



*Preparedness Directorate
Office of Grants and Training*

FY 2007 Homeland Security Grant Program

Investment Justification Reference Guide

January 2007



U.S. DEPARTMENT OF HOMELAND SECURITY

TABLE OF CONTENTS

I. PURPOSE	2
II. IMPROVEMENTS FROM FY 2006 TO FY 2007	3
INVESTMENT JUSTIFICATION IN FY 2006	3
FEEDBACK FROM PREPAREDNESS PARTNERS	3
UPDATES MADE TO THE FY 2007 INVESTMENT JUSTIFICATION	3
III. SUBMISSION REQUIREMENTS.....	6
INVESTMENT JUSTIFICATIONS.....	6
ENHANCEMENT PLANS	6
GRANTS.GOV	7
ADDITIONAL INFORMATION	7
IV. REVIEW PROCESS, WEIGHTS, AND SCORING	8
SCORING	12
MULTI-STATE OR MULTI-URBAN AREA INVESTMENTS	12
V. COMPLETING THE INVESTMENT JUSTIFICATION.....	15
CHARACTER LIMITS	15
GENERAL CONSIDERATIONS FOR COMPLETING THE INVESTMENT JUSTIFICATION	17
INVESTMENT JUSTIFICATION QUESTIONS	19
ADDITIONAL REFERENCES	42
VI. TECHNICAL GUIDANCE.....	43
SYSTEM REQUIREMENTS	43
DOCUMENT NAVIGATION.....	44
COMPLETING THE INVESTMENT JUSTIFICATION	45
HELPFUL TOOLS	48
APPENDIX A: DEFINITIONS	53
APPENDIX B: ACRONYMS	55
APPENDIX C: STATE AND TERRITORY ABBREVIATIONS	56

I. Purpose

The purpose of the Investment Justification Reference Guide is to aid States, Territories and Urban Areas in the development of their Fiscal Year (FY) 2007 Investment Justifications. This Guide complements the FY 2007 Homeland Security Grant Program (HSGP) Guidance and Application Kit, developed by the Office of Grants and Training (G&T) at the Department of Homeland Security (DHS).

This Guide contains specific guidance on:

- Changes incorporated into the FY 2007 Investment Justification based on feedback received from the stakeholders
- Scoring criteria against which each question will be evaluated
- Detailed steps to complete each question in the Investment Justification
- Technical considerations for completing the Investment Justification template

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

- Request HSGP funding for the State Homeland Security Program (SHSP), Urban Areas Security Initiative (UASI), and Law Enforcement Terrorism Prevention Program (LETPP)
- Demonstrate their planned use of funds for the Metropolitan Medical Response System (MMRS) and the Citizen Corps Program (CCP)
- Describe specific funding and implementation approaches over the 36-month grant period of performance that will help enhance and sustain capabilities and achieve outcomes aligned with their respective State/Territory/Urban Area Homeland Security Strategy, and State Program and Capability Enhancement Plan

II. Improvements from FY 2006 to FY 2007

Investment Justification in FY 2006

FY 2006 marked the first time DHS G&T required States, Territories, and Urban Areas to develop Investment Justifications as a part of their application to request HSGP funds. These Investment Justifications included a description of each Investment's ability to impact/enhance homeland security preparedness, as well as the ability of the applicant to successfully execute and implement the Investment.

Feedback from Preparedness Partners

Throughout the course of the FY 2006 HSGP review and scoring process, G&T collected and compiled recommendations from a variety of stakeholder sources. These sources included peer reviewer surveys following the FY 2006 HSGP peer review panel conference, participant surveys from the After Action Conference, as well as formal and informal stakeholder discussions conducted throughout the year.

The G&T-sponsored After Action Conference held in San Diego, California on July 11-12, 2006 involved approximately 130 State, Territory, and local representatives from 46 States and Territories. Attendees participated in one of four working groups; these working groups focused on homeland security planning, the HSGP guidance and application, the effectiveness analysis, and the risk analysis. In September 2006, G&T released an After Action Report highlighting the key recommendations from this conference.

In addition, G&T collected feedback from the Stakeholder Meeting held in Chicago, Illinois on November 8, 2006, as well as the G&T National Conference, held in Washington, DC on November 28-30, 2006.

The feedback and recommendations provided by the stakeholder community has been instrumental in developing this year's Investment Justification. Many stakeholder recommendations will also be implemented in the FY 2007 peer review process.

Updates Made to the FY 2007 Investment Justification

In updating the FY 2007 Investment Justification, G&T placed significant emphasis on the feedback and recommendations from stakeholders. This feedback was considered when making changes to the FY 2007 Investment Justification. In addition, G&T continued to focus on the objectives of the Investment Justification when implementing changes. G&T's objectives for the Investment Justification include:

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

Several of the adopted recommendations and actions taken by G&T are described below:

✓ **Streamline the Investment Justification.** Preparedness partners made several recommendations regarding the Investment Justification questions and content. In response, G&T:

- Reduced the number of questions
- Reordered the questions to produce a more logical flow
- Ensured that questions were not repetitive and provided useful information; the FY 2007 HSGP Investment Justification includes:
 - a question to describe in detail the existing program to date
 - a request for funding information from the previous year
 - a request for specific references to pages in the Enhancement Plan
 - a narrative description of the Investment's linkage to a Target Capability
 - a budget narrative in the funding plan to provide additional detail as to how the requested funds will be used
- Provided clearer guidance in terms of detail and scope for each question in the Investment Justification
- Increased clarity by providing definitions for terms

Though G&T implemented changes in response to stakeholder feedback, the Investment Justification approach established in FY 2006 remains unchanged to facilitate and maintain consistency in the application process, analysis, and reporting in FY 2007.

✓ **Increase flexibility in question response limits.** Many State and local partners recommended the use of page limits in place of character or word limits for the responses to questions. This year, the Investment Justification allows an overall character limit for a group of individually scored narrative questions as opposed to applying constraints to individual question responses. This flexibility allows applicants to determine which questions require more detail for a given Investment and to tailor the responses appropriately.

✓ **Increase transparency into criteria and weights.** In response to this recommendation, G&T is providing more transparency in the review process by providing the relative weights and scoring criteria that will be applied in determining the Investment score. This Reference Guide provides applicants with the weights and scoring criteria for the Investment Justification. **Note:** The weights and scoring

criteria presented in this Reference Guide are the same as those presented in the FY 2007 HSGP Program Guidance and Application Kit.

- ✓ **Improve technology features to make the Investment Justification template more user-friendly.** To improve end user functionality, G&T has increased the font size in the Investment Justification template for easier reading and printing. Additionally, the template is unlocked, making spell-check functions available and allowing for dissemination and compilation of the submission. Finally, a section is included in each Investment to allow applicants to submit a graphic or diagram.
- ✓ **Allow for and provide incentives for multi-State or multi-Urban Area Investment submissions.** In order to recognize the collaborative efforts already underway, and to encourage new collaborative efforts, G&T is providing the opportunity for multiple States or multiple Urban Areas to submit common Investment(s).

III. Submission Requirements

Investment Justifications

Using the Investment Justification template, States and Territories may submit up to 15 Investments for which they wish to utilize FY 2007 HSGP funds to support Initiatives outlined in their Enhancement Plan, and goals and objectives from their Homeland Security Strategy. Each Urban Area, as identified by G&T, may also propose up to a maximum of 15 Investments in addition to those proposed by the State. While States, Territories, and Urban Areas may submit up to 15 Investments each in their Investment Justifications, a total of 15 Investments is not required.

To encourage greater collaboration across States, States will have the opportunity to submit multi-State or multi-Urban Area Investments (further information on multi-State or multi-Urban Area Investments can be found throughout this Reference Guide). All multi-State or multi-Urban Area Investments will be reviewed together by a separate panel of peer reviewers. Similar to other Investments, peer reviewers will evaluate the anticipated effectiveness of multi-State or multi-Urban Area Investments. Additionally, reviewers will evaluate how well the Investments collectively address the identified needs and enhance capabilities across all related States.

Enhancement Plans

In addition to an Investment Justification, the State Program and Capability Enhancement Plan will be used by the peer reviewers to provide context for the Investments outlined in State and Urban Area Investment Justifications. These plans will only be used as a reference, and will not be scored. The Investment Justifications are expected to be self-contained, and should not rely on cross-references to any planning information contained in other sources.

For FY 2007, applicants may submit an updated Enhancement Plan if they have made changes to their FY 2006 Enhancement Plan and wish to submit an updated version. However, an updated submission is not required. In the event that an applicant does not submit an updated Enhancement Plan, the FY 2006 submission will be used as contextual information.

Urban Areas are not required to submit their own Enhancement Plans. The State Enhancement Plan should be reflective of all statewide homeland security priorities, including those specific to Urban Areas. Likewise, Urban Area Investment Justifications must clearly reference support to Statewide Initiatives from the State Enhancement Plan within their Investment Justifications.

If an Urban Area elects to develop an Urban Area-specific Enhancement Plan in addition to the State submission, it must demonstrate coordination with Initiatives in the State Enhancement Plan and include the Urban Area information as an appendix within

the State submission. The consolidated Enhancement Plan, including both State and Urban Area information, must be submitted to G&T as a single attachment as part of the application process.

Grants.gov

Once applicants finalize their Investment Justifications, the State Administrative Agency (SAA) must upload State, Territory, and applicable Urban Area Investment Justifications as attachments in Grants.gov no later than **11:59 p.m. Eastern Standard Time, April 5, 2007**. All Investment Justifications **must** be submitted using the Excel Investment Justification template, which is available on the Office of Grants and Training website. Each State, Territory, and Urban Area should have its own separate Investment Justification file. However, the **Urban Area Investment Justifications must be included as part of the State application submission**. Therefore, it is imperative that the Urban Areas work in accordance with their respective State's timelines and processes identified by the SAA to ensure the Urban Area Investment Justification, while a separate file from the State's Investment Justification submission, is uploaded by the SAA into Grants.gov by the application deadline.

Additional Information

Additional information regarding Grants.gov requirements, FY 2007 HSGP overarching principles and policy priorities, and allowable cost information can be found in the FY 2007 HSGP Guidance and Application Kit.

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

IV. Review Process, Weights, and Scoring

Each Investment Justification will be evaluated by a panel of peer reviewers to determine the anticipated effectiveness of an applicant's plan to address national and local priorities (including the National Preparedness Goal and applicant-specific priorities), with the overall goal of managing risk. This peer review will determine the anticipated effectiveness component for the HSGP funding allocations.

G&T has defined *anticipated effectiveness* as:

- The extent to which the Investment supports the vision of the State, Territory, or Urban Area Homeland Security Strategy and program planning activities
- The ability to successfully execute and implement the Investment to achieve the Investment objectives

For each applicant, the FY 2007 Investment Justification consists of one Overall Investment Justification question for the entire submission, and up to 15 Investments.

Each of the 15 individual Investments contains five sections: I. Baseline, II. Strategy, III. Implementation, IV. Impact, and V. Attachments. Within these five sections, there are a total of 12 individual questions.

While not every question will be individually scored or weighted, peer reviewers will be reviewing every question. An Overall Investment Justification question, and seven high-level concepts, included in the individual Investments, will be used to evaluate anticipated effectiveness, and are defined as follows:

- **Overall Investment Justification Question:** Establishes context for the overall submission and understands the perceived risks that are specific to the applicant, as well as how this understanding of risks influenced the applicant's priorities and planning, and therefore the Investment Justification submission
- **Baseline:** Establishes context for the individual Investment and collects historical information related to the Investment to get a better sense of where the Investment currently stands; this helps provide an understanding of the current state as well as future plans for the Investment
- **Strategy:** Ensures the Investment is aligned with the applicant's Enhancement Plan, Homeland Security Strategy goals and objectives, Target Capabilities, and National Priorities
- **Funding Plan:** Ensures the applicant has plans in place to use the requested funds efficiently and wisely
- **Milestones:** Ensures the applicant has sufficient plans for implementing the Investment over the period of performance, including discrete tasks and timelines
- **Project Management:** Ensures the applicant has the appropriate management team and skill sets in place to oversee the implementation and execution of the Investment
- **Investment Challenges:** Ensures the applicant has identified Investment-related challenges to successful implementation/execution, and has proactive or anticipatory mitigation strategies to address those challenges

- **Impact:** Ensures that the funds dedicated to the Investment will result in measurable, achievable, and outcomes aligned with target capabilities and program needs, and to ensure that plans are in place to maintain the capability level provided by the Investment after FY 2007 HSGP funds have been expended

Weights have been assigned to reinforce priority areas. The following table contains the scoring criteria for each question and the weights that will be applied:

FY 2007 HSGP Scoring Criteria and Weights		
Overall Investment Justification		
Section	Question and Scoring Criteria	Weight
Overall Investment Justification	Overall Investment Justification Question: The information provided will be scored in terms of its contribution to setting context and relationship to other questions.	N/A
Individual Investments		
Section	Question and Scoring Criteria	Weight
Investment Heading	State/Territory name	N/A
	Urban Area name (if applicable)	
	Investment Name	
	Total FY 2007 HSGP funding requested	
	Investment Phase – Ongoing or New	
	Is this a multi-State/Urban Area Investment? If so, with which States/Urban Areas?	
I. Baseline	I.A. FY 2006 HSGP Request Name and Funding The information provided will be scored in terms of its contribution to setting context and relationship to other questions.	N/A
	I.B. Description The information provided will be scored in terms of its contribution to setting context and relationship to other questions.	

Individual Investments		
Section	Question and Scoring Criteria	Weight
II. Strategy	II.A. Enhancement Plan <ul style="list-style-type: none"> • Response provides linkage between the Investment and Initiative from the Enhancement Plan • Response demonstrates how the Investment will contribute to reaching the Enhancement Plan Initiative 	15%
	II.B. Homeland Security Strategy goals and objectives <ul style="list-style-type: none"> • Response provides linkage between the Investment and Homeland Security Strategy goals and objectives • Response demonstrates how the Investment will support the Homeland Security Strategy goals and objectives 	
	II.C. Target Capabilities <ul style="list-style-type: none"> • Explanation provides linkage between the Investment and primary Target Capability • Explanation demonstrates how the Investment will support the primary Target Capability 	
	II.D. National Priorities The information provided will be scored in terms of its contribution to setting context and relationship to other questions.	
III. Implementation	III.A. Funding Plan <ul style="list-style-type: none"> • Explanation references appropriate activities, services, or products for the solution area • Explanation describes how the funds will be used specifically towards this Investment 	10%
	III.B. Milestones <ul style="list-style-type: none"> • Each milestone provides a clear description of the milestone activities as well as start and end dates • Milestones collectively present a clear sequence of events that will allow the Investment to reach its objectives for this period of performance 	10%

Individual Investments		
Section	Question and Scoring Criteria	Weight
	<p>III.C. Project Management</p> <ul style="list-style-type: none"> • Response identifies and describes a project manager role, specifically referencing the responsibilities of the project manager position as well as the decision-making authority; if the project manager is the same as in other Investments, the response explains why this is appropriate • Response describes a contracts management structure • Response describes, at a high-level, the operational roles, responsibilities, and subject matter expertise required to manage the Investment 	25%
	<p>III.D. Investment Challenges</p> <p>Response identifies the following:</p> <ul style="list-style-type: none"> • Investment challenge(s) • Mitigation strategy for each challenge listed • Probability of occurrence • Level of impact should the challenge occur 	5%
IV. Impact	<p>IV.A. Impact</p> <ul style="list-style-type: none"> • Response describes specific outcomes that will determine the Investment’s success, including what will be measured • Response includes specific outputs that lead to outcomes, including what will be measured • Response references performance measures and metrics from the TCL • Response describes how the outcomes will mitigate risks outlined in the Overall Investment Justification Question 	35%
	<p>IV.B. Sustainability</p> <ul style="list-style-type: none"> • Response describes how the capabilities developed by this Investment will be maintained/sustained long term, or • Response describes why the Investment will not be maintained/sustained long term 	
V. Attachments	<p>Graphics:</p> <p>The information provided will be scored in terms of its contribution to setting context and relationship to other questions.</p>	N/A
Weight Total		100%

Scoring

In addition to the individual question scores as described and weighted above, a Comprehensive Investment score will be assigned to each individual Investment as a whole. This score will assess how well the individual question responses collectively demonstrate the applicant's vision for and ability to execute the proposed Investment.

Finally, a Portfolio Management score will be given to the Investment Justification submission as a whole. The purpose of this score is to examine how well the Investments collectively support the applicant's Enhancement Plan and Homeland Security Strategy goals and objectives, and whether there are overlapping requests or duplication of efforts. This review will also include an evaluation of how well the Investments collectively tie together in terms of the understanding of risk identified by the applicant in the Overall Investment Justification question.

The individual question scores, the Comprehensive Investment scores, and the Portfolio Management score will be combined to produce the final anticipated effectiveness score.

Multi-State or Multi-Urban Area Investments

States and Urban Areas may choose to submit multi-State or multi-Urban Area Investments as part of their application. (Multi-State Investments represent shared Investments between two or more States. Multi-Urban area Investments are shared Investments between two or more Urban Areas participating in the UASI program.) States or Urban Areas shall include proposed multi-State or multi-Urban Area activities as one (or more) of up to 15 Investments in their submission. Each participating State or Urban Area must outline the specific components of the multi-State or multi-Urban Area Investment for which it would be responsible, and include that Investment in its own submission. States and Urban Areas must note in the Investment Heading section of the Investment Justification template that a proposed Investment is multi-State or multi-Urban Area and specify the other States or Urban Areas involved in the Investment. Multi-State or multi-Urban Area Investments should be consistent with their respective States' Enhancement Plans and describe the added value in enhancing preparedness provided by the proposed joint Investment.

Multi-State or multi-Urban Area Investments will be reviewed using the same criteria as other Investments outlined in the FY 2007 HSGP Scoring Criteria and Weights table (above). The review panel will also consider additional criteria specific to multi-State or multi-Urban Area Investments, included in the Multi-State and Multi-Urban Area Investment Criteria table (below). Multi-State or multi-Urban Area Investments will be reviewed by a separate peer review panel, which may provide a bonus to the applicants' effectiveness score. Applicants who propose one multi-State or multi-Urban Area Investment may receive up to a 5% bonus. Applicants who propose more than one multi-State or multi-Urban Area Investments may receive up to an 8% bonus. The peer

review panel may also recommend funding amounts for the multi-State or multi-Urban Area Investments, which will be communicated with final award documentation. States and Urban Areas will be required to fund any multi-State or multi-Urban Area Investments that receive a bonus, although specific funding levels will not be mandated.

For additional information, please see the Investment Justification Reference Guide.

Multi-State and Multi-Urban Area Investment Criteria	
Section	Question and Criteria
Investment Heading	State/Territory name
	Urban Area name (if applicable)
	Investment Name
	Total FY 2007 HSGP funding requested
	Investment Phase – Ongoing or New
	Is this a multi-State/Urban Area Investment? If so, with which States/Urban Areas?
	The information provided will be scored in terms of its contribution to setting context and relationship to other questions.
I. Baseline	I.A. FY 2006 HSGP Request Name and Funding
	I.B. Description
	<ul style="list-style-type: none"> • Baseline responses across all States or Urban Areas describe capability gaps that are relevant to each other • Descriptions explain why multi-State or multi-Urban Area collaboration is needed to effectively close the capability gaps
II. Strategy	II.A. Enhancement Plan
	II.B. Homeland Security Strategy goals and objectives
	II.C. Target Capabilities
	II.D. National Priorities
	<ul style="list-style-type: none"> • Strategy responses across all States or Urban Areas are consistent with each other • Investments are supporting similar Initiatives in the Enhancement Plans • Investments are supporting similar State or Urban Area Homeland Security Strategy goals and objectives • Investments are supporting related Target Capabilities and National Priorities
III. Implementation	III.A. Funding Plan
	<ul style="list-style-type: none"> • The amount of funds requested by each State or Urban Area is consistent • The solution areas described address the same solution across all States or Urban Areas

Multi-State and Multi-Urban Area Investment Criteria	
Section	Question and Criteria
	<p>III.B. Milestones</p> <ul style="list-style-type: none"> • Milestones in each Investment include activities that are conducted across States or Urban Areas • Milestones across the multi-State or multi-Urban Area Investments align
	<p>III.C. Project Management</p> <ul style="list-style-type: none"> • Project Management plans consistently reference partner States or Urban Areas • Project Management plans describe how the partners will be organized • Project Management plans indicate who will have decision authority and ownership of Investment outputs
	<p>III.D. Investment Challenges</p> <ul style="list-style-type: none"> • Investment Challenges include challenges posed by coordinating across States or Urban Areas, and their mitigation strategies
IV. Impact	<p>IV.A. Impact</p> <ul style="list-style-type: none"> • Impact responses describe multi-State or multi-Urban Area outputs, outcomes, and measures
	<p>IV.B. Sustainability</p> <ul style="list-style-type: none"> • Sustainability responses include a strategy for continuing multi-State or multi-Urban Area collaboration
V. Attachments	<p>Graphics</p> <p>The information provided will be scored in terms of its contribution to setting context and relationship to other questions.</p>

V. Completing the Investment Justification

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

Character Limits

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

- Overall Investment character limit
- Individual question response character limit

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

Each response that counts toward the overall Investment character limit will display markers next to the response area indicating the approximate character count of the response at that point. Applicants should monitor the length of their responses as there are no warnings if a character limit is exceeded

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

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

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

Investment Questions and Character Limits		
Section	Question	Character Limit
Investment Heading	State/Territory name	N/A
	Urban Area name (if applicable)	N/A
	Investment Name	100 characters
	Total FY 2007 HSGP funding requested	N/A
	Investment Phase – Ongoing or New	N/A
	Is this a multi-State or multi-Urban Area Investment? If so, with which States?	100 characters
I. Baseline	I.A. FY 2006 HSGP Request Name and Funding	100 characters
	I.B. Description	2,500 characters
II. Strategy	II.A. Enhancement Plan	Part of 15,000 character overall limit
	II.B. Homeland Security Strategy goals and objectives	Part of 15,000 character overall limit
	II.C. Target Capabilities	500 characters
	II.D. National Priorities	N/A
III. Implementation	III.A. Funding Plan	500 characters per solution area explanation
	III.B. Milestones	500 characters per milestone
	III.C. Project Management	Part of 15,000 character overall limit
	III.D. Investment Challenges	100 characters per name 500 characters per mitigation strategy
IV. Impact	IV.A. Impact	Part of 15,000 character overall limit
	IV.B. Sustainability	Part of 15,000 character overall limit
V. Attachments	Graphics	N/A

General Considerations for Completing the Investment Justification

- ✓ Only the information included in the Investment Justification will be scored in the peer review process. All other information (e.g. Enhancement Plan, Homeland Security Strategy goals and objectives) is considered supplementary and contextual. As such, responses in the Investment Justification should be self-sufficient and self-contained. Applicants cannot rely on references to other sources of information to explain their response.
- ✓ Applicants are encouraged to minimize the use of acronyms, proper nouns (e.g. names of service providers or contractors) and highly-technical terms specific to their Investment. If these acronyms, names, or terms must be used, they should be clearly defined.
- ✓ States and Urban Areas are strongly encouraged to coordinate with each other to present an application that represents a collaborative, integrated approach, and to avoid duplication of efforts.
- ✓ Text boxes in the Investment Justification template in Excel will display responses in Courier New 11-point font. With this font, every character is the same width (e.g. a period uses the same amount of space as the letter “W”) to facilitate character consistency and counts. For reference, one page (with one inch margins) of text in MS Word in Courier New 11-point font translates to approximately 3,500 characters.
- ✓ To aid applicants in adhering to character limits, text boxes for character-limited responses (not those that contribute to the overall Investment character limit of 15,000 characters) are sized to the length of the response and the character count. Thus, for these short-answer questions, if a response is not fully visible in the text box, the response is too long. Although the text boxes for these questions will accept an unlimited amount of text, text exceeding the character limits will not be reviewed.
- ✓ For the five questions that contribute to the overall character limit, each text box is sized to display 3,500 characters (approximately one page) of text, and also displays character-count markers on the left side to indicate approximate character-count in that line of text. In these questions, text extending beyond the text box’s visible 3,500 characters will be reviewed, provided that the total character count of the five narratives does not exceed 15,000 characters. Text that exceeds the 15,000 character limit will be truncated and therefore not reviewed, regardless of the question on which it happens.
- ✓ Space has been provided in section V. Attachments (Optional) of each Investment to include a graphic (e.g., organizational chart) relevant to the Investment. Please note that the template does not permit text in this area, and only graphics files will be accepted. Recommended file types include: .emf, .wmf, .jpg, .jpeg, .jfif, .jpe, .png, and .gif.

- ✓ Spell check functionality is available in this year's Investment Justification template. For step-by-step instructions on how to spell check an Investment, please refer to Chapter IV. Technical Guidance.
- ✓ An Investment worksheet in MS Word is available. Applicants may choose to use this worksheet in MS Word to draft their responses in order to take advantage of the word count and spell check functionality. However, all final Investment Justification submissions must be submitted in the Excel template.
- ✓ For additional guidance on navigating the Investment Justification template in Excel, please refer to *VI. Technical Guidance*.

Investment Justification Questions

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

- **Objectives:** G&T's objective(s) in asking the question
- **Scoring Criteria:** Scoring criteria for the question
- **Response Checklist:** Key pieces of information to include in the response
- **Helpful Hint:** Scattered throughout the section, these Helpful Hints contain additional considerations that may be helpful to applicants

The section will guide the applicant through ten steps for completing an Investment Justification:

- Step 1: Complete the Overall Investment Justification question
- Step 2: Complete the Investment Heading
- Step 3: Complete the Baseline section
- Step 4: Complete the Strategy section
- Step 5: Complete the Implementation section
- Step 6: Complete the Impact section
- Step 7: Verify that the Funding Table sums correctly and that all numbers are correct
- Step 8: Verify that all responses are within the stated character limits
- Step 9: Reread the application from a peer reviewer's perspective to ensure that all responses clearly answer the questions and outline the proposals in a way that is clear to someone reading it for the first time.
- Step 10: Check spelling

Repeat steps 2 through 10 for each Investment

- Step 11: Save the Investment Justification file
- Step 12: Send to the SAA for submission into Grants.gov

☑ Step 1: Complete the Overall Investment Justification question

Overall Investment Justification Question

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

Overall Investment Justification Question: *Describe your understanding of the spectrum of terrorism and natural hazards risks your State/Territory/Urban Area faces. Explain how this understanding influenced development of this Investment Justification. (3,500 char. max)*

Objectives:

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

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

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

★ Helpful Hint ★	
	Potential sources of information to assist with this response include: <ul style="list-style-type: none"> • The applicant’s assessment of natural hazard risk (refer to the Emergency Management Performance Grant (EMPG) Work Plan • State/local risk assessments and analyses

End of the Overall Investment Justification Question. Proceed to Step 2.

Individual Investment Questions

Individual Investment questions provide information regarding each Investment. There are 12 individual Investment questions, plus the Investment Heading. While some questions are not individually scored, they provide contextual information for reviewers during their review of individually scored questions within the Investment. All questions, including the Investment Heading, must be addressed in the Investment in order for that Investment to be considered complete. Responses provided **must be specific** to each individual Investment, and not to the applicant’s overall homeland security program.

☑ Step 2: Complete the Investment Heading

Investment Heading:

- *State/Territory name*
- *Urban Area name (if applicable)*
- *Investment name*
- *Total FY 2007 HSGP funding requested*
- *Investment Phase – Ongoing or New*
- *Is this a multi-State/Urban Area Investment? If so, with which States/Urban Areas?*

Objectives:

- To identify the applicant and the Investment
- To provide context on the status and phase of the Investment
- To identify the total FY 2007 HSGP funding requested
- To identify if this is an ongoing or new Investment
- To identify if this is a multi-State or multi-Urban Area Investment, and the other States or Urban Areas involved (if any)

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

Response Checklist	
In the response, please:	
✓	Identify a State/Territory name from the drop-down
✓	Identify an Urban Area name from the drop-down (if applicable)
✓	Provide the Investment Name (100 char. max)
✓	Provide the total FY 2007 HSGP funding requested <ul style="list-style-type: none"> • This amount should match the total FY 2007 HSGP request in question III.A; the Funding Self Check field will be shaded red if the amounts do not match

Response Checklist	
In the response, please:	
✓	<p>Identify whether this is an ongoing or new Investment</p> <ul style="list-style-type: none"> • If this Investment has received funding in the past (from any funding source), select Ongoing • If this Investment has never been funded (from any funding source), select New
✓	<p>Identify whether this is a multi-State or multi-Urban Area Investment</p> <ul style="list-style-type: none"> • A multi-State Investment is a single Investment that spans multiple States, and for which multiple States are requesting FY 2007 HSGP funding • A multi-Urban Area Investment is a single Investment that spans multiple Urban Areas participating in the UASI program, and for which multiple Urban Areas are requesting FY 2007 HSGP funding • If this is not a multi-State or multi-Urban Area Investment, select “No” and leave the next field blank; • If this is a multi-State or multi-Urban Area Investment, select “Yes”
✓	<p>Identify the other States or Urban Areas that are participating in this Investment</p> <ul style="list-style-type: none"> • If this is a multi-State Investment, list the abbreviations for the other States that are involved; for a list of State and Territory abbreviations, refer to <i>Appendix C</i> • If this is a multi-Urban Area Investment, list the other Urban Areas that are involved

★ Helpful Hint ★
<p>For multi-State or multi-Urban Area Investments, each State or Urban Area should submit only the portion of the Investment for which that State or Urban Area is responsible, and not the total multi-State or multi-Urban Area Investment.</p>

End of the Investment Heading. Proceed to Step 3.

☑ Step 3: Complete the Baseline section

I.A. Baseline – FY 2006 Request Name and Funding: *If the Investment was included in the FY 2006 HSGP request, please provide the name of this Investment and the total amount of FY 2006 HSGP funding that was dedicated to this Investment, if any. (100 char. max for Investment Name)*

Objectives:

- To identify whether the Investment was included in the FY 2006 HSGP Investment Justification
- To determine whether the Investment was funded using FY 2006 HSGP funds, and if so, for how much

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

Response Checklist	
In the response, please:	
✓	Provide the Investment name from the FY 2006 HSGP request (if applicable) <ul style="list-style-type: none"> • If this Investment was included in the FY 2006 HSGP Investment Justification submission, provide the Investment name from the FY 2006 request • If the Investment was not part of the FY 2006 HSGP request, enter N/A
✓	Provide the total amount of FY 2006 HSGP funding that this Investment received (if applicable) <ul style="list-style-type: none"> • If this Investment was not funded using FY 2006 HSGP funds, enter zero in the FY 2006 HSGP funding field • If this Investment was funded using FY 2006 HSGP funds, enter the total amount of funding used (not requested)

Proceed to the next question.

I.B. Baseline – Description: Provide a summary description of the current state of this Investment, its objectives, and any outcomes that will be completed prior to the application of FY 2007 HSGP funds. Describe the capability gap(s) that this Investment is intended to address. Discuss why this Investment was selected over other options. (2,500 char. max)

Objectives:

- To understand the Investment in terms of its objectives and the capability gap(s) it addresses
- To determine the state of the Investment at the start of the FY 2007 HSGP period of performance
- To verify that investment options have been researched and to understand the reasons why this investment was selected over alternate options

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

Response Checklist	
In the response, please:	
✓	Describe the Investment <ul style="list-style-type: none"> • Response should include a description of the current state (baseline or starting point) of the Investment at the beginning of the FY 2007 HSGP period of performance
✓	Discuss Investment objectives expected to be accomplished over the FY 2007 HSGP period of performance
✓	Include all accomplishments and outcomes to date (only relevant for ongoing Investments) <ul style="list-style-type: none"> • Any accomplishments to date would include major milestones, outcomes achieved, purchases, training, or other implementation steps that have been or will be started and/or completed before the application of FY 2007 HSGP funds (Refer to question IV.A for guidance on and examples of what is considered an outcome) • If this is a new Investment, indicate that as a new Investment, there are no accomplishments to date
✓	Identify the capability gap that this Investment is intended to address
✓	For multi-State or multi-Urban Area Investments, the capability gaps that are addressed should be common across all of the related States or Urban Areas or show how the States' or Urban Areas' Investments are related, and why the multi-State or multi-Urban Area Investment is necessary

Response Checklist	
In the response, please:	
✓	<p>Provide reasons for why this Investment was selected over other options, including:</p> <ul style="list-style-type: none"> • Other options researched or considered; these should include alternatives to the status quo that address the same objectives as this Investment. If a similar set of alternatives has been considered for this Investment, describe them. If no other options were considered, explain why. <ul style="list-style-type: none"> ○ <i>Example 1:</i> When building a house, there are several alternatives to be considered when selecting the exterior of the house – siding (which prompts additional alternatives of vinyl, aluminum, or shingle), brick, or stucco. Which option was chosen and why? ○ <i>Example 2:</i> When considering alternatives for developing Urban Search and Rescue (US&R) capabilities, alternatives may include, among others, building a US&R team or establishing agreements with existing US&R teams in neighboring jurisdictions. Which option was chosen and why?
✓	<p>Multi-State or multi-Urban Area Investments should also include:</p> <ul style="list-style-type: none"> • Reasons why multi-State or multi-Urban Area collaboration is necessary and provides greater benefits than with each State investing individually • What role this Investment plays in relation to the other States' or Urban Areas' Investments

End of the Baseline section. Proceed to Step 4.

☑ Step 4: Complete the Strategy section

II.A. Strategy – Enhancement Plan: Explain how this Investment supports Initiatives in the Program and Capability Enhancement Plan. Please reference relevant page numbers in the Enhancement Plan and confirm continued use of a FY 2006 Plan or an updated Plan. (Part of overall Investment 15,000 char. max)

Objectives:

- To verify that the Investment is in support of the overall homeland security program by supporting Initiatives from the Enhancement Plan

Scoring Criteria	
	<ul style="list-style-type: none"> • Response provides linkage between the Investment and Initiative from the Enhancement Plan • Response demonstrates how the Investment will contribute to reaching the Enhancement Plan Initiative

Response Checklist	
In the response, please:	
✓	Reference relevant Initiatives in the Enhancement Plan
✓	Identify specific, related page numbers from the Enhancement Plan
✓	Describe ways in which the Investment contributes to the progress toward identified Initiatives <ul style="list-style-type: none"> • The explanation should show direct linkage between the Investment and the Initiatives discussed • Urban Area Investments should demonstrate linkages to Initiatives in the State Enhancement Plan
✓	Multi-State or multi-Urban Area Investments should support Enhancement Plan Initiatives similar to those that the other States' or Urban Areas' Investments are addressing

★ Helpful Hints ★	
An update to the Enhancement Plan from the FY 2006 HSGP submission is not necessary <ul style="list-style-type: none"> • If an applicant wishes to provide an updated Enhancement Plan, it can be submitted as part of the FY 2007 HSGP submission; • If no update will be submitted, the applicant should state that the FY 2006 Enhancement Plan is still valid For additional information on Enhancement Plans, refer to <i>III. Submission Requirements</i> .	

Proceed to the next question.

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

Objectives:

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

Scoring Criteria	
	<ul style="list-style-type: none"> • Response provides linkage between the Investment and Homeland Security Strategy goals and objectives • Response demonstrates how the Investment will support the Homeland Security Strategy goals and objectives

Response Checklist	
In the response, please:	
✓	Identify relevant State/Territory/Urban Area Homeland Security Strategy goals and objectives <ul style="list-style-type: none"> • The most recent Homeland Security Strategy goals and objectives that have been submitted through the Data Collection Tool (DCT) as of the FY 2007 HSGP application submission deadline will be used in the review
✓	Explain the ways in which the Investment supports these Strategy goals and objectives <ul style="list-style-type: none"> • The explanation should show direct linkage between the Investment and the State/Territory/Urban Area Homeland Security Strategy goals and objectives discussed
✓	Multi-State or multi-Urban Area Investments should support Homeland Security Strategy goals and objectives similar to those that the other States' or Urban Areas' Investments are addressing

Proceed to the next question.

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

Objectives:

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

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

Response Checklist	
In the response, please:	
✓	Identify the primary Target Capability supported by selecting it from the drop-down list <ul style="list-style-type: none"> • Primary Target Capability should be the Target Capability that is most significantly and directly supported by the Investment
✓	Explain how the Investment supports the primary Target Capability
✓	Identify Secondary Target Capability(ies) supported (if any) by selecting them from the drop-down lists <ul style="list-style-type: none"> • Secondary Target Capabilities should include Target Capabilities that are directly supported by the Investment, but to a lesser extent than the Primary Target Capability
✓	Multi-State or multi-Urban Area Investments should address Target Capabilities related to those that the other States' or Urban Areas' Investments are addressing

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

Proceed to the next question.

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

Objectives:

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

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

Response Checklist	
In the response, please:	
✓	Select the National Priorities supported by this Investment from the drop-down lists <ul style="list-style-type: none"> • The Investment should directly support the selected National Priorities
✓	Multi-State or multi-Urban Area Investments should support National Priorities similar to those that the other States' or Urban Areas' Investments are addressing

★ Helpful Hints ★	
<ul style="list-style-type: none"> • The score for this question is not dependent upon the number of National Priorities identified 	

End of the Strategy Section. Proceed to Step 5.

☑ Step 5: Complete the Implementation section

III.A. Funding Plan: Provide the total estimated cost for the FY 2007 HSGP period of performance for this Investment by completing the following table:

- Provide solution area costs (including personnel); for funding sources other than FY 2007 HSGP funds, identify the funding source
- For each solution area that has an associated FY 2007 HSGP funds request, provide a brief summary of the planned expenditures (including personnel) (500 char. max per solution area)

Objectives:

- To verify that the resources necessary are accounted for and planned over the FY 2007 HSGP period of performance
- To obtain greater understanding of what the planned expenditures are and how they will be used to support the Investment’s objectives

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

Response Checklist	
In the response, please:	
✓	Provide the total estimated costs for the Investment, regardless of source <ul style="list-style-type: none"> • Costs listed in the Solution Area Funding rows should include personnel costs associated with that solution area and grant program • For non-FY 2007 HSGP funding sources, in the table, provide the name of the funding source; if more than three non-HSGP sources are used, list the top two funding sources, label the third source as “Other”, and provide a sum total of all remaining sources in each solution area under “Other”

Response Checklist	
In the response, please:	
✓	<p>Explain the planned expenditures, including products, services, and activities</p> <ul style="list-style-type: none"> • Solution area summaries should include a description of the personnel costs that are associated with that solution area • Planned expenditures should be appropriate for the purpose of the Investment • Planned expenditures should be appropriate for the solution area and grant program under which they are described • Solution area summaries should provide a level of detail sufficient to understand how the funding will be used; however, the list of planned expenditures does not need to be exhaustive. <ul style="list-style-type: none"> • <i>Appropriate level of detail:</i> <ul style="list-style-type: none"> • <i>Planning:</i> development of equipment distribution plan; production of standard operating procedure manuals, • <i>Operations:</i> fire truck maintenance, search and rescue deployment preparations • <i>Equipment:</i> GPS tracking devices, chemical resistant gloves • <i>Training:</i> hydraulic equipment training for firefighters • <i>Exercises:</i> refine search and rescue operations through simulated missions • <i>Inadequate detail:</i> Training course, interoperable communications equipment, CBRNE equipment, exercises
✓	<p>Multi-State or multi-Urban Area Investment funding plans should be consistent with those of the other States or Urban Areas involved and should describe the same multi-State or multi-Urban Area solution; funding plan should include only the portions of the Investment that are the responsibility of the applicant State or Urban Area</p>

★ Helpful Hints ★	
<ul style="list-style-type: none"> • In formulating SHSP and LETPP funding requests, all funding, including the minimum amounts, must be covered in the State/Territory funding request • Requests for UASI funding should be made by Urban Areas only; States must ensure that their UASI funding needs are included in the Urban Area Investments • States and Territories must account for the total awarded MMRS and CCP amounts in the Investment Justification 	

Proceed to the next question.

III.B. Milestones: Provide specific milestones for the Investment over the FY 2007 HSGP period of performance, including start and end dates for each milestone; up to 10 milestones may be provided. (500 char. max per milestone)

Objectives:

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

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

Response Checklist	
In the response, please:	
✓	<p>Identify the Investment milestones for the FY 2007 HSGP period of performance</p> <ul style="list-style-type: none"> • While space is provided for up to 10 milestones, not all 10 must be completed; only list as many milestones as are necessary to effectively represent the high-level activities for the Investment • Milestones should be specific to this Investment, and should include those that will be completed during the FY 2007 HSGP period of performance • Descriptions of milestone activities should provide a level of detail that provides more insight into planned accomplishments: <ul style="list-style-type: none"> • <i>Appropriate level of detail:</i> obtain support and feedback from first-responder stakeholders; complete training on newly purchased GPS trackers; integrate communications systems across fire/police departments and hospitals; complete EOC construction plan • <i>Inadequate detail:</i> stakeholder engagement; training; exercises • Milestones should illustrate a sequence of events that build upon each other; for example: <ul style="list-style-type: none"> • Milestone #1: Identify subject matter experts on search and rescue activities • Milestone #2: Work with subject matter experts to develop training materials for search and rescue activities • Milestone #3: Deliver search and rescue training to emergency response personnel • Milestone #4: Conduct exercises on new search and rescue activities in simulated environment; etc. • Milestones should be linked to the objectives of the Investment (as described in question I.B)

Response Checklist	
✓	Identify the planned start and end dates for each milestone <ul style="list-style-type: none"> • Milestones should not start prior to the FY 2007 HSGP grant award date, and should not extend past the end of the FY 2007 HSGP period of performance (36-months from award date)
✓	Multi-State or multi-Urban Area Investments should include milestones that: <ul style="list-style-type: none"> • Are conducted across States or Urban Areas • Align with those of the other States or Urban Areas

★ Helpful Hints ★	
<ul style="list-style-type: none"> • In developing these milestones, it is important to refer back to the funding table in question III.A to make sure that milestones reasonably account for the costs presented in the Funding Table • The score for this question is not dependent upon the number of milestones listed 	

Proceed to the next question.

III.C. Project Management: Describe the management team that is directly responsible for the implementation of this Investment. Specifically, describe any key Investment roles and responsibilities, structures, and subject matter expertise required by this Investment, including at least the project manager and the contracts management structure. An organizational chart may be included in the response. (Part of overall Investment 15,000 char. max)

Objective:

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

Scoring Criteria	
	<ul style="list-style-type: none"> • Response identifies and describes a project manager role, specifically referencing the responsibilities of the project manager position as well as the decision-making authority; if the project manager is the same as in other Investments, the response explains why this is appropriate • Response describes a contracts management structure • Response describes, at a high-level, the operational roles, responsibilities, and subject matter expertise required to manage the Investment

Response Checklist	
In the response, please:	
✓	Identify the roles, responsibilities, and authority of the project manager
✓	Describe the contracts management structure

Response Checklist	
In the response, please:	
✓	<p>Identify other operational roles and subject matter expertise necessary for the management of the Investment, and the responsibilities associated with each role</p> <ul style="list-style-type: none"> • Operational roles and responsibilities described should be specific and necessary to the successful implementation of this discrete Investment; they should not be a description of the organizational structure of the homeland security agency • If the project manager or project management plan is identical for all Investments, indicate this in the response and explain why it is appropriate for the manager/plan to be the same for each Investment • If the contracts management structure is identical for all Investments, indicate this in the response and explain why it is appropriate for the structure to be the same for each Investment • Subject matter expertise may include: <ul style="list-style-type: none"> • Homeland security-related subject matters (e.g., biohazard, search and rescue, specialized training) • Project-related administrative functions, necessary for the implementation of the Investment (e.g., accounting, procurement)
✓	<p>Include an organizational chart or other graphics, if desired</p> <ul style="list-style-type: none"> • Indicate whether or not an organizational chart will be included in the response; all charts and images for this Investment should be included in section V: Appendix – Attachment(s) (Optional); refer to Chapter IV: Technical Guidance for additional information on including a chart in the Investment • The response and/or organizational chart must describe the organization portrayed in the chart; a chart that only portrays hierarchies or relationships between roles is not a sufficient response, and must be accompanied by a narrative describing it
✓	<p>Multi-State or multi-Urban Area Investments should consistently reference partner States or Urban Areas, describe how the partners will be organized, and indicate who will have decision authority and ownership over outputs</p>

★ Helpful Hint ★

Section V: Attachments – (Optional Section) can be used only for graphics; no text should be entered in this area, as the template will accept only graphics.

Proceed to the next question.

III.D. Investment Challenges: List and describe up to five potential challenges to effective implementation of this Investment over the entire FY 2007 HSGP period of performance. For each identified challenge, provide a brief description of how the challenge will be mitigated, and indicate a probability of occurrence (high, medium, low), and level of impact should it occur (high, medium, low). (100 char. max per Challenge; 500 char. max per Mitigation Strategy)

Objectives:

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

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

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

Response Checklist	
In the response, please:	
✓	Multi-State or multi-Urban Area Investments should include challenges posed by coordinating across States or Urban Areas and their mitigation strategies

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

End of the Implementation section. Proceed to Step 6.

☑ Step 6: Complete the Impact section

IV.A. Impact: *What outcomes will indicate that this Investment is successful at the end of the FY 2007 HSGP period of performance? (Part of overall Investment 15,000 char. max)*

Objectives:

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

Scoring Criteria	
	<ul style="list-style-type: none"> • Response describes specific outcomes that will determine the Investment’s success, including what will be measured and how capabilities will be enhanced • Response includes specific outputs that lead to outcomes, including what will be measured • Response references performance measures and metrics from the TCL • Response describes how the outcomes will mitigate risks outlined in the Overall Investment Justification Question

Response Checklist	
In the response, please:	
✓	Describe the tangible <u>outcomes</u> that indicate the Investment has been successful <ul style="list-style-type: none"> • Outcomes described should demonstrate progress toward the overall objective of the Investment, and include outcomes expected during the FY 2007 HSGP period of performance as well as those expected at the conclusion of the FY 2007 HSGP period of performance
✓	Identify measurable <u>outputs</u> that lead to the outcomes described
✓	Describe how these outcomes will mitigate the risks that were outlined in the Overall Investment Justification Question
✓	Multi-State or multi-Urban Area Investments should include outputs and outcomes that affect and are consistent across all States or Urban Areas

★ Helpful Hints ★

- Outcomes are the impacts an Investment's processes and outputs (direct goods and services produced by the Investment) have on the homeland security program and capabilities
 - *For example:* as the result of 1,000 more firefighters being trained in mass casualty medical response (output), the jurisdiction can now address a potential incident population of 500,000, versus 25,000 prior to training (outcome)
 - *Sample outputs:* Increased number of firefighters trained in mass casualty response; number of personal protective suits purchased; number of biohazards detected
 - *Sample outcomes:* Increased mass casualty response capacity; shorter response time to bomb; interoperability across all Emergency Operations Centers within the county; ability to detect biohazard presence within shorter amount of time
- The *Target Capabilities List* and the performance measures associated with critical tasks included within may be a useful reference when developing measurable outputs

Proceed to the next question.

IV.B. Sustainability: *What is the long-term approach to sustaining the capabilities developed by this Investment? (Part of overall Investment 15,000 char. max)*

Objectives:

- To understand how the Investment's impact on capability levels will be sustained beyond the end of the FY 2007 HSGP period of performance

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

Response Checklist	
In the response, please:	
✓	Describe plans for maintaining the capabilities developed by the Investment, including: <ul style="list-style-type: none"> • Any additional sources of funding to be used, if necessary • Future plans or milestones for sustaining the Investment, if any
✓	Multi-State or multi-Urban Area Investments should include a strategy for sustaining the Investments across all related States or Urban Areas so that they all continue to realize the capability benefits

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

End of the Impact section. Proceed to Step 7.

- Step 7: Verify Funding Table numbers and that that the Table sums correctly**
- Step 8: Verify that all responses are within the stated character limits**
- Step 9: Reread the application to ensure that all responses clearly answer the questions in a way that is clear to someone reading it for the first time**
- Step 10: Check spelling**

Repeat steps 2 through 10 for each Investment

- Step 11: Save the Investment Justification using the following naming convention:**

For States/Territories: State/Territory name.xls

For Urban Areas: State Abbreviation – Urban Area Name.xls

- Step 12: Send to the SAA for submission into Grants.gov**

FY 2007 HSGP application submission complete.

Additional References

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

- Hazard mitigation plans
- State/local risk assessments and analyses
- Nationwide Plan Review (NPR): Phase 2 Report
- Target Capabilities List
- FY 2006 HSGP Risk Profile
- FY 2006 HSGP Effectiveness Profile
- Tactical Interoperable Communications Scorecard
- Fusion Capability Planning Tool
- Bombing Prevention Capability Analysis
- Investment Planning Technical Assistance, which provides guidance on efficiently managing limited resources in order to achieve homeland security goals, developing a proactive approach to planning for the prioritization and implementation of investments, and preparing for potential obstacles in executing an Investment that could negatively impact its chances for success
- Program Management Technical Assistance, which provides guidance on how to better manage multiple homeland security related initiatives and programs, assess and evaluate programs in the context of the National Preparedness Goal, and enhance existing State and Urban Area Homeland Security Strategies and Enhancement Plans

VI. Technical Guidance

This Chapter contains technical considerations that will be useful when navigating through and completing the Investment Justification. Information is provided on the following topics:

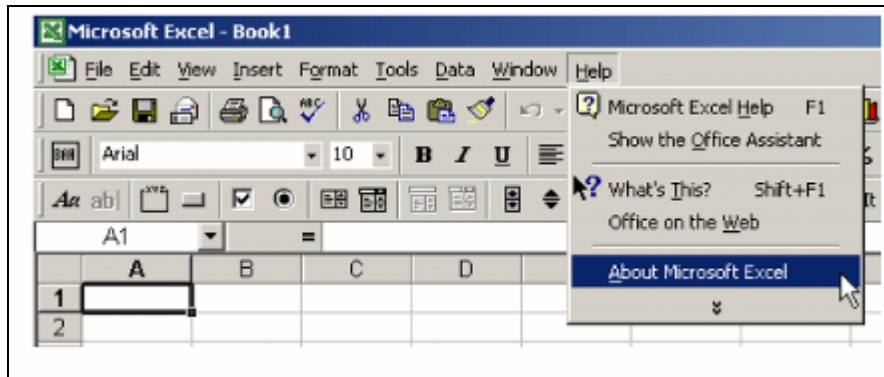
- System Requirements
- Document Navigation
- Completing the Investment Justification
- Helpful Tools

System Requirements

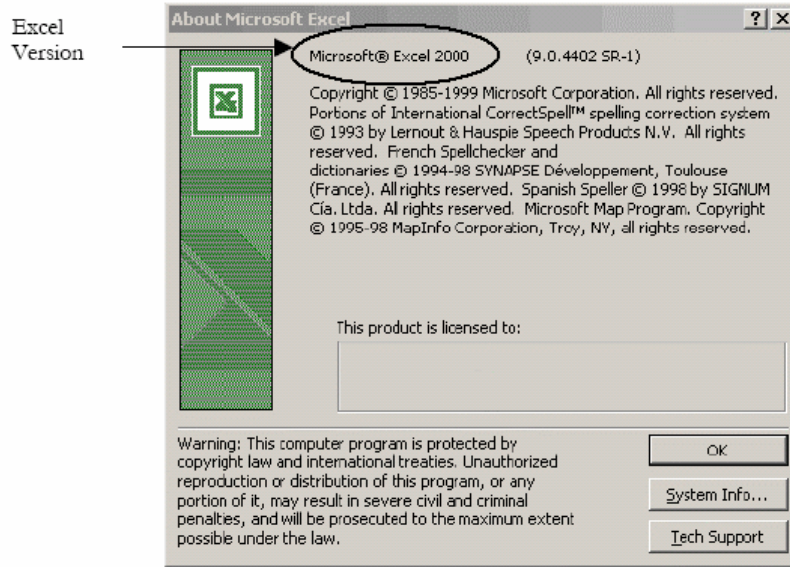
MS Excel Version

The Investment Justification template was created in MS Excel XP and will run on MS Excel version 2000 or higher. The minimum system standards to run MS Excel 2000 are a computer with a 75 MHz processor or faster, such as the Pentium 75, and the Microsoft Windows 95 operating system. To check if you have the appropriate version of MS Excel, complete the following steps:

- 1) Open MS Excel through your Start menu or other icon
- 2) Click on the **[Help]** menu along the top
- 3) Choose **[About Microsoft Excel]** from the drop-down list



- 4) The dialog box that appears will list the version of MS Excel you are using



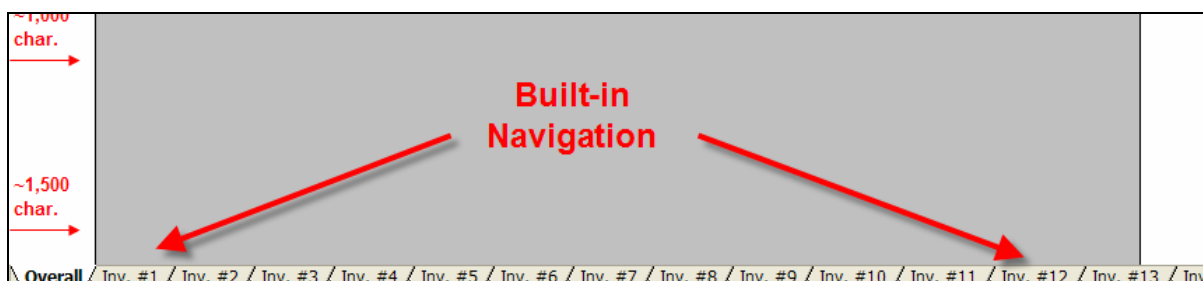
Screen Resolution

For best viewing of the Investment Justification template, it is recommended that users have their screens set to 1024 by 768 pixels. Screen setting information for your computer is located in the display properties accessible through the *Start* menu. If your monitor is set to a resolution lower than this standard (e.g. 800 by 600 pixels, or 640 by 480 pixels) then you may not be able to view as much of the template on your screen as designed. Different screen settings may require you to scroll from left to right, and/or up and down in order to view the entire template.

Document Navigation

Navigating Within the Investment Justification

The Investment Justification template is structured around Excel's built-in tab navigation bar found at the bottom of the spreadsheet. This bar will assist States, Territories, and Urban Areas in moving between Investments, as well as moving to the Overall sheet. To navigate to an Investment, click on the tab labeled with the appropriate Investment number. To navigate to the Overall sheet, click on the tab labeled "Overall."



Unlocked Template Navigation

Based upon feedback, the FY 2007 Investment Justification template has been unlocked to allow spell check and to facilitate ease of distribution of Investments among multiple authors. However, an unlocked template also allows applicants to inadvertently alter the template and its contents. Inadvertent, or purposeful, changes to the template may result in formatting/printing problems, incorrect formulas, and incompatibility with submission requirements. Applicants are **strongly advised not** to do the following:

- Delete any text boxes, formulas, questions, or drop-down boxes
- Write outside of the gray answer fields
- Move text boxes, tables, or drop-down boxes
- Drag cell contents into other cells
- Un-merge cells
- Insert or delete rows, columns, or cells
- Change font sizes or other text characteristics

An altered template may cause Investment data to be corrupted or lost. If the template is suspected to be altered, applicants are encouraged to move their responses to a fresh Investment Justification template.

Completing the Investment Justification

Character-count indicators

To the left of each narrative text box, there are red character-count markers that indicate the approximate character count in that row. This is to help applicants calculate the approximate length of their response.

IV. Impact

IV.A. - Impact

What outcomes will indicate that this Investment is successful at the end of the FY 2007 HSGP period of performance? (Part of overall Investment 15,000 Char. Max)

~500
char. →

~1,000
char. →

~1,500
char. →

~2,000
char. →

Font

States, Territories, and Urban Areas should be aware that narrative responses will be automatically formatted in Courier New 11-pt font. All letters, spaces, and symbols (including punctuation) in Courier New font take up equal amounts of space (e.g. a period uses the same amount of space as the letter “W”). The character-count indicators described above are based upon the use of this font. Applicants are advised not to change the font size settings. Character-count indicators may no longer be accurate if font settings are changed.

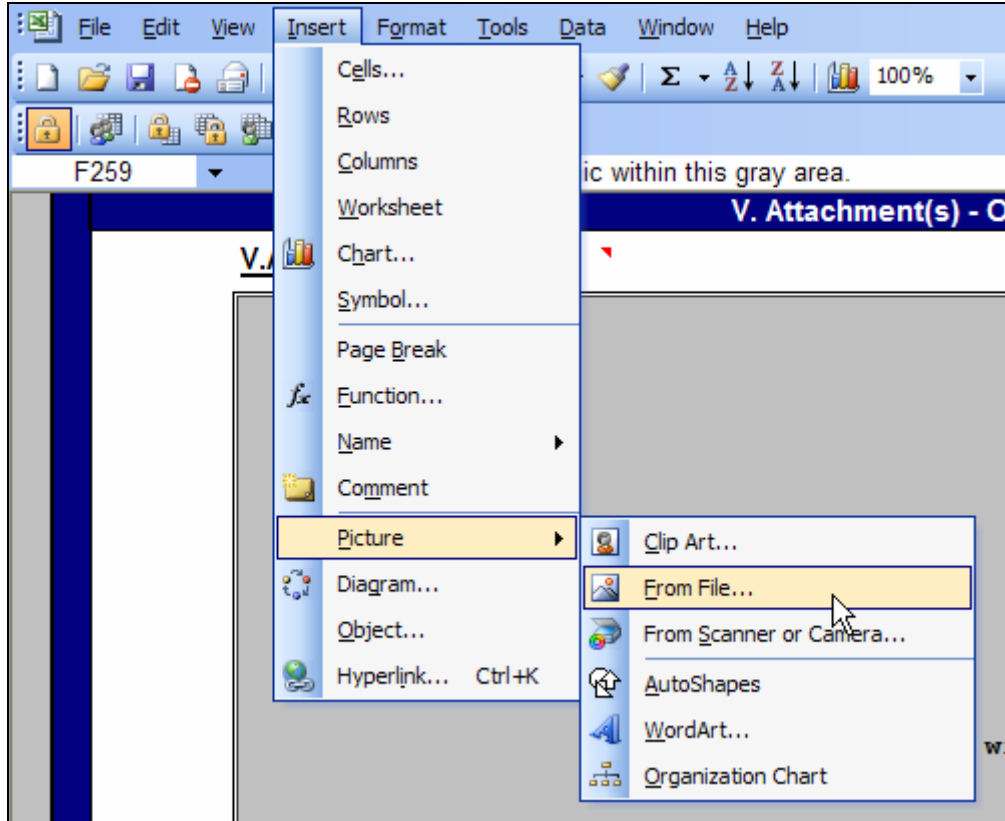
Attachment Insertion

The Investment Justification template contains a space for users to insert, or copy and paste images into the template. Users can find this attachment location in section V. Attachments. Applicants may **not** use this section to write additional text or continue responses from a previous section.

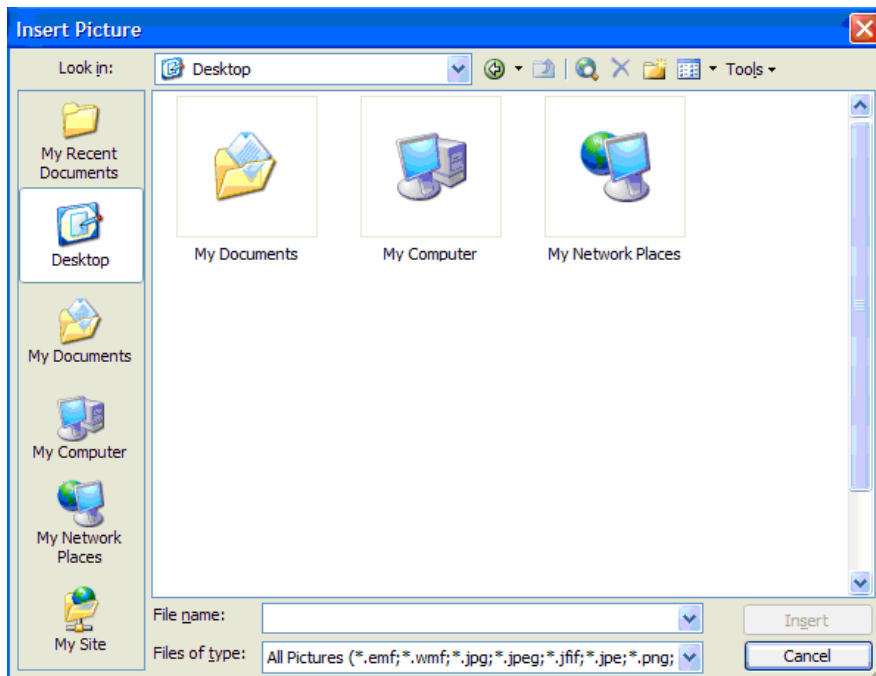
In order to insert images into the template, please follow the steps below.

- 1) Click on the gray attachment area in section V. Attachments; otherwise, the image may be imported elsewhere in the Investment sheet, and will need to be moved into the appropriate location
- 2) Click on the **[Insert]** menu along the top
- 3) Choose **[Picture]** option found toward the bottom of the menu

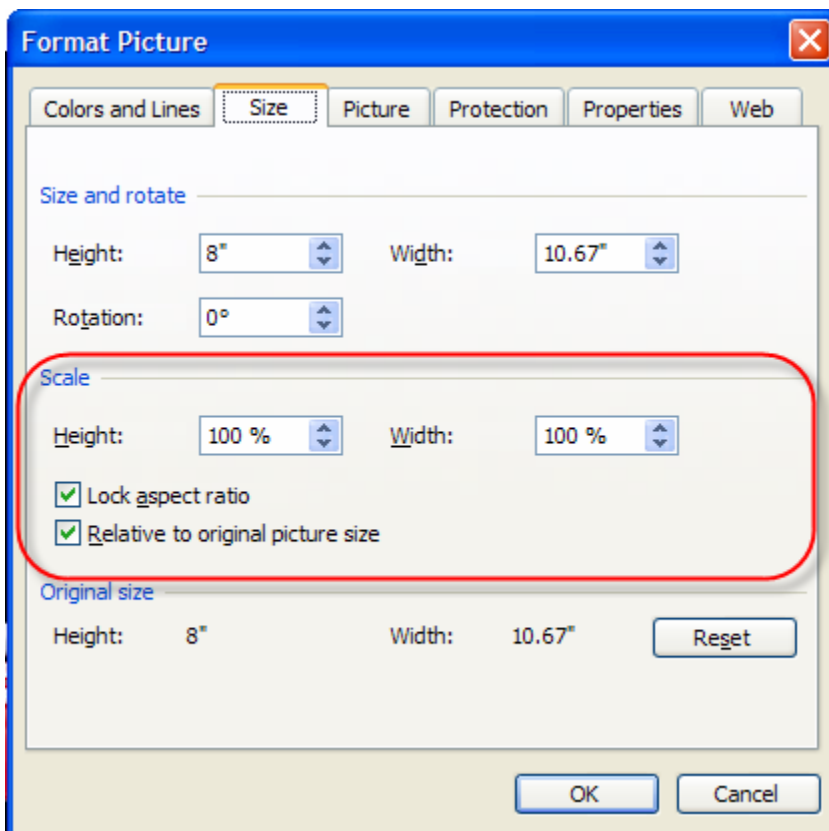
- 4) Choose **[From File]** from the drop-down list



- 5) The Insert Picture box will allow users to choose what image to load into section V. Attachments; recommended file types include: .emf, .wmf, .jpg, .jpeg, .jfif, .jpe, .png, and .gif



- 6) Once the image is chosen, click **Insert**
- 7) The image should be imported into section V. Attachments on the Investment tab; if it is not, it can be dragged into the correct position
- 8) All images should fit within the gray area in section V. Attachments.
- 9) If the image is larger than this area, it can be reformatted by double clicking on the image
- 10) The Format Picture box will appear; click on the Size tab, and reduce the Scale of the image (either height or width); this will automatically adjust the image size

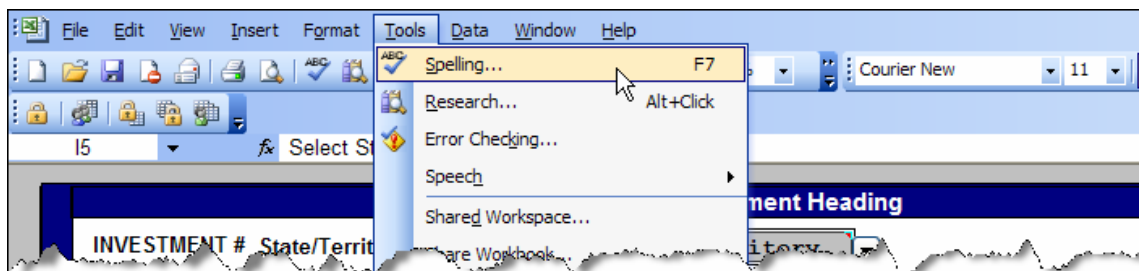


Helpful Tools

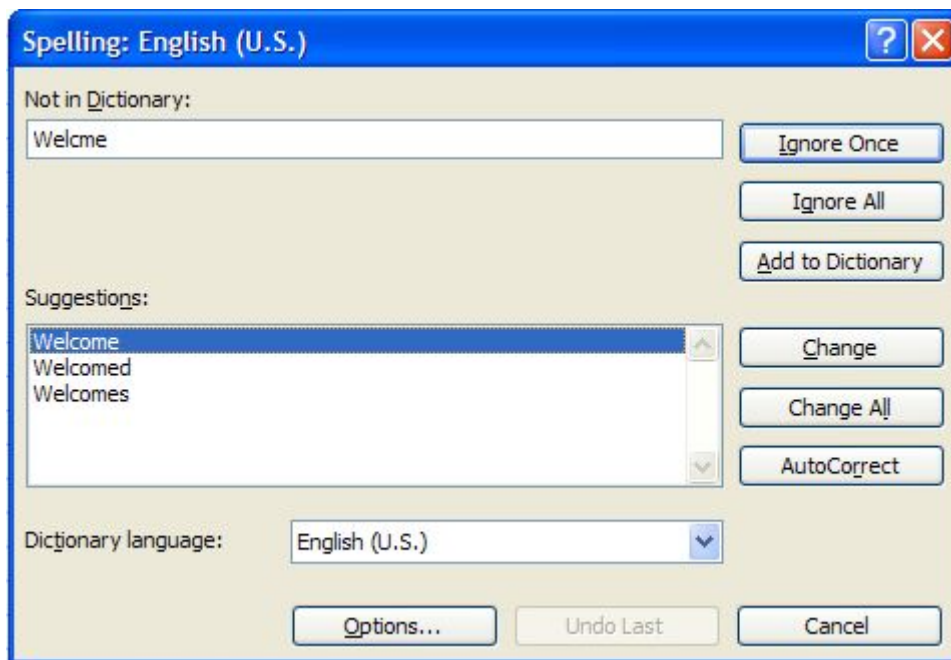
Spell check

Because the Investment Justification is unlocked for FY 2007, spell check functionality is available. In order to check spelling, please follow the steps below:

- 1) Click on the **[Tools]** menu
- 2) Click **[Spelling]**



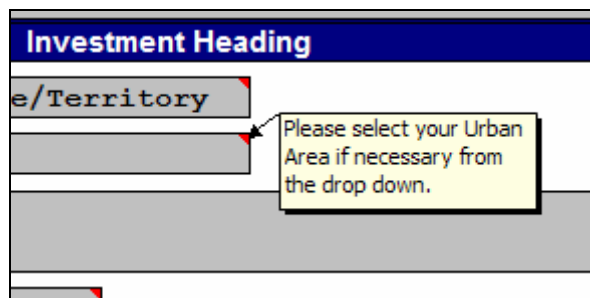
3) The Spelling box will appear, indicating misspelled words and suggested corrections.



4) **Shortcut:** The [F7] key can be used as a shortcut to check spelling; once F7 is pressed, the spelling box will appear, indicating misspelled words and suggested corrections.

Pop-up Messages

The Investment Justification template contains mouse-over pop-up messages that contain important instructions and related scoring criteria.



Every **red triangle** found in the upper right corner of a field signifies that a pop-up message is available for display. To display the message, move and/or click your mouse on the field with the red triangle. The message will disappear when you move your mouse away from the field.

Error Messages

The Investment Justification template contains three types of Error Messages:

- 1) **Data Entry Error:** Applicants who type text in drop-down boxes may receive the following error message: "The value you entered is not valid." Please select "Cancel" to clear the text, and then select an option from the drop-down box instead.
- 2) **Character Limit Error:** Applicants who exceed the character limitation to fields that that are subject to a character limit of 100 or 500 characters may receive the following error message: "Please enter 100 (or 500) characters or less in this field." Please enter fewer characters in this field.

Note: Narrative responses that exceed the character limits of 2,500-3,500 characters, and narratives that contribute to the overall 15,000 character limit will **not** cause an error message to appear; applicants are encouraged to track their response lengths using the character count indicators in the template and/or word count function in a word processing tool such as MS Word, as responses will be truncated that are above the maximum character limit.
- 3) **Numerical Data Error:** Applicants who enter text, or who enter a number that exceeds nine digits into a numerical field may receive the following error message: "Please enter numerical values less than \$999,999,999." Please enter an appropriately formatted number in this field.
- 4) **Date Error:** Applicants who enter a date that is not in the format MM/DD/YYYY, or who enter a date that is beyond the acceptable date range may receive the following error: "Please enter an appropriate date in MM/DD/YYYY format." Please enter an appropriately formatted date in this field.

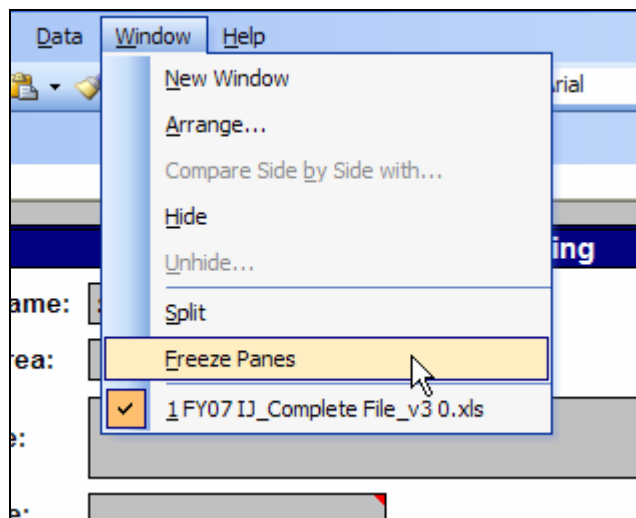
Freezing frames

In order to display a larger portion of the Investment Justification on one screen, the Investment Heading is not fixed at the top of the screen this year. If the State, Territory, or Urban Area would like to freeze the Investment Heading or a portion of it at the top of their screen so that it is visible when completing other sections of the Investment, the frames can be frozen using the following steps:

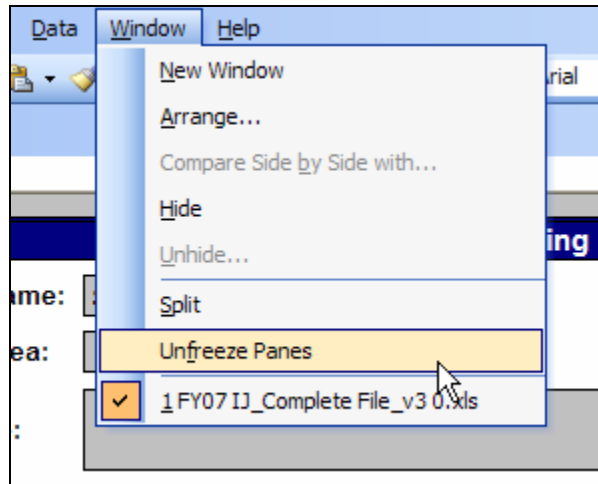
- 1) Position the cursor in the row below the fields that should be fixed at the top of the screen

The screenshot shows a web form titled "Investment Justification". The form contains several fields: "INVESTMENT #", "State/Territory Name" (with a dropdown menu), "FY 2007 HSGP Funding Request", "FY 2007 Urban Area", "Investment Name", "Investment Phase", "Is this a Multi-State / Territory Investment?", "If yes, with which State(s) / Territory(ies)", and "Funding Self Check" (with a dropdown menu). A large number "1" is positioned to the left of the "Funding Self Check" field. A red circle highlights the bottom of the form, and a red line is drawn across the bottom of the form, indicating the position of the cursor for the next step.

- 2) Click on the **[Window]** menu
- 3) Click **[Freeze Panes]**; this will “freeze” all fields above the cursor at the top of the screen



- 4) To “unfreeze” the fields, click on the **[Window]** menu
- 5) Click **[Unfreeze Panes]**; this will return the Investment Justification display to normal, with no fields fixed at the top of the screen



The above steps will freeze the frames for that Investment only, and is used to facilitate on-screen viewing. Freezing frames will have no impact on the base format of the Investment, or for printing. Applicants must repeat the above steps for each Investment they wish to freeze frames.

Appendix A: Definitions

Definitions	
Term	Definition
Enhancement Plan	A comprehensive, statewide management plan for enhancing State homeland security programs and capabilities to align with the National Preparedness Goal and to achieve the goals and objectives from the State Homeland Security Strategy
FY 2007 HSGP period of performance	The three-year (36-month) period of grant implementation, beginning at the time of grant award
Impact	The (positive) effect that an Investment has on the population and geographic area(s).
Initiative	The statewide, cross-jurisdictional aggregation, at the programmatic level, of related projects geared towards achieving a common State Homeland Security goal/objective, National Priority, and/or Target Capability. An Initiative may be comprised of projects that span one or more National Priorities and Target Capabilities
Investment	The targeted application of FY 2007 HSGP funding, at the operational level, towards the achievement of one or more Initiatives identified in a State Program and Capability Enhancement Plan
Investment Challenge	Project risk, or an uncertain event or condition that, if it occurs, has a negative effect on achieving an Investment's objectives
Investment Justification	The FY2007 HSGP grant application by which the States, Territories, and Urban Areas request FY 2007 HSGP funding. The Investment Justification is composed of descriptions of up to 15 Investments as well as the overall risk context and the State/Territory/Urban Area profile, to facilitate effective management of the homeland security program and to meet strategic goals and objectives
Milestone	A significant point or event in the Investment
Multi-State or multi-Urban Area Investment	A single Investment that spans multiple States or Urban Areas participating in the UASI program, and provides enhanced mutual capability, and for which each State or Urban Area is requesting HSGP funding
Objective	A purpose to be achieved, a result to be obtained, a product to be produced, or a service to be performed by the Investment

Definitions	
Term	Definition
Outcome	The impact an Investment's processes and outputs (direct goods and services produced by the Investment) has on the homeland security program and capabilities; e.g., as the result of 1,000 more firefighters being trained in mass casualty medical response (output), the jurisdiction can now address a potential incident population of 500,000, versus 25,000 prior to training (outcome)
Output	Direct products, goods and services produced by an Investment
Planned Expenditures	The products, services, and/or activities on which funding will be spent
Portfolio Management	The centralized management of one or more Investments, which includes identifying, prioritizing, authorizing, managing, and controlling the Investments to achieve specific strategic homeland security objectives
Role	A defined function to be performed by a project team member, such as coordinator, manager, operator, trainer
Strategic Goal	As identified in the State or Urban Area Homeland Security Strategies, a strategic goal is a target that the State or Urban Area wants to achieve regarding an improved level of capability. These goals will help the State or Urban Area achieve its vision, focus on the long-term, and increase its preparedness
Strategic Objective	As identified in the State or Urban Area Homeland Security Strategies, a strategic objective is a specific statement of desired achievement that supports a strategic goal, and sets a target level of performance over time expressed as a tangible, measurable objective, against which actual achievement can be compared

Appendix B: Acronyms

Acronyms	
Acronym	Definition
CBRNE	Chemical, biological, radiological, nuclear, and explosive
CCP	Citizen Corps Program
CSID	Centralized Scheduling and Information Desk
DCT	Data Collection Tool
DHS	U.S. Department of Homeland Security
EMPG	Emergency Management Performance Grant
EOC	Emergency operations center
G&T	Office of Grants and Training
GPS	Global positioning system
HSGP	Homeland Security Grant Program
LETPP	Law Enforcement Terrorism Prevention Program
M&A	Management and administration
MMRS	Metropolitan Medical Response System
NPR	Nationwide Plan Review
POETE	Planning, organization, equipment, training, and exercises
SAA	State Administrative Agency
SHSP	State Homeland Security Program
TCL	Target Capabilities List
UASI	Urban Areas Security Initiative
US&R	Urban search and rescue

Appendix C: State and Territory Abbreviations

State/Territory Abbreviations			
Abbr	State/Territory	Abbr	State/Territory
AL	Alabama	MT	Montana
AK	Alaska	NE	Nebraska
AS	American Samoa	NV	Nevada
AZ	Arizona	NH	New Hampshire
AR	Arkansas	NJ	New Jersey
CA	California	NM	New Mexico
CO	Colorado	NY	New York
CT	Connecticut	NC	North Carolina
DE	Delaware	ND	North Dakota
DC	District of Columbia	MP	Northern Mariana Islands
FL	Florida	OH	Ohio
GA	Georgia	OK	Oklahoma
GU	Guam	OR	Oregon
HI	Hawaii	PA	Pennsylvania
ID	Idaho	PR	Puerto Rico
IL	Illinois	RI	Rhode Island
IN	Indiana	SC	South Carolina
IA	Iowa	SD	South Dakota
KS	Kansas	TN	Tennessee
KY	Kentucky	TX	Texas
LA	Louisiana	UT	Utah
ME	Maine	VT	Vermont
MD	Maryland	VI	Virgin Islands
MA	Massachusetts	VA	Virginia
MI	Michigan	WA	Washington
MN	Minnesota	WV	West Virginia
MS	Mississippi	WI	Wisconsin
MO	Missouri	WY	Wyoming