



U.S. DEPARTMENT OF HOMELAND SECURITY

**Fiscal Year 2008**

**HOMELAND SECURITY GRANT PROGRAM**

**INVESTMENT JUSTIFICATION REFERENCE GUIDE**

**February 1, 2008**



U.S. DEPARTMENT OF HOMELAND SECURITY

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## Part I. Purpose

The purpose of the Investment Justification Reference Guide is to help States, Territories and Urban Areas develop and compile their Fiscal Year 2008 (FY08) Homeland Security Grant Program (HSGP) Investment Justifications. This Guide complements the FY08 HSGP Guidance and Application Kit, developed by the Department of Homeland Security's (DHS) Federal Emergency Management Agency (FEMA).

The Investment Justification is the method by which States, Territories, and Urban Areas:

- Request HSGP funding for the State Homeland Security Program (SHSP) and Urban Areas Security Initiative (UASI)
- Demonstrate their planned use of funds for the Metropolitan Medical Response System (MMRS) and the Citizen Corps Program (CCP)
- 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, their respective State/Territory/Urban Area Homeland Security Strategy, and their State Preparedness Report

This Guide contains specific guidance on:

- Changes incorporated into the FY08 Investment Justification based on feedback received from stakeholders
- Scoring criteria against which each question will be evaluated
- Detailed steps on how to complete each question in the Investment Justification
- Overview of the new IJ Submission module available March 1, 2008 in the Grants Reporting Tool (GRT)

## **Part II.**

# **Improvements from FY07 to FY08**

### **A. Investment Justification in FY07**

In FY07, DHS required States, Territories, and Urban Areas to develop Investment Justifications as a part of their applications to request HSGP funds. These Investment Justifications included a description of each Investment's ability to impact/enhance homeland security preparedness, as well as the ability of the applicant to successfully execute and implement the Investment.

### **B. Feedback from Preparedness Partners**

Throughout the course of the FY07 HSGP review and scoring process, DHS collected and compiled recommendations from a variety of stakeholder sources, including peer reviewer surveys following the peer review conference, participant surveys from the After Action Conference, as well as formal and informal stakeholder discussions conducted throughout the year.

The FEMA-sponsored After Action Conference held in Minneapolis, Minnesota on August 1, 2007 involved approximately 100 State, Territory, and local representatives from 45 States and Territories. Attendees participated in one of four working groups, which focused on HSGP programmatic objectives and integration, the HSGP guidance and application process, the effectiveness analysis, and linking risk management to investment planning.

The feedback and recommendations provided by the stakeholder community were instrumental in refining the FY08 HSGP Investment Justification and peer review process.

### **C. Updates Made to the FY08 Investment Justification**

In updating the FY08 Investment Justification, FEMA placed significant emphasis on the feedback and recommendations from stakeholders. In addition, FEMA continued to focus on the objectives of the Investment Justification when implementing changes. FEMA's objectives for the Investment Justification include:

- Supporting the National Preparedness Guidelines and State/Territory/Urban Area Homeland Security Strategy goals and objectives
- Identifying the positive impacts and capability outcomes on the applicant's overall homeland security program
- Understanding the applicant's ability, resources, plans, and strategies in place to successfully execute the Investment

Several of the stakeholder recommendations and actions implemented by FEMA include:

- ✓ **Providing a Multi-Applicant planning worksheet.** FEMA has provided a Multi-Applicant planning worksheet in the FY08 HSGP Guidance and Application Kit, which Multi-Applicant partners may complete jointly to increase overall coordination across Multi-Applicant Investments.
- ✓ **Modifying questions for better descriptions of Sustainment.** The Milestones and Sustainability questions have been modified to provide applicants the opportunity to better describe how their Investment can be sustained.
- ✓ **Consolidating Management and Administrative (M&A) costs.** Applicants no longer need to outline M&A costs for each individual Investment. Instead, a single consolidated question will detail how M&A will be used for all Investments within an Investment Justification.
- ✓ **Adding a Purpose Statement.** The Purpose Statement was added to the Investment Justification form to give applicants a place to provide a high-level overview of the Investment, including its goals and activities.
- ✓ **Replacing the Enhancement Plan with the State Preparedness Report.** The previous HSGP application requirement for the State Program and Capability Enhancement Plan has been replaced by the State Preparedness Report, which incorporates much of the same content and purpose.
- ✓ **Updating definitions for *output* and *outcome*.** To reinforce the importance of determining the impact of Investments, the definitions of outcome and output have been clarified to support clear, concise responses.
- ✓ **Providing the Investment Justification online.** In response to user feedback concerning technical issues with the Excel-based Investment Justification of years past, the FY08 HSGP Investment Justification is now compiled using the IJ Submission module in the Grants Reporting Tool (GRT) available March 1, 2008. This new and more user-friendly Investment Justification format will provide applicants greater flexibility and ease of use when compiling their Investment Justifications for submittal to <http://www.grants.gov>. Prior to this March 1 release date, applicants are strongly encouraged to begin development of their Investment Justifications using the provided Investment and Multi-Applicant planning worksheets. All responses completed in these planning worksheets must then be transferred to the applicant's Investments in the IJ Submission module.

## Part III.

# Submission Requirements

### A. Investment Justifications

States, Territories, and Urban Areas requesting FY08 HSGP funding must submit an Investment Justification. The Investment Justification may include up to 15 Investments and must account for all HSGP funds requested by the applicant. State and Territory applications should only include SHSP, MMRs, and CCP funds. MMRS Steering Committees and Citizen Corps Councils should be involved in the development of MMRS and CCP investments. Urban Area applications must account only for UASI funding. Per the requirements in the FY08 HSGP Guidance Application Kit, *at least* 25 percent of the total award amount for each State across all four programs, where applicable, must be dedicated toward enhancing capabilities related to Improvised Explosive Devices (IEDs) and strengthening preparedness planning. While States and Urban Areas will develop separate Investment Justifications, they are strongly encouraged to coordinate with each other to present an overall application that represents a collaborative, integrated approach.

For the FY08 HSGP, States, Territories, and Urban Areas may submit Multi-Applicant Investments, which represent a shared interest between two or more States and Territories, or a shared interest between two or more Urban Areas. For the purposes of this application, Urban Areas cannot submit a Multi-Applicant Investment in partnership with the State in which they are located. States, Territories, and Urban Areas must include any Multi-Applicant Investments as a part of their Investment Justification.

All Multi-Applicant Investments will be reviewed by a separate Multi-Applicant panel of peer reviewers. Similar to other Investments, peer reviewers will evaluate the anticipated effectiveness of the Multi-Applicant Investments. Additionally, reviewers will evaluate: 1) how well the Multi-Applicant Investments collectively demonstrate collaboration between partners and 2) the overall merit of the Multi-Applicant Investments as a collective project that could not be accomplished by a single State, Territory, or Urban Area.

### B. State Preparedness Report

The State Preparedness Report (SPR) will be used by the peer reviewers to provide context for the Investments outlined in State, Territory, and Urban Area Investment Justifications. 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. States are required to submit their State Preparedness Report by the deadline outlined in the State Preparedness Report guidance, which can be accessed on the FEMA Secure Portal at <https://odp.esportals.com/login.cfm>.

Urban Areas are not required to submit their own Preparedness Reports. The State Preparedness Report should represent all statewide homeland security priorities, including those specific to Urban Areas. Likewise, Urban Area Investment Justifications must 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 Urban Areas for optimal State and Urban Area planning purposes.

### **C. Grants Reporting Tool (GRT)**

The FY08 Homeland Security Grant Program (HSGP) Investment Justification will be compiled via the IJ submission module in the Grants Reporting Tool, available March 1, 2008. The purpose of this module is to provide users with the ability to compile their FY08 Investment Justification without the use of an Excel template. Two planning worksheets have been provided to users in the FY08 HSGP Guidance and Application Kit so that they may begin drafting their Investment information prior to compiling them in the IJ Submission module. After reviewing the Investment Justification for accuracy, applicants may view and save their final Investment Justification report file from the IJ Submission module for subsequent submission to Grants.gov.

### **D. Grants.gov**

The State Administrative Agency (SAA) must submit all State, Territory, and applicable Urban Area Investment Justification report files to <http://www.grants.gov> no later than **11:59 p.m. Eastern Standard Time, May 1, 2008**. Urban Areas should work in accordance with their respective State's timelines and processes identified by the SAA to ensure the Urban Area Investment Justification is submitted by the SAA to Grants.gov in compliance with the application deadline.

### **E. Additional Information**

Additional information regarding Grants.gov requirements, FY08 HSGP grant programs, funding priorities, and allowable cost information can be found in the FY08 HSGP Guidance and Application Kit.

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 IV.

# 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 Investment supports the vision of the State, Territory, or Urban Area Homeland Security Strategy and program planning activities
- 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 four 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 the applicant's State Preparedness Report and Homeland Security Strategy goals and objectives, 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 HSGP 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 HSGP 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>State/Territory name</b> Response should include the State, Territory, or Urban Area submitting the Investment	N/A
	<b>Investment Name</b>	
	<b>Investment Phase</b> Ongoing – An ongoing Investment is one that has received prior HSGP funding. New – A new Investment is one that has not received prior HSGP funding in the past.	

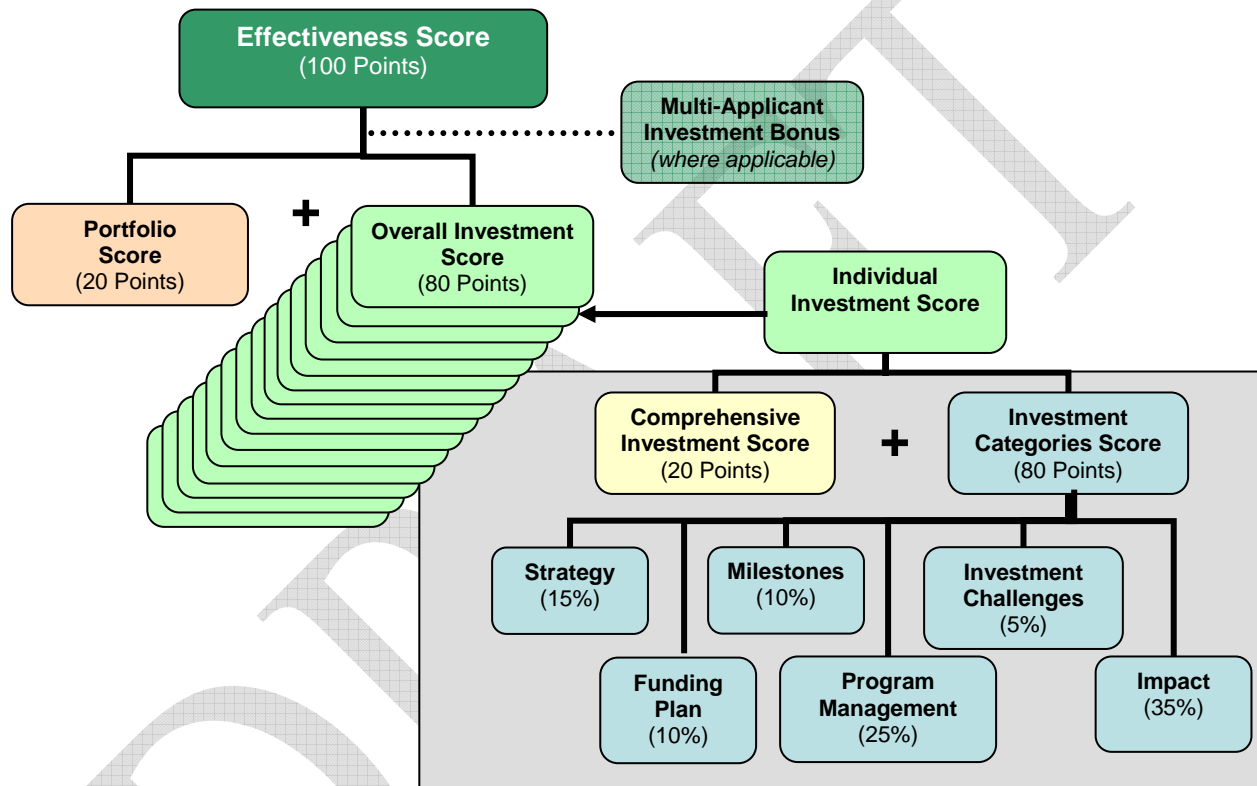
	<p><b>Is this a Multi-Applicant Investment? If yes, who is the submitting partner?</b>                  The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</p>	
<b>I. Baseline</b>	<p><b>I.A. Previous HSGP Request Name and Funding</b>                  The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</p>	N/A
	<p><b>I.B. Purpose Statement</b>                  The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</p>	
	<p><b>I.C. 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. State Preparedness Report</b></p> <ul style="list-style-type: none"> <li>• Response provides linkage between the Investment and initiatives from the State Preparedness Report</li> <li>• Response demonstrates how the Investment will contribute to reaching State Preparedness Report targets</li> </ul>	15% of Investment Categories Score
	<p><b>II.B. Homeland Security Strategy goals and objectives</b></p> <ul style="list-style-type: none"> <li>• Response provides linkage between the Investment and Homeland Security Strategy goals and objectives</li> <li>• Response demonstrates how the Investment will support the Homeland Security Strategy goals and objectives</li> </ul>	
	<p><b>II.C. Target Capabilities</b></p> <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>	
	<p><b>II.D. 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></p> <ul style="list-style-type: none"> <li>• Explanation references appropriate activities, services, or products for the solution area</li> <li>• Explanation describes how the requested HSGP funds will be used specifically towards this Investment</li> </ul>	10% of Investment Categories Score
	<p><b>III.B. Milestones</b></p> <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>	10% of Investment Categories Score
	<p><b>III.C. Project Management</b></p> <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>	25% of Investment Categories Score
	<p><b>III.D. Investment Challenges</b></p> <p>Response identifies the following:</p> <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>	5% of Investment Categories Score
<b>IV. Impact</b>	<p><b>IV.A. Impact</b></p> <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>	35% of Investment Categories Score
	<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>	
	<b>Weight Total</b>	100% of Investment Category Score

## 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 HSGP 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, including Multi-Applicant Investments, collectively support the applicant's State Preparedness Report and Homeland Security Strategy goals and objectives, 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. Additionally, all applicants that submit a Multi-Applicant Investment are eligible for up to a 5 point bonus to their anticipated effectiveness score for submitting one Multi-Applicant Investment and up to an 8 point bonus for submitting multiple Multi-Applicant Investments.

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## Part V.

# Multi-Applicant Submissions

For the FY08 HSGP submission process, States, Territories, and Urban areas may choose to submit Multi-Applicant Investments as a part of their application. States and Territories may only submit Multi-Applicant Investments with other States or Territories, while Urban Areas may only submit Multi-Applicant Investments with other Urban Areas (either with an Urban Area in the same State or with an Urban Area in another State). For the purposes of this application, Urban Areas cannot submit a Multi-Applicant Investment in partnership with the State in which they are located. Working together with other eligible FY08 HSGP applicants, States, Territories, and Urban Areas will be able to develop or enhance a capability by sharing the costs among a group of partners, strengthen and build partnerships within their region, benefit from the experience of their peers, and increase their region's overall preparedness.

The Multi-Applicant submission process for FY08 HSGP has been revised to include a Multi-Applicant planning worksheet to reduce the overall workload on applicants and help facilitate greater coordination across Multi-Applicant Investments. The Multi-Applicant planning worksheet provides space to identify each of the partners submitting a Multi-Applicant Investment and allows partners to jointly describe their Multi-Applicant Investment planning. This planning worksheet has been provided to help applicants in drafting their Multi-Applicant Investments prior to the March 1, 2008, release of the IJ Submission module in the Grants Reporting Tool (GRT).

The Multi-Applicant Task Guide in Appendix C provides further information regarding the FY08 Multi-Applicant submission process, including details of specific partner roles and responsibilities when submitting Multi-Applicant Investments. Applicants participating in a Multi-Applicant submission will need to identify one of the partners to act as the submitting partner. The Multi-Applicant Task Guide highlights certain questions that the submitting partner will include as part of their Multi-Applicant Investment on behalf of all partners. These questions were chosen because they best reflect and require group effort, and the responses to them should be drafted by all participating partners and should not be the work of only one partner. The questions listed for completion by individual partners reflect those aspects that are relevant to each Multi-Applicant partner, including the submitting partner. Please note that the submitting partner will not receive any additional bonus, nor incur any additional responsibilities, by submitting the partnership's responses as a part of their Multi-Applicant Investment.

Multi-Applicant Investments will be reviewed using the same criteria as other Investments outlined in the FY08 HSGP Scoring Criteria and Weights table. The review panel will also consider the degree to which the Multi-Applicant Investments demonstrate collaboration among partners and the overall merit of the Multi-Applicant Investments as a collective project that could not be accomplished by a single State,

Territory or Urban Area. The Multi-Applicant Investment Criteria table details how these additional criteria are applied to certain Investment questions.

Multi-Applicant Investments will be reviewed by a separate Multi-Applicant peer review panel, which may provide a bonus to each partners’ overall effectiveness score. All applicants that submit a Multi-Applicant Investment are eligible for a bonus to their effectiveness score. Applicants that submit one Multi-Applicant Investment may receive up to a 5 point bonus to their effectiveness score. Applicants that submit more than one Multi-Applicant Investments may receive up to an 8 point bonus to their effectiveness score. States, Territories, and Urban Areas may be required to fund any Multi-Applicant Investments that receive a bonus, although specific funding levels will not be mandated.

<b>Multi-Applicant Investment Criteria</b>		
<b>Section</b>	<b>Question and Criteria</b>	<b>Submitted by</b>
<b>Multi-Applicant Investment Heading</b>	<b>Investment Name</b>	Submitting partner on behalf of all partners
	<b>Investment Phase</b> <ul style="list-style-type: none"> <li>• Ongoing – An ongoing Investment is one that received HSGP funding in FY07 or before</li> <li>• New – A new Investment is one that has not received HSGP funding in the past</li> </ul>	
	<b>Submitting Partner</b> Response should include the State, Territory, or Urban Area submitting the work captured in the Multi-Applicant Alignment form on behalf of all partners	
	<b>Multi Partners</b> Listing of all partners participating in the Multi-Applicant submission, including a point of contact for the participating State, Territory, or Urban Area	
<b>I. Baseline</b>	<b>I.A. Previous HSGP Request Name and Funding</b>	Individual partner (as applicable)
	<b>I.B. Purpose Statement</b>	Submitting partner on behalf of all partners
	<b>I.C. Description</b> <ul style="list-style-type: none"> <li>• Response should describe capability gaps across all States, Territories, or Urban Areas</li> <li>• Response should explain why Multi-Applicant collaboration is needed to effectively address the capability gaps</li> </ul>	Submitting partner on behalf of all partners

<b>Multi-Applicant Investment Criteria</b>		
<b>Section</b>	<b>Question and Criteria</b>	<b>Submitted by</b>
<b>II. Strategy</b>	<b>II.A. State Preparedness Report</b>	Individual partner
	<b>II.B. Homeland Security Strategy goals and objectives</b>	Individual partner
	<b>II.C. Target Capabilities</b>	Submitting partner on behalf of all partners
	<b>II.D. National Priorities</b>	Submitting partner on behalf of all partners
<b>III. Implementation</b>	<b>III.A. Funding Plan</b> <ul style="list-style-type: none"> <li>• The amount of funds requested by each State, Territory, or Urban Area is consistent with the overall vision of the Multi-Applicant submission</li> </ul>	Individual partner
	<b>III.B. Milestones</b> <ul style="list-style-type: none"> <li>• Response includes milestones and associated activities that are conducted across States, Territories, or Urban Areas.</li> </ul>	Submitting partner on behalf of all partners
	<b>III.C. Project Management</b> <ul style="list-style-type: none"> <li>• Response describes how the partners will be organized</li> <li>• Response indicates who will have decision authority</li> </ul>	Submitting partner on behalf of all partners
	<b>III.D. Investment Challenges</b> <ul style="list-style-type: none"> <li>• Response includes challenges posed by coordinating across States, Territories, or Urban Areas, and their mitigation strategies</li> </ul>	Submitting partner on behalf of all partners
<b>IV. Impact</b>	<b>IV.A. Impact</b> <ul style="list-style-type: none"> <li>• Response describes Multi-Applicant outputs, outcomes, and measures</li> </ul>	Submitting partner on behalf of all partners
	<b>IV.B. Sustainability</b> <ul style="list-style-type: none"> <li>• Response includes a strategy for continuing Multi-Applicant collaboration, or</li> <li>• Response describes why the Multi-Applicant collaboration will not be maintained/sustained long-term</li> </ul>	Submitting partner on behalf of all partners



## Part VI.

# 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 and Multi-Applicant 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>	State/Territory name	N/A
	Urban Area name (if applicable)	N/A
	Investment Name	100 characters
	Total FY08 HSGP funding requested	N/A
	Investment Phase – Ongoing or New	N/A
	Is this a Multi-Applicant Investment? If so, with which States?	100 characters
<b>I. Baseline</b>	I.A. Previous HSGP Request Name and Funding	100 characters
	I.B. Purpose Statement	1,000 characters
	I.C. Description	2,500 characters
<b>II. Strategy</b>	II.A. State Preparedness Report	Part of 15,000 character overall limit
	II.B. Homeland Security Strategy goals and objectives	Part of 15,000 character overall limit
	II.C. Target Capabilities	500 characters
	II.D. 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 Investment Justification will be scored in the peer review process. All other information (e.g., State Preparedness Report, Homeland Security Strategy goals and objectives) 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
- ✓ States and Urban Areas are strongly encouraged to coordinate with each other to present an application that represents a collaborative, integrated approach, and to avoid duplication of efforts. MMRS Steering Committees and Citizen Corps Councils should be involved in the development of MMRS and CCP Investments.
- ✓ Applicants are strongly encouraged to begin development of their Investment Justifications in the provided Investment and Multi-Applicant planning worksheets prior to the IJ Submission module March 1, 2008, release date in order to draft their responses and take advantage of the word count and spell check functionalities. All responses completed in these planning worksheets must then be transferred to the applicant's Investments in the IJ Submission module.
- ✓ For the FY08 HSGP, applicants have the option of including attachments, such as organizational charts, with their Investment Justification application. Attachments supporting this application must be submitted as separate files when submitting the final Investment Justification report through <http://www.grants.gov>.
- ✓ Additional information about using the IJ Submission module will be provided in a user's technical guide, which will be available March 1, 2008 at <https://www.reporting.odp.dhs.gov/>.

## 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 in the GRT IJ Submission module. Although the IJ Submission module will not be available until March 1, 2008, applicants may use the planning worksheet to begin the compilation process. Further information about compiling the Investment Justification in the GRT will be provided in a technical user's guide available March 1, 2008.

### 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 State/Territory/Urban Area submission.

**Overall Investment Justification Question:** *Describe your understanding of the spectrum of terrorism and natural hazards risks your State/Territory/Urban Area faces. Explain how this understanding influenced development of this Investment Justification. States applying for HSGP funding must also include a description of how they plan to allocate the grant funds to local units of government within 45 days of award. (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 your State/Territory/Urban Area faces; 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>• The applicant’s assessment of natural hazard risk (refer to the Emergency Management Performance Grant (EMPG) Work Plan)</li> <li>• State/local risk assessments and analyses</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 State/Territory/Urban Area 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

**In the response, please:**

- |   |  |
|---|--|
| ✓ | Describe the M&A costs your State/Territory/Urban Area 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:
- HSGP FY08 Guidance and Application Kit
  - GMO Financial Management Guide

## 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 HSGP 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 State/Territory/Urban Area submission.

**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**

#### ***Investment Heading:***

- *State/Territory name and submission source*
- *Investment name*
- *Investment Phase – Ongoing or New*
- *Is this a Multi-Applicant Investment?*
  - *If yes, who is the submitting partner?*

#### **Objectives:**

- To identify the applicant and the Investment
- To provide context on the status and phase of the Investment
- To identify if this is an ongoing or new Investment
- To identify if this is part of a Multi-Applicant Investment and who is the submitting partner

#### **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 a State/Territory name from the drop-down  |
| ✓ | Identify an Urban Area name from the drop-down or select State Submission   |
| ✓ | Provide the Investment Name (100 char. max)   |
| ✓ | Identify whether this is an ongoing or new Investment <ul style="list-style-type: none"> <li>• If this Investment has received HSGP funding in the past, select Ongoing</li> <li>• If this Investment has never received HSGP funded, select New</li> </ul> |

<b>Response Checklist</b>	
<b>In the response, please:</b>	
✓	<p>Identify if this is a Multi-Applicant Investment</p> <ul style="list-style-type: none"> <li>• For the FY08 HSGP process, States and Territories may only submit Multi-Applicant Investments with other States and Territories, while Urban Areas may only submit Multi-Applicant Investments with other Urban Areas</li> <li>• Urban Areas cannot submit a Multi-Applicant Investment in partnership with the State in which they are located</li> <li>• If this is not a Multi-Applicant Investment, select “No” and leave the next field blank</li> <li>• If this is a Multi-Applicant Investment, and you are the submitting partner, select “Yes”</li> </ul>
✓	<p>Identify the partner that will be submitting the Multi-Applicant Investment</p> <ul style="list-style-type: none"> <li>• Select the State, Territory, or Urban Area that will be submitting the Multi-Applicant Investment</li> </ul>

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

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

***I.A. Baseline – Previous HSGP Request Name and Funding:*** *If the Investment was included in a previous HSGP request, please provide the name of the Investment and the total amount of HSGP funding that was dedicated to this Investment, if any. (100 char. max for Investment Name)*

**Objectives:**

- To identify whether the Investment was included in FY06 and/or FY07 HSGP Investment Justifications
- To determine whether the Investment was funded using FY06 and/or FY07 HSGP funds, and if so, for how much

**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:**

- |   |  |
|---|--|
| ✓ | Provide the Investment name from the FY06 and/or FY07 HSGP request (if applicable) <ul style="list-style-type: none"> <li>• If this Investment was included in the FY06 and/or FY07 HSGP Investment Justification submission, provide the Investment name from the FY06 and/or FY07 request</li> <li>• If the Investment was not part of the FY06 and/or FY07 HSGP request, enter N/A</li> </ul>                                 |
| ✓ | Provide the total amount of FY06 and/or FY07 HSGP funding that this Investment received (if applicable) <ul style="list-style-type: none"> <li>• If this Investment was not funded using FY06 and/or FY07 HSGP funds, enter zero in the FY06 and/or FY07 HSGP funding field</li> <li>• If this Investment was funded using FY06 and/or FY07 HSGP funds, enter the total amount of funding <b>used</b> (not requested)</li> </ul> |

**Multi-Applicant Investment**

- |   |   |
|---|---|
| ✓ | All partners must complete this question in their individual Multi-Applicant Investment |
|---|---|

***I.B. 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

<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 goal of the Investment
✓	Identify the key activities of the Investment
✓	If this is a Multi-Applicant Investment, responses to this question must be limited to the Multi-Applicant Investment

<b>Multi-Applicant Investment</b>	
✓	The response to this question should be included in the submitting partner's Multi-Applicant Investment only

**I.C. 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 HSGP 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 FY08 HSGP period of performance

<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>	
✓	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 HSGP period of performance</li> </ul>
✓	Discuss Investment objectives expected to be accomplished over the FY08 HSGP period of performance

<b>Response Checklist</b>	
<b>In the response, please:</b>	
✓	<p>Include all accomplishments and outcomes to date (only relevant for ongoing Investments)</p> <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 HSGP 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>
✓	<p>Identify the capability gap that this Investment is intended to address</p>

<b>Multi-Applicant Investment</b>	
✓	<p>Multi-Applicant Investments should also include:</p> <ul style="list-style-type: none"> <li>• Reasons why Multi-Applicant collaboration is necessary and provides greater benefits than each partner investing individually</li> <li>• How the States', Territories', or Urban Areas' capability gaps are relevant to each other and how the Multi-Applicant collaboration will effectively close these capability gaps</li> </ul>
✓	<p>The response to this question should be included in the submitting partner's Multi-Applicant Investment only</p>

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

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

**II.A. Strategy – State Preparedness Report:** Explain how this Investment supports initiatives in the State Preparedness Report. Please reference relevant page numbers in the State Preparedness Report. (Part of overall Investment 15,000 char. max)

**Objectives:**

- To verify that the Investment contributes to the overall homeland security program by supporting Initiatives from the State Preparedness Report

Scoring Criteria	
	<ul style="list-style-type: none"> <li>• Response provides linkage between the Investment and initiatives from the State Preparedness Report</li> <li>• Response demonstrates how the Investment will contribute to reaching State Preparedness Report targets</li> </ul>

Response Checklist	
<b>In the response, please:</b>	
✓	Reference relevant initiatives in the State Preparedness Report
✓	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> <li>• Urban Area Investments should relate to targets in the State Preparedness Report</li> </ul>

Multi-Applicant Investment	
✓	All partners must complete this question in their individual Multi-Applicant Investment

★ Helpful Hints ★	
An update to the State Preparedness Report is required for the FY08 HSGP application process	

**II.B. Strategy – Homeland Security Strategy goals and objectives:** Explain how this Investment supports the State/Territory/Urban Area Homeland Security Strategy goals and objectives. Please reference relevant goal and objective numbers in the State/Territory/Urban Area Homeland Security Strategy. (Part of overall Investment 15,000 char. max)

**Objectives:**

- To verify that the Investment supports the State/Territory/Urban Area Homeland Security Strategy goals and objectives, and therefore the overall homeland security program

<b>Scoring Criteria</b>	
	<ul style="list-style-type: none"> <li>• Response relates the Investment to Homeland Security Strategy goals and objectives</li> <li>• Response demonstrates how the Investment will support the Homeland Security Strategy goals and objectives</li> </ul>

<b>Response Checklist</b>	
In the response, please:	
✓	Reference relevant goal and objective numbers in the State/Territory/Urban Area Homeland Security Strategy
✓	Identify relevant State/Territory/Urban Area Homeland Security Strategy goals and objectives <ul style="list-style-type: none"> <li>• The most recent Homeland Security Strategy goals and objectives that have been submitted through the Grants Reporting Tool (GRT) as of the FY08 HSGP application submission deadline will be used in the FY08 HSGP review</li> </ul>
✓	Explain the ways in which the Investment supports these Strategy goals and objectives <ul style="list-style-type: none"> <li>• The explanation should show direct linkage between the Investment and the State/Territory/Urban Area Homeland Security Strategy goals and objectives discussed</li> </ul>

<b>Multi-Applicant Investment</b>	
✓	All partners must complete this question in their individual Multi-Applicant Investment

**II.C. 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>Multi-Applicant Investment</b>	
✓	The response to this question should be included in the submitting partner's Multi-Applicant Investment only

<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.C</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.D. 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>

<b>Multi-Applicant Investment</b>	
✓	The response to this question should be included in the submitting partner's Multi-Applicant Investment only

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

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

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

- For each solution area that has an associated FY08 HSGP 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 HSGP funds will be used specifically towards this Investment</li> </ul>

Response Checklist	
<b>In the response, please:</b>	
✓	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 HSGP funding sources, in the table, provide the name of the funding source; if more than three non-HSGP 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>



<b>Response Checklist</b>	
<b>In the response, please:</b>	
✓	<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>

<b>Multi-Applicant Investment</b>	
✓	Multi-Applicant Investment funding plans should be consistent with those of the other States, Territories, or Urban Areas involved. States, Territories, and Urban Areas submitting a Multi-Applicant Investment are only responsible for including planned expenditures associated with their part of the overall Multi-Applicant submission
✓	All partners must complete this question in their individual Multi-Applicant Investment

**III.B. Milestones:** Provide descriptions for up to 10 milestones and the associated key activities that lead to the milestone event over the FY08 HSGP 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 HSGP 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 HSGP 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.C)</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 HSGP grant award date, and milestones should not extend past the end of the FY08 HSGP period of performance (36-months from award date)</li> </ul>

<b>Multi-Applicant Investment</b>	
✓	<p>Multi-Applicant responses should include milestones and associated activities that are conducted across States, Territories, or Urban Areas. Special attention should be paid to any milestones specific to a State's, Territory's, or Urban Area's implementation of the Multi-Applicant Investment</p>
✓	<p>The response to this question should be included in the submitting partner's Multi-Applicant Investment only</p>

<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>

**Multi-Applicant Investment**

<b>Multi-Applicant Investment</b>	
✓	Multi-Applicant Investments should describe how partners will be organized, and indicate who will have decision authority
✓	The response to this question should be included in the submitting partner's Multi-Applicant Investment only

**III.D. Investment Challenges:** List and describe up to three potential challenges to effective implementation of this Investment over the entire FY08 HSGP 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

<b>Scoring Criteria</b>
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>

<b>Response Checklist</b>
<b>In the response, please:</b>

<b>Response Checklist</b>	
<b>In the response, please:</b>	
✓	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

<b>Multi-Applicant Investment</b>	
✓	Multi-Applicant responses should include challenges posed by coordinating across States, Territories, or Urban Areas and their mitigation strategies as well as general challenges
✓	The response to this question should be included in the submitting partner's Multi-Applicant Investment only

<b>★ Helpful Hint ★</b>	
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 HSGP 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 HSGP period of performance as well as those expected at the conclusion of the FY08 HSGP period of performance</li> </ul>
✓	Identify measurable <u>outputs</u> that lead to the outcomes described
✓	Describe how these outcomes will mitigate the risks that were outlined in the Overall Investment Justification question

<b>Multi-Applicant Investment</b>	
✓	Multi-Applicant responses should include outputs and outcomes that are consistent across all States, Territories, or Urban Areas
✓	The response to this question should be included in the submitting partner’s Multi-Applicant Investment only

## ★ 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 HSGP period of performance



<b>Scoring Criteria</b>	
	<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>

<b>Response Checklist</b>	
<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>

<b>Multi-Applicant Investment</b>	
✓	Multi-Applicant responses should include a strategy for continuing Multi-Applicant collaboration
✓	The response to this question should be included in the submitting partner's Multi-Applicant Investment only

<b>★ Helpful Hints ★</b>	
	<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.C 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**

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## D. Additional References

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

- <http://www.fema.gov/grants>
- Investment Planning Technical Assistance, which provides guidance on efficiently managing limited resources in order to achieve homeland security goals, developing a proactive approach to planning for the prioritization and implementation of investments, and preparing for potential obstacles in executing an Investment that could negatively impact its chances for success
- Program Management Technical Assistance, which provides guidance on how to better manage multiple homeland security related initiatives and programs, assess and evaluate programs in the context of the National Preparedness Guidelines, and enhance existing State and Urban Area Homeland Security Strategies and State Preparedness Reports

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## Part VII.

# Technical Guidance

### A. IJ Submission Module

The FY08 Homeland Security Grant Program (HSGP) Investment Justification will be compiled via the Grants Reporting Tool, FEMA's web-based grants system. Per user feedback concerning technical issues with the Excel-based Investment Justification of years past, the online Investment Justification for FY08 will provide applicants greater flexibility and ease of use. Additionally, users will find the new format to be user-friendly. One major benefit of the online format is that individual Investments may now be completed by several users at the same time. Users will compile their Investment Justification through the GRT and submit a final copy to FEMA through <http://www.grants.gov> to meet application requirements.

**Grants Reporting Tool**

Welcome to the National Preparedness Directorate's Grants Reporting Tool

User

Password

If you need to register for an account please [click here](#). For technical assistance, please call: 1-877-612-4357 (toll-free) or e-mail: [GRT Support](#).

**WARNING** - This system is for the use of authorized users only. Individuals using this computer system without authority, or in excess of their authority, are subject to having all of their activities on this system monitored and recorded by system personnel. In the course of monitoring individuals improperly using this system, or in the course of system maintenance, the activities of authorized users may also be monitored. Anyone using this system expressly consents to such monitoring and is advised that if such monitoring reveals possible evidence of criminal activity, system personnel may provide the evidence of such monitoring to law enforcement officials.

*Figure 1 – Grants Reporting Tool Home Page*

Beginning on March 1, 2008, users may log into the GRT to begin the compilation of their Investment Justification. In order to start, State and local users must have active GRT accounts and permission from their SAA Admin to edit and compile the Investment Justification. SAA Admin users are asked to grant permissions to all State and local users that need applicable access to the IJ Submission module. If you are an SAA responsible for the compilation and submission of your Investment Justification and do not have a GRT account, please contact your Preparedness Officer. Once access has been granted, users may enter the IJ Submission module, via the GRT, and complete their Investment Justification.

The purpose of this module is to provide users with the ability to compile their FY08 Investment Justification without the use of an Excel template. Planning worksheets have been provided to users in the meantime so that they may begin drafting their Investment information prior to compiling them in the IJ Submission module. Users can create up to 15 Investments and will have the opportunity to designate one or more of those Investments as Multi-Applicant Investments (based on a submitting partner).

To complete the submission process, an official copy of the Investment Justification must be submitted through grants.gov. This official copy will be available through the GRT as an Investment Justification report.

A GRT IJ Submission technical user's guide will be provided to applicable users by March 1, 2008. For programmatic questions, please refer to the HSGP Guidance and Application or speak to your Preparedness Officer.

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## Appendix A. Definitions

<b>Definitions</b>	
Term	Definition
FY08 HSGP 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 HSGP funding, at the operational level, towards the achievement of one or more 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 HSGP grant application by which the States, Territories, and Urban Areas request FY08 HSGP funding. The Investment Justification is composed of descriptions of up to 15 Investments as well as the overall risk context and the State/Territory/Urban Area profile, to facilitate effective management of the homeland security program and to meet strategic goals and objectives
Investment planning worksheet	A worksheet FY08 HSGP applicants can use to aid in the development of their FY08 HSGP Investments. All Investments developed using this worksheet must be transferred into the GRT IJ Submission module.
Milestone	A significant point or event in the Investment
Multi-Applicant planning worksheet	A worksheet FY08 HSGP applicants can use to identify each of the participating partners submitting a Multi-Applicant Investment and describe the participating partners' overall plans and goals. The submitting partner will submit the collective participating partners' responses from this worksheet as a part of their Multi-Applicant Investment on behalf of all partners. All Investments developed using this worksheet must be transferred into the GRT IJ Submission module.

<b>Definitions</b>	
<b>Term</b>	<b>Definition</b>
Multi-Applicant Investment	A Multi-Applicant Investment represents a shared interest between two or more States or Territories, or two or more Urban Areas. For the purposes of this justification, Urban Areas cannot submit a Multi-Applicant Investment in partnership with the State in which they are located.
New Investment	A new Investment is an Investment that has not previously received funding from any funding source
Objective	A purpose to be achieved, a result to be obtained, a product to be produced, or a service to be performed by the Investment
Ongoing Investment	An ongoing Investment is an Investment that has previously received funding from any funding source
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).
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	As identified in the State or Urban Area Homeland Security Strategies, a strategic goal is a target that the State or Urban Area wants to achieve regarding an improved level of capability. These goals will help the State or Urban Area achieve its vision, focus on the long-term, and increase its preparedness
Strategic Objective	As identified in the State or Urban Area Homeland Security Strategies, 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

<b>Definitions</b>	
<b>Term</b>	<b>Definition</b>
Three-Year Targets	Discrete outcomes that the State would like to achieve 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

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## Appendix B. ACRONYMS

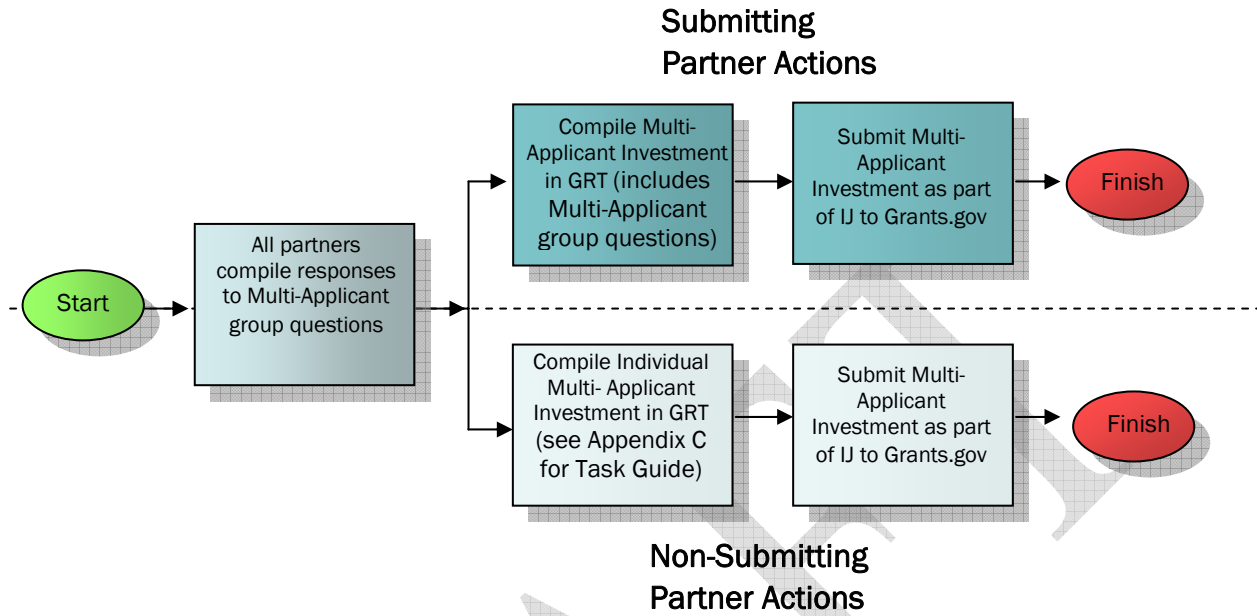
<b>Acronyms</b>	
Acronym	Definition
CBRNE	Chemical, biological, radiological, nuclear, and explosive
CCP	Citizen Corps Program
CSID	Centralized Scheduling and Information Desk
DHS	U.S. Department of Homeland Security
EMPG	Emergency Management Performance Grant
EOC	Emergency operations center
FEMA	Federal 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 C. MULTI-APPLICANT PROCESS SUMMARY

Multi-Applicant Submission Task Guide			
Section	Question	Completed By	
		Submitting partner on behalf of all partners	Each individual partner
<b>Multi-Applicant Investment Heading</b>	<b>Investment Name</b>	✓	
	<b>Investment Phase</b>	✓	
	<b>Submitting Partner</b>	✓	
	<b>Multi Partners</b>	✓	
<b>I. Baseline</b>	<b>I.A. Previous HSGP Request Name and Funding</b>	✓*	✓
	<b>I.B. Purpose Statement</b>	✓	
	<b>I.C. Description</b>	✓	
<b>II. Strategy</b>	<b>II.A. State Preparedness Report</b>	✓*	✓
	<b>II.B. Homeland Security Strategy goals and objectives</b>	✓*	✓
	<b>II.C. Target Capabilities</b>	✓	
	<b>II.D. National Priorities</b>	✓	
<b>III. Implementation</b>	<b>III.A. Funding Plan</b>	✓*	✓
	<b>III.B. Milestones</b>	✓	
	<b>III.C. Project Management</b>	✓	
	<b>III.D. Investment Challenges</b>	✓	
<b>IV. Impact</b>	<b>IV.A. Impact</b>	✓	
	<b>IV.B. Sustainability</b>	✓	

\* Denotes the submitting partner's individual contribution

# FY08 Multi-Applicant Submission Process



## 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>