Foreword

In July 2002 the President approved the *National Strategy for Homeland Security*, a road map for the national effort to prevent and respond to acts of terrorism in the United States. The *National Strategy* recognizes the vital role of state and local public safety agencies in providing for the security of our homeland. In February 2003 the President signed into law the Fiscal Year (FY) 2003 Omnibus Appropriations Act which provides state and local governments with the vital funding they require to participate in the national effort to combat terrorism.

The U.S. Department of Homeland Security (DHS), Office for Domestic Preparedness (ODP) FY 2003 Urban Areas Security Initiative (UASI) reflects a confluence of important Presidential initiatives designed to enhance the preparedness of the nation to combat terrorism. Whereas most states and municipalities have strengthened their overall capability to respond to acts of terrorism involving chemical, biological, radiological, nuclear or explosive (CBRNE) weapons, there continues to be room for improvement in meeting our national priorities of preventing and responding to terrorist attacks.

The Office for Domestic Preparedness is providing financial assistance directly to selected jurisdictions through the Fiscal Year (FY) 2003 Urban Areas Security Initiative. This financial assistance is being provided to address the unique equipment, training, planning and exercise needs of large high threat urban areas, and to assist them in building an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism.

The Department of Homeland Security looks forward to working with all of you in this critical national effort to secure our homeland.

Tom Ridge
Secretary
Department of Homeland Security

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I.   Background

The U.S. Department of Homeland Security (DHS), through the Office for Domestic Preparedness (ODP), is providing financial assistance directly to selected jurisdictions through the Fiscal Year (FY) 2003 Urban Areas Security Initiative (UASI). This financial assistance is being provided to address the unique equipment, training, planning and exercise needs of large urban areas, and to assist them in building an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism.   This program also includes a jurisdictional assessment and strategy development component, which will be used by ODP to guide delivery of direct services in the form of training, exercises and technical assistance. This assessment, which must be coordinated with all contiguous jurisdictions and mutual aid partners, will support the development of an Urban Area Homeland Security Strategy, which will in turn provide a roadmap for sustainable prevention and preparedness and guide allocation of grant funds and direct services to the selected jurisdictions. In addition to grant funds and direct services, the cities will be eligible to serve as research and development technology test beds through the Urban Areas Security Initiative. They will also be eligible for technical assistance and support through this program.   This program will create a sustainable national model program whereby cities can share the lessons learned and best practices with other cities around the nation.

The Office for Domestic Preparedness transferred from the U.S. Department of Justice, Office of Justice Programs (OJP), to the U.S. Department of Homeland Security effective March 1, 2003. The OJP Office of the Comptroller (OC) will continue to provide fiscal support and oversight to the UASI for the effective period of performance for the grant.

The Fiscal Year 2003 Urban Areas Security Initiative

A.   Authorized Program Purpose

Funding for the FY 2003 UASI is authorized by Public Law 108–7, the Omnibus Appropriations Act of 2003. The FY 2003 UASI seeks to address the unique needs of large urban areas.

ODP also recognizes that the process of a large-scale jurisdictional assessment and development of an Urban Area Homeland Security Strategy is not without cost. Cities may use a portion of the allocated funds to cover expenses associated with the jurisdictional assessment and strategy development, as well as implementation of the UASI. The jurisdictional assessment must be developed in coordination with the State Administrative Agency (SAA) for ODP, who has overall responsibility for developing the State Homeland Security Strategy.

ODP will provide support services to assist you in completing your application. Please consult your respective Program Manager using ODP's toll-free number (1-800-368-6498).

B. Program Requirements

FY 2003 UASI grantees will be able to initially receive up to 25% of their allocation of funds for the conduct of an assessment, development of a strategy, and management and administration of the program, and to resource immediate needs. Award of these funds is contingent upon: 1) submission and approval of the jurisdiction's online application for funding under the FY 2003 Urban Areas Security Initiative, 2) a written request for funds not to exceed 25% of the total FY 2003 UASI allocation, and 3) submission and approval of an itemized justification for use of those funds. The initial funds are available immediately upon grant award.

Receipt of the remainder of the funds is contingent upon: 1) submission and approval of a jurisdictional assessment, which includes threats, vulnerabilities, needs and capabilities, and has been coordinated with contiguous jurisdictions and mutual aid partners; 2) submission and approval of an Urban Area Homeland Security Strategy articulating a strategic vision for building and sustaining an enhanced level of preparedness and response capacity, and which has been coordinated with the contiguous jurisdictions and mutual aid partners; and 3) submission and approval of budget detail worksheets for all remaining funds. **Applications for funding under this program must be submitted by June 16, 2003, or within 45 days May 1, 2003, the date the solicitation is being posted in OJP's web-based Grants Management System (GMS).**

Jurisdictions may use a recently updated or completed (within the past 12 months) assessment and strategy for the purposes of USAI. Required elements of the jurisdictional assessment and strategy are outlined in Appendix B of this application, which will be used to validate all assessments submitted for review. If a jurisdiction has not completed an assessment, ODP will provide technical assistance to conduct and complete an assessment.

> ?? *ODP is currently working with the states to coordinate a thorough Threats/Vulnerabilities/Needs/Capabilities Assessment and development of a State Homeland Security Strategy for Fiscal Year 2004 funds. The jurisdictional tool developed for this process can also be used by the UASI participants.*
> ?? *In addition, ODP will provide programmatic and budget information in the UASI to State Administrative Agencies (SAAs) in the host states to ensure coordination with the State Homeland Security Strategy.*

Note: Receipt of all remaining funds is contingent upon submission of a validated jurisdictional assessment and a validated Urban Area Homeland Security Strategy.

Each city will be contacted by an ODP program manager to coordinate the submission and/or scheduling of the jurisdictional assessment. If there is an

existing assessment, cities will submit that assessment directly to the ODP program manager for review. If the jurisdiction would like technical assistance in developing a jurisdictional assessment or strategy, the ODP program manager will make those arrangements.

Creation of a multi-jurisdictional and multi-disciplinary Urban Area Working Group, with members from all contiguous jurisdictions and mutual aid partners, to develop and implement the program is required. Cities must plan to incorporate contiguous jurisdictions and mutual aid partners into the assessment, strategy development, and any direct services that are delivered by ODP. The leveraging of previously established local working groups is encouraged.

Applications lacking complete information will be accepted and grants awarded, however draw down restrictions will apply until the receipt of all supporting documentation. Restrictions will be rescinded and funds will be released as information is received.

C.   Authorized Program Expenditures

1. **Planning:** Funds to be used for planning may be used to pay for activities associated with the completion of the jurisdictional assessment, development of the Urban Area Homeland Security Strategy, and other planning activities, including: 1) conducting training sessions to ensure accurate completion of the assessment; 2) implementing and managing sustainable programs for equipment acquisition, training and exercises; 3) enhancement or establishment of mutual aid agreements; 4) enhancement or development of emergency operations plans and operating procedures; 5) development or enhancement of recovery plans; 6) development of communication and interoperability protocols and solutions; 7) coordination of citizen and family preparedness plans and programs, including donations programs and volunteer initiatives; 8) enhancement or development of continuity of operations and continuity of government plans; and 9) hiring of full or part-time staff or contractors/consultants to assist with any of the above activities.

2. **Equipment Acquisition:** Funds for equipment purchase may be used to enhance the capabilities of local first responders through the acquisition of: 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; and, 12) CBRNE reference materials. ***These funds may also be used for sustainment of first responder equipment that would be used in a jurisdiction's response to a terrorist threat or event. This would include repair and replacement parts, equipment warranties and maintenance contracts for equipment purchased under any ODP grant.***

This equipment may be used by the jurisdictions to enhance capabilities in the areas of law enforcement, emergency medical services, emergency management, the fire service, hazardous materials, public works, governmental administrative, public safety communications, healthcare and public health at the local levels of government in accordance with the goals and objectives identified in their jurisdictional assessment. In addition, localities may use their funds to purchase equipment designed to protect critical infrastructure from terrorist attacks and for equipment to prevent terrorist incidents. Sustainment, maintenance, and training in the use of equipment procured using these grant funds should be addressed in the Urban Area Homeland Security Strategy.

3. **Training:** Funds to be used for training may be used to enhance the capabilities of local first responders through the development of a jurisdiction homeland security training program or the delivery of existing ODP courses. Allowable expenses include: 1) development and/or establishment of CBRNE training courses, which should be institutionalized within existing training academies, universities or junior colleges. These courses must be consistent with ODP responder training guidelines and reviewed and approved by ODP; 2) backfill costs to replace responders who are attending ODP-approved courses, 3) overtime costs for responders who attend ODP-approved training courses, and 4) travel costs associated with planning or attending ODP-approved training. Cities should also work with contiguous jurisdictions and mutual aid partners to develop and implement a sustainable system for maintaining and perpetuating training within all response disciplines as part of the overall Urban Area Homeland Security Strategy.

   The target audience for training courses funded through the FY 2003 UASI must be emergency responders, 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 and private security guards. *We encourage cities to adopt current ODP training programs.*

4. **Exercises:** Funds to be used for exercises may be used to plan for, design, develop, conduct and evaluate exercises that train emergency responders 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 will 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 the HSEEP.

   ODP will work with cities to build a tailored exercise program. Cities should consider using a portion of the grant funds to convene a multi-disciplinary, multi-jurisdictional exercise planning workshop. Cities should also work with contiguous jurisdictions and mutual aid partners to establish a sustained, multi-jurisdictional cycle of exercise activities as part of the overall Urban Area

Homeland Security Strategy.

4. Allowable exercise-related costs include: 1) expenses related to convening an exercise planning workshop; 2) hiring of full or part-time staff or contractors/consultants to support exercise activities; 3) overtime for first response/exercise management personnel involved in the planning and conducting of exercises; 4) travel associated with planning and conducting exercises; 5) supplies consumed during the course of planning and conducting exercises; 6) costs related to the implementation of the HSEEP to include the reporting of scheduled exercises, and the tracking and reporting of after action reports and corrective actions from exercises; and, 7) other costs related to the planning and conducting of exercise activities.

5. **Management and Administration:** Up to 3% of the grant award may be used to pay for activities associated with the implementation of the overall UASI, including: 1) hiring of full or part-time staff or contractors/consultants to assist with the collection of the assessment data; 2) travel expenses; 3) meeting-related expenses; 4) conducting local program implementation meetings; 5) hiring of full or part-time staff or contractors/ consultants to assist with the implementation and administration of the jurisdictional assessment; and, 6) the 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 implementation of the jurisdiction assessment. 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.)

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 and related equipment, general-use vehicles, licensing fees, weapons systems and ammunition; 2) activities unrelated to the completion and implementation of the UASI; 3) other items not in accordance with the Authorized Equipment List or previously listed as allowable costs.

III.   Eligible Applicants and Funding Availability

The following jurisdictions are eligible to apply for and receive FY 2003 UASI funding:

CITY NAME	TOTAL
New York City	24,768,000.00
National Capital Region	18,081,000.00
Los Angeles	12,422,000.00
Seattle	11,201,000.00
Chicago	10,896,000.00

San Francisco   10,349,000.00
Houston   8,634,000.00

The Chief Executive of each city will designate a program administering agency, also known as the PAA, to apply for and administer the grant funds and administer the Urban Areas Security Initiative. The PAA will coordinate development and implementation of the program with representatives from contiguous and jurisdictions and mutual aid partners through the Urban Area Working Group. The recipient jurisdiction may elect to sub-grant FY 2003 funding directly to other supporting cities or counties with which the jurisdiction has comprehensive mutual aid agreements, or which are part of the overall urban area.

Funding for this program was determined by formula using a combination of current threat estimates, critical assets within the urban area, and population density. The formula is a weighted linear combination of each factor, the result of which is ranked and used to calculate the proportional allocation of resources.

IV.   Application Guidance

Applications need to be prepared according to the directions contained in Section IV and Section V of this booklet.

ODP only accepts applications electronically through the Grant Management System (GMS) located on the Office of Justice Programs (OJP) web site. Instructions regarding electronic submissions through GMS are provided on the OJP web site at www.ojp.usdoj.gov/fundopps.htm. Assistance with GMS may also be obtained by contacting ODP at: 1-800-368-6498.

Questions regarding the application process, equipment procurement issues, issues related to exercises, training, planning and administrative, and programmatic matters involving application submission requirements, application content requirements and other administrative inquiries relating to the FY 2003 UASI can be directed to the ODP Helpline at 1-800-368-6498.

Note: To assist grantees with equipment purchases, ODP has established a number of support programs. These include: 1) the ODP Help Line; 2) the Equipment Purchase Assistance Program; and, 3) the Domestic Preparedness Equipment Technical Assistance Program (DPETAP). The ODP Help Line (1-800-368-6498) provides grantees with answers to non-emergency equipment questions. Likewise, the Equipment Purchase Assistance Program provides ODP grantees with access to GSA 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

V.   Application Requirements

A.   **On-Line Application:** The on-line application must be completed and submitted by the applicant using the OJP GMS system described above. 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
·   Non-Supplanting Certification

When completing the on-line application, applicants should identify their submissions as new, non-construction applications. These grants are offered by the U.S. Department of Homeland Security. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "Office for Domestic Preparedness Fiscal Year 2003 Urban Areas Security Initiative." When referring to this title, please use the following CFDA number: 16.011. ***The project period will be for a period not to exceed 24 months.*** *(Note: ODP understands the difficulty of procuring equipment from limited supplies and will continue to monitor the industry and make adjustments to project periods as necessary.)*

Note: To expedite the application and award process, no budget information or program narrative is required to apply for this grant. However, applicants MUST provide budget detail worksheets for the initial allocation of funds (up to 25%) accompanying the Categorical Assistance Progress Report due after June 30, 2003. Additional information on this requirement is provided in Appendix D. Applicants will also be required to provide budget detail worksheets for use of the remaining funds after submission and approval of an assessment and urban area strategy, and to provide a final budget prior to closeout of the grant.

B.   **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 will be made on a case-by-case basis by the DHS Departmental Disclosure Officer, 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.

VI. Administrative Requirements

A. **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.

B. **Financial Requirements**

1. 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.

2. Match Requirement: None

3. 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.

4. 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 (Nonprocurement) 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.

5. Suspension or Termination of Funding: DHS may suspend or terminate funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to comply with the requirements or statutory objectives of federal law.

- Failing to make satisfactory progress toward the goals or objectives set forth in this application.

- Failing to follow grant agreement requirements 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.

VII. Reporting Requirements

The following reports are required of all program participants:

- **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 L). 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.

- **Program Progress Reports:** Program Progress Reports 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. *Guidance on specific topics to be addressed is included in Appendix D.* 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 programmatic progress report is due 120 days after the end date of the award period.

- **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 Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2003 UASI assistance for audit and examination purposes, provided that, in the opinion of the Secretary 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.

·   **Required Performance Related Information:** To insure compliance with the Government Performance and Results Act, Public Law 103-62, this solicitation notifies applicants that ODP's performance under this solicitation is measured by: 1) the number of local jurisdictions that enhanced their capacity to respond to a CBRNE incident with new equipment and training; and, 2) the number of jurisdictions that tested preparedness through participation in tabletop or full-scale exercises.

Appendix A

Funding Allocations

URBAN AREAS SECURITY INITIATIVE
FISCAL YEAR 2003 FUNDING ALLOCATIONS

CITY NAME	TOTAL
New York City	24,768,000.00
National Capital Region	18,081,000.00
Los Angeles	12,422,000.00
Seattle	11,201,000.00
Chicago	10,896,000.00
San Francisco	10,349,000.00
Houston	8,634,000.00

Appendix B

Assessment and Strategy Validation

ODP will use the following checklist to review existing jurisdictional assessments for the purposes of this program. The major areas of review are coordination, risk assessment, capabilities assessment, needs assessment, and strategy. *If any or all of these major areas are incomplete or missing, ODP will work with the grantee to craft a valid jurisdictional assessment and strategy.*

COORDINATION:

?? Jurisdiction has completed major areas one through four in coordination with all contiguous jurisdictions and mutual aid partners through an Urban Area Working Group. Please list the jurisdictions represented on the working group:

_____

_____

MAJOR AREA 1: Risk Assessment

? Jurisdiction has completed a risk assessment containing <u>ALL</u> of the following elements:

? Threat Assessment - The purpose of a threat assessment is to determine the relative likelihood of a known potential threat element attempting to attack using a weapon of mass destruction.

? Identify Potential Threat Elements (PTE) within the Jurisdiction - Potential threat elements are any group or individual in which there are allegations or information indicating a possibility of the unlawful use of force or violence, specifically the utilization of WMD, against persons or property to intimidate or coerce a government, the civilian population, or any segment thereof, in furtherance of a specific motivation or goal, possibly political or social in nature. *Following are examples of threat element factors:*

? The Presence of Threat Factors such as:
?? PTE existence
?? PTE violent history
?? PTE intentions
?? PTE WMD capabilities, and
?? PTE targeting
?? Motivation of each PTE
?? Identification of the WMD capabilities of PTE

? Vulnerability Assessment - Basic vulnerability assessments provide local jurisdictions with a current vulnerability profile for all potential targets located

within jurisdictional boundaries.

? Identify Potential Targets to include: critical infrastructure facilities, sites, systems, or special events that are present or take place within the jurisdiction. *For each of these identified consider:*

? Level of Visibility

? Criticality of Target Site to Jurisdiction

? Impact Outside of Jurisdiction

? Potential Threat Element Access to Target

? Potential Target Threat of Hazard

? Potential Target Site Population Capacity

? Potential Collateral Mass Casualties

? Rate Target

? Identify Legal Hazardous Sites within the following five areas located within Jurisdiction.

? Chemical

? Biological

? Radiological

? Nuclear

? Explosive

MAJOR AREA 2: Capabilities Assessment

? Jurisdiction has completed a capabilities assessment containing <u>ALL</u> of the following elements:

A jurisdictional capabilities assessment examines the current capabilities of the jurisdiction's emergency responders. An effective capabilities assessment will identify the planning, organization, equipment, training, and exercises available to safely and effectively respond to WMD incidents. *The following tasks should be considered in a capabilities assessment:*

? Establish CBRNE materials likely to be used during a WMD terrorism incident in order to help determine current capabilities of each response discipline to respond appropriately.

? Establish a numerical focus of affected civilians/ responders who may become incapacitated during a WMD terrorism incident.

? Apply these factors to planning, organization, equipment, training, and

exercises in order to identify gaps.

MAJOR AREA 3: Needs Assessment

? Jurisdiction has completed a needs assessment containing <u>ALL</u> of the following elements:

> A needs assessment should use the data collected through the risk and capabilities assessments to determine what additional capabilities are needed to increase emergency responder capabilities to respond to a WMD terrorism incident effectively. *The following solution areas should be addressed as part of an adequate needs assessment:*

> ? Planning: Assess planning the jurisdiction has conducted and identify additional requirements to ensure emergency responders have an updated emergency response plan and terrorism incident annex to provide direction in the event of a WMD incident.

> ? Organization: Assess organizational efforts the jurisdiction has addressed through the construction of emergency response teams and written mutual aid agreements with neighboring jurisdictions to provide coverage to those areas lacking WMD response capabilities, and identify additional steps which may be necessary.

> ? Equipment: Assess the equipment resources necessary to respond to WMD terrorism incidents that may occur in the jurisdiction determined through planning factors, WMD response levels by discipline, and specific tasks desired by each discipline.

> ? Training: Assess additional WMD training needed by each discipline using training guidelines provided for increased capabilities.

> ? Exercise: Assess additional exercises the jurisdiction needs to properly exercise their local plans.

MAJOR AREA 4: Strategy Goals, Objectives and Implementation Steps

? Jurisdiction has developed goals, objectives and implementation steps containing <u>ALL</u> of the following elements:

> The information and data gathered from the jurisdiction identifies current capabilities and projected needs. Using this information, a comprehensive assessment should result in the development of broad-based goals that address areas of response enhancement as well as objectives for each goal. Plans, organizations, equipment, training and exercises are areas for consideration in reducing shortfalls in response capabilities.

A.   Goal: A target that the jurisdiction wants to achieve regarding an improved level of capability.
  ?? Help jurisdiction to achieve its vision
  ?? Focuses on the long term
  ?? Broad in scope

B.   Objective: Specific statements of desired achievement that supports the goal.
  ?? Support the attainment of long range goals
  ?? Focus on short term
  ?? It is specific, measurable, achievable, results-oriented, and time-limited

C.   Implementation step: A road map to the accomplishment of the objective.

D.   Metric(s): A tool for measuring progress in achieving goals and objectives.

Appendix C

Allowable Planning, Equipment, Training, Exercise, and Administrative Costs

I. Allowable Planning Costs

Funds to be used for planning may be used to pay for activities associated with the completion of the jurisdictional assessment, development of the Urban Area Homeland Security Strategy, and other planning activities, including: 1) conducting training sessions to ensure accurate completion of the assessment; 2) implementing and managing sustainable programs for equipment acquisition, training and exercises; 3) enhancement or establishment of mutual aid agreements; 4) enhancement or development of emergency operations plans and operating procedures; 5) development or enhancement of recovery plans; 6)development of communication and interoperability protocols and solutions; 7) coordination of citizen and family preparedness plans and programs, including donations programs and volunteer initiatives; 8) enhancement or development of continuity of operations and continuity of government plans; and 9) hiring of full or part-time staff or contractors/consultants to assist with any of the above activities.

II. Allowable Equipment Costs

Funds from the Urban Areas Security Initiative may be used by the cities to enhance capabilities in the areas of law enforcement, emergency medical services, emergency management, the fire service, hazardous materials, public works, governmental administrative, public safety communications, healthcare and public health at the state and local levels of government in accordance with the goals and objectives identified in jurisdictional assessment or capability enhancement plan. In addition, cities may use their funds to purchase equipment designed to protect critical infrastructure from terrorist attacks and for equipment to prevent terrorist incidents. Funds may also be used for sustainment of first responder equipment that would be used in a jurisdiction's response to a terrorist threat or event. This would include repair and replacement parts, equipment warranties and maintenance contracts for equipment purchased under this ODP grant.

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 & 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

1. Personal Protective Equipment - Equipment worn to protect the individual from

hazardous materials and contamination. Levels of protection vary and are divided into three 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.
- 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 should meet standards established by the National Institute for Occupational Safety and Health (NIOSH) for occupational use by emergency responders 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 should 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
> - 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 chairs (for evacuation of disabled personnel)
- Ventilation fans

4. Interoperable Communications Equipment - Equipment and systems providing connectivity and electrical interoperability between local and interagency organizations to coordinate CBRNE response operations:

- Land Mobile, Two-Way In-Suit Communications (secure, hands-free, fully duplex, optional), including air-to-ground capability (as required)
- Antenna systems
- 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)
  Portable Meteorological Station (monitors temperature, wind speed, wind direction and barometric pressure at a minimum)
- Computer aided dispatch system
- Commercially available crisis management software
- Mobile Display Terminals

Note: In an effort to improve public safety interoperability, all new or upgraded radio systems and new radio equipment should be compatible with a suite of standards called ANSI/TIA/EIA-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 and the Integrated Wireless Network (IWN) of the U.S. Justice and Treasury Departments has 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:

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
- Colormetric Tube/Chip Kit specific for TICs and CBRNE applications
- Multi-gas Meter with minimum of O2 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 & 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, 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

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 & Cargo Inspection System – Gamma-ray
- Mobile Search & 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

8. Terrorism Incident Prevention Equipment (Terrorism Early Warning, Prevention, and Deterrence Equipment and Technologies) - Local public safety 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

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:

- Equipment trailers
- 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)
- Small Generators to operate light sets, water pumps for decontamination sets
- Light sets for nighttime operations/security
- Electrical Current detectors
- Equipment harnesses, belts, and vests
- Isolation containers for suspected chemical/biological samples
- Bull horns
- 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
- 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 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

11. Medical Supplies and Pharmaceuticals - Medical supplies and pharmaceuticals required for response to a CBRNE incident. 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 at the advanced life support level (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 Lense 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 & CO_2 detection devices)
- Portable Ventilator
- Pulmonary Fit Tester
- Syringes (3cc and 10cc)
- 26 ga ½" needles (for syringes)
- 21 ga. 1 ½ " needles (for syringes)
- Triage Tags and Tarps
- Sterile and Non-Sterile dressings, all forms and sizes
- Gauze, all sizes

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 designed to assist emergency first responders 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

III. Allowable Training Costs

Funds from the Urban Areas Security Initiative may be used to enhance the capabilities

of local emergency responders through the enhancement or development of an urban area homeland security training program, or delivery of existing ODP courses. Allowable training-related costs include: 1) development and/or establishment of CBRNE training courses, which should be institutionalized within existing training academies, universities or junior colleges. These courses must be consistent with ODP responder training guidelines and reviewed and approved by ODP; 2) backfill costs to replace responders who are attending ODP-approved courses; 3) overtime costs for responders who attend ODP-approved training courses, and 4) travel costs associated with planning or attending ODP-approved training.

The target audience for training supported through the FY 2003 UASI must be emergency responders, 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 and private security guards. Grantees using these funds to develop their own courses should address the critical training areas and gaps identified in the jurisdictional assessment or capability enhancement plan and must adhere to the ODP Emergency Responder Guidelines. These   guidelines   may   be   found   at: http://www.ojp.usdoj.gov/odp/whatsnew/whats_new.htm

IV. Allowable Exercise Costs

Funds from the Urban Areas Security Initiative may be used to plan for, design, develop, conduct and evaluate exercises that train emergency responders 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 will 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 the HSEEP.

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 unit(s) of local government and have the approval of the awarding agency. The services of contractors/consultants may also be procured by the city in 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 - Payment of overtime expenses will be for work performed by award (PAA) 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 unit(s) of local government and has the approval of the awarding agency. 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, Workman's 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 the HSEEP - Costs related to setting up and maintaining a system to track the completion and submission of After Action Reports (AAR) and the implementation of Corrective Action Plans (CAP) from exercises, which may include costs associated with meeting with local jurisdictions 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 localities 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.

V. Management and Administrative Costs

Up to 3% of the grant award may be used to pay for activities associated with the implementation of the overall UASI, including: 1) hiring of full or part-time staff or contractors/consultants to assist with the collection of the assessment data; 2) travel expenses; 3) meeting-related expenses; 4) conducting local program implementation meetings; 5) hiring of full or part-time staff or contractors/ consultants to assist with the implementation and administration of the jurisdictional assessment; and, 6) the 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 implementation of the jurisdiction assessment. 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.)

Appendix D

Grant Reporting Requirements

Grant Reporting Requirements

I. Financial Status Reports (SF-269A)

A. Reporting Time Line - Financial Status Reports are due within **45** days after the end of each calendar quarter. A report must be submitted for every quarter that the award is active, including partial calendar quarters, as well as for periods where no grant activity occurs (see below).

	Report Period	Report Due By	Report Period	Report Due By	Report Period	Report Due By	Report Period	Report Due By
First Quarter	1/1 - 3/31	5/15						
Second Quarter			4/1 - 6/30	8/14				
Third Quarter					7/1 - 9/30	11/14		
Fourth Quarter							10/1 - 12/31	2/14

II. Categorical Assistance Progress Reports (OJP Form 4587/1)

A. Reporting Time Line - Categorical Assistance Progress Reports are due within **30** days after the end of the reporting periods, which are June and December 31, for the life of the award.

	Report Period	Report Due By	Report Period	Report Due By
First Quarter	1/1 - 6/30	7/31		
Second Quarter				
Third Quarter			7/1 - 12/31	1/31
Fourth Quarter				

B. **Budget Detail Worksheets -** Grantees MUST provide detailed budget information for the initial allocation of funds (up to 25%) provided through the Fiscal Year 2003 Urban Areas Security Initiative. ***This information MUST be provided as an attachment to the Categorical Assistance Progress Report due after June 30, 2003.*** Additionally, Budget Detail Worksheets for use of the remaining funds under the grant award must be submitted and approved by ODP prior to obligation, expenditure, or draw-down of those funds. Sample Budget Detail Worksheets detailing the information that MUST be furnished for each allocation are provided below:

Sample Budget Detail Worksheet for Direct Purchases of Equipment

Jurisdiction	Category	Item	Quantity	Total Cost	Discipline Allocation**
City Name	PPE	SCBA - 30 min.	10	$500	HZ - $250 LE - $250
City Name	Detection	Chemical Agent Monitor	2	$14,000	HZ- $7,000 FS - $7000
City Name	Communications	Radio Interconnect System	3	$150,000	FS - $50,000 LE - $50,000 EMA - $50,000
			Total	$164,500	

** Law Enforcement (LE), Emergency Medical Services (EMS), Emergency Management (EMA) Fire Service (FS), HazMat (HZ), Public Works (PW), Public Health (PH), Governmental Administrative (GA), Public Safety Communications (PSC), Health Care (HC).

Sample Budget Detail Worksheet for Direct Purchases of Exercise, Training, Planning, and Administrative Services

Jurisdiction	Function	Category	Item	Amount
City Name	Training	Overtime	Support attendance at Incident Response to Terrorist Bombings Course	$750
City Name	Exercises	Contractor	Design CBRNE Exercise Program	$130,000
City Name	Planning	Personnel	Grant Manager	$50,000
City Name	Admin	Travel	Conference Expense	$200
			Total	$135,950

Sample Budget Detail Worksheet for Sub-Awards

Jurisdiction	Equipment Allocation	Exercise Allocation	Training Allocation	Planning/ Admin Allocation
City Name	$200,000.00		$150,000.00	
City Name	$800,000.00	$150,000.00		
City Name		$300,000.00	$300,000.00	$250,000.00
Total	$1,000,000.00	$450,000.00	$450,000.00	$250,000.00

C. Additional Information - Grantees must also use Block 12 of *each* Categorical Assistance Progress Report to describe progress to date in implementing the grant and its impact on homeland security in the state. Each report must provide an update on the following activities that occurred during the designated reporting period:

1) Describe progress made to date in implementing this grant for each of the areas (planning, equipment, training, exercises, and administration).

Planning:
Report hiring of additional staff and activities they have pursued. Additionally, indicate steps taken to facilitate the jurisdictional assessment, development of the Urban Area Homeland Security Strategy, and other planning activities undertaken.

Equipment
If your city is sub-granting funds, report:

- The total number of sub-grants that the city intends to award;
- The number of sub-grants that the city has awarded to date, with the total amount of awards made thus far;
- The names of agencies and/or jurisdictions that have received sub-grant awards during the reporting period and the amounts received; and
- The total amount of funds expended through approved sub-grants to date.
- Attach any new equipment budgets that have been submitted to the city by sub-grantees during the reporting period. Each sub-grant budget should include the Equipment Budget Category, Item, Quantity, Estimated Total Cost and Discipline(s) receiving the equipment (see Appendix C).

If your city is purchasing and distributing equipment, report:

- The city agencies and/or local jurisdictions that have received equipment during the reporting period and the funding amount allocated for each;
- The total amount of funding that has been obligated by the city thus far;

·   The total amount of funding that has been expended by the city thus far; and,

·   The percentage of overall equipment (in dollar value) that has been received and distributed.

Regardless of the city's method of funding/equipment distribution, indicate whether personnel within recipient agencies and/or jurisdictions are sufficiently trained to use grant-funded equipment, and if technical assistance or other training is needed. Any procurement, distribution, or other equipment related problems should also be noted in the progress report.

Training:
Provide information on how training funds have been used. Some relevant questions to ask include:

·   Are funds being used to develop a comprehensive Homeland Security training program in the city?
·   What steps have been identified and taken?
·   Has training staff been hired? What activities are they undertaking?
·   Have funds been provided to state academies, universities, or other institutions to enhance Homeland Security preparedness? How will this impact the number of responders and other officials trained?
·   If funds have been provided to academies, universities, or other institutions, how many individuals have been trained?
·   Are funds being provided to local jurisdictions and city agencies to pay for training courses/overtime?

Exercises
If the city is using exercise funds to hire city-level staff/contractors, indicate general activities that have occurred during the reporting period. Describe how the additional staff has contributed to enhancement of exercise programs within the city. Relevant questions to address may include:

·   What elements of a citywide exercise program have been developed?
·   What type of coordination has occurred between city-level exercise staff/contractors and local jurisdictions and/or mutual aid partners?
·   What exercises have city exercise staff/contractors helped identify, develop, conduct, and/or evaluate? What jurisdictions were involved?
·   If exercises have occurred, how are the post-evaluations being used to identify and address preparedness needs?
·   Have actions been taken on any exercise evaluation findings?
·   Attach any outstanding after action reports.

If exercise funds were provided to local jurisdictions and/or mutual/aid partners to develop, conduct, assess, and/or participate in exercises, indicate how those funds were generally used. Relevant questions to address may include:

·   What jurisdictions/agencies were involved in the exercises?

- What activities did the funds support (i.e. overtime for participants, contractors, etc.)?
- If exercises have occurred, how are the post-evaluations being used to identify and address preparedness needs?
- Have actions been taken on any exercise evaluation findings?

Administration:
Report hiring of additional staff and activities they have pursued. Describe meetings and assessment training sessions that have occurred with city officials and contiguous jurisdictions and mutual aid partners. Note any difficulties and indicate if technical assistance is needed.

2) Additionally, use the Progress Report to:

- Describe progress made to date on achieving the city's overall goals and objectives as identified in the Urban Area Homeland Security Strategy.

- Briefly explain how ODP resources (other than those already addressed above) are contributing to attaining the overall goals and objectives identified in the jurisdictional assessment.

- Identify other significant activities/ initiatives your city and/or local jurisdictions are pursuing to enhance overall preparedness and responder capabilities, particularly those initiatives not previously addressed in the jurisdictional assessment, or not being supported by ODP resources.

- Identify problems your city is encountering regarding the implementation of any area of the jurisdictional assessment or capability enhancement plan, and any steps taken by your city to resolve these problems/ issues.

- If applicable, briefly describe any unique initiatives/ promising practices your city has undertaken that may be applicable to other cities or jurisdictions.

- If applicable, provide any feedback on the ODP grant process and ODP assistance with program implementation, including implementation of the jurisdictional assessment. Identify any other issues or concerns not addressed above.