

**Federal Fiscal Year 2014 Homeland Security Grant Program (HSGP)
State Homeland Security Program (SHSP)
Application Kit
State Overview and Guidelines**

I. Overview

The Alaska Division of Homeland Security and Emergency Management (DHS&EM) is soliciting applications for the Federal Fiscal Year (FFY) 2014 Homeland Security Grant Program (HSGP), State Homeland Security Program (SHSP) grant. At least 25 percent of the overall SHSP funds received by the state will be dedicated towards law enforcement prevention-oriented planning, training, exercise, and equipment activities. Grants shall be used to fund projects and activities as outlined in this state guidance.

Department of Homeland Security (DHS) funding allocations to states are based upon minimum amounts legislatively mandated, DHS' risk methodology, and the anticipated effectiveness of proposed projects (the state's Investment Justifications (IJs)). Anticipated effectiveness is assessed based on the state's description of how the proposed projects, align with the state's Threat and Hazard Identification and Risk Assessment (THIRA) and State Preparedness Report (SPR) results. Again this year, DHS set SHSP priorities to include implementation of the National Preparedness System (NPS) by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal (NPG) of a secure and resilient Nation.

Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The FFY 2014 HSGP's allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas. The purpose of the HSGP is to prevent terrorism and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States.

The NPS is the instrument the Nation will employ to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (Goal). The Goal is "a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk." The objective of the NPS is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the NPS enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>). National preparedness is a shared responsibility of the whole community. Every member must be given the opportunity to contribute.

The FFY 2014 HSGP plays an important role in the implementation of the NPS by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks for each of the five mission areas outlined in the Goal. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The HSGP allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

Using the core capabilities, FFY 2014 HSGP supports the achievement of the NPG by:

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

The complete FFY 2014 HSGP federal guidance is located at <http://www.fema.gov/media-library/assets/documents/92397>.

The 2014 sub-grantee project applications will be reviewed for completeness, project relevance to the jurisdiction's Alaska Assessment or gaps identified through the Alaska Shield 2014 exercise, adherence to programmatic IJ guidelines, feasibility, how well the proposed project is outlined, sustainability, impact, and demonstration of ready-to-go projects. Projects that are approved will be expected to begin within 90 days of the grant award date. No more than five (5) projects, an exercise, and/or a training request will be allowed for a total of seven (7) total submissions. Applicants should consider projects that address gaps identified through a jurisdiction's Alaska Assessment and Alaska Shield 2014 exercise participation.

Applicants must familiarize themselves with the requirements and restrictions of the Program Guidance for FFY 2014 HSGP and FEMA codified regulations, 44 Code of Federal Regulations (CFR), which governs this 2014 award. **All grant recipients are assumed to have read, understand, have accepted, and comply with the HSGP Program Guidance and 44 CFR as well as regulations regarding federal funds in 2 CFR Part 215 (Cost Principles for State, Local, and Indian Tribal Governments, US Office of Management and Budget (OMB) Circular A-87), and US OMB Circular A-133 (Audits of States, Local Governments, and Non-Profits), as well as any state imposed requirements.**

Applications are due by 11:59 pm, Friday, July 18, 2014

The *Homeland Security Act of 2002* (Public Law 107-296), as amended by section 101 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) authorized the FFY 2014 HSGP. The available funding amount for Alaska has been predetermined. For the FFY 2014 grant cycle, Alaska will receive a minimum allocation of \$3,733,000.00 under the SHSP using the thresholds established in the 9/11 Act. Alaska was required to submit investments based on the targeted allocations relative to DHS relative risk assessment.

The local application asks jurisdictions to briefly describe projects and provides drop-down menu selections each meeting State Preparedness Report and Homeland Security Strategy requirements. A copy of the current State Preparedness Report, State Homeland Security Strategy (SHSS), and the state's IJs are available online at <http://ready.alaska.gov/grants.htm>

The IJs were submitted by the state to the federal government as required attachments to the FFY 2014 HSGP application to justify the baseline funding. The FFY 2014 HSGP funding priorities outlined reflect National Preparedness System core capabilities.

At this time, DHS&EM estimates funding will be received no later than September 30, 2014. The state has 45 days from receipt of funding to obligate 80 percent of the state's FFY 2014 federal award to jurisdictions.

II. Description of State of Alaska's State Homeland Security Program (SHSP) Grant Program

The SHSP is a core assistance program that provides funds to build capabilities at the state and local levels to enhance the national resilience to absorb disruptions and rapidly recover from incidents both manmade and natural.

The 2014 SHSP supports the implementation of the Alaska Assessment and Alaska Shield 2014 After Action findings to address identified planning, organization, equipment, training, and exercise needs to prevent, protect against, mitigate, respond to, and recover from acts of terrorism and other catastrophic events.

Activities implemented under SHSP should support terrorism preparedness and prevention by building or enhancing capabilities that relate to the prevention of, protection from, mitigation of, response to, and recovery from terrorism in order to be considered eligible. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Projects should demonstrate this dual-use quality for any activities implemented under this program that are not explicitly focused on terrorism preparedness.

The total SHSP award must fund at least 25 percent of law enforcement terrorism prevention-oriented planning, training, exercise, and equipment activities. These include the following activities:

- Information sharing and analysis
- Target hardening
- Threat recognition
- Terrorist interdiction
- Implementation of the “If You See Something, Say Something™” campaign to raise public awareness of indicators of terrorism and violent crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations
- Development and enhance law enforcement measures associated with preventing and/ or responding to active shooter or complex mass casualty attacks including training, exercises, and operational overtime to address evolving threat related circumstances
- Increased physical security and other protective measures, by implementing preventive and protective measures

III. Allowable Expenditures

This is the grant year to apply for funding to conduct and execute activities in support of gaps identified in your jurisdiction’s Alaska Assessment and Alaska Shield 2014 After Action. If your jurisdiction has not submitted an Alaska Assessment for 2013, a completed Alaska Assessment may be submitted with this application. Note- all jurisdictions receiving 2014 SHSP funds will be required to submit or update their Alaska Assessment as an assurance of the award. Additional information on the Alaska Assessment can be found on the DHS&EM website, [http://ready.alaska.gov/grants.htm#Alaska Assessment](http://ready.alaska.gov/grants.htm#Alaska%20Assessment). Note, projects not based on Alaska Assessment gaps or an Alaska Shield 2014 After Action is not precluded from submission.

Jurisdictions may also apply for approved training courses with justification. (Refer to the State Training catalog <http://ready.alaska.gov/training/index.htm>.)

IV. Pass-Through Requirements

The state shall pass through 80 percent of the total grant program amount available to local units of government within 45 days of the receipt of its state award.

Memorandum of Understanding Requirements: The state may retain any part of a jurisdiction's award for expenditures made by the state on behalf of the jurisdiction. The state and jurisdiction must enter into a formal Memorandum of Understanding (MOU) specifying the amount of funds to be retained by the state and the intended use of funds. The amount will be considered as part of the 80 percent pass-through requirement. As an example, through an MOU the jurisdiction’s specified funds for equipment would remain with the state. The state would purchase equipment through the state procurement process on behalf of the jurisdiction, pay for the equipment, and turn over the equipment to the jurisdiction upon receipt. This is often helpful if local procurement policies prevent use of a state procurement contract or if state assistance is needed to comply with timelines or award deadlines.

V. Environmental and Historic Preservation Compliance

All HSGP projects which may have potential impact to the environment require a FEMA Environmental and Historic Preservation (EHP) review per the Grant Programs Directorate (GPD) Programmatic Environmental Assessment (PEA). Ground-disturbing activities, new construction, including communication towers, or modification/renovation of existing buildings or structures must undergo a FEMA EHP review. For more information on the PEA see FEMA Information Bulletin (IB) 345 <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins> and <http://www.fema.gov/pdf/government/grant/bulletins/fonsi.pdf>

Furthermore, for those proposed construction or renovation projects that are part of larger projects funded from a non-FEMA source (such as an Emergency Operations Center that is part of a larger proposed public safety complex), a FEMA EHP review must be completed before the larger project is initiated. For these types of projects, grantees must complete the FEMA EHP Screening Form (Office and Management and Budget (OMB) Number 1660-0115/FEMA Form 024-0-01) and submit it, with all supporting documentation, to DHS&EM for

review. Grantees should submit the FEMA EHP Screening Form for each project as soon as possible upon receiving grant award. If a jurisdiction is aware a project will require an EHP review, they may submit the Screening Form at the time of application.

The following activities would not require the submission of the FEMA EHP Screening Form: planning and development of policies or processes; management, administrative or personnel actions; classroom-based training; table top exercises; and acquisition of mobile and portable equipment (not involving installation). The state reserves the authority to request review on any approved projects that could potentially fall closely out of these areas.

For more information on FEMA's EHP requirements, grant recipients should refer to DHS&EM's webpage at <http://www.ready.alaska.com/grants.htm>. Additional information and resources can also be found in FEMA IBs 271, 329, 345, 356 and 371 located at <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>

VI. Allowable Costs

Planning, equipment, training, and exercise activities:

Planning: FFY 2014 SHSP funds may be used for a range of emergency preparedness and management planning activities. Planning activities should consider needs identified through the jurisdiction's Alaska Assessment or Alaska Shield 2014 After Action. Activities support performance objectives such as Planning by placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in the Comprehensive Preparedness Guide (CPG) 101 v.2. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes. Jurisdictions should focus planning efforts to enhance and expand capabilities through partnerships. All jurisdictions are encouraged to work through Citizen Corps Councils, nongovernmental entities, and the general public in planning activities.

For a list of allowable planning costs, see page 57 of the federal guidance located at <http://www.fema.gov/media-library/assets/documents/92397>.

Equipment: The allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for FFY 2014 HSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB) at <https://www.llis.dhs.gov/knowledgebase/authorized-equipment-list-ael>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS' adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment. Allowable equipment for FFY 2014 HSGP is listed on the web-based AEL on the RKB at <https://www.llis.dhs.gov/knowledgebase/authorized-equipment-list-ael>. Installation and training on the equipment should be included in the cost of the equipment. Equipment requests should consider needs identified through the jurisdiction's Alaska Assessment or Alaska Shield 2014 After Action.

A completed State Vulnerability Assessment (SVA) is no longer a prerequisite to request equipment necessary to protect critical infrastructure. However, if the jurisdiction has an assessment (state, federal, or other entity produced) it will be considered supporting documentation.

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted. Federal guidance (IB 336, Maintenance and Sustainment) also has been expanded to allow for the support of equipment that has previously been purchased with both federal grant and non-federal grant funding. While these activities may be submitted, they are not a priority for the state. General maintenance and repairs are not allowable.

Training: Annual DHS&EM Multi-Year Training and Exercise Plan Workshop (TEPW) participation is mandatory for FFY 2014 SHSP sub-grantees. Training should consider needs identified through the jurisdiction's Alaska Assessment or Alaska Shield 2014 After Action. Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP program and/or in conjunction with emergency preparedness training by other federal agencies. Training conducted using HSGP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the jurisdiction's training cycle. All training conducted with HSGP funds should support the development and testing of the jurisdiction's EOP or specific annexes, and validation of completed corrective actions from previous exercises or real world events, where applicable. Training conducted with HSGP funds and FEMA support must link to PPD-8 and apply to Alaska Assessment goals and objectives. Training for citizens in preparedness, prevention, response skills, and volunteer activities should be coordinated through local Citizen Corps Councils. Refer to HSGP program guidelines for allowable training costs, approved courses, reporting requirements, and coordination with DHS&EM.

Any training not listed on the approved FEMA list at <https://www.firstrespondertraining.gov> or approved by the State Administrative Agency (SAA) requires coordination and pre-approval by DHS&EM. Refer to HSGP program guidelines for further guidance and the State Training catalog at <http://ready.alaska.gov/training/index.htm>

For information on allowable training costs, see page 66 of the federal guidance located at <http://www.fema.gov/media-library/assets/documents/92397>.

Exercises: Annual DHS&EM Multi-Year Training and Exercise Plan Workshop (TEPW) participation is mandatory for FFY 2014 SHSP sub-grantees. Exercises conducted must be managed and executed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP), must be NIMS compliant, and validate existing capabilities. Citizen participation in exercises should be coordinated with local Citizen Corps Councils.

SHSP scope of exercise scenarios should consider the jurisdiction's Alaska Assessment, Alaska Shield 2014 After Action, and plans. Acceptable scenarios for SHSP exercises include: chemical, biological, radiological, nuclear, explosive, cyber, agricultural, natural or technological disasters, and catastrophic disasters. Exercise scenarios used in HSGP-funded exercises must focus on validating existing capabilities, must be large enough in scope and size to exercise multiple activities, warrant involvement from multiple disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities. Exercise scenarios should align with objectives and capabilities identified in the Multi-Year Training and Exercise Plan.

For information on allowable exercise costs, see page 69 of the federal guidance located at <http://www.fema.gov/media-library/assets/documents/92397>.

Personnel Activities: Jurisdictions are eligible for overtime and backfill costs related to participation in exercise and training activities.

Contractual services will be allowed for project-based specific activities only.

Management and Administration (M&A): The state does not allow jurisdictions to use funds M&A.

Construction and Renovation: Use of SHSP funds for construction and renovation is generally prohibited except as outlined below. Such construction and renovation shall be strictly limited and allowable only when it is a necessary component of a security system at critical infrastructure facilities.

Project construction and renovation is limited to security systems and critical infrastructure facility enhancements. These types of projects must be submitted to FEMA for compliance review under federal

Environmental and Historic Preservation (EHP) laws and requirements prior to initiation of the project. The following types of projects are considered to constitute construction or renovation, and must be submitted through DHS&EM to FEMA for compliance review under EHP laws and requirements prior to initiation of the project:

- Construction of and renovation to guard facilities
- Renovation of and modifications including the installation of security and communication equipment, to buildings and structures that are 50 years old or older
- Security enhancements to improve perimeter security or any other construction or renovation efforts that change or expand the footprint of a facility
- Physical security enhancements including but not limited to:
 - Lighting
 - Fencing
 - Closed-circuit television (CCTV) systems
 - Motion detection systems
 - Barriers, doors, gates, and related security enhancements

In addition, the erection of communications towers that are included in a jurisdiction's interoperable communications plan is allowed, subject to all applicable laws, regulations, and licensing provisions. Communication tower projects must be submitted through DHS&EM to FEMA EHP review. When applying for funds to construct communication towers, sub-grantees must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD using the guidelines in EHP Supplement prior to submitting materials for EHP review.

Sub-grantees requesting construction and renovation projects limited to security systems and critical infrastructure facilities will be required to complete an FEMA EHP Screening Form Statement of Work Request at <http://www.ready.alaska.gov/grants.htm> and should refer to FEMA's Environmental and Historic Preservation Review at <http://www.fema.gov/plan/ehp/ehpreview/index.shtm>

VII. Unallowable Costs and Activities

- Management and Administration (M&A) costs
- Salaries and personnel costs of planners, equipment managers, exercise coordinators and/or training coordinators
- Construction and renovation (except for those items listed on page 6)
- Hiring of sworn public safety officers or to supplant public safety positions and responsibilities
- Supplanting any expense already budgeted
- Indirect costs
- Weapons and weapon accessories
- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles), medical supplies, and emergency response apparatus (e.g., fire trucks, ambulances).
- Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs)
- Reimbursable training and related travel costs not pre-approved by DHS&EM
- Contracts and procurements over \$100,000 not pre-approved by DHS&EM
- Sole source contracts and procurements not pre-approved by DHS&EM
- Stand-alone working meals
- Expenditures not supported with appropriate documentation when submitted for reimbursement. Only properly documented expenditures will be processed for payment. Unsupported expenditures will be returned for resubmission by the jurisdiction
- Drawdown of funds prior to expenditure*
 - * Reimbursement advances with strict guidelines can be requested from DHS&EM

VIII. Grant Award Information

Performance Period: 18 months
October 01, 2014 through March 31, 2016

Eligible Applicants:

- Eligible jurisdictions statewide meeting the application requirements
 - Boroughs are required to submit coordinated applications of all their jurisdictions
 - Boroughs can choose between the options below for submittal of their coordinated local jurisdictional applications:
 - Option One: Boroughs submit one complete application package with all projects prioritized from first to last across all applicable jurisdictions
 - Option Two: Boroughs submit one application package with prioritized projects for each jurisdiction within the borough. For example, a package might be submitted for the borough, and one for each jurisdiction contained within the borough to be reviewed independently. Please note that during the sub-allocation process each borough will be treated equitably. Boroughs will not be allocated more funds based on the number independent packages submitted
 - Regardless of the option chosen, grant awards will be written directly to jurisdictions within boroughs where applicable
 - Jurisdictions are and will be accountable for project performance and grants management compliance. Jurisdictions who received prior grant awards and those who might receive an award this grant year must send both a fiscal and programmatic representative to the 2014 HSGP Grant Award Kick-off meeting in Anchorage. Funds will not be reimbursed until attendance has been met.
- NIMS compliance. Sub-grantees will certify NIMS Compliance for 2014 through the Alaska Assessment, if awarded 2014 SHSP funds.

Mandatory Applicant Participation:

- Attendance of fiscal and programmatic jurisdictional representatives at regionally held 2014 HSGP Grant Award Kick-off meeting
- Attendance of programmatic jurisdictional representatives at the annual DHS&EM Multiyear Training and Exercise Plan Workshop (TEPW)
- Completion or update of the Alaska Assessment by December 31, 2014.

Reporting: Each sub-grantee must report quarterly progress in Performance Progress Reports on the timelines, milestones, and related project activities. This information is captured as a statewide report that is used to assess overall program effectiveness, impact, and to report results to Congress.

Quarterly Performance and Financial Progress Reports are required by the 20th of the month following each calendar quarter. Narrative Reports must describe, clarify, and support the expenditures submitted in the Financial Report for reimbursement. Report forms are available on the DHS&EM website at <http://www.ready.alaska.com/grants.htm> and are updated as needed or required. Instructions and compliance information are included on the back of both report forms. Jurisdictions are encouraged to use the updated forms from the website each quarter to ensure the most updated information is used. Use of incorrect or outdated forms will be returned and cause payment reimbursement delay.

A Final Performance Progress Report is required within 45 days after the end of the performance period. It serves as a summary detailing all project accomplishments, achievements, impacts, challenges, unmet goals and the reasons why, etc. throughout the entire grant award period. The Final Performance Progress Report does not replace the last Quarterly Performance Progress Report. More information on final reporting can be found on the DHS&EM website.

Sub-Grantee Monitoring: Jurisdictions will be monitored by DHS&EM to ensure that project goals, objectives, timeliness, budgets, and other related program criteria are being met. Monitoring will be accomplished through a combination of office-based and on-site monitoring visits. DHS&EM is responsible to provide assurance to FEMA

that awards are compliant with federal and state requirements including but not limited to accomplishment of project goals, accounting of receipts and expenditures, cash management, maintenance of adequate financial records, and the refunding of expenditures disallowed by audits. A copy of DHS&EM's Sub-grantee Monitoring Policy is located at <http://www.ready.alaska.com/grants.htm>

IX. Application Submission Requirements and Application Coversheet

The SHSP project application form and Application Coversheet can be found at <http://ready.alaska.gov/grants>.

Applications are due by 11:59 pm, Friday, July 18, 2014

Applications must be submitted by electronically in PDF format with complete signatures, or by mail, or fax, to:

Division of Homeland Security and Emergency Management
Attn: Homeland Security Grants Administrator
PO Box 5750
JBER, Alaska 99505-5750
Fax: (907) 428-7009
Email: mva.grants@alaska.gov Phone: (907) 428-7000, 1-800-478-2337

X. Application Evaluation Criteria

DHS&EM will be notified of final FFY 2014 HSGP state award and funding allocation. DHS&EM will then determine the 80 percent pass-through allocation. Sub-grantee applications will be reviewed by the DHS&EM multi-disciplinary team to determine application completeness and eligibility. Requested funding amounts will be determined and compared to the 80 percent pass-through allocation. The team will also review application projects for compliance and perform a review of jurisdiction's performance history. Eligible applicant project(s) will then be reviewed by an inter-agency, multi-discipline committee of subject matter experts to recommend final project approvals and funding allocations. Based on expected funding for FFY 2014 HSGP grants, jurisdictions will want to ensure the competitiveness of their projects.

Application comprehensiveness is based on:

- Eligibility for award is dependent upon accuracy and completeness. Incomplete applications and/or individual projects will be disqualified.
- Project descriptions supporting project need and applicability to all-hazard events
- Demonstration of projects "ready-to-go" and begin implementation within 90 days of grant award date

Jurisdiction performance history is based on:

- Progress in achieving project completion according to timelines and milestones in prior grants
- Ability to expend prior grant funds awarded in a timely manner
- On-time versus delinquent Quarterly Performance and Financial Progress Reports, and annual Inventory Reports for prior grants
- Ability to meet any prior grant award Special Conditions
- Timeliness and appropriate justification for grant award extensions and reallocations within prior grants
- Record of DHS&EM monitoring reviews
- Record of jurisdiction participation in DHS&EM grant management training/conferences
- Prior audit findings