Support to a Federal Agency	Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities related to homeland security/terrorism preparedness and specifically requested by a Federal agency. Allowable costs are limited to overtime associated with Federally requested participation in eligible activities, including anti-terrorism task forces, Joint Terrorism Task Forces (JTTFs), Area Maritime Security Committees (as required by the Maritime Transportation Security Act of 2002), DHS Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams. In addition, reimbursement for operational overtime law enforcement activities related to combating transnational crime organizations in support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism is an

		allowable expense under SHSP and UASI on a case-by-case basis. Grant funding can only be used in proportion to the Federal man-hour estimate and only after funding for these activities from other Federal sources (i.e., FBI JTTF payments to state and local agencies) has been exhausted.

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

Administration of Operational Overtime Requests:

- Except for an elevated National Security Special Event alert, SHSP or UASI funds may only be spent for operational overtime costs upon prior written approval by FEMA. FEMA will consider requests for special event activities up to one year in advance. However, such requests must be within the award's current period of performance and must not result in the need for a request to extend the period of performance.
- All operational overtime requests must clearly explain how the request meets the criteria of one or more of the categories listed in the table above. Requests must address the threat environment as it relates to the event or activity requiring operational overtime support and explain how the overtime activity is responsive to the threat.
- Post-event operational overtime requests will only be considered on a case-by-case basis, where it is demonstrated that exigent circumstances prevented submission of a request in advance of the event or activity.
- Under no circumstances may FEMA grant funding be used to pay for costs already supported by funding from another federal source.

Personnel Costs

Personnel hiring, overtime, and backfill expenses are permitted under this grant to perform allowable HSGP planning, training, exercise, and equipment activities. Personnel may include but are not limited to training and exercise coordinators, program managers for activities directly associated with SHSP and UASI funded activities, intelligence analysts, and Statewide Interoperability Coordinators.

For further details, refer to Information Bulletin No. 421, Clarification on the Personnel Reimbursement for Intelligence Cooperation and Enhancement of Homeland Security Act of 2008 (Public Law 110–412 – the PRICE Act), Aug. 22, 2017, or contact the MSP/EMHSD.

HSGP funds may not be used to support the hiring of any personnel to fulfil traditional public health and safety duties nor to supplant traditional public health and safety positions and responsibilities.

The following definitions apply to personnel costs:

- *Hiring*. State and local entities may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable FEMA grant activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-FEMA program activities under any circumstances. Hiring will always result in a net increase of Full Time Equivalent employees.

- *Overtime*. These expenses are limited to the additional costs that result from personnel working over and above 40 hours of weekly work time as the direct result of their performance of FEMA-approved activities specified in this guidance. Overtime associated with any other activity is not eligible.
- *Backfill-Related Overtime*. Also called "Overtime as Backfill," these expenses are limited to overtime costs that result from personnel who are working overtime (as identified above) to perform the duties of other personnel who are temporarily assigned to FEMA-approved activities outside their core responsibilities. Neither overtime nor backfill expenses are the result of an increase of FTE employees.
- *Supplanting*. Grant funds will be used to supplement existing funds and will not replace (supplant) funds that have been appropriated for the same purpose. Subrecipients may be required to supply documentation certifying that a reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.

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

Unless otherwise stated, all equipment must meet all mandatory regulatory and/or FEMA-adopted standards to be eligible for purchase using these funds. In addition, subrecipients will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

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

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

Emergency Medical Services electronic patient care data systems should comply with the most current data standard of the National Emergency Medical Services Information System (www.NEMSIS.org).

Requirements for Small Unmanned Aircraft System (SHSP, UASI, and OPSG)
All requests to purchase Small Unmanned Aircraft Systems with FEMA grant funding must comply with Information Bulletin (IB) 426 and IB 438 and also include a description of the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to or otherwise use the equipment.

Training (SHSP and UASI)
Allowable training-related costs under the HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP and UASI program and/or in conjunction with emergency preparedness training by other federal agencies (e.g., Health and Human Services and Department of Transportation). Training conducted using HSGP funds should address a performance gap identified through a training and exercise plan or other assessments (e.g., National Emergency Communications Plan Goal Assessments) and contribute to building a capability that will be evaluated through a formal exercise. Any training or training gaps, including training related to under-represented diverse populations that may be more impacted by disasters, including children, seniors, individuals with disabilities or access and functional needs, individuals with diverse culture and language use, individuals with lower economic capacity and other underserved populations, should be identified in a training an exercise plan and addressed in the state or high-risk urban area training cycle.

Subrecipients are encouraged to use existing training rather than developing new courses. When developing new courses, subrecipients are encouraged to apply the Analyze, Design, Develop, Implement, and Evaluate model of instructional design. Subrecipients are also encouraged to utilize the National Training and Education Division's National Preparedness Course Catalog. Trainings include programs or courses developed for and delivered by institutions and organizations funded by DHS/FEMA/National Training and Education Division. This includes the Center for Domestic Preparedness, the Emergency Management Institute, and the National Training and Education Division's Training Partner Programs, including the Continuing Training Grants, the National Domestic Preparedness Consortium, the Rural Domestic Preparedness Consortium, and other partners.

The catalog features a wide range of course topics in multiple delivery modes to meet FEMA's mission scope as well as the increasing training needs of federal, state, local, territorial, and tribal audiences. All courses have been approved through the National Training and Education Division's course review and approval process. The catalog can be accessed at http://wwwwww.firstrespondertraining.gov.

Exercises (SHSP and UASI)
Exercises conducted with grant funding should be managed and conducted consistent with The Homeland Security Exercise and Evaluation Program. The guidance for exercise design, development, conduct, evaluation, and improvement planning is located at https://www.fema.gov/emergency-managers/national-preparedness/exercises.

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

Grant funds are intended to support the NPG by funding projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide subrecipients the ability to meet this objective, the policy set forth in FEMA's IB 379, Guidance to State Administrative Agencies to Expedite the Expenditure of Certain FEMA Grant Funding, initially for FY 2007-2011, 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 NPG, and (4) shareable through the Emergency Management Assistance Compact. Additionally, eligible costs may also be in support of equipment, training, and critical resources that have previously been purchased with either federal grant or any other source of funding other than FEMA preparedness grant program dollars.

Law Enforcement Terrorism Prevention Activities Allowable Costs (SHSP and UASI)
Activities eligible for the use of LETPA focused funds include but are not limited to:

- Maturation and enhancement of designated state and major high-risk urban area fusion centers, including information sharing and analysis, threat recognition, terrorist interdiction, and training/ hiring of intelligence analysts;
- Coordination between fusion centers and other analytical and investigative efforts including, but not limited to Joint Terrorism Task Forces, Field Intelligence Groups, The High Intensity Drug Trafficking Area program, Regional Information Sharing System Centers, criminal intelligence units, and real-time crime analysis centers;
- Implementation and maintenance of the nationwide SAR Initiative, including training for front-line personnel on identifying and reporting suspicious activities;
- Implementation of the "If You See Something, Say Something®" campaign to raise public awareness of indicators of terrorism and terrorism-related crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations. Note: DHS requires that all public and private sector partners wanting to implement and/or expand the DHS "If You See Something, Say Something" campaign using grant funds work directly with the DHS Office of Partnership and Engagement to ensure all public awareness materials (e.g., videos, posters, tri-folds, etc.) are consistent with the DHS's messaging and strategy for the campaign and compliant with the initiative's trademark, which is licensed to DHS by the New York Metropolitan Transportation Authority. Coordination with the Office of Partnership and Engagement, through the Campaign's Office (seesay@hq.dhs.gov), must be facilitated by the FEMA HQ Program Analyst;
- Increase physical security, through law enforcement personnel and other protective measures, by implementing preventive and protective measures at critical infrastructure site or at-risk nonprofit organizations; and
- Building and sustaining preventive radiological and nuclear detection capabilities, including those developed through the Securing the Cities initiative.

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

communications towers are not considered construction. See guidance on communication towers below.

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

Subrecipients using funds for construction projects must comply with the *Davis-Bacon Act* (codified as amended at 40 U.S.C. §§ 3141 *et seq*.). subrecipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character like the contract work in the civil subdivision of the State in which the work is to be performed. Additional information regarding compliance with the *Davis-Bacon Act*, including Department of Labor wage determinations, is available online at https://wwwwww.dol.gov/whd/govcontracts/dbra.htm.

Western Hemispheric Travel Initiative (SHSP)
In addition to the expenditures outlined above, SHSP funds may be used to support the implementation activities associated with the Western Hemisphere Travel Initiative (WHTI), including the issuance of WHTI-compliant tribal identification cards.

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

Unallowable Costs (SHSP, UASI, and OPSG):

- Per FEMA policy, the purchase of weapons and weapons accessories, including ammunition, is not allowed with HSGP funds.
- Grant funds may not be used for the purchase of equipment not approved by FEMA. Grant funds must comply with IB 426 and may not be used for the purchase of the following equipment: firearms; ammunition; grenade launchers; bayonets; or weaponized aircraft, vessels, or vehicles of any kind with weapons installed.
- Unauthorized exercise-related costs include:
    - Reimbursement for the maintenance or wear and tear costs of general use vehicles (e.g., construction vehicles), medical supplies, and emergency response apparatus (e.g., fire trucks, ambulances).
    - Equipment that is purchased for permanent installation and/or use, beyond the scope of the conclusion of the exercise (e.g., electronic messaging sign).

FY 2020 HSGP – SHSP Investments

The Michigan FY 2020 HSGP-SHSP Investment Justification is comprised of multiple investments designed to enhance statewide capabilities in specific core areas, in alignment with Federal and statewide initiatives.

Stakeholder Preparedness Review Alignment
The FY 2020 SHSP investments are derived from specific capability shortfalls identified through the annual THIRA and SPR process.

The THIRA is a three-step risk assessment completed every three years. It helps communities answer the following questions:

- What threats and hazards can affect our community?
- If they occurred, what impacts would those threats and hazards have on our community?
- Based on those impacts, what capabilities should our community have?

The THIRA helps communities understand their risks and determine the level of capability they need in order to address those risks. The outputs from this process lay the foundation for determining a community's capability gaps during the SPR process. The FY 2020 SHSP investment descriptions are based upon the functional gaps identified in the SPR.

HSGP Project Workbook:
The HSGP project workbooks are designed to establish a link between subrecipient investment projects, investment descriptions, and the THIRA and SPR. Subrecipients must identify specific functional areas where capability gaps exist that will be addressed by their projects, based upon the core capability that the project supports. Establishing this link will validate investment alignment as well as alignment to the THIRA and SPR. Functional areas where capability gaps exist within each core capability are provided in Appendix C of this document. An example of a project description which identifies the applicable core capability functional gap(s) is provided below. Please refer to the FY 2020 HSGP project workbook instructions for additional information.

HSGP PROJECT DESCRIPTION EXAMPLE:

Project Title: Critical Infrastructure and Key Resource (CIKR) Resilience

Core Capability: Physical Protective Measures

This project will continue to identify and prioritize key critical infrastructure sites and conduct vulnerability assessments. The assessments are an ongoing initiative to evaluate the top 10 CIKR sites in the region and identify the most effective means of hardening the facilities or infrastructure. Completion of the assessments is anticipated within this calendar year; however, FY 2020 funds will also be used to implement physical protective measures and provide training for CIKR security staff. Public outreach may also be conducted to educate the public and encourage reporting of suspicious activities in or around CIKR sites. This project addresses functional areas where capability gaps exist, as identified in the SPR, including: identifying and prioritizing assets to protect; physical security measures; and site-specific and process-specific risk assessments.

Supported Functional Areas Where Capability Gaps Exist:

- Identifying and prioritizing assets to protect
- Physical security measures
- Site-specific and process-specific risk assessments

The FY 2020 Michigan HSGP – SHSP Investments include:

1. Michigan Cybersecurity (Required)
2. Intelligence and Information Sharing (Required)
3. Enhance the Protection of Soft Targets and Crowded Places (Required)
4. Addressing Emerging Threats (Required)
5. Homeland Security Planning
6. Operational Preparedness and Response
7. Terrorism Prevention and Protection
8. CBRNE Response Capabilities
9. Community Resilience and Catastrophic Preparedness
10. Operational Emergency Communications

The FY 2020 HSGP funding must be utilized to build and sustain core capabilities within the NPG. In addition, all projects must be aligned with capability targets and gaps identified through the THIRA/SPR process.

Specialized Response Assets: All Regions are expected to sustain the capabilities of specialized response assets such as the Regional Response Team Network and Search and Rescue teams and capabilities. Support should be provided through appropriate planning, equipment, training, and exercise activities.

Important: When making SHSP and UASI expenditures, they must be consistent with the investment descriptions included in the FY 2020 SHSP or UASI Investment Justification, respectively. All investment expenditures must also be included in the subrecipient project workbooks. Before any SHSP and UASI expenditures can be made, all individual solution area costs must be reviewed and approved by MSP/EMHSD via the Alignment and Allowability Form (AAF). The FY 2020 HSGP - UASI Investment Justification is available to the Southeast Michigan UASI Region through the regional fiduciary or MSP/EMHSD.

Note: Investments 1-4 above are specific to the national priority area funding requirements. These investments are each required to be funded at a rate not less than 5 percent of the total federal award.

Investment # 1: Michigan Cybersecurity

Core Capabilities:

- Cybersecurity
- Intelligence and Information Sharing

Investment Description:
Michigan prioritizes cybersecurity, however, the threat of a cyberattack remains persistent. Despite significant investments in cybersecurity, cyberattacks continue to cause damage to companies, governments and individuals. Developing and improving capabilities to protect sensitive data, personally identifiable information, protected health information, personal information, intellectual property, and government and industry information systems is critical. To minimize the risk of attacks to Michigan's cyber infrastructure, this investment addresses gaps identified in the 2019 Stakeholder Preparedness Review under the Cybersecurity core capability as well as vulnerabilities identified through cyber vulnerability assessments. Functional areas where gaps were identified include: updating cyber incident plans at publicly managed critical infrastructure facilities; controlling electronic access; guidelines, regulations, and standards; protective measures; detecting malicious activities; securing CIKR and SCADA systems; sharing threat information; technical countermeasures; continuity of operations for cyber systems; investigating malicious actors; and end user awareness. Michigan identified gaps across all solution areas in each functional area of the Cybersecurity core capability. The SPR also identified more specific needs such as personnel to conduct cyber assessments and continuing and expanding current training and exercise efforts. The State is initiating a project to complete vulnerability assessments of election IT networks and has been conducting outreach to local partners for similar projects. Michigan maintains a robust cybersecurity program; however, cyber threats continuously evolve and public and private sector partners remain vulnerable. Cybersecurity is a high priority core capability and with the increasing threat of cyberattacks, cybersecurity will remain a top priority in Michigan.

Investment # 2: Intelligence and Information Sharing

Core Capabilities:

- Intelligence and Information Sharing

Investment Description:
This investment will allow Michigan to sustain the primary fusion center, the Michigan Intelligence Operations Center (MIOC), support the Detroit Southeast Michigan Intelligence Information Center (DSEMIIC), and continue to address functional area shortfalls related to the Intelligence and Information Sharing capability identified in the 2019 SPR. The functional area shortfalls include: establishing intelligence and information requirements; analysis of intelligence and information; continuous threat assessment; safeguarding sensitive information; developing reports and products; disseminating intelligence and information; exploiting and processing information; feedback and evaluation; gathering intelligence; and monitoring information.
The SPR also identified a need for technology upgrades and fusion liaisons in Michigan regions. Activities supported by this investment are a priority because it will support the four Critical Operational Capabilities (COCs) for fusion centers (COC 1, Receive; COC 2, Analyze; COC 3, Disseminate; and COC 4, Gather) and will improve Michigan's information sharing environment to include local, state, and federal agencies.

Investment # 3: Enhancing the Protection of Soft Targets and Crowded Places

Core Capabilities:

- Operational Coordination
- Public Information and Warning
- Intelligence and Information Sharing
- Interdiction and Disruption
- Access Control and Identify Verification
- Physical Protective Measures
- Risk Management for Protection Programs and Activities

Investment Description:
Soft targets across the nation face increasing threats from potential acts of terrorism and active assailants, and Michigan is no exception. Locations that are easily accessible to the public and maintain minimal security are particularly vulnerable due to the relative ease with which an adversary can access and surveil potential targets and the myriad of simple tactics that can be used to carry out attacks, such as small arms, Improvised Explosive Devices, edged weapons, and vehicle ramming. Michigan intends to mitigate such threats through investments in physical barriers for vulnerable locales, responder training for active assailant incidents and for completing soft targets vulnerability assessments, public education/outreach, and equipment for tactical response to an attack as well as screening and detection at soft target venues. Multiple core capabilities with gaps identified in the 2019 SPR will be addressed. Gaps in Interdiction and Disruption include: anti-terrorism operations; border security; CBRNE detection; CBRNE render safe; deterrent law enforcement presence; tactical law enforcement operations; tracking and targeting terrorists and their weapons; wide-area search and detection; financial disruption, and preventing acquisition of CBRNE. Functional gaps in Screening, Search and Detection include: electronic search; explosives detection; locating terrorists; physical investigation; wide-area search; promoting an observant nation; radiological and nuclear detection; bio-surveillance; CBRNE detection; chemical and biological detection, and laboratory testing. The functional shortfalls in Physical Protective Measures to be addressed include: biosecurity; border protection; identifying and prioritizing assets to protect; site specific and process specific risk assessments; and physical security measures. Gaps in Risk Management for Protection Programs and Activities include analysis tools; data collection; incorporating risk assessments in exercise design; risk assessment; risk communication; and risk management planning. Other core capabilities that may be addressed include: Access Control and Identity Verification; Intelligence and Information Sharing; and Operational Coordination. These investments will help to lessen the risk of an attack on soft target venues such as shopping centers, election precincts, and other areas of gatherings, as well as the impact of an attack, should one occur.

Investment # 4: Addressing Emerging Threats

Core Capabilities:

- Interdiction and Disruption
- Screening, Search, Detection

- Physical Protection Measures
- Intelligence and Information Sharing
- Planning
- Public Information and Warning
- Operational Coordination

Investment Description:
As the national and international threat environment is always evolving, state and local responders must continuously build capabilities necessary to maintain readiness for a diverse range of threats. To prepare the state against rapidly changing technology, expanding techniques, and ever-persistent threats, Michigan will focus on building capabilities primarily in the Interdiction and Disruption and Screening, Search and Detection core capabilities. State and regional investments will be made in training and technology to quickly and safely identify biological and chemical substances, enhance detection of unauthorized unmanned aerial systems, and screen and detect potential CBRNE material and hazardous devices. Gaps identified in the 2019 SPR for Interdiction and Disruption include: antiterrorism operations; border security; CBRNE detection; CBRNE render safe; deterrent law enforcement presence; tactical law enforcement operations; tracking and targeting terrorists and their weapons; wide area search and detection; financial disruption, and preventing acquisition of CBRNE. Shortfalls identified in Screening, Search and Detection include: electronic search; explosives detection; locating terrorists; physical investigation; wide-area search; promoting an observant nation; radiological and nuclear detection; bio-surveillance; CBRNE detection; chemical and biological detection, and laboratory testing. Other core capabilities that may be addressed include: Physical Protective Measures; Intelligence and Information Sharing; Planning; Public Information and Warning; and Operational Coordination. This investment works toward closing these gaps and provides resources necessary to prevent, protect against, and respond to emerging threats and potential acts of terrorism involving Weapons of Mass Destruction, biological and chemical devices, and the technological advancements which increase the likelihood of such attacks being carried out in Michigan.

Investment # 5: Homeland Security Planning

Core Capabilities:

- Planning
- Long-term Vulnerability Reduction
- Risk and Disaster Resilience Assessment
- Threats and Hazards Identification
- Risk Management for Protection Programs and Activities
- Supply Chain Integrity and Security

Investment Description:
This investment supports the National Preparedness System through planning efforts designed to build and sustain Michigan's capacity to address threats and hazards facing community members. The primary core capability addressed by this investment is Planning, where shortfalls were identified in the 2019 SPR. Additional core capabilities supported by this

investment include: Long-term Vulnerability Reduction; Risk and Disaster Resilience Assessment; Threats and Hazards Identification; Risk Management for Protection Programs and Activities; and Supply Chain Integrity and Security. The Planning core capability is supported through sustaining existing capabilities and addressing shortfalls in the following functional areas: roles and responsibilities of partner organizations across all emergency management programs; Continuity planning; including individuals with disabilities or AFN; incorporating risk analyses; integrating different plans; pre-incident planning; strategic planning; evaluating and updating plans; operational planning; and whole community involvement and coordination. The functional area gaps in Threat and Hazards Identification include data collection and sharing; estimating frequency and magnitude; modeling and analysis; and stakeholder collaboration. The functional area gaps in Risk and Disaster Resilience Assessment include modeling and analysis; education and training; and obtaining and sharing data. Functional area shortfalls in Long-term Vulnerability Reduction include individual and family preparedness and developing neighborhood civic organizations. Gaps in functional areas for Risk Management for Protection Programs and Activities include analysis tools; data collection; incorporating risk assessments in exercise design; risk assessment; risk communication; and risk management planning. Finally, the functional area shortfalls in Supply Chain Integrity and Security include partner organizations involved; analysis of supply chain dependencies; implementing countermeasures; implementing physical protection; integrating security processes; and verification and detection. Sustaining and building effectiveness in the Planning core capability is the priority of this investment. Strengthening planning and preparedness activities is an essential component of protecting life, ensuring safety and building resilient communities.

Investment # 6: Operational Preparedness and Response

Core Capabilities:

- Operational Coordination
- Situational Assessment
- Fire Management and Suppression

Investment Description:
This investment will sustain existing and build new capabilities to improve competencies in operational preparedness and response and to achieve the capability targets established in the Threat and Hazard Identification and Risk Assessment (THIRA). Core capabilities that are addressed by this investment are Operational Coordination; Situational Assessment; and Fire Management and Suppression. The 2019 SPR identified shortfalls in each of these core capabilities, making operational preparedness and response a high priority area. The functional area shortfalls in Operational Coordination include: allocating and mobilizing resources; EOC management; Ensuring COG and essential services; establishing roles and responsibilities, determining priorities, objectives, strategies; ensuring information flow; ensuring unity of effort; establishing a common operating picture; and establishing lines of communication. Functional area shortfalls in Situational Assessment include: analyzing information; assessing hazard impacts; tracking response activities; delivering situation reports; and stakeholder engagement. Finally, the functional area shortfalls in Fire Management and Suppression that will be addressed include: Wildland firefighting; specialized firefighting; initial attack firefighting; extended attack firefighting; and structural firefighting. These three core capabilities continue to be a high priority and sustainment and enhancement is necessary to ensure Michigan maintains an effective operational preparedness and response capacity.

Investment # 7: Terrorism Prevention and Protection

Core Capabilities:

- Intelligence and Information Sharing
- Interdiction and Disruption
- Screening, Search, and Detection
- Forensics and Attribution
- Access Control and Identity Verification
- Physical Protective Measures

Investment Description:
The Terrorism Prevention and Protection investment will strengthen and sustain Michigan's capabilities to prevent, avoid, or stop a threatened or actual act of terrorism, to include preparing for non-traditional attacks. Michigan will continue to build capabilities and eliminate capability shortfalls identified in the 2019 SPR in the following core capabilities: Intelligence and Information Sharing; Interdiction and Disruption; Screening, Search, and Detection, Forensics and Attribution, Access Control and Identity Verification, and Physical Protective Measures. The functional area shortfalls in Intelligence and Information Sharing include: establishing intelligence and information requirements; continuous threat assessment; safeguarding sensitive information; and monitoring information. Functional area shortfalls in Interdiction and Disruption include: anti-terrorism operations; border security; CBRNE detection; CBRNE render safe; deterrent law enforcement presence; tactical law enforcement operations; tracking and targeting terrorists and their weapons; wide-area search and detection; financial disruption, and preventing acquisition of CBRNE. Functional areas with gaps in Screening, Search and Detection include: electronic search; explosives detection; locating terrorists; physical investigation; wide-area search; promoting an observant nation; radiological and nuclear detection; bio-surveillance; CBRNE detection; chemical and biological detection, and laboratory testing. Functional area shortfalls in Forensics and Attribution include: assessing terrorist capabilities; CBRNE material analysis; crime scene preservation and exploitation; and evidence collection. Functional areas with capability shortfalls in Access Control and Identity Verification to be addressed include: controlling cyber access; controlling physical access; and verifying identity. The functional area shortfalls in Physical Protective Measures to be addressed include: biosecurity; border protection; identifying and prioritizing assets to protect; site-specific and process specific risk assessments; and physical security measures. This investment is a priority because it directly supports the Prevention mission area which is the only mission area. specifically targeting prevention of an initial or follow on attack, making it a fundamental component of any counterterrorism effort. Some activities funded in this investment may also support the protection mission area.

Investment # 8: CBRNE Response Capabilities

Core Capabilities:

- Environmental Response, Health, and Safety
- Mass Search and Rescue Operations
- On-scene Security, Protection and Law Enforcement

Investment Description:
This investment will allow Michigan to build and sustain response capabilities for chemical, biological, radiological, nuclear or explosive (CBRNE) incidents. This investment will address specific functional gaps identified the 2019 SPR in the following core capabilities: Environmental Response/Health and Safety; Mass Search and Rescue Operations; and On-scene Security, Protection and Law Enforcement. The functional area shortfalls in Environmental Response/Health and Safety that will be addressed include: decontamination; environmental impact analysis; predictive modeling; health and safety monitoring and assessment; responder safety; and survivor safety and assistance. The functional area shortfalls in Mass Search and Rescue that will be addressed include rescue operations; search operations; specialized operations; synchronizing operations; and community-based search and rescue. Lastly, the functional area shortfalls in On-scene Security, Protection, and Law Enforcement that will be addressed include: protecting response personnel; training for active assailants and training on force protection plans; exercises; and planning efforts. All three core capabilities have a direct impact on life and are rated as a medium priority with identified gaps in at least four out of five POETE areas.

Investment # 9: Community Resilience and Catastrophic Preparedness

Core Capabilities:

- Public Information and Warning
- Community Resilience
- Infrastructure Systems
- Health and Social Services
- Economic Recovery
- Logistics and Supply Chain Management
- Critical Transportation
- Public Health, Health Care and Emergency Medical Services
- Fatality Management

Investment Description:
This investment sustains capabilities for community resilience and catastrophic preparedness and addresses gaps identified in the 2019 SPR in high priority capabilities, as described herein. Shortfalls in Public Information and Warning include: developing SOPs; new communications tools and technology; protecting sensitive information; public awareness; traditional communications; alerts and warnings; culturally and linguistically appropriate messaging; delivering actionable guidance; and inclusiveness of the entire public. Community Resilience gaps include: communication and outreach; education and skill building; collaborative planning and decision-making; and partnership building. Gaps in Infrastructure Systems include: food production and delivery; government facilities; heating fuel provision; hospitals; site assessments; public safety facilities; transportation infrastructure; communication systems, power restoration, sanitation, and water treatment and provision. Health and Social Services gaps include: School impacts, public awareness, behavioral health, environmental health, and response/recovery worker health. Economic Recovery gaps include: continuity planning;

recovery objectives; developing the workforce, disseminating information, incentivizing development, management planning, economic impact assessments; and disseminating information. Logistics and Supply Chain Management gaps include: access to community staples; donations management; emergency power provision; fuel support; private resources; resource tracking; volunteer management. Gaps in critical transportation include evacuation; establishing access; delivery of response assets; reentering affected area; and transportation safety and condition assessments. Gaps in Mass Care Services include: sheltering; ensuring access; feeding; hydration; pets; resource distribution; relocation assistance; and family reunification. Public Health, Healthcare, and Emergency Medical Services gaps include: triage and initial stabilization; emergency medical services; definitive care; clinical laboratory testing; and medical countermeasures. Fatality Management Services Gaps include: body recovery; mortuary services; victim identification; bereavement counseling; and family reunification. This investment allows Michigan to close gaps, increase resilience, and launch effective responses to catastrophic incidents.

Investment # 10: Operational Emergency Communications

Core Capability:

- Operational Communications

Investment Description:
The Operational Emergency Communications investment will allow the Michigan Public Safety Communications Interoperability Board (MPSCIB) to pursue actionable and measurable goals and objectives that support our state in planning for new technologies and navigating the ever-changing emergency communications ecosystem. The Michigan Statewide Communication Interoperability Plan (SCIP) is a stakeholder-driven multi-jurisdictional and multi-disciplinary statewide strategic plan to enhance interoperable and emergency communications. The SCIP is a critical mid-range strategic planning tool to help Michigan prioritize resources, strengthen governance and planning, and address interoperability gaps. The Operational Communications gaps identified in Michigan's SPR include: interoperability between responders; communications between responders and the affected population; data communications; re-establishing communications infrastructure; re-establishing critical information networks; and voice communications. Communication capabilities differ across the state and Michigan recognizes that public safety communications interoperability must function as a system of systems. Therefore, Michigan developed the single statewide system known as Michigan's Public Safety Communications System (MPSCS). Activities under this investment are a priority because it supports this system and the various systems that interoperate within it. Interoperable communication networks are the backbone of our public safety system. It is critical that public safety stays the course and provides input to improving communication interoperability and information sharing among local, regional, state, and federal agencies.

Note: All HSGP expenditures for emergency communications systems and equipment must meet applicable SAFECOM guidance. Please refer to page A-41 of the FY 2020 Preparedness Grants Manual for additional information.

Appendix A: Summary of the National Preparedness Goal

The National Preparedness Goal (NPG) 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 NPG essentially defines what it means for all communities to be prepared collectively for the threats and hazards that pose the greatest risk to the nation. The NPG identifies 32 distinct activities, called core capabilities, needed to address the risks. The NPG organizes these core capabilities into five categories, called mission areas. Some core capabilities apply to more than one mission area. For example, the first three core capabilities—Planning, Public Information and Warning, and Operational Coordination—are cross-cutting capabilities, meaning they apply to each of the five mission areas. The National Preparedness Goal describes the five mission areas as follows:

Prevention
Prevention includes those capabilities necessary to avoid, prevent, or stop a threatened or actual act of terrorism. It is focused on ensuring we are optimally prepared to prevent an imminent terrorist attack within the United States. Prevention also includes the intelligence, law enforcement, and homeland defense activities conducted in the event of an act of terrorism in the homeland to determine if follow-on attacks are planned and thwart and/or apprehend the adversary.

Protection
Protection includes capabilities to safeguard the homeland against acts of terrorism and man-made or natural disasters. It is focused on actions to protect the citizens, residents, visitors, and critical assets, systems, and networks against the greatest risks to our Nation in a manner that allows our interests, aspirations, and way of life to thrive. We will create conditions for a safer, more secure, and more resilient Nation by enhancing Protection through cooperation and collaboration with all sectors of society.

Mitigation
Mitigation includes those capabilities necessary to reduce loss of life and property by lessening the impact of disasters. It is focused on the premise that individuals, the private sector, communities, critical infrastructure, and the Nation as a whole are made more resilient when the consequences and impacts, the duration, and the financial and human costs to respond to and recover from adverse incidents are all reduced.

Response
Response includes those capabilities necessary to save lives, protect property and the environment, and meet basic human needs after an incident has occurred. It is focused on ensuring that the Nation is able to effectively respond to any threat or hazard, including those with cascading effects, with an emphasis on saving and sustaining lives and stabilizing the incident, as well as rapidly meeting basic human needs, restoring basic services and community functionality, establishing a safe and secure environment, and supporting the transition to recovery.

Recovery
Recovery includes those capabilities necessary to assist communities affected by an incident in recovering effectively. It is focused on a timely restoration, strengthening, and revitalization of the infrastructure; housing; a sustainable economy; and the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident. The ability of a

community to accelerate the recovery process begins with its efforts in pre-disaster preparedness, including mitigation, planning, and building capacity for disaster recovery. These efforts result in a resilient community with an improved ability to withstand, respond to, and recover from disasters, which can significantly reduce recovery time and costs.

Core Capabilities by Mission Area

<table>
<tr><th>Prevention</th><th>Protection</th><th>Mitigation</th><th>Response</th><th>Recovery</th></tr>
<tr><td colspan="5">Planning</td></tr>
<tr><td colspan="5">Public Information and Warning</td></tr>
<tr><td colspan="5">Operational Coordination</td></tr>
<tr><td colspan="2">Intelligence and Information Sharing</td><td rowspan="4">Community Resilience

Long-term Vulnerability Reduction

Risk and Disaster Resilience Assessment

Threats and Hazards Identification</td><td colspan="2">Infrastructure Systems</td></tr>
<tr><td colspan="2">Interdiction and Disruption</td><td rowspan="3">Critical Transportation

Environmental Response/Health and Safety

Fatality Management Services

Fire Management and Suppression*

Logistics and Supply Chain Management

Mass Care Services

Mass Search and Rescue Operations

On-scene Security, Protection, and Law Enforcement

Operational Communications

Public Health, Healthcare, and Emergency Medical Services

Situational Assessment</td><td rowspan="3">Economic Recovery

Health and Social Services

Housing

Natural and Cultural Resources</td></tr>
<tr><td colspan="2">Screening, Search and Detection</td></tr>
<tr><td>Forensics and Attribution</td><td>Access Control and Identity Verification

Cybersecurity

Physical Protective Measures

Risk Management for Protection Programs and Activities

Supply Chain, Integrity and Security</td></tr>
</table>

Appendix B: Summary of the Core Capabilities

Access Control and Identity Verification
Apply and support necessary physical, technological, and cyber measures to control admittance to critical locations and systems.

Community Resilience
Enable the recognition, understanding, communication of, and planning for risk to empower individuals and communities to make informed risk management decisions necessary to adapt to, withstand, and quickly recover from future incidents.

Critical Transportation
Provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people and animals and the delivery of vital response personnel, equipment, and services into the affected areas.

Cybersecurity
Protect (and, if needed, restore) electronic communications systems, information, and services from damage, unauthorized use, and exploitation.

Economic Recovery
Return economic and business activities (including food and agriculture) to a healthy state and develop new business and employment opportunities that result in an economically viable community.

Environmental Response/Health and Safety
Conduct appropriate measures to ensure the protection of the health and safety of the public and workers, as well as the environment, from all-hazards in support of responder operations and the affected communities.

Fatality Management Services
Provide fatality management services, including decedent remains recovery and victim identification, working with local, state, tribal, territorial, insular area, and Federal authorities to provide mortuary processes, temporary storage or permanent internment solutions, sharing information with mass care services for the purpose of reunifying family members and caregivers with missing persons/remains, and providing counseling to the bereaved.

Fire Management and Suppression
Provide structural, wildland, and specialized firefighting capabilities to manage and suppress fires of all types, kinds, and complexities while protecting the lives, property, and the environment in the affected area.

Forensics and Attribution
Conduct forensic analysis and attribute terrorist acts (including the means and methods of terrorism) to their source, to include forensic analysis as well as attribution for an attack and the preparation for an attack in an effort to prevent initial or follow-on acts, and/or swiftly develop counter-options.

Health and Social Services
Restore and improve health and social services capabilities and networks to promote the resilience, independence, health (including behavioral health), and well-being of the whole community.

Housing
Implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.

Infrastructure Systems
Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.

Intelligence and Information Sharing
Provide timely, accurate, and actionable information resulting from the planning, direction, collection, exploitation, processing, analysis, production, dissemination, evaluation, and feedback of available information concerning physical and cyber threats to the United States, its people, property, or interests; the development, proliferation, or use of weapons of mass destruction; or any other matter bearing on U.S. national or homeland security by local, state, tribal, territorial, Federal, and other stakeholders. Information sharing is the ability to exchange intelligence, information, data, or knowledge among government or private sector entities, as appropriate.

Interdiction and Disruption
Delay, divert, intercept, halt, apprehend, or secure threats and/or hazards.

Logistics and Supply Chain Management
Deliver essential commodities, equipment, and services in support of impacted communities and survivors, to include emergency power and fuel support, as well as the coordination of access to community staples. Synchronize logistics capabilities and enable the restoration of impacted supply chains.

Long-term Vulnerability Reduction
Build and sustain resilient systems, communities, and critical infrastructure and key resources lifelines to reduce their vulnerability to natural, technological, and human-caused threats and hazards by lessening the likelihood, severity, and duration of the adverse consequences.

Mass Care Services
Provide life-sustaining and human services to the affected population, to include hydration, feeding, sheltering, temporary housing, evacuee support, reunification, and distribution of emergency supplies.

Mass Search and Rescue Operations
Deliver traditional and atypical search and rescue capabilities, including personnel, services, animals, and assets to survivors in need, with the goal of saving the greatest number of endangered lives in the shortest time possible.

Natural and Cultural Resources
Protect natural and cultural resources and historic properties through appropriate planning, mitigation, response, and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and best practices and in compliance with applicable environmental and historic preservation laws and Executive Orders.

On-scene Security, Protection, and Law Enforcement
Ensure a safe and secure environment through law enforcement and related security and protection operations for people and communities located within affected areas and also for response personnel engaged in lifesaving and life-sustaining operations.

Operational Communications
Ensure the capacity for timely communications in support of security, situational awareness, and operations by any and all means available, among and between affected communities in the impacted area and all response forces.

Operational Coordination
Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.

Physical Protective Measures
Implement and maintain risk-informed countermeasures and policies protecting people, borders, structures, materials, products, and systems associated with key operational activities and critical infrastructure sectors.

Planning
Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or tactical level approaches to meet defined objectives.

Public Health, Healthcare, and Emergency Medical Services
Provide lifesaving medical treatment via Emergency Medical Services and related operations and avoid additional disease and injury by providing targeted public health, medical, and behavioral health support and products to all affected populations.

Public Information and Warning
Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard, as well as the actions being taken and the assistance being made available, as appropriate.

Risk and Disaster Resilience Assessment
Assess risk and disaster resilience so that decision makers, responders, and community members can take informed action to reduce their entity's risk and increase their resilience.

Risk Management for Protection Programs and Activities
Identify, assess, and prioritize risks to inform Protection activities, countermeasures, and investments.

Screening, Search, and Detection
Identify, discover, or locate threats and/or hazards through active and passive surveillance and search procedures. This may include the use of systematic examinations and assessments, bio-surveillance, sensor technologies, or physical investigation and intelligence.

Situational Assessment
Provide all decision makers with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, and the status of the response.

Supply Chain Integrity and Security
Strengthen the security and resilience of the supply chain.

Threats and Hazards Identification
Identify the threats and hazards that occur in the geographic area; determine the frequency and magnitude; and incorporate this into analysis and planning processes so as to clearly understand the needs of a community or entity.

Appendix C: Stakeholder Preparedness Review Functional Gaps

* Note: The functional gaps included below by core capability represent the complete list of the gaps identified in the 2019 Stakeholder Preparedness Review (SPR). However, inclusion of a functional area in the SPR does not guarantee allowability under the Homeland Security Grant Program (HSGP). All HSGP funded activities must have a terrorism nexus to be allowable.

Core Capability: Planning

Functional Areas

- Continuity planning
- Evaluating and updating plans
- Including individuals with disabilities or access/functional needs
- Pre-incident planning
- Incorporating risk analyses
- Operational planning
- Integrating different plans
- Strategic planning
- Whole community involvement and coordination

Core Capability: Public Information and Warning

Functional Areas

- Alerts and warnings
- Culturally and linguistically appropriate messaging
- Delivering actionable guidance
- Developing standard operating procedures for public information
- Inclusiveness of the entire public
- New communications tools and technologies
- Protecting sensitive information
- Public awareness campaigns
- Traditional communications mechanisms

Core Capability: Operational Coordination

Functional Areas

- Allocating and mobilizing resources
- Ensuring information flow
- Ensuring continuity of government and essential services
- Establishing a common operating picture
- Establishing lines of communication
- Command, control, and coordination
- Establishing roles and responsibilities
- Stakeholder engagement
- Determining priorities, objectives, strategies
- NIMS/ICS compliance
- Emergency Operations Center management
- Ensuring unity of effort

Core Capability: Forensics and Attribution

Functional Areas

- Assessing terrorist capabilities
- CBRNE material analysis
- Crime scene preservation and exploitation
- Evidence Collection

Core Capability: Intelligence and Information Sharing

Functional Areas

- Establishing intelligence and information requirements
- Analysis of intelligence and information
- Continuous threat assessment
- Safeguarding sensitive information
- Developing reports and products
- Disseminating intelligence and information
- Exploiting and processing information
- Feedback and evaluation
- Gathering intelligence
- Monitoring information

Core Capability: Interdiction and Disruption

Functional Areas

- Anti-terrorism operations
- Border security
- CBRNE detection
- CBRNE render safe
- Wide area search and detection
- Interdicting cargo, conveyances, and persons
- Deterrent law enforcement presence
- Tactical law enforcement operations
- Tracking and targeting terrorists and their weapons
- Financial disruption
- Disease prevention
- Preventing acquisition of CBRNE

Core Capability: Screening, Search, and Detection

Functional Areas

- Electronic search
- Explosives detection
- Locating terrorists
- Physical investigation
- Wide area search
- Promoting an observant nation
- Radiological and nuclear detection

- Screening
- Bio-surveillance
- Chemical and biological detection
- Laboratory testing

Core Capability: Access Control and Identity Verification

Functional Areas

- Controlling cyber access
- Controlling physical access
- Verifying identity

Core Capability: Cybersecurity

Functional Areas

- Controlling electronic access
- Guidelines, regulations, and standards
- Protective measures
- Detecting malicious activity
- Securing CIKR and SCADA systems
- Sharing threat information
- Technical countermeasures
- Continuity of operations for cyber systems
- Investigating malicious actors
- End user awareness

Core Capability: Physical Protective Measures

Functional Areas

- Biosecurity
- Border protection
- Identifying and prioritizing assets to protect
- Site-specific and process-specific risk assessments
- Physical Security Measures

Core Capability: Risk Management for Protection Programs and Activities

Functional Areas

- Analysis tools
- Data collection
- Incorporating risk assessments in exercise design
- Risk assessment
- Risk communication
- Risk management planning

Core Capability: Supply Chain Integrity and Security

<u>Functional Areas</u>

- Analysis of supply chain dependencies
- Implementing countermeasures
- Implementing physical protection
- Integrating security processes
- Verification and detection

Core Capability: Community Resilience

<u>Functional Areas</u>

- Communication and outreach
- Education and skill building
- Understanding the community
- Collaborative planning and decision-making
- Partnership building
- Broadening the use of insurance

Core Capability: Long-term Vulnerability Reduction

<u>Functional Areas</u>

- Incorporating mitigation measures into construction and development
- Individual and family preparedness
- Adopting vulnerability reduction standards and building codes
- Developing neighborhood civic organizations

Core Capability: Risk and Disaster Resilience Assessment

<u>Functional Areas</u>

- Modeling and analysis
- Education and training
- Obtaining and sharing data

Core Capability: Threats and Hazards Identification

<u>Functional Areas</u>

- Data collection and sharing
- Estimating frequency and magnitude
- Modeling and analysis
- Stakeholder collaboration/coordination

Core Capability: Critical Transportation

<u>Functional Areas</u>

- Debris removal

- Delivery of response assets
- Establishing access
- Evacuation
- Transportation safety and condition assessments
- Reentering affected area
- Airspace management

Core Capability: Environmental Response/Health and Safety

Functional Areas

- Hazardous material clean-up
- Health and safety monitoring and assessment
- Responder safety
- Survivor safety and assistance
- Decontamination
- Debris removal
- Environmental impact analysis
- Predictive modeling

Core Capability: Fatality Management Services

Functional Areas

- Bereavement counseling
- Body recovery
- Mortuary services
- Victim Identification
- Family reunification

Core Capability: Fire Management and Suppression

Functional Areas

- Structural firefighting
- Extended attack firefighting
- Initial attack firefighting
- Specialized firefighting
- Wildland firefighting

Core Capability: Logistics and Supply Chain Management

Functional Areas

- Access to community staples
- Donation management
- Emergency power provision
- Fuel support
- Private resources
- Resource delivery
- Resource management

- Resource tracking
- Supply chain restoration
- Volunteer management

Core Capability: Mass Care Services

Functional Areas

- Relocation assistance
- Ensuring access
- Feeding
- Hydration
- Pets
- Resource distribution
- Family reunification
- Sheltering

Core Capability: Mass Search and Rescue Operations

Functional Areas

- Rescue operations
- Search operations
- Specialized operations
- Synchronizing operations
- Community-based search and rescue support

Core Capability: On-scene Security, Protection, and Law Enforcement

Functional Areas

- Protecting response personnel
- Securing disaster areas
- Law enforcement

Core Capability: Operational Communications

Functional Areas

- Communication between responders and the affected population
- Data communications
- Interoperable communications between responders
- Re-establishing communications infrastructure
- Re-establishing critical information networks
- Voice communications

Core Capability: Public Health, Healthcare, and Emergency Medical Services

Functional Areas

- Triage and initial stabilization
- Emergency Medical Services

- Definitive care
- Medical countermeasures
- Clinical laboratory testing

Core Capability: Situational Assessment

<u>Functional Areas</u>

- Assessing hazard impacts
- Stakeholder engagement
- Tracking response activities
- Analyzing information
- Delivering situation reports

Core Capability: Infrastructure Systems

<u>Functional Areas</u>

- Communications systems
- Food production and delivery
- Government facilities
- Heating fuel provision
- Hospitals
- Infrastructure site assessments
- Power restoration
- Sanitation
- Public recreation facilities
- Public safety facilities
- Transportation infrastructure
- Water treatment and provision

Core Capability: Economic Recovery

<u>Functional Areas</u>

- Business/economic continuity planning
- Developing the workforce
- Economic impact assessments
- Disseminating information
- Incentivizing entrepreneurial and business development
- Management planning
- Reopening businesses
- Developing recovery objectives

Core Capability: Health and Social Services

<u>Functional Areas</u>

- Behavioral health
- Environmental health
- Healthcare facilities and coalitions

- Response and recovery worker health
- Social services
- Public awareness
- School impacts

Core Capability: Housing

Functional Areas

- Addressing housing shortages
- Housing accessibility
- Transition from interim to permanent/long-term housing
- Housing assessments
- Reconstruction of destroyed housing
- Rehabilitation of damaged housing

Core Capability: Natural and Cultural Resources

Functional Areas

- Damage assessment
- Environmental preservation and restoration
- Historic preservation

Appendix D: FY 2020 Programs - Allowable Program Activities

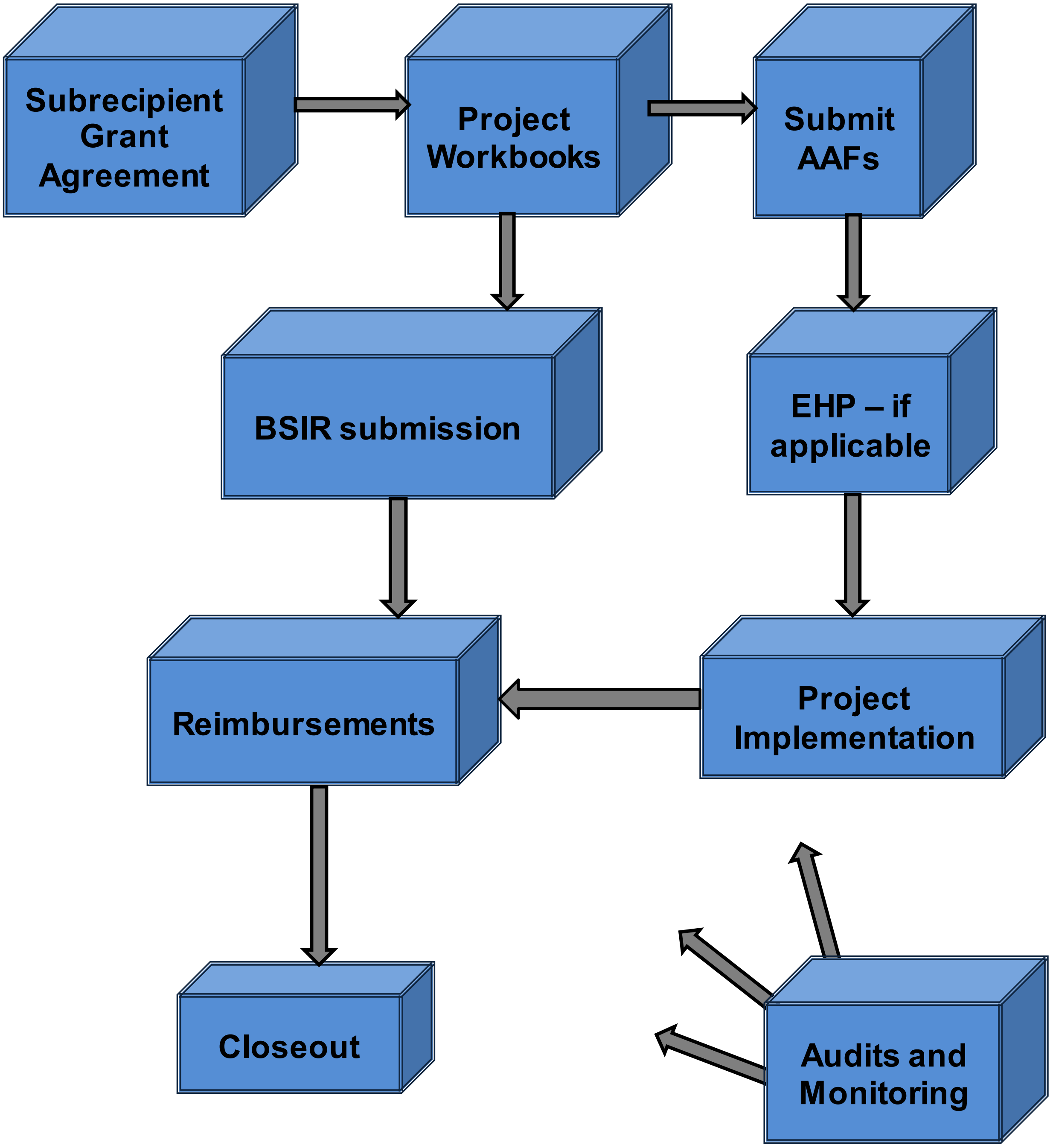
Allowable Program Activities Current as of FY 2020 Programs This list is not all-inclusive. See the respective program guidance for additional details and/or requirements	SHSP	UASI	OPSG
Allowable Planning Costs			
Developing hazard/threat-specific annexes	Y	Y	N
Developing and implementing homeland security support programs and adopting ongoing FEMA national initiatives	Y	Y	N
Developing related terrorism and other catastrophic event prevention activities	Y	Y	N
Developing and enhancing plans and protocols	Y	Y	N
Developing or conducting assessments	Y	Y	N
Hiring of full- or part-time staff or contract/consultants to assist with planning activities	Y	Y	N
Materials required to conduct planning activities	Y	Y	N
Travel/per diem related to planning activities	Y	Y	Y
Overtime and backfill costs (in accordance with operational Cost Guidance)	Y	Y	Y
Issuance of WHTI-compliant Tribal identification cards	Y	N	N
Activities to achieve planning inclusive of people with disabilities and others with access and functional needs and limited English proficiency.	Y	Y	N
Coordination with Citizen Corps Councils for public information/education and development of volunteer programs	Y	Y	N
Update governance structures and processes and plans for emergency communications	Y	Y	N
Development, and review and revision of continuity of operations plans	Y	Y	N
Development, and review and revision of the THIRA/SPR continuity of operations plans	Y	Y	N
Allowable Organizational Activities **Note:** Personnel hiring, overtime, and backfill expenses are permitted under this grant only to the extent that such expenses are for the allowable activities within the scope of the grant.			
Program management	Y	Y	N
Development of whole community partnerships	Y	Y	N
Structures and mechanisms for information sharing between the public and private sector	Y	Y	N
Implementing models, programs, and workforce enhancement initiatives	Y	Y	N
Tools, resources, and activities that facilitate shared situational awareness between the public and private sectors	Y	Y	N
Operational support	Y	Y	N
Utilization of standardized resource management concepts	Y	Y	N
Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs in resulting from a National Special Security Event	Y	Y	N
Reimbursement for select operational expenses associated with increased security measures at critical infrastructure sites incurred (up to 50 percent of the allocation)	Y	Y	Y
Overtime for information, investigative, and intelligence sharing activities (up to 50 percent of the allocation)	Y	Y	Y

Hiring of new staff positions/contractors/consultants for participation in information/intelligence analysis and sharing groups or fusion center activities (up to 50 percent of the allocation).	Y	Y	N
Allowable Equipment Categories			
Personal Protective Equipment	Y	Y	Y
Explosive Device Mitigation and Remediation Equipment	Y	Y	N
CBRNE Operational Search and Rescue Equipment	Y	Y	N
Information Technology	Y	Y	Y
Cybersecurity Enhancement Equipment	Y	Y	N
Interoperable Communications Equipment	Y	Y	Y
Detection	Y	Y	Y
Decontamination	Y	Y	N
Medical countermeasures	Y	Y	Y
Power (e.g., generators, batteries, power cells)	Y	Y	Y
CBRNE Reference Materials	Y	Y	N
CBRNE Incident Response Vehicles	Y	Y	N
Terrorism Incident Prevention Equipment	Y	Y	Y
Physical Security Enhancement Equipment	Y	Y	Y
Inspection and Screening Systems	Y	Y	Y
Animal Care and Foreign Animal Disease	Y	Y	N
CBRNE Prevention and Response Watercraft	Y	Y	N
CBRNE Prevention and Response Unmanned Aircraft	Y	Y	N
CBRNE Aviation Equipment	Y	Y	N
CBRNE Logistical Support Equipment	Y	Y	N
Intervention Equipment (e.g., tactical entry, crime scene processing)	Y	Y	Y
Critical emergency supplies	Y	Y	N
Vehicle acquisition, lease, and rentals	N	N	Y
Other Authorized Equipment	Y	Y	Y
Allowable Training Costs			
Overtime and backfill for emergency preparedness and response personnel attending DHS/FEMA-sponsored and approved training classes	Y	Y	Y
Overtime and backfill expenses for part-time and volunteer emergency response personnel participating in DHS/FEMA training	Y	Y	Y
Training workshops and conferences	Y	Y	Y
Activities to achieve training inclusive of people with disabilities and others with access and functional needs and limited English proficiency	Y	Y	N
Full- or part-time staff or contractors/consultants	Y	Y	Y
Travel	Y	Y	Y
Supplies	Y	Y	N
Instructor certification/re-certification	Y	Y	N
Coordination with Citizen Corps Councils in conducting training exercises	Y	Y	N
Interoperable communications training	Y	Y	N
Activities to achieve planning inclusive of people with limited English proficiency	Y	Y	N
Immigration enforcement training	Y	Y	Y
Allowable Exercise Related Costs			
Design, Develop, Conduct, and Evaluate an Exercise	Y	Y	N
Full- or part-time staff or contractors/consultants	Y	Y	N
Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in DHS/FEMA exercises	Y	Y	N
Implementation of HSEEP	Y	Y	N
Activities to achieve exercises inclusive of people with disabilities and others with access and functional needs	Y	Y	N
Travel	Y	Y	N
Supplies	Y	Y	N

Interoperable communications exercises	Y	Y	N
Allowable Exercise Related Costs			
Activities to achieve planning inclusive of people with limited English proficiency	Y	Y	N
Allowable Management and Administrative Costs			
Hiring of full- or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, and compliance with reporting and data collection requirements	Y	Y	Y
Development of operating plans for information collection and processing necessary to respond to DHS/FEMA data calls	Y	Y	Y
Overtime and backfill costs	Y	Y	Y
Travel	Y	Y	Y
Meeting related expenses	Y	Y	Y
Authorized office equipment	Y	Y	N
Recurring expenses such as those associated with cell phones and faxes during the PoP of the grant program	Y	Y	N
Leasing or renting of space for newly hired personnel during the PoP of the grant program	Y	Y	N
Law Enforcement Terrorism Prevention Activities (LETPA) Costs			
Integration and interoperability of systems and data, such as CAD and RMS, to facilitate the collection, evaluation, and assessment of suspicious activity reports, tips/leads, and online/social media-based threats.	Y	Y	N
Maturation and enhancement of designated state and major Urban Area fusion centers	Y	Y	N
Coordination between fusion centers and other analytical and investigative efforts	Y	Y	N
Implementation and maintenance of the Nationwide SAR Initiative	Y	Y	N
Implementation of the "If You See Something, Say Something®" campaign	Y	Y	N
Increase physical security, through law enforcement personnel and other protective measures, by implementing preventive and protective measures at critical	Y	Y	N
Building and sustaining preventive radiological and nuclear detection capabilities	Y	Y	N

Appendix E: Subrecipient Administrative Process

This appendix is provided as a quick overview of the administrative processes and requirements of subrecipient HSGP grant awards. This is not an exhaustive inventory of all potential HSGP administrative requirements, and some projects may include additional evaluation or reporting requirements.



Appendix F: FY 2020 HSGP Project Workbook Checklist

Checking the following steps before the submission deadline will help ensure that projects pass federal review.

Workbook Checkpoints

- **I.** Project Fields
- **II.** Alignment
- **III.** Project Descriptions
- **IV.** Shareable or Deployable
- **V.** Funding
- **VI.** LETPA
- **VII.** Milestones
- **VIII.** Sustain/NIMS/Construction

Tab A

☐ **I:** All project fields are complete. (Example: Subrecipient Name, Zip Code…)

☐ **II:** Is most appropriate core capability selected?

☐ **II:** Is project aligned to correct investment as determined by core capability?

☐ **III:** Is adequate detail provided?

☐ **III:** Are specific core capability gaps identified?

☐ **III:** Does project description support funding request?

☐ **III:** Check Core Capability with Investment. (Example: SHSP-5 -CBRNE Response Capabilities / Mass Search and Rescue Operations)

☐ **III.:** Ensure Core Capability is within Project Description and specific gaps are identified. (Example: Provide power restoration systems to government facilities, public safety facilities, and shelters. This project supports the infrastructure Systems core capability in the following functional areas identified in the SPR: communications systems, government facilities, power restoration, and public safety facilities.

☐ **III:** Check if Project Description aligns with Investment which will be determined by the Core Capability.

   ☐ *M&A project included.*

IV: Check if Shareable and Deployable responses are accurate.

☐ **Shareable**
Provides information on the utility of a non-deployable shared asset in a region; identifies the asset's ability to augment and sustain a reinforced response within a region. An asset that can be utilized as a local, state, regional, or national capability, but is not physically deployable (i.e. fusion centers).

OR (*Can be neither but **cannot** be both)*

☐ **Deployable**
Identifies the availability and utility of an asset to multiple jurisdictions, regions, and the Nation; provides information on mobility of assets in an area. An asset that is physically mobile and can be used anywhere in the United State and territories via EMAC or other mutual aid/assistance agreements.

☐ **V:** Check that Investment is aligned with appropriate funding source.

☐ **V:** Ensure allocation of Solution Areas fits within Project Description. (Example: Planning for a conference should have allocation of funds in Planning).

☐ **VI:** Does the Regional Grant total allocation have 25% of funding dedicated towards LETPA?

☐ **VI:** If project includes LETPA, ensure project capabilities are allowable LETPA activities.

All Core capabilities under the Prevention and Protection Mission Area are LETPA-eligible and some core capabilities under other Mission Areas are possible.

☐ **VII:** Milestones should include more than one and must cover the entire implementation of the project to be funded with the applicable grant year funds.

☐ **VII:** Can the project be completed within the period of performance?

Tab B

☐ **VIII:** If the project is sustainment, make sure the column, "Last completed milestone of the previous investment" is completed with previous investment information pertaining to that project.

☐ **VIII:** Ensure NIMS fields are completed if the project supports a NIMS capability.

☐ **VIII:** Verify Construction Activity with Project Description.

References

Building Capability/Sustaining Capability
Building refers to activities that start a new capability or increase a capability. Sustaining refers to activities that maintain a capability at its current level. This project attribute contributes to the risk and gap analysis of the applicant and the Federal reviewers. It will assist FEMA in measuring progress towards the National Preparedness Goal.

Resource Typing
As part of the description for each project, the applicant must identify whether the project supports a NIMS-typed resource. Applicants should refer to the Resource Typing Library Tool located at http://www.fema.gov/resource-management to select specific typed resources. Resource typing is categorizing, by capability, the resources requested, deployed, and used in incidents. Measurable standards identifying resource capabilities and performance levels serve as the basis for categories. Resource users at all levels use these standards to identify and inventory resources. Resource kinds may be divided into subcategories to define more precisely the capabilities needed to meet specific requirements.

Appendix G: FY 2020 Homeland Security Grant Program Document Submission Checklist

- ☐ **Fiscal Year (FY) 2020 SHSP/UASI Grant Agreement– December 15, 2020 (varies for each year).** Return the following documents: one signed grant agreement; Subrecipient Risk Assessment Certification; Standard Assurances; Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; Audit Certification; and Taxpayer Identification Number and Certification (W-9).

- ☐ **FY 2020 SHSP/UASI Project Workbooks – January 10, 2021.** Project Workbooks must be updated with actual FY 2020 funding levels for submission in the federal Grants Reporting Tool.

- ☐ **FY 2020 National Priority Area Projects – January 10, 2021.** Any additional or replacement projects (including any changes in the funding amount) supporting one of the four national priority area funding requirements must be submitted to FEMA for subject matter expert review. All subrecipients are required to fund each national priority area in an amount totaling no less than 5% of their total FY 2020 allocation.

- ☐ **Biannual Strategy Implementation Report (BSIR) – January 10th and July 10th every year.** The BSIR is a federal reporting requirement that must account for all grant funds and provide an update on the progress of your projects. The submission due on Jan 10th should reflect activities between July 1-December 31 of the previous year. The July 10th report should reflect activities from January 1 to June 30th.

- ☐ **Project workbooks – January 10th and July 10th every year.** An updated project workbook must be submitted with each BSIR submission.

- ☐ **Fiduciary Identification - July 31, 2021 –** The FY 2021 HSGP reginal fiduciary must be identified and submitted to MSP/EMHSD.

- ☐ **Alignment and Allowability Forms (AAF's) - Ongoing as needed throughout grant.** The AAF must align to a project included in the project workbook. Cost eligibility determination is based on information provided in the AAF, including the intended use/outcome of the project, and assessed against grant program guidance.

- ☐ **Environmental and Historic Prevention (EHP) Screening Form – After AAF review**. An EHP must be approved by FEMA before a project can start. Notice will be sent by MSP/EMHSD with the AAF if an EHP is required. The AAF approval is conditional upon completing an EHP and receiving FEMA approval.

- ☐ **Reimbursements - No later than 30 days following the end of the subrecipient period of performance.** Must include Reimbursement cover sheet (EMD-054), approved AAF with page 5 completed; proof of payment; and paid invoice; EHP approval, EMD-056 Equipment, Supplies and Other Items Reimbursement Detail, or EMD-055 Payroll Reimbursement Detail, as applicable.

- ☐ **Personnel Certifications – Nov. 1st and April 30th (every year).** All HSGP funded personnel (M&A included) are required to have a current personnel certification form on file.

- ☐ **Nationwide Cybersecurity Review** - **December 31, 2021** The Nationwide Cybersecurity Review is a no-cost, anonymous, annual self-assessment designed to measure gaps and capabilities of state, local, tribal and territorial governments' cybersecurity programs. All HSGP subrecipients must participate in the survey.

- ☐ **Equipment Inventory List** – **June 30, 2021, and every odd year thereafter**. If equipment is purchased, as defined by 2 CFR 200, it must be maintained in an equipment inventory list that includes specific information outlined in 2 CFR 200.313 and a physical inventory reconciled to that list must be completed once every two years. The reconciled equipment inventory list must be submitted to MSP/EMHSD by **July 31, 2021, and every odd year thereafter**.

- ☐ **Grant Files** – **3 years after grant closeout**. Subrecipients must maintain all grant documentation for three years following the closeout of the grant. Records must be available upon request for state or federal audit.

- ☐ **Equipment Records – 3 years after disposition**. Subrecipients must maintain all equipment documentation for three years following disposition of the equipment. Records must be available upon request for state or federal audit.

Appendix H: Discussion on 2 CFR Part 200 Compliance Issues

As the State Administrative Agency (SAA) for the Federal Emergency Management Agency preparedness grant programs, the Michigan State Police/Emergency Management and Homeland Security Division (MSP/EMHSD) is responsible for ensuring that all subrecipients adhere to requirements established by the Federal government laid out in the Code of Federal Regulations (CFR).

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements governing all Federal grants are contained in 2 CFR 200 and Appendix II, and can be found at www.ecfr.gov. **Resources designed to assist subrecipients in complying with the 2 CFR 200 requirements are located on the MSP/EMHSD Grant Programs webpage found by entering www.michigan.gov/emhsd in your browser; click Grant Programs in the left margin, then click on your grant.**

MSP/EMHSD monitors grant compliance and provides guidance on how to best implement the Federal requirements. The following is an overview of some of the 2 CFR 200 requirements that are common areas where mistakes can be made. Subrecipients are encouraged to contact their agency's legal staff for assistance on compliance concerns. In general, the term "subrecipient" includes employees of the subrecipient, members of their governing board, and fiduciary agents.

PROCUREMENT

The Procurement Procedures (2 CFR 200.318-326 and Appendix II) have been a focus of FEMA and recent Office of Inspector General (OIG) audits. The following are important procurement points to understand.

> ***In all procurements, you must follow your organization's procurement policy unless Federal regulations or local laws and regulations are more restrictive.*** ***(2 CFR 200.318(a))***

The following is a list of resources found under Procurement on the MSP/EMHSD Grant Programs webpage:

- FEMA Contract Provisions Template
- Contract Criteria Table
- Quick Reference Table for FEMA Contract Provisions Template
- Davis-Bacon and Related Acts (DBRA) Fact Sheet
- Instructions for Creating the Wage Determination Document for Contracts
- Instructions for Checking for Excluded and Debarred Contractors
- SBA Search Tool Quick Reference Guide
- Top 10 Procurement Mistakes

"Buy Local" Provision in Subrecipient Procurement Requirements
You are not allowed to enforce geographically limiting provisions of your local procurement policy for Federal grant funded procurement.

Requirement:
2 CFR 200.319 (b)

The non-Federal entity must conduct procurements in a manner that prohibits the use of statutorily or administratively imposed State, Local, or Tribal geographical preferences in the evaluation of bids or proposals, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference. Nothing in this section preempts state licensing laws. When contracting for architectural and engineering services, geographic location may be a selection criterion provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.

Situation:
The subrecipient's jurisdiction enforces the "Buy Local" provision in their ordinances for all procurement. Consequently, during a Federal-grant funded procurement process, only vendors from within 100-miles of the jurisdiction were considered.

Not allowed. You may not restrict competition in procurement by enforcing geographic or other limiting preferences

Suggestion:
Publicly advertise the solicitation and include at least one socio-economic vendor. Vendors meeting the geographic limitations may respond; however, if selected you will want to clearly document that the selection was not made because of their geographic location but for other reasons. Those details must be clearly documented in the procurement files.

Contract Provisions
All subrecipients are required to prepare a document that includes the required contract provisions listed in 2 CFR 200.326 and Appendix II.

FEMA has prepared a Contract Provisions Template that lists all the required and recommended provisions, an explanation of each one, and required or suggested language to be used. MSP/EMHSD has prepared the following documents to help navigate the FEMA Contract Provisions Template.

Contract Criteria – lists the provisions in order of criteria requiring the provision. Some provisions are required for all contracts, others have dollar thresholds that must be met before the provision is required.

Quick Reference Table for FEMA's Contract Provision Template – will help you locate the page in the FEMA Contract Provisions Template where the suggested or required language is located.

If your project is a construction project, the Davis Bacon Act may come into play. One of the requirements of this act is to provide a Wage Determination Document with all solicitations.

Instructions for Creating the Wage Determination Document – explains how to create the Wage Determination document.

Noncompetitive Procurement (Sole Sourcing)
MSP/EMHSD discourages all forms of noncompetitive procurement. Sealed bids or other methods of procurement solicitation should be used even in situations where you believe only

one vendor can supply the goods or services. Subrecipients must discuss the noncompetitive procurement situation with the appropriate MSP/EMHSD personnel **prior to** this type of procurement activity.

Socio-Economic Procurement
Subrecipients are required to include at least one socio-economic vendor for all procurement solicitations. We recommend documenting the socio-economic vendor solicited and how you know them to be a socio-economic vendor.

Requirement:
2 CFR 200.321

(a) The non-Federal entity must take all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible.

(b) Affirmative steps must include:
   (1) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
   (2) Assuring that small and minority businesses and women's business enterprises are solicited whenever they are potential sources;
   (3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses and women's business enterprises;
   (4) Establishing delivery schedules, where the requirement permits, which encourages participation by small and minority businesses and women's business enterprises;
   (5) Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce; and
   (6) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (1) through (5) of this section.

Situation: A subrecipient searched for a socio-economic vendor within 100 miles of their location. They could not find any that could provide the service they needed. They documented their efforts and selected a vendor who responded to the solicitation.

Not allowed. Subrecipients must include at least one socio-economic vendor, regardless of their geographic location, in all procurement solicitations.

Suggestion: The Small Business Association has developed a database to assist in locating socio-economic businesses called the Dynamic Small Business Search. The SBA Search Tool Quick Reference Guide, located on the MSP/EMHSD Grant Programs webpage, will walk you through the steps of navigating this database. It is important that your search criteria are broad enough so that at least one socio-economic firm is identified. If you have response-time concerns based on the distance of the firm's location to you, include those requirements in your solicitation. It is up to the firm to decide if they can meet the criteria. In order to comply with 2 CFR 200.321 you must ensure your search is broad enough to include at least one socio-economic firm.

Suspension and Debarment
Subrecipients are required to check whether their potential contractor(s) are suspended or debarred from doing business with the Federal government. Instructions for accessing www.SAM.gov are found on the Grant Program website.

> *Instructions for Checking for Excluded & Debarred Contractors* – lists detailed instructions for checking and documenting whether contractors are suspended or debarred.

Requirements:
2 CFR 200.205 (d)

> …the Federal awarding agency must comply with the guidelines on government-wide suspension and debarment in 2 CFR 180, and must require recipients and subrecipients to comply with these provisions. These provisions restrict Federal awards, subawards, and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal programs or activities.

2 CFR 200, Appendix II (H)

> A contract award (see 2 CFR 180.220) must not be made to parties listed on the government-wide exclusions in the System for Award Management, in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549… and 12689…, "Debarment and Suspension." Exclusions contain the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.

Situation**:** The subrecipient did not check www.SAM.gov to ensure the contractor they selected was not listed as being suspended or debarred from doing business with the Federal government. The contractor *was* suspended on www.SAM.gov.

Not allowed, and contractor may not be used.

Suggestions: Follow the instructions for checking for excluded and debarred contractors, make a print screen of the results, and keep in your procurement files for that project. If the contractor is suspended or debarred, do not engage in any form of procurement with that contractor.

GENERAL COMPLIANCE TOPICS

Conflict of Interest
A conflict of interest is present when anyone from your organization is involved in any part of a procurement process or supervision of a vendor that has any kind of a relationship with any person directly or indirectly related to the potential vendor.

Requirement:
2 CFR 200.318 (c)(1)

> Non-Federal entities must maintain written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award, and administration of contracts. No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest. Such a conflict would arise when the employee, officer, agent, any member of his or her immediate family, his or her partner, or an organization which employs, or is about to employ, any of the parties indicated herein, has a financial or other

> interest in or a tangible personal benefit from a firm considered for a contract. The officers, employees, and agents on the non-Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to a subcontract…

Situation: A subrecipient is considering a procurement. The brother of a board member is a salesman for one of the vendors being considered. The board-member is asked about his brother's work ethic and stability of his company. The board decides to go with the brother's firm because they were the low bid.

Not allowed. Even though the vendor's bid was the lowest, the conflict of interest relationship of the board member and a member of the vendor's company negates that company from being eligible for being considered.

Suggestion:
When the discussion began and the board member knew that his brother might be a candidate for the solicitation, that board member should have recused himself from the process and not be involved with any aspect of the project, including supervision of the contractor.

Another suggestion would be to not consider the company at all to ensure there is no perception of impropriety. Subrecipients must remember, even if there is no factual impropriety, if there could be a perception of impropriety, the action should be avoided.

Dual Compensation
Employees who work for Federal, state, or local agencies are paid with taxpayer dollars. These employees cannot be paid from another taxpayer-supported funding source for work performed while they are receiving taxpayer-funded wages, which includes annual leave, sick time, holidays, or any other paid time off.

Requirement:
5 U.S. Code §5533 and Federal Grant Guidance

> In no case is dual compensation allowable. That is, an employee of a unit of government (whether Federal, state, or local) may not receive compensation from their unit or agency of government AND from another Federal award for a single period of time (for example, 1:00 PM to 5:00 PM), even though such work may benefit both activities. (Sick and vacation time are counted as paid time.)

Situation: An employee working for a jurisdiction and paid, in part, by the EMPG grant is asked to teach an ICS course at the Emergency Management and Homeland Security Training Center in Lansing (for pay). This employee plans to take vacation time from their every-day job for the days they will be teaching.

Not Allowed. This situation represents dual compensation. The employee is getting paid by their jurisdiction (vacation pay) for the same time period they are getting paid to teach.

Suggestion: The employee could switch their pass days or request unpaid leave for the teaching days.

Equipment Procedures
Equipment purchased with a per-item cost of $5,000 or more (or your organization's capitalization level for financial statement purposes if less than $5,000) must be put on a list that

contains specific identifying information about the equipment. In addition, a physical inventory of the equipment shall be performed and reconciled to the list every two years.

Requirements:
2 CFR 200.33

Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals the lesser of the capitalization level established by the non-Federal entity for financial statement purposes or $5,000. Also review 2 CFR 200.12 Capital Assets, 200.20 Computing Devices, 200.48 General Purpose Equipment, and 200.58 Information Technology Systems for other equipment definitions.

2 CFR 200.313 (d) (1)

Property records must be maintained that include a description of the property, a serial number or other identification number, the source of funding for the property (including the FAIN), who holds title, the acquisition date, cost of the property, percentage of Federal participation in the project costs for the Federal award under which the property was acquired, the location, use, the condition of the property, and any ultimate disposition data including the date of disposition and sale price of the property.

2 CFR 200.313 (d) (2)

A physical inventory of the property must be taken, and the results reconciled with the property records at least once every two years.

Situation: The subrecipient is not maintaining adequate property records and/or has not conducted and documented a physical inventory of equipment within the past two years.

Not allowed. If an item of equipment meets the definition of 2 CFR 200.33 (see citation above), you must maintain an equipment inventory list for those purchases and complete a physical inventory every two years.

Suggestion: The subrecipient prepare an equipment inventory list using the template found on the MSP/EMHSD Grant Program webpage under Guidance and Resources. You are not required to use the template; however, your list must contain all of the required information. Additionally, beginning in 2021 and every odd year thereafter, the subrecipient must perform a physical inventory and update the list by June 30 beginning. A copy of the equipment inventory must be submitted to the MSP/EMHSD Audit Unit by July 31 every odd year, beginning 2021.

Personnel Activity Reporting Requirements

Subrecipients must have a position description and maintain activity reports for employees and contractors paid with Federal grant funds. These reports must be sufficient to identify the worker, date, all funding sources, the task performed in such detail that a reviewer would be able to understand the task performed, time to complete the task, and total hours worked for the day. If more than one funding source, care must be exercised to ensure there is no dual compensation.

Requirements:
2 CFR 200.430 (i) (1) (i)-(vii)

Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed. These records must:

(i) Be supported by a system of internal control which provides reasonable assurance that the charges are accurate, allowable, and properly allocated;
(ii) Be incorporated into the official records of the non-Federal entity;
(iii) Reasonably reflect the total activity for which the employee is compensated by the non-Federal entity, not exceeding 100% of compensation activities…;
(iv) Encompass both Federally assisted, and all other activities compensated by the non-Federal entity on an integrated basis, but may include the use of subsidiary records as defined in the non-Federal entity's written policy;
(v) Comply with the established accounting policies and practices of the non-Federal entity…;
(vii) Support the distribution of the employee's salary or wages among specific activities or cost objectives if the employee works on more than one Federal award; a Federal award and non-Federal award; an indirect cost activity and a direct cost activity; two or more indirect activities which are allocated using different allocation bases; or an unallowable activity and a direct or indirect cost activity.

(additional citations concerning standards for documentation are found at 2 CFR 200.430 (i)(1) (viii)-(x))

Situation: A planner paid with HSGP grant funds completes a timecard weekly that is signed by a supervisor. This planner does not have a position description identifying the tasks to be completed, and there is no record of the work performed during the pay period.

Not allowed. All employees and contractors must have a job description and some sort of personnel activity report that details the required information identified above. Tasks performed must be recorded in adequate detail so a determination of the allowability of the task can be ascertained by a reviewer.

Suggestion: A position description for the employee or contractor position must be prepared and appropriately approved. The subrecipient should create and require completion of a personnel activity log that captures the employee or contractor's name, date, tasks performed in sufficient detail, time associated with each task, and total time worked for the day. Periodically, the tasks should be compared to the position description to ensure the contractor is completing the job outlined in the position description. If the employee or contractor is paid by more than one funding source, activities from all funding sources should be captured on the personnel activity log. There should be an indication that a supervisory person reviewed the log.

Single Audit Requirement and Subrecipient Monitoring
If the subrecipient organization has Federal grant expenditures of $750,000 from all Federal sources in a fiscal year, they are required to have a single audit conducted. In addition, if you are a pass-through entity, you are required to monitor your subrecipients for the single audit requirement, review any single audit findings pertaining to MSP/EMHSD passed-through grants, and follow-up on the corrective action for the finding.

Requirement:
2 CFR 200.501 (a)

Audit Requirement. A non-Federal entity that expends $750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of this part.

2 CFR 200.331 (f)

All pass-through entities must:

Verify that every subrecipient is audited as required by Subpart F—Audit Requirements of this part when it is expected that the subrecipient's Federal awards expended during the respective fiscal year equaled or exceeded the threshold set forth in 200.501 Audit requirements.

Situation: A subrecipient (who has subrecipients) has expended more than $750,000 in Federal grant awards. They have a single audit conducted, and there are no audit findings. However, one of their subrecipients, also expending $750,000 in Federal awards, has a single audit conducted and audit findings pertaining to MSP/EMHSD grants are reported. The subrecipient did not know of these findings.

Not allowed. Subrecipients are required to monitor their subrecipients to ensure the single audit requirement is followed and there are no findings pertaining to the passed-through grants.

Suggestion: The subrecipient should maintain a list of their subrecipients, identifying those who are required to have a single audit. Annually, their subrecipient's single audit report should be reviewed for findings pertaining to MSP/EMHSD passed-through grants. If there are findings, the Agency Response should be reviewed, and a determination made as to whether the corrective action will correct the situation causing the finding.

Appendix I: Advance Request Procedures

If necessary, your organization may request an advance of grant funds by following the requirements below.

Advance Request Conditions

- Requests for advances must be for $10,000 or more.
- The advance must be requested in a formal letter and include all documentation listed below together in an advance request packet.
- Advance funds must be placed in an interest-bearing account.
- Any interest earned over $500 must be returned to MSP/EMHSD.
- All invoices and proof of payment must be dated and submitted to MSP/EMHSD within 90 days of receipt of the advance.
- All goods and services must be received within 60 days of receipt of the advance to ensure the 90-day advance liquidation deadline is met.

Advance Request Packet Required Documentation

- All advances must be requested in a formal letter. The letter must include the following:
  - Grant program title and grant year.
  - Dollar amount of advance request.
  - A line item budget including each item to be purchased with the advanced funds.
  - Certification that goods and services will be received within 60 days of receiving the advanced funds and proof of payment will be dated and submitted to MSP/EMHSD within 90 days of receipt of advance funds.
    - Advance request letters omitting any of the above criteria will not be considered.
- Approved purchase order(s).
- Vendor’s quote/invoice.
- Signed and approved Alignment and Allowability Form (AAF).

Storage of Advance Funds

- Subrecipient must place advanced funds in an interest-bearing account.
- Subrecipient may keep interest earned up to $500 per year to cover administrative expenses for all federal grant funds combined.
- Subrecipient must notify the MSP/EMHSD quarterly, in writing, of any interest earned over $500.
- Subrecipients must send the MSP/EMHSD a check payable to the State of Michigan for any interest earned over $500.
- Interest received by the MSP/EMHSD is returned to the federal government.

Advance Timeframe

Advances cannot be outstanding for longer than 90 days. All invoices and proof of payment must be dated within 90 days of the advanced payment issue date.

When advance purchases are completed, subrecipient must submit:

- Reimbursement cover sheet (EMD-054) and indicate it is advance documentation.
- Copy of supporting paid invoices.
- Copy of cancelled checks.
- Copy of approved alignment and allowability form (AAF).
- A check for unused portion of advance made payable to the State of Michigan.
- Details forms (if necessary).

Example of Advance Request Letter

Date

First and Last Name, Departmental Analyst
Grants and Financial Management
State Police Emergency Management and Homeland Security
P. O. Box 30634
Lansing, MI 48909

RE: Advance of FY XX HSGP SHSP/UASI (LETPA) Eligible Funds in the amount of $XX,XXX.XX

As fiduciary of the Region X, I am requesting an advance of $XX,XXX.XX for a (Equipment/Supplies, etc.) project.

The advance funds will be used to pay for (explanation). The Purchase Order, Vendor's quote and approved AAF are attached.

The purchase/items will be received and completed within 60 days of Region X receiving the advance.

Sincerely,

Signature

Name
Title
Agency

Attachments(#)

Appendix J: Acronym List

AAF	Alignment and Allowability Form
AEL	Authorized Equipment List
BSIR	Biannual Strategy Implementation Report
CBRNE	Chemical, Biological, Radiological, Nuclear or Explosive
CFR	Code of Federal Regulations
CIKR	Critical Infrastructure and Key Resources
COC	Critical Operational Capabilities
CPG	Comprehensive Preparedness Guide
EHP	Environmental and Historic Preservation
EIN	Employer Identification Number
EMAC	Emergency Management Assistance Compact
EMAP	Emergency Management Accreditation Program
EOP	Emergency Operations Plan
GPD	Grant Program Directorate
HSGP	Homeland Security Grant Program
IB	Information Bulletin
IJ	Investment Justification
JTTF	Joint Terrorism Task Force
LETPA	Law Enforcement and Terrorism Prevention Activities
M&A	Management and Administration
MIOC	Michigan Intelligence Operations Center
NIMS	National Incident Management System
NOFO	Notice of Funding Opportunity
NPG	National Preparedness Goal
NPS	National Preparedness System
OPSG	Operations Stonegarden
POETE	Planning, Organization, Equipment, Training, and Exercises
PoP	Period of Performance
SAA	State Administrative Agency
SAR	Suspicious Activity Reporting
SHSP	State Homeland Security Program
SLTT	State, Local, Tribal, and Territorial
SPR	Stakeholder Preparedness Review
THIRA	Threat and Hazard Identification and Risk Assessment
UASI	Urban Areas Security Initiative

Appendix K: MSP/EMHSD Points-of-Contact

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