



FY 2011

Program Guidance

State Homeland Security Program (SHSP)

State Law Enforcement Terrorism Prevention Program (SLETPP)

**NYS Division of Homeland Security and
Emergency Services (DHSES)**

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I. Program Overview

The State Homeland Security Program (SHSP) and State Law Enforcement Terrorism Prevention Program (SLETPP) are core homeland security assistance programs that provide funds to build capabilities at the State and local levels and to implement the goals and objectives included in the State Homeland Security Strategy.

Activities implemented under SHSP and SLETPP must support *terrorism preparedness* by building or enhancing capabilities that relate to the prevention of, protection from, or response to terrorism in order to be considered eligible. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees must demonstrate this dual-use quality for any activities implemented under the program that are not explicitly focused on *terrorism preparedness*.

As with FY2010 funding, DHS requires that a percentage of SHSP funding be spent on Law Enforcement Terrorism Prevention Activities (LETPA). For FY2011 funding 33.8% of SHSP funding must be allocated toward the State Law Enforcement Terrorism Prevention Program (SLETPP) to meet this Federal requirement. **All SLETPP funding must be used in support of law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.**

Throughout the project period, the NYS Division of Homeland Security and Emergency Services (DHSES) will be available to assist counties in enhancing their homeland security programs. If you have any questions regarding the development of your local applications for the FY2011 HSGP grants, please contact DHSES' Grant Hotline at (866) 837-9133 or grants@dhSES.ny.gov.

II. Highlights

Directions for Completing Application: To complete this application for FY2011 SHSP and SLETPP funds, grantees should review this Program Guidance document and the E-Grants Users Tutorial. All budgetary and programmatic information must be entered in the NYS Division of Homeland Security and Emergency Services' electronic E-Grants system. Grantees must attach a completed "Local Application Worksheet" in E-Grants prior to submitting their application to DHSES. Please refer to Section IV of the Program Guidance for additional details regarding this Worksheet.

Deadline: Grantee's applications are due in E-Grants by January 6, 2012.

Period of Performance: The period of performance for FY2011 SHSP and SLETPP funds is 36 months (09/1/2011-08/31/2014).

NIMS Implementation: All jurisdictions in NYS are expected to demonstrate they have made sufficient progress towards the FY2011 NIMS implementation requirements imposed by the federal Department of Homeland Security, in order to be considered for Federal preparedness awards in FY2011. Please contact NYS's NIMS Information Coordinator, Matt Matney, if you have

questions about NIMS implementation. (Matt Matney; NYS DHSES; 518-242-5006; nims@dhses.ny.gov)

Drawdown of Funds/Interest: This is a reimbursement program; however, if needed, grantees may request an advance of funds. If DHSES approves such request, grantees may drawdown funds for up to 120 days prior to expenditure/disbursement. Advanced funds must be placed in an interest bearing account and grantees must account for this interest earned. Local units of government may keep interest earned on Federal grant funds up to \$100 per federal fiscal year. This maximum limit is not per award; it is inclusive of all interest earned as a result of all Federal grant program funds received per year. Interest earned in excess of \$100 must be remitted to NYS DHSES.

Notice of Waiver for FY2011 HSGP Funds: Jurisdictions may choose from the following options if they do not want to accept their FY2011 HSGP award:

1. Jurisdictions may request that the State retain the local unit of government’s allocation of grant funds and spend it on their jurisdiction’s behalf; or
2. Jurisdictions may refuse an allocation for their jurisdiction with the understanding that the allocation will be expended by the State of New York in direct support of other local homeland security efforts in accordance with FY2011 grant guidelines.

If your jurisdiction wishes to exercise either of the above options, please contact NYS DHSES at (866) 837-9133.

III. E-Grants Guidance

E-Grants Support: Please follow the guidance provided in the E-Grants Users Tutorial document which is included in your award package. For questions not addressed in the packet, please contact the DHSES Grant Hotline at (866) 837-9133.

E-Grants Tip: In an effort to ease the application development process for grantees, DHSES encourages Counties/Cities to develop fewer projects under the “Work Plan” tab in E-Grants. For each project you develop, you will be able to list out the task(s) you will complete in support of that project. By combining related tasks under an overarching project, you will be able to submit a condensed application, thus reducing your workload.

IV. FY2011 Programmatic Guidance

NEW FY2011 SHSP Priority Preparedness Objectives: In addition to meeting the requisite federal requirements and supporting the larger NYS Homeland Security Strategy, all Counties/Cities receiving FY2011 State Homeland Security Program (SHSP) funding must certify compliance with the following priority preparedness objectives. If these objectives have not been addressed, homeland security, or other resources, must be dedicated to meet compliance in these areas. DHSES reserves the right to audit compliance and withhold funding until compliance is achieved. As noted in FY2011 SHSP award letters, County Executive Officers/Mayors are required to sign and

submit this form to DHSES. DHSES must receive the signed certification form prior to DHSES approving this application.

By accepting FY2011 SHSP funding, Grantee agrees to:

- Ensure the lead law enforcement agency in the County/City maintains active participation in Counter Terrorism Zone (CTZ) activities, including the Operation Safeguard Program (in NYC, the Operation NEXUS Program). The County/City's lead law enforcement agency must attend at least one (1) CTZ meeting per quarter and support Operation Safeguard (or Operation Nexus) related taskings and reporting.
- Develop and maintain a Comprehensive Emergency Management Plan or basic emergency plan (in accordance with Article 2-B of the Executive Law). The plan should be reviewed, updated and submitted annually to the DHSES Office of Emergency Management.
- Develop and maintain both a County Fire Mobilization and Mutual Aid Plan, and a County Hazardous Materials Response Plan (in accordance with Article 10 of the General Municipal Law). County Fire Mobilization and Mutual Aid Plans should be reviewed and updated at least every 5 years. County Hazardous Materials Response Plans should be reviewed and updated at least every 3 years. Current copies of both plans must be submitted to the DHSES Office of Fire Prevention and Control.
- Conduct or participate in at least one (1) Homeland Security Exercise and Evaluation Program (HSEEP) compliant exercise during the FY2011 SHSP grant period to test the capabilities being supported with SHSP funding. The After Action Report and Improvement Plans must be submitted to DHSES within 60 days after completion.
- Identify an individual to serve as a Field Intelligence Officer (FIO). He/she will help to ensure information sharing between the New York State Intelligence Center and the New York City Police Department Intelligence Division at HIDTA, and the local law enforcement/public safety agencies within your County/City.

FIO Name/Agency _____

- Identify an individual to serve as the jurisdiction's Information Security Officer (ISO). He/she will be the primary point of contact between the NYS Office of Cyber Security and the County/City on cyber security related matters.

ISO Name/Agency: _____

As the Chief Executive Officer, I hereby certify that _____ County/City will comply with the priority preparedness objectives outlined above.

Name: _____

Date: _____

NEW DHS Programmatic Priorities: For FY2011 SHSP and SLETPP funds, DHS has identified 3 Priorities and associated objectives which are tied to performance measures and reporting requirements to determine how effective grantees are using SHSP funding to prevent, prepare for, protect against, and respond to acts of terrorism. While some guidance has been provided to assist grantees in meeting these federal Priorities, DHS has indicated that more detailed and specific guidance is pending in late 2011 through early 2012. DHSES will notify and provide sub-grantees this additional guidance when it becomes available. We expect that reporting on these federal priorities will be done through your quarterly grant progress reports. We will provide additional guidance on this once we determine federal requirements.

- **Priority One- Advancing “Whole Community” Security and Emergency Management:** As the country experiences threats of terrorist attacks and natural disasters, communities are challenged to develop collective, local abilities to withstand the potential impacts of these events, respond quickly, and recover in a way that sustains or improves the community’s overall well-being. Achieving this collective capacity calls for innovative approaches across the community, including emergency management to build up existing practices, institutions, and organizations that help make local communities successful, and that can leverage this infrastructure if and when an incident occurs.

- **Objective One- Threat and Hazard Identification and Risk Assessment (THIRA):** THIRA processes at all levels of government establish a foundation to justify and guide preparedness activities and investments. A common approach to that process will enable the whole community to maintain a baseline understanding of the risks that they face, facilitating efforts to identify capability and resource gaps, focus capability improvements, and inform the community of actions they can take to manage their risks.

THIRA’s should include the range of threats and hazards faced by an applicant. The assessment should be based on analysis of the relative consequences of the various threats and hazards with consideration of empirical data to the maximum degree possible. THIRA findings should be incorporated into each applicant’s preparedness strategy, planning, Investment Justification, and assessment documentation—addressing capability gaps identified during the THIRA process.

***Measurement and Reporting Methods:** The NYS Hazard Mitigation Plan satisfies this requirement for local subgrantees.*

- **Objective Two- Planning:** The Federal Comprehensive Preparedness Guide (CPG) 101 v.2 September 2010 helps planners at all levels of government in their efforts to develop and maintain viable all-hazard, all-threats emergency operations plans (EOP’s) 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. All SHSP and SLETPP grantees that maintain an EOP shall ensure their consistency with the CPG 101 v.2

Measurement and Reporting Methods: Any SHSP and SLETPP grantee that maintains an EOP is required to submit a completed "Evaluation Matrix for Compliance with CPG 101 v.2 September 2010" (attached) and is required to include bi-annual updates on percentage completion of CPG 101 v.2 compliance. CPG 101 v.2. may be found at the following website:

<http://www.fema.gov/prepared/plan.shtm>

- **Objective Three- Typing of Equipment and Training:** SHSP and SLETPP funding is intended for the procurement of equipment, training and exercises for the prevention, protection against, response to and recovery from terrorism events. A well executed mission requires carefully managed resources to meet incident needs. Utilization of standardized resource management concepts such as typing, inventorying, organizing and tracking will facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident.

Measurement and Reporting Methods: All equipment and training procured under this grant must be in support of the development or maintenance of an identified team or capability described and typed under NIMS where such typing guidance exists as published by FEMA. All grantees will report on the following:

- *What equipment was purchased and what typed capability it supports*
 - *The number of people trained in a given capability to support a reported number of defined resource typed teams (e.g. 63 responders were trained in structural collapse to support 23 Type 2 USAR Teams)*
 - *Total number of a defined type of resource and capabilities built using resources of this grant*
- **Priority Two- Building Prevention and Protection Capabilities:** DHS and FEMA encourages the use of SHSP/SLETPP funding to support programs and initiatives that directly support local efforts to understand, recognize, prepare for, prevent, and respond to pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with applicable privacy and civil rights/civil liberties protections. Such activities include, but are not limited to, development and implementation of Fusion Liaison Officer Programs, the Nationwide Suspicious Activity Reporting (SAR) Initiative (NSI), the "If You See Something, Say Something" campaign as a component of the NSI, and local efforts.
 - **Objective One- NSI Training:** All personnel funded with SHSP and SLETPP funding and engaged in the NSI will complete federal DHS NSI training.

Measurement and Reporting Methods: Submission of the number and percentage of personnel involved in the NSI, as well as, the number of personnel who have completed the required training.

- **Priority Three- Maturation and Enhancement of State and Major Urban Area Fusion Centers:** One of DHS's priorities for FY2011 is to support recognized State and major Urban Area fusion centers and the maturation of the Information Sharing Environment

(ISE). Fusion centers serve as focal points within the State and local environment for the receipt, analysis, gathering, and sharing of threat-related information between the Federal government and State, local, Tribal, territorial and private sector partners. Building a National Network of Fusion Centers (National Network) empowers law enforcement and homeland security personnel by helping them understand local implications of national intelligence, thus enabling them to better protect their communities.

- **Objective One- Baseline Capabilities:** Fusion centers leveraging SHSP and SLETPP grant funds must prioritize the allocation of these grant funds to address any capability gaps identified as a result of the Baseline Capabilities Assessment (BCA). The *Baseline Capabilities for State and Major Urban Area Fusion Centers (September 2008)* identifies the baseline critical operation capabilities that fusion centers and the operational standards necessary to achieve each of the capabilities across the National Network of Fusion Centers.

Measurement and Reporting Methods: *Fusion centers leveraging SHSP and SLETPP funds are required to demonstrate that they are enhancing and maintaining their ability to execute the critical operation capabilities (COC) at a fundamental level, which means, at a minimum, fusion centers have approved plans, policies, or standard operating procedures for each COC that codify their business processes.*

- **Objective Two- Analytic Capabilities:** All fusion centers analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing gaps in analytic capability identified during the fusion centers BCA.

Measurement and Reporting Methods: *Fusion centers leveraging SHSP and SLETPP funds are required to demonstrate that their intelligence analysts meet key benchmarks.*

Application Linkages: All allocations and use of funds under SHSP and SLETPP must support the NYS Homeland Security Strategy and one or more of the State's 10 Investment Justifications (Appendix B). Moreover, all allocations under SHSP and SLETPP must support the National Preparedness System, which includes the 8 National Priorities and the 37 Target Capabilities, and the Grants and Training (G&T) Workplan Codes (Appendix A).

- **Note:** Presidential Policy Directive (PPD) 8- National Preparedness (April 2011) called for the development and maintenance of a National Preparedness Goal to define the core capabilities necessary to prepare for the specific types of incidents posing the greatest risk to security to the nation. The National Preparedness Goal was announced in October 2011, setting a vision for nationwide preparedness and identifies the core capabilities and targets necessary to achieve preparedness across five mission areas laid out under PPD-8. For FY2011, grantees will continue to rely upon the Target Capabilities List (2006) to guide their capability development, but must be prepared in future grant cycles to establish

projects that will meet the new core capabilities outline within the National Preparedness Goal (October 2011).

State Homeland Security Strategy: As noted above, all FY2011 SHSP and SLETPP grant projects must support the Goals and Objectives in the State Homeland Security Strategy. This year's Investment Justifications directly align with the 10 State Homeland Security Strategy Goals, satisfying this requirement.

- **Accessing the Strategy:** The complete NYS Homeland Security Strategy can be accessed online: (<http://www.dhSES.ny.gov/planning/>).
- **Linking Projects to the Strategy:** The FY2011 SHSP and SLETPP Reference Guide (outlined below) outlines how specific projects link back to the Goals and Objectives in the State Strategy.
- **Using the Strategy in E-Grants:** In E-Grants, grantees will use the Objectives in the State Homeland Security Strategy as the basis for developing their Workplan. Please refer to the E-Grants Users Guide for complete details. Moreover, in the Funding Allocation Tab in E-Grants, each budget line must be linked back to a Goal in the State Homeland Security Strategy.

FY2011 SHSP and SLETPP Reference Guide: DHSES understands that applying for homeland security grants can be a cumbersome process because of the extensive linkages that must be made between your project(s) and different State/Federal documents. As a result of your feedback, DHSES has developed the "Reference Guide" to support and streamline your application process for FY2011 SHSP and SLETPP grants. This Reference Guide highlights specific project areas that support the State Homeland Security Strategy and our 2011 Investment Justifications and that are clearly linked back to other federal preparedness documents (e.g. Target Capability List, National Priorities, G&T Workplan Codes, etc.). The use of this Reference Guide should help to streamline elements of your grant planning and the application process this year.

- **Reference Guide Questions:** If you have any questions about the FY2011 SHSP and SLETPP Reference Guide, please contact DHSES' Grant Hotline at (866) 837-9133 or grants@dhSES.ny.gov.

Additional Application Questions: It is important for DHSES to understand your decision making process in developing your SHSP and SLETPP grant applications and funding methodologies used to disperse the funds. As in past years, DHSES has developed a set of narrative questions to gather this information. As in 2010, DHSES is requiring that these questions be answered in a separate Microsoft Word document, the "Local Application Worksheet," that will then be attached in E-Grants. Separate worksheets are required for SHSP and SLETPP applications. .

- I. **FY2011 SHSP Priority Preparedness Objectives:** Identify whether you comply with the priority preparedness objectives, which County Executive Officers/Mayors will be required to certify by submitting a separate "FY2011 SHSP Priority Preparedness Objectives Certification Form." Grantees will be required to demonstrate in Section IV- "Capability Enhancement" how they will dedicate homeland security or other resources to becoming compliant with unmet priority preparedness objective(s).

II. Coordination and Integration: Describe the coordination with appropriate stakeholders within your jurisdiction to develop this application. Grantees are expected to coordinate application development with stakeholders at the County and sub-county level.

- A. Stakeholder Participation Summary
- B. Involvement of Local Law Enforcement (SLETPP applications only)
- C. Involvement of EMS Partners (SHSP applications only)
- D. Regional Partnerships

III. Funding Methodology: Describe your decision making process with regard to the allocation of homeland security funding within your County. Grantees are expected to clarify how their jurisdiction assesses risk and how they decided to fund projects with FY2011 SHSP/SLETPP funding.

IV. Capability Enhancement: Describe how you are using homeland security funds to build your capabilities. For each Objective in your Workplan in E-Grants, grantees should provide a brief explanation of how this project will enhance your County's homeland security capabilities. Consider indicating specific measurable outcomes, if appropriate, to demonstrate the development of capabilities in your jurisdiction.

Furthermore, grantees will be required to specify how much funding is being used to sustain projects identified in their application and provide details on what aspects of those projects are being sustained with FY2011 SHSP & SLETPP funding.

V. Leveraged Funding: Please indicate if you are developing capabilities with multiple funding sources and provide details on other funding sources that have been leveraged in support of the projects included in this application.

VI. Exercises: Exercises are an important tool that can be used to test your County's capabilities and to highlight areas for improvement. Provide a brief description of each exercise you intend to fund as part of this application. Include the jurisdictions and disciplines to be involved, what capabilities will be tested, and a general timeframe for the completion of the exercise.

Futhermore, all grantees must conduct or participate in at least one (1) Homeland Security Exercise and Evaluation Program (HSEEP) compliant exercise during the FY2011 SHSP/SLETPP grant period to test capabilities supported with SHSP/SLETPP funding. An After Action Report (AAR) and Improvement Plan (IP) must be submitted to DHSES within 60 days after completion of an exercise supported with federal homeland security funding.

V. Authorized Program Expenditures

SLETPP Reminder: All SLETPP funding must be used in support of law enforcement terrorism prevention-oriented planning, organization, training, exercise, equipment activities, and/or management and administration (M&A) costs including those activities which support the development and operation of fusion centers.

Planning

- Planning activities are central to the State Homeland Security Program (SHSP) and State Law Enforcement Terrorism Prevention Program (SLETPP). For a complete list of allowable planning costs, please refer to Appendix C: Allowable Cost Matrix..

Organizational Costs

- **SHSP:** Organizational Costs are not allowed under the State Homeland Security Program (SHSP) in New York State.
 - **SLETPP:** Up to 50% of your award may be spent on allowable organizational activities (listed below). Please keep in mind that all organizational activities also count towards the 50% personnel cap as well.
1. **Overtime Costs:** Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security and specifically requested by a Federal agency. Allowable costs are limited to overtime associated with federally requested participation in eligible fusion activities including anti-terrorism task forces, Joint Terrorism Task Forces (JTTFs), Area Maritime Security Committees (as required by the *Maritime Transportation Security Act of 2002*), DHS Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams. Grant funding can only be used in proportion to the Federal man-hour estimate, and only after funding for these activities from other Federal sources (i.e. FBI JTTF payments to State and local agencies) has been exhausted. Under no circumstances should DHS grant funding be used to pay for costs already supported by funding from another Federal source.
 2. **Intelligence Analysts:** SLETPP funds may be used to hire new staff and/or contractor positions to serve as intelligence analysts to enable information/intelligence sharing capabilities, as well as support existing intelligence analysts previously covered by SLETPP funding. In order to be hired as an intelligence analyst, staff and/or contractor personnel must meet at least one of the following criteria:
 - a. Successfully complete training to ensure baseline proficiency in *intelligence analysis and production* within six months of being hired; and/or,
 - b. Previously served as an intelligence analyst for a minimum of two years either in a Federal intelligence agency, the military, or State and/or local law enforcement intelligence unit
 - c. All intelligence analyst training should be in accordance with Global Justice Information Sharing Initiative's (Global) *Minimum Criminal Intelligence Training Standards for Law Enforcement and Other Criminal Justice Agencies in the United States*, which outlines the minimum categories of training needed for intelligence analysts. These include subject-matter expertise, analytic methodologies, customer-service ethics, information handling and processing skills, critical thinking skills, computer literacy, and objectivity and intellectual honesty. A certificate of completion of such training must be on file with DHSES and made available to FEMA Program Analysts upon request.

3. **Operational Overtime:** In support of efforts to enhance capabilities for detecting, deterring, and preventing acts of terrorism, operational overtime costs are allowable for increased security measures at critical infrastructure sites, **only upon prior approval provided in writing by the FEMA Administrator.** FY2011 SLETPP funds for organizational costs may be used to support select operational expenses associated with increased security measures at critical infrastructure sites in the following authorized categories:
 - a. Backfill and overtime expenses (as defined in this guidance) for staffing State or Major Urban Area fusion centers
 - b. Hiring of contracted security for critical infrastructure sites
 - c. Public safety overtime (as defined in this guidance)
 - d. Title 32 or State Active Duty National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package (Note: Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package)
 - e. Increased border security activities in coordination with US Customs and Border Protection (CBP), as outlined in Information Bulletin #135

Equipment

- FY2011 SHSP and SLETPP funds may be used for equipment acquisition from the 21 equipment categories listed in the FY2011 Authorized Equipment List (AEL). The AEL is available in its entirety online through the Responder Knowledge Base (RKB) at <https://www.rkb.us/>. For more information on allowable equipment categories, please refer to Appendix C: Allowable Cost Matrix.

Training

- Allowable training costs include, but are not limited to, the following: OT/Backfill costs; travel costs; hiring of FT/PT staff or contractors to support training activities. Training conducted using SHSP/SLETPP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps should be identified in the AAR/IP and addressed in the State or Urban Area training cycle. All training and exercises conducted with SHSP/SLETPP funds should support the development and testing of the jurisdiction's Emergency Operations Plan (EOP) or specific annexes, where applicable.

For more information on allowable training please reference Appendix C: Allowable Cost Matrix.

- **Point of Contact:** The NYS Training Point of Contact is Cliff Parker. If you have any questions about training, please contact Cliff at training@dhses.ny.gov or by phone at 518-242-5004.

Exercises

- All exercises conducted using HSGP funding must be compliant with the Homeland Security Exercise and Evaluation Program (HSEEP) guidance. HSEEP requirements are summarized below.
- For a complete list of allowable costs associated with exercises, please refer to Appendix C: Allowable Cost Matrix.

HSEEP general information:

- HSEEP is a capabilities and performance-based exercise program which provides a standardized policy, methodology, and terminology for exercise development, conduct, evaluation and improvement planning. HSEEP policy and guidance is contained in the HSEEP Volumes 1-4, and can be obtained on the HSEEP web site: www.hseep.dhs.gov, along with the HSEEP Exercise development toolkit.
- The HSEEP Mobile Course has been designed to provide students with an understanding of the guidance and principles of HSEEP. This course is scheduled regularly throughout the state and course offerings are listed on the DHSES web site: <http://www.dhSES.ny.gov/oct/units/training-exercises/training-calendar.cfm>.

A summary of major HSEEP compliance activities follows-

Exercise notification:

Exercise Notification Form: When an exercise is scheduled, it must be reported to DHSES on the Scheduled Exercise Notification Form. **This form must be submitted to the DHSES Office of Counter-Terrorism (OCT) Training and Exercise Division sixty days prior to the start of each exercise supported with HSGP funds, including any exercise supported by the county through a sub-allocation of its award.** This notification form can now be submitted online via the DHSES' website:

<http://www.dhSES.ny.gov/oct/units/training-exercises/exercise-notification.cfm>

- National Exercise Schedule: HSEEP guidance requires exercises be placed on the National Exercise Schedule (NEXS). The DHSES OCT Exercise Branch will place exercise information on the National Exercise Schedule based on information contained on the exercise notification form received from jurisdictions. DHSES OCT also maintains a state exercise schedule on the agency web site.

Exercise development: Exercises must be developed according to HSEEP guidance.

Exercise evaluation and after action reporting:

- Evaluation is the cornerstone of exercises. It documents strengths and areas for improvement in a jurisdiction's preparedness. HSEEP requires all exercises to be evaluated

and jurisdictions must submit an exercise After Action Report (AAR) and Improvement Plan (IP). Evaluation takes place using pre-developed Exercise Evaluation Guides which are available on the HSEEP web site. The After Action Report/ Improvement Plan summarizes exercise events and includes corrective actions for improvement. **The AAR/ IP must be submitted to the DHSES OCT Training and Exercise Division sixty days after completion of the exercise. Grantees can submit the AAR/IPs to Octexercises@dhses.ny.gov.**

- Format, templates and information regarding AAR and IP may be found in HSEEP Volume IV on the HSEEP web site: www.HSEEP.dhs.gov. The HSEEP Mobile course includes very thorough information on development of After Action Reports and Improvement Plans.

Exercise Assistance: The DHSES OCT Exercise Branch is available to provide exercise assistance to jurisdictions. Please contact OCT Exercise Branch at OCTexercises@dhses.ny.gov or by phone at 518-242-5002 if you are interested in conducting an exercise using FY2011 HSGP funds, and/or have HSEEP or exercise related questions.

Personnel Cap

Grantees may spend up to 50% of their award on allowable personnel costs, in accordance with the PRICE Act.

Personnel costs includes the following categories:

- Organizational Costs: Operational Overtime, Overtime to participate in information sharing activities, and salaries and personnel costs for intelligence analysts (Allowable under SLETPP and UASI)
- Salaries and personnel costs for planners, equipment managers, exercise coordinators, and/or training coordinators.
- Salaries and personnel costs (up to 5% of award amount) for Management and Administration (M&A) of grant programs.
- Overtime/backfill to participate in approved training or exercise deliveries.
- Contractor costs associated with performing the above activities. Note: A Contractor that is procured for a set period of time to produce a defined product or deliverable (i.e. the development of a HazMat Plan, installation of equipment items, etc.) does not count towards the cap. However, if a Contractor is hired to do general support activities (i.e. Training Director), then this expense would count towards the personnel cap.

Management and Administrative (M&A)

Up to 5% of the award amount may be used to support Management and Administrative costs associated with the implementation of the grant award. Examples of allowable M&A costs include:

- Hire of full or part time staff to administer grants
- Travel costs
- Meeting related expenses
- Authorized office equipment

- Leasing or renting of space for newly hired personnel during the period of performance for the grant program.

For more information on allowable M&A costs, please refer to Appendix C: Allowable Cost Matrix.

FY2011 Construction and Renovation Guidance

Use of FY2011 HSGP funds for construction and renovation is generally prohibited except as outlined below. Such construction and renovation shall be strictly limited and allowable only when it is a necessary component of a security system at critical infrastructure facilities.

Project construction and renovation not exceeding \$1,000,000 is allowable, as deemed necessary. The following types of projects are considered to constitute construction and renovation, and must be submitted to FEMA for compliance review under federal environmental planning and historic preservation (EHP) laws and requirements prior to initiation of the project:

- Construction of and renovation to guard facilities which are intended to provide enhanced security at grantee-designated critical infrastructure sites
- Renovation of and modifications, including the installation of security and communications equipment, to buildings and structures that are 50 years old or older
- Any other construction or renovation efforts that change or expand the footprint of a facility or structure, including security enhancements to improve perimeter security
- Physical security enhancements, including, but not limited to:
 - Lighting
 - Fencing
 - Closed-circuit television (CCTV) systems
 - Motion Detection Systems
 - Barriers, doors, gates, and related security enhancements.

In addition, the erection of communication towers that are included in a jurisdiction's interoperable communications plan is allowed, subject to all applicable laws, regulations, and licensing provisions. Communication tower projects must be submitted to FEMA for EHP review.

Construction Approval Process for SHSP, SLETPP, and UASI

In order for grantees to draw down funds for construction and renovation costs under SHSP, SLETPP, and UASI grants, grantees must provide through DHSES to FEMA:

- A description of the asset or facility, asset location, whether the infrastructure is publicly or privately owned, and the construction or renovation project.
- Certification that a facility vulnerability assessment has been conducted.
- An outline addressing how the construction or renovation project will address the identified vulnerabilities from the assessment.
- Consequences of not implementing the construction or renovation project.
- Any additional information requested by FEMA to ensure compliance with Federal environmental and historical preservation requirements.

Projects that were initiated or completed before an EHP review was concluded are unallowable for reimbursement using SHSP funds. For more information on FEMA’s EHP requirements, grantees should refer to FEMA’s Information Bulletin #329 “Environmental Planning and Historical Preservation Requirements for Grants” available online at:

<http://www.fema.gov/pdf/government/grant/bulletins/info329.pdf>

Secure Identification- WHTI-Compliant Tribal Identification Cards

SHSP and SLETPP funding can now be used to support the implementation activities of several Federal “Secure Identification” initiatives, chiefly the Western Hemisphere Travel Initiative (WHTI), including the issuance of WHTI-compliant tribal identification cards. Activities that facilitate secure identification, including IT enhancements for identification management and verifications systems, are a priority for DHS this year. In addition to the WHTI initiative, SHSP and SLETPP funds may also be used to support DHS’s “Driver’s License Security Grant Program (DLSGP) and the Transportation Worker Identification Credential (TWIC) programs.

Note: Secure identification projects requested and funded under SHSP or SLETPP must directly support SHSP and SLETPP mission goals and cannot supplant projects/activities funded under other grant programs (e.g. DLSGP).

Please reference Federal guidance for more details on this Federal priority. Use the following link to find more information on the WHTI initiative: http://www.dhs.gov/files/programs/gc_1200693579776.shtm

Unallowable Costs

Local jurisdictions may not charge for indirect costs under this grant program.

Supplanting

Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose.

Appendix A: Grants and Training (G&T) Workplan Codes

01. Establish/enhance a terrorism intelligence/early warning system, center, or task force
02. Establish/enhance a agro-terrorism preparedness capabilities
03. Establish/enhance cyber security program
04. Establish/enhance emergency operations center
05. Establish/enhance regional response teams
06. Establish/enhance sustainable homeland security training program
07. Administer and manage the FY2010 Homeland Security Grant
08. Establish/enhance sustainable Homeland Security Planning Program
09. Establish/enhance citizen awareness of emergency preparedness, prevention and response measures
10. Establish/enhance citizen / volunteer initiatives
11. Adopt and implement NIMS to include integration of core concepts into plans and procedures
12. Assess vulnerability of and/or harden/protect critical infrastructure and key assets
13. Build/enhance a pharmaceutical stockpile and/or distribution network
14. Develop/enhance interoperable communications system
15. Enhance capability to support international border and waterway security
16. Establish/enhance a public health surveillance system
17. Establish/enhance Citizen Corps Councils
18. Establish/enhance explosive ordnance disposal units/bomb squads
19. Establish/enhance public-private emergency preparedness program
20. Establish/enhance sustainable homeland security exercise program
21. Manage, update and/or implement the State Homeland Security Strategy
22. Manage, update and/or implement the Urban Area Homeland Security Strategy
23. Develop/enhance plans, procedures, and protocols
24. Develop/enhance homeland security / emergency management organization and structure
25. Enhance integration of metropolitan area public health / medical and emergency management capabilities
26. Establish/enhance mass care shelter and alternative medical facilities operations
27. Establish/enhance emergency plans and procedures to reflect the National Response Plan
28. Develop/enhance state and local geospatial data system/Geographic Information System (GIS)
29. Enhance capabilities to recover from all-hazards events
30. Enhance capabilities to respond to all-hazards events.
31. Enhance capability to perform post-incident structural damage and mitigation assessment.
32. Enhance capability to restore lifelines post incident
33. Enhance capability to support economic and community recovery
34. Establish/enhance fusion center

Appendix B:

FY2011 NYS Investment Justifications, 8 National Priorities, and 37 Target Capabilities

I. FY2011 NYS Investment Justifications

1. CBRNE Detection, Response, and Decontamination
2. Critical Infrastructure and Key Resources Protection
3. Information-Sharing and Support to the State Fusion Center
4. Counter-Terrorism and Law Enforcement
5. Incident Management and Response
6. Communications and Emergency Altering Capabilities
7. Emergency Planning, Citizen, and Community Preparedness
8. Regional Collaboration and Strategic Planning
9. Health Emergency Preparedness
10. Cyber Security

II. 8 National Priorities

1. Expanded Regional Collaboration
2. Implement the National Incident Management System (NIMS) and the National Response Plan (NRP)
3. Implement the Interim National Infrastructure Protection Plan (NIPP)
4. Strengthen Information Sharing and Collaboration Capabilities
5. Strengthen Interoperable Communications Capabilities
6. Strengthen CBRNE Detection, Response, and Decontamination Capabilities
7. Strengthen Medical Surge and Mass Prophylaxis Capabilities
8. Strengthen Planning and Citizen Preparedness Capabilities

III. 37 Target Capabilities (Please reference “Appendix D: Target Capability Linkages” for a complete list of the Target Capabilities)

Appendix C: Allowable Cost Matrix

Reminder: For FY2011 funding, grantees may spend up to 50% of their award on allowable personnel costs, in accordance with the PRICE Act.

Allowable Planning Costs	SHSP	SLETPP	UASI	MMRS
Developing hazard/threat specific annexes that incorporate the range of prevention, protection, response, and recovery activities	Y	Y	Y	Y
Developing and implementing homeland security support programs & adopt ongoing DHS National Initiatives	Y	Y	Y	Y
Developing related terrorism prevention activities	Y	Y	Y	Y
Developing and enhancing plans and protocols	Y	Y	Y	Y
Developing or conducting assessments	Y	Y	Y	Y
Hiring of full or part-time staff or contract/consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)	Y	Y	Y	Y
Conferences to facilitate planning activities	Y	Y	Y	Y
Materials required to conduct planning activities	Y	Y	Y	Y
Travel/per diem related to planning activities	Y	Y	Y	Y
Overtime and backfill costs (in accordance with operation Cost Guidance)	Y	Y	Y	Y
Other project areas with prior approval from FEMA	Y	Y	Y	Y
Issuance of WHTI-compliant tribal identification cards	Y	N	N	N
Activities to achieve planning inclusive of people with disabilities	Y	N	Y	Y
Allowable Organizational Activities	SHSP	SLETPP	UASI	MMRS
Overtime for information, investigative, & intelligence sharing activities (0 percent of the SHSP allocation/ up to 50 percent for SLETPP)	N	Y	Y	NA
Reimbursement for select operational expenses associated with increased security measures at critical infrastructure sites incurred (0 percent of the SHSP allocation/ up to 50 percent for SLETPP)	N	Y	Y	NA
Hiring of new staff positions/contractors/consultants for participation in information/intelligence analysis & sharing groups or fusion center activities (0 percent of SHSP allocation/ up to 50 percent for SLETPP)	N	Y	Y	NA
Allowable Equipment Categories	SHSP	SLETPP	UASI	MMRS
Personal Protective Equipment	Y	Y	Y	Y
Explosive Device Mitigation & Remediation Equipment	Y	Y	Y	N
CBRNE Operational Search & Rescue Equipment	Y	Y	Y	Y
Information Technology	Y	Y	Y	Y
Cyber Security Enhancement Equipment	Y	Y	Y	Y
Interoperable Communications Equipment	Y	Y	Y	Y
Detection	Y	Y	Y	Y
Decontamination	Y	N	Y	Y
Medical	Y	Y	Y	Y
Power	Y	Y	Y	Y
CBRNE Reference Materials	Y	Y	Y	Y
CBRNE Incident Response Vehicles	Y	Y	Y	Y
Terrorism Incident Prevention Equipment	Y	Y	Y	N
Physical Security Enhancement Equipment	Y	Y	Y	N
Inspection & Screening Systems	Y	Y	Y	Y
Agriculture Terrorism Prevention, Response, & Mitigation Equipment	Y	N	Y	Y

CBRNE Prevention and Response Watercraft	Y	Y	Y	N
CBRNE Aviation Equipment	Y	Y	Y	Y
CBRNE Logistical Support Equipment	Y	Y	Y	Y
Intervention Equipment	Y	Y	Y	N
Public Alert and Warning Equipment	Y	N	Y	N
Disability Access and Functional Needs	Y	N	Y	Y
Other Authorized Equipment				
Warranties, maintenance contracts, and calibration				
Repair and replacement costs				
Upgrades to previously purchased HSGP equipment	Y	Y	Y	Y
Service fees for cellular and satellite-enabled equipment and related communications service				
Other maintenance considerations				
Allowable Training Costs				
<ul style="list-style-type: none"> • FEMA Provided Training. FEMA funds the direct delivery of a variety of classes that States can request to meet training needs. These classes are listed in the FEMA approved course catalog listed at http://www.firstrespondertraining.gov/odp_webforms. • Attending Training Not Provided by FEMA (State or Federal Sponsored Courses). States, Territories, and Urban Areas are not required to request approval from FEMA for personnel to attend training not provided by FEMA (State or Federal sponsored courses) provided that the training is coordinated with and approved by the SAA or TPOC and falls within the FEMA mission scope and the jurisdiction's EOP and Strategy of preparing State and local personnel or citizens to prevent, protect against, respond to, and recover from acts of terrorism or catastrophic events. These classes are listed in the FEMA State and Federal approved course catalogs listed at http://www.firstrespondertraining.gov/odp_webforms. • Funds used to develop, deliver, and evaluate training, including costs related to administering the training, planning, scheduling, facilities, materials, and supplies, reproduction of materials and equipment. • Overtime and Backfill costs associated with attending or teaching FEMA-sponsored and/or approved training courses and programs are allowed. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from both their unit or agency of government and from an award for a single period of time (e.g. 1:00pm to 5:00pm), even though such work may benefit both activities. Further, overtime costs associated with employees who participate in training in a teaching role for which they are compensated are not allowed. Fringe benefits on overtime hours are limited to Federal Insurance Contributions Act (FICA) Workers' Compensation and Unemployment Compensation. • Travel Costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to approved training. • Hiring of Full or Part-Time Staff or Contractors/Consultants to support training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have approval of the State. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 50% of your total SHSP/SLETPP grant award. In no case is dual compensation allowable (see above). • Certification/Recertification of instructors is an allowable cost. States are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses that involve training of trainers. 				

SLETPP funds can be used for a range of law enforcement prevention-oriented training activities, including:

- DHS approved intelligence analyst training
- Non-FEMA approved intelligence analyst training.
- Information-Sharing Capacities
- Methods of target hardening
- Facility law enforcement security personnel, to include facilities, vessels, and ports
- CBRNE, agriculture, and cyber threats
- History of terrorism and social environments contributing to threats
- Surveillance and counter-surveillance techniques
- Privacy, civil rights, and civil liberties regulations, policies, procedures, and protocols
- Critical Infrastructure Protection training, to include identifying/assessing critical infrastructure assets, vulnerabilities, and threats
- Cyber/agriculture/food security threats recognition and protective measures training
- Cultural awareness training for community engagement activities and undercover operations related to terrorist organizations
- Languages, such as Arabic, Urdu, or Farsi, which are spoken by known terrorists and terrorist organizations
- Joint training with other homeland security entities (e.g., U.S. Secret Service, Customs and Border Patrol)
- Use of interoperable communications equipment
- Collection, analysis, mapping, integration, and dissemination of geospatial data and imagery
- Geospatial data use, design, development, and management training
- Volunteer participation to support law enforcement and community policing activities related to increased citizen awareness of terrorism activities, to include the Volunteers in Police Service and Neighborhood Watch Programs

Allowable Training Costs (Cont.)	SHSP	SLETPP	UASI	MMRS
Overtime & backfill for emergency preparedness & response personnel attending FEMA-sponsored & approved training classes	Y	Y	Y	Y
Overtime & backfill expenses for part-time & volunteer emergency response personnel participating in FEMA training	Y	Y	Y	Y
Training workshops & conferences	Y	Y	Y	Y
Activities to achieve training inclusive of people with disabilities	Y	N	Y	Y
Full- or part-time staff or contractors/consultants	Y	Y	Y	Y
Travel	Y	Y	Y	Y
Supplies	Y	Y	Y	Y
Tuition for higher education	Y	Y	Y	Y
Other items	Y	Y	Y	Y

Allowable Exercise Related Costs
<ul style="list-style-type: none"> • Funds Used to Design, Develop, Conduct, and Evaluate an Exercise: Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation • Hiring of Full or Part-Time Staff or Contractors/Consultants: Full or part-time staff may be hired to support exercise-related activities. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 50% of your total SHSP/SLETPP award. Your formal written procurement policy or the Federal Acquisition Regulations (FAR)—whichever is more stringent—must be followed. In no case is dual compensation allowed. • Overtime and Backfill: Overtime and backfill costs associated with the design, development, and conduction of exercises are allowable expenses. These costs are allowed only to the extent that the payment for such services is in accordance with the policies of the local unit of government and has the approval of the State. In no case is dual compensation allowable. Fringe benefits on overtime are limited to FICA, Workers’ Compensation and Unemployment Compensation. • Travel: Travel costs are allowable for employees who are on travel status for official business related to the planning and conduct of exercises. • Supplies: Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, and tape). • Other Items: These costs include the rental of space/locations for exercises planning and conduct,

rental of equipment (e.g., portable toilets, tents), food, refreshments, gasoline, exercise signs, badges, etc.

Unauthorized exercise related costs include:

- Reimbursement for the maintenance and/or wear and tear of costs of general use vehicles (e.g., construction vehicles) and emergency response apparatus (e.g., fire trucks, ambulances).
Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs).

Allowable Exercise Related Costs (Cont.)	SHSP	SLETPP	UASI	MMRS
Design, Develop, Conduct & Evaluate an Exercise	Y	Y	Y	Y
Exercise planning workshop	Y	Y	Y	Y
Full or part-time staff or contractors/consultants	Y	Y	Y	Y
OT/ backfill costs, including expenses for part-time/ volunteer emergency response personnel participating in FEMA exercises	Y	Y	Y	Y
Implementation of HSEEP	Y	Y	Y	Y
Activities to achieve exercises inclusive of people with disabilities	Y	N	Y	Y
Travel	Y	Y	Y	Y
Supplies	Y	Y	Y	Y
Other Items	Y	Y	Y	Y
Allowable Management & Admin. Costs	SHSP	SLETPP	UASI	MMRS
Hiring of full or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, compliance with reporting & data collection requirements	Y	Y	Y	Y
Development of operating plans for information collection & processing necessary to respond to FEMA data calls	Y	Y	Y	Y
Costs associated with achieving emergency management that is inclusive of the access and functional needs of workers and citizens with disabilities	Y	N	Y	Y
Overtime and backfill costs	Y	Y	Y	Y
Travel	Y	Y	Y	Y
Meeting related expenses	Y	Y	Y	Y
Authorized office equipment	Y	Y	Y	Y
Recurring expenses such as those associated with cell phones & faxes during the period of performance of the grant program	Y	Y	Y	Y
Leasing or renting of space for newly hired personnel during the period of performance of the grant program	Y	Y	Y	Y

Appendix D: Target Capability Linkages to HSGP Funding Streams

	SHSP	SLETPP	UASI	MMRS
Common Target Capabilities				
Planning	Y	Y	Y	Y
Community Preparedness and Participation	Y	Y	Y	Y
Communications	Y	Y	Y	Y
Risk Management	Y	Y	Y	
Intelligence and Information Sharing & Dissemination	Y	Y	Y	Y
PREVENT Mission Area Target Capabilities				
Info Gathering & Recognition of Indicators & Warnings	Y	Y	Y	Y
Counter-Terror Investigation and Law Enforcement	Y	Y	Y	
Intelligence Analysis & Production	Y	Y	Y	
CBRNE Detection	Y	Y	Y	Y
PROTECT Mission Area Target Capabilities				
Critical Infrastructure Protection	Y	Y	Y	
Epidemiological Surveillance & Investigation	Y		Y	Y
Laboratory Testing	Y		Y	Y
Food & Agriculture Safety & Defense	Y		Y	
RESPOND Mission Area Target Capabilities				
Onsite Incident Management	Y	Y	Y	
Citizen Evacuation and Shelter-In-Place	Y		Y	Y
Emergency Operations Center Management	Y		Y	
Isolation & Quarantine	Y		Y	Y
Critical Resource Logistics & Distribution	Y		Y	Y
Volunteer Management & Donations	Y		Y	
Emergency Public Information & Warning	Y		Y	Y
Responder Safety & Health	Y		Y	Y
Emergency Triage & Pre-Hospital Treatment	Y		Y	Y
Emergency Public Safety & Security Response	Y	Y	Y	Y
Medical Surge	Y		Y	Y
Animal Disease Emergency Support	Y		Y	
Medical Supplies Management & Distribution	Y		Y	Y
Environmental Health	Y		Y	Y
Mass Prophylaxis	Y		Y	Y
Explosive Device Response Operations	Y	Y	Y	
Fire Incident Response Support	Y		Y	Y
Mass Care (Sheltering, Feeding, Related Services)	Y		Y	Y
Search and Rescue (Land-Based)	Y	Y	Y	Y
Fatality Management	Y		Y	Y
WMD/Hazardous Materials Response & Decontamination	Y		Y	Y
RECOVER Mission Area Target Capabilities				
Structural Damage Assessment	Y		Y	
Economic & Community Recovery	Y		Y	
Restoration of Lifelines	Y		Y	