



U.S. DEPARTMENT OF HOMELAND SECURITY

**Fiscal Year 2008**

**STATE HOMELAND SECURITY PROGRAM**

**TRIBAL INVESTMENT JUSTIFICATION REFERENCE  
GUIDE**

**March 2008**



U.S. DEPARTMENT OF HOMELAND SECURITY

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## Part I. Purpose

The purpose of the Tribal Investment Justification Reference Guide is to help eligible tribes develop and compile their Fiscal Year 2008 (FY08) State Homeland Security Program (SHSP) Investment Justifications. This guide complements the FY08 SHSP Supplemental Guidance for Tribal Applicants, developed by the Department of Homeland Security's (DHS) Federal Emergency Management Agency (FEMA).

The Investment Justification is the method by which eligible tribes:

- Request funding for the State Homeland Security Program (SHSP)
- Describe specific funding and implementation approaches over the 36-month grant period of performance that will help enhance and sustain capabilities and achieve outcomes aligned with the National Preparedness Guidelines, and homeland security plans

This guide contains specific guidance on:

- Scoring criteria against which each question will be evaluated
- Detailed steps on how to complete each question in the Investment Justification
- Overview of the Tribal Investment Justification Worksheet

## Part II.

# Submission Requirements

### A. Investment Justifications

Eligible tribes requesting SHSP funding must submit an Investment Justification. The Investment Justification may include up to 15 Investments and must account for all SHSP funds requested by the applicant. Per the requirements in the FY08 SHSP Supplemental Guidance for Tribal Applicants, *at least* 25 percent of the total SHSP award amount must be dedicated toward enhancing capabilities related to Improvised Explosive Devices (IEDs) and strengthening preparedness planning. Additionally, at least 25 percent of SHSP award funds must also be dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.

### B. State Preparedness Report

The State Preparedness Report (SPR) will be used by the peer reviewers to provide context for the Investments outlined in the Investment Justifications of States, Territories Urban Areas, and eligible tribes. The State Preparedness Report will only be used as a reference, and will not be scored. The Investment Justifications are expected to be self-sufficient and self-contained, and should not rely on cross-references to any planning information contained in other sources.

Eligible tribes are not required to submit their own Preparedness Reports. The State Preparedness Report should represent all statewide homeland security priorities, including those specific to eligible tribes. Likewise, the Investment Justifications of eligible tribes should clearly reference support to Three-Year Targets from the State Preparedness Report within their Investment Justifications. Therefore, States are strongly encouraged to share their State Preparedness Reports with eligible tribes for optimal State and tribal planning purposes.

### C. Investment Justification Worksheet

Eligible tribes must use the Tribal Investment Justification Worksheet to request SHSP funds.

### D. Grants.gov

Prior to submission to Grants.gov, Eligible tribes **must** provide a copy of their Tribal Investment Justification Worksheet, which includes the tribal eligibility checklist, to the State in which the tribe primarily resides. After providing a copy to their State, eligible tribes must then submit their Tribal Investment Justification Worksheet to <http://www.grants.gov> no later than **11:59 p.m. Eastern Daylight Time, May 1, 2008.**

Please refer to Appendix E of the FY08 SHSP Supplemental Guidance for Tribal Applicants for additional information about submitting the Investment Justification to Grants.gov.

## **E. Additional Information**

Additional information regarding Grants.gov requirements, the FY08 SHSP grant programs, funding priorities, and allowable cost information can be found in the FY08 SHSP Supplemental Guidance for Tribal Applicants.

Questions regarding the Investment Justification and the Investment Justification submission process should be directed to the Centralized Scheduling and Information Desk (CSID). CSID can be contacted at 1-800-368-6498 or [askcsid@dhs.gov](mailto:askcsid@dhs.gov). CSID hours of operation are from 8:00 a.m. to 6:00 p.m. (EST), Monday through Friday.

## Part III.

# Review Process, Weights, and Scoring

Each Investment Justification will be evaluated by a panel of peer reviewers to determine the anticipated effectiveness of an applicant's plan to address national and local priorities (including the National Preparedness Guidelines and applicant-specific priorities), with the overall goal of managing risk and building capabilities.

FEMA has defined *anticipated effectiveness* as:

- The extent to which the eligible tribe's Investment supports the vision of homeland security plans
- The ability to successfully execute and implement the Investment to achieve the planned Investment outputs and outcomes

For each applicant, the FY08 Investment Justification consists of an Overall section and up to 15 Investments.

Each of the 15 individual Investments contains four categories. Within these four categories there are a total of 13 individual Investment questions. The four categories, and the number of questions included in each, are detailed below:

- I. Baseline (includes three questions)
- II. Strategy (includes three questions)
- III. Implementation (includes four questions)
- IV. Impact (includes two questions)

The Overall section and the four categories that will be used to evaluate anticipated effectiveness are defined as follows:

- **Overall Section:** Establishes context for the overall submission and outlines how the applicant understands their perceived risks, as well as how this understanding of risks influenced the applicant's priorities and planning of the Investment Justification submission. Also outlines planned management and administrative costs associated with the implementation of the Investment Justification.
- I. **Baseline category:** Establishes context for and historical information related to the individual Investment to explain its current status. This helps to provide an understanding of the current state as well as future plans for the Investment.
- II. **Strategy category:** Ensures the Investment is aligned with homeland security plans, Target Capabilities and National Priorities.
- III. **Implementation category:**
  - **Funding Plan question:** Ensures the applicant has plans in place to use the requested funds efficiently and effectively.

- **Milestones question:** Ensures the applicant has sufficient plans for implementing the Investment over the 36-month grant period of performance, including discrete tasks and timelines.
- **Project Management question:** Ensures the applicant has the appropriate management team and skill sets in place to oversee the implementation and execution of the Investment.
- **Investment Challenges question:** Ensures the applicant has identified challenges to successful implementation and execution of the Investment, and has proactive or anticipatory mitigation strategies to address those challenges.

IV. **Impact category:** Ensures that the funds dedicated to the Investment will result in measurable, achievable outputs and outcomes aligned with target capabilities and program needs, and to maintain the capability level provided by the Investment after FY08 SHSP funds have been expended.

Weights have been assigned to reinforce priority areas. While the applicant’s response to every question will not be individually scored by the peer reviewers, the peer reviewers will review every response for context. The following table contains the scoring criteria for each question and the weights that will be applied:

<b>FY08 Investment Justification Scoring Criteria and Weights</b>		
<b>Overall Investment Justification and Management and Administrative Costs</b>		
<b>Section</b>	<b>Question and Scoring Criteria</b>	<b>Weight</b>
<b>Overall</b>	<b>Overall Investment Justification Question:</b> The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.	N/A
	<b>Management and Administrative Costs Question:</b> The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.	
<b>Individual Investments</b>		
<b>Section</b>	<b>Question and Scoring Criteria</b>	<b>Weight</b>
<b>Investment Heading</b>	<b>Tribe Name</b> Response should include the eligible tribe submitting the Investment	N/A
	<b>Investment Name</b>	
<b>I. Baseline</b>	<b>I.A. Purpose Statement</b> The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.	N/A

	<p><b>I.B. Description</b> The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</p>	
<b>II. Strategy</b>	<p><b>II. A. Homeland Security Plan</b> • Explanation provides linkage between the Investment and homeland security plans</p>	15% of Investment Categories Score
	<p><b>II. B. Target Capabilities</b> • Explanation provides linkage between the Investment and primary Target Capability Explanation demonstrates how the Investment will support the primary Target Capability</p>	
	<p><b>II.C. National Priorities</b> The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</p>	
<b>III. Implementation</b>	<p><b>III.A. Funding Plan</b> • Explanation references appropriate activities, services, or products for the solution area • Explanation describes how the requested SHSP funds will be used specifically towards this Investment</p>	10% of Investment Categories Score
	<p><b>III.B. Milestones</b> • Each response provides a clear description of the milestone, its associated activity, and start and end dates • Milestones collectively present a clear sequence of events that will allow the Investment to reach its objectives for this period of performance</p>	10% of Investment Categories Score
	<p><b>III.C. Project Management</b> • Response describes, at a high-level, the roles and responsibilities of the management team, governance structures, and subject matter expertise required to manage the Investment • If the management team is the same as in other Investments, the response explains why this is appropriate</p>	25% of Investment Categories Score
	<p><b>III.D. Investment Challenges</b> Response identifies the following: • Investment challenge(s) • Mitigation strategy for each challenge listed • Probability of occurrence • Level of impact should the challenge occur</p>	5% of Investment Categories Score
<b>IV. Impact</b>	<p><b>IV.A. Impact</b> • Response identifies specific measurable outputs</p>	35% of Investment

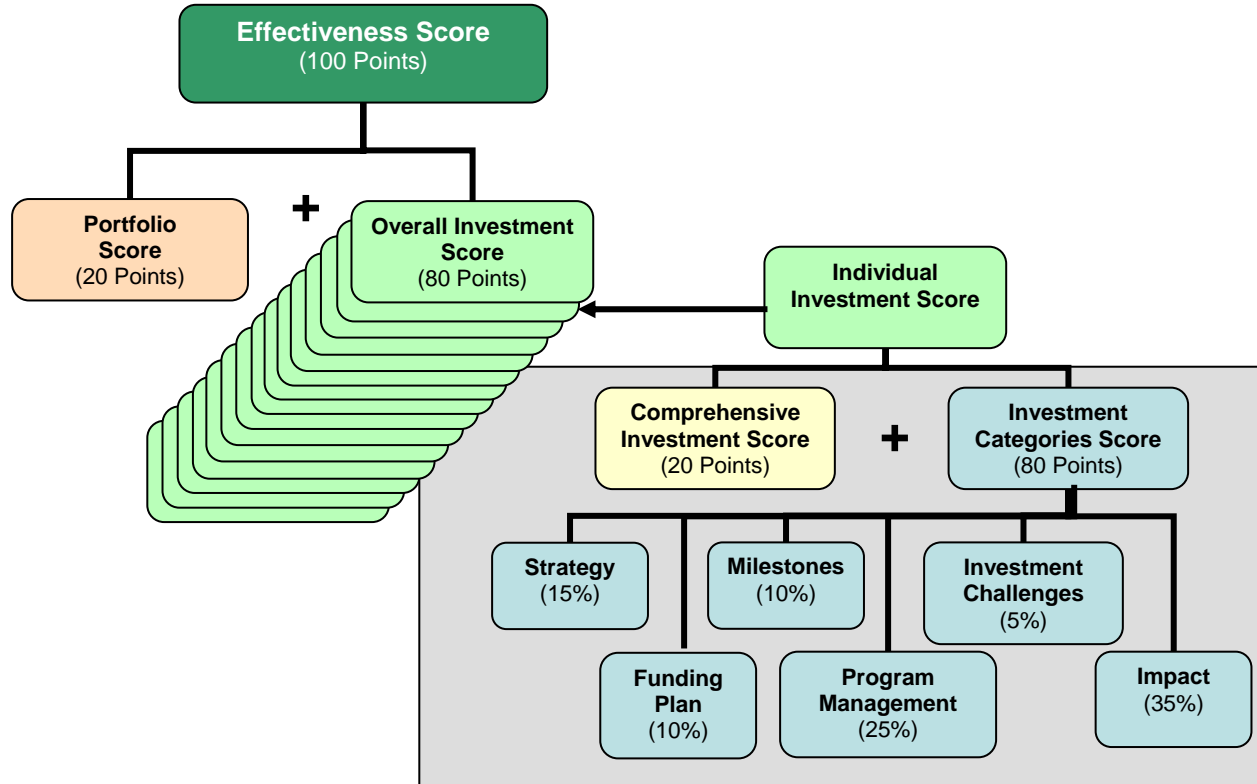


	<ul style="list-style-type: none"> <li>• Response identifies specific outcomes that will demonstrate the Investment’s impact on the applicant’s preparedness environment</li> <li>• Response describes how the outcomes will mitigate risks outlined in the Overall Investment Justification question</li> </ul>	<p>Categories Score</p>
	<p><b>IV.B. Sustainability</b></p> <ul style="list-style-type: none"> <li>• Response describes how the capabilities created or enhanced by this Investment will be maintained or sustained long term, or</li> <li>• Response describes why the Investment will not be maintained or sustained long term</li> </ul>	
	<p><b>Weight Total</b></p>	<p>100% of Investment Category Score</p>

## A. Scoring

For FY08, the expected method for calculating an Investment Justification’s anticipated effectiveness score will remain the same as FY07. An illustration of how the FY08 anticipated effectiveness score is calculated has been provided below. Please note that this overview should be considered a general guideline and is subject to change.

### FY08 Anticipated Effectiveness Calculation



The individual question scores, as described and weighted in the FY08 Investment Justification Scoring Criteria and Weights table, comprise the **Investment Categories Score**, represented by the blue boxes. The weightings applied to the questions were determined by FEMA.

The **Comprehensive Investment Score**, represented by the yellow box, assesses how well the individual responses collectively demonstrate the applicant’s vision (Baseline and Strategy sections, and the Impact question) for and ability to execute (Implementation section and the Sustainability question) the proposed Investment.

The sum of the Investment Categories score and Comprehensive Investment score make up the **Individual Investment Score**, represented by the light green box. All Individual Investment Scores are used to produce one **Overall Investment Score**.

Finally, a **Portfolio Score**, represented by the orange box, will be given to the Investment Justification submission as a whole. The purpose of this score is to examine how well all of the applicant's Investments collectively support the applicant's homeland security plans, whether there are overlapping requests or duplication of efforts, and how well the Investments collectively tie together is based on the applicant's understanding of risk as outlined in the Overall Investment Justification question.

The sum of the Overall Investment Score and Portfolio Management Score make up the **Anticipated Effectiveness Score**, represented by the dark green box.

## Part IV.

# Completing the Investment Justification

This section provides detailed guidance on each question in the Investment Justification. It includes sections on the character limits that are applied throughout the Investment Justification, general considerations for completing the Investment Justification, and question-specific guidance.

### A. Character Limits

There are two types of character limits that will be enforced:

- Overall Investment character limit
- Individual question response character limit

The majority of the narrative responses will count toward an overall Investment character limit of 15,000 characters, rather than a character limit for each question. This provides the applicant with the flexibility to decide which questions require longer narratives or more detail than others, while staying within an overall Investment character limit. The Investment planning worksheets can be used to check the character length of responses.

Questions that have shorter narrative responses (e.g., Funding Plan, Milestones), most of which are embedded within tables, have separate character limits for each response. These character-limited responses **will not count** toward the overall Investment character limit.

**Please note:** Text exceeding the set character limits, including the 15,000 character overall Investment character limit, **will not** be reviewed by peer reviewers.

The following table shows the Investment questions and their relevant character limits:

<b>Investment Questions and Character Limits</b>		
<b>Section</b>	<b>Question</b>	<b>Character Limit</b>
<b>Investment Heading</b>	Tribe Name	N/A
	Investment Name	100 characters
	FY 2008 SHSP Funding Request	N/A
<b>I. Baseline</b>	I.A. Purpose Statement	1,000 characters
	I.B. Description	2,500 characters
<b>II. Strategy</b>	II.A. Homeland Security Plan	Part of 15,000 character overall limit
	II.B. Target Capabilities	500 characters
	II.C. National Priorities	N/A
<b>III. Implementation</b>	III.A. Funding Plan	500 characters per solution area explanation
	III.B. Milestones	500 characters per milestone
	III.C. Project Management	Part of 15,000 character overall limit
	III.D. Investment Challenges	100 characters per challenge 500 characters per mitigation strategy
<b>IV. Impact</b>	IV.A. Impact	Part of 15,000 character overall limit
	IV.B. Sustainability	Part of 15,000 character overall limit

## **B. General Considerations for Completing the Investment Justification**

- ✓ Only the information included in the Tribal Investment Justification Worksheet will be scored in the peer review process. All other information is considered supplementary and contextual. As such, responses in the Investment Justification should be self-sufficient and self-contained. Applicants should not rely on references to other sources of information to explain their response.
- ✓ Applicants are encouraged to minimize the use of acronyms, proper nouns (e.g., names of service providers or contractors) and highly-technical terms specific to their Investment. If these acronyms, names, or terms must be used, they should be clearly defined.
- ✓ Applicants have the option of including attachments, such as organizational charts, when submitting their Tribal Investment Justification Worksheet to grants.gov.
- ✓ Applicants must read the FY08 SHSP Supplemental Guidance for Tribal Applicants prior to completing their Tribal Investment Justification Worksheet.

## C. Investment Justification Questions

This section contains Investment Justification question-specific guidance describing the following:

- **Objectives:** FEMA's purpose in asking the question
- **Scoring Criteria:** The factors for how a question is scored
- **Response Checklist:** Key pieces of information to include in the response
- **Helpful Hint:** Additional consideration(s) that may be helpful to applicants

This section will guide the applicant through the steps for completing the Overall section and each of the four Investment Justification categories in preparation for compiling their Investment Justification.

### Compilation Steps:

- Step 1: Complete the Overall section
- Step 2: Complete the Investment Heading information
- Step 3: Complete the Baseline category
- Step 4: Complete the Strategy category
- Step 5: Complete the Implementation category
- Step 6: Complete the Impact category
- Step 7: Reread the application to ensure that all responses clearly answer the questions in a way that is understandable to someone reading it for the first time

Repeat Steps 2 through 7 for each Investment

**☑ Step 1: Complete the Overall section**

**Overall Investment Justification Question**

The Overall Investment Justification question sets the context for the Investment Justification submission as a whole. The question should be answered with respect to the entire Investment Justification submission, rather than for any individual Investment(s). The Overall Investment Justification question need only be addressed once for the entire tribal submission.

**Overall Investment Justification Question:** Describe your understanding of the spectrum of terrorism and natural hazards risks your tribal area faces. Explain how this understanding influenced development of this Investment Justification. (4,000 char. max)

**Objectives:**

- To understand the perceived risks that are specific to the applicant
- To comprehend how this understanding of risks influenced the applicant’s priorities and planning, and therefore the Investment Justification submission
- To explain fund allocation strategies

Scoring Criteria	
	The information provided will be scored in terms of its contribution to setting context and relationship to other questions.

Response Checklist	
<b>In the response, please:</b>	
✓	Describe the risks to your tribal area; remember to include: <ul style="list-style-type: none"> <li>• Terrorism risks as perceived by the applicant</li> <li>• Natural hazard risks as perceived by the applicant, and</li> <li>• Risk information from the applicant’s own planning processes</li> </ul>
✓	Explain how these risk considerations and planning resulted in the proposed Investments in this Investment Justification submission
✓	Explain how funds will be allocated

★ Helpful Hint ★	
	Potential sources of information to assist with this response include: <ul style="list-style-type: none"> <li>• Tribal risk assessments and analyses, including natural, man-made, and technological risks</li> </ul>

**Management and Administrative Costs Question**

The Management and Administrative (M&A) Costs question encompasses all M&A costs incurred. The question should be answered with respect to the entire Investment



Justification submission, rather than for any individual Investment(s). The M&A Costs question need only be addressed once for the entire tribal submission.

**Management & Administrative Costs Question:** *Provide a brief overall summary of planned management and administrative (M&A) expenditures that support the implementation of the Investments proposed in this Investment Justification. (2,500 char. max)*

**Objectives:**

- To understand the incurred M&A costs
- To ensure the proposed M&A costs are appropriate for the Investment Justification

Scoring Criteria
The information provided will be scored in terms of its contribution to setting context and relationship to other questions.

Response Checklist	
<b>In the response, please:</b>	
✓	Describe the M&A costs your tribe will incur
✓	Explain, at a high-level, what activities will be implemented in your proposed Investments

★ Helpful Hint ★
Potential sources of information to assist with this response include: <ul style="list-style-type: none"> <li>• FY08 SHSP Supplemental Guidance for Tribal Applicants</li> <li>• Title 44 of the Code of Federal Regulations  <a href="http://www.access.gpo.gov/nara/cfr/waisidx_00/44cfrv1_00.html">http://www.access.gpo.gov/nara/cfr/waisidx_00/44cfrv1_00.html</a> </li> </ul>

**Management and Administrative Costs Table**

The Management and Administrative (M&A) Costs Table asks the applicant to specify the source of all funds directed toward M&A Costs. The table should be completed with respect to the entire Investment Justification submission, rather than for any individual Investment(s). Please indicate the percentage of funds that will be dedicated to M&A Costs (up to 3 percent of total requested FY08 SHSP funds), as well as which grant program(s) will incur these costs. The M&A Costs Table need only be completed once for the entire submission.

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**End of the Overall Investment Justification and Management and Administrative Costs questions. Proceed to Step 2.**

**Individual Investment Questions**

Individual Investment questions provide information regarding each Investment. There are 13 individual Investment questions, plus the Investment Heading. While the Investment Heading and Baseline questions are not individually scored, they provide contextual information for reviewers during their review of individually scored questions within the Investment. All questions, including the Investment Heading, must be addressed for that Investment to be considered complete. Responses **must be specific** to each individual Investment, and not to the applicant’s overall homeland security program.

**☑ Step 2: Complete the Investment Heading information**

<p><b><i>Investment Heading:</i></b></p> <ul style="list-style-type: none"> <li>• <i>Tribe name</i></li> <li>• <i>Investment name</i></li> <li>• <i>FY08 SHSP funding request</i></li> </ul>
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**Objectives:**

- To identify the applicant and the Investment
- To provide context on the status and phase of the Investment

<b>Scoring Criteria</b>	
The information provided will be scored in terms of its contribution to setting context and relationship to other questions.	

<b>Response Checklist</b>	
<b>In the response, please:</b>	
✓	Identify the eligible tribe
✓	Provide the Investment Name (100 char. max)
✓	Identify the funds requested for this Investment

**End of the Investment Heading information. Proceed to Step 3.**

**☑ Step 3: Complete the Baseline category**

**I.A. Baseline – Purpose Statement:** Describe, at a high-level, what activities will be implemented and what will be accomplished by this Investment. (1,000 char. max)

**Objectives:**

- To gain a brief, overall picture of the Investment’s purpose
- To have the high-level activities of the Investment listed

Scoring Criteria	
The information provided will be scored in terms of its contribution to setting context and relationship to other questions.	

Response Checklist	
In the response, please:	
✓	Identify the goal of the Investment
✓	Identify the key activities of the Investment

**I.B. Baseline – Description:** Provide a summary description of the current state of this Investment, its objectives, and any outcomes that will be completed prior to the application of FY08 SHSP funds. Include in this description whether this is a new Investment or an Investment in maintenance/sustainment. Describe the capability gap(s) that this Investment is intended to address. (2,500 char. max)

**Objectives:**

- To understand the Investment in terms of its objectives and the capability gap(s) it addresses
- To determine the state of the Investment at the start of the 26-month FY08 award period of performance

Scoring Criteria	
The information provided will be scored in terms of its contribution to setting context and relationship to other questions.	

Response Checklist	
In the response, please:	
✓	Describe the Investment <ul style="list-style-type: none"> <li>• Response should include a description of the current state (baseline or starting point) of the Investment at the beginning of the FY08 award period of performance</li> </ul>
✓	Discuss Investment objectives expected to be accomplished over the FY08 award period of performance

<b>Response Checklist</b>	
<b>In the response, please:</b>	
✓	Include all accomplishments and outcomes to date (only relevant for ongoing Investments) <ul style="list-style-type: none"> <li>• Any accomplishments to date would include major milestones, outcomes achieved, purchases, training, or other implementation steps that have been or will be started and/or completed before the application of FY08 SHSP funds (Refer to Question IV.A for guidance on and examples of what is considered an outcome)</li> <li>• If this is a new Investment, indicate that as a new Investment, there are no accomplishments to date</li> </ul>
✓	Identify the capability gap that this Investment is intended to address

**End of the Baseline category. Proceed to Step 4.**

**☑ Step 4: Complete the Strategy category**

**II.A. Strategy – Homeland Security Plan:** Explain how this Investment supports homeland security plans, such as the State Preparedness Report; *(Part of overall Investment 15,000 char. max)*

**Objectives:**

- To verify that the Investment contributes to the overall homeland security plan

Scoring Criteria	
	• Response provides linkage between the Investment and homeland security plans

Response Checklist	
<b>In the response, please:</b>	
✓	Reference relevant initiatives in the homeland security plan
✓	Identify specific, related page numbers from the State Preparedness Report
✓	Describe ways in which the Investment contributes to the progress toward identified targets <ul style="list-style-type: none"> <li>• The explanation should directly link the Investment and the targets discussed</li> </ul>

**II.B. Strategy – Target Capabilities:** From the drop-down boxes, select one primary and up to four secondary Target Capabilities that this Investment supports. For the primary Target Capability selected, provide an explanation of how it is supported by this Investment. *(500 char. max)*

**Objective:**

- To understand how the Investment aligns to the National Preparedness Guidelines through the Target Capabilities

<b>Scoring Criteria</b>	
	<ul style="list-style-type: none"> <li>• Explanation provides linkage between the Investment and primary Target Capability</li> <li>• Explanation demonstrates how the Investment will support the primary Target Capability</li> </ul>

<b>Response Checklist</b>	
<b>In the response, please:</b>	
✓	Identify the primary Target Capability supported by selecting it from the drop-down list <ul style="list-style-type: none"> <li>• Primary Target Capability should be the Target Capability that is most significantly and directly supported by the Investment</li> </ul>
✓	Explain how the Investment supports the primary Target Capability
✓	Identify Secondary Target Capability(ies) supported (if any) by selecting them from the drop-down lists <ul style="list-style-type: none"> <li>• Secondary Target Capabilities should include Target Capabilities that are directly supported by the Investment, but to a lesser extent than the Primary Target Capability</li> </ul>

<b>★ Helpful Hints ★</b>	
	<ul style="list-style-type: none"> <li>• Target Capabilities selected should be relevant to the capability gap(s) described in Question I.B</li> <li>• The score for this question is not dependent upon the number of Target Capabilities identified, although responses should be comprehensive for the Investment</li> </ul>

***II.C. Strategy – National Priorities:*** From the drop-down boxes, select the National Priority(ies) that this Investment supports; up to four may be selected.

**Objectives:**

- To understand how the Investment aligns to the National Preparedness Guidelines through the National Priorities it supports

<b>Scoring Criteria</b>	
	The information provided will be scored in terms of its contribution to setting context and relationship to other questions.

<b>Response Checklist</b>	
<b>In the response, please:</b>	
✓	Select the National Priorities supported by this Investment from the drop-down lists <ul style="list-style-type: none"><li>• The Investment should directly support the selected National Priorities</li></ul>

**End of the Strategy category. Proceed to Step 5.**

**☑ Step 5: Complete the Implementation category**

**III.A. Funding Plan:** Provide the total estimated cost for the FY08 award period of performance for this Investment by completing the following table:

- For each solution area that has an associated FY08 SHSP funds request, provide a brief summary of the planned expenditures (including personnel)
- If this Investment uses other funding sources, identify the funding source and provide a brief summary of how those funds will be applied

(500 char. max per solution area)

**Objective:**

- To obtain greater understanding of what the planned expenditures are and how they will be used to support the Investment’s objectives

Scoring Criteria
<ul style="list-style-type: none"> <li>• Explanation describes appropriate activities, services, or products for the solution area</li> <li>• Explanation describes how the requested SHSP funds will be used specifically towards this Investment</li> </ul>

Response Checklist	
In the response, please:	
✓	Provide the total estimated costs for the Investment, regardless of source <ul style="list-style-type: none"> <li>• Costs listed in the Solution Area Funding rows should include personnel costs associated with that solution area and grant program</li> <li>• For non-FY08 SHSP funding sources, in the table, provide the name of the funding source; if more than three non-SHSP sources are used, list the top two funding sources, label the third source as “Other”, and provide a sum total of all remaining sources in each solution area under “Other”</li> </ul>



Response Checklist	
In the response, please:	
✓	<p>Explain the planned expenditures, including products, services, and activities</p> <ul style="list-style-type: none"> <li>• Solution area summaries should include a description of the personnel costs that are associated with that solution area</li> <li>• Planned expenditures should be appropriate for the purpose of the Investment</li> <li>• Planned expenditures should be appropriate for the solution area and grant program under which they are described</li> <li>• Solution area summaries should provide a level of detail sufficient to understand how the funding will be used; however, the list of planned expenditures does not need to be exhaustive.                             <ul style="list-style-type: none"> <li>• <i>Examples:</i> <ul style="list-style-type: none"> <li>• <i>Planning:</i> development of equipment distribution plan; production of standard operating procedure manuals</li> <li>• <i>Organization:</i> hiring new staff/contractor positions to serve as intelligence analysts (for up to two years under the grant)</li> <li>• <i>Equipment:</i> GPS tracking devices, chemical resistant gloves</li> <li>• <i>Training:</i> training for CBRNE terrorism, intelligence gathering, citizen and community preparedness</li> <li>• <i>Exercises:</i> refine search and rescue operations through simulated missions, CBRNE exercises that focus on prevention</li> </ul> </li> <li>• <i>Inadequate detail:</i> Training course, interoperable communications equipment, CBRNE equipment, exercises</li> </ul> </li> </ul>

**III.B. Milestones:** Provide descriptions for up to 10 milestones and the associated key activities that lead to the milestone event over the FY08 award period of performance. Start dates should reflect the start of the associated key activities and end dates should reflect when the milestone event will occur. Sustainment Investments must identify at least one milestone to describe maintenance and sustainment activities associated with the Investment. (500 char. max per milestone)

**Objectives:**

- To understand the Investment’s critical path for success and major milestones
- To ensure that sufficient plans for implementing the Investment are in place

Scoring Criteria
<ul style="list-style-type: none"> <li>• Each response provides a clear description of the milestone, its associated activity, and start and end dates</li> <li>• Milestones collectively present a clear sequence of events that will allow the Investment to reach its objectives for this period of performance</li> </ul>

Response Checklist	
	<b>In the response, please:</b>
✓	Identify the Investment milestones for the FY08 award period of performance <ul style="list-style-type: none"> <li>• While space is provided for up to 10 milestones, not all 10 must be completed; only list as many milestones as are necessary to effectively represent the high-level activities for the Investment</li> <li>• Milestones should be specific to this Investment, and should include those that will be completed during the FY08 award period of performance</li> <li>• The description of each activity should provide a level of detail that provides more insight into planned accomplishments:                             <ul style="list-style-type: none"> <li>• <i>Appropriate level of detail:</i> obtain support and feedback from first-responder stakeholders; complete training on newly purchased GPS trackers; integrate communications systems across fire/police departments and hospitals; complete EOC construction plan</li> <li>• <i>Inadequate detail:</i> stakeholder engagement; training; exercises</li> </ul> </li> </ul>

<b>Response Checklist</b>	
✓	<p>Milestones should illustrate a sequence of events that build upon each other; for example:</p> <ul style="list-style-type: none"> <li>• Milestone #1: Five subject matter experts on search and rescue activities identified                             <ul style="list-style-type: none"> <li>• Activity #1: Identify subject matter experts on search and rescue activities</li> </ul> </li> <li>• Milestone #2: Training materials for search and rescue activities developed                             <ul style="list-style-type: none"> <li>• Activity #2: Work with subject matter experts to develop training materials for search and rescue activities</li> </ul> </li> <li>• Milestone #3: Search and rescue training sessions completed                             <ul style="list-style-type: none"> <li>• Activity #3: Deliver search and rescue training to emergency response personnel</li> </ul> </li> <li>• Milestone #4: Simulated exercises on new search and rescue activities completed                             <ul style="list-style-type: none"> <li>• Activity #4: Conduct exercises on new search and rescue activities in simulated environment; etc.</li> </ul> </li> </ul> <p>Milestones should be linked to the objectives of the Investment (as described in Question I.B)</p>
✓	<p>Identify the planned start date for the key activities associated with the milestone, as well as the planned end date for when the milestone will occur</p> <ul style="list-style-type: none"> <li>• Activities should not start prior to the FY08 grant award date, and milestones should not extend past the end of the FY08 award period of performance (36-months from award date)</li> </ul>

<b>★ Helpful Hints ★</b>	
<ul style="list-style-type: none"> <li>• In developing these milestones, it is important to refer back to the funding table in Question III.A to make sure that milestones reasonably account for the costs presented in the funding table</li> <li>• The score for this question is not dependent upon the number of milestones listed, however, responses must include <b>at least one milestone</b></li> </ul>	

**III.C. Project Management:** Describe the management team roles and responsibilities, governance structures, and subject matter expertise specifically required for this Investment. (Part of overall Investment 15,000 char. max)

**Objective:**

- To verify that the appropriate management team and skill sets are in place to successfully implement and oversee the execution of the Investment
- To verify that roles and responsibilities are clearly defined in a way in which conflicts can be efficiently and effectively addressed and decisions can be made

Scoring Criteria	
	<ul style="list-style-type: none"> <li>• Response describes, at a high-level, the roles and responsibilities of the management team, governance structures, and subject matter expertise required to manage the Investment</li> <li>• If the management team is the same as in other Investments, the response explains why this is appropriate</li> </ul>

Response Checklist	
<b>In the response, please:</b>	
✓	Identify the roles, responsibilities, and authority of the project manager
✓	Identify other operational roles and subject matter expertise necessary for the management of the Investment, and the responsibilities associated with each role <ul style="list-style-type: none"> <li>• Operational roles and responsibilities described should be specific and necessary to the successful implementation of this discrete Investment; they should not be a description of the organizational structure of the homeland security agency</li> <li>• If the project manager or project management plan is identical for all Investments, indicate this in the response and explain why it is appropriate for the manager/plan to be the same for each Investment</li> <li>• Subject matter expertise may include:                             <ul style="list-style-type: none"> <li>• Homeland security-related subject matters (e.g., biohazard, search and rescue, specialized training)</li> <li>• Project-related administrative functions, necessary for the implementation of the Investment (e.g., accounting, procurement)</li> </ul> </li> </ul>

**III.D. Investment Challenges:** List and describe up to three potential challenges to effective implementation of this Investment over the entire FY08 award period of performance. For each identified challenge, provide a brief description of how the challenge will be mitigated, and indicate a probability of occurrence (high, medium, low), and level of impact should it occur (high, medium, low). (100 char. max per Challenge; 500 char. max per Mitigation Strategy)

**Objectives:**

- To verify that project-related implementation and execution challenges have been identified
- To ensure that ongoing or anticipatory mitigation strategies are in place to prevent or address Investment challenges, thereby maximizing potential Investment success

Scoring Criteria
Response identifies the following: <ul style="list-style-type: none"> <li>• Investment challenge(s)</li> <li>• Mitigation strategy for each challenge listed</li> <li>• Probability of occurrence</li> <li>• Level of impact should the challenge occur</li> </ul>

Response Checklist	
In the response, please:	
✓	Identify the Investment challenge(s) <ul style="list-style-type: none"> <li>• At least one challenge should be identified                             <ul style="list-style-type: none"> <li>• Even if a challenge has already been or is currently being mitigated, describe the challenge and the mitigation strategy being used</li> <li>• Even if the Investment has a low chance of realizing a challenge, or if challenges will have a low impact, those challenges must still be identified and described</li> </ul> </li> <li>• Challenges should be specific to the implementation and execution of this Investment; possible areas where challenges may occur include (but are not limited to): Schedule, Costs, Feasibility, Dependencies and interoperability between this Investment and others, Management, Organizational and change management, Technology, Strategy, Project resource availability</li> <li>• Some specific examples of challenges may include: schedule delays, cost overruns, inability to continue due to dependency on another related Investment, changes in overall strategy or priorities</li> </ul>
✓	Identify a mitigation strategy for each challenge listed
✓	Indicate the probability of occurrence
✓	Indicate the level of impact should the challenge occur

★ Helpful Hint ★

The score for this question is not dependent upon the number of challenges listed, although responses should be comprehensive for the Investment.

**End of the Implementation category. Proceed to Step 6.**

**☑ Step 6: Complete the Impact category**

**IV.A. Impact:** *What outputs and outcomes will indicate that this Investment is successful at the end of the FY08 award period of performance? (Part of overall Investment 15,000 char. max)*

**Objectives:**

- To determine the effect that the Investment will have on the applicant’s homeland security program and capability levels

<b>Scoring Criteria</b>	
	<ul style="list-style-type: none"> <li>• Response identifies specific measurable outputs</li> <li>• Response identifies specific outcomes that will demonstrate the Investment’s impact on the applicant’s preparedness environment</li> <li>• Response describes how the outcomes will mitigate risks outlined in the Overall Investment Justification question</li> </ul>

<b>Response Checklist</b>	
<b>In the response, please:</b>	
✓	Describe the tangible <u>outcomes</u> that will indicate the Investment has been successful <ul style="list-style-type: none"> <li>• Outcomes described should demonstrate progress toward the overall objective of the Investment, and include outcomes expected during the FY08 award period of performance as well as those expected at the conclusion of the FY08 award period of performance</li> </ul>
✓	Identify measurable <u>outputs</u> that lead to the outcomes described
✓	Describe how these <u>outcomes</u> will mitigate the risks that were outlined in the Overall Investment Justification question

### ★ Helpful Hints ★

- **Output** – Outputs are the goods and services produced by using Investment resources. Outputs can be represented in units of quantifiable products, such as the number of portable radios purchased, or as activities performed, such as exercises and training courses. Additional sample outputs have been listed below:
  - number of people trained
  - quantity of medications available
  - number of agencies served by an interoperable gateway
- **Outcome** – Outcomes describe the intended impact of the Investment on the preparedness environment (i.e., the changes resulting from the outputs). This often includes the ways in which the Investment has enhanced or developed the agency’s capability or capacity to serve the public. Sample outcomes include:
  - increased ability to administer medications in the event of an emergency
  - increased operational coordination among responders
  - cost savings to the jurisdictions
- **Example - Mass Prophylaxis:** An Investment seeking to prepare for the distribution of mass prophylaxis in the event of a terrorist attack – Measurable outputs may include the number of points of dispensing (PODs), the number of personnel to staff the PODs, and the specific emergency plans developed to manage receipt, staging, storage and dispensing operations. Resulting outcomes can include an increase in the number of people who will receive medications, and an increase in the number of counties with acceptable capabilities.
- The *Target Capabilities List* (TCL) and the performance and preventative measures associated with critical tasks included within may be a useful reference when developing measurable outputs. Specific performance and preventative measures for each area can be found starting in the Common Target Capabilities Section of the TCL.



**IV.B. Sustainability:** *What is the long-term approach to sustaining the capabilities created or enhanced by this Investment, or explain why this Investment will not be sustained? (Part of overall Investment 15,000 char. max)*

**Objectives:**

- To understand how the Investment's impact on capability levels will be sustained beyond the end of the FY08 award period of performance

Scoring Criteria
<ul style="list-style-type: none"> <li>• Response describes how the capabilities developed by this Investment will be maintained/sustained long-term, or</li> <li>• Response describes why the Investment will not be maintained/sustained long-term</li> </ul>

Response Checklist	
<b>In the response, please:</b>	
✓	Describe plans for maintaining the capabilities developed by the Investment, including: <ul style="list-style-type: none"> <li>• Any additional sources of funding to be used, if necessary</li> <li>• Future plans or milestones for sustaining the Investment, if any</li> </ul>

★ Helpful Hints ★
<ul style="list-style-type: none"> <li>• Response should reference the impact discussed in Question IV.A and how it will be sustained</li> <li>• Response should also reference the capability gaps addressed in Questions I.B and how this progress will be sustained</li> </ul>

**End of the Impact category. Proceed to Step 7.**

**☑ Step 7: Reread the Investment to ensure that all responses clearly answer the questions in a way that is understandable to someone reading it for the first time**

**Repeat Steps 2 through 7 for each Investment**

## D. Additional References

Additional sources of information that may be considered while developing the Investment Justification include:

- FY08 SHSP materials (<http://www.fema.gov/grants>)
- FEMA Headquarters Program Analysts (reached via CSID at 1-800-368-6498)
- Appendix A of the FY08 SHSP Tribal Investment Justification Reference Guide (metropolitan statistical areas)

As outlined in section 1151 of title 18 US Code, Indian country is defined as:

“Except as otherwise provided in sections 1154 and 1156 of this title, the term ‘Indian country’, as used in this chapter, means (a) all land within the limits of any Indian reservation under the jurisdiction of the United States Government, notwithstanding the issuance of any patent, and, including rights-of-way running through the reservation, (b) all dependent Indian communities within the borders of the United States whether within the original or subsequently acquired territory thereof, and whether within or without the limits of a state, and (c) all Indian allotments, the Indian titles to which have not been extinguished, including rights-of-way running through the same.”

## Appendix A. 50 MOST POPULOUS METROPOLITAN STATISTICAL AREAS

Metropolitan Statistical Area (listed alphabetically)	
Allentown-Bethlehem-Easton	Portland-Vancouver-Beaverton
Atlanta-Sandy Springs-Marietta	Providence-New Bedford-Fall River
Austin-Round Rock	Riverside-San Bernardino-Ontario
Bakersfield	Sacramento--Arden-Arcade--Roseville
Baltimore-Towson	Salt Lake City
Boston-Cambridge-Quincy	San Antonio
Charlotte-Gastonia-Concord	San Diego-Carlsbad-San Marcos
Chicago-Naperville-Joliet	San Francisco-San Jose-Bay Area
Cincinnati-Middletown	San Juan-Caguas-Guaynabo
Cleveland-Elyria-Mentor	Santa Ana-Anaheim-Irvine
Columbus	Seattle-Tacoma-Bellevue
Dallas-Fort Worth-Arlington	St. Louis
Denver-Aurora	Tampa-St. Petersburg-Clearwater
Detroit-Warren-Livonia	Virginia Beach-Norfolk-Newport News
Fort Lauderdale-Broward-Palm Beach	Washington-Arlington-Alexandria
Fresno, CA	
Honolulu, HI	
Houston-Sugar Land-Baytown	
Indianapolis-Carmel	
Jacksonville	
Kansas City	
Las Vegas-Paradise	
Los Angeles-Long Beach-Glendale	
Memphis	
Miami-Miami Beach-Kendall	
Milwaukee-Waukesha-West Allis	
Minneapolis-St. Paul-Bloomington	
New Orleans-Metairie-Kenner	
New York-Long Island	
Oklahoma City	
Orlando-Kissimmee	
Philadelphia-Camden-Wilmington	
Phoenix-Mesa-Scottsdale	
Newark-Edison NJ-PA	
Pittsburgh	

## Appendix B. DEFINITIONS

<b>Definitions</b>	
Term	Definition
FY08 Award Period of Performance	The three-year (36-month) period of grant implementation, beginning at the time of grant award
Governance Structure	The organizational configuration for management of an Investment
Impact	The (positive) effect that an Investment has on the population and geographic area(s)
Initiative	The statewide, cross-jurisdictional aggregation, at the programmatic level, of related projects geared towards achieving a common State Homeland Security goal/objective, National Priority, and/or Target Capability. An Initiative may be comprised of projects that span one or more National Priorities and Target Capabilities
Investment	The targeted application of FY08 SHSP funding, at the operational level, towards the achievement of preparedness goals and initiatives of the State Preparedness Report
Investment Challenge	Project risk, or an uncertain event or condition that, if it occurs, has a negative effect on achieving an Investment's objectives
Investment Justification	The FY08 grant application by which eligible tribes request FY08 SHSPP funding. The Investment Justification is composed of descriptions of up to 15 Investments as well as the overall risk context and the tribal area profile, to facilitate effective management of the homeland security program and to meet strategic goals and objectives
Milestone	A significant point or event in the Investment
Outcome	The impact of the investment on the preparedness environment. This often includes the ways in which the investment has enhanced or developed a capability or capacity (e.g., increase in the number of people that can receive medical attention in the event of an emergency, initiative implementation).

<b>Definitions</b>	
<b>Term</b>	<b>Definition</b>
Output	The end product or result of using Investment resources. This can be represented in specific quantitative units (e.g., the number of people trained, the number of available supplies) or it can be planning documents and other tangible products.
Planned Expenditures	The products, services, and/or activities on which funding will be spent
Portfolio Management	The centralized management of one or more Investments, which includes identifying, prioritizing, authorizing, managing, and controlling the Investments to achieve specific strategic homeland security objectives
Role	A defined function to be performed by a project team member, such as coordinator, manager, operator, trainer
Strategic Goal	A strategic goal is a target that the applicant wants to achieve regarding an improved level of capability. These goals will help the applicant achieve its vision, focus on the long-term, and increase its preparedness
Strategic Objective	A strategic objective is a specific statement of desired achievement that supports a strategic goal, and sets a target level of performance over time expressed as a tangible, measurable objective, against which actual achievement can be compared
Three-Year Targets	Discrete outcomes that the State would like to achieve, with tribal cooperation, within a three-year timeframe to build specific aspects of either the Target Capabilities or the other factors that comprise the National or State Priority

## Appendix C. ACRONYMS

<b>Acronyms</b>	
Acronym	Definition
CBRNE	Chemical, biological, radiological, nuclear, and explosive
CCP	Citizen Corps Program
CSID	Centralized Scheduling and Information Desk
DHS	U.S. Department of Homeland Security
EMPG	Emergency Management Performance Grant
EOC	Emergency operations center
FEMA	Federal Emergency Management Agency
GPD	Grants Program Directorate
GPS	Global positioning system
GRT	Grants Reporting Tool
HSGP	Homeland Security Grant Program
LETPP	Law Enforcement Terrorism Prevention Program
M&A	Management and administration
MMRS	Metropolitan Medical Response System
NPR	Nationwide Plan Review
POETE	Planning, organization, equipment, training, and exercises
SAA	State Administrative Agency
SHSP	State Homeland Security Program
TCL	Target Capabilities List
UASI	Urban Areas Security Initiative

## Appendix D. TARGET CAPABILITIES AND NATIONAL PRIORITIES

Target Capabilities	
<p><b><u>Common Capabilities</u></b>                      Planning                      Communications                      Community Preparedness and Participation                      Risk Management                      Intelligence and Information Sharing and Dissemination</p> <p><b><u>Prevent Mission Capabilities</u></b>                      Information Gathering and Recognition of Indicators and Warning                      Intelligence Analysis and Production                      Counter-Terror Investigation and Law Enforcement                      CBRNE Detection</p> <p><b><u>Protect Mission Capabilities</u></b>                      Critical Infrastructure Protection                      Food and Agriculture Safety and Defense                      Epidemiological Surveillance and Investigation                      Laboratory Testing</p>	<p><b><u>Respond Mission Capabilities</u></b>                      On-Site Incident Management                      Emergency Operations Center Management                      Critical Resource Logistics and Distribution                      Volunteer Management and Donations                      Responder Safety and Health                      Emergency Public Safety and Security                      Animal Disease Emergency Support                      Environmental Health                      Explosive Device Response Operations                      Fire Incident Response Support                      WMD and Hazardous Materials Response and Decontamination                      Citizen Evacuation and Shelter-in-Place                      Isolation and Quarantine                      Search and Rescue (Land-Based)                      Emergency Public Information and Warning                      Emergency Triage and Pre-Hospital Treatment                      Medical Surge                      Medical Supplies Management and Distribution                      Mass Prophylaxis                      Mass Care (Sheltering, Feeding and Related Services)                      Fatality Management</p> <p><b><u>Recover Mission Capabilities</u></b>                      Structural Damage Assessment                      Restoration of Lifelines                      Economic and Community Recovery</p>

National Priorities
<ul style="list-style-type: none"> <li>• Expand regional collaboration</li> <li>• Implement the National Incident Management System and the National Response Plan</li> <li>• Implement the National Infrastructure Protection Plan</li> <li>• Strengthen information sharing and collaboration capabilities</li> <li>• Strengthen communications capabilities</li> <li>• Strengthen CBRNE detection, response, and decontamination capabilities</li> <li>• Strengthen medical surge and mass prophylaxis capabilities</li> <li>• Strengthen planning and citizen preparedness capabilities</li> </ul>