

**FY 2012 TRIBAL HOMELAND SECURITY GRANT PROGRAM (THSGP)
FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)**

OVERVIEW INFORMATION

Issued By

U.S. Department of Homeland Security (DHS): Federal Emergency Management Agency (FEMA)

Catalog of Federal Domestic Assistance (CFDA) Number

97.067

CFDA Title

Homeland Security Grant Program

Funding Opportunity Announcement Title

Fiscal Year (FY) 2012 Tribal Homeland Security Grant Program (THSGP)

Authorizing Authority for Program

The *Homeland Security Act of 2002*, as amended by Section 101 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (hereafter "9/11 Act"), 6 U.S.C. 605-606

Appropriation Authority for Program

The Consolidated Appropriations Act, 2012, Division D (Public Law 112-74)

FOA Number

DHS-12-GPD-067-000-01

Key Dates and Time

Application Start Date: 02/17/2012

Application Submission Deadline Date: 05/04/2012 at 11:59:59 PM EDT

Anticipated Funding Selection Date: 06/29/2012

Anticipated Award Date: 09/30/2012

Other Key Dates

Applying for FY 2012 THSGP funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One immediately after the FOA is published but no later than **April 27, 2012**. This involves submitting a complete Standard Form 424 to Grants.gov. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step One to Grants.gov could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves

submitting the full application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is **May 4, 2012**. For additional details see Section X within the full FOA.

Intergovernmental Review

Is an intergovernmental review required?

Yes No

If yes, applicants must contact their State's Single Point of Contact (SPOC) to determine if the program has been selected for State review and comply with the State's process under Executive Order 12372. Names and addresses of the SPOCs are maintained at the Office of Management and Budget's (OMB's) home page at http://www.whitehouse.gov/omb/grants_spo.

FOA EXECUTIVE SUMMARY

Program Type

Select the applicable program type:

New Continuing One-time

Date of origin for Program: 01/04/2007

Opportunity Category

Select the applicable opportunity category:

Discretionary Mandatory Competitive Non-competitive Sole Source

Application Process

DHS makes all funding opportunities available through the common electronic “storefront” Grants.gov, accessible on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

For additional details on how to apply, please refer to Section X within the full FOA.

Eligible Applicants

The following entities are eligible to apply directly to FEMA under this solicitation.

Native American Tribal Government (federally recognized)

Federally recognized tribes are defined in Section 104 of the Act of November 2, 1994 (Public Law 103–454; 108 Stat. 4791, 4792)

For additional information, see the Eligibility Criteria section of this FOA.

Type of Funding Instrument

Select the applicable funding instrument:

Grant Cooperative Agreement

Cost Share or Match

Select the applicable requirement:

Cost Match Cost Share None Required

Maintenance of Effort

Is there a Maintenance of Effort (MOE) requirement?

Yes No

Management and Administration

A maximum of up to five percent (5%) of funds awarded may be retained by the tribal grantee, and any funds retained are to be used solely for management and administration (M&A) purposes associated with the THSGP award.

FULL FOA

I. Funding Opportunity Description

Program Overview and Priorities

The THSGP is one tool among a comprehensive set of initiatives authorized by Congress and implemented by the Administration to help strengthen the Nation against risks associated with potential terrorist attacks. Funding under THSGP is provided to strengthen tribes' capacity to prepare for and respond to emergency situations.

Program Objectives

The FY 2012 THSGP plays an important role in the implementation of Presidential Policy Directive 8 (PPD-8) by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the *National Preparedness Goal* (NPG). The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 THSGP supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

Grantees under FY 2012 THSGP are encouraged to build and sustain core capabilities through activities such as:

- Planning
- Maintenance and Sustainment
- Building Law Enforcement Terrorism Prevention Capabilities
- Threat and Hazard Identification and Risk Assessment (THIRA)
- Whole Community Approach to Security and Emergency Management
- Typing of Equipment and Training

For additional information on program priorities and objective for FY 2012 THSGP, refer to Appendix A – *FY 2012 THSGP Priorities*.

II. Funding Information

Award Amounts, Important Dates, and Extensions

Available Funding for this FOA: \$6,000,000

Projected Number of Awards: 15

Projected Award Start Date(s): 09/30/2012

Projected Award End Date(s): 09/30/2014

Period of Performance: 24 months

Grantees must accept their grant awards no later than 90 days from the award date. The grantee shall notify the awarding agency of its intent to accept and proceed with

work under the award, or provide a written notice of intent to decline. Funds will remain on hold until the grantee accepts the award through official correspondence (e.g., written, electronic signature, signed letter or fax to the Grant Programs Directorate [GPD]) and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

Period of Performance

Is an extension to the period of performance permitted?

Yes No

The periods of performance outlined above support the effort to expedite the outlay of grant funding and provide economic stimulus. Agencies should request waivers sparingly, and they will be granted only due to compelling legal, policy, or operational challenges. For example, tribal grantees may request waivers from the deadlines outlined above for discretionary grant funds where adjusting the timeline for spending will constitute a verifiable legal breach of contract by the grantee with vendors or sub-recipients, or where a specific statute or regulation mandates an environmental review that cannot be completed within this timeframe or where other exceptional circumstances warrant a discrete waiver.

Additional Funding Information

In an effort to assist with FY 2012 planning and application development, the table below provides a historical overview of THSGP application submissions and funding.

	FY 2008	FY 2009	FY 2010	FY 2011
Total Funds Available	\$1,645,000	\$1,788,000	\$10,000,000	\$10,000,000
Number of Applications Received	17	20	48	58
Number of Applications Funded	12	13	24	21
Average Award Amount	\$137,000	\$137,538	\$416,667	\$476,190

Law Enforcement Terrorism Prevention

Per the 9/11 Act, tribal grantees are required to ensure that at least 25 percent (25%) of THSGP award funds are dedicated towards law enforcement terrorism prevention planning, organization, training, exercise, and equipment activities.

III. Eligibility Information

Eligibility Criteria

In order to be eligible to receive THSGP funding, grantees must be considered “directly eligible Tribes.” Per the 9/11 Act, the term “directly eligible Tribe” means –

- (A) any Indian Tribe –
 - (i) that is located in the continental United States;

- (ii) that operates a law enforcement or emergency response agency with the capacity to respond to calls for law enforcement or emergency services;
- (iii)
 - a. that is located on or near (50 miles) an international border or a coastline bordering an ocean (including the Gulf of Mexico) or international waters (excluding shoreline border around the Great Lakes);
 - b. that is located within 10 miles of a system or asset included on the prioritized critical infrastructure list established under section 210E(a)(2) [please refer to section 1001 of the 9/11 Act] or has such a system or asset within its territory;
 - c. that is located within or contiguous to one of the 50 most populous metropolitan statistical areas in the United States; or
 - d. the jurisdiction of which includes not less than 1,000 square miles of Indian country, as that term is defined in section 1151 of title 18, United States Code; and
- (iv) that certifies to the Secretary that a State has not provided funds under section 2003 [UASI] or 2004 [SHSP] to the Indian Tribe or consortium of Indian Tribes for the purpose for which direct funding is sought; and
- (B) a consortium of Indian Tribes, if each Tribe satisfies the requirements of subparagraph (A).

In summary, eligible Tribes must meet the requirements set forth in (A) (i), and (A) (ii), and (A) (iv). Tribes must also meet one of the requirements set forth in (A) (iii); either (A) (iii) (a), or (A) (iii) (b), or (A) (iii) (c), or (A) (iii) (d). Finally, (B) may also be satisfied, if each Tribe satisfies the requirements of subparagraph (A).

In FY 2012, applicants must self-certify as to whether they meet the eligibility requirements. Self-certification will be provided on the THSGP Eligibility Certification Form as part of application Investment Justification (IJ). Any questions regarding an applicant's proximity to a Critical Infrastructure and Key Structures (CI/KR) site, as described in the eligibility criteria, may be directed to the State Administrative Agency (SAA). Any additional questions regarding the overall self-certification of eligibility process may be directed to the Centralized Scheduling and Information Desk (CSID). CSID can be reached by phone at (800) 368 - 6498 or by e-mail at askcsid@fema.gov, Monday through Friday, 9:00 a.m. – 5:30 p.m. EST.

IV. Funding Restrictions

Restrictions on Use of Award Funds

DHS grant funds may only be used for the purpose set forth in the grant and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award.

There may be limitations on the use of THSGP funds for the following categories of costs:

- Management and Administration
- Planning
- Organization
- Equipment
- Training
- Exercises
- Construction and Renovation

THSGP grantees may only fund investments that were included in the FY 2012 IJs that were submitted to FEMA and evaluated through the peer review process.

For additional details on restrictions on the use of funds please refer to Appendix B - *Funding Guidelines*.

V. Application Review and Selection Information

Application Review Information

FY 2012 THSGP funds will be allocated based on two factors: Eligibility, as defined in 9/11 Act and self certified by applicant, and Effectiveness: the score of the applicant's THSGP IJ (as determined through a peer review process). With respect to the effectiveness criteria, THSGP IJs will be evaluated through a peer review process for completeness, adherence to programmatic guidelines, and the anticipated effectiveness of the proposed Investment(s). Only the information included in the IJ will be scored in the peer review process.

As part of the FY 2012 THSGP scoring process, applicants who have not received funding in prior years will receive five (5) points in addition to the peer reviewers' average score for each Investment submitted as part of their IJ.

Tribes are encouraged to participate as volunteer reviewers in the FY 2012 peer review process. FEMA GPD seeks peer reviewers who are:

- Experienced professionals, including Native American Association leaders/members, with experience in tribal relations as it relates to homeland security and/or emergency management

- Representative of a variety of disciplines relating to homeland security and/or emergency management
- Familiar with the peer review process

Participation in the process will provide reviewers the unique opportunity to gain insight into the evaluation process and to learn innovative ideas being utilized by their peers. Those interested in participating in the peer review process should contact the CSID.

For additional details on application review information, please refer to Appendix C - *FY 2012 THSGP Investment Justification (IJ) Outline*.

Application Selection Process

The following process will be used to make awards under FY 2012 THSGP:

- Applicants will self-certify as to tribal eligibility per the 9/11 Act;
- FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of an IJ by the established due dates;
- Eligible applications will be reviewed and scored through a peer review process to analyze the anticipated effectiveness of proposed Investments; and
- FEMA will use the results of the peer review effectiveness scores to make recommendations for funding to the Secretary of Homeland Security.

VI. Post-Selection and Pre-Award Guidelines

Notice of Award

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available within Section 6.1.1 of <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

Upon approval of an application, the award will be made in the form of a grant. The date the approval of award is entered in the ND Grants system is the “award date.” Notification of award approval is made through the ND Grants system through an automatic e-mail to the grantee point of contact listed in the initial application. Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under Federal awards.

Administrative and Federal Financial Requirements

Grantees are obligated to submit various financial and programmatic reports as a condition of their award acceptance. Please see below for a summary of financial and/or programmatic reports as required. Future awards and fund draw downs may be withheld if these reports are delinquent.

- 1. Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through the Payment and Reporting System (PARS).
- 2. Grant Close-Out Process.** Within 90 days after the end of the period of performance or after a Grant Adjustment Notices (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records.

Programmatic Reporting Requirements

- 1. Performance Progress Report (SF-PPR).** Awardees are responsible for providing updated performance reports using the SF-PPR (OMB Control Number: 0970-0334) on a semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Grantees should submit the SF-PPR as an attachment to the ND Grants system. The SF-PPR can be accessed online at http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf.

Grantees will be required to report on progress towards implementing plans described in their application.

- 2. Biannual Strategy Implementation Reports (BSIR).** Grantees are responsible for completing and submitting the BSIR reports. The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. The first BSIR is not due until at least six months after the award notice has been received by the grantee.
- 3. Exercise Evaluation and Improvement.** Exercises implemented with grant funds should evaluate performance of the capabilities required to respond to the

exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program (HSEEP) located at <https://hseep.dhs.gov>.

- 4. Monitoring.** Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support may be needed.

VII. DHS FEMA Contact Information

Contact and Resource Information

This section describes several resources that may help applicants in completing a FEMA grant application. These points of contact are also available for successful applicants who may require assistance during execution of their award.

Financial and Administrative Information

- 1. Grant Programs Directorate (GPD).** FEMA GPD's Grant Operations Division Business Office will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. Callers will be directed to a point of contact who will be able to assist with their financial or administrative question. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.
- 2. FEMA Regions.** FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. For a list of contacts, please go to <http://www.fema.gov/about/contact/regions.shtm>.
- 3. GPD Environmental Planning and Historic Preservation (GPD-EHP).** The FEMA GPD-EHP Team provides guidance and information to grantees and subgrantees related to submission of materials for EHP review. All EHP Review Packets should be sent to gpdehpinfo@fema.gov.

Programmatic Information

1. **Centralized Scheduling and Information Desk (CSID).** CSID is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, State, and local levels. When necessary, grantees will be directed to a Federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at askcsid@fema.gov, Monday through Friday, 9:00 AM – 5:30 p.m. EST.

Systems Information

1. **Grants.gov.** For technical assistance with Grants.gov, please call the Grants.gov customer support hotline at (800) 518-4726.
2. **Non Disaster (ND) Grants.** For technical assistance with the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076.

VIII. Other Critical Information

National Incident Management System (NIMS) Implementation

In accordance with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the adoption of NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities.

Prior to allocation of any Federal preparedness awards in FY 2012, grantee must ensure compliance and/or alignment with FY 2011 NIMS implementation plan. The list of objectives against which progress and achievement are assessed and reported can be found at

<http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtm#item2>.

The primary grantee/administrator of FY 2012 THSGP award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

IX. How to Apply

THSGP Investment Justification (IJ): As part of the FY 2012 THSGP application process, applicants must develop a formal IJ that addresses each Investment being proposed for funding. The IJ must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities and link to one or more core capabilities identified in the NPG. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Applicants must ensure that the IJ is consistent with all applicable requirements

outlined in the application kit. Applicants will find additional information regarding the THSGP IJ template, FEMA Form 089-22 (OMB Control Number: 1660-0113), in Appendix C – *FY 2012 THSGP Investment Justification (IJ) Outline*.

X. Application and Submission Information

Address to Request Application Package

FEMA makes all funding opportunities available on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726. Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants”, then select the CFDA number (97.067) or the FOA number (DHS-12-GPD-067-000-01) and “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

Content and Form of Application

- 1. Application via Grants.gov.** All applicants must file their applications using the Administration’s common electronic “storefront” – <http://www.grants.gov>. Eligible grantees must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

The application must be started and submitted using Grants.gov after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required form:

- Standard Form 424, Application for Federal Assistance

Applying for FY 2012 THSGP funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One as soon after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form 424 to www.grants.gov. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to grants.gov to complete Step One could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is May 4, 2012.

The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. If you need assistance registering

for the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076. Applicants are encouraged to begin their ND Grants registration at the time of solicitation to ensure they have adequate time to start and complete their application submission. Unless otherwise referenced, the ND Grants system includes the following required forms and submissions:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (available at <http://www.fema.gov/library/viewRecord.do?id=2628>)
- THSGP Investment Justification (OMB Control Number: 1660-0113/FEMA Form: 089-22) (see Appendix C– *FY 2012 THSGP Investment Justification “IJ” Outline* for a description of the IJ and the IJ submission process).

*The program title for the THSGP (formerly known as State Homeland Security Program Tribal) listed in the CFDA is “Homeland Security Grant Program.” The CFDA number is **97.067**.*

- 2. Dun and Bradstreet Data Universal Numbering System (DUNS) Number.** The applicant must provide a DUNS number with their application. This number is a required field within <http://www.grants.gov> and for CCR. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at (866) 705-5711.
- 3. Valid CCR.** The application process also involves an updated and current registration by the applicant, which must be confirmed at <http://www.ccr.gov>.

Applicants will obtain FOA Overviews and Full Announcement information from the Grants.gov website where the full FOA is posted.

In addition, the following Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Announcement is: (800) 462-7585.

Applications will be processed through the Grants.gov portal or the ND Grants system.

Hard copies of the application will not be accepted.

APPENDIX A - FY 2012 THSGP PRIORITIES

Presidential Policy Directive 8: National Preparedness

Presidential Policy Directive 8: National Preparedness (PPD-8), signed on March 30, 2011, describes the Nation's approach to preparing for the threats and hazards that pose the greatest risk to the security of the United States. National preparedness is the shared responsibility of our whole community. Every member contributes, including individuals, communities, the private and nonprofit sectors, faith-based organizations, and Federal, state, and local governments. We describe our security and resilience posture through the core capabilities that are necessary to address risks, and we will use an integrated, layered, and all-of-Nation approach as our foundation. We define success as a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.

National preparedness is the shared responsibility of all levels of government, the private and nonprofit sectors, and individual citizens. The objective of PPD-8 is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness.

Using the core capabilities, we achieve the *National Preparedness Goal* (NPG) by:

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

The core capabilities contained in the NPG are the distinct critical elements necessary for our success. They are highly interdependent and will require us to use existing preparedness networks and activities, improve training and exercise programs, promote innovation, and ensure that the administrative, finance, and logistics systems are in place to support these capabilities. The core capabilities represent an evolution from the *Target Capabilities List* (TCL). The transition from TCL to core capabilities expands the focus to include mitigation and allows greater focus on prevention and protection activities.

To support building, sustaining, and delivering these core capabilities grantees will use elements of the National Preparedness System (NPS). The NPS is to be an integrated set of guidance, programs, and processes that can be implemented and measured at all levels of government, thereby enabling the Nation to achieve the Goal.

Building and Sustaining Core Capabilities

Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential of these capabilities are the core capabilities identified in the NPG. Complex and far-reaching threats and hazards require the whole community to integrate preparedness efforts in order to build, sustain, and deliver the core capabilities and achieve the desired outcomes identified in the NPG.

Working together, subject matter experts, government officials, and elected leaders can develop strategies to allocate resources effectively, as well as leverage available assistance to reduce risk. These strategies consider both how to sustain current levels of capability and address gaps in order to achieve the NPG. Achieving the NPG will require participation and resource support from all levels of government. Not all capabilities can be addressed in a given funding cycle, nor can funding be expected to flow from any one source. Officials must prioritize the achievement of capabilities to most effectively ensure security and resilience while understanding the effects of not addressing identified gaps. Building and sustaining capabilities will include a combination of organizational resources, equipment, training, and education. Grants and technical assistance may also be available to support building and sustaining capabilities. Consideration must also be given to finding, connecting to, and strengthening community resources by leveraging the expertise and capacity of individuals, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. Jurisdictions may also choose to use mutual aid agreements to fill gaps or work with partners to develop regional capabilities. Ultimately, a jurisdiction may need to rely on other levels of government to address a gap in capability. This expectation should be communicated well before the time arises when the capabilities are most urgently needed.

As these issues are considered in light of the eligible activities, an effective risk assessment must guide jurisdictions' efforts. This risk picture will cover the range of threats and hazards, from those a community faces daily to those infrequent events that would stress the core capabilities of a jurisdiction. Coupled with the desired outcomes established by a community, this combined perspective is crucial to enabling all levels of government to effectively estimate the level of capabilities required to address its risks.

Files and information on PPD-8 can be found at <http://www.fema.gov/ppd8>.

The President's FY 2013 budget has proposed substantial changes to DHS grant programs. FY 2012 grant programs will prepare grantees for the transition to new requirements in FY 2013 in the following ways:

- Begin the process of transitioning from separate preparedness grant programs in FY 2011 to a more streamlined model within the construct of the FY 2012 appropriations
- Continue the transition to address the core capabilities outlined in the NPG
- Implement a two year period of performance with very limited extensions

Grantees are encouraged to familiarize themselves with the grant proposals in the President's FY 2013 budget.

FY 2012 THSGP and Alignment to PPD-8

The FY 2012 THSGP plays an important role in the implementation of PPD-8 by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the NPG. The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 THSGP supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

Priority for FY 2012

Advancing "Whole Community" Approach to Security and Emergency Management. Advancing "Whole Community" Security and Emergency Management provides a critical approach to implement PPD-8. Communities are challenged to develop collective, local abilities to withstand the potential impacts of natural disasters and terrorist, respond quickly, and recover in a way that sustains or improves the community's overall well-being. Achieving this collective capacity calls for innovative approaches across the community, including emergency management, to build up existing practices, institutions, and organizations that help make local communities successful, and that can leverage this infrastructure if and when an incident occurs. For more information on the "Whole Community Approach to Emergency Management" see <http://www.fema.gov/library/viewRecord.do?id=4941>.

A comprehensive tribal emergency management system must engage stakeholders at all levels. Local emergency management organizations should remain informed and have the opportunity to provide input to tribal planning processes. Although FEMA expects tribes to include support for their local entities in THSGP, each Tribal Council is responsible for determining the appropriate amount of funding to be passed through to support the development or enhancement of local emergency management performance capabilities. In support of engaging stakeholders at all levels, THSGP funds may be sub granted to nongovernmental emergency management stakeholder entities such as nonprofits, public and private universities, hospitals, or faith-based entities.

APPENDIX B - FUNDING GUIDELINES

THSGP grant recipients and sub-recipients may only use THSGP grant funds for the purpose set forth in the grant, and those uses must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award.

In administering the FY 2012 THSGP grant award, the tribe must comply with the following general requirements:

- 1. THSGP Priorities.** FY 2012 THSGP aligns to all mission areas outlined in the NPG. Applicants must align proposed funding to at least one or more NPG core capabilities within the IJ Template.
- 2. Law Enforcement Terrorism Prevention.** Per the 9/11 Act, tribal grantees are required to ensure that at least 25 percent (25%) of THSGP award funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.
- 3. Management and Administration (M&A) Limits.** A maximum of up to five percent (5%) of funds awarded may be retained by the tribal grantee, and any funds retained are to be used solely for management and administration purposes associated with the THSGP award.
- 4. Allowable Costs.** The following pages outline global allowable costs guidance applicable to THSGP.

Allowable activities made in support of the THSGP priorities as well as other capability-enhancing projects must fall into the categories of planning, organization, equipment, training, or exercises. Additional detail about each of these allowable expense categories, as well as sections on additional activities including explicitly unallowable costs is provided. In general, grantees should consult their FEMA Headquarters Program Analyst prior to implementing any Investment to ensure that it clearly meets the allowable expense criteria established by the guidance.

Planning Activities

Planning efforts can include the prioritizing of needs, building capabilities, updating preparedness strategies, allocating resources, and delivering preparedness programs across disciplines (e.g., law enforcement, fire, EMS, health care systems, public health, behavioral health, public works, rural water associations, agriculture, information technology, and the general public, including people with disabilities) and levels of government. Planning provides a methodical way to engage the whole community in thinking through the life cycle of potential crises, determining required capabilities, and establishing a framework for roles and responsibilities. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes.

Planning activities should focus on the five mission areas outlined in the NPG: prevention, protection, mitigation, response, and recovery. All jurisdictions are encouraged to work through Citizen Corps Councils, nongovernmental entities, and the general public in planning activities. Tribes are encouraged to include disciplines responsible for the health, safety, education, and care of infants and children and those responsible for integrating the accessibility and functional needs of children and adults with disabilities. Grantees must use the *CPG 101v.2: Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans* in order to develop robust and effective plans. For additional information, please see http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf.

The National Disaster Recovery Framework (NDRF) provides an overarching interagency coordination structure for the recovery phase for *Stafford Act* incidents and significant non-*Stafford Act* incidents. The NDRF is a guide that promotes effective recovery and is a tool that can be used to efficiently direct pre-disaster recovery planning activities. For more information on the NDRF see <http://www.fema.gov/pdf/recoveryframework/ndrf.pdf>.

Organization Activities

Section 2008 of the *Homeland Security Act of 2002*, as amended by the 9/11 Act, allows the use of grant funds for the following activities:

- Paying salaries and benefits for personnel to serve as qualified intelligence analysts
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident

Equipment Activities

The 21 allowable prevention, protection, response, and recovery equipment categories and equipment standards for FY 2012 THSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at <https://www.rkb.us>. Unless otherwise stated, equipment must meet all mandatory

regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Grantees (including sub-grantees) that are using FY 2012 THSGP funds to support emergency communications activities should comply with the *FY 2011 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. Emergency communications activities include the purchase of Interoperable Communications Equipment and technologies such as voice-over-internet protocol bridging or gateway devices, or equipment to support the build out of wireless broadband networks in the 700 MHz public safety band under the Federal Communications Commission Waiver Order. SAFECOM guidance can be found at <http://www.safecomprogram.gov>.

Training Activities

Tribes are strongly encouraged to use THSGP funds to develop or enhance a tribal homeland security training program. Allowable training-related costs under THSGP include the establishment, support, conduct, and attendance of training specifically identified under THSGP and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS, DOT). All training procured under THSGP must be in support of the development or maintenance of an identified team or capability described and typed under the NIMS where such typing guidance exists as published by FEMA.

Training conducted using THSGP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP. All training and exercises conducted with THSGP funds should support the development and testing of the jurisdiction's Emergency Operations Plan (EOP) or specific annexes, consistent with the priorities in PPD-8.

Exercise Activities

All exercises using THSGP funding must be NIMS compliant. More information is available online at the NIMS Resource Center, <http://www.fema.gov/emergency/nims/index.shtm>.

Grantees must develop After Action Report/Improvement Plans (AAR/IPs) following the completion of exercises funded under this program; the use of HSEEP is strongly encouraged. AAR/IPs are to be submitted to hseep@dhs.gov. Please ensure the documents are encrypted (password-protected) and the password is also sent to hseep@dhs.gov via a separate email.

Personnel Activities

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable FY 2012 THSGP planning, training, exercise, and equipment activities.

A personnel cap of up to 50 percent (50%) of total THSGP funds may be used for personnel activities as directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412). For further details, THSGP grantees should refer to Information Bulletin (IB) 358 (<http://www.fema.gov/pdf/government/grant/bulletins/info358.pdf>) or contact their FEMA Headquarters Program Analyst.

FY 2012 THSGP funds may not be used to support the hiring of any personnel for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.

Construction and Renovation

Project construction using THSGP funds may not exceed the greater of \$1,000,000 or 15 percent (15%) of the grant award. For the purposes of the limitations on funding levels, communications towers are not considered construction.

Written approval must be provided by FEMA prior to the use of any THSGP funds for construction or renovation. When applying for construction funds, including communications towers, at the time of application, grantees are highly encouraged to submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits and documents, and to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., completing the Federal Communications Commission's [FCC's] Section 106 review process for tower construction projects; coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects). Projects for which the grantee believes an Environmental Assessment (EA) may be needed, as defined in 44 Code of Federal Regulations (CFR) 10.8 and 10.9, must also be identified to the FEMA Program Analyst within six (6) months of the award and completed EHP review packets must be submitted no later than 12 months before the end of the period of performance. EHP review packets should be sent to gpdehpinfo@fema.gov.

FEMA is legally required to consider the potential impacts of all THSGP projects on environmental resources and historic properties. Grantees must comply with all applicable environmental planning and historic preservation (EHP) laws, regulations, and Executive Orders (EOs) in order to draw down their FY 2012 THSGP grant funds. To avoid unnecessary delays in starting a project, grantees are encouraged to pay close attention to the reporting requirements for an EHP review. For more information on FEMA's EHP requirements, SAAs should refer to IBs 329 and 345 (<http://www.fema.gov/government/grant/bulletins/index.shtml>).

FY 2012 THSGP grantees using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. 3141 *et seq.*). Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor wage determinations, is available from the following website <http://www.dol.gov/compliance/laws/comp-dbra.htm>.

Law Enforcement Terrorism Prevention Activities Allowable Costs

Consistent with the 9/11 Act, grantees are required to ensure that at least 25 percent (25%) of THSGP allocated funds are dedicated towards law enforcement terrorism prevention planning, organization, training, exercise, and equipment activities (LETPA) linked to one or more core capabilities in the five mission areas contained within the NPG. The following activities are eligible for use of LETPA focused funds:

- Maturation and enhancement of [recognized state and major urban area fusion centers](#), including training and professional development for intelligence analysts;
- Supporting the implementation of activities associated with the Western Hemisphere Travel Initiative (WHTI), including the issuance of WHTI-compliant tribal identification cards
- Implementation and maintenance of the Nationwide SAR Initiative (NSI), including training for front line personnel on identifying and reporting suspicious activities;
- Implementation of the “If You See Something, Say Something™” campaign to raise public awareness of indicators of terrorism and violent crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations
- Increase the sharing of information with public and private sector partners, including nonprofit organizations;
- Training for countering violent extremism; development, implementation, and/or expansion of programs to engage communities that may be targeted by violent extremist radicalization; and the development and implementation of projects to partner with local communities to prevent radicalization to violence, in accordance with the Strategic Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States;
- Law enforcement personnel costs resulting from other prevention or threat mitigation related operational activities in response to a specific threat (i.e. a National Terrorism Advisory System (NTAS) alert) or incident. This includes support for increasing physical security, via law enforcement personnel and other protective measures, and implementing measures related to at-risk nonprofit organizations; and
- Increase physical security, via law enforcement personnel and other protective measures by implementing preventive and protective measures related to at-risk nonprofit organizations.

Other Allowable Costs – Maintenance and Sustainment

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted.

FY 2012 grant funds are intended to support the NPG and fund projects that build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide grantees the ability to meet this objective, the policy set forth in GPD's IB 336 (Maintenance and Sustainment) has been expanded to allow for the support of equipment that has previously been purchased with both Federal grant and non-Federal grant funding. The eligible costs for maintenance and sustainment however needs to be an otherwise allowable expenditure under the applicable grant programs, and be tied to one of the core capabilities in the five mission areas contained within the NPG.

Grantees must comply with all the requirements in 44 CFR Part 13 and 2 CFR Part 215.

Other Allowable Costs – Critical Emergency Supplies

In furtherance of DHS's mission, critical emergency supplies, such as shelf stable food products, water, and basic medical supplies are an allowable expense under THSGP. Prior to allocating grant funding for stockpiling purposes, each tribe must have FEMA's approval of a viable inventory management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning.

The inventory management plan and distribution strategy, to include sustainment costs, will be developed and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under THSGP. GPD and LMD will establish guidelines and requirements for the purchase of these supplies under THSGP and monitor development and status of the tribe's inventory management plan and distribution strategy. Linkages between specific projects undertaken with THSGP funds and strategic goals and objectives will be highlighted through regular required reporting mechanisms, including the BSIR.

Other Allowable Costs - Secure Identification

In addition to the expenditures outlined above, THSGP funds may be used to support the development and production of enhanced tribal documents (e.g., Enhanced Tribal Cards [ETCs]) designed to meet the requirements of the WHTI. More information on the WHTI may be found at http://www.dhs.gov/files/programs/gc_1200693579776.shtm and http://www.getyouhome.gov/html/eng_map.html.

When completing the IJ Template, please refer to <http://www.fema.gov/prepared/ppd8.shtm> for a list of the core capabilities that best fit

the proposed activities and costs. If you need further assistance in determining the core capabilities that fit your proposed WHTI project, please contact the CSID by phone at (800) 368-6498 or by e-mail at askcsid@fema.gov, Monday through Friday, 9:00 a.m. – 5:30 p.m. EST.

APPENDIX C - FY 2012 THSGP INVESTMENT JUSTIFICATION (IJ) OUTLINE

Tribes should use the 2003 Excel-based THSGP IJ Template (OMB Control Number: 1660-0113) for their FY 2012 THSGP application submission. If using a more recent version of Excel (e.g., Excel 2007) applicants should save the final version of the IJ in the Excel 2003 format before submitting. The THSGP IJ Template can be found at <http://www.fema.gov/grants> or <http://www.grants.gov>.

When applying for THSGP funding, it is recommended that tribes use the name of the tribe as listed in the Federal Register, which can be found at <http://www.bia.gov/idc/groups/xraca/documents/text/idc011463.pdf>. Applicants can also contact the CSID to confirm the tribe name as listed in the Federal Register.

Additional tips and helpful hints on how to complete the IJ Template can also be found in the FY 2012 THSGP Reference Guide at <http://www.fema.gov/grants>.

After the THSGP IJ Template has been completed in Excel, please upload the IJ Template as an attachment with the other required application materials (see Section X within the full FOA) to <http://www.grants.gov> no later than 11:59 p.m. EDT **May 4, 2012**.

FY 2012 THSGP Investment Justification Outline

Question	Response	Scoring Criteria
I. Background (N/S)		
I.A Provide the Tribe name	Short title (100 char. max.)	N/S
I.B Provide the Investment name:	Short title (100 char. max.)	
I.C Provide a baseline understanding of the spectrum of terrorism and natural hazard risks and demographics that the Tribe faces and influenced the development of this Investment Justification (I).	Narrative (2,500 char. max.)	
II. Overview (25%)		
II.A Identify the Investment as: If ongoing, describe the Investment's current state and what will be accomplished prior to the application of FY 2012 funds. <i>Please note, if this Investment is marked "New", please move to question II.B.</i>	<i>New, Ongoing</i> Narrative (1500 char. max.)	N/S
II.B Identify if this Investment focuses on building new capabilities or the sustainment of existing capabilities	<i>Building, Sustainment</i>	
II.C Provide a description of this Investment, including the planning, organization, equipment, training, and/or exercises that will be involved.	Narrative (1500 char. max.)	The response provides a detailed description and clear understanding of various activities that will be supported by this Investment.
III. Baseline (25%)		
III.A Identify the goals and objectives that will be supported by this Investment. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i>	Narrative (1500 char. max.)	N/S
III.B Describe existing capability levels that address the identified goals/objectives and what will be in place to support the Investment prior to the use of FY 2012 funds.	Narrative (1500 char. max.)	The response provides a clear understanding of existing capability levels and what capability gap(s) the Investment will address.
III.C Explain the capability gap(s) that this Investment is intended to address. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i>	Narrative (1500 char. max.)	

Question	Response	Scoring Criteria
IV. Project Management and Milestones (25%)		
IV.A Provide the proposed FY 2012 THSGP funding amount for this Investment.	Amount	N/S
IV.B Identify the amount and percentage of funding that will be dedicated to Management and Administration (M&A) expenditures. <i>Please note, M&A cannot exceed five percent (5%) of the total award amount.</i>	Amount/Percentage	N/S
IV.C Identify the National Preparedness Goal (NPG) core capabilities that are supported by this Investment. For each of the selected NPG core capabilities, provide the proposed funding amount to be obligated from this Investment.	Select all that apply and Amount	The response provides a clear demonstration and a comprehensive understanding of how the Investment supports identified National Preparedness Goal core capabilities and primary POETE Solution Area.
IV.D Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.	Planning, Organization, Equipment, Training, Exercise	
IV.E Each grantee must submit a detailed budget narrative, in addition to SF-424A, explaining related costs and expenses as a part of the application. This budget narrative should be detailed and should serve to: (1) explain how the costs were estimated, and (2) justify the needs for the costs incurred to the measurable achievement outcomes as stated in the Investment Justification.	Narrative (1500 char. max.)	The response provides a clear explanation of how the funds will be utilized and demonstrates the need to achieve the outcomes.
IV.F Identify up to ten projects/activities, with start and end dates, which will be implemented over the 24 month period of performance (October 1, 2012 - September 30, 2014). Provide the following information: - Project Name - Funding Amount - Project Management Process - Start Month/Year - End Month/Year	Short title (100 char. max.) Amount <i>Initiate, Plan, Execute, Control, Close Out</i> Month/Year Month/Year	The response also provides a clear description of projects/activities that will demonstrate progress towards achieving the Investment.
IV.G Does this Investment require new construction or renovation, retrofitting, or modification of existing structures?	No/Yes	
V. Law Enforcement Terrorism Prevention Activities (LETPA) (N/S)		
IV.A If applicable, provide the proposed funding amount that is expected to be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA). <i>Please note, at least 25 percent (25%) of the total amount awarded to recipient must be dedicated towards LETPA.</i>	Amount	N/S
VI. Accomplishments and Impact (25%)		
VI.A Describe the outcomes that will be achieved as a result of this Investment. The outcomes should demonstrate improvements towards building capabilities described in Section III, Baseline.	Narrative (1500 char. max.)	The response provides a clear description of how the outcomes will be achieved during the FY 2012 THSGP period of performance. The response also describes how accomplishments will bridge capability gap(s) outlined in Section III, Baseline.
VI.B Identify the mission areas that are supported by this Investment:	Select all that apply	N/S

N/S: Not Scored