



U.S. DEPARTMENT OF HOMELAND SECURITY

**FISCAL YEAR 2013**

**HOMELAND SECURITY GRANT PROGRAM**

**INVESTMENT JUSTIFICATION  
PLANNING WORKSHEET**

**MAY 2013**



U.S. DEPARTMENT OF HOMELAND SECURITY

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**PART I.**  
**FY 2013 HSGP INVESTMENT JUSTIFICATION  
PLANNING WORKSHEET OVERVIEW**

**OVERVIEW OF THE INVESTMENT JUSTIFICATION PLANNING WORKSHEET**

The FY 2013 HSGP Investment Justification (IJ) Planning Worksheet provides applicants with an optional, off-line tool, in MS Word, to assist in developing each Investment to be included as part of the final IJ.

The IJ Planning Worksheet is **only** a preparatory tool. States, territories, and Urban Areas are **required** to use the web-based IJ submission module provided by FEMA in the Grants Reporting Tool (GRT) for their FY 2013 HSGP IJ submission. Each applicant's official IJ submission module is located on the GRT at <https://www.reporting.odp.dhs.gov/>. This is also the location through which applicants can access the *GRT IJ Submissions Technical User's Guide*, which includes instructions on how to log into the GRT and complete the IJ.

**GENERAL REMINDERS**

This offline Planning Worksheet **only** applies to State Homeland Security Program (SHSP) and Urban Areas Security Initiative (UASI) applicants. Therefore, this is not applicable to the Operation Stonegarden (OPSG) program. OPSG applicants should refer to Appendix E – *FY 2013 OPSG Operations Order Template and Instructions* within the *FY 2013 HSGP Funding Opportunity Announcement* for the OPSG application template.

The Planning Worksheet allows applicants to take advantage of spelling and grammar as well as character count functionalities available in MS Word during the IJ development. Applicants are strongly encouraged to utilize such functionalities prior to transferring text from MS Word to the GRT to ensure adherence with formatting requirements. Note that character count limits, to include spacing and all forms of punctuation, are counted against the character count maximum.

The IJ submission module will be available to applicants approximately 30 days prior to the application submission deadline of **June 24, 2013**. At this time, applicants may begin transferring data from the MS Word IJ Planning Worksheet to the applicant's IJ submission module in the GRT. Please allow enough time before (or no later than 11:59 p.m. EST) **June 24, 2013** to complete the IJ in the GRT and submit the required application materials using the ND Grants system located at <https://portal.fema.gov>. Urban Areas should work in accordance with their respective State's timelines and processes identified by the SAA to ensure the Urban Area IJ is submitted by the SAA in compliance with the application deadline.

After the IJ application has been marked 'complete' in the GRT, SAAs on behalf of applicants must obtain a PDF version of the application from the GRT to upload as an

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attachment on the ND Grants system located at <https://portal.fema.gov>. Note that the application must be started and submitted using [www.grants.gov](http://www.grants.gov) after registration in the System for Award Management (SAM) is confirmed. The on-line application includes the following required form:

- Standard Form 424, Application for Federal Assistance

Applying for FY 2013 HSGP funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One as soon after the FOA is published but no later than **June 17, 2013**. This involves submitting a complete Standard Form 424 to [www.grants.gov](http://www.grants.gov). The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to Grants.gov to complete Step One could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is **June 24, 2013**.

The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. If you need assistance registering for the ND Grants system, please contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076. Applicants are encouraged to begin their ND Grants registration at the time of solicitation to ensure they have adequate time to start and complete their application submission. Unless otherwise referenced, the ND Grants system includes the following required forms and submissions:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 112-0-3C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- For SHSP and UASI funds, an IJ Report from the Grants Reporting Tool (see Appendix D – *FY 2013 HSGP Investment Justification Template and Instructions*) (OMB Control Number: 1660-0125/FEMA Form: 089-1)

Additionally, FY 2013 UASI Urban Area applicants are required to provide an overview of their Urban Area Working Group (UAWG) structure to include a list of members and their associated jurisdictions.

Each State's IJ may contain up to **10** individual Investments which describe the activities the State would like to implement with SHSP funds. Of the up to 10 Investments,

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applicants are required to propose at least one Investment to provide funding support to the State's primary fusion center, as designated by the Governor.

Each Urban Area's IJ may contain up to **10** individual Investments which describe the activities the Urban Area would like to implement with UASI funds. If applicable, of the up to 10 Investments, Urban Areas are required to propose at least one Investment in support of a DHS-recognized fusion center within the Urban Area. If UASI funds are used by the SAA in support of the Urban Area, the SAA must as part of the up to 10 Investments under UASI, propose an Investment describing how UASI funds will be used by the SAA to directly support the Urban Area.

Applicants are required to consolidate all fusion center related funding requests into a single Investment per funding source (e.g., SHSP, UASI) in which recognized fusion centers reside. The consolidated fusion center Investment per funding source must address funding support for the recognized fusion center (for a list of recognized fusion centers, please refer to [http://www.dhs.gov/files/programs/gc\\_1301685827335.shtm](http://www.dhs.gov/files/programs/gc_1301685827335.shtm)). Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission and the Investment requests must directly align to and reference any capability gaps identified during the center's individual 2012 Fusion Center Assessment Report. For additional information, please refer to the *FY 2013 HSGP Funding Opportunity Announcement*.

Lastly, applicants must ensure that the total estimated funding amounts across all Investments should not exceed the SHSP and UASI program allocations as published in the *FY 2013 HSGP Funding Opportunity Announcement*.

## **OVERVIEW OF THE LAW ENFORCEMENT TERRORISM PREVENTION ACTIVITIES (LETPA) FUNDING MINIMUM CALCULATION**

Pursuant to the relevant provisions of the *Homeland Security Act of 2002* (Public Law 107–296), as amended (6 U.S.C. § 607), States are required to ensure that at least 25 percent (25%) of the combined HSGP funds allocated under SHSP and UASI are dedicated towards law enforcement terrorism prevention activities linked to one or more core capabilities within the NPG. The LETPA allocation can be from SHSP, UASI or both. This requirement does not include award funds from OPSG.

## **SUMMARY OF THE APPLICATION REVIEW PROCESS**

### **SHSP and UASI Only:**

Within the State and Urban Area IJ, if applicable, each Investment will be reviewed separately by reviewers. Reviewers will evaluate all Investments regardless of what funding source has been indicated for each Investment (e.g., SHSP, UASI). Although reviewers will review all sections individually, this Planning Worksheet identifies sections of the Investment that will be closely examined by reviewers. It will also highlight what criteria reviewers will consider when recommending Investments for approval or conditional approval. Questions that reviewers will use during the review process and to assist in the

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overall approval or conditional approval recommendation of Investments are derived from the “*Guidance for Completing this Section*” guidance. **Applicants should delete “*Guidance for Completing this Section*” once the development of the application is initiated to ensure maximum space permitted when completing each section.**

Reviewers will examine Investments across four sections listed below:

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

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## PART II

# FY 2013 HSGP INVESTMENT JUSTIFICATION PLANNING WORKSHEET

### OVERALL INVESTMENT JUSTIFICATION INFORMATION

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

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

*Guidance for Completing this Section: Applicants should describe the spectrum of all-hazard risks the applicant faces. Description should provide the framework for all Investments provided within the IJ. The IJ must demonstrate how proposed projects support sustainment of existing core capabilities or address shortfalls and deficiencies in one or more core capabilities outlined in the NPG and as identified in their most recent State Preparedness Report. Consistent with the purpose of the program, the IJ must demonstrate alignment to Urban Area, State, and regional THIRAs, SPRs, Urban Area and State homeland security strategies, national priorities, and applicable guidance provided by FEMA. Per the 9/11 Act, applicants must demonstrate how the IJ will contribute to sustaining capabilities and assist in preventing, preparing for, protecting against, and responding to acts of terrorism.*

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**Identify the amount and percentage of funding that will be dedicated to Management and Administration (M&A) expenditures.**

Note: The Total M&A Amount and Total M&A Percentage **will not** be automatically calculated in the table below. The total M&A percentage should not exceed five percent (5%) of the allocated funding. Please note that M&A should be calculated at the overall IJ level per funding source (e.g., SHSP, UASI) and not at the individual Investment level.

<b>Program</b>	<b>Request Amount</b>	<b>M&amp;A Amount</b>	<b>M&amp;A Percentage</b>	<b>Subtotal</b> (Request Amount + M&A)
SHSP or UASI	\$	\$	%	\$

**I. OVERVIEW**

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

**New**       **Ongoing**

**If the Investment is Ongoing, identify the Investment(s) from prior year(s) to include:** (FY 2009 – FY 2012)

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

**I.B Provide the FY 2013 Investment name:** (100 character max)

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

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

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

Applicants must ensure that requested funds maintain current capabilities that were funded by past HSGP funding cycles. New capabilities should not be built at the expense of maintaining current, essential capabilities. If new capabilities are being built utilizing HSGP funding, applicants must ensure that the new capabilities are able to be deployable outside of their community, through the Emergency Management Assistance Compact (EMAC), to support regional and national efforts.

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

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

*Guidance for Completing this Section: Describe how the planning, organization, equipment, training, or exercises activities within this Investment support State and/or Urban Area as well as HSGP priorities. As the FY 2013 HSGP plays an important role in the implementation of the National Preparedness System (NPS), applicants must demonstrate how proposed planning, organization, equipment, training, and/or exercises-related activities support the building, sustainment, and delivery of core capabilities outlined in the National Preparedness Goal (NPG).*

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## II. BASELINE

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

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

*Guidance for Completing this Section: Applicants should demonstrate linkages between specific projects undertaken with SHSP and UASI funds with strategic goals and objectives identified in the State and/or Urban Area Homeland Security Strategy. Please note that State and Urban Area Homeland Security Strategies should be updated every two years at a minimum, to ensure that strategies continue to address all homeland security mission areas (prevention, protection, mitigation, response, and recovery) and reflect how goals and objectives align to the NPS and the Whole Community approach. Reviewers will reference State and Urban Area Homeland Security Strategies to ensure proposed Investments align with goals and objectives. As such, as part of the FY 2013 HSGP application submission, applicants should consider uploading the most up-to-date strategies.*

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**II.B Describe existing capability levels that address the identified goals/objectives and what will be in place to support the Investment prior to the use of FY 2013 funds.**

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

*Guidance for Completing this Section: Applicants should provide a clear description of existing capability levels that will support identified goals and objectives in Section II.A. Applicants should describe the current state (baseline or starting point) of the Investment at the beginning of the FY 2013 HSGP period of performance. Applicants may discuss major milestones, purchases, training activities, or other implementation steps that have been or will have been started and/or completed before the application of FY 2013 HSGP funds.*

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

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

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

***For fusion center Investments only.*** *Indicate how requested funding directly aligns to and reference any capability gaps identified during the center’s individual 2012 Fusion Center Assessment Report. In particular, each proposed project included in the fusion center Investment must reference the corresponding Critical Operational Capabilities (COCs) and Enabling Capabilities (ECs), as well as associated attribute(s), the funding investment is intended to address.*

**III. PROJECT MANAGEMENT AND MILESTONES**

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

**III.A Provide the FY 2013 Funding Source and Amount:**

Funding Source		Funding Amount
Proposed Funding Source ( <i>Select One</i> )	SHSP or UASI	\$

Applicants may choose to fund projects from multiple funding sources (e.g., SHSP, UASI); however, dedicated funding toward such projects must be accounted for separately within the respective State and Urban Area IJ.

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

Yes       No

Please note that all fusion center-related funding requests **must be consolidated into a single investment per funding source** (e.g., SHSP, UASI) in which recognized fusion centers reside. The consolidated fusion center investment per funding source must address funding support for the recognized fusion center (For a list of recognized fusion centers, please see [http://www.dhs.gov/files/programs/gc\\_1301685827335.shtm](http://www.dhs.gov/files/programs/gc_1301685827335.shtm)).

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

\$

Per the 2006 of the *Homeland Security Act of 2002* (Public Law 107–296), as amended, (6 U.S.C. § 607), States are required to ensure that at least 25 percent (25%) of the combined HSGP funds allocated under SHSP and UASI are dedicated towards law enforcement terrorism prevention activities. The LETPA allocation can be from SHSP, UASI or both.

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

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

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

Core Capabilities (As Identified Above)	Amount of Proposed Funding (\$)	Percent of Proposed Funding (%)
Access Control and Identity Verification	\$	<i>Percent of Proposed Funding will be automatically calculated by the GRT as you enter the amount across the core capability categories.</i>
Community Resilience	\$	
Critical Transportation	\$	
Cyber Security	\$	
Economic Recovery	\$	
Environmental Response/Health and Safety	\$	
Fatality Management Services	\$	

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Core Capabilities (As Identified Above)	Amount of Proposed Funding (\$)	Percent of Proposed Funding (%)
Forensics and Attribution	\$	
Health and Social Services	\$	
Housing	\$	
Infrastructure Systems	\$	
Intelligence and Information Sharing	\$	
Interdiction and Disruption	\$	
Long-term Vulnerability Reduction	\$	
Mass Care Services	\$	
Mass Search and Rescue Operations	\$	
Natural and Cultural Resources	\$	
On-scene Security and Protection	\$	
Operational Communications	\$	
Operational Coordination	\$	
Physical Protective Measures	\$	
Planning	\$	
Public and Private Services and Resources	\$	
Public Health and Medical Services	\$	
Public Information and Warning	\$	
Risk and Disaster Resilience Assessment	\$	
Risk Management for Protection Programs and Activities	\$	
Screening, Search, and Detection	\$	
Situational Assessment	\$	
Supply Chain Integrity and Security	\$	
Threat and Hazard Identification	\$	
<b>Total:</b>	<b>\$</b>	<b>100%</b>

For additional information on the NPG and core capabilities, please visit <http://www.fema.gov/national-preparedness/national-preparedness-goal>. A crosswalk of target capabilities within the TCL to core capabilities within the NPG can also be accessed at <http://www.fema.gov/pdf/prepared/crosswalk.pdf>.

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

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

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

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

**III.E Identify up to 10 projects within this Investment, with start and end dates, which will be implemented over the 24 month period of performance. Provide the following information:**

*Guidance for Completing this Section: Please reference Appendix A – Project Management Lifecycle for a detailed description of the Project Management Lifecycle. The projects/activities should demonstrate progress towards achieving the Investment within the FY 2013 HSGP period of performance.*

Project/Activity One	Amount of Proposed Funding (\$)
Project Name	
Funding Amount	\$
Project Management Step <i>(Select the <u>most</u> applicable step)</i>	Initiate, Plan, Execute, Control, Close Out
Start Month/Year	
End Month/Year	

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

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

Yes       No

#### IV. ACCOMPLISHMENTS AND IMPACT

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

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

*Guidance for Completing this Section: Applicants should:*

- *Provide a description of the anticipated outcomes that will be achieved during the FY 2013 HSGP period of performance;*
- *Indicate how the implementation of the Investment will continue to fill capability gaps beyond the period of performance;*
- *Demonstrate how accomplishments will demonstrate progress toward the overall objective of the Investment and bridge capability gap(s) as outlined in Section II.A; and*
- *Describe how successful maintenance and sustainment of the capabilities identified within the Investment will be supported to achieve long-term continuity.*

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## APPENDIX A PROJECT MANAGEMENT LIFECYCLE

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

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

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

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## **APPENDIX B**

### **FY 2013 HSGP SUPPLEMENTAL RESOURCES**

In addition to the *FY 2013 HSGP Funding Opportunity Announcement*, supplemental resources are available to grantees. Please see below for a list of supplemental resources that will be available on the FEMA website at:

<http://www.fema.gov/government/grant/hsgp/>.

- FY 2013 HSGP Supplemental Resource: Cyber Security
- FY 2013 HSGP Supplemental Resource: Baseline Capabilities for State and Major Urban Area Fusion Centers
- FY 2013 HSGP Supplemental Resource: Federal (and Mutual Aid) Emergency Response Official (F/ERO) Credentialing and Validation
- FY 2013 HSGP Supplemental Resource: Homeland Security and Information Network (HISN) Guidance
- FY 2013 HSGP Supplemental Resource: Integrated Public Alert and Warning (IPAWS) Guidance
- FY 2013 HSGP Supplemental Resource: Regional Resiliency Assessment Program (RRAP)
- FY 2013 HSGP Supplemental Resource: National Information Exchange Guidance
- FY 2013 HSGP Supplemental Resource: ND Grants Grantee Registration Instructions
- FY 2013 HSGP Supplemental Resource: ND Grants Online Grantee Tutorials
- FY 2013 HSGP Supplemental Resource: SAFECOM Guidance
- FY 2013 HSGP Supplemental Resource: Support for Public-Private Collaboration
- FY 2013 HSGP Supplemental Resource: Radiological / Nuclear Detection Guidance
- FY 2013 HSGP Supplemental Resource: Children in Disasters Guidance
- FY 2013 HSGP Supplemental Resource: People with Disabilities in Disasters Guidance
- FY 2013 HSGP Supplemental Resource: Law Enforcement Information Sharing Service (LEIS) Guidance
- FY 2013 HSGP Supplemental Resource: Office of Health Affairs: Medical and Health Expertise in Support of DHS

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