



**FY 2009**

# **Urban Areas Security Initiative (UASI)**

## **Program Guidance**

**NYS Office of Homeland Security**

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## I. Program Overview

The 2009 UASI program will provide financial assistance to address the unique multi-discipline planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and to assist them in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism.

The 2009 UASI program is intended to enhance regional preparedness efforts. UASI program implementation and guidance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, response, and recovery activities within the region. As the State Administrative Agency (SAA) for the UASI grant, the NYS Office of Homeland Security (OHS) must ensure that each NYS UASI takes an inclusive regional approach to the development and implementation of the UASI program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, campus law enforcement, State agencies, Citizen Corps Councils, and MMRS jurisdictions in their program activities.

Activities implemented under UASI 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 the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness.

Throughout the project period, the NYS Office of Homeland Security 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 FY09 HSGP grants, please contact OHS's Grant Hotline at (866) 837-9133 or [grants@security.state.ny.us](mailto:grants@security.state.ny.us).

## II. General Updates

**Directions for Completing Application (Guidance):** To complete this application for FY09 UASI funds, grantees should review this Program Guidance document and the E-Grants Users Tutorial. Next, all budgetary and programmatic information must be entered in the NYS Office of Homeland Security's electronic E-Grants system.

**Deadline (Requirement):** Each grantee's initial "Grant Reporting Requirements" worksheet is due to OHS by September 30, 2009. Worksheets must be sent to [grants@security.state.ny.us](mailto:grants@security.state.ny.us). Subsequently, complete applications are due in E-Grants by November 30, 2009.

**Period of Performance (New Information):** The period of performance for FY09 UASI funds is 36 months (8/1/2009-7/31/2012).

**FY09 NIMS Implementation (Requirement):** All jurisdictions in NYS are expected to meet the FY09 NIMS implementation requirements imposed by the federal Department of Homeland Security. Please contact NYS's NIMS Information Coordinator, Dan Reardon, if you have questions about NIMS implementation. (Dan Reardon; NYS Office of Homeland Security; 518-292-1145; [nims@security.state.ny.us](mailto:nims@security.state.ny.us))

**Drawdown of Funds/Interest (Requirement):** This is a reimbursement program, however, if needed, grantees may request an advance of funds. If OHS 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 the NYS Office of Homeland Security.

**Notice of Waiver for FY09 HSGP Funds (Guidance):** Jurisdictions may choose from the following options if they do not want to accept their FY09 UASI 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 FY09 grant guidelines.

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

### III. E-Grants Guidance

**E-Grants Support:** If you have questions about OHS's E-Grants system, please consult the E-Grants Tutorial included in your award package. For questions not addressed in the packet, please contact OHS's Grant Hotline at (866) 837-9133.

**E-Grants Tip:** In an effort to ease the application development process for grantees, the NYS Office of Homeland Security is encouraging counties 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: 2009 Programmatic Guidance

**Application Linkages:** All allocations and use of funds under the UASI must support your Urban Area Homeland Security Strategy and one or more of your Urban Area's Investment Justifications (Appendix B). Moreover, all allocations under the UASI must support the National Preparedness System, which includes the 8 National Priorities and the 37 Target Capabilities, and the DHS Workplan Codes (Appendix A). For more information on the National Preparedness System, please refer to:

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

#### **New DHS Funding Baselines:**

- Like 2008, DHS is requiring that 25% of UASI funds be allocated in support of Law Enforcement Prevention-Oriented Activities (LETPA), which includes planning, organization, equipment, training, and exercises.
- In 2009, 25% of UASI funding must be allocated to "Strengthen Preparedness Planning," ***which can be done through planning, training and/or exercises activities.***

**FY09 UAWG Charter (Requirement):** For the 2009 UASI grant, DHS required that each UAWG submit a Charter. This Charter had to be approved by DHS before 2008 UASI funds could be drawn down.

- If your UAWG has to make adjustments to your Charter (based on changes from the past year) please reach out to your representative at OHS.

**Tribal Nations (Requirement):** For recognized Tribal Nations with County boundaries, it is expected that applications will reflect homeland security-related concerns and interests of any recognized Tribal Nation contained in whole or in part within the county.

**Additional Application Questions:**

- **Intra-County Coordination:** Similar to the FY08 UASI application, grantees must describe how they will coordinate the development of their FY09 UASI application within their UASI region (with law enforcement, public health, EMS, etc. at the county and *specifically sub-county level*).
- **Leveraged Funding:** Grantees are required to detail what other preparedness funding (SHSP, EMPG, Citizen Corps, etc.) they have leveraged in support of the projects included in this year’s UASI application.
- **Capability Enhancement:** Grantees must demonstrate how their projects will enhance their capabilities, using the DHS Target Capability List (TCL) as a reference. In E-Grants, users are able to select one (1) primary and up to four (4) secondary target capabilities for each of their objectives. Additionally, grantees must describe how projects will enhance their capabilities, using the TCL as a reference.
- **NYS Homeland Security Strategy:** Grantees must outline how their projects will support the implementation of the NYS Homeland Security Strategy. Specific goals and objectives should be referenced in your answer. Additionally, grantees must link their application back to Strategy Goals in the “Funding Allocation” tab in E-Grants. (See Section V of the Program Guidance for additional details on the State Strategy).
- **Exercises:** Grantees that are planning to use FY09 funding for exercises must provide the following information in E-Grants for each exercise proposed:
  - **Brief Description of the Exercise:** What jurisdictions and disciplines will be involved, what is the purpose of the exercise, etc.
  - **Timeline:** When will the exercise occur? This information can be provided generally (i.e. Winter 2010)—Specific dates are not needed at this time.
  - **Additional Information:** For additional information on exercises, please refer to Section VI, Authorized Program Expenditures, of this guidance document.

**V. New York State Homeland Security Strategy**

In April 2009, NYS released its new State Homeland Security Strategy. This Strategy provides a comprehensive framework to guide, organize and unify homeland security efforts in New York State. The Strategy is available online at:

[http://www.security.state.ny.us/publications/2009\\_NYS\\_Homeland\\_Security\\_Strategy.pdf](http://www.security.state.ny.us/publications/2009_NYS_Homeland_Security_Strategy.pdf).

We request that your homeland security officials review the Strategy and utilize it in your strategic planning processes. We also welcome any feedback you have on the Strategy. Comments can be sent to [strategy@security.state.ny.us](mailto:strategy@security.state.ny.us).

## VI. Authorized Program Expenditures

### Planning

Planning activities are central to the Urban Areas Security Initiative (UASI):

Reminder: 25% of UASI funds must be allocated in support of Law Enforcement Prevention-Oriented Activities (LETPA), which includes planning, organization, equipment, training, and exercises. Furthermore, 25% of your UASI award must be allocated to “Strengthening Preparedness Planning,” **which can be done through planning, training and/or exercises activities.**

For a complete list of allowable planning costs, please refer to Appendix C: Allowable Cost Matrix.

### Organizational Costs

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:** UASI 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’s *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 and made available to FEMA Program Analysts upon request.

3. **Operational Overtime:** Operational overtime costs are allowable for increased security measures at critical infrastructure sites during DHS-declared periods of **Orange or Red threat levels**. Subject to these elevated threat level conditions, FY 2009 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 local fusion centers
  - b. Hiring of contracted security for critical infrastructure sites
  - c. Public safety overtime (as defined in this guidance)
  - d. National Guard deployments to protect critical infrastructure sites, including all resources that are 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
  - f. Note: Consumable costs, such as fuel expenses, are **not allowed** except as part of the standard National Guard deployment package.

### **Equipment**

FY09 UASI funds may be used for equipment acquisition from the 21 equipment categories listed in the FY 2009 Authorized Equipment List (AEL). The AEL is available in its entirety online through the Responders 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.

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

Reminder: 25% of your UASI award must be allocated to “Strengthening Preparedness Planning,” ***which can be done through planning, training and/or exercises activities.***

The NYS Training Point of Contact is Cliff Parker. If you have any questions about training, please contact Cliff at [training@security.state.ny.us](mailto:training@security.state.ny.us).

### **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.**

Reminder: 25% of your UASI award must be allocated to “Strengthening Preparedness Planning,” ***which can be done through planning, training and/or exercises activities.***

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](http://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 OHS web site: [www.security.state.ny.us/training](http://www.security.state.ny.us/training).

**A summary of major HSEEP compliance activities follows:****Exercise notification:**

- Exercise Notification Form: When an exercise is scheduled, it must be reported to OHS on the Scheduled Exercise Notification Form. This form must be submitted to the OHS 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 Office of Homeland Security's website: [http://www.security.state.ny.us/training/exercise\\_notification.php](http://www.security.state.ny.us/training/exercise_notification.php)
- National Exercise Schedule: HSEEP guidance requires exercises be placed on the National Exercise Schedule (NEXS). The OHS Exercise Branch will place exercise information on the National Exercise Schedule based on information contained on the exercise notification form received from jurisdictions. OHS 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 OHS Training and Exercise Division sixty days after completion of the exercise. Format, templates and information regarding AAR and IP may be found in HSEEP Volume IV on the HSEEP web site: [www.HSEEP.dhs.gov](http://www.HSEEP.dhs.gov). The HSEEP Mobile course includes very thorough information on development of After Action Reports and Improvement Plans.

**Reminder:** All Urban Areas are required to develop a Multi-Year Training and Exercise Plan and submit it to FEMA on an annual basis. This plan must tie into the Multi-Year Training and Exercise Plan developed by the State and it must align with your Urban Area Homeland Security Strategy. Further, Urban Areas are encouraged to develop a Multi-Year Plan and Schedule that takes into consideration anticipated training needs of the Urban Area for at least the immediate year, with exercises being timed to provide responders the opportunity to utilize training received. Further guidance concerning Training and Exercise Plan Workshops can be found in the [HSSEP volumes](#). Urban Areas are eligible to apply for direct support, but must do so in coordination with the NYS Office of Homeland Security (OHS).

**Exercise Assistance:** The OHS Exercise Branch is available to provide exercise assistance to jurisdictions. Please contact Catherine Lowenski; OHS Exercise Branch Chief at (518-457-0554) or [clowenski@security.state.ny.us](mailto:clowenski@security.state.ny.us) if you are interested in conducting an exercise using FY09 HSGP funds, and/or have HSEEP or exercise related questions.

## Personnel

In 2009, DHS instituted major changes in terms of personnel costs that are allowable under the HSGP grants. In 2009, grantees may spend up to 50% of their award on allowable personnel costs, in accordance with the PRICE Act.

Please note that the definition of personnel costs was greatly expanded by DHS in 2009. The chart below outlines what types of costs count towards the 50% personnel cap in 2009, compared to the guidelines that were in place in 2008.

<b>2009 Personnel Costs</b>	<b>2008 Guidelines</b>
Organizational Costs: Operational Overtime, Overtime to participate in information sharing activities, and salaries and personnel costs for intelligence analysts (Allowable under SLETPP and UASI)	In 2008, these three activities counted towards the Organizational costs cap, which was 25% under the UASI grant and 60% under the SLETPP grant.
Salaries and personnel costs for planners, equipment managers, exercise coordinators, and/or training coordinators.	In 2008, these activities counted towards the 15% personnel (program management)
Salaries and personnel costs (up to 3% of award amount) for Management and Administration (M&A) of grant programs.	In 2008, the M&A cap (3%) did not count toward the 15% personnel cap.
Overtime/backfill to participate in approved training or exercise deliveries.	In 2008, this was not included in the personnel caps.
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.	In 2008, consultants did not count toward the personnel cap under any circumstances.
<b>In 2009, the allowable categories of personnel costs outlined above all count towards the 50% personnel cap. Up to 50% of your jurisdiction's award can be spent on allowable personnel costs.</b>	

## Management and Administrative (M&A)

Up to 3% 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.

## FY09 Construction and Renovation Guidance

Use of FY09 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
- Renovation of and modifications, including the installation of security and communications equipment, to buildings and structures that are over 50 years old
- 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 plans are 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 OHS 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 for the facility.
- 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.

Grantees should refer to FEMA's Information Bullet #271, "Environmental Planning and Historical Preservation Requirements for Grants", available online at:

<http://www.ojp.usdoj.gov/odp/docs/info271.pdf>

#### **Unallowable Costs**

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

## **Appendix A: DHS 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 FY08 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: FY09 UASI Investment Justifications, 8 National Priorities, and 37 Target Capabilities

## I. FY09 NYS UASI Investment Justifications

Albany-Schenectady-Troy	Buffalo	NYC
Public Health/Citizen Preparedness	Strengthening Community Preparedness Planning	Regional Catastrophic Planning, Equipment, Training, and Exercises (Multi-State w/ Newark UASI)
CBRNE	Public Health	Citizen Preparedness
Critical Infrastructure Protection	CBRNE	Fire Services Tiered Training Matrix
Interoperable Communications	Critical Infrastructure/Key Resources Protection	NIMS Training, Planning, Equipment and Exercises
NIMS Implementation	Interoperable Communications and Information Sharing	Lower/Midtown Manhattan Security Initiatives
		Public Safety Interoperable Communications
		Public Health Readiness
		Joint Operations Center
		Critical Infrastructure Protection
		Radiological, Nuclear and Explosive Detection/Response

Rochester	Syracuse
Protecting Critical Infrastructure and Key Resources: Comprehensive Evaluation	Interoperable Communications
Strengthening CBRNE: Special Operations Teams	Intelligence Gathering and Dissemination
Strengthen Communications Capabilities	Public Health Preparedness (Mass Prophylaxis Capacity)
Strengthen Medical Surge and Mass Prophylaxis Capabilities	CBRNE Detection and Response
Strengthen Citizen Preparedness	Potable Water Delivery Systems Protection
	Law Enforcement Response Capability
	Emergency Management Planning
	Unified Citizen Preparedness Campaign

## II. 8 National Priorities

1. Implement the National Incident Management System (NIMS) and the National Response Plan (NRP)
2. Expanded Regional Collaboration
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

<b>Allowable Planning Costs</b>	<b>SHSP</b>	<b>SLETPP</b>	<b>UASI</b>	<b>MMRS</b>
Developing scenario plans that incorporates the range of prevention, protection, response and recovery activities for a scenario	Y	Y	Y	Y
Develop and implement homeland security support programs & adopt ongoing DHS National Initiatives, including State Preparedness Reports	Y	Y	Y	Y
Develop related terrorism prevention activities	Y	Y	Y	Y
Develop and enhance plans and protocols	Y	Y	Y	Y
Develop and conduct assessments	Y	Y	Y	Y
Hiring of full or part-time staff or contractors/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 (IAW operation Cost Guidance)	Y	Y	Y	Y
Other project areas with prior approval from FEMA	Y	Y	Y	Y
<b>Allowable Organizational Activities</b>	<b>SHSP</b>	<b>SLETPP</b>	<b>UASI</b>	<b>MMRS</b>
Overtime for information, investigative, & intelligence sharing activities specifically requested by a federal agency (up to 50 percent of UASI allocation)		Y	Y	
Reimbursement for select operation expenses associated with increased security measures at critical infrastructure sites incurred during periods of DHS-declared orange alert (up to 50 percent of UASI allocation)		Y	Y	
Hiring of new staff positions/contractors/consultants for participation in information/intelligence analysis & sharing groups or fusion center activities (up to 50 percent of UASI allocation)		Y	Y	
<b>Allowable Equipment Categories</b>	<b>SHSP</b>	<b>SLETPP</b>	<b>UASI</b>	<b>MMRS</b>
Personal Protective Equipment	Y	Y	Y	Y
Explosive Device Mitigation & Remediation Equipment	Y	Y	Y	
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 Equipment	Y	Y	Y	Y
Decontamination Equipment	Y		Y	Y
Medical	Y	Y	Y	Y
Power Equipment	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	
Physical Security Enhancement Equipment	Y	Y	Y	
Inspection & Screening Systems	Y	Y	Y	Y
Agriculture Terrorism Prevention, Response, & Mitigation Equipment	Y		Y	Y
CBRNE Prevention and Response Watercraft	Y	Y	Y	
CBRNE Aviation Equipment	Y		Y	Y
CBRNE Logistical Support Equipment	Y	Y	Y	Y
Intervention Equipment	Y	Y	Y	
Other Authorized Equipment	Y	Y	Y	Y
<b>Allowable Training Costs</b>				
<ul style="list-style-type: none"> <li>• <b>FEMA Provided Training.</b> 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</li> </ul>				

[http://www.firstrespondertraining.gov/odp\\_webforms](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](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 UASI 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.

<b>Allowable Training Costs</b>	<b>SHSP</b>	<b>SLETPP</b>	<b>UASI</b>	<b>MMRS</b>
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
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**

- **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 UASI 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 purchases for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs).

	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
Overtime & 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
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
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
<b>Common Target Capabilities</b>				
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
<b>PREVENT Mission Area Target Capabilities</b>				
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
<b>PROTECT Mission Area Target Capabilities</b>				
Critical Infrastructure Protection	Y	Y	Y	
Epidemiological Surveillance & Investigation	Y		Y	Y
Laboratory Testing	Y		Y	Y
Food & Agriculture Safety & Defense	Y		Y	
<b>RESPOND Mission Area Target Capabilities</b>				
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
<b>RECOVER Mission Area Target Capabilities</b>				
Structural Damage Assessment	Y		Y	
Economic & Community Recovery	Y		Y	
Restoration of Lifelines	Y		Y	