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## Foreword

In July 2002 the President approved the *National Strategy for Homeland Security*, establishing a road map for the national effort to prevent and respond to acts of terrorism in the United States. The *National Strategy* recognizes the vital role of state and local public safety agencies in providing for the security of our homeland. In February 2003 the President signed into law the Consolidated Appropriations Resolution, 2003, Public Law 108-7 which provides state and local governments with the vital funding they require to participate in the national effort to combat terrorism. In April 2003 the Emergency Wartime Supplemental Appropriations Act, 2003 provided additional funds to expand and continue these efforts.

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

The Office for Domestic Preparedness is providing financial assistance to selected urban areas through the FY 2003 Urban Areas Security Initiative. Seven selected urban areas will be provided direct funding from the Consolidated Appropriations Resolution, 2003, and thirty selected urban areas will be provided funding through their respective States from the Emergency Wartime Supplemental Appropriations Act, 2003. The UASI Grant Programs I and II are being provided to address the unique equipment, training, planning, and exercise needs of large high threat urban areas, and program activities must involve coordination by the identified core city, core county/counties, and the respective State Administrative Agency. The funding will provide assistance to build an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism for the selected urban areas.

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

Tom Ridge  
Secretary  
Department of Homeland Security

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**UASI GRANT PROGRAM II APPLICATION**  
***\*\*Actual application must be made online through GMS***

- ❑ Standard Form 424
- ❑ Program Narrative
- ❑ Budget Narrative and Budget Detail Worksheets for Initial 25% of Funding
- ❑ Assurances
- ❑ Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- ❑ Non-supplanting Certification
- ❑ State Administrative Agency Point(s) of Contact

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## I. Background

Initial funding for the Fiscal Year (FY) 2003 Urban Areas Security Initiative (UASI) Program was authorized by the Consolidated Appropriations Resolution, 2003 and was made available by the U.S. Department of Homeland Security (DHS), through the Office for Domestic Preparedness (ODP), directly to seven selected urban areas through the FY 2003 UASI Grant Program I application.

This FY 2003 UASI Grant Program II application provides follow on funding for the UASI Program and is authorized by the Emergency Wartime Supplemental Appropriations Act, 2003. The FY 2003 UASI Grant Program II provides financial assistance to States for subsequent distribution to selected urban areas. This financial assistance is provided to address the unique equipment, training, planning, exercise and operational needs of large urban areas, and to assist them in building an enhanced and sustainable capacity to prevent, respond to, and recover from threats or acts of terrorism. States MUST ensure that the urban areas selected for funding take a regional metropolitan area approach to the development and implementation of the UASI Grant Program II and involve core cities, core counties, contiguous jurisdictions, mutual aid partners, and State agencies.

The UASI Program's intent is to create a sustainable national model program whereby urban areas can share the lessons learned and best practices with other urban areas around the nation. The Program includes an urban area assessment and strategy development component, which will be used by ODP and the Urban Area Working Group to both allocate funding and guide delivery of direct services in the form of training, exercises, and technical assistance. The assessment will support the development of an Urban Area Homeland Security Strategy, which will in turn provide a roadmap for sustainable prevention and preparedness and guide allocation of grant funds and direct services provided by ODP to the selected urban areas. The assessment must be coordinated with and developed jointly by the core city, core county/counties, the State, and any other jurisdictions designated by the core cities, counties and the State. The definition of the urban area is limited to inclusion of jurisdictions contiguous to the core city and county/counties, or with which the core city or county/counties have established formal mutual aid agreements; a core county is defined as the county within which the core city is geographically located. States may request a waiver for this limitation for regions previously established by Executive Order, law or compact. For the purposes of the UASI Grant Program II, the Washington, D.C. urban area will consist of the National Capital Region as set forth in Title 10 USC, Sec. 2674(f)(2).

Funds provided under the UASI Grant Program II will be granted directly to the States with the requirement that the state subgrant no less than 80% of its total grant award to the selected urban area(s). States may use up to 20% of the grant award to complement state assets that will provide direct assistance to the urban area in order to prevent, respond to and recover from any terrorist attack, excluding any administrative costs. Appendix A provides a list of the states and associated urban areas identified for funding under the UASI Grant Program II.

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Provision of the UASI Grant Program II funds is dependent on the submission of an assessment and strategy. ODP recognizes that the process of a large-scale urban area assessment and development of an Urban Area Homeland Security Strategy is not without cost. To this end, 25% of the total grant will be made available to the state, subject to the 80% pass through requirement, and the urban area to cover expenses associated with the assessment and strategy development, implementation of the UASI Grant Program II, and to resource immediate needs.

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

## **II. The Fiscal Year 2003 Urban Areas Security Initiative Grant Program II**

### **A. Authorized Program Purpose**

Funding for the FY 2003 UASI Grant Program II is authorized by Public Law 108–11, the Emergency Wartime Supplemental Appropriations Act, 2003. The FY 2003 UASI Grant Program II augments efforts begun with the FY 2003 UASI I Program to address the unique needs of large urban areas.

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

### **B. Program Requirements**

The State agency with overall responsibility for developing the State Homeland Security Strategy and administering ODP programs will be responsible for the administration of the UASI Grant Program II. In administering the program, the State Administrative Agency (SAA) must comply with the following requirements:

- 1. Identification of Points of Contact.** The SAA must designate a specific point(s) of contact (POC) to work with ODP on the implementation of the UASI Grant Program II. The SAA POC(s) is then responsible for working through the Mayor/Chief Executive Officer (CEO) of each urban area's core city and associated core county/counties to identify a POC for those jurisdictions. **If not already provided to ODP, this information must be provided as part of the Program Narrative in the UASI II grant application submission.**
- 2. Definition of the Urban Area.** In coordination with the urban area core city POC and the core county/counties POC(s), the SAA POC must fully define the urban area, as it will apply to the UASI Grant Program II. Specifically, the geographical borders of what constitutes the urban area—including any possible contiguous jurisdictions and mutual aid partners—must be drawn, and all participating

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jurisdictions within the border identified. The State SAA should pay careful attention to how the definition of the urban area correlates with the definition of local jurisdictions under the State Homeland Security Assessment and Strategy Development Process. In defining the urban area, the SAA POC is required to coordinate and receive input from the core city and core county/counties. The definition of the urban area is limited to inclusion of jurisdictions contiguous to the core city and county/counties, or with which the core city or county/counties have established formal mutual aid agreements; a core county is defined as the county within which the core city is geographically located. States may request a waiver for this limitation for regions previously established by Executive Order, law or compact. For the purposes of the UASI Grant Program II, the Washington, D.C. urban area will consist of the National Capital Region as set forth in Title 10 USC, Sec. 2674(f)(2). **If not already provided to ODP, this information must be provided as part of the Program Narrative in the UASI II grant application submission.**

3. **Establishment of the Urban Area Working Group.** Following definition of the urban area, the SAA POC must work through the Mayor/CEOs from all other jurisdictions within the defined urban area to identify POCs from these jurisdictions to serve on the Urban Area Working Group. The Urban Area Working Group will be responsible for coordinating development and implementation of all program elements, including the urban area assessment, strategy development, and any direct services that are delivered by ODP. **ODP strongly encourages that, wherever possible, previously established local working groups be leveraged for this purpose. If not already provided to ODP, an overview of the Urban Area Working Group structure and a list of members and their associated jurisdictions must be provided as part of the Program Narrative in the UASI II grant application submission.**
  
4. **Conduct of an Urban Area Assessment.** Urban areas receiving funding under this program must conduct a comprehensive Urban Area Assessment, which in turn will guide development of an Urban Area Homeland Security Strategy. Urban Areas may use a recently updated or completed (within the past 12 months) assessment for the purposes of USAI II, provided that it meets the requirements for a validated assessment; required elements for the Urban Area Assessment are outlined in Appendix B of this application, which will be used to validate all assessments submitted for review. If an urban area has not completed an assessment, ODP will provide technical assistance to conduct and complete an assessment. The following disciplines are critical players and must be fully represented in the assessment and strategy development process: law enforcement, emergency medical services, emergency management, the fire service, hazardous materials, public works, governmental administrative, public safety communications, healthcare and public health.

***ODP is currently working with the states to coordinate a thorough Threats/Vulnerabilities/Needs/Capabilities Assessment and development of a State Homeland Security Strategy for Fiscal Year 2004 funds. The jurisdictional tool developed for this process should also be used by the***

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***UASI Grant Program II participants.***

Each SAA POC will be contacted by an ODP program manager to coordinate the submission and/or scheduling of the urban area assessment. If there is an existing assessment, the urban area can submit that assessment directly to the SAA POC, who, upon review, will forward it to ODP. If the urban area would like technical assistance in conducting the assessment the ODP program manager will make those arrangements.

***Note: Receipt of all remaining funds is contingent upon submission of a validated Urban Area Assessment and a validated Urban Area Homeland Security Strategy. ALL URBAN AREA ASSESSMENTS MUST BE COMPLETED AND SUBMITTED TO ODP NO LATER THAN SEPTEMBER 30, 2003.***

5. **Development of an Urban Area Homeland Security Strategy.** Urban areas receiving funding under this program must develop a comprehensive Urban Area Homeland Security Strategy. Urban Areas may use a recently updated or completed (within the past 12 months) strategy for the purposes of USAI II, provided that it meets the requirements for a validated strategy; required elements for the Urban Area Homeland Security Strategy are outlined in Appendix B of this application, which will be used to validate all strategies submitted for review. If an urban area has not developed a strategy, ODP will provide technical assistance to assist with its development. The following disciplines are critical players and must be fully represented in the assessment and strategy development process: law enforcement, emergency medical services, emergency management, the fire service, hazardous materials, public works, governmental administrative, public safety communications, healthcare and public health.

***ODP is currently working with the states to coordinate a thorough Threats/Vulnerabilities/Needs/Capabilities Assessment and development of a State Homeland Security Strategy for Fiscal Year 2004 funds. The jurisdictional tool developed for this process should be used by the UASI Grant Program II participants.***

Each SAA POC will be contacted by an ODP program manager to coordinate the submission and/or scheduling of the Urban Area Homeland Security Strategy. If there is an existing strategy, the urban area can submit that strategy directly to the SAA POC, who, upon review, will forward it to ODP. If the urban area would like technical assistance with developing the strategy the ODP program manager will make those arrangements.

***Note: Receipt of all remaining funds is contingent upon submission of a validated Urban Area Assessment and a validated Urban Area Homeland Security Strategy. ALL URBAN AREA HOMELAND SECURITY STRATEGIES MUST BE COMPLETED AND SUBMITTED TO ODP NO LATER THAN OCTOBER 31, 2003.***

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- 6. Allocation of Funds.** The SAA POC, in coordination with the Urban Area Working Group, must develop a methodology for allocating initial funding (up to 25% of the total award amount) available through the UASI Grant Program II to support the assessment and strategy development process and to resource immediate needs. **This information must be provided as part of the Budget Narrative in the UASI II grant application submission; supporting Budget Detail Worksheets identifying specific use of funds must also be provided as part of the application submission; at a minimum, the core city and core county/counties must provide written concurrence on the SAA's methodology for the initial allocation of funds (up to 25%) provided through the UASI Grant Program II. If written concurrence is not provided by the July 7, 2003 application deadline these funds will not be released.**

Allocation of all remaining of funds available through the UASI Grant Program II must be made based on the validated Urban Area Homeland Security Strategy. **Budget Detail Worksheets providing a spending plan for the allocation of all remaining funds under the grant must be submitted to ODP by the SAA POC not later than November 30, 2003. The core city and core county/counties must provide written concurrence on this spending plan prior to submission to ODP. If written concurrence is not provided these funds will not be released.**

- 7. Compliance with the National Incident Management System.** Pursuant to the Homeland Security Act of 2002, the Secretary of Homeland Security is the principal federal official for domestic incident management. Consequently, and according to the Homeland Security Presidential Directive/HSPD-5, the Secretary shall develop and administer a National Incident Management System, (NIMS). This system will provide a consistent nationwide approach for Federal, State, and local governments to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, and local capabilities, the NIMS will include a core set of concepts, principles, terminology, and technologies covering the incident command system; multi-agency coordination systems; unified command; training; identification and management of resources (including systems for classifying types of resources); qualifications and certification; and the collection, tracking, and reporting of incident information and incident resources.

As mandated by HSPD-5, beginning in FY 2005, adoption of the NIMS will be a requirement for receipt of grant funds from ODP. As such, ODP encourages urban areas receiving funding under the UASI Grant Program II to begin utilizing NIMS concepts, principles, terminology, and technologies as they are made available by DHS. Additionally, if jurisdictions and agencies within the defined urban area are not already using the incident command system (ICS) as taught by ODP or the National Fire Academy, grantees and sub-grantees should institutionalize the use of ICS across their entire response system by the end of the two-year performance period.



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FY 2003 UASI Grant Program II grantees will be able to initially receive up to 25% of their allocation of funds. States are required to pass through at least 80% of this amount within 45 days of release of funds by DHS to the identified urban area for the conduct of an urban area assessment, development of a strategy, management and administration of the program, and to resource immediate needs. Award of this initial funding is contingent upon submission and approval of the State's online application for funding under the FY 2003 Urban Areas Security Initiative II, including associated program narrative and budget narrative and budget detail worksheets supporting the expenditure of funds. The initial funds are available immediately upon grant award.

Receipt of all remaining funds is contingent upon: 1) submission and approval of an Urban Area Assessment, which includes threats, vulnerabilities, needs and capabilities, and has involvement from all jurisdictions within the defined urban area, mutual aid partners, and the SAA; 2) submission and approval of an Urban Area Homeland Security Strategy articulating a strategic vision for building and sustaining an enhanced level of prevention preparedness and response capacity, and which has been coordinated with all jurisdictions within the defined urban area, mutual aid partners; and the SAA ; 3) submission and approval of budget detail worksheets providing a spending plan for all remaining funds; **the core city and core county/counties must provide written concurrence on the spending plan for all remaining funds prior to submission of budget detail worksheets to ODP. If written concurrence is not provided these funds will not be released.**

**Applications for funding under this program must be submitted by July 7, 2003, or within 30 days of June 6, 2003, the date the solicitation is being posted in OJP's web-based Grants Management System (GMS).**

**C. Authorized Program Expenditures (Detailed in Appendix C)**

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

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1) personal protective equipment (PPE); 2) explosive device mitigation and remediation equipment; 3) CBRNE search and rescue equipment; 4) interoperable communications equipment; 5) detection equipment; 6) decontamination equipment; 7) physical security enhancement equipment; 8) terrorism incident prevention equipment; 9) CBRNE logistical support equipment; 10) CBRNE incident response vehicles; 11) medical supplies and limited types of pharmaceuticals; and, 12) CBRNE reference materials. ***These funds may also be used for sustainment of prevention and response equipment that would be used in a jurisdiction's response to a terrorist threat or event. This would include repair and replacement parts, equipment warranties and maintenance contracts for equipment purchased under any ODP grant.***

This equipment may be used by the urban areas to enhance capabilities in the areas of law enforcement, emergency medical services, emergency management, the fire service, hazardous materials, public works, governmental administrative, public safety communications, healthcare and public health at the local levels of government in accordance with the goals and objectives identified in their jurisdictional assessment. Other allowable uses of funds include measures associated with target hardening and critical infrastructure security. Grant funds may also be used to share critical information such as 1) systems to disseminate and safeguard threat information, and 2) alert notification systems. Sustainment, maintenance, and training in the use of equipment procured using these grant funds should be addressed in the Urban Area Homeland Security Strategy.

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

The target audience for training courses funded through the FY 2003 UASI Grant Program II must be emergency responders, emergency managers and public/elected officials within the following disciplines: firefighters, law enforcement, emergency management, emergency medical services, hazardous materials, public works, public health, health care, public safety communications, governmental administrative and private security guards. ***We encourage urban areas to adopt current ODP training programs and aggressively provide awareness training to area emergency responders.***

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- 4. Exercises:** Funds to be used for exercises may be used to plan for, design, develop, conduct, and evaluate exercises that train emergency responders and assess the readiness of urban areas to prevent and respond to a terrorist attack. Exercises must be threat- and performance-based, in accordance with ODP's Homeland Security Exercise and Evaluation Program (HSEEP) manuals. These manuals will provide explicit direction on the design, conduct, and evaluation of terrorism exercises. Exercises conducted with ODP support (grant funds or direct support) must be managed and executed in accordance with the HSEEP.

ODP will work with urban area partners to build a tailored exercise program. The urban areas should consider using a portion of the grant funds to convene a multi-disciplinary, multi-jurisdictional exercise-planning workshop. The urban area partners should also work together to establish a sustained, multi-jurisdictional cycle of exercise activities as part of the overall Urban Area Homeland Security Strategy.

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

If an urban area anticipates participating in future national-level exercises or activities, such as the Top Officials (TOPOFF) national exercise series, or has planned National Security Special Events (NSSE) for which exercises and other preparatory activities may be required, it should factor these costs into its Urban Area Homeland Security Strategy and budget funds accordingly.

- 5. Management and Administration:** Up to 3% of the grant award may be used by local governments for administrative costs to pay for activities associated with the implementation of the overall UASI Grant Program II, including: 1) hiring of full or part-time staff or contractors/consultants to assist with the collection of the assessment data; 2) travel expenses; 3) meeting-related expenses; 4) conducting local program implementation meetings; 5) hiring of full or part-time staff or contractors/consultants to assist with the implementation and administration of the jurisdictional assessment; and, 6) the acquisition of authorized office equipment. (Note: Authorized office equipment includes personal computers, laptop computers, printers, LCD projectors and other equipment or software which may be required to support implementation of the jurisdiction assessment. For a complete list of allowable meeting-related expenses, please review the OJP Office of the Comptroller (OC) Financial Guide at: <http://www.ojp.usdoj.gov/FinGuide>.) States **MAY NOT** use funds under this

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Program for administrative costs, but may use FY 2003 State Homeland Security Grant Program I (SHSGP I) funds and FY2003 SHSGP II funds to cover such costs.

6. **Operational Activities:** Grantees and subgrantees may use up to 25% of the gross amount of their award to reimburse for operational expenses, including overtime costs for personnel and costs associated with increased security measures at critical infrastructure sites, incurred during the ORANGE threat alert level beginning on February 7, 2003 and ending on February 27, 2003, beginning again on March 17, 2003 and ending on April 16, 2003, and beginning again on May 20, 2003 and ending on May 30, 2003. Reimbursement is available only for costs incurred during these time periods.

States and local governments should generally consider critical infrastructure to include any system or asset that if attacked would result in catastrophic loss of life and/or catastrophic economic loss. In addition, protection for the following specific types of facilities should also be considered:

- Public water systems serving large population centers
- Primary data storage and processing facilities, major stock exchanges and major banking centers
- Chemical facilities located in close proximity to large population centers
- Major power generation facilities that exceed 2000MW and if successfully attacked would disrupt the regional electric grid
- Hydroelectric facilities and dams that produce power in excess of 2000MW or could result in catastrophic loss of life if breached
- Nuclear Power plants
- Electric substations 500KV or larger, and substations 345KV or larger that are part of a critical system supporting populations in excess of one million people
- Rail and highway bridges over major waterways that, if destroyed, would cause catastrophic economic loss
- Major highway tunnels under waterways that if attacked would cause catastrophic loss of life or catastrophic economic impact
- Major natural gas transmission pipelines
- Natural Gas and liquid Natural Gas Storage (LNG) facilities
- Major petroleum handling facilities such as pipelines, ports, refineries and

terminals

- Major mass transit subway systems and the supporting ventilation systems

**D. Unauthorized Program Expenditures**

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

**III. Eligible Applicants and Funding Availability**

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

FY 2003 UASI Grant Program II funding will be provided through the states to the following urban areas:

FISCAL YEAR 2003 URBAN AREAS SECURITY INITIATIVE II  
PROGRAM FUNDING ALLOCATIONS

<u>STATE/CORE CITY/CORE COUNTY*</u>	<u>GRANT AWARD TOTAL</u>	<u>URBAN AREA PASS THROUGH REQUIREMENT</u>
<b>New York</b>	\$135,266,607	
• New York City		At least 80% of \$125,000,000
• Buffalo/ Erie County		At least 80% of \$10,266,607
<b>National Capital Region</b>	\$ 42,409,851	N/A
<b>Illinois</b>	\$ 29,975,733	
• Chicago/ Cook County		At least 80% of \$29,975,733
<b>Texas</b>	\$ 34,165,283	
• Houston/ Harris County, Fort Bend County, Montgomery County		At least 80% of \$23,766,700

<ul style="list-style-type: none"> <li>Dallas/ Dallas County, Denton County, Rockwell County, Kaufman County, Collin County</li> </ul>		At least 80% of \$10,398,583
<b>California</b>	\$ 62,202,490	
<ul style="list-style-type: none"> <li>Los Angeles/ LA County</li> </ul>		At least 80% of \$18,874,838
<ul style="list-style-type: none"> <li>San Francisco/ San Francisco County</li> </ul>		At least 80% of \$18,587,312
<ul style="list-style-type: none"> <li>San Diego/ San Diego County</li> </ul>		At least 80% of \$11,359,682
<ul style="list-style-type: none"> <li>Sacramento/ Sacramento County</li> </ul>		At least 80% of \$6,912,795
<ul style="list-style-type: none"> <li>Long Beach/ LA County</li> </ul>		At least 80% of \$6,467,863
<b>Washington</b>	\$ 18,186,668	
<ul style="list-style-type: none"> <li>Seattle/ King County</li> </ul>		At least 80% of \$18,186,668
<b>Massachusetts</b>	\$ 16,727,125	
<ul style="list-style-type: none"> <li>Boston/ Suffolk County</li> </ul>		At least 80% of \$16,727,125
<b>Colorado</b>	\$ 15,568,474	
<ul style="list-style-type: none"> <li>Denver/ Denver County</li> </ul>		At least 80% of \$15,568,474
<b>Pennsylvania</b>	\$ 21,038,924	
<ul style="list-style-type: none"> <li>Philadelphia/ Philadelphia County PA,</li> </ul>		At least 80% of \$14,215,223
<ul style="list-style-type: none"> <li>Pittsburgh/ Alleghany County</li> </ul>		At least 80% of \$6,823,701
<b>Missouri</b>	\$ 19,548,603	
<ul style="list-style-type: none"> <li>St. Louis/ St. Louis County</li> </ul>		At least 80% of \$9,850,142
<ul style="list-style-type: none"> <li>Kansas City/ Clay, Jackson, Platte, and Cass County</li> </ul>		At least 80% of \$9,698,461
<b>Florida</b>	\$18,959,558	
<ul style="list-style-type: none"> <li>Miami/ Miami-Dade County</li> </ul>		At least 80% of \$13,184,569

• Tampa/ Hillsborough County		At least 80% of \$5,774,989
<b>Ohio</b>	\$13,859,426	
• Cincinnati/ Hamilton County		At least 80% of \$7,991,055
• Cleveland/ Cuyahoga County		At least 80% of \$5,868,371
<b>Michigan</b>	\$ 12,272,550	
• Detroit/ Wayne County		At least 80% of \$12,272,550
<b>New Jersey</b>	\$ 11,892,942	
• Newark / Essex County		At least 80% of \$11,892,942
<b>Arizona</b>	\$ 11,033,467	
• Phoenix/ Maricopa County		At least 80% of \$11,033,467
<b>Maryland</b>	\$ 10,900,944	
• Baltimore/ Anne-Arundel, Baltimore County		At least 80% of \$10,900,944
<b>Hawaii</b>	\$ 6,870,891	
• Honolulu/ Honolulu County		At least 80% of \$6,870,891
<b>Oregon</b>	\$ 6,766,108	
• Portland/ Washington, Multnomah, and Clackamas County		At least 80% of \$6,766,108
<b>Louisiana</b>	\$ 6,282,661	
• New Orleans/ Orleans Parish		At least 80% of \$6,282,661
<b>Tennessee</b>	\$ 6,071,695	
• Memphis/ Shelby County		At least 80% of \$6,071,695

\* As defined by NACo

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## IV. Application Guidance

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

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

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

*Note: To assist grantees with equipment purchases, ODP has established a number of support programs. These include: 1) the ODP Help Line; 2) the Equipment Purchase Assistance Program; and, 3) the Domestic Preparedness Equipment Technical Assistance Program (DPETAP). The ODP Help Line (1-800-368-6498) provides grantees with answers to non-emergency equipment questions. Likewise, the Equipment Purchase Assistance Program provides ODP grantees with access to GSA prime vendors through memoranda of agreement with the Defense Logistics Agency and the Marine Corps Systems Command. Finally, the DPETAP program provides on-site training in the use and maintenance of specialized response equipment. Additional information on each of these programs can be found on the ODP web site located at: <http://www.ojp.usdoj.gov/odp>*

## V. Application Requirements

**A. On-Line Application:** The on-line application must be completed and submitted by the applicant using the OJP GMS system described above. This on-line application replaces the following previously required paper forms:

- Standard Form 424, Application for Federal Assistance
- Program Narrative
- Budget Narrative
- Standard Form LLL, Disclosure of Lobbying Activities
- OJP Form 4000/3, Assurances
- OJP Form 4061/6, Certifications
- Non-Supplanting Certification

In its application package, the State must include a Program Narrative and a Budget Narrative addressing the following information:



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## Program Narrative

The Program Narrative must provide the following information:

- Name and contact information for the State POC(s) for the UASI Grant Program II
- Definition of the Urban Area, to include specific jurisdictions represented on the Urban Area Working Group
- Description of how the State plans to define jurisdictions for the State Assessment Process being conducted under the State Homeland Security Grant Program
- Discussion of how the State will address any potential conflicts between the State assessment/strategy development process and the UASI urban area assessment/strategy development process to ensure that the programs are executed in a complementary fashion.
- Names and contact information for all members of the Urban Area Working Group, as designated by the Mayor/CEOs for those jurisdictions

## Budget Narrative

The Budget Narrative must include a description of the allocation methodology for how the State intends to pass through the initial 25% of the grant funds available to support the assessment and strategy development process and to support immediate needs (at least 80% of funds must be passed through to local jurisdictions within the defined urban area within 45 days of receipt of funds from ODP)

***Applicants will also be required to provide budget detail worksheets for use of the remaining funds after submission and approval of an assessment and urban area strategy; note: the core city and core county/counties must provide written concurrence on the spending plan for use of these funds; if written concurrence is not provided by the July 7, 2003 application deadline these funds will not be released. Applicants must also provide a final budget prior to closeout of the grant. Appendix D contains additional information on this requirement.***

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

**B. Freedom of Information Act (FOIA):** ODP recognizes that much of the

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

Applicants are also encouraged to consult their own state and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. At the same time, applicants should be aware that any information created exclusively for the purpose of applying for and monitoring grants hereunder is the property of the U.S. Government, and shall not otherwise be disclosed or released pursuant to state or local law or regulation.

## **VI. Administrative Requirements**

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

### **B. Financial Requirements**

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

**2. Match Requirement:** None

**3. Assurances:** The on-line application includes a list of assurances that the applicant must comply with in order to receive federal funds under this program. It is the responsibility of the recipient of the federal funds to fully understand and

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comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. Applicants will be agreeing to these assurances when submitting an application on-line through GMS.

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

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

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

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

## VII. Reporting Requirements

The following reports are required of all program participants:

- **Financial Status Reports (Standard Form 269A):** Financial Status Reports are due within 45 days of the end of each calendar quarter. A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods where no grant activity occurs (see Appendix D). The OJP OC will provide a copy of this form in

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the initial award package. Future awards and fund drawdowns will be withheld if these reports are delinquent. The final financial report is due 120 days after the end date of the award period.

- **Program Progress Reports:** Program Progress Reports are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. ***Guidance on specific topics to be addressed is included in Appendix D.*** The OJP OC will provide a copy of this form in the initial award package. Future awards and fund drawdowns will be withheld if these reports are delinquent. The final programmatic progress report is due 120 days after the end date of the award period.
- **Financial and Compliance Audit Report:** Recipients that expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards and OMB Circular A-133. Audit reports are currently due to the Federal Audit Clearinghouse no later than 9 months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2003 UASI Grant Program II assistance for audit and examination purposes, provided that, in the opinion of the Secretary of Homeland Security or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers or documents related to the grant.
- **Required Performance Related Information:** To insure compliance with the Government Performance and Results Act, Public Law 103-62, this solicitation notifies applicants that ODP's performance under this solicitation is measured by: 1) the number of local jurisdictions that enhanced their capacity to respond to a CBRNE incident with new equipment and training; and, 2) the number of jurisdictions that tested preparedness through participation in tabletop or full-scale exercises.

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# **Appendix A**

## **Funding Allocations**

FISCAL YEAR 2003 URBAN AREAS SECURITY INITIATIVE II  
PROGRAM FUNDING ALLOCATIONS

<u>STATE/CORE CITY/CORE COUNTY*</u>	<u>GRANT AWARD TOTAL</u>	<u>URBAN AREA PASS THROUGH REQUIREMENT</u>
<b>New York</b>	\$135,266,607	
• New York City		At least 80% of \$125,000,000
• Buffalo/ Erie County		At least 80% of \$10,266,607
<b>National Capital Region</b>	\$ 42,409,851	N/A
<b>Illinois</b>	\$ 29,975,733	
• Chicago/ Cook County		At least 80% of \$29,975,733
<b>Texas</b>	\$ 34,165,283	
• Houston/ Harris County, Fort Bend County, Montgomery County		At least 80% of \$23,766,700
• Dallas/ Dallas County, Denton County, Rockwell County, Kaufman County, Collin County		At least 80% of \$10,398,583
<b>California</b>	\$ 62,202,490	
• Los Angeles/ LA County		At least 80% of \$18,874,838
• San Francisco/ San Francisco County		At least 80% of \$18,587,312
• San Diego/ San Diego County		At least 80% of \$11,359,682
• Sacramento/ Sacramento County		At least 80% of \$6,912,795
• Long Beach/ LA County		At least 80% of \$6,467,863
<b>Washington</b>	\$ 18,186,668	
• Seattle/ King County		At least 80% of \$18,186,668
<b>Massachusetts</b>	\$ 16,727,125	
• Boston/ Suffolk County		At least 80% of \$16,727,125

<b>Colorado</b>	\$ 15,568,474	
• Denver/ Denver County		At least 80% of \$15,568,474
<b>Pennsylvania</b>	\$ 21,038,924	
• Philadelphia/ Philadelphia County PA,		At least 80% of \$14,215,223
• Pittsburgh/ Alleghany County		At least 80% of \$6,823,701
<b>Missouri</b>	\$ 19,548,603	
• St. Louis/ St. Louis County		At least 80% of \$9,850,142
• Kansas City/ Clay, Jackson, Platte, and Cass County		At least 80% of \$9,698,461
<b>Florida</b>	\$18,959,558	
• Miami/ Miami-Dade County		At least 80% of \$13,184,569
• Tampa/ Hillsborough County		At least 80% of \$5,774,989
<b>Ohio</b>	\$13,859,426	
• Cincinnati/ Hamilton County		At least 80% of \$7,991,055
• Cleveland/ Cuyahoga County		At least 80% of \$5,868,371
<b>Michigan</b>	\$ 12,272,550	
• Detroit/ Wayne County		At least 80% of \$12,272,550
<b>New Jersey</b>	\$ 11,892,942	
• Newark / Essex County		At least 80% of \$11,892,942
<b>Arizona</b>	\$ 11,033,467	
• Phoenix/ Maricopa County		At least 80% of \$11,033,467
<b>Maryland</b>	\$ 10,900,944	
• Baltimore/ Anne-Arundel, Baltimore County		At least 80% of \$10,900,944

<b>Hawaii</b>	\$ 6,870,891	
• Honolulu/ Honolulu County		At least 80% of \$6,870,891
<b>Oregon</b>	\$ 6,766,108	
• Portland/ Washington, Multnomah, and Clackamas County		At least 80% of \$6,766,108
<b>Louisiana</b>	\$ 6,282,661	
• New Orleans/ Orleans Parish		At least 80% of \$6,282,661
<b>Tennessee</b>	\$ 6,071,695	
• Memphis/ Shelby County		At least 80% of \$6,071,695

\* As defined by NACo



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# **Appendix B**

## **Assessment and Strategy Validation**

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

**COORDINATION:**

The urban area has completed major areas one through four, including all contiguous jurisdictions, mutual aid partners, and the State through an Urban Area Working Group. Please list the jurisdictions represented on the working group:

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**MAJOR AREA 1: Risk Assessment**

The urban area has completed a risk assessment containing ALL of the following elements:

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

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

The Presence of Threat Factors such as:

- PTE existence
- PTE violent history
- PTE intentions
- PTE WMD capabilities, and
- PTE targeting
- Motivation of each PTE
- Identification of the WMD capabilities of PTE

Vulnerability Assessment - Basic vulnerability assessments provide a current

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vulnerability profile for all potential targets located within boundaries of the urban area.

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

- Level of Visibility
- Criticality of Target Site to the urban area
- Impact Outside of the urban area
- Potential Threat Element Access to Target
- Potential Target Threat of Hazard
- Potential Target Site Population Capacity
- Potential Collateral Mass Casualties
- Rate Target

Identify Legal Hazardous Sites within the following five areas located within the urban area.

- Chemical
- Biological
- Radiological
- Nuclear
- Explosive

## **MAJOR AREA 2: Capabilities Assessment**

The urban area has completed a capabilities assessment containing ALL of the following elements:

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

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

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

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Apply these factors to planning, organization, equipment, training, and exercises in order to identify gaps.

### **MAJOR AREA 3: Needs Assessment**

The urban area has completed a needs assessment containing ALL of the following elements:

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

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

**Organization:** Assess organizational efforts the urban area has addressed through the construction of emergency response teams and written mutual aid agreements among the urban area partners to provide coverage to those areas lacking WMD response capabilities, and identify additional steps which may be necessary.

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

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

**Exercise:** Assess additional exercises the urban area needs to properly exercise their local plans.

### **MAJOR AREA 4: Strategy Goals, Objectives and Implementation Steps**

The urban area has developed goals, objectives and implementation steps containing ALL of the following elements:

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

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reducing shortfalls in response capabilities.

A. Goal: A target that the urban area wants to achieve regarding an improved level of capability.

- Help urban area to achieve its vision
- Focuses on the long term
- Broad in scope

B. Objective: Specific statements of desired achievement that supports the goal.

- Support the attainment of long range goals
- Focus on short term
- It is specific, measurable, achievable, results-oriented, and time-limited

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

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

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## **Appendix C**

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

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## **I. Allowable Planning Costs**

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

## **II. Allowable Equipment Costs**

Funds from the UASI Grant Program II may be used by the urban area to enhance capabilities in the areas of law enforcement, emergency medical services, emergency management, the fire service, hazardous materials, public works, governmental administrative, public safety communications, healthcare and public health at the state and local levels of government in accordance with the goals and objectives identified in the urban area assessment or capability enhancement plan. Other allowable uses of funds include measures associated with target hardening and critical infrastructure security. Grant funds may also be used to share critical information such as 1) systems to disseminate and safeguard threat information, and 2) alert notification systems. Funds may also be used for sustainment of first responder equipment that would be used in an urban area's response to a terrorist threat or event. This would include repair and replacement parts, equipment warranties and maintenance contracts for equipment purchased under this ODP grant.

Authorized equipment purchases may be made in the following categories:

1. Personal Protective Equipment (PPE)
2. Explosive Device Mitigation and Remediation Equipment
3. CBRNE Search & Rescue Equipment
4. Interoperable Communications Equipment
5. Detection Equipment
6. Decontamination Equipment
7. Physical Security Enhancement Equipment
8. Terrorism Incident Prevention Equipment
9. CBRNE Logistical Support Equipment
10. CBRNE Incident Response Vehicles
11. Medical Supplies and Limited Types of Pharmaceuticals
12. CBRNE Reference Materials

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

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

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

Personal Cooling System; Vest or Full Suit with support equipment needed for maintaining body core temperature within acceptable limits

Hardhat/helmet

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

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

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

**Level C.** Liquid splash resistant ensemble, with same level of skin protection of



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Level B, used when the concentration(s) and type(s) of airborne substances(s) are known and the criteria for using air-purifying respirators are met. The following constitute Level C equipment and should be considered for use:

- Liquid Chemical Splash Resistant Clothing (permeable or non-permeable)
- Liquid Chemical Splash Resistant Hood (permeable or non-permeable)
- Tight-fitting, Full Facepiece, Negative Pressure Air Purifying Respirator with the appropriate cartridge(s) or canister(s) and P100 filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents.
- Tight-fitting, Full Facepiece, Powered Air Purifying Respirator (PAPR) with chemically resistant hood with appropriate cartridge(s) or canister(s) and high-efficiency filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents.
- Equipment or system batteries will include those that are rechargeable (e.g. NiCad) or non-rechargeable with extended shelf life (e.g. Lithium)
- Chemical Resistant Gloves, including thermal, as appropriate to hazard
- Personal Cooling System; Vest or Full Suit with support equipment
- Hardhat
- Inner Chemical/Biological Resistant Garment  
Inner Gloves
- Chemical Resistant Tape
- Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
- Chemical Resistant Outer Booties

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

- Escape mask for self-rescue

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

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

*Grant recipients should purchase: 1) protective ensembles for chemical and biological terrorism incidents that are certified as compliant with Class 1, Class 2, or Class 3 requirements of National Fire Protection Association (NFPA) 1994, Protective Ensembles for Chemical/Biological Terrorism Incidents; 2) protective ensembles for hazardous materials emergencies that are certified as compliant with NFPA 1991, Standard on Vapor Protective Ensembles for Hazardous Materials Emergencies,*

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*including the chemical and biological terrorism protection; 3) protective ensembles for search and rescue or search and recovery operations where there is no exposure to chemical or biological warfare or terrorism agents and where exposure to flame and heat is unlikely or nonexistent that are certified as compliant with NFPA 1951, Standard on Protective Ensemble for USAR Operations; and, 4) protective clothing from blood and body fluid pathogens for persons providing treatment to victims after decontamination that are certified as compliant with NFPA 1999, Standard on Protective Clothing for Emergency Medical Operations. For more information regarding these standards, please refer to the following web sites:*

*The National Fire Protection Association - <http://www.nfpa.org>*

*National Institute for Occupational Safety and Health - <http://www.cdc.gov/niosh>*

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

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

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

- Hydraulic tools; hydraulic power unit
- Listening devices; hearing protection
- Search cameras ( including thermal and infrared imaging)
- Breaking devices (including spreaders, saws and hammers)
- Lifting devices (including air bag systems, hydraulic rams, jacks, ropes and block and tackle)
- Blocking and bracing materials
- Evacuation chairs (for evacuation of disabled personnel)
- Ventilation fans

**4. Interoperable Communications Equipment** - Equipment and systems providing connectivity and electrical interoperability between local and interagency organizations

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to coordinate CBRNE response operations:

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

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

**5. Detection Equipment** - Equipment to sample, detect, identify, quantify, and monitor for chemical, biological, radiological/nuclear and explosive agents throughout designated areas or at specific points:

#### **Chemical**

- M-8 Detection Paper for chemical agent identification
- M-9 Detection Paper (roll) for chemical agent (military grade) detection
- M-256 Detection Kit for Chemical Agent (weapons grade—blister: CX/HD/L; blood: AC/CK; and nerve: GB/VX) detection
- M-256 Training Kit
- M-18 Series Chemical Agent Detector Kit for surface/vapor chemical agent analysis
- Hazard Categorizing (HAZCAT) Kits
- Photo-Ionization Detector (PID)
- Flame Ionization Detector (FID)
- Surface Acoustic Wave Detector

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- Gas Chromatograph/Mass Spectrometer (GC/MS)
  - Ion Mobility Spectrometry
  - Stand-Off Chemical Detector
  - M-272 Chemical Agent Water Test Kit
  - Colormetric Tube/Chip Kit specific for TICs and CBRNE applications
  - Multi-gas Meter with minimum of O2 and LEL
  - Leak Detectors (soap solution, ammonium hydroxide, etc)
  - pH Paper/pH Meter
  - Waste Water Classifier Kit
  - Oxidizing Paper
  - Protective cases for sensitive detection equipment storage & transport

### **Biological**

Point Detection Systems/Kits (Immunoassay or other technology)

### **Radiological/Nuclear**

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

### **Explosive**

- Canines (initial acquisition, initial operational capability only)

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

#### **Chemical**

- Decontamination system for individual and mass application with environmental controls, water heating system, showers, lighting, and transportation (trailer)
- Decon Litters/roller systems
- Extraction Litters, rollable
- Runoff Containment Bladder(s), decontamination shower waste collection with intrinsically-safe evacuation pumps, hoses, connectors, scrub brushes, nozzles
- Spill Containment Devices
- Overpak Drums
- Non-Transparent Cadaver Bags (CDC standard)
- Hand Carts
- Waste water classification kits/strips

#### **Biological**

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

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

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

#### Ground

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

#### Waterfront

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

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

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

### **Inspection/Detection Systems**

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

### **Explosion Protection**

- Blast/Shock/Impact Resistant Systems

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

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

- Data collection/information gathering software  
Data synthesis software
- Geographic Information System information technology and software
- Law enforcement surveillance equipment

**9. CBRNE Logistical Support Equipment** - Logistical support gear used to store and transport the equipment to the CBRNE incident site and handle it once onsite. This category also includes small support equipment including intrinsically safe (non-sparking) hand tools required to support a variety of tasks and to maintain equipment purchased under the grant as well as general support equipment intended to support the CBRNE incident response:

- Equipment trailers
- Weather-tight containers for equipment storage
- Software for equipment tracking and inventory
- Handheld computers for Emergency Response applications
- Small Hand tools
- Binoculars, head lamps, range finders and spotting scopes (not for weapons use)
- Small Generators to operate light sets, water pumps for decontamination sets
- Light sets for nighttime operations/security
- Electrical Current detectors
- Equipment harnesses, belts, and vests
- Isolation containers for suspected chemical/biological samples
- Bull horns
- Water pumps for decontamination systems
- Bar code scanner/reader for equipment inventory control
- Badging system equipment and supplies
- Cascade system for refilling SCBA oxygen bottles
- SCBA fit test equipment and software to conduct flow testing
- Testing Equipment for fully encapsulated suits
- Cooling/Heating/Ventilation Fans (personnel and decontamination tent use)
- HAZMAT Gear Bag/Box

**10. CBRNE Incident Response Vehicles** - This category includes special-purpose vehicles for the transport of CBRNE response equipment and personnel to the incident

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site. Licensing and registration fees are the responsibility of the jurisdiction and are not allowable under this grant. In addition, general purpose vehicles (squad cars, executive transportation, etc.), fire apparatus, and tactical/armored assault vehicles are not allowable. Allowable vehicles include:

- Mobile command post vehicles
- Hazardous materials (HazMat) response vehicles
- Bomb response vehicles
- Prime movers for equipment trailers
- 2-wheel personal transport vehicles for transporting fully suited bomb technicians, Level A/B suited technicians to the Hot Zone
- Multi-wheeled all terrain vehicles for transporting personnel and equipment to and from the Hot Zone

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

### **Medical Supplies**

- Automatic Biphasic External Defibrillators and carry bags
- Equipment and supplies for establishing and maintaining a patient airway at the advanced life support level (to include OP and NG airways; ET tubes, styletes, blades, and handles; portable suction devices and catheters; and stethoscopes for monitoring breath sounds)
- Blood Pressure Cuffs
- IV Administration Sets (Macro and Micro) and Pressure Infusing Bags
- IV Catheters (14, 16, 18, 20, and 22 gauge)
- IV Catheters (Butterfly 22, 24 and 26 gauge)
- Manual Biphasic Defibrillators (defibrillator, pacemaker, 12 lead) and carry bags
- Eye Lense for Lavage or Continuous Medication
- Morgan Eye Shields
- Nasogastric Tubes
- Oxygen administration equipment and supplies (including bag valve masks; rebreather and non-rebreather masks, and nasal cannulas; oxygen cylinders, regulators, tubing, and manifold distribution systems; and pulse oximetry, Capnography & CO2 detection devices)
- Portable Ventilator
- Pulmonary Fit Tester
- Syringes (3cc and 10cc)
- 26 ga ½" needles (for syringes)
- 21 ga. 1 ½ " needles (for syringes)
- Triage Tags and Tarps
- Sterile and Non-Sterile dressings, all forms and sizes
- Gauze, all sizes

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## Pharmaceuticals

- 2Pam Chloride
- Adenosine
- Albuterol Sulfate .083%
- Albuterol MDI
- Atropine 0.1 & 0.4 mg/ml
- Atropine Auto Injectors
- Benadryl
- CANA Auto Injectors
- Calcium Chloride
- Calcium Gluconate 10%
- Ciprofloxin PO
- Cyanide kits
- Dextrose
- Dopamine
- Doxycycline PO
- Epinephrine
- Glucagon
- Lasix
- Lidocaine
- Loperamide
- Magnesium Sulfate
- Methylprednisolone
- Narcan
- Nubain
- Nitroglycerin
- Normal Saline (500 and 1000 ml bags)
- Potassium Iodide
- Silver Sulfadiazine
- Sodium Bicarbonate
- Sterile Water
- Tetracaine
- Thiamine
- Valium

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

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



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### III. Allowable Training Costs

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

The target audience for training supported through UASI Grant Program II grants must be emergency responders, emergency managers and public/elected officials within the following disciplines: firefighters, law enforcement, emergency management, emergency medical services, hazardous materials, public works, public health, health care, public safety communications, governmental administrative and private security guards. Grantees using these funds to develop their own courses should address the critical training areas and gaps identified in the urban area assessment or capability enhancement plan and must adhere to the ODP Emergency Responder Guidelines, which may be found at: [http://www.ojp.usdoj.gov/odp/whatsnew/whats\\_new.htm](http://www.ojp.usdoj.gov/odp/whatsnew/whats_new.htm).

### IV. Allowable Exercise Costs

Funds from UASI Grant Program II grants may be used to plan for, design, develop, conduct, and evaluate exercises that train emergency responders and assess the readiness of urban areas to prevent and respond to a terrorist attack. Exercises must be threat and performance-based, in accordance with ODP's Homeland Security Exercise and Evaluation Program (HSEEP) manuals. These manuals will provide explicit direction on the design, conduct and evaluation of terrorism exercises. Exercises conducted with ODP support (grant funds or direct support) must be managed and executed in accordance with the HSEEP.

Allowable exercise-related costs include:

**1. Exercise Planning Workshop** - Grant funds may be used to plan and conduct an Exercise Planning Workshop to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and exercise plan development.

**2. Full or Part-Time Staff or Contractors/Consultants** - Full or part-time staff may be hired to support exercise-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the unit(s) of local government and have the approval of the awarding agency. The services of contractors/consultants may also be procured by the urban area in the design, development, conduct and evaluation of

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CBRNE exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.

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

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

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

**6. Implementation of the HSEEP** - Costs related to setting up and maintaining a system to track the completion and submission of After Action Reports (AAR) and the implementation of Corrective Action Plans (CAP) from exercises, which may include costs associated with meeting with local jurisdictions to define procedures. *(Note: ODP is developing a national information system for the scheduling of exercises and the tracking of AAR/CAPs to reduce the burden on the localities and to facilitate national assessments of preparedness.)*

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

## **V. Management and Administrative Costs**

Local governments may use up to 3% of the grant award to pay for activities associated with the implementation of the overall UASI Grant Program II, including: 1) hiring of full or part-time staff or contractors/consultants to assist with the collection of the assessment data; 2) travel expenses; 3) meeting-related expenses; 4) conducting local program implementation meetings; 5) hiring of full or part-time staff or contractors/consultants to assist with the implementation and administration of the assessment; and, 6) the acquisition of authorized office equipment. (Note: Authorized office equipment includes personal computers, laptop computers, printers, LCD projectors and other equipment or software which may be required to support implementation of the assessment. For a complete list of allowable meeting-related expenses, please review the OJP Office of the Comptroller (OC) Financial Guide at:

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<http://www.ojp.usdoj.gov/FinGuide>.) States **MAY NOT** use funds under this Program for administrative costs, but may use FY 2003 State Homeland Security Grant Program I and II funds to cover such costs.

## **VI. Operational Activities**

Grantees and subgrantees may use up to 25% of the gross amount of their award to reimburse for operational expenses, including overtime costs for personnel and costs associated with increased security measures at critical infrastructure sites, incurred during the ORANGE threat alert level beginning on February 7, 2003 and ending on February 27, 2003, beginning again on March 17, 2003 and ending on April 16, 2003, and beginning again on May 20, 2003 and ending on May 30, 2003. Reimbursement is available only for costs incurred during these time periods.

States and local governments should generally consider critical infrastructure to include any system or asset that if attacked would result in catastrophic loss of life and/or catastrophic economic loss. In addition, protection for the following specific types of facilities should also be considered:

- Public water systems serving large population centers
- Primary data storage and processing facilities, major stock exchanges and major banking centers
- Chemical facilities located in close proximity to large population centers
- Major power generation facilities that exceed 2000MW and if successfully attacked would disrupt the regional electric grid
- Hydroelectric facilities and dams that produce power in excess of 2000MW or could result in catastrophic loss of life if breached
- Nuclear Power plants
- Electric substations 500KV or larger, and substations 345KV or larger that are part of a critical system supporting populations in excess of one million people
- Rail and highway bridges over major waterways that, if destroyed, would cause catastrophic economic loss
- Major highway tunnels under waterways that if attacked would cause catastrophic loss of life or catastrophic economic impact
- Major natural gas transmission pipelines
- Natural Gas and liquid Natural Gas Storage (LNG) facilities
- Major petroleum handling facilities such as pipelines, ports, refineries and

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terminals

- Major mass transit subway systems and the supporting ventilation systems

Grants funds may also be used to share critical information such as 1) systems to disseminate and safeguard threat information, and 2) alert notification systems.

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# **Appendix D**

## **Grant Reporting Requirements**

## Grant Reporting Requirements

### I. Financial Status Reports (SF-269A)

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

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

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

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

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

**B. Budget Detail Worksheets** - Grantees MUST provide detailed budget information for the initial allocation of funds (up to 25%) provided through the UASI Grant Program II as an attachment to their application. ***Funds retained by the State should be reported separately.*** Additionally, Budget Detail Worksheets for use of the remaining funds under the grant award must be submitted and approved by ODP prior to obligation, expenditure, or draw-down of those funds. Remaining funding to be retained by the State should be reported separately from funding that will be passed to the urban area. Sample Budget Detail Worksheets detailing the information that MUST be furnished for each allocation are provided below. Electronic template Budget Detail Worksheets are available upon request through ODP's toll free number at 1-800-368-6498. **Note: The core city core county/counties must provide written concurrence on the SAA's initial allocation of funds (up to 25%) provided through the UASI Grant Program II. The core city and core county/counties must also provide written concurrence on the spending plan (Budget Detail Worksheets) for the use of all remaining funds, following submission of a validated Urban Area Assessment and Urban Area Homeland Security Strategy.**

Sample Budget Detail Worksheet for Direct Purchases of Equipment

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

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

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

Jurisdiction	Function	Category	Item	Amount
City/County/State Name	Training	Overtime	Support attendance at Incident Response to Terrorist Bombings Course	\$750
City/County/State Name	Exercises	Contractor	Design CBRNE Exercise Program	\$130,000

City/County/State Name	Planning	Personnel	Grant Manager	\$50,000
City/County/State Name	Admin	Travel	Conference Expense	\$200
<b>Total</b>				\$180,950

Sample Budget Detail Worksheet for Sub-Awards

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

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

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

Planning:

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

Equipment

If sub-granting funds, report:

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



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If purchasing and distributing equipment, report:

- The agencies and/or local jurisdictions that have received equipment during the reporting period and the funding amount allocated for each;
- The total amount of funding that has been obligated by the grantee thus far;
- The total amount of funding that has been expended by the grantee thus far; and,
- The percentage of overall equipment (in dollar value) that has been received and distributed.

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

Training:

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

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

Provide complete reporting information on the total number of responders within each discipline that received training as a result of this program, either through training conducted within the urban area using UASI GP II funds, or through delivery of programs of instruction developed under the program. Do not include numbers for responders that received training directly from ODP or its service providers, training data for these individuals will be captured through other processes.

Exercises

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

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

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

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

Administration:

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

Operational Costs:

Report on the expenditure of funds to reimburse for operational costs incurred during the Orange Alerts beginning on February 7, 2003 and ending on February 27, 2003, beginning again on March 17, 2003 and ending on April 16, 2003, and beginning again on May 20, 2003 and ending on May 30, 2003. Describe how funds were used and the activities that they are reimbursing. Indicate specifically reimbursement costs for overtime.

2) Additionally, use the Progress Report to:

- Describe progress made to date on achieving the overall goals and objectives of the urban area and its' partners as identified in the Urban Area Homeland Security Strategy.
- Briefly explain how ODP resources (other than those already addressed above) are contributing to attaining the overall goals and objectives identified in the urban area assessment.
- Identify other significant activities/ initiatives the State and local

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jurisdictions within the urban area are pursuing to enhance overall preparedness and responder capabilities, particularly those initiatives not previously addressed in the jurisdictional assessment, or not being supported by ODP resources.

- Identify problems encountered regarding the implementation of any component of the urban area assessment or capability enhancement plan, and any steps taken to resolve these problems/ issues.
- If applicable, briefly describe any unique initiatives/ promising practices undertaken that may be applicable to other cities or jurisdictions.
- If applicable, provide any feedback on the ODP grant process and ODP assistance with program implementation, including implementation of the urban area assessment. Identify any other issues or concerns not addressed above.

### **III. Monthly Obligation and Expenditure Report**

On the 15<sup>th</sup> of every month each state must report on the previous month's obligation and expenditure status of the funding provided through this grant. States must submit this report through e-mail to their ODP Program Manager. The report must account for funds retained at the state level (20%) SEPARATELY from those subgranted to local agencies (80%). Please note a and b from numbers 1 thorough 5 below should sum to the exact amount of the total grant award. An electronic template is available upon request through ODP's toll free number at 1-800-368-6498. Please see Appendix C for allowable costs.

1. Funds Budgeted For Planning
  - a. Total dollar amount of funds obligated for planning purposes
    - Total dollar amount of funds expended on planning
  - b. Total dollar amount of funds not yet obligated for planning purposes
2. Funds Budgeted For Equipment
  - a. Total dollar amount of funds obligated for equipment acquisition
    - Total dollar amount of funds expended on equipment acquisition
  - b. Total dollar amount of funds not yet obligated for equipment acquisition
3. Funds Used for Training
  - a. Total dollar amount of funds obligated for training
    - Total dollar amount of funds expended on training
  - b. Total dollar amount of funds not yet obligated for training
4. Funds Used for Management and Administration (up to 3% by local agencies ONLY)
  - a. Total dollar amount of funds obligated for management and administration purposes
    - Total dollar amount of funds expended on management and administration

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- b. Total dollar amount of funds not yet obligated for management and administration
5. Funds Used for Operational Activities
    - a. Total dollar amount of funds obligated for operational activities
      - Total dollar amount of funds expended on operational activities
    - b. Total dollar amount of funds not yet obligated for operational activities