



U.S. DEPARTMENT OF HOMELAND SECURITY

FISCAL YEAR 2011

**HOMELAND SECURITY GRANT PROGRAM**

INVESTMENT JUSTIFICATION  
PLANNING WORKSHEET

MAY 2011



U.S. DEPARTMENT OF HOMELAND SECURITY

# CONTENTS

**Part I. FY 2011 HSGP Investment Justification Planning Worksheet Overview .....2**

    Overview of the Investment Justification Planning Worksheet .....2

    General Reminders .....2

    Summary of the IJ Review Process .....4

**Part II. FY 2011 HSGP Investment Justification .....5**

    Overall Investment Justification Information .....5

    I. Overview .....6

    II. Baseline .....8

    III. Project Management and Milestones .....10

    IV. Accomplishments and Impact .....14

**Appendix A. Project Management Lifecycle .....16**

**Appendix B. FY 2010 and FY 2011 HSGP IJ Comparison Chart .....17**

**Appendix C. FY 2011 HSGP Supplemental Resources .....20**

## PART I.

# FY 2011 HSGP INVESTMENT JUSTIFICATION PLANNING WORKSHEET OVERVIEW

### OVERVIEW OF THE INVESTMENT JUSTIFICATION PLANNING WORKSHEET

The FY 2011 HSGP Investment Justification Planning Worksheet provides applicants with an optional, off-line tool, in MS Word, to assist in developing each Investment to be included as part of the final Investment Justification (IJ). In addition to this Planning Worksheet, an optional Excel-based tool is available to States and territories to provide a macro-level overview of Investment focus areas to include how proposed funding will be utilized across HSGP funding sources. In order to maximize the utility of the Excel-based tool, States and territories are encouraged to transfer key budgetary data from individual Investments into the Excel tool once all Investments have been finalized and available to States and territories.

The IJ Planning Worksheet is **only** a preparatory tool. States, territories, and Urban Areas are **required** to use the web-based IJ submission module provided by FEMA in the Grants Reporting Tool (GRT) for their FY 2011 HSGP IJ submission. Each applicant's official IJ submission module is located on the GRT at <https://www.reporting.odp.dhs.gov/>. This is also the location through which applicants can access the *GRT IJ Submissions Technical User's Guide*, which includes instructions on how to log into the GRT and complete the IJ.

### GENERAL REMINDERS

This offline Planning Worksheet **only** applies to State Homeland Security Program (SHSP), Urban Area Security Initiative (UASI), Metropolitan Medical Response System (MMRS), and Citizen Corps Program (CCP) applicants. Therefore, this is not applicable to the Operation Stonegarden (OPSG) program. OPSG applicants should refer to Part VI – “Other Information,” Section E – “OPSG Operations Order Template” of the *FY 2011 HSGP Guidance and Application Kit* for the OPSG application template.

The Planning Worksheet allows applicants to take advantage of Spelling and Grammar as well as Character Count functionalities available in MS Word during the IJ development. Applicants are strongly encouraged to utilize such functionalities prior to transferring text from MS Word to the GRT to ensure adherence with formatting requirements. Note that character count limits do not include spacing; however, all forms of punctuation are counted against the character count maximum.

The IJ submission module will be available to applicants on **May 19, 2011**. At this time, applicants may begin transferring data from the MS Word IJ Planning Worksheet to the applicant's IJ submission module in the GRT. Please allow enough time before (or no later than 11:59 p.m. EDT) **June 20, 2011** to complete the IJ in the GRT and submit the required

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**

Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)

application materials using the ND Grants system located at <https://portal.fema.gov>. Urban Areas should work in accordance with their respective State's timelines and processes identified by the SAA to ensure the Urban Area IJ is submitted by the SAA in compliance with the application deadline.

After the IJ application has been marked 'complete' in the GRT, SAAs on behalf of applicants must obtain a PDF version of the application from the GRT to upload as an attachment on the ND Grants system located at <https://portal.fema.gov>.

Note that the application must be started and submitted using [www.grants.gov](http://www.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

When applicants apply through <http://www.grants.gov>, the Standard Form 424 in the initial Grants.gov application will need to be submitted. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Because FEMA will need to conduct an initial review of the application prior to the submission deadline of June 20, 2011, grantees are encouraged to initiate and complete the Standard Form 424 submission within Grants.gov by **no later than June 13, 2011**. Upon the completion of the initial review, FEMA will determine whether an application should proceed further and the applicant will be notified to complete their submission by fulfilling additional application requirements (e.g., budget, Investment Justification, Work Plan, etc.) listed below by **no later than June 20, 2011**.

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 FEMA's Enterprise Service Desk at (888) 457-3362. 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. 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

Additionally, FY 2011 UASI Urban Area applicants are required to provide an overview of their Urban Area Working Group structure to include a list of members and their associated jurisdictions. For FY 2011 OPSG applicants, Operations Orders and Detailed Budget

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**

Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)

Summary are required from eligible local units of government at the county level and federally-recognized Tribal governments within States and territories. States and territories will provide FEMA with an inventory of Operations Orders using the FEMA-provided template at the time of application submission.

Each State's IJ may contain up to **17** individual Investments. Of the 17 Investments, **at least one Investment** must provide direct funding support to the State's primary fusion center, as designated by the Governor. Additionally, FY 2011 eligible UASI Urban Areas are required to provide **at least one Investment** to provide direct funding support to the DHS-recognized fusion center within in the Urban Area. Grantees must coordinate with fusion center when developing a fusion center Investment prior to submission.

SHSP and UASI applicants may submit up to 15 Investments each. CCP and MMRS applicants are required to submit at least one Investment per program. Applicants must ensure that the total estimated funding amounts across all Investments should not exceed the SHSP, UASI, MMRS, and CCP program allocations as published in the *FY 2011 HSGP Guidance and Application Kit*.

## **SUMMARY OF THE IJ REVIEW PROCESS**

Each Investment will be reviewed separately by reviewers. Reviewers will evaluate all Investments regardless of what funding source has been indicated for each Investment (i.e., SHSP, UASI, MMRS, CCP). Although reviewers will review all sections individually, this Planning Worksheet identifies sections of the Investment that will be closely examined by reviewers and what criteria reviewers will consider when recommending Investments for approval or conditional approval. Questions that reviewers will use during the review process and to assist in the overall approval or conditional approval recommendation of Investments are derived from the "Helpful Tips for Completing this Section" guidance. Applicants should delete "Helpful Tips for Completing this Section" once the developing of the application is initiated to ensure maximum space permitted when completing each section.

Reviewers will examine Investments across four sections listed below:

- Overview
- Baseline
- Project Management and Milestones
- Accomplishments and Impact

After all Investments within an IJ have been reviewed, reviewers will provide a constructive feedback with recommendations on how applicants can improve future application submissions.

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**

Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)

## PART II.

# FY 2011 HSGP INVESTMENT JUSTIFICATION PLANNING WORKSHEET

### OVERALL INVESTMENT JUSTIFICATION INFORMATION

**Describe how the spectrum of terrorism and natural hazard risks that the State/territory/Urban Area faces influenced the development of this Investment Justification to include all Investments.**

*A maximum of 1500 character limit is allowed for this response.*

*Helpful Tips for Completing this Section: Applicants should describe the spectrum of all-hazard risks the applicant faces. Description should provide the framework for all Investments provided within the IJ. Applicants are encouraged to align their IJ with their State and Urban Area homeland security strategies and priorities. Per the Implementing the Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53), applicants must demonstrate how the IJ will contribute to building and/or sustaining capabilities and assist in preventing, preparing for, protecting against, and responding to acts of terrorism.*

**Identify the amount and percentage of funding that will be dedicated to Management and Administration expenditures.**

Note: The Total M&A Amount and Total M&A Percentage **will not** be automatically calculated in the table below. The GRT will automatically calculate the total as you transfer your answers. The total M&A percentage should not exceed five percent (5%) of the

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**  
Please transfer all responses completed in this worksheet to the IJ Submission module in the  
Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)

allocated funding. Please note that M&A should be calculated at the overall IJ level per program (e.g., SHSP, UASI, MMRS, CCP) and not at the individual Investment level.

Program	M&A Amount	M&A Percentage
SHSP	\$	%
UASI	\$	%
MMRS	\$	%
CCP	\$	%
<b>Total:</b>	<b>\$</b>	<b>%</b>

## I. OVERVIEW

**I.A Is this Investment New or Ongoing:** (Double click to place an “X” in the corresponding box. Within the GRT, this will be a drop-down menu.)

**New**       **Ongoing**

**If the Investment is Ongoing, identify the Investment(s) from prior year(s) to include:**  
(FY 2007 – FY 2010)

Note: Applicants may select up to **three** prior years’ Investments. Within the GRT, applicants will *only* have the ability to select previously *funded* Investments from a drop-down menu.

**I.B Provide the FY 2011 Investment name:** (100 character max)

**I.C Provide the applicant name:** (State/territory or Urban Area) (100 character max)

**I.C Identify if this Investment focuses on building new capabilities or sustaining existing capabilities.** (Double click to place an “X” in the corresponding box. Within the GRT, this will be a drop-down menu.)

**Building New Capabilities**       **Sustaining Existing Capabilities**

For additional information on maintenance and sustainment, please refer to Information Bulletins 336 and 348, located at

<http://www.fema.gov/government/grant/bulletins/index.shtm>.

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**

Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)



**I.D Provide a description of this Investment, including the planning, organization, equipment, training, and/or exercises that will be involved.**

*A maximum of 2500 character limit is allowed for this response.*

*Helpful Tips for Completing this Section: Describe how the planning, organization, equipment, training, or exercises activities within this Investment support State and/or Urban Area as well as HSGP priorities. For example, per the FY 2011 SHSP and UASI Priority, Advancing “Whole Community” Security and Emergency Management, planning activities can include developing and maintaining viable all-hazards, all-threats emergency operations plans by engaging the whole community in thinking through the life cycle of a potential crisis, determining required capabilities, and establishing a framework for roles and responsibilities. Examples of organization efforts include the 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. Additionally, organization efforts can include responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs resulting from a National Special Security Event. The NTAS replaces the color codes of the Homeland Security Advisory System (HSAS). Other examples can include establishing, enhancing, and staffing State and Major Urban Area fusion centers, and paying salaries and benefits for personnel to serve as qualified intelligence analysts. For equipment-related projects, applicants should reference the 21 allowable prevention, protection, response, and recovery equipment categories and equipment standards for FY 2011 HSGP listed on the web-based version of the Authorized Equipment List (AEL) at <https://www.rkb.us>. For training-related projects, applicants should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to a building a capability that will be evaluated through an exercise. Additionally, for SHSP and UASI applicants, all personnel engaged in the National Suspicious Activity Reporting (SAR) Initiative (NSI), the “If You See Something, Say Something” campaign as a component of the NSI, and local efforts, will be required to complete the Department’s NSI training. For exercises-related projects, applicants must manage and execute exercises conducted with FEMA support in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP) at <https://hseep.dhs.gov>.*

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**

Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)



## II. BASELINE

### II.A Identify the goals and objectives in your State and/or Urban Area Homeland Security Strategy supported by this Investment.

*A maximum of 1500 character limit is allowed for this response.*

*Helpful Tips for Completing this Section: Applicants should demonstrate linkages between specific projects undertaken with SHSP and UASI funds with strategic goals and objectives identified in the State and/or Urban Area Homeland Security Strategy. Beginning in FY 2011, States and Urban Areas will be required to update their Homeland Security Strategies every two years. As part of the FY 2011 HSGP application submission, applicants will be encouraged to upload an updated version of their Homeland Security Strategies. Reviewers will reference the updated State and Urban Area Homeland Security Strategies to ensure the Investment's alignment with goals and objectives.*

**II.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 2011 funds.**

*A maximum of 1500 character limit is allowed for this response.*

*Helpful Tips for Completing this Section: Applicants should provide a clear description of existing capability levels that will support identified goals and objectives in Section II.A. Applicants should describe the current state (baseline or starting point) of the Investment at the beginning of the FY 2011 HSGP period of performance. Applicants may discuss major milestones, purchases, training activities, or other implementation steps that have been or will have been started and/or completed before the application of FY 2011 HSGP funds.*

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**

Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)

**II.C Explain the capability gap(s) that this Investment is intended to address.**

*A maximum of 1500 character limit is allowed for this response.*

*Helpful Tips for Completing this Section: Applicants should describe gaps between existing capabilities, as identified in Section II.B, and desired capability as outlined in Section II.A. Applicants should also demonstrate how this Investment will enable the whole community to maintain a baseline understanding of the risks they face, facilitating efforts to identify capability and resource gaps, focus capability improvements, and inform the community of actions they can take to manage risks. Where appropriate, applicants should quantify where capability gaps exist that may hinder their ability to successfully improve and play a critical role in helping communities in all stages of a disaster preparation, response, and long-term recovery. Applicants should also specify what they would require to building safe, secure, and resilient communities.*

**III. PROJECT MANAGEMENT AND MILESTONES**

*Helpful Tips for Completing this Section: Applicants should demonstrate a comprehensive understanding of how the Investment supports identified Law Enforcement Terrorism Prevention Activities (LETPA), Target Capabilities, and primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.*

**III.A Provide the FY 2011 Primary and Secondary Funding Source and Amount:**

Funding Source		Funding Amount
Primary Proposed Funding Source (Select One)	SHSP, UASI, CCP, or MMRS	\$
Secondary Proposed Funding Source, if applicable (Select One)	SHSP, UASI, CCP, or MMRS	\$
<b>FY 2011 Proposed Amount</b>		<b>\$</b>

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**

Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)

**For SHSP or UASI Only. Identify if this Investment supports a fusion center.** (Double click to place an “X” in the corresponding box. Within the GRT, this will be a drop-down menu.)

Yes       No

**III.B How much of this Investment will be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA):**

\$

Applicants should ensure that no less than 25 percent (25%) of appropriated SHSP and no less than 25 percent (25%) of appropriated UASI funds are directed to LETPA activities. **For specific funding minimum requirements, please refer to Part II – “Award Information” of the FY 2011 HSGP Guidance and Application Kit.**

**III.C Identify the Target Capabilities supported by this Investment and for each of the selected Target Capabilities, provide the proposed funding amount to be obligated from this Investment.**

*Helpful Tips for Completing this Section: Target Capabilities selected should be relevant to the capability gap(s) described in Question II.C. Responses should be comprehensive for the Investment.*

The table below **will not** automatically calculate the Total Amount of Proposed Funding; however, the GRT will automatically calculate the Total Amount as you enter funding amounts. The GRT will also automatically calculate the percent of proposed funding per Target Capability as you enter the amount across Target Capabilities. Applicants must ensure that the total percentage of proposed funding must equal to 100 percent (100%). The Total Amount of Proposed Funding should match the amount you entered in section III.A above.

Target Capabilities (As Identified Above)	Amount of Proposed Funding (\$)	Percent of Proposed Funding (%)
Planning	\$	<i>Percent of Proposed Funding will be automatically calculated by the GRT as you enter the amount across the Target Capability categories.</i>
Communications	\$	
Community Preparedness and Participation	\$	
Risk Management	\$	
Intelligence and Information Sharing and Dissemination	\$	
Information Gathering and Recognition of Indicators and Warnings	\$	
Intelligence Analysis and Production	\$	
Counter-Terror Investigation and Law Enforcement	\$	
Chemical, Biological, Radiological/Nuclear, and Explosive (CBRNE) Detection	\$	
Critical Infrastructure Protection	\$	
Food and Agriculture Safety and Defense	\$	

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**

Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)

Target Capabilities (As Identified Above)	Amount of Proposed Funding (\$)	Percent of Proposed Funding (%)
Epidemiological Surveillance and Investigation	\$	
Laboratory Testing	\$	
On-Site Incident Management	\$	
Emergency Operations Center Management	\$	
Critical Resource Logistics and Distribution	\$	
Volunteer Management and Donations	\$	
Responder Safety and Health	\$	
Emergency Public Safety and Security	\$	
Animal Disease Emergency Support	\$	
Environmental Health	\$	
Explosive Device Response Operations	\$	
Fire Incident Response Support	\$	
Weapons of Mass Destruction (WMD) and Hazardous Materials Response and Decontamination	\$	
Citizen Evacuation and Shelter-in-Place	\$	
Isolation and Quarantine	\$	
Search and Rescue (Land-Based)	\$	
Emergency Public Information and Warning	\$	
Emergency Triage and Pre-Hospital Treatment	\$	
Medical Surge	\$	
Medical Supplies Management and Distribution	\$	
Mass Prophylaxis	\$	
Mass Care (Sheltering, Feeding, and Related Services)	\$	
Fatality Management	\$	
Structural Damage Assessment	\$	
Restoration of Lifelines	\$	
Economic and Community Recover	\$	
<b>Total:</b>	<b>\$</b>	

For additional information on the Target Capabilities List, please visit  
<http://www.fema.gov/pdf/government/training/tcl.pdf>.

**III.D Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.** (Please provide amounts for all that apply)

Note: The table below **will not** automatically calculate the Total Amount of Proposed Funding. The GRT will automatically calculate the total as you transfer your answers. The Total Amount of Proposed Funding should match the amount you entered in question III.A above.

*Helpful Tips for Completing this Section: Planned expenditures should be appropriate for the Solution Area and grant program in which they are described; however, the list of planned expenditures does not have to be exhaustive.*

Solution Area	Amount of Proposed Funding (\$)	Percent of Proposed Funding (%)
Planning	\$	<i>Percent of Proposed Funding will be automatically calculated by the GRT as you enter the amount across the POETE categories</i>
Organization	\$	
Equipment	\$	
Training	\$	
Exercises	\$	
<b>Total:</b>	<b>\$</b>	<b>100%</b>

**III.E Identify up to ten projects within this Investment, with start and end dates, which will be implemented over the 36 month period of performance. Provide the following information:**

*Helpful Tips for Completing this Section: Please reference Appendix A for a detailed description of the Project Management Lifecycle. The projects/activities should demonstrate progress towards achieving the Investment within the FY 2011 HSGP period of performance.*

Project/Activity One	Amount of Proposed Funding (\$)
Project Name	
Funding Amount	\$
Project Management Step (Select all that apply)	Initiate, Plan, Execute, Control, Close Out
Start Month/Year	
End Month/Year	

For any additional projects, please copy and paste a blank copy of the above table to complete the required fields.

**III.F Does this Investment require new construction or renovation, retrofitting, or modification of existing structures?** (Double click to place an "X" in the corresponding box)

Yes       No



#### **IV. ACCOMPLISHMENTS AND IMPACT**

**IV.A Describe the outcomes that will be achieved as a result of this Investment. The outcomes should demonstrate improvement towards building capabilities described in Section II, Baseline.**

*A maximum of 1500 character limit is allowed for this response.*

*Helpful Tips for Completing this Section: Applicants should:*

- *Provide a description of the anticipated outcomes that will be achieved during the FY 2011 HSGP period of performance;*
- *Indicate how the implementation of the Investment will continue to fill capability gaps beyond the period of performance;*
- *Demonstrate how accomplishments will demonstrate progress toward the overall objective of the Investment and bridge capability gap(s) as outlined in Section II.A; and*
- *Describe how successful maintenance and sustainment of the capabilities identified within the Investment will be supported to achieve long-term continuity.*

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**

Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)

**IV. B Identify the National Priorities that are supported by this Investment.** (Double click to place an “X” in the corresponding box)

**Available National Priorities**

- Expand Regional Collaboration
- Implement the National Incident Management System (NIMS) and National Response Plan (NRF)
- Implement the National Infrastructure Protection Plan (NIPP)
- Strengthen Information Sharing and Collaboration Capabilities
- Strengthen Interoperable and Operable Communications Capabilities
- CBRNE Detection, Response, and Decontamination Capabilities
- Strengthen Medical Surge and Mass Prophylaxis Capabilities
- Strengthen Planning and Citizen Preparedness Capabilities

For additional information on the National Priorities, please visit

[http://www.fema.gov/pdf/emergency/nrf/National Preparedness Guidelines.pdf](http://www.fema.gov/pdf/emergency/nrf/National_Preparedness_Guidelines.pdf).

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**

Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)

## APPENDIX A. PROJECT MANAGEMENT LIFECYCLE

The main steps and processes of the Project Management Lifecycle are summarized in the below table:

Steps	Description	Process
Initiate	The authorization to begin work or resume work on any particular activity.	Involves preparing for, assembling resources and getting work started. May apply to any level, e.g. program, project, phase, activity, task.
Plan	The purposes of establishing, at an early date, the parameters of the project that is going to be worked on as well as to try to delineate any specifics and/or any peculiarities to the project as a whole and/or any specific phases of the project.	Involves working out and extending the theoretical, practical, and/or useful application of an idea, concept, or preliminary design. This also involves a plan for moving a project concept to a viable project.
Execute	The period within the project lifecycle during which the actual work of creating the project's deliverables is carried out.	Involves directing, accomplishing, managing, and completing all phases and aspects of work for a given project.
Control	A mechanism which reacts to the current project status in order to ensure accomplishment of project objectives. This involves planning, measuring, monitoring, and taking corrective action based on the results of the monitoring.	Involves exercising corrective action as necessary to yield a required outcome consequent upon monitoring performance. Or, the process of comparing actual performance with planned performance, analyzing variances, evaluating possible alternatives, and taking appropriate correct action as needed.
Close Out	The completion of all work on a project. Can also refer to completion of a phase of the project.	Involves formally terminating and concluding all tasks, activities, and component parts of a particular project, or phase of a project.

For additional information on the Project Management Lifecycle, please visit Project Management Institute's (PMI) *A Guide to the Project Management Body of Knowledge* (PMBOK Guide) at <http://www.pmi.org/PMBOK-Guide-and-Standards.aspx>. Specifically, applicants are encouraged to reference Chapter three of the PMBOK Guide, *The Standard for Project Management of a Project*.

**APPENDIX B.**  
**FY 2010 AND FY 2011 HSGP IJ COMPARISON CHART**

FY 2010	FY 2011 <sup>1</sup>
<b>Overall Investment Justification Portfolio (25%)</b>	<b>Overall Investment Justification Portfolio</b>
<ul style="list-style-type: none"> <li>All Investments will be evaluated together. <i>(Replaced in FY 2011 by the “Accomplishments and Impact” section) (Scored)</i></li> </ul>	<ul style="list-style-type: none"> <li>Describe how the spectrum of terrorism and natural hazard risks that the State/territory/Urban Area faces influenced the development of this Investment Justification to include all Investments.  (Narrative, 1500 character max)</li> </ul>
<ul style="list-style-type: none"> <li>(N/A<sup>2</sup>)</li> </ul>	<ul style="list-style-type: none"> <li>Identify the amount and percentage of funding that will be dedicated to Management &amp; Administration expenditures.</li> </ul>
<b>Baseline (N/S) / Investment Information (N/S)</b>	<b>Overview</b>
<p><b>Baseline:</b></p> <ul style="list-style-type: none"> <li>Identify the Investment as <i>New</i> or <i>Ongoing</i>.</li> </ul>	<ul style="list-style-type: none"> <li>Identify the Investment as <i>New</i> or <i>Ongoing</i>.</li> </ul>
<ul style="list-style-type: none"> <li>If the Investment is ongoing, identify the corresponding: (N/S) <ul style="list-style-type: none"> <li>FY 2006 – 2009 Investment Name(s) and Funding Amount(s) for each year, as applicable</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>If the Investment is <i>Ongoing</i>, identify the Investment(s) from prior year(s): <ul style="list-style-type: none"> <li>Fiscal Year (FY 2007 – FY 2010)</li> <li>Investment Name (Select up to three)</li> </ul> </li> </ul>
<p><b>Investment Information:</b></p> <ul style="list-style-type: none"> <li>Investment Number and Name (N/S) (Short title, 100 character max)</li> </ul>	<ul style="list-style-type: none"> <li>Investment Name (Short title, 100 character max)</li> </ul>
<ul style="list-style-type: none"> <li>Applicant Name (N/S) <ul style="list-style-type: none"> <li>State/Territory or Urban Area (if applicable)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Applicant Name <ul style="list-style-type: none"> <li>State/Territory or Urban Area (if applicable)</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li><i>(Applicants captured requested information as part of the “Funding and Target Capabilities” section during FY 2010)</i></li> </ul>	<ul style="list-style-type: none"> <li>Select the Funding Program for this Investment: <ul style="list-style-type: none"> <li>SHSP, UASI, MMRS, CCP</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li><i>(Applicants captured requested information as part of the “Strategy” discussion during FY 2010)</i></li> </ul>	<ul style="list-style-type: none"> <li>Identify if this Investment focuses on building new capabilities or the sustainment of existing capabilities.</li> </ul>

<sup>1</sup> FY 2011 Total Narrative Character Count Permitted (with no spaces): 10000. FY 2010 Total Narrative Character Count Permitted: 4000.

<sup>2</sup> N/A: Not Applicable; N/S: Not Scored.

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**  
Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)

FY 2010	FY 2011
<ul style="list-style-type: none"> <li>(Applicants captured requested information as part of the “Strategy” discussion during FY 2010 )</li> </ul>	<ul style="list-style-type: none"> <li>Provide a description of this Investment, including the planning, organization, equipment, training, and/or exercises that will be involved.  (Narrative, 2500 character max)</li> </ul>
<b>Strategy (25%)</b>	<b>Baseline</b>
<ul style="list-style-type: none"> <li><u>Strategy – Investment Description.</u> Provide a description of this Investment and identify all goals and objectives in your State and/or Urban Area Homeland Security Strategy supported by this Investment. (Scored)  (Narrative, 2500 character max)</li> </ul>	<ul style="list-style-type: none"> <li>Identify the goals and objectives in your State and/or Urban Area Homeland Security Strategy supported by this Investment.  (Narrative, 1500 character max)</li> </ul>
<ul style="list-style-type: none"> <li>(N/A)</li> </ul>	<ul style="list-style-type: none"> <li>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 2011 funds.  (Narrative, 1500 character max)</li> </ul>
<ul style="list-style-type: none"> <li>(N/A)</li> </ul>	<ul style="list-style-type: none"> <li>Explain the capability gap(s) that this Investment is intended to address.  (Narrative, 1500 character max)</li> </ul>
<b>Funding and Target Capabilities (25%) / Project Management (25%)</b>	<b>Project Management and Milestones</b>
<p><b>Funding and Target Capabilities:</b></p> <ul style="list-style-type: none"> <li><u>Funding.</u> The FY 2010 Funding Program and Proposed Funding amount identified for this Investment are as follows: (Scored) <ul style="list-style-type: none"> <li>FY 2010 Funding Program: Select one funding source (SHSP, UASI, MMRS or CCP)</li> <li>FY 2010 HSGP Proposed Funding Amount</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Provide the proposed FY 2011 HSGP funding amount for this Investment</li> </ul>
<ul style="list-style-type: none"> <li><u>Law Enforcement Terrorism Prevention Activities Funding (LETPA).</u> As applicable to SHSP and UASI, provide the proposed funding amount that is expected to be obligated towards LETPA. (Scored)</li> </ul>	<ul style="list-style-type: none"> <li>If applicable, provide the proposed funding amount that is expected to be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA)</li> </ul>

FY 2010	FY 2011
<ul style="list-style-type: none"> <li>• <u>Target Capabilities</u>. From the 37 Target Capabilities, select all Target Capabilities supported by this Investment. <i>(Scored)</i></li> <li>• <u>Proposed Funding by Target Capabilities</u>. For each of the selected Target Capabilities, provide the proposed funding amount to be obligated from this Investment. <i>(Scored)</i></li> </ul>	<ul style="list-style-type: none"> <li>• Identify the Target Capabilities that are supported by this Investment. For each of the selected Target Capabilities, provide the proposed funding amount to be obligated from this Investment.</li> </ul>
<ul style="list-style-type: none"> <li>• <u>Proposed Funding by Solution Area</u>. Provide the proposed funding amount to be obligated from this Investment towards Planning, Organization, Equipment, Training, and Exercises. <i>(Scored)</i></li> </ul>	<ul style="list-style-type: none"> <li>• Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.</li> </ul>
<ul style="list-style-type: none"> <li>• <u>Optional Cost Share</u>. If desired, provide the optional cost share source and funding amount for this Investment. <i>(N/S)</i></li> </ul> <p>(Narrative, 1500 character max)</p>	<ul style="list-style-type: none"> <li>• <i>(Removed for FY 2011)</i></li> </ul>
<p><b>Project Management:</b></p> <ul style="list-style-type: none"> <li>• <u>Project Management</u>. Identify up to ten milestones, with start and end dates that will be achieved within the three-year, FY 2010 HSGP period of performance. Depending on the timing of award allocations, the FY 2010 period of performance is estimated to occur from approximately September 2010 – September 2013. <i>(Scored)</i></li> </ul>	<ul style="list-style-type: none"> <li>• Identify up to ten projects/activities, with start and end dates, which will be implemented over the 36 month period of performance. Provide the following information: <ul style="list-style-type: none"> <li>– Project Name (Short title, 100 character max)</li> <li>– Funding Amount</li> <li>– Project Management Process</li> <li>– Start Month/Year</li> <li>– End Month/Year</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>• <i>(N/A)</i></li> </ul>	<ul style="list-style-type: none"> <li>• Does this Investment require new construction or renovation, retrofitting, or modification of existing structures?</li> </ul>
<p><b>Strategy (Cont., N/S)</b></p>	<p><b>Accomplishments and Impact (25%)</b></p>
<ul style="list-style-type: none"> <li>• <i>(N/A)</i></li> </ul>	<ul style="list-style-type: none"> <li>• Describe the outcomes that will be achieved as a result of this Investment. The outcomes should demonstrate improvements towards building capabilities described in the “Baseline” section.</li> </ul> <p>(Narrative, 1500 character max)</p>
<ul style="list-style-type: none"> <li>• <u>Strategy – National Priorities</u>. Identify up to four National Priorities that are supported by this Investment.</li> </ul>	<ul style="list-style-type: none"> <li>• Identify the National Priorities that are supported by this Investment.</li> </ul>

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**

Please transfer all responses completed in this worksheet to the IJ Submission module in the Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)



## APPENDIX C. FY 2011 HSGP SUPPLEMENTAL RESOURCES

In addition to the *FY 2011 HSGP Grant Guidance and Application Kit*, supplemental resources are available to grantees. Please see below for a list of supplemental resources:

- FY 2011 HSGP Supplemental Resource: Cyber Security Guidance, <http://www.fema.gov/government/grant/hsgp/index.shtm>
- FY 2011 HSGP Supplemental Resource: Domestic Nuclear Detection Office, <http://www.fema.gov/government/grant/hsgp/index.shtm>
- FY 2011 HSGP Supplemental Resource: Baseline Capabilities for State and Major Urban Area Fusion Centers, <http://www.fema.gov/government/grant/hsgp/index.shtm>
- FY 2011 HSGP Supplemental Resource: National Continuity Programs Directorate Integrated Public Alert and Warning (IPAWS) Guidance, <http://www.fema.gov/government/grant/hsgp/index.shtm>
- FY 2011 HSGP Supplemental Resource: Law Enforcement Information Sharing (LEIS) Service Guidance, <http://www.fema.gov/government/grant/hsgp/index.shtm>
- FY 2011 HSGP Supplemental Resource: Children in Disasters Guidance, <http://www.fema.gov/government/grant/hsgp/index.shtm>
- FY 2011 HSGP Supplemental Resource: National Information Exchange Model (NIEM) Guidance, <http://www.fema.gov/government/grant/hsgp/index.shtm>
- FY 2011 HSGP Supplemental Resource: Office of Health Affairs Overview, <http://www.fema.gov/government/grant/hsgp/index.shtm>
- FY 2011 HSGP Supplemental Resource: Privacy Impact Assessment Guidance, <http://www.fema.gov/government/grant/hsgp/index.shtm>
- FY 2011 HSGP Supplemental Resource: SAFECOM Guidance, <http://www.fema.gov/government/grant/hsgp/index.shtm>
- FY 2011 HSGP Supplemental Resource: Review of DHS's Approach to Risk Analysis, <http://www.nap.edu/catalog/12972.html>
- FY 2011 HSGP Supplemental Resource: DHS Risk Lexicon, <http://www.dhs.gov/xlibrary/assets/dhs-risk-lexicon-2010.pdf>
- FY 2011 HSGP Supplemental Resource: Quadrennial Homeland Security Review (QHSR) Report, [http://www.dhs.gov/xlibrary/assets/qhsr\\_report.pdf](http://www.dhs.gov/xlibrary/assets/qhsr_report.pdf)
- FY 2011 HSGP Supplemental Resource: Bottom-Up Review Report, [http://www.dhs.gov/xlibrary/assets/bur\\_bottom\\_up\\_review.pdf](http://www.dhs.gov/xlibrary/assets/bur_bottom_up_review.pdf)

**THIS WORKSHEET MAY NOT BE SUBMITTED TO [www.grants.gov](http://www.grants.gov)**  
Please transfer all responses completed in this worksheet to the IJ Submission module in the  
Grants Reporting Tool (<https://www.reporting.odp.dhs.gov/>)