

# **I. FOREWORD**

## Foreword

On October 1, 2003, the President signed the Fiscal Year 2004 Homeland Security Appropriations Act, thereby providing vital funding needed to ensure the safety and security of our homeland. Through the Department of Homeland Security's (DHS) Office for Domestic Preparedness (ODP), emergency prevention, preparedness, and response personnel will receive over \$4 billion in funding for our nation's homeland security. The 2004 appropriation by Congress is a firm commitment to continue to protect and defend the security of the United States of America against the threat posed by terrorism.

In an effort to streamline funding to the States and territories, the Department of Homeland Security is consolidating the administration of three programs within ODP. While continuing to direct the State Homeland Security Program, ODP will also now administer the Citizen Corps and the new Law Enforcement Terrorism Prevention Programs. All three programs will be integrated to better facilitate the organization and coordination of preparedness funding, and will be guided by the State Homeland Security Assessments and Strategies due to DHS-ODP by December 31, 2003.

The FY 2004 ODP Homeland Security Grant Program (HSGP) will continue to provide planning, equipment, training, exercise, and management and administrative funding to emergency prevention, preparedness, and response personnel in all 50 States, the District of Columbia, the Commonwealth of Puerto Rico, and U.S. territories, while expanding the scope and reach of the program. States and territories will now have the opportunity to utilize their newly completed Homeland Security Strategies to more effectively fill the gaps between needs and existing capabilities. Changes and additions to the allowable uses of funds reflect input received by DHS from local and State officials and a continued commitment to better serve our nation's emergency prevention, preparedness, and response personnel.

The Department of Homeland Security is committed to working with you in our critical national effort to combat terrorism.

Tom Ridge  
Secretary  
Department of Homeland Security

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# **III. ELIGIBLE APPLICANTS AND FUNDING AVAILABILITY**

### III. Eligible Applicants and Funding Availability

#### Eligible Applicants

The FY 2004 ODP Homeland Security Grant Program integrates the State Homeland Security Program (SHSP), Law Enforcement Terrorism Prevention Program (LETPP), and Citizen Corps Program (CCP) into a single application kit. Funding from this combined program will significantly enhance the ability of State and local agencies to prevent, deter, respond to, and recover from threats and incidents of terrorism. ***Each State shall obligate not less than 80 percent of the total amount of the grant to local units of government within 60 days after the grant award. If requested in writing by a local unit of government, the State may retain some or all of the local unit of government's allocation of grant funds for purchases made by the State on behalf of the local unit of government. States holding grant funds on behalf of local units of government must enter into a memorandum of understanding with the local unit of government specifying the amount of funds to be retained by the State for purchases. This agreement must be kept on file with the State Administrative Agency. States may use the remaining 20 percent of funds to enhance other statewide homeland security preparedness efforts. States must allocate all funding in support of goals and objectives identified in their State Homeland Security Strategy. Local jurisdictions must also allocate all funding in support of goals and objectives identified in the State Homeland Security Strategy, and, where applicable, their Urban Areas Security Initiative Strategy.***

The Governor of each State has designated a State Administrative Agency (SAA) to apply for and administer the funds under this program. The SAA is the only agency eligible to apply for ODP funds.

#### Funding Availability

FY 2004 allocations for the SHSP, LETPP, and CCP were determined using a base amount of .75 percent of the total allocation for the States (including the District of Columbia and the Commonwealth of Puerto Rico), and .25 percent of the total allocation for the U.S. Territories (American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, and the U.S. Virgin Islands), with the balance of funds being distributed on a population-share basis. Population figures were determined from 2002 U.S. Bureau of the Census data.<sup>a</sup>

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<sup>a</sup> 2000 U.S. Bureau of the Census data was used for the U.S. Territories for ODP FY 2004 HSGP funds.

### Fiscal Year 2004 Funding Allocations

State Name	State Homeland Security Program Allocation Total	Law Enforcement Terrorism Prevention Allocation Total	Citizen Corps Allocation Total	Total Allocation
ALABAMA	28,138,000	8,350,000	584,000	37,072,000
ALASKA	14,862,000	4,410,000	309,000	19,581,000
ARIZONA	31,490,000	9,344,000	654,000	41,488,000
ARKANSAS	22,001,000	6,529,000	457,000	28,987,000
CALIFORNIA	133,964,000	39,752,000	2,783,000	176,499,000
COLORADO	28,208,000	8,370,000	586,000	37,164,000
CONNECTICUT	24,594,000	7,298,000	511,000	32,403,000
DELAWARE	15,427,000	4,578,000	320,000	20,325,000
DISTRICT OF COLUMBIA	14,610,000	4,335,000	303,000	19,248,000
FLORIDA	70,382,000	20,885,000	1,462,000	92,729,000
GEORGIA	42,214,000	12,526,000	877,000	55,617,000
HAWAII	16,939,000	5,026,000	352,000	22,317,000
IDAHO	17,271,000	5,125,000	359,000	22,755,000
ILLINOIS	56,173,000	16,669,000	1,167,000	74,009,000
INDIANA	33,917,000	10,065,000	704,000	44,686,000
IOWA	22,784,000	6,761,000	473,000	30,018,000
KANSAS	22,021,000	6,534,000	457,000	29,012,000
KENTUCKY	26,779,000	7,946,000	556,000	35,281,000
LOUISIANA	28,125,000	8,346,000	584,000	37,055,000
MAINE	17,110,000	5,077,000	355,000	22,542,000
MARYLAND	31,495,000	9,346,000	654,000	41,495,000
MASSACHUSETTS	34,846,000	10,340,000	724,000	45,910,000
MICHIGAN	47,362,000	14,054,000	984,000	62,400,000
MINNESOTA	29,981,000	8,896,000	623,000	39,500,000
MISSISSIPPI	22,560,000	6,694,000	469,000	29,723,000
MISSOURI	32,236,000	9,566,000	670,000	42,472,000
MONTANA	15,780,000	4,682,000	328,000	20,790,000
NEBRASKA	18,612,000	5,523,000	387,000	24,522,000
NEVADA	20,147,000	5,978,000	418,000	26,543,000
NEW HAMPSHIRE	17,043,000	5,057,000	354,000	22,454,000
NEW JERSEY	42,317,000	12,557,000	879,000	55,753,000
NEW MEXICO	19,047,000	5,652,000	396,000	25,095,000
NEW YORK	78,827,000	23,391,000	1,637,000	103,855,000
NORTH CAROLINA	41,384,000	12,280,000	860,000	54,524,000
NORTH DAKOTA	14,828,000	4,400,000	308,000	19,536,000
OHIO	52,098,000	15,459,000	1,082,000	68,639,000
OKLAHOMA	24,708,000	7,332,000	513,000	32,553,000
OREGON	24,804,000	7,360,000	515,000	32,679,000
PENNSYLVANIA	55,255,000	16,396,000	1,148,000	72,799,000
RHODE ISLAND	16,333,000	4,847,000	339,000	21,519,000
SOUTH CAROLINA	26,828,000	7,961,000	557,000	35,346,000
SOUTH DAKOTA	15,267,000	4,530,000	317,000	20,114,000
TENNESSEE	32,667,000	9,694,000	679,000	43,040,000
TEXAS	87,888,000	26,079,000	1,826,000	115,793,000
UTAH	20,640,000	6,125,000	429,000	27,194,000
VERMONT	14,768,000	4,382,000	307,000	19,457,000
VIRGINIA	37,837,000	11,228,000	786,000	49,851,000
WASHINGTON	33,606,000	9,972,000	698,000	44,276,000
WEST VIRGINIA	18,863,000	5,597,000	392,000	24,852,000
WISCONSIN	31,437,000	9,329,000	653,000	41,419,000
WYOMING	14,360,000	4,261,000	298,000	18,919,000
PUERTO RICO	25,970,000	7,706,000	539,000	34,215,000
VIRGIN ISLANDS	4,588,000	1,361,000	95,000	6,044,000
AMERICAN SAMOA	4,410,000	1,309,000	92,000	5,811,000
GUAM	4,747,000	1,409,000	99,000	6,255,000
NORTHERN MARIANA ISLANDS	4,452,000	1,321,000	92,000	5,865,000
<b>TOTAL</b>	<b>1,685,000,000</b>	<b>500,000,000</b>	<b>35,000,000</b>	<b>2,220,000,000</b>

# **IV. OVERVIEW**

## **IV. Overview**

### **Solicitation Overview**

As a result of feedback from our grantees, and to continue to improve the nation's ability to prevent, deter, respond to, and recover from threats and acts of terrorism, three of ODP's FY 2004 grant programs have been combined into this single solicitation. The following grant programs will be awarded and administered in one application: State Homeland Security Program (SHSP), Law Enforcement Terrorism Prevention Program (LETPP), and Citizen Corps Program (CCP).

This consolidation was done to streamline the grant application process and better coordinate federal, State and local grant funding distribution and operations. The homeland security assessments and strategies currently being finalized by the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, U.S. territories, and selected urban areas for submission to DHS-ODP will play a pivotal role in the identification, prioritization, and allocation of financial resources provided through the three grant programs. The funding provided will be applied against critical resource gaps identified through the assessments and prioritized in the State strategies.

Providing funds through a single application and award process facilitates coordination of preparedness activities related to the goals and objectives identified in the State strategies, resulting in a more effective and efficient use of funding. A single application also minimizes time spent on the application process and consolidates reporting requirements.

The three programs further provide the opportunity to enhance regional preparedness efforts. States are encouraged to employ regional approaches to planning and preparedness and to adopt regional response structures whenever appropriate to meet the needs identified through the assessments and in the State's Strategy. Furthermore, it is DHS's intent to steer State and local security and preparedness efforts toward a project-oriented process to address common, measurable objectives. Security and preparedness officials at all levels should seek opportunities to leverage funding from multiple sources whenever possible and not restrict their activities to federal funding alone.

### **Overview of the Three Programs**

#### **FY 2004 SHSP**

The FY 2004 SHSP provides funds for homeland security and emergency operations planning; the purchase of specialized equipment to enhance the capability of State and local agencies to prevent, respond to, and mitigate incidents of terrorism involving the use of chemical, biological, radiological, nuclear, and explosive (CBRNE) weapons and cyber attacks; for costs related to the design, development, and conduct of a State

CBRNE and cyber security training programs and attendance at ODP-sponsored CBRNE training courses; for costs related to the design, development, conduct, and evaluation of CBRNE and cyber security exercises; and for costs associated with implementing State Homeland Security Assessments and Strategies (SHSAS).

#### FY 2004 LETPP

The FY 2004 LETPP will provide law enforcement communities with funds to support the following prevention activities: information sharing to preempt terrorist attacks; target hardening to reduce vulnerability of selected high value targets; recognition of potential or developing threats; interoperable communications; and intervention of terrorists before they can execute a threat. These funds may be used for planning, organization, training, exercises, and equipment.

#### FY 2004 CCP

FY 2004 Citizen Corps Program funds will be used to support Citizen Corps Councils with planning, outreach, and management of Citizen Corps programs and activities. The FY 2004 CCP provides the resources necessary for States and local communities to: 1) bring together the appropriate leadership to form and sustain a Citizen Corps Council; 2) develop and implement a plan for the community to engage all citizens in homeland security, community preparedness, and family safety; 3) conduct public education and outreach in order to inform the public about their role in crime prevention, mitigation, emergency preparedness for all hazards, and public health measures, including bio-terrorism, and to encourage personal responsibility and action; 4) develop and implement Citizen Corps programs offering training and volunteer opportunities to support first responders, disaster relief groups, and community safety efforts, to include the four charter federal programs: Community Emergency Response Teams (CERT), Neighborhood Watch, Volunteers in Police Service (VIPS), and Medical Reserve Corps (MRC); and 5) coordinate Citizen Corps activities with other DHS funded programs and other federal initiatives.

#### **General Guidance**

- Period of performance for the HSGP is two years.
- Grants will not be awarded until the State submits the State Homeland Security Strategy, and the strategy has been reviewed and approved by DHS-ODP.
- All allocations and use of funds under the HSGP must support the goals and objectives included in the State Homeland Security Strategy. The required Initial Strategy Implementation Plans and Biannual Strategy Implementation Reports (**see Appendix C**) will demonstrate how the expenditure of grant funds at both the State and local levels are supporting the Strategy's goals and objectives. DHS-ODP Preparedness Officers will periodically monitor grant recipients to

ensure that HSGP funding is applied in accordance with approved implementation plans and reports. If funds are not being used in accordance with these plans and reports, ODP may prohibit further obligation, expenditure, and drawdown of funds until the grantee is compliant with HSGP requirements.

- Transfer of funds between programs (SHSP, LETPP, and CCP) is prohibited.
- SAAs must coordinate Citizen Corps programs with those State agencies currently responsible for the administration of Citizen Corps activities. ***A listing of current State Citizen Corps points of contact may be found by going to [www.citizencorps.gov/councils/](http://www.citizencorps.gov/councils/) and clicking on “State Citizen Corps POC List” on the left hand side.***
- Each State shall obligate not less than 80 percent of the total amount of the grant to local units of government within 60 days after the grant award. If requested in writing by a local unit of government, the State may retain some or all of the local unit of government’s allocation of grant funds for purchases made by the State on behalf of the local unit of government. States holding grant funds on behalf of local units of government must enter into a memorandum of understanding with the local unit of government specifying the amount of funds to be retained by the State for purchases. This agreement must be kept on file with the State Administrative Agency.
- No more than 3% of the total amount allocated to the State for each program may be used statewide for management and administrative (M&A) purposes. Any portion of the 3% retained by the State must be included within the 20% of total funds available to the State. For example, if a State receives a SHSP award of \$1,000,000, the State must pass through at least \$800,000 to local units of government. The total M&A funds available statewide would be \$30,000.
- In accordance with Congressional Conference language addressing ODP programs, to meet eligibility requirements for FY 2004 HSGP funds where applicable, a local unit of government will be defined as “any county, city, village, town, district, borough, port authority, transit authority, water district, regional planning commission, council of government, Indian tribe, authorized tribal organization, Alaska Native village, or other political subdivision of any State.”
- Program guidance allowing for the use of funds to support training activities has been expanded to include the development of, and attendance at, non-ODP courses, provided recipients follow the guidance for ODP approval included in **Appendix D**. Grantees and sub-grantees using funds to develop courses or to attend non-ODP courses will be required to report the number of individuals trained, by discipline and course level, in their bi-annual strategy implementation reports (see **Appendix C**).
- To expedite the application and award process, no budget information or

program narrative is required to apply for this grant.

- While budget detail worksheets do not need to be submitted as a requirement of this grant, States are expected to maintain complete and accurate accounting records, and must make those records available to DHS upon request.
- The SAA must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number with the FY 2004 HSGP application. (See **Appendix A**). This number may be provided in one of the attachment fields within the Grant Management System (GMS) application.
- Reporting requirements for all programs included in the FY 2004 HSGP will be consolidated into a single report to minimize the administrative burden on States.
- Pursuant to the Homeland Security Act of 2002, the Secretary of Homeland Security is the principal federal official for domestic incident management. Consequently, and according to the Homeland Security Presidential Directive/HSPD-5, the Secretary shall develop and administer a National Incident Management System (NIMS). This system will provide a consistent nationwide approach for Federal, State, and local governments to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, and local capabilities, the NIMS will include a core set of concepts, principles, terminology, and technologies covering the incident command system; multi-agency coordination systems; unified command; training; identification and management of resources (including systems for classifying types of resources); qualifications and certification; and the collection, tracking, and reporting of incident information and incident resources.
- As mandated by HSPD-5, beginning in FY 2005, adoption of the NIMS will be a requirement for receipt of grant funds from ODP. As such, DHS encourages grantees to begin utilizing NIMS concepts, principles, terminology, and technologies as they are made available by DHS. Additionally, if agencies are not already using the incident command system (ICS) as taught by DHS, grantees and sub-grantee should institutionalize the use of ICS across their entire response system by the end of the two-year performance period.
- The Office of Justice Programs' Office of the Comptroller (OC) will continue to provide fiscal support and oversight of the three grant programs included in this solicitation.
- Grantees are reminded to review the following documents and ensure that grant activities are conducted in accordance with the applicable guidance: 28 C.F.R. Part 66 (Uniform Administrative Requirements for Grants to States); Office of

Management and Budget (OMB) Circular A-87, addressing cost principles for grants to state and local governments; 28 C.F.R. Part 70 (Common Rule for Administrative Requirements for Grants to non-profits); and OMB Circulars A-122 and A-21, addressing cost principles for grants to non-profit entities. Additionally, grantees should be familiar with the requirements included in the Office for Justice Programs OC Financial Guide.

# **V. APPLICATION, AWARD AND SUBMISSION REQUIREMENTS**

## V. Application, Award and Submission Requirements

The following steps must be completed in accordance with directions in this package on the Grants Management System (GMS) to ensure a successful application and grant award process:

### A. Application Process

SAAAs must apply for FY 2004 grant funding through the Grant Management System (GMS). Applications must be received by ODP no later than November 30, 2003. Grants will not be awarded until the State's State Homeland Security Strategy (SHSS) is submitted to ODP and approved.

Required submissions: 1) SF-424 Grant Application with certifications (through GMS), and 2) a DUNS Number in accordance with Appendix A

### B. Grant Award to State

Upon approval of the electronic grant application through GMS and approval of the SHSS, the grant will be awarded to the respective SAA. This date will be known as the award date. The State's 60-day obligation period must be met within 60 days of the award date.

Required Submissions: 1) finalized SHSS submitted to and approved by ODP and, 2) signed award document and special conditions returned to the Office of the Comptroller.

### C. State Obligation of Grant Funds to Local Units of Government and Initial Strategy Implementation Spending Plans

Each State shall obligate not less than **80 percent** of the total amount of the grant to local units of government **within 60 days after the grant award**. If requested in writing by a local unit of government, the State may retain some or all of the local unit of government's allocation of grant funds for purchases made by the State on behalf of the local unit of government. States holding grant funds on behalf of local units of government must enter into a memorandum of understanding with the local unit of government specifying the amount of funds to be retained by the State for purchases. This agreement must be kept on file with the SAA. ODP will track the 60-day obligation time period and will subsequently require each State and territory to submit a report detailing the obligations made to each local unit of government by grant program, the primary activities and accomplishments anticipated, expected allocations by discipline, and projected use of funds by solution area, such as training, equipment, etc. Initial Strategy Implementation Spending Plans must also be provided for funding retained at the State level (see Initial Strategy Implementation Spending Plan in **Appendix C**).

Failure to provide this information within 60 days of receipt of funds may result in ODP withholding grant funds from further obligation and expenditure.

Required Submissions: Initial Strategy Implementation Spending Plan.

#### **D. State and Sub-grantee Obligation of Funds**

Following award of the grant, the State and sub-grantees will be responsible for providing updated obligation and expenditure information on a regular basis. States will provide consolidated information to ODP in their Biannual Strategy Implementation Reports (BSIR), which will serve as the reporting format of the biannual Categorical Assistance Progress Reports (CAPR). These are due on July 31 with a reporting period of January 1 through June 30, and on January 31 with a reporting period of July 1 through December 31 (see guidance for BSIR/CAPR in **Appendix C**). Updated obligation and expenditure information must be provided with the BSIRs to show progress made in meeting strategic goals and objectives.

Required Submissions: BSIR (biannually).

#### **E. Drawdown and Expenditure of Funds**

Following the grant award and release of any special conditions, the grantee can drawdown and expend grant funds through the electronic PAPRS or LOCES systems. Questions regarding grant accounts should be addressed to the Office of the Comptroller at 1-800-458-0786. Drawdowns and expenditures must be reported to ODP on a quarterly basis through the Financial Status Report (FSR). The FSR is due 45 days after the end of each quarter (i.e. for the quarter ending March 31, FSR is due on May 15).

Note: Grant funds may be drawn down up to 90 days after the end of the grant period in order to facilitate final expenditures. However, no obligations can be made after the grant project period has ended.

Required Submissions: SF-269 FSR (submitted quarterly; see sample in **Appendix F**).

#### **F. Technical Assistance and Monitoring**

Throughout the project period DHS-ODP Preparedness Officers will work closely with State and local officials in their assigned States and territories. The primary duty of DHS-ODP Preparedness Officers is to assist State and local agencies in enhancing their homeland security preparedness through planning, training, equipment acquisition, exercises, and technical assistance. Preparedness Officers will be in continuous contact with the SAAs and local officials, and should be considered as the primary point of contact within DHS-ODP for addressing questions, concerns, and general issues.

Additionally, grant recipients will be monitored periodically by ODP staff to ensure that the program goals, objectives, timelines, budgets and other related program criteria are being met. Monitoring will be accomplished through a combination of office-based and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, and administrative issues relative to each program, and will identify areas where technical assistance and other support may be needed.

#### **G. Grant Close-out Process**

Within 120 days after the end of the grant period, the grantee will submit a final FSR and a final BSIR detailing all accomplishments throughout the project. After both of these reports have been reviewed and approved by the DHS-ODP Preparedness Officer, a Grant Adjustment Notice (GAN) will be completed to close-out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be de-obligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR. After the financial information is received and approved by the Office of the Comptroller, the grant will be identified as "Closed by the Office of the Comptroller."

Required Submissions: 1) Final SF-269 Financial Status Report; 2) Final BSIR.

# **VI. STATE HOMELAND SECURITY PROGRAM**

## VI. The Fiscal Year 2004 State Homeland Security Program (SHSP)

### A. Program Overview

The FY 2004 State Homeland Security Program (SHSP) provides funds to enhance the capability of State and local units of government to prevent, deter, respond to, and recover from incidents of terrorism involving the use of chemical, biological, radiological, nuclear, and explosive (CBRNE) weapons and cyber attacks. These funds support costs related to homeland security and emergency operations planning activities; the purchase of specialized equipment; costs related to the design, development, and conduct of a State CBRNE and cyber security training programs and attendance at ODP-sponsored courses; the design, development, conduct, and evaluation of CBRNE and cyber security exercises; and other costs associated with implementing the State Homeland Security Strategies (SHSS).

For those States and local units of government that have addressed agriculture in their strategies, the FY 2004 SHSP provides funds in the same broad categories of planning, equipment, training and exercises, as well as agriculture-specific equipment that could be utilized to address specific gaps in preparedness, prevention, and recovery within the agriculture sector.

### B. Program Requirements

Each State shall obligate not less than **80 percent** of SHSP funds to local units of government **within 60 days after the grant award**. If requested in writing by a local unit of government, the State may retain some or all of the local unit of government's allocation of grant funds for purchases made by the State on behalf of the local unit of government. States holding grant funds on behalf of local units of government must enter into a memorandum of understanding with the local unit of government specifying the amount of funds to be retained by the State for purchases. This agreement must be kept on file with the SAA. States and local units of government must utilize their FY 2004 State Homeland Security Strategies as the basis for the allocation of funds to meet prioritized needs to enhance and refine their preparedness efforts. There must be a clear correlation between the goals and objectives identified in the SHSS and in the FY 2004 SHSP program activities. Required Strategy Implementation Spending Plans and Reports will document this correlation.

### **C. Authorized Program Expenditures**

Funding may be used in any of five categories: (1) planning; (2) equipment acquisitions; (3) training; (4) exercise; and (5) management and administrative (M & A). Other than a 3% cap on M & A funds, there are no restrictions on allocation of funds across these categories.

#### **Allowable Planning Costs**

Planning funds may be used to pay for the following types of planning activities:

- Establishment or enhancement of mutual aid agreements
- Development or enhancement of emergency operations plans and operating procedures
- Development of terrorism prevention/deterrence plans
- Development or enhancement of response and recovery plans
- Development or enhancement of cyber security plans
- Development or enhancement of cyber risk mitigation plans
- Development of communications and interoperability protocols and solutions
- Coordination of citizen and family preparedness plans and programs, including donations programs and volunteer initiatives
- Conducting local or regional program implementation meetings
- Conducting point vulnerability assessments at critical infrastructure and development of remediation/security plans
- Conducting cyber risk and vulnerability assessments
- Development or enhancement of continuity of operations and continuity of government plans
- Hiring of full or part-time staff or contractors/consultants to assist with any of the above activities (not for the purpose of hiring public safety personnel)
- Conferences to facilitate activities listed above
- Materials required to conduct activities listed above
- Travel/per diem related to above activities

#### **Allowable Equipment Costs**

The foundation of the FY 2004 SHSP authorized equipment list (AEL) is the Standardized Equipment List (SEL), which was developed by the Interagency Board (IAB) for Equipment Standardization and Interoperability. Changes and additions to the AEL reflect input received by the DHS-ODP from State and local responders and reflect a continued commitment to better serve the nation. The new AEL also comports closely with the SEL, but has additional categories and equipment. A cross-section of officials representing the U.S. Department of Homeland Security, the U.S. Department of Justice, the Public Health Service, the U.S. Department of Energy, and State and local CBRNE response experts assisted in the development of this authorized equipment purchase list and in identifying unallowable items.

The following list is intended as a guide. If State agencies and local units of government have questions about eligibility of equipment not specifically addressed below, the SAA must contact the assigned DHS-ODP Preparedness Officer for clarification.

Authorized equipment purchases may be made in the following categories:

1. Personal Protective Equipment (PPE)
2. Explosive Device Mitigation and Remediation Equipment
3. CBRNE Search and Rescue Equipment
4. Interoperable Communications Equipment
5. Detection Equipment
6. Decontamination Equipment
7. Physical Security Enhancement Equipment
8. Terrorism Incident Prevention Equipment
9. CBRNE Logistical Support Equipment
10. CBRNE Incident Response Vehicles
11. Medical Supplies and Limited Types of Pharmaceuticals
12. CBRNE Reference Materials
13. Agricultural Terrorism Prevention, Response and Mitigation Equipment
14. CBRNE Response Watercraft
15. CBRNE Aviation Equipment
16. Cyber Security Enhancement Equipment
17. Intervention Equipment
18. Other Authorized Equipment

**1. Personal Protective Equipment** - Equipment worn to protect the individual from hazardous materials and contamination. Levels of protection vary and are divided into categories based on the degree of protection afforded. The following constitutes equipment intended for use in a chemical/biological threat environment:

**Level A.** Fully encapsulated, liquid and vapor protective ensemble selected when the highest level of skin, respiratory, and eye protection is required. The following constitutes Level A equipment for consideration:

- Fully Encapsulated Liquid and Vapor Protection Ensemble, reusable or disposable (tested and certified against CB threats)
- Fully Encapsulated Training Suits
- Closed-Circuit Rebreather (minimum 2-hour supply, preferred), or open-circuit Self-Contained Breathing Apparatus (SCBA) or, when appropriate, Air-Line System with 15-minute minimum escape SCBA
- Spare Cylinders/Bottles for rebreathers or SCBA and service/repair kits
- Chemical Resistant Gloves, including thermal, as appropriate to hazard
- Personal Cooling System; Vest or Full Suit with support equipment needed for

- maintaining body core temperature within acceptable limits
- Hardhat/helmet
- Chemical/Biological Protective Undergarment
- Inner Gloves
- Approved Chemical Resistant Tape
- Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
- Chemical Resistant Outer Booties

**Level B.** Liquid splash resistant ensemble used with highest level of respiratory protection. The following constitute Level B equipment and should be considered for use:

- Liquid Splash Resistant Chemical Clothing, encapsulated or non-encapsulated
- Liquid Splash Resistant Hood
- Closed-Circuit Rebreather (minimum 2-hour supply, preferred), open-circuit SCBA, or when appropriate, Air-Line System with 15-minute minimum escape SCBA
- Spare Cylinders/Bottles for rebreathers or SCBA and service/repair kits
- Chemical Resistant Gloves, including thermal, as appropriate to hazard
- Personal Cooling System; Vest or Full Suit with support equipment needed for maintaining body core temperature within acceptable limits
- Hardhat/helmet
- Chemical/Biological Protective Undergarment
- Inner Gloves
- Approved Chemical Resistant Tape
- Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
- Chemical Resistant Outer Booties

**Level C.** Liquid splash resistant ensemble, with same level of skin protection of Level B, used when the concentration(s) and type(s) of airborne substances(s) are known and the criteria for using air-purifying respirators are met. The following constitute Level C equipment and should be considered for use:

- Liquid Chemical Splash Resistant Clothing (permeable or non-permeable)
- Liquid Chemical Splash Resistant Hood (permeable or non-permeable)
- Tight-fitting, Full Facepiece, Negative Pressure Air Purifying Respirator with the appropriate cartridge(s) or canister(s) and P100 filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents.
- Tight-fitting, Full Facepiece, Powered Air Purifying Respirator (PAPR) with chemically resistant hood with appropriate cartridge(s) or canister(s) and high-efficiency filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents.
- Closed-Circuit Rebreather (minimum 2-hour supply, preferred), open-circuit SCBA, or when appropriate, Air-Line System with 15-minute minimum escape SCBA
- Spare cylinder/bottles for rebreathers or SCBA

- SCBA Service and repair kits
- Equipment or system batteries will include those that are rechargeable (e.g. NiCad) or non-rechargeable with extended shelf life (e.g. Lithium)
- Chemical Resistant Gloves, including thermal, as appropriate to hazard
- Personal Cooling System; Vest or Full Suit with support equipment
- Hardhat
- Inner Chemical/Biological Resistant Garment
- Inner Gloves
- Chemical Resistant Tape
- Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
- Chemical Resistant Outer Booties

**Level D.** Selected when no respiratory protection and minimal skin protection is required, and the atmosphere contains no known hazard and work functions preclude splashes, immersion, or the potential for unexpected inhalation of, or contact with, hazardous levels of any chemicals.

- Escape mask for self-rescue

*Note: During CBRNE response operations, the incident commander determines the appropriate level of personal protective equipment. As a guide, Levels A, B, and C are applicable for chemical/ biological/ radiological contaminated environments. Personnel entering protective postures must undergo medical monitoring prior to and after entry.*

All SCBAs **must** meet standards established by the National Institute for Occupational Safety and Health (NIOSH) for occupational use by emergency preparedness and response personnel when exposed to Chemical, Biological, Radiological and Nuclear (CBRN) agents in accordance with Special Tests under NIOSH 42 CFR 84.63(c), procedure number RCT-CBRN-STP-0002, dated December 14, 2001.

*Grant recipients **must** purchase: 1) protective ensembles for chemical and biological terrorism incidents that are certified as compliant with Class 1, Class 2, or Class 3 requirements of National Fire Protection Association (NFPA) 1994, Protective Ensembles for Chemical/Biological Terrorism Incidents; 2) protective ensembles for hazardous materials emergencies that are certified as compliant with NFPA 1991, Standard on Vapor Protective Ensembles for Hazardous Materials Emergencies, including the chemical and biological terrorism protection; 3) protective ensembles for search and rescue or search and recovery operations where there is no exposure to chemical or biological warfare or terrorism agents and where exposure to flame and heat is unlikely or nonexistent that are certified as compliant with NFPA 1951, Standard on Protective Ensemble for USAR Operations; and, 4) protective clothing from blood and body fluid pathogens for persons providing treatment to victims after decontamination that are certified as compliant with NFPA 1999, Standard on Protective Clothing for Emergency Medical Operations.*

For more information regarding these standards, please refer to the following web sites:  
The National Fire Protection Association - <http://www.nfpa.org>  
National Institute for Occupational Safety and Health - <http://www.cdc.gov/niosh>

**2. Explosive Device Mitigation and Remediation** - Equipment providing for the mitigation and remediation of explosive devices in a CBRNE environment:

- Bomb Search Protective Ensemble for Chemical/Biological Response
- Chemical/Biological Undergarment for Bomb Search Protective Ensemble
- Cooling Garments to manage heat stress
- Ballistic Threat Body Armor (not for riot suppression)
- Ballistic Threat Helmet (not for riot suppression)
- Blast and Ballistic Threat Eye Protection (not for riot suppression)
- Blast and Overpressure Threat Ear Protection (not for riot suppression)
- Fire Resistant Gloves
- Bomb blanket, Bomb Suppression Blanket, explosive devices blanket
- Dearmer/Disrupter
- Real Time X-Ray Unit; Portable X-Ray Unit
- CBRNE Compatible Total Containment Vessel (TCV)
- CBRNE Upgrades for Existing TCV
- Robot; Robot Upgrades
- Fiber Optic Kit (inspection or viewing)
- Tents, standard or air inflatable for chem/bio protection
- Inspection mirrors
- Ion Track Explosive Detector

**3. CBRNE Search and Rescue Equipment** - Equipment providing a technical search and rescue capability for a CBRNE environment:

- Hydraulic tools; hydraulic power unit
- Listening devices; hearing protection
- Search cameras (including thermal and infrared imaging)
- Breaking devices (including spreaders, saws, and hammers)
- Lifting devices (including air bag systems, hydraulic rams, jacks, ropes, and block and tackle)
- Blocking and bracing materials
- Evacuation stretchers, baskets, and chairs (for evacuation of disabled personnel)
- Ventilation fans
- Rescue ropes and ladders (including rescue pulley systems)
- Confined Space Kits (such as MSA Watchman)
- Underwater equipment including: lights, metal detectors, communication and video units, lift bags, water rescue helmets, ice hooks, buoyancy compensator, and underwater scooter/DPV
- SCUBA equipment including: exposure and pressurized suites, face masks,

regulators, air tanks, and pony bottles.

**4. Interoperable Communications Equipment** - Equipment and systems providing connectivity and electrical interoperability between local and interagency organizations to coordinate CBRNE response operations. When utilizing ODP program funds in the category of Interoperable Communications Equipment to build, upgrade, enhance, or replace communications systems, grantees and sub-grantees should develop a comprehensive interoperable communications plan before procurement decisions are made. Guidance for development of interoperable communications plans is provided in **Appendix E**.

- Land Mobile, Two-Way In-Suit Communications (secure, hands-free, fully duplex, optional), including air-to-ground capability (as required)
- Antenna and tower systems
- Leasing and rental of tower space
- Personnel Alert Safety System (PASS) - (location and physiological monitoring systems optional)
- Personnel Accountability Systems
- Individual/portable radios, software radios, portable repeaters, radio interconnect systems, satellite phones, batteries, chargers and battery conditioning systems
- Computer systems designated for use in an integrated system to assist with detection and communication efforts (must be linked with integrated software packages designed specifically for chemical and/or biological agent detection and communication purposes)
- Aviation and maritime security voice and data transmission equipment
- Portable Meteorological Station (monitors temperature, wind speed, wind direction and barometric pressure at a minimum)
- Computer aided dispatch systems and enhancement of 911 systems, and mobile computer data systems to include pagers, palm pilots, and cell phones
- Commercially available crisis management software
- Mobile Display Terminals

*Note: In an effort to improve emergency preparedness and response interoperability, all new or upgraded radio systems and new radio equipment should be compatible with a suite of standards called ANSI/TIA/EIAA-102 Phase I (Project 25). These standards have been developed to allow for backward compatibility with existing digital and analog systems and provide for interoperability in future systems. The FCC has chosen the Project 25 suite of standards for voice and low-moderate speed data interoperability in the new nationwide 700 MHz frequency band. The Integrated Wireless Network (IWN) of the U.S. Justice and Treasury Departments has also chosen the Project 25 suite of standards for their new radio equipment. In an effort to realize improved interoperability, all radios purchased under this grant should be APCO 25 compliant.*

**5. Detection Equipment** - Equipment to sample, detect, identify, quantify, and monitor for chemical, biological, radiological/nuclear, and explosive agents throughout

designated areas or at specific points, including equipment necessary to enhance laboratory detection capabilities:

### **Chemical**

- M-8 Detection Paper for chemical agent identification
- M-9 Detection Paper (roll) for chemical agent (military grade) detection
- M-256 Detection Kit for Chemical Agent (weapons grade—blister: CX/HD/L; blood: AC/CK; and nerve: GB/VX) detection
- M-256 Training Kit
- M-18 Series Chemical Agent Detector Kit for surface/vapor chemical agent analysis
- Hazard Categorizing (HAZCAT) Kits
- Photo-Ionization Detector (PID)
- Flame Ionization Detector (FID)
- Surface Acoustic Wave Detector
- Gas Chromatograph/Mass Spectrometer (GC/MS)
- Ion Mobility Spectrometry
- Stand-Off Chemical Detector
- M-272 Chemical Agent Water Test Kit
- Colorimetric Tube/Chip Kit specific for TICs and CBRNE applications
- Multi-gas Meter with minimum of O<sub>2</sub> and LEL
- Leak Detectors (soap solution, ammonium hydroxide, etc)
- pH Paper/pH Meter
- Waste Water Classifier Kit
- Oxidizing Paper
- Protective cases for sensitive detection equipment storage and transport

### **Biological**

- Point Detection Systems/Kits (Immunoassay or other technology)

### **Radiological/Nuclear**

- Radiation detection equipment (electronic or other technology that detects alpha, beta, gamma, and high intensity gamma)
- Personal Dosimeter
- Scintillation Fluid (radiological) pre-packaged
- Radiation monitors

### **Explosive**

- Canines (initial acquisition and initial operational capability only)

**6. Decontamination Equipment** - Equipment and material used to clean, remediate, remove or mitigate chemical and biological contamination:

### **Chemical**

- Decontamination system for individual and mass application with environmental controls, water heating system, showers, lighting, and transportation (trailer)

- Decon Litters/roller systems
- Extraction Litters, rollable
- Runoff Containment Bladder(s), decontamination shower waste collection with intrinsically-safe evacuation pumps, hoses, connectors, scrub brushes, nozzles
- Spill Containment Devices
- Overpak Drums
- Non-Transparent Cadaver Bags (CDC standard)
- Hand Carts
- Waste water classification kits/strips

### **Biological**

- HEPA (High Efficiency Particulate Air) Vacuum for dry decontamination

## **7. Physical Security Enhancement Equipment** - Equipment to enhance the physical security of critical infrastructure.

### **Surveillance, Warning, Access/Intrusion Control**

#### Ground

- Motion Detector Systems: Acoustic; Infrared; Seismic; Magnetometers
- Barriers: Fences; Jersey Walls
- Impact Resistant Doors and Gates
- Portal Systems; locking devices for access control
- Alarm Systems
- Video Assessment/Cameras: Standard, Low Light, IR, Automated Detection
- Personnel Identification: Visual; Electronic; Acoustic; Laser; Scanners; Cyphers/Codes
- X-Ray Units
- Magnetometers
- Vehicle Identification: Visual; Electronic; Acoustic; Laser; Radar

#### Waterfront

- Radar Systems
- Video Assessment System/Cameras: Standard, Low Light, IR, Automated Detection
- Diver/Swimmer Detection Systems; Sonar
- Impact Resistant Doors and Gates
- Portal Systems
- Hull Scanning Equipment
- Plus all those for Ground
- Vessel Barriers

### **Sensors – Agent/Explosives Detection**

- Chemical: Active/Passive; Mobile/Fixed; Handheld
- Biological: Active/Passive; Mobile/Fixed; Handheld
- Radiological

- Nuclear
- Ground/Wall Penetrating Radar

### **Inspection/Detection Systems**

- Vehicle and Cargo Inspection System – Gamma-ray
- Mobile Search and Inspection System – X-ray
- Non-Invasive Radiological/Chem/Bio/Explosives System – Pulsed Neutron Activation

### **Explosion Protection**

- Blast/Shock/Impact Resistant Systems
- Protective Clothing
- Column and Surface Wraps; Breakage/Shatter Resistant Glass; Window Wraps
- Robotic Disarm/Disable Systems

### **Support Equipment for Continuation of Critical Infrastructure Operations**

- Large fixed generators
- Fuel storage containers
- Back-up operating computer hardware and programming software
- Self-monitoring sensors and alarms

**8. Terrorism Incident Prevention Equipment (Terrorism Early Warning, Prevention, and Deterrence Equipment and Technologies)** - State and local emergency preparedness, prevention and response agencies will increasingly rely on the integration of emerging technologies and equipment to improve jurisdictional capabilities to deter and prevent terrorist incidents. This includes, but is not limited to, equipment and associated components that enhance a jurisdiction's ability to disseminate advanced warning information to prevent a terrorist incident or disrupt a terrorist's ability to carry out the event, including information sharing, threat recognition, and public/private sector collaboration.

- Data collection/information gathering software
- Data synthesis software
- Geographic Information System (GIS) information technology and software
- Law enforcement surveillance equipment
- GIS plotter software and printers
- Joint Regional Information Exchange System (JRIES)
- Alert and notification equipment that allows for real-time dissemination of information and intelligence. Examples of this equipment include cellular phones, pagers, text messaging, etc.
- Hardware, software and internet-based systems that allow for information exchange and dissemination
- Fees for use of databases containing terrorist threat information
- Facial recognition hardware and software

**9. CBRNE Logistical Support Equipment** - Logistical support gear used to store and transport the equipment to the CBRNE incident site and handle it once onsite. This category also includes small support equipment including intrinsically safe (non-sparking) hand tools required to support a variety of tasks and to maintain equipment purchased under the grant, as well as general support equipment intended to support the CBRNE incident response. The State should also consider procurement of software to assist in tracking and maintaining statewide equipment assets.

- Equipment trailers
- Staging tents and portable shelter units
- Weather-tight containers for equipment storage
- Software for equipment tracking and inventory
- Handheld computers for Emergency Response applications
- Small hand tools
- Binoculars, head lamps, range finders and spotting scopes (not for weapons use)
- Night vision goggles
- Light and heavy duty generators to operate search and rescue equipment, light sets, water pumps for decontamination sets
- Light sets for nighttime operations/security (including emergency light poles)
- Electrical current detectors and DC to AC inverter equipment
- Equipment harnesses, belts, and vests (including incident command vests)
- Isolation containers for suspected chemical/biological samples
- Bull horns and other PA systems
- Traffic and crowd control devices (traffic and reflective cones, arrow and zone signs, portable barriers)
- Water pumps for decontamination systems
- Bar code scanner/reader for equipment inventory control
- Badging system equipment and supplies
- Cascade system for refilling SCBA oxygen bottles
- SCBA fit test equipment and software to conduct flow testing
- Testing equipment for fully encapsulated suits and respirators
- Cooling/heating/ventilation fans (personnel and decontamination tent use)
- HAZMAT gear bag/box

**10. CBRNE Incident Response Vehicles** - This category includes special-purpose vehicles for the transport of CBRNE response equipment and personnel to the incident site. Licensing and registration fees are the responsibility of the jurisdiction and are not allowable under this grant. In addition, general-purpose vehicles (squad cars, executive transportation, etc.), fire apparatus, and non-CBRNE tactical/armored assault vehicles are not allowable. Allowable vehicles include:

- Mobile command post vehicles
- Hazardous materials (HazMat) response vehicles
- Bomb response vehicles
- Prime movers for equipment trailers

- 2-wheel personal transport vehicles for transporting fully suited bomb technicians, Level A/B suited technicians to the Hot Zone
- Multi-wheeled all terrain vehicles for transporting personnel and equipment to and from the hot zone
- Mobile Command Unit
- Mobile Morgue Unit
- Response vehicles to deploy bomb, hazmat, and special weapons personnel, equipped to detect chemical, biological and radiological materials; these vehicles may be armored to protect these personnel from explosions and projectiles when required to enter hot zones.

**11. Medical Supplies and Pharmaceuticals** - Medical supplies and pharmaceuticals required for response to a CBRNE incident at the advanced life support level. Grantees are responsible for replenishing items after shelf-life expiration date(s).

### **Medical Supplies**

- Automatic biphasic external defibrillators and carry bags
- Equipment and supplies for establishing and maintaining a patient airway (to include OP and NG airways; ET tubes, styletes, blades, and handles; portable suction devices and catheters; and stethoscopes for monitoring breath sounds)
- Blood pressure cuffs
- IV administration sets (macro and micro) and pressure infusing bags
- IV catheters (14, 16, 18, 20, and 22 gauge)
- IV catheters (Butterfly 22, 24 and 26 gauge)
- Manual biphasic defibrillators (defibrillator, pacemaker, 12 lead) and carry bags
- Eye lens for lavage or continuous medication
- Morgan eye shields
- Nasogastric tubes
- Oxygen administration equipment and supplies (including bag valve masks; rebreather and non-rebreather masks, and nasal cannulas; oxygen cylinders, regulators, tubing, and manifold distribution systems; and pulse oximetry, Capnography and CO2 detection devices)
- Portable ventilator
- Pulmonary fit tester
- Syringes (3cc and 10cc)
- 26 ga 1/2" needles (for syringes)
- 21 ga. 1 1/2 " needles (for syringes)
- Triage tags and tarps
- Sterile and non-sterile dressings, all forms and sizes
- Gauze, all sizes
- Burn kits

### **Pharmaceuticals**

- 2Pam Chloride
- Adenosine
- Albuterol Sulfate .083%

- Albuterol MDI
- Atropine 0.1 & 0.4 mg/ml
- Atropine Auto Injectors
- Benadryl
- CANA Auto Injectors
- Calcium Chloride
- Calcium Gluconate 10%
- Ciprofloxin PO
- Cyanide kits
- Dextrose
- Dopamine
- Doxycycline PO
- Epinephrine
- Glucagon
- Lasix
- Lidocaine
- Loperamide
- Magnesium Sulfate
- Methylprednisolone
- Narcan
- Nubain
- Nitroglycerin
- Normal Saline (500 and 1000 ml bags)
- Potassium Iodide
- Silver Sulfadiazine
- Sodium Bicarbonate
- Sterile Water
- Tetracaine
- Thiamine
- Valium

**12. CBRNE Reference Materials** - Reference materials and software designed to assist emergency preparedness and response personnel in preparing for and responding to a CBRNE incident. This includes but is not limited to the following:

- NFPA Guide to hazardous materials
- NIOSH Hazardous Materials Pocket Guide
- North American Emergency Response Guide
- Jane's Chem-Bio Handbook
- First Responder Job Aids

**13. Agricultural Terrorism Prevention, Response and Mitigation Equipment** - Equipment used for agricultural terrorism prevention, response and/or mitigation. DHS-ODP expanded the scope of its programs based on feedback from its constituency. To that end, an agricultural section has been incorporated into the State Homeland Security Assessment and Strategy and grant programs to assist with preventing,

responding to, and recovering from agro-terrorism events. In addition to the following categories, any of the equipment items from the authorized equipment list (AEL) maybe used for agricultural homeland security efforts.

### **Animal Restraint**

- Probangs
- Nose leads
- Lariat
- Hog snare
- Portable cattle and hog chutes
- Knee boards
- Hog paddles
- Electric prods
- Halters
- Swine mouth speculum
- Panels
- Portable pens, crates, kennels
- Leashes

### **Diagnostic Equipment**

- Biohazard packing container
- Blood sampling supplies (needles, syringes, blood tubes)
- Biohazard bags and containers
- Sharps containers
- Animal identification supplies (back tags, marker crayons, waterproof tape and pens)
- Specimen containers
- Ice packs for shipping and access to freezer

### **Cleaning, Disinfection, and Fumigation**

- Bleach
- Potassium bromide
- Other surface and topical disinfectants
- Soda ash
- Sodium hydroxide and vinegar

### **Disposal Equipment and Supplies**

- Draglines
- Heavy plastic liners

### **Burning and Incinerating Supplies**

- Clean fuel oil and other incineration materials
- Portable incinerators

### **Depopulation**

- Euthanasia solution

- Captive bolt pistol (appropriate gauge)
- Lining and covering for buried waste

#### **General**

- Euthanasia guidelines
- Animal handling guidelines
- Quarantine forms
- Plastic file boxes or filing cabinets
- Chisel
- Disposable scalpels/blades
- Surgical scissors
- Pliers
- Forceps
- Identification system for animals
- Reference materials for specific animal management in disasters/agro-terrorism

**14. CBRNE Prevention & Response Watercraft** – This category allows for the purchase of surface boats and vessels **for port homeland security purposes**, including prevention and response. Allowable costs also include the purchase of customary and specialized navigational, communications, safety, and operational equipment necessary to enable such watercraft to carry out their homeland security mission.

Licensing, registration fees, insurance, and all ongoing operational expenses are the responsibility of the grantee or the local units of government and are not allowable under this grant.

**15. CBRNE Aviation Equipment** – This category allows for the purchase of special-purpose aviation equipment where such equipment will be utilized primarily for homeland security objectives and permissible program activities, and provides that the local units of government certified that it has an operating aviation unit and that the costs for operation and maintenance of such equipment will be paid from non-grant funds. Aviation equipment is defined as fixed-wing aircraft, helicopters, and air-safety containers for CBRNE prevention, response, mitigation and/or remediation. Allowable costs include the purchase of customary and specialized navigational, communications, safety, and operational equipment necessary for CBRNE prevention, response and/or recovery.

**Prior to obligating funds for this category of equipment, grantees must obtain a waiver from Department of Homeland Security Secretary through ODP by first consulting with their DHS-ODP Preparedness Officer and providing a detailed justification for obligating funds in this category, and receiving approval to obligate funds.**

Licensing, registration fees, insurance, and all ongoing operational expenses are the responsibility of the grantee or the local units of government and are not allowable under this grant. In addition, the purchases of general-purpose public safety aircraft such as, but not limited to, firefighting planes or police helicopters are not allowable. Furthermore, local units of government, including State agencies, must certify that they have an operating aviation unit and that no expenses will be charged against the grant award for the operation of such aviation unit. Also prohibited is aviation equipment acquisition that is inconsistent with the State's updated homeland security assessment and strategy.

## **16. Cyber Security Enhancement Equipment**

- Intrusion detection devices and systems
- Configuration management and patch dissemination tools
- Scanning and penetration tools
- Geographic information systems
- Encryption systems
- Firewall and authentication technologies
- Network traffic monitoring and analysis systems
- Security hardware and software countermeasures to protect against cyber attacks

**17. Intervention Equipment** – this category allows for the purchase of specialized law enforcement equipment that is necessary to further enhance their capabilities to prevent domestic terrorism incidents. Grantees are reminded that they must comply with 28 CFR, Parts 66 and 70. In addition, when procuring any Title III equipment, grantees must strictly adhere to requirements of 18 U.S.C., Part I, Chapter 119, Section 2512, pertaining to the manufacture, distribution, possession, and advertising of wire, oral, or electronic communications interception devices. This category includes but is not limited to the following:

- Tactical entry equipment (not including weapons)
- Title III Equipment (Pin registers)
- Specialized response vehicles and vessels

## **18. Other Authorized Equipment and Related Costs**

- Installation costs for authorized equipment purchased through ODP grants
- Maintenance contracts for authorized equipment purchased through ODP grants and acquired through DHS-ODP'S's Homeland Defense Equipment Reuse (HDER) Program
- Multiple Integrated Laser Engagement System (MILES)
- Training on CBRNE and cyber security equipment by vendors or local entities – DHS encourages the use of Domestic Preparedness Equipment Technical Assistance Program (DPETAP) for equipment training; however, manufacturer/vendor equipment training, the cost of overtime to attend the training, and costs related to having vendors provide training on equipment to

State and/or local units of government is allowed to facilitate the training on and fielding of equipment.

- Shipping costs for equipment
- Sales tax on equipment

### **Allowable Training Costs**

Funds may be used to enhance the capabilities of State and local emergency preparedness and response personnel through development of a State homeland security training program. Allowable training-related costs include: 1) establishment of CBRNE and cyber security training programs within existing training academies, universities or junior colleges; and 2) **overtime and backfill costs** associated with attendance at ODP-sponsored and approved CBRNE and cyber security training courses. Allowable training costs reflected within the LETPP (Section VII) are also allowable with SHSP funds.

The target audience for training courses funded must be emergency preparedness, prevention and response personnel, emergency managers and public/elected officials within the following disciplines: firefighters, law enforcement, emergency management, emergency medical services, hazardous materials, public works, public health, health care, public safety communications, governmental administrative, cyber security and private security providers. Awareness training for citizen preparedness is also allowable. Grantees using these funds to develop their own courses should address the critical training areas and gaps identified in the State's Homeland Security Strategy and must adhere to the ODP Emergency Responder Guidelines and ODP prevention and deterrence guidelines. These guidelines and ODP Training Doctrine may be found at: [http://www.ojp.usdoj.gov/odp/whatsnew/whats\\_new.htm](http://www.ojp.usdoj.gov/odp/whatsnew/whats_new.htm).

**Grantees who wish to use grant funds to support attendance at and/or development of non-ODP sponsored training, must receive approval from ODP prior to using funds for this purpose. Please see Appendix D for the ODP Training Approval Process.** Grantees and sub-grantees using funds to develop courses or to attend non-ODP courses will be required to report the number of individuals trained, by discipline and course level, in their bi-annual strategy implementation reports (see **Appendix C**).

To facilitate the development of training consistent with the ODP Emergency Responder Guidelines and Prevention and Deterrence Guidelines, States are encouraged to adopt the current ODP awareness and performance level courses noted below.

- Campus Law Enforcement Awareness Training on WMD
- AWR-100 Emergency Response to Terrorism: Basic Concepts
- AWR-101 Emergency Response to Terrorism: Basic Concepts(Train-the-Trainer)
- AWR-102 Emergency Response to Terrorism: Basic Concepts (Self-Study)
- AWR 103 WMD Crime Scene Management for Emergency Responders
- AWR-110 Terrorism Awareness for Emergency Responders (Internet)

- AWR-111 Emergency Medical Services (EMS): Basic Concepts for WMD Incidents (Internet)
- AWR-112 Public Works: Basic Concepts for WMD Incidents (Internet)
- AWR-120 Law Enforcement Response to WMD – Awareness
- AWR-121 Law Enforcement Response to WMD – Awareness (Train-the-Trainer)
- AWR-130 Incident Response to Terrorist Bombings – Awareness
- AWR-140 WMD Radiological/Nuclear Awareness
- AWR-141 WMD Radiological/Nuclear Awareness (Train-the-Trainer)
- PER-200 Managing Civil Actions in Threat Incidents (MCATI): Basic Course (Train-the-Trainer)
- PER-225 Law Enforcement Response to WMD – Operations Level (Train-the-Trainer)
- PER-251 Emergency Response to Terrorism: Operations Course (Train-the-Trainer)

**Note:** *In order to deliver these courses, State and local instructors must have been certified to deliver the course by successfully completing ODP's Train-the-Trainer course delivery.*

For a detailed description of each of these courses, please refer to the ODP WMD Training Course Catalog located at <http://www.ojp.usdoj.gov/odp/>. Programs of instruction for these courses will be made available upon request for incorporation in State and local training programs. States and local jurisdictions may also use funds to develop further advanced-level training for incorporation into their training delivery systems. To assist with these activities, ODP will make programs of instruction for its advanced, technical level courses available upon request. Please note, grantees developing advanced level courses will still need to submit final curricula to ODP for approval in order to support development or delivery with ODP funds. The DHS-ODP name or logo may not be used in conjunction with courses that have not been developed by ODP.

In addition, allowable training-related costs include:

**1. Overtime and backfill funding for emergency preparedness and response personnel attending ODP-sponsored and approved training classes** - Payment of overtime expenses will be for work performed by award (SAA) or sub-award employees in excess of the established work week (usually 40 hours). Further, overtime payments are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.

**2. Training Workshops and Conferences** - Grant funds may be used to plan and conduct training workshops or conferences to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and training plan development.

**3. Full or Part-Time Staff or Contractors/Consultants** - Full or part-time staff may be hired to support training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or local unit(s) of government and have the approval of the State or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured by the State in the design, development, conduct, and evaluation of CBRNE training. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.

**4. Travel** - Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the training project(s) or for attending ODP-sponsored courses. These costs must be in accordance with either the federal or an organizationally approved travel policy.

**5. Supplies** - Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).

**6. Other Items** - These costs include the rental of space/locations for planning and conducting training, badges, etc.

### **Allowable Exercise Costs**

Funds may be used to plan for, design, develop, conduct, and evaluate exercises that train homeland security preparedness, prevention and response personnel, evaluate prevention and response plans, policy, procedures and protocols, and assess the readiness of jurisdictions to prevent and respond to a terrorist attack. Allowable exercise costs reflected within the LETPP (Section VII) are also allowable with SHSP funds. Exercises must be threat and performance-based, in accordance with ODP's Homeland Security Exercise and Evaluation Program (HSEEP) manuals. These manuals provide explicit direction on the design, conduct, and evaluation of terrorism exercises. Exercises conducted with ODP support (grant funds or direct support) must be managed and executed in accordance with HSEEP. (See [www.ojp.usdoj.gov/odp/exercises/State.htm](http://www.ojp.usdoj.gov/odp/exercises/State.htm)) After Action Reports (AAR) must be provided to ODP within 60 days following completion of each exercise (see **Appendix A**). ODP Exercise Managers will be assisting their assigned States throughout development and implementation of exercise programs. States and local units of government should consider their ODP Exercise Managers as their point of contact for questions and concerns regarding implementation of the HSEEP.

Grantees that wish to expend funds on models, games, or simulations must consult with “Review of Models, Simulations, and Games for Domestic Preparedness Training and Exercising, Volume I,” which provides an overview and analysis of existing models, games and simulations. ***This report is available at [www.ojp.usdoj.gov/odp/exercises/State.htm](http://www.ojp.usdoj.gov/odp/exercises/State.htm)***

Allowable exercise-related costs include:

- 1. Exercise Planning Workshop** - Grant funds may be used to plan and conduct an Exercise Planning Workshop to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and exercise plan development.
- 2. Full or Part-Time Staff or Contractors/Consultants** - Full or part-time staff may be hired to support exercise-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of CBRNE exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.
- 3. Overtime and backfill costs** – Overtime and backfill costs associated with the design, development and conduct of CBRNE exercises are allowable expenses. Payment of overtime expenses will be for work performed by award (SAA) or sub-award employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the exercise project(s). Further, overtime payments are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.
- 4. Travel** - Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s). These costs must be in accordance with either the Federal or an organizationally approved travel policy.
- 5. Supplies** - Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).

**6. Implementation of HSEEP** - Costs related to setting up and maintaining a system to track the completion and submission of AARs and the implementation of corrective actions from exercises, which may include costs associated with meeting with local units of government to define procedures. (*Note: ODP is developing a national information system for the scheduling of exercises and the tracking of AAR/CAPs to reduce the burden on the States and to facilitate national assessments of preparedness.*)

**7. Other Items** - These costs include the rental of space/locations for exercise planning and conduct, exercise signs, badges, etc.

### **Allowable Management and Administrative Costs**

No more than 3% of the total amount allocated to the State for SHSP may be used for management and administrative (M&A) purposes. Any portion of the 3% retained by the State must be included within the 20% of total funds available to the State. For example, if a State receives a SHSP award of \$1,000,000, the State must pass through \$800,000 to local units of government. The total M&A funds available would be \$30,000.

Allowable M&A expenditures may include:

- Hiring of full-time or part-time staff or contractors/consultants to assist with the management of FY 2004 SHSP
- Hiring of full-time or part-time staff or contractors/consultants to assist with the implementation and administration of the SHSS
- Travel expenses
- Meeting-related expenses (For a complete list of allowable meeting-related expenses, please review the OJP Office of the Comptroller (OC) Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>).
- Acquisition of authorized office equipment (*Note: Authorized office equipment includes personal computers, laptop computers, printers, LCD projectors, and other equipment or software which may be required to support the implementation of the State Strategy.*)
- Recurring fees/charges associated with certain equipment, such as cell phones, faxes, etc.
- Leasing and/or renting of space for newly hired personnel to administer the SHSP.

### **D. Unauthorized Program Expenditures**

Unauthorized program expenditures include: 1) expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers (other than for allowable M&A activities, or otherwise associated preparedness or response functions) and related equipment, general-use vehicles, licensing fees,

weapons systems and ammunition; 2) activities unrelated to the completion and implementation of the SHSP; 3) other items not in accordance with the Authorized Equipment List or previously listed as allowable costs; and, 4) construction or renovation of facilities.

# **VII. LAW ENFORCEMENT TERRORISM PREVENTION PROGRAM**

## VII. The Fiscal Year 2004 Law Enforcement Terrorism Prevention Program (LETPP)

### A. Program Overview

The FY 2004 LETPP seeks to provide law enforcement communities with enhanced capabilities for detecting, deterring, disrupting, and preventing acts of terrorism. The FY 2004 LETPP will provide law enforcement communities with funds for the following activities: 1) information sharing to preempt terrorist attacks; 2) target hardening to reduce vulnerability of selected high value targets; 3) threat recognition to recognize the potential or development of a threat; 4) intervention activities to interdict terrorists before they can execute a threat; 5) interoperable communications; and 6) management and administration.

The State Administrative Agency (SAA) must coordinate the implementation of this program with the State's Lead Law Enforcement Agency (LLEA). When identifying administrative and planning needs, each grantee should assess current staffing levels and determine whether a portion of the FY 2004 LETPP funds should be used to enhance administrative capabilities within the LLEA .

### B. Program Requirements

Each State shall obligate not less than **80 percent** of LETPP funds to local units of government **within 60 days after the grant award**. If requested in writing by a local unit of government, the State may retain some or all of the local unit of government's allocation of grant funds for purchases made by the State on behalf of the local unit of government. States holding grant funds on behalf of local units of government must enter into a memorandum of understanding with the local unit of government specifying the amount of funds to be retained by the State for purchases. This agreement must be kept on file with the SAA. States and local units of government must utilize their State Homeland Security Strategies (SHSS) as the basis for the allocation of funds to meet prioritized needs to enhance and refine their preparedness efforts. There must be a clear correlation between the goals and objectives identified in the SHSS and in the FY2004 LETPP program activities.

### C. Authorized Program Expenditures

**1. Information Sharing to Preempt Terrorist Attacks:** These funds will allow law enforcement communities to purchase equipment and support efficient and expeditious sharing of information and intelligence that could preempt possible terrorist attacks.

**2. Target Hardening to Reduce Vulnerability:** Funds provided under this category will allow law enforcement communities to make vulnerable targets more resistant to attack or more difficult to remove or damage.

**3. Threat Recognition:** Funds provided under this category will allow law enforcement personnel to purchase equipment and conduct additional training that assists in further recognizing the potential or development of a threat.

**4. Intervention Activities:** Funds provided under this category will allow law enforcement personnel to purchase equipment and conduct activities to further enhance their capabilities to prevent domestic terrorism incidents.

**5. Interoperable Communications:** Funds provided under this category will allow law enforcement personnel to purchase equipment to ensure interoperable communications between, and among, law enforcement agencies and other emergency service disciplines such as fire and emergency management.

### **Allowable Planning Costs**

- Development of and participation in information/ intelligence sharing groups
- Point vulnerability analyses and assessments
- Development and review of site security buffer zone plans
- Soft target security planning (public gatherings)
- Development, implementation and review of Area Maritime Security Plans for ports, waterways, and coastal areas.
- Updating and refining threat matrices
- Conducting local or regional implementation meetings
- Hiring of full or part-time staff or contractors/consultants to assist with intervention activities (not for the purpose of hiring public safety personnel)
- Developing or updating local or regional communications plans
- Development or enhancement of cyber security plans
- Development or enhancement of cyber risk mitigation plans
- Conducting cyber risk and vulnerability assessments

### **Allowable Organizational Activities**

- Overtime costs for personnel to participate in information, investigative and intelligence sharing activities specifically related to homeland security. This includes activities such as Anti-Terrorism Task Forces, Joint Terrorism Task Forces, Area Maritime Security Committees (as required by the Maritime Transportation Security Act of 2002), and Terrorism Early Warning Groups. Funding may not be used to supplant ongoing, routine public safety activities of State and local law enforcement. No more than 20% of LETPP funds may be used for overtime costs for the organizational activities noted above without prior approval from ODP. If a state or local law enforcement agency wishes to exceed the 20% overtime limit, a written request may be submitted to DHS-ODP through the SAA. The SAA will be notified of DHS-ODP's decision within two weeks.

## Allowable Equipment Costs

The following list is intended as a guide. If State agencies and local units of government have questions about eligibility of equipment not specifically addressed below, the SAA must contact the assigned ODP Preparedness Officer for clarification.

Authorized equipment purchases may be made in the following categories:

1. Personal Protective Equipment (PPE)
2. Explosive Device Mitigation and Remediation Equipment
3. Interoperable Communications Equipment
4. Physical Security Enhancement Equipment
5. Terrorism Incident Prevention Equipment
6. CBRNE Logistical Support Equipment
7. CBRNE Incident Response Vehicles
8. CBRNE Reference Materials
9. CBRNE Response Watercraft
10. Intervention Equipment
11. Cyber Security Enhancement Equipment
12. Other Authorized Equipment

**1. Personal Protective Equipment** - Equipment worn to protect the individual from hazardous materials and contamination. Levels of protection vary and are divided into categories based on the degree of protection afforded. The following constitutes equipment intended for use in a chemical/biological threat environment:

**Level A.** Fully encapsulated, liquid and vapor protective ensemble selected when the highest level of skin, respiratory, and eye protection is required. The following constitutes Level A equipment for consideration:

- Fully Encapsulated Liquid and Vapor Protection Ensemble, reusable or disposable (tested and certified against CB threats)
- Fully Encapsulated Training Suits
- Closed-Circuit Rebreather (minimum 2-hour supply, preferred), or open-circuit Self-Contained Breathing Apparatus (SCBA) or, when appropriate, Air-Line System with 15-minute minimum escape SCBA
- Spare Cylinders/Bottles for rebreathers or SCBA and service/repair kits
- Chemical Resistant Gloves, including thermal, as appropriate to hazard
- Personal Cooling System; Vest or Full Suit with support equipment needed for maintaining body core temperature within acceptable limits
- Hardhat/helmet
- Chemical/Biological Protective Undergarment
- Inner Gloves
- Approved Chemical Resistant Tape
- Chemical Resistant Boots, Steel or Fiberglass Toe and Shank

- Chemical Resistant Outer Booties

**Level B.** Liquid splash resistant ensemble used with highest level of respiratory protection. The following constitute Level B equipment and should be considered for use:

- Liquid Splash Resistant Chemical Clothing, encapsulated or non-encapsulated
- Liquid Splash Resistant Hood
- Closed-Circuit Rebreather (minimum 2-hour supply, preferred), open-circuit SCBA, or when appropriate, Air-Line System with 15-minute minimum escape SCBA
- Spare Cylinders/Bottles for rebreathers or SCBA and service/repair kits
- Chemical Resistant Gloves, including thermal, as appropriate to hazard
- Personal Cooling System; Vest or Full Suit with support equipment needed for maintaining body core temperature within acceptable limits
- Hardhat/helmet
- Chemical/Biological Protective Undergarment
- Inner Gloves
- Approved Chemical Resistant Tape
- Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
- Chemical Resistant Outer Booties

**Level C.** Liquid splash resistant ensemble, with same level of skin protection of Level B, used when the concentration(s) and type(s) of airborne substances(s) are known and the criteria for using air-purifying respirators are met. The following constitute Level C equipment and should be considered for use:

- Liquid Chemical Splash Resistant Clothing (permeable or non-permeable)
- Liquid Chemical Splash Resistant Hood (permeable or non-permeable)
- Tight-fitting, Full Facepiece, Negative Pressure Air Purifying Respirator with the appropriate cartridge(s) or canister(s) and P100 filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents.
- Tight-fitting, Full Facepiece, Powered Air Purifying Respirator (PAPR) with chemically resistant hood with appropriate cartridge(s) or canister(s) and high-efficiency filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents.
- Closed-Circuit Rebreather (minimum 2-hour supply, preferred), open-circuit SCBA, or when appropriate, Air-Line System with 15-minute minimum escape SCBA
- Spare cylinder/bottles for rebreathers or SCBA
- SCBA Service and repair kits
- Equipment or system batteries will include those that are rechargeable (e.g. NiCad) or non-rechargeable with extended shelf life (e.g. Lithium)
- Chemical Resistant Gloves, including thermal, as appropriate to hazard
- Personal Cooling System; Vest or Full Suit with support equipment
- Hardhat

- Inner Chemical/Biological Resistant Garment
- Inner Gloves
- Chemical Resistant Tape
- Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
- Chemical Resistant Outer Booties

**Level D.** Selected when no respiratory protection and minimal skin protection is required, and the atmosphere contains no known hazard and work functions preclude splashes, immersion, or the potential for unexpected inhalation of, or contact with, hazardous levels of any chemicals.

- Escape mask for self-rescue

*Note: During CBRNE response operations, the incident commander determines the appropriate level of personal protective equipment. As a guide, Levels A, B, and C are applicable for chemical/ biological/ radiological contaminated environments. Personnel entering protective postures must undergo medical monitoring prior to and after entry.*

All SCBAs **must** meet standards established by the National Institute for Occupational Safety and Health (NIOSH) for occupational use by emergency preparedness and response personnel when exposed to Chemical, Biological, Radiological and Nuclear (CBRN) agents in accordance with Special Tests under NIOSH 42 CFR 84.63(c), procedure number RCT-CBRN-STP-0002, dated December 14, 2001.

*Grant recipients **must** purchase: 1) protective ensembles for chemical and biological terrorism incidents that are certified as compliant with Class 1, Class 2, or Class 3 requirements of National Fire Protection Association (NFPA) 1994, Protective Ensembles for Chemical/Biological Terrorism Incidents; 2) protective ensembles for hazardous materials emergencies that are certified as compliant with NFPA 1991, Standard on Vapor Protective Ensembles for Hazardous Materials Emergencies, including the chemical and biological terrorism protection; 3) protective ensembles for search and rescue or search and recovery operations where there is no exposure to chemical or biological warfare or terrorism agents and where exposure to flame and heat is unlikely or nonexistent that are certified as compliant with NFPA 1951, Standard on Protective Ensemble for USAR Operations; and, 4) protective clothing from blood and body fluid pathogens for persons providing treatment to victims after decontamination that are certified as compliant with NFPA 1999, Standard on Protective Clothing for Emergency Medical Operations.*

*For more information regarding these standards, please refer to the following web sites:  
The National Fire Protection Association - <http://www.nfpa.org>  
National Institute for Occupational Safety and Health - <http://www.cdc.gov/niosh>*

**2. Explosive Device Mitigation and Remediation** - Equipment providing for the mitigation and remediation of explosive devices in a CBRNE environment:

- Bomb Search Protective Ensemble for Chemical/Biological Response
- Chemical/Biological Undergarment for Bomb Search Protective Ensemble
- Cooling Garments to manage heat stress
- Ballistic Threat Body Armor (not for riot suppression)
- Ballistic Threat Helmet (not for riot suppression)
- Blast and Ballistic Threat Eye Protection (not for riot suppression)
- Blast and Overpressure Threat Ear Protection (not for riot suppression)
- Fire Resistant Gloves
- Bomb blanket, Bomb Suppression Blanket, explosive devices blanket
- Dearmer/Disrupter
- Real Time X-Ray Unit; Portable X-Ray Unit
- CBRNE Compatible Total Containment Vessel (TCV)
- CBRNE Upgrades for Existing TCV
- Robot; Robot Upgrades
- Fiber Optic Kit (inspection or viewing)
- Tents, standard or air inflatable for chem/bio protection
- Inspection mirrors
- Ion Track Explosive Detector

**3. Interoperable Communications Equipment** - Equipment and systems providing connectivity and electrical interoperability between local and interagency organizations to coordinate CBRNE response operations. When utilizing ODP program funds in the category of Interoperable Communications Equipment to build, upgrade, enhance, or replace communications systems, grantees and sub-grantees should develop a comprehensive interoperable communications plan before procurement decisions are made. Guidance for development of interoperable communications plans is provided in **Appendix E**.

- Land Mobile, Two-Way In-Suit Communications (secure, hands-free, fully duplex, optional), including air-to-ground capability (as required)
- Antenna and tower systems
- Leasing and rental of tower space
- Personnel Alert Safety System (PASS) - (location and physiological monitoring systems optional)
- Personnel Accountability Systems
- Individual/portable radios, software radios, portable repeaters, radio interconnect systems, satellite phones, batteries, chargers and battery conditioning systems
- Computer systems designated for use in an integrated system to assist with detection and communication efforts (must be linked with integrated software packages designed specifically for chemical and/or biological agent detection and communication purposes)
- Aviation and maritime security voice and data transmission equipment
- Portable Meteorological Station (monitors temperature, wind speed, wind direction and barometric pressure at a minimum)
- Computer aided dispatch systems and enhancement of 911 systems, and mobile

- computer data systems to include pagers, palm pilots, and cell phones
- Commercially available crisis management software
- Mobile Display Terminals

*Note: In an effort to improve emergency preparedness and response interoperability, all new or upgraded radio systems and new radio equipment should be compatible with a suite of standards called ANSI/TIA/EIAA-102 Phase I (Project 25). These standards have been developed to allow for backward compatibility with existing digital and analog systems and provide for interoperability in future systems. The FCC has chosen the Project 25 suite of standards for voice and low-moderate speed data interoperability in the new nationwide 700 MHZ frequency band. The Integrated Wireless Network (IWN) of the U.S. Justice and Treasury Departments has also chosen the Project 25 suite of standards for their new radio equipment. In an effort to realize improved interoperability, all radios purchased under this grant should be APCO 25 compliant.*

**4. Physical Security Enhancement Equipment** - Equipment to enhance the physical security of critical infrastructure.

**Surveillance, Warning, Access/Intrusion Control**  
Ground

- Motion Detector Systems: Acoustic; Infrared; Seismic; Magnetometers
- Barriers: Fences; Jersey Walls
- Impact Resistant Doors and Gates
- Portal Systems; locking devices for access control
- Alarm Systems
- Video Assessment/Cameras: Standard, Low Light, IR, Automated Detection
- Personnel Identification: Visual; Electronic; Acoustic; Laser; Scanners; Cyphers/Codes
- X-Ray Units
- Magnetometers
- Vehicle Identification: Visual; Electronic; Acoustic; Laser; Radar

Waterfront

- Radar Systems
- Video Assessment System/Cameras: Standard, Low Light, IR, Automated Detection
- Diver/Swimmer Detection Systems; Sonar
- Impact Resistant Doors and Gates
- Portal Systems
- Hull Scanning Equipment
- Plus all those for Ground
- Vessel Barriers

**Sensors – Agent/Explosives Detection**

- Chemical: Active/Passive; Mobile/Fixed; Handheld

- Biological: Active/Passive; Mobile/Fixed; Handheld
- Radiological
- Nuclear
- Ground/Wall Penetrating Radar

### **Inspection/Detection Systems**

- Vehicle and Cargo Inspection System – Gamma-ray
- Mobile Search and Inspection System – X-ray
- Non-Invasive Radiological/Chem/Bio/Explosives System – Pulsed Neutron Activation

### **Explosion Protection**

- Blast/Shock/Impact Resistant Systems
- Protective Clothing
- Column and Surface Wraps; Breakage/Shatter Resistant Glass; Window Wraps
- Robotic Disarm/Disable Systems

### **Support Equipment for Continuation of Critical Infrastructure Operations**

- Large fixed generators
- Fuel storage containers
- Back-up operating computer hardware and programming software
- Self-monitoring sensors and alarms

**5. Terrorism Incident Prevention Equipment (Terrorism Early Warning, Prevention, and Deterrence Equipment and Technologies)** - State and local emergency preparedness, prevention and response agencies will increasingly rely on the integration of emerging technologies and equipment to improve jurisdictional capabilities to deter and prevent terrorist incidents. This includes, but is not limited to, equipment and associated components that enhance a jurisdiction's ability to disseminate advanced warning information to prevent a terrorist incident or disrupt a terrorist's ability to carry out the event, including information sharing, threat recognition, and public/private sector collaboration.

- Data collection/information gathering software
- Data synthesis software
- Geographic Information System information technology and software
- Law enforcement surveillance equipment
- GIS plotter software and printers
- Joint Regional Information Exchange System (JRIES)
- Alert and notification equipment that allows for real-time dissemination of information and intelligence. Examples of this equipment include cellular phones, pagers, text messaging, etc.
- Hardware, software and internet-based systems that allow for information exchange and dissemination
- Fees for use of databases containing terrorist threat information

- Facial recognition hardware and software

**6. CBRNE Logistical Support Equipment** - Logistical support gear used to store and transport the equipment to the CBRNE incident site and handle it once onsite. This category also includes small support equipment including intrinsically safe (non-sparking) hand tools required to support a variety of tasks and to maintain equipment purchased under the grant as well as general support equipment intended to support the CBRNE incident response. The State should also consider procurement of software to assist in tracking and maintaining statewide equipment assets.

- Equipment trailers
- Staging tents and portable shelter units
- Weather-tight containers for equipment storage
- Software for equipment tracking and inventory
- Handheld computers for Emergency Response applications
- Small Hand tools
- Binoculars, head lamps, range finders and spotting scopes (not for weapons use)
- Night vision goggles
- Light and heavy duty generators to operate search and rescue equipment, light sets, water pumps for decontamination sets
- Light sets for nighttime operations/security (including emergency light poles)
- Electrical current detectors and DC to AC inverter equipment
- Equipment harnesses, belts, and vests (including incident command vests)
- Isolation containers for suspected chemical/biological samples
- Bull horns and other PA systems
- Traffic and crowd control devices (traffic and reflective cones, arrow and zone signs, portable barriers)
- Water pumps for decontamination systems
- Bar code scanner/reader for equipment inventory control
- Badging system equipment and supplies
- Cascade system for refilling SCBA oxygen bottles
- SCBA fit test equipment and software to conduct flow testing
- Testing equipment for fully encapsulated suits and respirators
- Cooling/heating/ventilation fans (personnel and decontamination tent use)
- HAZMAT gear bag/box

**7. CBRNE Incident Response Vehicles** - This category includes special-purpose vehicles for the transport of CBRNE response equipment and personnel to the incident site. Licensing and registration fees are the responsibility of the jurisdiction and are not allowable under this grant. In addition, general-purpose vehicles (squad cars, executive transportation, etc.), fire apparatus, and non-CBRNE tactical/armored assault vehicles are not allowable. Allowable vehicles include:

- Mobile command post vehicles
- Hazardous materials (HazMat) response vehicles
- Bomb response vehicles

- Prime movers for equipment trailers
- 2-wheel personal transport vehicles for transporting fully suited bomb technicians, Level A/B suited technicians to the Hot Zone
- Multi-wheeled all terrain vehicles for transporting personnel and equipment to and from the hot zone
- Mobile Command Unit
- Mobile Morgue Unit
- Response vehicles to deploy bomb, hazmat, and special weapons personnel, equipped to detect chemical, biological and radiological materials; these vehicles may be armored to protect these personnel from explosions and projectiles when required to enter hot zones.

**8. CBRNE Reference Materials** - Reference materials and software designed to assist emergency preparedness and response personnel in preparing for and responding to a CBRNE incident. This includes but is not limited to the following:

- NFPA Guide to hazardous materials
- NIOSH Hazardous Materials Pocket Guide
- North American Emergency Response Guide
- Jane's Chem-Bio Handbook
- First Responder Job Aids

**9. CBRNE Response Watercraft** – This category allows for the purchase of surface boats and vessels for port homeland security purposes, including prevention and response. **Grantees are advised to consult with their DHS-ODP Preparedness Officer before obligating funds in this category.** Allowable costs also include the purchase of customary and specialized navigational, communications, safety, and operational equipment necessary to enable such watercraft to carry out their homeland security mission.

Licensing, registration fees, insurance, and all ongoing operational expenses are the responsibility of the grantee or the local units of government and are not allowable under this grant.

**10. Intervention Equipment** – This category allows for the purchase of specialized law enforcement equipment that is necessary to further enhance their capabilities to prevent domestic terrorism incidents. Grantees are reminded that they must comply with 28 CFR, Parts 66 and 70. In addition, when procuring any Title III equipment, grantees must strictly adhere to requirements of 18 U.S.C., Part I, Chapter 119, Section 2512, pertaining to the manufacture, distribution, possession, and advertising of wire, oral, or electronic communications interception devices. This category includes but is not limited to the following:

- Tactical entry equipment (not including weapons)
- Title III Equipment (Pin registers)

- Specialized response vehicles and vessels
- Encrypted technology systems

### **11. Cyber Security Enhancement Equipment**

- Intrusion detection devices and systems
- Configuration management and patch dissemination tools
- Scanning and penetration tools
- Geographic information systems
- Firewall and authentication technologies
- Network traffic monitoring and analysis systems
- Security hardware and software countermeasures to protect against cyber attacks

### **12. Other Authorized Equipment and Related Costs**

- Installation costs for authorized equipment purchased
- Maintenance contracts for authorized equipment purchased through ODP grants and acquired through ODP's Homeland Defense Equipment Reuse (HDER) Program
- Training on CBRNE Equipment by Vendors or Local Entities – ODP encourages the use of Domestic Preparedness Equipment Technical Assistance Program (DPETAP) for equipment training; however, manufacturer/vendor equipment training, the cost of overtime to attend the training, and any costs related to having vendor provide training on equipment to State and/or local units of government is allowed to facilitate the training on and fielding of equipment.
- Shipping costs for equipment
- Sales tax on equipment
- Multiple Integrated Laser Engagement System (MILES)

### **Allowable Training Costs**

- Training courses on building information sharing capacities
- Training that includes methods of target hardening (overtime/backfill costs associated with training)
- Training for facility security personnel (overtime/backfill costs associated with training)
- Training for vessel and port law enforcement security personnel
- Recognition of CBRNE threats
- Weaponization of WMD agents
- History of terrorism and social environments contributing to threats
- Surveillance techniques
- Identifying/assessing critical infrastructure assets, vulnerabilities, and threats
- Intelligence analysis
- Cyber security enhancements

- Multi-cultural training for undercover operations
- Language training
- Joint training with other homeland security entities (Secret Service/Customs and Border Protection)
- Training on the use of interoperable communications equipment

Multiple level training should be focused on a regional model. Grantees using these funds to develop their own courses should address the critical training areas and gaps identified in the State's Homeland Security Strategy and must adhere to the ODP Emergency Responder Guidelines and ODP Prevention and Deterrence Guidelines. These guidelines may be found at:

[http://www.ojp.usdoj.gov/odp/whatsnew/whats\\_new.htm](http://www.ojp.usdoj.gov/odp/whatsnew/whats_new.htm)

***Grantees who wish to use grant funds to support attendance of and/or development of non-ODP sponsored training, must receive approval from ODP prior to using funds for this purpose. Please see Appendix D for the ODP Training Approval Process. Where an ODP sponsored and approved training course or module addresses an allowable training activity enumerated above, States and local jurisdictions are encouraged to adopt the ODP program of instruction, or ensure that materials developed using funds from this program comport with the ODP training.*** Grantees and sub-grantees using funds to develop courses or to attend non-ODP courses will be required to report the number of individuals trained, by discipline and course level, in their bi-annual strategy implementation reports (see **Appendix C**).

In addition, allowable training-related costs include:

**1. Overtime and backfill funding for emergency preparedness and response personnel attending ODP-sponsored and approved training classes** - Payment of overtime expenses will be for work performed by award (SAA) or sub-award employees in excess of the established work week (usually 40 hours). Further, overtime payments are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.

**2. Training Workshops and Conferences** - Grant funds may be used to plan and conduct training workshops or conferences to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and training plan development.

**3. Full or Part-Time Staff or Contractors/Consultants** - Full or part-time staff may be hired to support training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or local unit(s) of government and have the approval of the State or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured by the State in the design, development, conduct, and evaluation of CBRNE training. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.

**4. Travel** - Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the training project(s) or for attending ODP-sponsored courses. These costs must be in accordance with either the federal or an organizationally-approved travel policy.

**5. Supplies** - Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).

**6. Other Items** - These costs include the rental of space/locations for planning and conducting training, badges, etc.

### **Allowable Exercises Costs**

- Exercises to evaluate the effectiveness of information sharing plans, policies, procedures and protocols
- Exercises to evaluate facility and/or vessel security protection
- Exercises to evaluate area maritime security protection
- Exercises to evaluate threat recognition capabilities
- Exercises to evaluate cyber security capabilities
- Exercises to evaluate prevention readiness and techniques
- “Red Team” (force on force) exercises
- Interoperable communications exercises

Funds may be used to plan for, design, develop, conduct, and evaluate exercises that train homeland security preparedness, prevention and response personnel, evaluate prevention and response plans, policy, procedures and protocols, and assess the readiness of jurisdictions to prevent and respond to a terrorist attack. Exercises must be threat and performance-based, in accordance with ODP’s Homeland Security Exercise and Evaluation Program (HSEEP) manuals. These manuals provide explicit direction on the design, conduct, and evaluation of terrorism exercises. Exercises conducted with ODP support (grant funds or direct support) must be managed and executed in accordance with HSEEP. (See [www.ojp.usdoj.gov/odp/exercises/State.htm](http://www.ojp.usdoj.gov/odp/exercises/State.htm)) After action reports must be provided to ODP within 60 days following completion of each exercise (see **Appendix A**). DHS-

ODP Exercise Managers will be assisting their assigned States throughout development and implementation of exercise programs. States and local units of government should consider their ODP Exercise Managers as their point of contact for questions and concerns regarding implementation of the HSEEP.

Grantees that wish to expend funds on models, games, simulations must consult with “Review of Models, Simulations, and Games for Domestic Preparedness Training and Exercising, Volume I,” which provides an overview and analysis of existing models, games and simulations. **This report is available at [www.ojp.usdoj.gov/odp/exercises/State.htm](http://www.ojp.usdoj.gov/odp/exercises/State.htm)**

Allowable exercise-related costs include:

- 1. Exercise Planning Workshop** - Grant funds may be used to plan and conduct an Exercise Planning Workshop to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and exercise plan development.
- 2. Full or Part-Time Staff or Contractors/Consultants** - Full or part-time staff may be hired to support exercise-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of CBRNE exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.
- 3. Overtime and backfill costs** – Overtime and backfill costs associated with the design, development and conduct of CBRNE exercises are allowable expenses. Payment of overtime expenses will be for work performed by award (SAA) or sub-award employees in excess of the established work week (usually 40 hours) related to the planning and conduct of the exercise project(s). Further, overtime payments are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to FICA, Workers’ Compensation and Unemployment Compensation.
- 4. Travel** - Travel costs (i.e., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s). These costs must be in accordance with either the Federal or an organizationally-approved travel policy.

**5. Supplies** - Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, and non-sterile masks).

**6. Implementation of HSEEP** - Costs related to setting up and maintaining a system to track the completion and submission of AARs and the implementation of corrective actions from exercises, which may include costs associated with meeting with local units of government to define procedures. *(Note: ODP is developing a national information system for the scheduling of exercises and the tracking of AAR/CAPs to reduce the burden on the States and to facilitate national assessments of preparedness.)*

**7. Other Items** - These costs include the rental of space/locations for exercise planning and conduct, exercise signs, badges, etc.

### **Allowable Management and Administrative Costs**

No more than 3% of the total amount allocated to the State for LETPP may be used statewide for management and administrative (M & A) purposes. Any portion of the 3% retained by the State must be included within the 20% of total funds available to the State. For example, if a State receives a LETPP award of \$1,000,000, the State must pass through \$800,000 to local units of government. The total M&A funds available statewide would be \$30,000.

The following is a list of allowable M&A expenditures:

- Hiring of full-time or part-time staff or contractors/consultants to assist with the management of LETPP FY2004
- Hiring of full-time or part-time staff or contractors/consultants to assist with the implementation and administration of the State Homeland Security Strategy
- Travel expenses
- Meeting-related expenses (For a complete list of allowable meeting-related expenses, please review the OJP Office of the Comptroller (OC) Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>).
- Acquisition of authorized office equipment *(Note: Authorized office equipment includes personal computers, laptop computers, printers, LCD projectors, and other equipment or software which may be required to support the implementation of the State strategy.)*
- Recurring fees/charges associated with certain equipment, such as cell phones, faxes, etc.
- Leasing and/or renting of space for newly hired personnel to administer the LETPP.

#### **D. Unauthorized Program Expenditures**

Unauthorized program expenditures include: 1) expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers (other than for allowable M & A activities, or otherwise associated preparedness or response functions) and related equipment, general-use vehicles, licensing fees, weapons systems and ammunition; 2) activities unrelated to the completion and implementation of the LETPP Program; 3) other items not in accordance with the Authorized Equipment List or previously listed as allowable costs; and, 4) construction or renovation of facilities.

# **VIII. CITIZEN CORPS**

## VIII. The FY 2004 Citizen Corps Program

### A. Program Overview

FY 2004 funding for Citizen Corps is authorized by Public Law 108-90, the Department of Homeland Security Appropriations Act, 2004. The FY 2004 Citizen Corps funds will be used to support Citizen Corps Councils with planning, outreach, and management of Citizen Corps programs and activities. The FY 2004 Citizen Corps funds provide the resources necessary for States and local communities to: 1) bring together the appropriate leadership to form and sustain a Citizen Corps Council; 2) develop and implement a plan for the community to engage all citizens in homeland security, community preparedness, and family safety; 3) conduct public education and outreach in order to inform the public about their role in crime prevention, mitigation, emergency preparedness for all hazards, and public health measures, including bio-terrorism, and to encourage personal responsibility and action; 4) develop and implement Citizen Corps programs offering training and volunteer opportunities to support first responders, disaster relief groups, and community safety efforts, to include the four charter federal programs: Community Emergency Response Teams (CERT), Neighborhood Watch, Volunteers in Police Service (VIPS), and Medical Reserve Corps (MRC); and 5) coordinate Citizen Corps activities with other DHS funded programs and initiatives.

Citizen Corps program guidance, supporting materials, and resources (to include links to preparedness/educational materials and information on all Citizen Corps programs) are available at [www.citizencorps.gov](http://www.citizencorps.gov).

### B. Program Requirements

Each State shall obligate not less than **80 percent** of Citizen Corps funds to local units of government **within 60 days after the grant award**. If requested in writing by a local unit of government, the State may retain some or all of the local unit of government's allocation of grant funds for purchases made by the State on behalf of the local unit of government. States holding grant funds on behalf of local units of government must enter into a memorandum of understanding with the local unit of government specifying the amount of funds to be retained by the State for purchases. This agreement must be kept on file with the SAA. These funds will be provided to local communities that have an approved Citizen Corps Council or that will establish a Citizen Corps Council as a condition of receiving the assistance. The authorized program expenditures apply to State funds and to direct funding provided to sub-grantees.

Each local unit of government receiving funds should develop a plan for implementing the Citizen Corps mission – to have every American participate in homeland security through public education, training and volunteer service opportunities. Citizen Corps implementation plans are not required to be submitted to ODP, but rather are essential tools to guide new and existing Citizen Corps Councils in achieving their goals and objectives for the community. More specifically, the plan should include how local Citizen Corps Councils will: implement the Citizen Corps programs at the community

level, which include CERT, Medical Reserve Corps, Neighborhood Watch, Volunteers in Police Service, and the affiliate programs; conduct public education campaigns; provide training; cross-leverage Citizen Corps programs; tap existing resources at the community level, to include private sector funding; provide opportunities for special skills and interests; develop targeted outreach for special needs groups; organize special projects and community events; encourage cooperation and collaboration among community leaders; and capture smart practices and report accomplishments.

**Communities are also expected to register and update information regarding their Citizen Corps Councils and programs/activities on the Citizen Corps website and on other relevant programmatic websites.**

The SAA must coordinate Citizen Corps program activities with the State agencies currently responsible for the administration of Citizen Corps activities. ***A listing of current State Citizen Corps points of contact may be found by going to [www.citizencorps.gov/councils/](http://www.citizencorps.gov/councils/) and clicking on “State Citizen Corps POC List” on the left hand side.*** State and local governments are encouraged to consider all sources of funding, to include private sector funding, to leverage existing materials, and to pursue economies of scale and economies of scope in pursuing this mission. States are also encouraged to help local governments form Citizen Corps Councils and to work with Citizen Corps Councils that have already formed even when the community does not receive a direct sub-grant.

States will continue to provide program management via the administrative section of the Citizen Corps website, to include managing the approval process for local Citizen Corps Councils, managing administrative section passwords for local users, and managing subscribers and e-mails to subscribers.

## **C. Authorized Program Expenditures**

### **Allowable Planning Costs**

Costs associated with activities to develop and implement a State, regional or local Citizen Corps plan are allowable under this program. Applicable costs may include: 1) collecting information on existing resources and volunteer activities within the community; 2) meetings of the Citizen Corps Council and other community stakeholders; 3) a system to track activities and participants (in compliance with applicable privacy laws); 4) website maintenance; 5) travel expenses for staff and/or volunteers to attend meetings or training sessions; 6) survey methodologies to assess citizen preparedness, training, and volunteerism; 7) hiring of full or part-time staff or contractors/consultants to assist with any of the above activities ; 8) conducting local or regional program implementation meetings.

### **Allowable Public Education / Outreach Costs**

To accomplish the mission to have all citizens participate in making America safer, Citizen Corps Councils may develop public education and outreach materials to educate

and engage the public, to include materials tailored to special needs populations. Allowable expenditures include materials to support a public awareness campaign, media coverage, outreach activities, and public events, such as 1) Public Safety Announcements; 2) printed advertising; 3) billboards; 4) promotional flyers; 5) booth displays; 6) conference backdrops; 7) podium signs; 8) recognition pieces for Citizen Corps partners; 9) recognition for special commendation in support of the mission; 10) informational buttons, pins, key chains, and magnets; and, 11) publications, posters, buck slips; and other materials that either encourage the public to participate, educate the public, or recognize and support our partners to build a strong, broad-based coalition of programs and organizations that make a commitment to further the Citizen Corps mission.

### **Allowable Training / Exercise / Equipment Costs**

Citizen Corps funds may be used for training, exercise, and equipment costs related to citizen education and participation in the Citizen Corps mission of safer communities. Training supported through the FY 2004 Citizen Corps Program may focus on the following areas: emergency preparedness, basic first aid, life saving skills, crime prevention, public health issues, mitigation, safety in the home, or other training that promotes community safety. Specific consideration should be given to training all ages, ethnic groups, and special needs populations.

Exercises specifically designed for citizens are allowable activities and may include testing public warning systems, evacuation/shelter in place capabilities or testing family/business preparedness. Examples of appropriate volunteer citizen support for emergency preparedness and response exercises include CERT participation, back filling non-professional tasks for first responders deployed on exercise, administrative and logistical assistance with exercise implementation, and providing simulated victims, press, and members of the public.

Allowable costs include: 1) instructor preparation and delivery time (to include overtime costs); 2) hiring of full or part-time staff or contractors/consultants to assist with conducting the training and/or managing the administrative aspects of conducting the training; 3) creation and maintenance of a student database; 4) rental of training facilities; 5) printing course materials to include instructor guides, student manuals, brochures, certificates, handouts, newsletters and postage (although preference is for an electronic newsletter with email addresses as part of the database unless the individuals or areas to be served have limited access to electronic communications); 6) course materials specific to the subject matter, such as bandages, gloves, fire extinguishers, mannequins; 7) outfitting CERT members with a hard hat, safety vest, goggles, and gloves; 8) personal protective equipment for volunteer responders; 9) equipment related to specific training or volunteer assignments; and 10) costs associated with design, development, and conduct of exercises specifically for citizens or to support the citizen component of first responder exercises, to include preparing citizens for their role in the exercise.

## **Allowable Volunteer Program Costs**

One of the goals for Citizen Corps Councils is to provide volunteer service opportunities across all emergency prevention, preparedness and response disciplines, for community safety efforts, and for disaster relief. Citizen Corps funding may be used to establish or enhance volunteer program and volunteer recruitment efforts for Neighborhood Watch, CERT, VIPS, and MRC; for the Citizen Corps affiliate programs; for other DHS funded programs and initiatives; for outreach and training activities; and to support the Citizen Corps Council.

To assist local communities with engaging volunteers, Citizen Corps funds may be used to pay for the costs of: 1) recruiting; 2) screening/assessing; 3) training; 4) retaining/motivating; 5) recognizing; and 6) evaluating volunteers who support law enforcement, fire, emergency medical services, public works, emergency management, disaster relief organizations, community safety efforts, and citizen preparedness in the home, schools, the workplace, and throughout the community. Funds may also be used to evaluate volunteer programs, to include: 1) cost/benefit analysis, 2) how programs can share resources, and 3) hiring of full or part-time staff or contractors/consultants to assist with evaluations. To the extent possible, expenditures should be made to benefit multiple programs.

## **Allowable Management and Administrative Costs**

No more than 3% of the total amount allocated to the State for SHSP may be used statewide for M & A purposes. Any portion of the 3% retained by the State must be included within the maximum 20% of total funds available to the State. For example, if a State receives a SHSGP award of \$1,000,000, the State must pass through \$800,000 to local units of government. The total M&A funds available statewide would be \$30,000.

The following is a list of allowable M & A expenditures:

- Hiring of full-time or part-time staff or contractors/consultants to assist with the management of SHSP FY04
- Hiring of full-time or part-time staff or contractors/consultants to assist with the implementation and administration of the State Homeland Security Strategy
- Travel expenses
- Meeting-related expenses (For a complete list of allowable meeting-related expenses, please review the OJP Office of the Comptroller (OC) Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>).
- Acquisition of authorized office equipment (*Note: Authorized office equipment includes personal computers, laptop computers, printers, LCD projectors, and other equipment or software which may be required to support the implementation of the State Strategy.*)
- Recurring fees/charges associated with certain equipment, such as cell phones, faxes, etc.

- Leasing and/or renting of space for newly hired personnel to administer the CCP

#### **D. Unauthorized Program Expenditures**

Unauthorized program expenditures include: 1) expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers (other than for allowable M & A activities, or otherwise associated preparedness or response functions) and related equipment, general-use vehicles, licensing fees, weapons systems and ammunition; 2) activities unrelated to the completion and implementation of the CCP; 3) other items not in accordance with the Authorized Equipment List or previously listed as allowable costs; and, 4) construction or renovation of facilities.

# **APPENDIX A**

## Application Requirements

1. **On-Line Application:** The on-line application must be completed and submitted by the applicant using the OJP GMS system. This on-line application replaces the following previously required paper forms:
  - Standard Form 424, Application for Federal Assistance
  - Standard Form LLL, Disclosure of Lobbying Activities
  - OJP Form 4000/3, Assurances
  - OJP Form 4061/6, Certifications
  - Equipment Coordination Certification
  - Non-Supplanting Certification

These grants are offered by the U.S. Department of Homeland Security, Office for Domestic Preparedness. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is “**Office for Domestic Preparedness Fiscal Year 2004 Homeland Security Grant Program.**” **When referring to this title, please use the following CFDA number: 97.004.** When completing the on-line application, applicants should identify their submissions as new, non-construction applications. ***The project period will be for a period not to exceed 24 months.***

- ***Note: To expedite the application and award process, no budget information or program narrative is required to apply for this grant.***

2. **Freedom of Information Act (FOIA):** ODP recognizes that much of the information submitted in the course of applying for funding under this program, or provided in the course of its grant management activities, may be considered law enforcement sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information is subject to requests made pursuant to the Freedom of Information Act, 5. U.S.C. §552 (FOIA), all determinations concerning the release of information of this nature are made on a case-by-case basis by the DHS FOIA Office, and may well likely fall within one or more of the available exemptions under the Act.

Applicants are also encouraged to consult their own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. At the same time, applicants should be aware that any information created exclusively for the purpose of applying for and monitoring grants hereunder is the property of the U.S. Government, and shall

not otherwise be disclosed or released pursuant to State or local law or regulation.

### 3. **General Requirements**

**Single Point of Contact (SPOC) Review:** Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State SPOC, if one exists and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC or the reason such submission is not required should be provided.

### 4. **Financial Requirements**

**a. Non-Supplanting Certification:** This certification, which is a required component of the on-line application, affirms that federal funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review as well as in the pre-award review, post-award monitoring, and the audit. Applicants or grantees 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.

**b. Match Requirement:** None

**c. Assurances:** The on-line application includes a list of assurances that the applicant must comply with in order to receive Federal funds under this program. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. You will be agreeing to these assurances when you submit your application on-line through GMS.

**d. Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:** This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 28 CFR part 69, New Restrictions on Lobbying, and 28 CFR part 67, Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Homeland Security in awarding grants.

**e. Suspension or Termination of Funding:** In accordance with 28 C.F.R. 66.43, the Office for Domestic Preparedness may suspend or terminate funding,

in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to make satisfactory progress toward the goals or objectives set forth in this application.
- Failing to follow grant agreement requirements or standard or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit required reports.
- Filing a false certification in this application or other report or document.

Before taking action, ODP will provide the grantee reasonable notice of intent to impose measures and will make efforts to resolve the problem informally.

**f. Use of a Universal Identifier by Grant Applicants:** Beginning October 1, 2003, a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number must be included in every application for a new award or renewal of an award. **An application will not be considered complete until a valid DUNS number is provided by the applicant.** Individuals who would personally receive a grant or cooperative agreement from the Federal government are exempt from this requirement.

Organizations should verify that they have a DUNS number or take the steps necessary to obtain one as soon as possible. Applicants can receive a DUNS number at **no cost** by calling the dedicated toll-free DUNS Number request line at 1-800-333-0505.

## 5. Reporting Requirements

The following reports are required of all program participants:

- **Initial Strategy Implementation Spending Plan:** Grantees will be required to submit an Initial Strategy Implementation Spending Plan to ODP no later than 60 days after the grant award date. The Initial State Obligation Report will demonstrate how the State's spending plan is tied to the State Homeland Security Strategy's goals and objectives. Completion of this report will require that States work closely with local jurisdictions to ensure that local and State expenditures are in sync with the goals and objectives identified in the State Homeland Security Strategy. The Initial Strategy Implementation Plan will be provided to grantees in an electronic format shortly after grant awards are made. The State will transmit a copy of the plan to their ODP Preparedness Officer with a copy to the ODP

Centralized Scheduling and Information Desk (CSID) at [askcsd@ojp.usdoj.gov](mailto:askcsd@ojp.usdoj.gov).

- **Financial Status Reports (Standard Form 269A):** Financial Status Reports are due within 45 days of the end of each calendar quarter. A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods where no grant activity occurs (see **Appendix F**). The OJP OC will provide a copy of this form in the initial award package. Future awards and fund drawdowns will be withheld if these reports are delinquent. The final financial report is due 120 days after the end date of the award period.
  
- **Biannual Strategy Implementation Reports/Categorical Assistance Progress Reports:** Biannual Strategy Implementation Reports (BSIR)/Categorical Assistance Progress Reports (CAPR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. States will provide consolidated information to ODP in their BSIR, which will serve as the reporting format of the biannual CAPR. The BSIRs are due on July 31 with a reporting period of January 1 through June 30, and on January 31 with a reporting period of July 1 through December 31. (See guidance for BSIR/CAPR in **Appendix XX**). Updated obligation and expenditure information must be provided with the BSIRs to show progress made in meeting strategic goals and objectives. ODP will provide an electronic template of the BSIR to grantees. Future awards and fund drawdowns may be withheld if these reports are delinquent. The final BSIR is due 120 days after the end date of the award period.
  
- **Exercise Evaluation and Improvement:** Exercises implemented with grant funds should be threat- and performance-based and should evaluate performance of critical prevention and response tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the Homeland Security Exercise and Evaluation Program - Volume II: Exercise Evaluation and Improvement. The SAA must report on scheduled exercises and ensure that an After Action Report (AAR) and Improvement Plan (IP) are prepared for each exercise conducted with ODP support (grant funds or direct support). The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The IP outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR. Generally, the IP, with at least initial action steps, should be included in the final AAR. DHS-ODP is establishing a national database to facilitate the

scheduling of exercises, the submission of the AAR/IPs and the tracking of IP implementation. Guidance on development of AARs and IPs is provided in Volume II of the HSEEP manuals.

The SAA is responsible for ensuring that copies of the AAR/IP are submitted to ODP within 60 days following completion of the exercise at the following address:

Office for Domestic Preparedness  
Centralized Scheduling and Information Desk  
810 7th Street, NW  
Washington, DC 20531

- **Financial and Compliance Audit Report:** Recipients that expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards and OMB Circular A-133. Audit reports are currently due to the Federal Audit Clearinghouse no later than 9 months after the end of the recipient's fiscal year. In addition, the Secretary of the Department of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2004 HSGP assistance for audit and examination purposes, provided that, in the opinion of the Secretary of the Department of Homeland Security or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers or documents related to the grant.

# **APPENDIX B**

# **SAMPLE AWARD PACKAGE**

## **TAB 1: SAMPLE REVIEW OF AWARD**

### **Office of Justice Programs Post Award Instructions for ODP Awards**

1. Review Award and Special Conditions Document.

Carefully read the award and any special conditions or other attachments. There is an original plus one copy of the award page.

**If you agree** with the terms and conditions, the authorized official should sign and date both the original and the copy of the award document page in Block 19. You should maintain a copy and return the original signed documents to:

Office of Justice Programs  
Attn: Control Desk - ODP Award  
810 Seventh Street, NW – 5<sup>th</sup> Floor  
Washington, DC 20531

**If you do not agree** with the terms and conditions, contact the awarding ODP Preparedness Officer as noted in the award package.

2. Read Guidelines.

Become familiar with the “OJP Financial Guide” which is available through the internet at the Office of Justice Programs, Office of the Comptroller website: **<http://www.ojp.usdoj.gov/oc/>**. New award recipients are automatically placed on a mailing list to receive future Guides and their change sets.

Up to 5 copies of the Guide may be ordered at no cost through:  
<http://puborder.ncjrs.org>

You may also order the Guide by calling 1-800-851-3420. Select #2 for publications, select #1 to speak with a publications specialist.

## TAB 2: SAMPLE POST AWARD INSTRUCTION

U. S. Department of Justice  
Office of Justice Programs  
Office of the Comptroller

### Post Award Instructions

The Office of Justice Programs is currently responsible for the financial administration of grants awarded by the Office for Domestic Preparedness, Department of Homeland Security (ODP).

The following is provided as a guide for the administration of awards from ODP. Forms and other documents illustrating each step are attached.

#### **Step 1. Review Award and Special Conditions.**

If you agree with the terms and conditions stated in the award, sign and date the award document and the last page of the Special Conditions, and return to OJP. Notify your ODP Program Manager when Special Conditions have been met (refer to Step 1 attachment);

If you do not agree with the terms and conditions as written, contact your ODP Program Manager.

#### **Step 2. Read Guidelines.**

Read and become familiar with the "OJP Financial Guide" and related material (refer to Step 2 attachment).

#### **Step 3. Complete and Return ACH Form.**

The Automated Clearing House (ACH) Vendor/Miscellaneous Payment Enrollment Form (refer to Step 3 attachment) is used to arrange direct deposit of funds into your designated bank account.

#### **Step 4. Access to Payment Systems.**

The Office of Justice Programs uses two payment systems: Phone Activated Paperless System (PAPRS) and Letter of Credit Electronic Certification System (LOCES) (refer to Step 4 attachment). Current LOCES users will see the addition of new ODP grants on the LOCES grant number listing as soon as the ODP award acceptance has been received. PAPRS grantees will receive a letter with the award package containing their PIN to access the system and Grant ID information.

#### **Step 5. Reporting Requirements.**

Reporting requirements must be met during the life of the grant (refer to the OJP

Financial Guide for a full explanation of these requirements, special conditions and any applicable exceptions). The payment systems contain edits which will prevent access to funds if reporting requirements are not met on a timely basis. Refer to Step 5 attachments for forms, due date information, and instructions.

**Step 6. Questions about your ODP award?**

A reference sheet is provided containing frequently asked financial questions and answers. If you have questions concerning this checklist or any financial aspect of your award, contact the Office of the Comptroller's Customer Service Center at **1-800-458-0786** or by email at [askoc@ojp.usdoj.gov](mailto:askoc@ojp.usdoj.gov). Customer Service staff are available Mon-Fri from 9:00 a.m. to 6:00 p.m. (EST) to assist you.

# **APPENDIX C**

## **Electronic File Templates**

ODP will provide an electronic file template for the Initial Strategy Implementation Spending Plan and the Biannual Strategy Implementation Report to all grantees after grant awards are made. All reports must be completed and submitted to ODP electronically using the provided template. All information submitted to ODP through these reports is considered to be dynamic; the most recent report submitted will update and overwrite all previous reports in ODP's database. It is therefore critical that each report submitted be comprehensive and include a thorough update of all information requested. All reports must be transmitted in a timely manner to the ODP Centralized Scheduling and Information Desk (CSID) at [askcsd@ojp.usdoj.gov](mailto:askcsd@ojp.usdoj.gov).

## **Initial Strategy Implementation Spending Plan**

For this grant process applicants are not required to provide budget detail worksheets with their application. However, grantees will be required to submit an Initial Strategy Implementation Spending Plan to ODP no later than 60 days after the grant award date. The Initial Strategy Implementation Spending Plan will provide a complete accounting of how the State has complied with the requirement to pass through 80% of all funds to local jurisdictions, and will also demonstrate how the expenditure of grant funds at both the local and State levels will support the goals and objectives outlined in the State's Homeland Security Strategy. This will be accomplished through the specific identification of a project or projects to be accomplished by each sub-grantee and by the State with funds provided during the grant award period. All funds provided must be linked to one or more projects, which in turn must support specific goals or objectives in the State's Homeland Security Strategy.

This report must be completed for all funds retained by the State and for each sub-grantee, whether it is a local jurisdiction, other State agencies or Federally recognized tribal nations. As a reminder, each State shall obligate not less than 80 percent of the total amount of the grant to local units of government within 60 days after the grant award. If requested in writing by a local unit of government, the State may retain some or all of the local unit of government's allocation of grant funds for purchases made by the State on behalf of the local unit of government. States holding grant funds on behalf of local units of government must enter into a memorandum of understanding with the local unit of government specifying the amount of funds to be retained by the State for purchases. This agreement must be kept on file with the SAA. Allocation of all financial resources provided through the FY 2004 Homeland Security Grant Program must be used to fund the critical resource gaps identified by the local and State homeland security assessments and to accomplish the goals and objectives laid out in the State Homeland Security Strategy. To that end, it is imperative that the State communicate the goals and objectives laid out in the

State Homeland Security Strategy to local jurisdictions to ensure an appropriate understanding of how funds must be expended under this grant.

## **Biannual Strategy Implementation Reports**

Grantees will be required to submit updated strategy implementation information biannually. The Biannual Strategy Implementation Reports will serve as the reporting format for the Categorical Assistance Program Reports (CAPR), which are due within 30 days after the end of the reporting periods (June 30 and December 31), for the life of the award. The Biannual Strategy Implementation Report will update information on obligations, expenditures, and progress made on activities noted in the Initial Strategy Implementation Spending Plan, and will include an update of all information submitted in the that report. The report format for the Biannual Strategy Implementation Reports will be identical to the Initial Strategy Implementation Spending Plan. A Final Strategy Implementation Report is due 120 days after the end date of the award period.

### **Reported Information**

While an electronic file template for the Initial Strategy Implementation Spending Plan and Biannual Strategy Implementation Reports will be provided to grantees after grant awards are made, it is important for applicants to fully understand the data points that must be collected in order to complete the Initial Strategy Implementation Spending Plan in a timely manner.

Each Initial Strategy Implementation Spending Plan and each subsequent Biannual Strategy Implementation Report must include, at a minimum, the following information for funds provided to each sub-grantee **and** funds retained at the State level:

- Jurisdiction Name
- Total Award Amount
- Amount Awarded in each of the grant program areas:
  - State Homeland Security Program
  - Law Enforcement Terrorism Prevention Program
  - Citizen Corps Program
- Project(s) to be accomplished with funds provided during the grant period, for example:
  - Establish an urban search and rescue capability (i.e., Heavy Rescue team, etc.)
  - Develop and institutionalize a law enforcement training program in State or local academies and ensure that all law enforcement officers are trained to the awareness level
  - Establish a disease surveillance system in all area hospitals
  - Establish a new Citizen Corps Council and new CERT team in a specific community

**(Note: projects listed must support a specific goal or objective in the State Homeland Security Strategy.)**

- List the State Homeland Security Strategy goal or objective that is being supported by the project.
- Identify each of the grant program areas from which funding will be utilized to complete the project and the amount of funds utilized from each program area:
  - State Homeland Security Program
  - Law Enforcement Terrorism Prevention Program
  - Citizen Corps Program

**(Note: individual projects may be supported with funding from more than one grant program area.)**

- Identify whether the expenditures associated with this project are State, local, or a mix.
- Identify the amount of funding designated for each discipline from each grant program area:
  - Law enforcement
  - Fire service
  - Emergency medical services
  - Emergency management
  - Hazmat response
  - Public works
  - Public health
  - Health care
  - Public safety communications
  - Government/administrative
  - Citizen Corps Councils
  - Non-profit
  - Other
- Identify the solution area(s) which expenditures will be made and the amount that will be expended under each solution area from each grant program area:
  - Planning:
    - SHSGP, LETPP, Citizen Corps planning activities
    - Citizen Corps volunteer program development
  - Equipment:
    - Personal Protective Equipment (PPE)
    - Explosive Device Mitigation and Remediation Equipment
    - CBRNE Search & Rescue Equipment
    - Interoperable Communications Equipment
    - Detection Equipment
    - Decontamination Equipment
    - Physical Security Enhancement Equipment
    - Terrorism Incident Prevention Equipment

- CBRNE Logistical Support Equipment
  - CBRNE Incident Response Vehicles
  - Medical Supplies and Limited Types of Pharmaceuticals
  - CBRNE Reference Materials
  - Agricultural Terrorism Prevention, Response & Mitigation Equipment
  - CBRNE Aircraft and Aviation Equipment
  - CBRNE Watercraft
  - Cyber Security Enhancement Equipment
  - Other Authorized Equipment (SHSP)
  - Information Sharing (LETPP)
  - Target Hardening (LETPP)
  - Threat Recognition (LETPP)
  - Intervention Activities (LETPP)
  - CERT Team Member Equipment (CC)
- Training:
  - Development and delivery of CBRNE training programs
  - Delivery of CERT training
  - Delivery of other (non-CERT) citizen preparedness and safety training and education
  - Public education and outreach
  - Overtime and backfill costs
- Exercises:
  - Exercise design, conduct and evaluation
  - Overtime and backfill costs
- Management and Administration (limited to 3% of each program area award):
  - SHSP, LETPP, Citizen Corps program management and administration
- Metric and/or narrative discussion indicating project progress/success, for example:
  - Progress updating jurisdiction's emergency operations plans
  - Establishment of new mutual aid agreements
  - Number of personnel trained at each level in each discipline
  - Number of response teams enhanced or new response teams created
  - Number of exercises conducted and disciplines involved
  - Certification from the State that all requests for overtime funding through the LETPP comply with the requirement that funds may not be used to supplant ongoing, routine public safety activities of State and local law enforcement.
  - Number of new Citizen Corps Councils created
  - Number of CERT team members trained

**Note:** *the electronic file template provided by ODP will include appropriate data fields for all information discussed above. Additionally, brief narrative descriptions may be required for certain data points, such as project titles, etc.*

# **APPENDIX D**

## **Guidance for Requesting ODP Approval of Non-ODP Course Development and Attendance**

1. State/local request for review of **Awareness and Performance Level Courses** should be made on letterhead to the DHS-ODP Preparedness Officer through the SAA. **Do not send course materials at this time.**
2. The **DHS-ODP Preparedness Officer** will forward the request to the ODP Training Division.
3. Upon receipt of the request, the **ODP Training Division** will respond as follows:
  - A. Send a letter of acknowledgment and conditional approval, accompanied by the following:
    1. ODP Training Approval Template and instructions for use by requestor.
    2. ODP Training Doctrine which includes the following (4) documents:
      - ODP Training Strategy
      - Emergency Responder Guidelines
      - Prevention Guidelines
      - Training Approval Guidelines
  - B. Notify the DHS-ODP Preparedness Officer that funding may be conditionally approved pending further review by the DHS-ODP, Center for Domestic Preparedness (CDP). The requesting jurisdiction may begin obligating funds at this time.
  - C. Ensure that the request has been entered in the ODP Training Approval Tracking System.
4. Upon receipt of the Template and Training Doctrine, the **Requestor or a designee** will follow the instructions to document a comparison between the objectives of the course in question and the ODP Training Doctrine, using the template provided. The Requestor will return the completed template and course materials to the ODP Training Division Designee within 30 days.
5. The **ODP, CDP** will execute a review of course materials based on the completed template and issue a report to the ODP Training Division

6. Designee recommending approval or denial pending modification. The **CDP will conduct this review within 45 days** from receipt of the course materials and template. For performance level courses, the review period will be extended to 90 days if the ODP, CDP determines that a site visit is necessary to adequately assess the course.

7. Upon completion of CDP review and issuance of a recommendation memo, the **ODP Training Division** will initiate a final notification process that will include the DHS-ODP Preparedness Officer and the Requestor.

# **APPENDIX E**

## Guidance for Development of Interoperable Communications Plans

When utilizing ODP program funds in the category of Interoperable Communications Equipment to build, upgrade, enhance, or replace communications systems, grantees and sub-grantees should develop a comprehensive interoperable communications plan before procurement decisions are made. Plans should be retained by the jurisdiction/agency and be available for review by the State Administrative Agency (SAA) and ODP. The plan should address, as appropriate, the areas of:

- *Building* public safety communication systems
- *Upgrading/enhancing* public safety communication systems and equipment
- *Replacing* public safety communication systems and equipment
- *Maintaining* public safety communication systems and equipment
- *Training* public safety staff on issues related to emergency response communications
- *Managing* public safety communications projects

The following considerations should be made when developing a communications plan:

Has the grantee already completed a plan that illustrates the agency's/jurisdiction's commitment to public safety communication priorities?

- Obtain/retain an executive summary that clearly illustrates how the proposed effort will lead to enhanced public safety communications interoperability.
- What type of multi-jurisdictional or multidisciplinary agreements does the agency possess (i.e., MOUs, interstate compacts, mutual aid agreements)?

Has the grantee considered public safety's operational needs of the communications equipment?

- In what type of topography/terrain does the agency operate?
- In what types of structures does the agency need to communicate? (i.e., tunnels, high-rise buildings)
- What methods of communication does the agency use? (i.e., email, paging, cellular calls, portable radio communications)
- What is the process for dispatching calls?
- Is the communications center independently owned and operated by the agency? Does it serve several public safety agencies in the jurisdiction? Is it a multi-agency, multi-jurisdictional facility?
- Does the agency have the ability to patch across channels? If so, how many patches can be simultaneously set up? Is a dispatcher required to set up and break the patches down?

- What is the primary radio language used by the agency when communicating with other agencies or organizations? (i.e. 'plain' English, code)
- What types of equipment can immediately be deployed to provide short-term solutions for improved communications?

Has the grantee considered the system requirements to ensure interoperability with systems used by other disciplines or other levels of government?

- What type of equipment is currently used by the agency?
- Is there a regional, multi-jurisdictional, or statewide system in place that requires interoperability in order to communicate with other agencies? If so, how do you plan on interoperating/connecting to that system?
- Is the equipment compatible with the Project 25 suite of standards?
- For data-related systems, is the grantee using XML standards?
- How scalable is the system? Can it be used locally between agencies and jurisdictions, statewide, and at multi-state or national level?
- What internal and external security requirements exist in the architecture to secure information and maintain privacy levels for data as required by law?
- Is the infrastructure shared with any other agency or organization? Is it owned or leased?
- Does the agency use analog or digital radio systems or both?
- Is the system conventional or trunked?
- Which radio frequencies are used to communicate with other public safety agencies?
- How many channels does the agency have solely designated for communication with other agencies?

# **APPENDIX F**

# SF 269A FINANCIAL STATUS REPORT

## INSTRUCTIONS FOR FINANCIAL STATUS REPORTING (SF269A)

The quarterly Financial Status Report (FSR) is due 45 days after the end of the calendar quarter. Please be reminded that this is a report of expenditures **not a request for reimbursement**. To request reimbursement, use an OJP payment system\*. Send the completed report to: **Office of Justice Programs, Attn: Control Desk, 810 Seventh Street, NW - 5<sup>th</sup> Floor, Washington, DC 20531** or fax them to (202) 616-5962 or alternate fax #(202)353-8475. Please type or print legibly and do not change any pre-printed information. If you have already filed an FSR for the current calendar reporting quarter and need to make changes, please submit a corrected FSR and print "AMENDED" or "CORRECTED" at the top of the form.

**Note: Without a current FSR on file, funds will not be disbursed. Please ensure that you fill out every space (except Box #5) of this report, or your FSR will not be processed.**

1. Pre-printed as: **Department of Homeland Security, Office for Domestic Preparedness.**
2. Enter the ODP grant number found on your grant award document. For example, 2003-TE-TX-0000.
3. Enter current name and address of the award recipient.
4. Enter the OJP-assigned 9 digit vendor number as recorded on your grant award document.
5. Enter any identifying number assigned by your organization for your internal use. If none, leave blank.
6. If you have finished expending funds and recording your required match related to this award, regardless of whether they have been or will be reimbursed by the Federal Government, check "Yes." Otherwise, check "No."
7. Indicate whether your accounting system uses a CASH or an ACCRUAL basis for recording transactions related to this award. For reports prepared on a CASH basis, outlays are the sum of actual cash disbursement for direct purchases of goods and services at the lowest funding level. For reports prepared on an ACCRUAL basis, outlays are the sum of actual cash disbursement at the lowest funding level. Unliquidated obligations represent the amount of obligations that you incurred at the lowest funding level but have not yet paid out.  
Note: Data for more than one calendar quarter may be rolled up into one report for the first report submitted.
8. Enter both the begin and end dates of the award period.
9. Enter the FROM and TO dates for the current reporting calendar quarter as listed below.

<u>Reporting Quarter</u>	<u>Reports Due Not Later Than</u>
Jan 1 through Mar 31	May 15
Apr 1 through Jun 30	Aug. 14
Jul 1 through Sep 30	Nov 14
Oct 1 through Dec 31	Feb 14

10. Lines 10a, 10b, and 10c refer to your **cash outlays** including the value of in-kind match contributions for this award at the lowest funding level (i.e., monies you have spent). Column I is the cumulative total of expenditures for the prior reported calendar quarter. If you wish to correct previously reported quarterly totals, enter the corrected amounts in this column. Column II is for the current reporting calendar quarter outlays. Column III is for the result when adding across the amounts reported in Columns I and II. **The total of lines 10b and 10c should equal the amount reported on line 10a for each column.**

Lines 10d, 10e, and 10f should only be completed if you indicated in **Box 7** that you are on an accrual basis of accounting. Lines 10d, 10e, and 10f refer to the amount of unpaid obligations or accounts payable you have incurred. Items such as payroll (which has been earned, but not yet paid) is an example of an accrued expense. Line 10d is the total of your unpaid obligations to date.

Line 10e is your share of these unpaid obligations. Line 10f is the Federal share of unpaid obligations. **The total of lines 10e and 10f should equal the amount on line 10d.**

Line 10g is the total Federal share of your cash outlays and unpaid obligations regardless of whether you have received reimbursement. It will be the total of Column III, Lines 10c and 10f. Line 10h is the total amount of your award. Change this amount only if you have received a supplemental award. Line 10i is the amount of your total award which has not either been expended through a cash outlay or encumbered by an unpaid obligation. **It is the difference between Column III, Lines 10h minus 10g equals Line 10i.**

11. Please refer to your award documents to complete this section. This section will only be completed if you have a Negotiated Indirect Cost Rate with your cognizant agency.

Line 11a Indicate the type of rate that you have. Line 11b is the indirect cost rate in effect during this current reporting period. Line 11c is the amount of the base against which the cost rate is applied. Line 11d is the total amount of indirect costs charged during this current reporting period. Line 11e is the Federal Government share of the amount reported on Line 11d.

Note: If more than one rate was in effect during this reporting period, attach a schedule showing all applicable rates amounts for Line 11b through 11e

12. Line 12A is the cumulative amount of Federal funds your State agency has passed-through to local units of government, other specified groups or organizations as directed by the legislation of the program.

Line 12B is the cumulative amount of Federal funds subgranted including amounts subgranted to State agencies and amounts reported on Line 12A.

Line 12C is the cumulative Federal portion of forfeited assets to be used in this grant whether the assets were forfeited as a result of this grant or another grant.

Line 12D is the cumulative Federal portion of program income earned from other than forfeited assets. This is income from sources such as registration fees, tuition, and royalties. This amount should not be included in Box 10.

Line 12E is the cumulative amount of program income from all sources, including forfeited assets and interest earned, which have been expended by your organization. This amount should not be included in Box 10.

Line 12F is the balance of unexpended program income (12C + 12D - 12E).

13. Along with your printed name and telephone number, please remember to sign and date the FSR. **It will not be processed without signature.**

\*If you need any assistance with completing this form, contact the OC Customer Service Center at 1-800-458-0786 or email us at [askoc@ojp.usdoj.gov](mailto:askoc@ojp.usdoj.gov).

# **APPENDIX G**

## Customer Support

To assist grantees with program activities, ODP has established a number of support programs. These include: 1) the ODP Help Line; 2) Applicant Assistance Services; 3) the Equipment Purchase Assistance Program; and, 4) the Domestic Preparedness Equipment Technical Assistance Program (DPETAP). The Centralized Scheduling Information Desk (CSID) Help Line (1-800-368-6498 – [askcsd@ojp.usdoj.gov](mailto:askcsd@ojp.usdoj.gov)) provides grantees with answers to non-emergency technical questions. Likewise, ODP Applicant Assistance Services are designed to provide grantees with assistance in completing and submitting their applications to meet the required deadlines. The Equipment Purchase Assistance Program provides ODP grantees with access to prime vendors through memoranda of agreement with the Defense Logistics Agency and the Marine Corps Systems Command. Finally, the DPETAP program provides on-site training in the use and maintenance of specialized response equipment. Additional information on each of these programs can be found on the ODP web site located at: <http://www.ojp.usdoj.gov/odp>, or by contacting your ODP Preparedness Officer.

# **APPENDIX H**

## Acronym List

### A

AAR After Action Reports  
AEL Authorized equipment list  
APCO Association of Public-Safety Communications Officials

### B

BSIR Biannual Strategy Implementation Reports

### C

CAP Corrective Action Plan  
CAPR Categorical Assistance Progress Reports  
CBRN Chemical, Biological, Radiological and Nuclear  
CBRNE Chemical, biological, radiological, nuclear, and explosive  
CCP Citizen Corps Program  
CDP Center for Domestic Preparedness  
CERT Community Emergency Response Teams  
CFDA Catalog of Federal Domestic Assistance  
CSID Centralized Scheduling and Information Desk

### D

D&B Dun and Bradstreet  
DHS U.S. Department of Homeland Security  
DPETAP Domestic Preparedness Equipment Technical Assistance Program  
DUNS Data Universal Numbering System

### E

EMS Emergency Medical Services

### F

FAR Federal Acquisition Regulations  
FID Flame Ionization Detector  
FOIA Freedom of Information Act  
FSR Financial Status Report

### G

GAN Grant Adjustment Notice  
GC/MS Gas Chromatograph/Mass Spectrometer  
GIS Geographic Information System

### H

HAZCAT Hazard Categorizing  
HazMat Hazardous materials  
HDER Homeland Defense Equipment Reuse  
HEPA High Efficiency Particulate Air  
HSEEP Homeland Security Exercise and Evaluation Program  
HSGP Homeland Security Grant Program

<b>I</b>	IAB	Interagency Board
	ICS	Incident command system
	IP	Improvement Plan
	IWN	Integrated Wireless Network
<b>J</b>	JRIES	Joint Regional Information Exchange System
<b>L</b>	LETPP	Law Enforcement Terrorism Prevention Program
	LLEA	Lead Law Enforcement Agency
	LOCES	Letter of Credit Electronic Certification System
<b>M</b>	M&A	Management and administrative
	MILES	Multiple Integrated Laser Engagement System
	MRC	Medical Reserve Corps
<b>N</b>	NFPA	National Fire Protection Association
	NIMS	National Incident Management System
	NIOSH	National Institute for Occupational Safety and Health
<b>O</b>	OC	Office of the Comptroller
	ODP	Office for Domestic Preparedness
	OMB	Office of Management and Budget
<b>P</b>	PAPR	Powered Air Purifying Respirator
	PAPRS	Phone Activated Paperless Request System
	PASS	Personnel Alert Safety System
	PID	Photo-Ionization Detector
	PPE	Personal Protective Equipment
<b>S</b>	SAA	State Administrative Agency
	SCBA	Self-Contained Breathing Apparatus
	SEL	Standardized Equipment List
	SHSAS	State Homeland Security Assessments and Strategies
	SHSP	State Homeland Security Program
	SHSS	State Homeland Security Strategy
	SPOC	Single Point of Contact
<b>T</b>	TCV	Total Containment Vessel
<b>U</b>	USAR	Urban Search and Rescue

**V**

VIPS      Volunteers in Police Service

**W**

WMD      Weapons of Mass Destruction