



OHIO DEPARTMENT  
OF PUBLIC SAFETY  
EDUCATION · SERVICE · PROTECTION

# Ohio Emergency Management Agency

**John R. Kasich, Governor**  
**Thomas P. Charles, Director**

**Nancy J. Dragani, Executive Director**

---

## State Homeland Security Grant Program - Competitive

**Applications Due by August 13, 2012**



**FY 2012**

**Local Program Guidance and  
Application Package**

## TABLE of CONTENTS

Changes to FY2012 Programs.....	3
I. Program Overview.....	3
- Introduction; Program Overview and Priorities.....	3
- Sustaining and Building Core Capabilities.....	5
- Defining Sustainment.....	7
- Supporting Federal Priorities.....	8
- NIMS Compliance, Grant Program Governance and Eligible Applicants.....	9
II. Award Information.....	10
- Issued By/CFDA Number and Title.....	10
- Authorizing Authority and Appropriation Authority for Program.....	10
- Period of Performance.....	10
- FY2012 HSGP Funding.....	10
III. Funding Guidelines.....	10
- Allowable Costs.....	11
- Construction and Renovation.....	18
- Environmental and Historical Preservation (EHP) Compliance.....	18
IV. Grant Administration.....	19
- Standard financial requirements.....	42
A. Application requirements.....	20
- Submission Requirements.....	20
- FY2012 Application form.....	20
- Regional Partner Agreements.....	20
- EHP Screening Tool.....	20
- NIMS Compliance.....	20
B. Application Processing.....	21
- Standards for Review; Selection Criteria.....	21
- Application General Information.....	21
- Addressing Regional concept.....	21
- Support of Core Capabilities.....	21
- Project Narrative; Project Timeline.....	22
- Budget and Budget narrative; Project Management.....	23
- Selection Process.....	23
C. Post Award Requirements.....	24
- Issuance of Grant Agreement; Sub-Grantee Training.....	24
- Performance Period; Demonstrating Progress.....	24
- Standards for Financial Management.....	24
- Source Documentation.....	25
- Changes.....	25
- Procurement.....	25
- Equipment and Supplies Requirements.....	27
- Sub-granting.....	27
- Single Audit Requirements.....	28
- Reporting requirements.....	28
D. Payments.....	28
- Reimbursement Requests/Standards for Review.....	28
- Payments.....	28
E. Enforcement.....	29
- Monitoring/Enforcement/Grant Termination.....	29
Points of Contact.....	30
List of Appendices.....	31
Appendix A. Terms and Conditions of the Grant.....	32
Appendix B. Grant Application Checklist.....	41
Appendix C. Crosswalk of Core Capabilities.....	42
Appendix D. Detailed Planning Eligible Activities.....	50
Appendix E. Ohio Homeland Security Strategy.....	55

## CHANGES TO LOCAL GUIDANCE FY2012

- ✦ The FY2012 HSGP (non-LE funding) is competitive. Not all applications will be funded and not all counties should expect to see funding. It is imperative that all applicants completely read and follow the guidance in this document. Applications that do not meet the criteria outlined in the following pages may not qualify for review for funding.
- ✦ In accordance with the requirements of 44 CFR, Ohio is requiring sub-grantees seeking to make a purchase or other procurement exceeding \$100,000 must pre-coordinate the procurement with Ohio EMA.
- ✦ Ohio EMA's Electronic Grants Management System will be the sole mechanism for application, management and payment of the FY2012 HSGP grant programs.
- ✦ Applicants will have 60 calendar days to submit completed FY2012 applications.
- ✦ Environmental and Historical Preservation (EHP) Review forms have been updated and **must** be completed and submitted with applications (as applicable per this guidance).
- ✦ Quarterly reporting will be required for all FY2012 HSGP sub-grants.
- ✦ Sub-grantee training will be required for successful grant applicants.

### I. PROGRAM OVERVIEW

#### *Introduction*

The Fiscal Year 2012 (FY2012) Homeland Security Grant Program (HSGP) has been changed significantly from previous iterations of the funding opportunity. For FY2012 and specifically Ohio's allocation, the HSGP is comprised of:

- State Homeland Security Program (SHSP)
  - o includes the Law Enforcement State Homeland Security Program (LE-SHSP) to be run through a separate funding opportunity; and
- Operation Stonegarden (OPSG) to be run through a separate funding opportunity.

The purpose of this package is to provide:

- (1) An overview of the transition to a competitive framework for SHSP funding;
- (2) The formal grant guidance and application materials needed to apply for funding under the SHSP program (LE-SHSP and OPSG is separately administered for FY2012).
- (3) Administrative Requirements that must be met by all sub-grantees in order to meet the requirements of federal regulations, mandates and orders.

#### *Program Overview and Priorities*

SHSP supports the implementation of State Homeland Security Strategies to address the identified planning, organization, equipment, training, and exercise needs to prevent, protect against, mitigate, respond to, and recover from acts of terrorism and other catastrophic events. Per federal grant guidance, activities implemented under SHSP must support terrorism preparedness by building or enhancing capabilities that relate to the prevention of, protection

from, mitigation of, response to, and recovery from 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 this program that are not explicitly focused on terrorism preparedness.

Although no longer funded as discrete grant programs, all activities and costs allowed under the FY 2010 Interoperable Emergency Communications Grant Program (IECGP), FY 2011 Citizen Corps Program (CCP) and FY 2011 Metropolitan Medical Response System (MMRS) grant program are allowable and encouraged to the extent in which they are eligible and supported by the requirements outlined in this document as well as federal grant guidance.

The FY2012 grant program supports FEMA’s transition to a new methodology for grant awards and is developed to prepare sub-grantees for the transition to new requirements in FY 2013 in the following ways:

- Begin the process of transitioning from separate preparedness grant programs in FY 2011 to a more streamlined model within the construct of the FY 2012 appropriations
- Continue the transition to address the core capabilities outlined in the National Preparedness Goal (NPG)
- Implement a two year period of performance with very limited extensions

***Supporting PPD-8 and the National Preparedness Goal (NPG)***

Presidential Policy Directive 8: National Preparedness (PPD-8), signed on March 30, 2011, describes the Nation’s approach to preparing for the threats and hazards that pose the greatest risk to the security of the United States. National preparedness is the shared responsibility of our whole community. Every member contributes, including individuals, communities, the private and nonprofit sectors, faith-based organizations, and Federal, State, and local governments.

Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential of these capabilities are the core capabilities identified in the National Preparedness Goal. Complex and far-reaching threats and hazards require the whole community to integrate preparedness efforts in order to build, sustain, and deliver the core capabilities and achieve the desired outcomes identified in the National Preparedness Goal. The components of the National Preparedness System provide a consistent and reliable approach to support decision making, resource allocation, and measure progress toward these outcomes. While each of the components of the National Preparedness System is essential, to achieve preparedness, it is critical that the components be understood and used in the context of each other. Ultimately, this integrated approach becomes a means to achieve the National Preparedness Goal in a consistent and measurable way.



A significant level of effort has been levied over that last several years towards estimating capability requirements and building capabilities. While work in other mission area components of the National Preparedness System has been done, there is work yet to be accomplished. The natural progression of investing in an extensive capability build-up is to ensure that the capability remains viable, ensuring plans are in place to use the capability, validating that the capability meets the estimated requirements through progressive exercise activities and acting on the results found through validation to update and further enhance the capability.

FEMA describes our security and resilience posture through the core capabilities that are necessary to address risks. The core capabilities contained in the National Preparedness Goal are the distinct critical elements necessary for our success. They are highly interdependent and will require the use of existing preparedness networks and activities, improvement to training and exercise programs and ensuring that the administrative, finance, and logistics systems are in place to support these capabilities. The core capabilities represent an evolution from the Target Capabilities List (TCL). The transition from TCL to core capabilities expands the focus to include mitigation and allows greater focus on prevention and protection activities.

### *Sustaining and Building Core Capabilities*

The FY 2012 HSGP plays an important role in the implementation of PPD-8 by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the *National Preparedness Goal* (NPG). The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 HSGP supports select core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

## Core Capabilities List

PREVENT	PROTECT	MITIGATE	RESPOND	RECOVER
Planning	Planning	Planning	Planning	Planning
Public Information and Warning	Public Information and Warning	Public Information and Warning	Public Information and Warning	Public Information and Warning
Operational Coordination	Operational Coordination	Operational Coordination	Operational Coordination	Operational Coordination
Forensics and Attribution*	Access Control and Identity Verification*	Community Resilience*	Critical Transportation	Economic Recovery*
Intelligence and Information Sharing*	Cybersecurity	Long-Term Vulnerability Reduction*	Environmental Response / Health and Safety	Health and Social Services*
Interdiction and Disruption*	Intelligence and Information Sharing*	Risk and Disaster Resilience Assessment*	Fatality Management Services	Housing*
Screening, Search and Detection	Interdiction and Disruption*	Threats and Hazard Identification*	Infrastructure Systems	Infrastructure Systems
	Physical Protective Measures*		Mass Care Services	Natural and Cultural Resources*
	Risk Management for Protection Programs and Activities*		Mass Search and Rescue Operations	
	Screening, Search and Detection		On-Scene Security and Protection	
	Supply Chain Integrity and Security*		Operational Communications	
			Public and Private Services and Resources	
			Public Health and Medical Services	
			Situational Assessment	

\*Shaded capabilities will not be addressed through Fy2012 SHSP competitive funding.

Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential of these capabilities are the core capabilities identified in the NPG. Complex and far-reaching threats and hazards require the whole community to integrate preparedness efforts in order to build, sustain, and deliver the core capabilities and achieve the desired outcomes identified in the NPG.

Working together, subject matter experts, government officials, and elected leaders can develop strategies to allocate resources effectively, as well as leverage available assistance to reduce risk. These strategies consider both how to sustain current levels of capability and address gaps in order to achieve the NPG. Achieving the NPG will require participation and resource support from all levels of government. Not all capabilities can be addressed in a given funding cycle, nor can funding be expected to flow from any one source.

Ohio further reviewed the 31 federally identified core capabilities based on availability of alternate funding streams, applicability to the SHSP grant program, and the current status of the capabilities in Ohio. Ohio used a panel of state and local officials in conjunction with a survey of grant stakeholders at the local level across all HSGP grant programs to determine what capabilities should be the focus of this funding opportunity. Based on the review process, the capabilities that meet the intent of the SHSP grant program were broken into categories of: **Sustainment, Closing Gaps and Building New Capabilities.**

Federal grant guidance has noted that State’s must first demonstrate that current capabilities are being sustained prior to building new capabilities. As such, Ohio will coordinate the FY2012 grant program with an emphasis on sustainment as its first priority. Applications that are submitted in the sustainment category will be reviewed and ranked against each other, but not against projects that are submitted in Closing Gaps and Building New categories. Projects submitted in the Closing Gaps and Building New categories will be reviewed in the same manner; projects within each category reviewed and ranked against similar projects. .

The following capabilities have been identified as being in a **Sustainment** mode and will be the first priority of the grant program:

Planning	Public Info/Warning	Operational Coordination <sup>1</sup>	Critical Transportation	Public Health and Medical Services <sup>2</sup>
Mass Care Services	Mass Search and Rescue	Screening, Search and Detection <sup>3</sup>	Environmental Response/Health and Safety <sup>4</sup>	On-Scene Security and Protection <sup>5</sup>

1. Operational Coordination (limited to EOC and IMT capabilities)
2. Public Health and Medical Services (limited to Emergency Triage and Mass Casualty Capabilities)
3. Screening, Search and Detection (CBRNE detection)
4. Environmental Response, Health and Safety (limited to NIMS Type I and Type II Haz-Mat Teams)
5. On Scene Security and Protection (limited to FBI accredited bomb squads)

The following core capabilities were identified as being included in the **Closing Gaps** category and will be considered as a second tier priority after sustainment has been addressed:

Planning	Public Info/Warning	Operational Coordination <sup>1</sup>	Critical Transportation	Operational Communications
Screening, Search and Detection <sup>2</sup>	Fatality Management Services	Public and Private Services and Resources	Mass Care Services	Situational Assessment

1. Operational coordination (limited to EOC and IMT capabilities)
2. Screening, Search and Detection (CBRNE detection)

The final category of capabilities is those identified as being in a **Build** status. These are the capabilities that have had minimal work accomplished towards completing the capability or are emerging capabilities. Due to the limited funding, these capabilities will be a third tier priority and addressed only if/as funds are available after addressing both Sustain and Closing Gap tiers.

Cybersecurity	Infrastructure Systems
---------------	------------------------

Additionally, the State of Ohio will be committing a portion of the state’s 20% funding towards the Threats and Hazard Identification core capability as the state is required to submit a THIRA by December 31, 2012 for grant purposes.

Local officials must prioritize the achievement of capabilities to most effectively ensure security and resilience while understanding the effects of not addressing identified gaps. Building and sustaining capabilities will include a combination of organizational resources, equipment, training, and exercising. Consideration must also be given to finding, connecting to, and strengthening community resources by leveraging the expertise and capacity of individuals, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. Jurisdictions may also choose to use mutual aid agreements to fill gaps or work with partners to develop regional capabilities. Ultimately, a jurisdiction may need to rely on other levels of government to address a gap in capability. This expectation should be communicated well before the time arises when the capabilities are most urgently needed.

***Defining Sustainment***

Sustainment has been a term used in recent grant offerings to mean costs of maintenance, repair and user fees for equipment or specific items. For the FY2012 SHSP competitive grant, the concept is sustaining capabilities. Sustaining a capability entails costs associated with keeping a capability at the level it was designed to function. As an example, sustainment of a Type 1 Law Enforcement Observation Aircraft (Fixed-Wing) requires an aircraft, specific equipment, PPE and personnel trained to a specific level in order to be functional at a Type 1 level. Sustainment of this example could include the “typical” sustainment of equipment as seen in past grants but may also include an exercise to test the capability to ensure it functions at the level estimated and updated pilot training as a result of findings in the exercise.

The “sustainment” focus of the FY2012 is a continuation in the preparedness cycle as outlined in PPD-8 and a mechanism to ensure that capabilities that have been built over the last decade remain viable to address the hazards and risks faced by Ohio and the nation.

### *Supporting Federal Priorities*

#### **Priority One: Implementation of PPD-8 and the Whole Community Approach to Security and Emergency Management**

FEMA preparedness grant programs offer resources for State, local, tribal, and regional partners to support activities described within PPD-8, NPG, and the Whole Community Approach to Security and Emergency Management, to include development and sustainment of critical capabilities needed to close gaps, increasing national to preparedness.

- **Objective One: Completion of 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. **Ohio EMA will be working to address this priority and requirement for FY2012 no further action is required by sub-grantees.**
- **Objective Two: Planning.** All SHSP and UASI grantees that maintain, or revise as necessary, an EOP shall ensure their consistency with the CPG 101 v2 September 2010 which serves as the foundation for State, local, tribal, and territory emergency planning. **Ohio EMA will be working to address this priority and requirement for FY2012 no further action is required by sub-grantees.**
- **Objective Three: Organization – Typing of Equipment and Training.** All grantees will report what equipment was purchased and what typed capability it supports as part of the reporting requirements; All grantees will report in the reporting requirement 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); All grantees will report the total number of a defined type of resource and core capabilities built utilizing the resources of this grant as part of the reporting requirement. Sub-grantees will be required to support this reporting requirement by supplying information in quarterly reports to Ohio EMA for submittal to DHS-FEMA.
- **Objective Four: Sustaining Capabilities.** In this time of limited resources, HSGP grantees should ensure that grant funding is utilized to sustain core capabilities within the NPG that were funded by past HSGP funding cycles to include training of personnel and lifecycle replacement of equipment. New capabilities should not be built at the expense of maintaining current, essential capabilities. All capabilities being built or sustained must have a clear linkage one or more core capabilities in the NPG. Through the methodology of the grant funding opportunity, Ohio EMA is addressing the requirement to describe how funding first supports maintenance and sustainment of NPG core capabilities.

#### **Priority Two: Building and Sustaining Law Enforcement Terrorism Prevention**

**Capabilities** – Ohio is addressing Priority two through the required 25% LETPA requirement through a separate funding opportunity.



**Priority Three: Maturation and Enhancement of State and Major Urban Area Fusion Centers** - Ohio is addressing Priority two through the required 25% LETPA requirement through a separate funding opportunity.

### ***NIMS Compliance***

In order to receive FY2012 HSGP funding, the jurisdiction is required to certify as part of their grant application that they are addressing and/or have met the FY2011 NIMS requirements. Please refer to the NIMS Certification form, which is included in the application packet to certify NIMS compliance. Additional information about NIMS compliance and resources for achieving compliance can be found at Ohio EMA NIMS website

<http://www.ema.ohio.gov/NimsGuidance.aspx> or the *NIMS Integration Center web page*, <http://www.fema.gov/emergency/nims>

### ***Supporting State Funding Priorities***

The HSGP cluster of grants is an important part of Ohio's larger, coordinated effort to strengthen homeland security preparedness. The programs will implement objectives addressed in Ohio's FY2012 Investment Justifications.

Based upon ongoing capability review and assessment, Ohio will continue to focus available grant funding on risk and capability-based investments. Ohio's FY2012 local investment areas and funding priorities are as follows:

1. Sustainment of existing regional core capabilities developed/enhance through past HSGP funding
2. Sustainment of existing regional core capabilities developed/enhanced through local/state funding
3. Enhancing capabilities to close identified gaps in regional capabilities
4. Building capabilities to address areas previously not addressed.

### ***Grant Program Governance***

Unlike past DHS grants, FY2012 funding will focus entirely on regional capabilities that can be made available to the region, state and nation as needed. Regional capability needs will be forwarded to and coordinated by a single county EMA within the region. All funding applications must be supported, in writing by all counties/jurisdictions covered by the capability. The authority and responsibility for submittal and acceptance of any project/award will lie completely within the executive structure (Commissioners, Executive or Executive Board/Committee) associated with the applying County EMA.

### ***Eligible Applicants***

In accordance with Ohio EMA's past administration of the SHSP (Non-LE) grant, eligible applicants are limited to the 88 county Emergency Management Agencies within Ohio. While it is understood that the grant requires a regional approach and may cover other grant program (CCP, MMRS, UASI) priorities, the application may only be submitted by a county EMA.

## II. AWARD INFORMATION

### *Issued By*

U.S. Department of Homeland Security (DHS): Federal Emergency Management Agency (FEMA) through Ohio Emergency Management Agency as the State Administrative Agency (SAA)

### *Catalog of Federal Domestic Assistance (CFDA) Number and Title:*

97.067 - Homeland Security Grant Program

### *Authorizing Authority for Program*

*The Homeland Security Act of 2002 (Public Law 107-296), as amended by section 101 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53)*

### *Appropriation Authority for Program*

*The Consolidated Appropriations Act, 2012, Division D (Public Law 112-74)*

### *Period of Performance*

The period of performance of this grant is expected to be **September 1, 2012 through June 30, 2014**. Extensions to the period of performance are not likely. Applications should clearly address how actions will be completed within the timeframe allowed by this guidance.

### *FY2012 HSGP Funding*

As announced on February 17, 2012, Ohio was awarded with \$5,578,064 in total funding of the SHSP program. No funding was made available to Ohio for the UASI, MMRS or CCP programs. As required by the *Homeland Security Act of 2002 (Public Law 107-296)*, Title XX, § 2006, as amended by the 9/11 Act, Title I, §101, August 3, 2007, 121 Stat. 280, 6 U.S.C. § 607, Ohio is required to ensure that at least 25% of funding is dedicated to law enforcement terrorism prevention activities. This requirement has been met by dedicating \$1,673,420 to Ohio's LE-SHSP program to be administered through a separate process. As the SAA, Ohio EMA is required to obligate at least 80% of funds to local units of government. *\$3,123,716 represents the amount committed to meeting this requirement and sets the maximum level of funding available for this competitive funding opportunity.*

## III. FUNDING GUIDELINES

In order to be funded by FY2012 HSGP funds, Ohio is requiring that projects meet the following criteria:

1. Regional capability comprised of and/or supportive of multiple jurisdictions within Ohio;
2. Capability that is deployable/sharable within the region, state and nation and commitment to do so;
3. Must directly support at least one of the core capabilities outlined in this document as being supported by Ohio's FY2012 SHSP funding

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or

adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Use of SHSP funds must be consistent with and supportive of implementation of the State Homeland Security Strategy.

Allowable Investments made in support of the HSGP priorities as well as other capability-enhancing projects must fall into the categories of planning, organization, equipment, training or exercises. Additional detail about each of these allowable expense categories, as well as sections on additional activities including explicitly unallowable costs, is provided.

### *Allowable Costs*

**The following pages outline global allowable costs guidance applicable to all programs included in the SHSP funding. Applicants must ensure that costs directly support the funding guidelines listed previously and all other requirements of this guidance.**

### *Personnel Activities*

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable FY 2012 SHSP planning, training, exercise, equipment and M&A activities. A personnel cost cap of up to 50 percent (50%) of total may be used for personnel and personnel-related activities as directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412). In general, the use of SHSP funding to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost. Activities that are considered personnel and personnel-related, and therefore count against the personnel cost cap of 50 percent (50%), include, but are not limited to:

- Overtime/backfill to participate in approved training or exercise deliveries
- Salaries and personnel costs of planners, equipment managers, exercise coordinators, and/or training coordinators
- Salaries and personnel costs under the M&A category
- Contractor costs associated with performing the above activities
  - o A scope of work and contract detailing the job duties and deliverables for all consultants and/or contractors must be provided and approved by the Ohio EMA Preparedness Grants Branch prior to finalizing any consultant/contractor agreements or contracts.
- Costs associated with providing reasonable accommodations and modifications for workers with disabilities
- Statewide Interoperability Coordinator (SWIC) or equivalent position

FY 2012 HSGP funds may not be used to support the hiring of any personnel for the purposes of fulfilling traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

The following are definitions for the terms as used in this grant guidance:

- **Hiring.** State and local entities may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable FEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-FEMA program activities under any circumstances. Hiring will always result in a net increase of Full Time Equivalent (FTE) employees.
- **Overtime.** These expenses are limited to the additional costs which result from personnel working over and above 40 hours of weekly work time as a direct result of their

performance of FEMA-approved activities specified in this guidance. Overtime associated with any other activity is not eligible.

- **Backfill-related Overtime.** Also called —Overtime as Backfill,|| these expenses are limited to overtime costs which result from personnel who are working overtime (as identified above) to perform the duties of other personnel who are temporarily assigned to FEMA-approved activities outside their core responsibilities. Neither overtime nor backfill expenses are the result of an increase of FTE employees.
- **Supplanting.** Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

### ***Planning Activities***

FY 2012 SHSP funds may be used for a range of emergency preparedness and management planning activities and that support updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v.2. Planning efforts can also include the prioritizing of needs, building capabilities, updating preparedness strategies, allocating resources, and delivering preparedness programs across disciplines and levels of government. Planning provides a methodical way to engage the whole community in thinking through the life cycle of potential crises, determining required capabilities, and establishing a framework for roles and responsibilities. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes.

Sub-recipients are further encouraged to include disciplines responsible for the health, safety, education, rehabilitation, and care of infants and children and those responsible for integrating the accessibility and functional needs of children and adults with disabilities. Planning activities should focus on the four homeland security mission areas of prevention, protection, response, and recovery. All jurisdictions are encouraged to work through Citizen Corps Councils, existing public-private partnerships that support emergency management, nongovernmental entities, and the general public in planning activities.

Sub-grantees must use the *CPG 101: Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans* in order to develop robust and effective plans. For additional information, please see

[http://www.fema.gov/pdf/about/divisions/npd/CPG\\_101\\_V2.pdf](http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf)

Upon completion of a given planning project, the sub-grantee will submit copies of the completed plans and/or planning tasks that were developed, enhanced, or updated using FY2012 HSGP funds. These will be submitted to Ohio EMA's Grant Branch not later than end of the grant performance period and will be used to validate the work was completed as per the budget. Failure to do so may result in forfeiture or repayment of grant funds.

All publications created with FY2012 HSGP funding shall prominently contain the following statement: "This document was prepared under a grant from the U.S. Department of Homeland Security (DHS). Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of the U.S. DHS."

### ***Allowable Planning Activities***

The *FY 2012 HSGP Guidance and Application Kit* defines five broad categories of allowable planning costs. Following are examples for each of the categories. A specific emphasis should be placed on the preparedness of child congregate care systems, providers and facilities, and especially school districts and child/day care. Additional examples are group residential facilities operated by State and local child welfare authorities, and juvenile detention facilities.

- Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, response, and recovery activities;
- Developing and implementing homeland security support programs and adopting DHS national initiatives;
- Developing related terrorism prevention activities;
- Developing and enhancing plans and protocols;
- Developing or conducting assessments.

A comprehensive list of specific allowable planning activities is provided as Appendix D of this document.

### ***Equipment Activities***

All equipment procured under SHSP must be in support of the maintenance or development of a capability described and typed under the NIMS where such typing guidance exists as published by FEMA. The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for FY 2012 HSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at <https://www.rkb.us>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Before any equipment item is added to the sub-grantee budget, they must first confirm the item conforms to a specific AEL equipment item. It is recognized that the AEL is not an all-inclusive list. Some items that wish to be purchased may not exactly match a specific item in the AEL. In those cases, the county must consult Ohio EMA's Preparedness Grants Branch to determine whether or not the item meets the intent and restrictions of a given AEL equipment category/item. If Ohio EMA cannot concur or determine the eligibility of the item, they will consult with DHS to confirm eligibility of the item. The sub-grantee must receive approval for the item through the EGMS from Ohio EMA's Grants Branch. This clarification must take place prior to any encumbrance or expenditure of funds for the item in question.

Sub-grantees that are using FY 2012 HSGP funds to support emergency communications activities should comply with the *FY 2012 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. Emergency communications activities include the purchase of Interoperable Communications Equipment and technologies such as voice-over-internet protocol bridging or gateway devices, or equipment to support the build out of wireless broadband networks in the 700 MHz public safety band under the Federal Communications Commission Waiver Order. SAFECOM guidance can be found at <http://www.safecomprogram.gov>.

Any equipment purchased with HSGP funding shall, when practical, be prominently marked as follows: “Purchased with funds provided by the U.S. Department of Homeland Security.” It is recognized that not every individual item can be labeled as such. If the purchased equipment is maintained in bulk storage (ie. in a packing container) the grant recipient may label the applicable container(s) with the above statement as opposed to labeling each and every item. Labeling should not be intrusive to the piece of equipment and must not include the DHS logo.

### ***Maintenance and Sustainment Costs***

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted. Grantees are reminded to be sensitive to supplanting issues. In accordance with FEMA’s recently released Information Bulletin #379, maintenance and sustainment costs has been expanded to allow for the support of equipment, training, and critical resources that have previously been purchased with *either* federal grant *or* any other source of funding other than DHS/FEMA preparedness grant program dollars. The expansion of eligible maintenance and sustainment costs must be in (1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas contained within the National Preparedness Goal, and (4) sharable through the Emergency Management Assistance Compact. Please refer to GPD’s IBs 336, 348 and 379 located at <http://www.fema.gov/government/grant/bulletins/index.shtm>

Routine upkeep (e.g., gasoline, tire replacement, routine oil changes, monthly inspections, grounds, and facility maintenance, etc.) is the responsibility of the grantee and may not be funded with preparedness grant funding.

### ***Training Activities***

Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP and UASI programs and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS, Department of Transportation). Training conducted using HSGP 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, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the State or Urban Area training cycle. All training and exercises conducted with HSGP funds should support the development and testing of the jurisdiction’s EOP or specific annexes, and validation of completed corrective actions from previous exercises or real world events, where applicable.

### ***Training Requirements***

All training activities supported by FY2012 HSGP must be eligible based on DHS-FEMA FY2012 grant guidance to Ohio.

Non-DHS approved training courses may be considered and approved for a maximum of three deliveries. Applicants proposing a non-DHS approved course must be specific on the Training Pre-Approval Form on how the course will address both DHS’s mission-scope and support the State Investment Justification. If you have questions regarding eligibility during the

developmental stages of your training project proposal, please contact Phil Johnson, Training Supervisor, at 614-799-3680.

Sub-grantees are required, within 30 days after attendance, to submit information through the SAA via Web-Forms on all training not provided by FEMA, but supported with HSGP funds. This information will consist of course title, course description, mission area, level of training, the training provider, the date of the course, the number and associated disciplines of the individuals, and the sponsoring jurisdiction.

Sub-grantees intending to use FEMA funds to support attendance at training not provided by FEMA must ensure these courses:

- Fall within the FEMA mission scope to prepare State, local, Tribal, and territorial personnel to prevent, protect against, respond to, and recover from acts of terrorism and catastrophic events
- Build additional capabilities that: (a) support a specific training need identified by the State, territory, and Urban Area, and (b) comport with the State, territory, or Urban Area Homeland Security Strategy
- Address specific tasks and/or competencies articulated in FEMA's *Emergency Responder Guidelines* and the *Homeland Security Guidelines for Prevention and Deterrence*
- Address specific capabilities and related tasks articulated in PPD-8.
- Support the specific program training activities identified in the individual HSGP grant programs for which the funding will be used

### ***Allowable Training Costs***

Allowable training-related costs include, but are not limited to, the following:

- *Developing, Delivering, and Evaluating Training*. Includes costs related to administering the training, planning, scheduling, facilities, materials and supplies, reproduction of materials, disability accommodations, and equipment.
- *Overtime and Backfill*. The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs, are allowable. 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 their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- *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*. Payment of salaries and fringe benefits to full or part-time staff or contractors/consultants must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses.
  - o A scope of work and contract detailing the job duties and deliverables for all consultants and/or contractors must be provided and approved by the Ohio EMA Preparedness Grants Branch prior to finalizing any consultant/contractor agreements or contracts.

- *Certification/Recertification of Instructors.* States are encouraged to follow the NTE 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. This information is contained in IB 193, issued October 20, 2005. Additional information can be obtained at [http://www.fema.gov/good\\_guidance/download/10146](http://www.fema.gov/good_guidance/download/10146).

### ***Exercise Activities and Requirements***

Ohio EMA requires that exercises conducted with FEMA grant funding must be managed and conducted in accordance with the US Department of Homeland Security's Homeland Security Exercise and Evaluation Program (HSEEP) and the State of Ohio's Terrorism/All-Hazard Exercise and Evaluation Manual (EEM). HSEEP Guidance for exercise design, development, conduct, evaluation, and improvement planning is located at <https://hseep.dhs.gov> . Programmatic information requests and requests for the State of Ohio's Terrorism/All-Hazard EEM should be directed to the OEMA Exercise Program Manager. General exercise questions should be directed to the OEMA Exercise Staff. All exercises using HSGP funding must be NIMS compliant. More information is available online at the National Integration Center at <http://www.fema.gov/emergency/nims/index.shtm>.

Exercise projects selected for funding must be coordinated with the State's Multi-Year Training and Exercise Plan and must have representation from the participating county/counties at the State's Training and Exercise Plan Workshop (TEPW), which will be conducted in the fall of 2012. Additional information will be sent out under separate cover in regard to the 2012 TEPW.

Applications requesting exercise funding should demonstrate that personnel and resources exist to ensure compliance with the HSEEP requirement and sound exercise management practices.

The scenarios used in HSGP-funded exercises must be based on the State Homeland Security Strategy and plans. Acceptable scenarios for SHSP exercises include: chemical, biological, radiological, nuclear, explosive, cyber, agricultural and natural or technological disasters. The scenarios used in HSGP-funded exercises must focus on validating existing capabilities, must be large enough in scope and size to exercise multiple activities and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities. Exercise scenarios should align with objectives and capabilities identified in the Multi-year Training and Exercise Plan.

More specific exercise guidance will be contained within the grant agreement and must be agreed to for exercise projects to be funded.

### ***Allowable Exercise Costs***

Allowable exercise-related costs include:

- 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. Grantees are encouraged to use government or free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any exercise or exercise gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the exercise cycle.



- 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.
- The applicant's formal written procurement policy or 44 CFR 13.36– whichever is more stringent – must be followed.
- Overtime and Backfill. The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development, and conduct of exercises are allowable expenses. 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 their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- Travel. Travel costs are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of exercise project(s) or HSEEP programmatic requirements as described in the HSEEP website (e.g., Improvement Plan Workshops, Training and Exercise Plan).
- Supplies. Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., gloves, non-sterile masks, and disposable protective equipment).
- Disability Accommodations. Materials, services, tools and equipment for exercising inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities).
- Other Items. These costs include the rental of equipment and other expenses used specifically for exercises, costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities.

### ***Unauthorized Exercise Costs***

Unauthorized exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles), medical supplies, 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).

If you have questions regarding eligibility during the developmental stages of your exercise project proposal, please contact Darren Price, Exercise Program Manager, at 614-799-3660 or via e-mail [deprice@dps.state.oh.us](mailto:deprice@dps.state.oh.us)

### ***Management and Administration (M&A) Costs and Requirements***

Sub-grantees may retain a maximum of up to five percent (5%) of requested funding for management and administrative purposes associated with the HSGP award. M&A costs are specifically attributed to the management and administration of the FY2012 award(s). Indirect costs are not considered administrative costs and are not permitted under the FY2012 HSGP grants. The allowable costs specifically include the following:

- Hiring of full-time or part-time staff or contractors to include, but not limited to, completing pre-grant application Budget Worksheets and Program Narrative; initiating, documenting, and tracking grant expenditures; inventorying equipment

- purchases; producing or completing required grant reports such as the Request for Cash, Encumbrance Report, and federally-required ISIP and BSIR;
- Overtime and backfill costs related to accomplishing allowed administrative tasks only to the extent the payment for such services is in accordance with the policies of the local unit(s) of government;
  - Applicable travel expenses to the extent the payment for such services is in accordance with the policies of the local unit(s) of government;
  - Non-food meeting related expenses (IAW with OMB Circular A-87 and 44 CFR) associated with County's Terrorism Advisory Team to discuss local homeland strategy implementation and/or grant program management;
  - Acquisition of authorized office equipment, including personal computers, laptop computers, printers, LCD projectors, and other equipment or software which is required to support the implementation of the FY09 SHSP and *only when* no such equipment is currently available to accomplish the task;
  - Recurring fees/charges associated with *authorized office equipment*, such as cell phones, faxes, etc. (this does *not* pertain to *response equipment* purchased under the eligible equipment program category); and
  - Leasing and/or renting of office space for *newly hired personnel* who will administer the programs within FY2012 HSGP, or for personnel currently being paid with SHSP funds for grant administration and will now be responsible to additionally administer FY2012 HSGP funding.

### ***Construction and Renovation***

Use of HSGP funds for construction is generally prohibited and will have limited applicability to Ohio's FY2012 offering of HSGP funding.

### ***Environmental Planning and Historic Preservation (EHP) Compliance***

FEMA is legally required to consider the potential impacts of all grant-funded projects on environmental resources and historic properties. For HSGP and other preparedness grant programs, this is accomplished via FEMA's EHP Review. Sub-grantees must comply with all applicable EHP laws, regulations, and Executive Orders (EOs) in order to draw down their FY 2012 HSGP grant funds. Any project with the potential to impact natural resources or historic properties cannot be initiated until FEMA has completed the required FEMA EHP review. Grantees that implement projects prior to receiving EHP approval from FEMA risk de-obligation of funds.

HSGP projects that involve the installation of equipment, exercises not specifically excluded from a FEMA EHP review per the GPD Programmatic Environmental Assessment (PEA) (for more information on the PEA see IB 345 and ground-disturbing activities, new construction, including communication towers, or modification/renovation of existing buildings or structures must undergo a FEMA EHP review. Furthermore, for those proposed construction or renovation projects that are part of larger projects funded from a non-FEMA source (such as an EOC that is part of a larger proposed public safety complex), a FEMA EHP review must be complete before the larger project is initiated. For these types of projects, sub-grantees must complete the FEMA EHP Screening Form (included in this guidance) and submit it, with all supporting documentation, to their Ohio EMA Grant Programs Specialist. Refer to IBs 329, 345, and 356 located at <http://www.fema.gov/> for further details on EHP requirements.

The following activities would not require the submission of the FEMA EHP Screening Form:

- planning and development of policies or processes;
- management, administrative or personnel actions;
- classroom-based training;
- table top exercises and;
- acquisition of mobile and portable equipment (not involving installation).

No projects initiated after September 9, 2010 without proper EHP review will be funded. Projects using HSGP funds that were initiated or completed before an EHP review was concluded will be de-obligated. To avoid unnecessary delays in starting a project, grantees are encouraged to pay close attention to the reporting requirements for an EHP review.

#### **IV. Grant Administration**

*Grant Administration* information is intended to help sub-grantees in understanding the rules and regulations associated with administering federally-funded grant awards and the state's process for meeting these requirements. We attempted to pull this standard financial, administrative and legal information to create a comprehensive source of administrative information related to the preparedness grant programs.

##### ***Standard Financial Requirements***

Any sub-grantee(s) accepting grant funds from Ohio EMA shall comply with all applicable laws and regulations.

The administrative requirements that apply to most Department of Homeland Security (DHS) award recipients and specifically the awards made to our governmental partners through the grant program(s) included in this guidance arise from the Office of Management and Budget (OMB) Circular A-102, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments* (also known as the —A-102 Common Rule), found under DHS regulations at Title 44, Code of Federal Regulations (CFR) Part §13, —Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. For the purposes of this grant guidance, reference to these requirements will be made by noting “44 CFR Part 13”.

The requirements for allowable costs/cost principles are contained in the A-102 Common Rule, OMB Circular A-110 (2 CFR §215.27), DHS program legislation, Federal awarding agency regulations, the terms and conditions of the award and the accompanying grant guidance. The applicable costs principles for the grants included in this guidance are:

- 2 CFR Part §225, *Cost Principles for State, Local, and Indian Tribal Governments*, (formerly referenced as OMB Circular A-87).
- OMB Circular A-133, *Audits of States, Local Governments and Non-Profit Organizations*.
- 48 CFR Part §31.2, Federal Acquisitions Regulations (FAR), *Contracts with Commercial Organizations*.

The sub-grantee is required to ensure that the requirements of the federal grant are met as well as any applicable requirements of the state and local government. Acceptance of a federal grant

and its requirements do not relieve the sub-grantee of requirements of local and/or state government.

## **A. Application Requirements**

### *Submission Requirements*

Grant Applications and Assurances with original signature must be mailed to Ohio EMA and must be postmarked by August 13, 2012. It is highly recommended that the applicant use a method of delivery that can be tracked as applications received after the deadline will not be considered.

Jurisdictions are not limited to the number of applications that may be submitted. However, each application may only cover one category of consideration (Sustainment, Closing Gaps, Building New Capabilities) which will be reviewed and ranked against all other projects.

A completed application for assistance under this competition consists of four parts: the FY2012 HSGP application template, documentation of regional partner agreements, EHP screening tool (as required) and NIMS compliance.

- 1. FY2012 HSGP Application Form:** A template has been included for the applicant to utilize in addressing the selection criteria for this funding opportunity. Projects that do not utilize the template will not be considered for review/funding.
- 2. Regional Partner Agreements:** To be considered for a grant award, an applicant must include in its application a letter of acknowledgement and support of the project from each county identified by the application as supported by the capability. Letters must be on letterhead and acknowledge the scope of the project and support of the applying county EMA.
- 3. EHP Screening tool:** FEMA is legally required to consider the potential impacts of all grant-funded projects on environmental resources and historic properties. Grantees that implement projects prior to receiving EHP approval from FEMA risk de-obligation of funds. Due to the condensed period of performance for this funding opportunity, applicants will be required to submit the EHP (unless listed as exempt on pages 18-19 of this guidance) as a part of the application. Projects selected for funding will have EHPs forwarded to FEMA for review and approval during the grant agreement development process with an end goal of projects being cleared to start upon receipt of the grant agreement.
- 4. NIMS Compliance:**  
In order to receive FY 2012 HSGP funding, the sub-grantee is required to certify as part of their grant application that they are addressing and/or have met the FY2011 NIMS requirements. Additional information about NIMS requirements, compliance and resources for achieving compliance can be found at *Ohio EMA NIMS* website <http://www.ema.ohio.gov/NimsGuidance.aspx> or the *NIMS Integration Center web page*, <http://www.fema.gov/emergency/nims>

If you have questions regarding the determination please contact your respective Grants Coordinator (see POC's at the end of this application package).

## **B. Application Processing**

### *Standards for Review*

Ohio EMA will ensure review of all applications within 30 days of application Sub-grant applications that do not provide minimum levels of documentation as described in this guidance will not be forwarded for funding consideration.

### *Selection Criteria*

The following selection criteria will be used to evaluate applications for grants under this competition. For ease of reading by the reviewers, applicants should develop their narrative description to follow the sequence of criteria provided below. The maximum number of possible points for all selection criteria is 100.

#### **1) Application general information. (4 points):**

Part I of the application is basic administrative information for purposes of tracking applications and obtaining follow up information as needed. The scoring of this criterion is pass/fail. Applications that address all areas will receive 4 points; any missing information constitutes zero points.

#### **2) Addressing “Regional” concept of grant application. (16 points)**

In determining how well the application supports the requirement to have a regional project, the following factors are considered:

- a. Does the application describe the regional make-up of the capability (Does the capability reside within a single jurisdiction’s Fire Department or is the capability composition made up of several jurisdiction’s assets, personnel, etc.?)
- b. How is the capability able to be shared within the region, state and/or nation as needed? Has the capability been shared/deployed previously?
- c. Are all counties proposed to be covered/benefit from the project listed within the body of the template?

*Note: Scoring of these criteria is not based on quantity of jurisdictions included in the application. Reviewers will rank applications based on the effectiveness of the regional capability to address the requirement to be shared and/or deployed. Projects that can demonstrate an ability and/or history of being shared and/or deployed will score higher than projects that do not.*

#### **3) Support of Core Capabilities. (4 points)**

Applications must address whether the project addresses Sustainment, Closing Gaps or Building New capabilities as well as the Core capability(ies) that the project directly supports.

- a. The application must be filled out correctly and follows the direction given in guidance.

*Note: Scoring of this criterion is based on the priorities set within this guidance in regards to the three focus areas of grant funding: Sustainment, Closing Gaps and Building New Capabilities. For purposes of the scoring, Sustainment projects will be reviewed and ranked within the group not against Closing Gap and Building New projects.*

#### **4A) Project Narrative (36 points)**

In determining the merits of the project, the narrative will be scored on the following criterion:

- a. What is the need for the project?
- b. How has the need been identified?
- c. How does the project support the core capability whether through sustainment, closing a gap or building new?
- d. How does the project tie to terrorism preparedness, response and/or recovery (noting that projects may have a dual-use/purpose ability)?
- e. Was the capability built using federal funding or local funding?
- f. Will funding complete the action or is a future funding need anticipated?
- g. What is the expected outcome when the project is completed?
- h. How does project support Ohio's Homeland Security Strategy?
- i. Does project include construction, renovation, retrofitting and/or permanent installation of any equipment; any items that will require EHP review.

*Note: Applications will be scored in part on the ability of the applicant to address each of the criteria listed. Additionally, the projects will be reviewed and ranked based on the reviewers technical expertise, understanding of the project and perceived benefit from funding the project. A requirement for EHP review will not have an impact on the scoring of the project. However, applications that do not address the topic will stand to lose points in the review process. If based on this guidance, the project does not require EHP; note it in your application that the project is exempt from EHP review.*

#### **4B) Project Timeline (10 points)**

The project timeline is essential in demonstrating that the project is achievable and can be accomplished within the period of performance listed in the grant. The following criteria must be addressed:

- a. Anticipated date of project initiation;
  - a. Milestones should be based on the receipt of a grant agreement.
    - i. Example would be: Project initiation, 1 week from grant agreement; Procurement, 30 days from grant agreement.
- b. Significant deliverables or actions (to include procurement) to be accomplished and the result of the action being completed;
  - a. Applications should list the significant actions, dates or timeframes for accomplishing and the result/outcome of the action.
- c. Anticipated draw of funding;
  - a. Applicants must take into account timely draws of federal funds. As DHS-FEMA continues to place an emphasis on timely drawdown, applications that do not address when funds will be drawn will lose points.
- d. Anticipated date or project closure.

*Note: It is understood that timelines will require a level of flexibility. As such, applications will not be ranked based on specific time frames or dates. Applications will be ranked on how well the applicant identifies and organizes the full spectrum of actions necessary to complete the project in a realistic timeline.*

### **5) Budget and Budget Narrative. (18 points)**

All applications must include a budget and a budget narrative. The budget form has been provided in Microsoft Excel format and allows for input and editing of information. The accompanying narrative will be entered in the template and must provide enough detail for reviewers to easily understand how costs were determined and if the budget is commensurate with the scope of the project. The following criteria will be scored:

- a. Applications that are submitted without a budget form will not be reviewed.
- b. Budget narrative will be reviewed to determine how costs support the project, how costs were estimated and to ensure that costs are reasonable and necessary for the completion of the project.
- c. The budget narrative must address any sustainment costs that are anticipated;
  - a. Is there a need anticipated for sustainment
  - b. If so, will sustainment be provided locally or will it require future federal funding.
- d. Any M&A costs listed on the budget must be fully explained within the budget narrative.

*Note: Under this criterion, reviewers will look a narrative that clearly supports the costs identified in the project budget with reasonable costs and a methodology for determining costs. Scoring will be based in two parts; addressing of required criteria and effectiveness of narrative. Need for M&A costs will not impact scoring.*

### **5) Project Management. (12 points)**

Applications will require a narrative that addresses the project management personnel and procedures that are in place or that will be put in place to ensure an accurate and efficient management of the project and grant funding. Items that must be addressed include: personnel, equipment and/or supplies in place or required for proper administration of the project/grant; description of the methodology that will be used to ensure proper and timely administration of grant funds and compliance with grant requirements to include reporting, monitoring, reimbursement requests and grant closeout. The following criteria will be scored:

- a. Have resources (personnel, equipment, supplies) been identified as in place or needed for effective administration of the project/grant?
- b. Has the applicant provided a methodology that supports the effective management and administration of the project through closeout?

*Note: Under this criterion, scores will not be reduced for a projected need for M&A resources versus having them already in place. Scoring will be conducted in relation to having the appropriate level of resources committed or identified as well as the reasonableness of the methodology that will be used for project management.*

### **Selection Process**

The review process will be conducted on all projects submitted within the same category (Sustainment, Closing Gaps, and Building New Capabilities). Projects within each category will be reviewed and ranked based on reviewer scoring. When scoring is complete the next category of projects will be reviewed and ranked. Once all ranking is completed, the scores

within each category will be analyzed to determine an “effective score” which will set the benchmark for projects that receive funding for the category. Setting of the effective score is similar to grading on the curve and sets the point at which projects will be funded/not funded. This process is included in an attempt to ensure that a sub-standard “sustainment” project does not trump a high scoring “Closing Gaps” project. Funding will then be awarded until exhausted to projects in the following order:

1. Projects in the “Sustainment” group that exceed the “effective score” for the category;
2. Projects in the “Closing Gaps” group that exceed the effective score for the category;
3. Projects in the “Building New Capabilities” group that exceed the effective score

Note that funding is extremely limited for this funding opportunity. Ohio EMA cannot guarantee that funding will reach into all categories and jurisdictions apply with the knowledge that all projects may not be funded.

## **C. Post Award Requirements**

### ***Issuance of Grant Agreement***

Upon final review and approval of the sub-grantee’s FY2012 application, a grant agreement will be generated and sent to the sub-grantee along with any special conditions. When the grant agreement has been signed and returned, and pending EHP approval, the grant agreement will be signed and dated by the Ohio EMA Executive Director and a copy forwarded to the sub-grantee for their records. Receipt of the signed grant agreement is the authorization of the sub-grantee to initiate their project as well as obligate grant funds. Any costs incurred prior to issuance of the grant agreement may not be reimbursed.

### ***Sub-grantee training***

With the acceptance of FY2012 SHSP funding, sub-grantees will be required to participate in grant management/administration training provided by Ohio EMA. Training will be classroom based and will be offered more than once. However, any sub-grantee that has not completed the training will have funding frozen until the requirement is met.

### ***Grant Performance Period***

The performance period for the FY2012 HSGP sub-grants can be found on the grant agreement for each sub-grantees’ specific award. Note that all costs must be incurred within the period of performance to include receipt and installation of all equipment. No funds may be spent on activities or costs that occur outside of the defined grant performance period. There will be no extensions to the grant performance period listed on the sub-grantees’ grant agreement.

### ***Demonstrating progress***

Project managers will be held to accountable for meeting the milestones listed in the project application. While there will be a level of flexibility extended, egregious or repetitive lack of progress towards completion of grant funded activities will result in de-obligation of funds. Any de-obligated funds will be re-programmed by the state to projects that can be completed within the period of performance.

### ***Standards for Financial Management***

Sub-grantees are required by 44 CFR, Part 13 to have in place an accounting system that maintains records which adequately identify the source and application of funds provided for grant funded projects. The accounting system must include information pertaining to sub-grant



awards, obligations, un-obligated balances, assets, liabilities, outlays or expenditures and income. Ohio EMA requirements for sub-grantee accounting include the ability to track expenditures by grant program and by federal fiscal of the award (i.e. FY2009 CCP, FY2010 CCP, etc.).

### *Source Documentation*

44 CFR Part 13 also requires that accounting records be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract and sub-grant award documents, etc. As such, Ohio EMA requires that sub-grantees have source documentation available prior to requesting cash reimbursement. Proper documentation for select items is as follows:

- Travel costs
  - Copy of the government unit travel policy
  - Receipts/documentation as required by travel policy
  - Justification and/or approval from government entity for overage in per diem rates, etc.
- Personnel costs
  - Time and Effort documentation with activity reports reflecting allowable work
  - Proof of payment
- Contract costs
  - Copy of draft contract for eligibility review prior to contract award
  - Copy of awarded contract for grant file
  - Deliverables listed in contract
  - Terms of payment outlined in contract
  - For contracts to an individual, a signature of the “contractor” is required.
- Equipment costs
  - Invoice (not quote) for equipment purchased
  - Documentation that equipment is received on site and installed as necessary
- Meeting costs
  - Agenda/Course Description
  - Attendance roster

### *Changes*

Per 44 CFR Part 13, sub-grantees must obtain the prior approval of the awarding agency (Ohio EMA) in any case where a change is to be made to the scope of the project, regardless of budget impact. Ohio EMA will require all sub-grantees to request a budget modification and approval, to include EHP approval, through EGMS prior to costs being incurred for the item(s) to be changed. Costs incurred prior to appropriate actions being taken to modify and approve the budget may result in costs being denied for reimbursement. Budget modifications will be reviewed promptly by Ohio EMA Preparedness Grants Staff with an expectation that properly documented and submitted budget modifications are approved within seven to ten business days of submission.

### *Procurement*

The procurement process is one of, if not the most, scrutinized aspect of the federal grant programs. The emphasis on how procurements are made is based from the 44 CFR Part 13 requirements that “all procurement transactions be conducted in a manner providing full and open competition with the standards of section 13.36”. Additionally, sub-grantees must ensure that they meet the procurement requirements of the Ohio Revised Code and local procurement

regulations. All sub-grantees are strongly urged to seek out their procurement department/individual to seek guidance on implementing the grant requirements into the procurement of any grant funded item or service. In accordance with this requirement, sub-grantees will be required to document actions that demonstrate compliance with the “full and open” regulation. The following guidance is provided in an effort to help sub-grantees navigate the requirements of procurement:

- For procurements that range from \$0 through the jurisdictions locally established or ORC established bidding threshold, the sub-grantee should be able to demonstrate that it solicited quotes from a reasonable number - generally defined as three or more – of qualified sources. Procurements done in this manner are considered “small purchase procedures”.
- Procurements that exceed the local and/or ORC established bidding threshold but do not exceed \$100,000 should follow the local jurisdiction’s competitive bidding process. However, the process must still demonstrate full and open competition. Purchases from State Term Contract and/or GSA schedules must be supported by solicited quotes from multiple vendors (as applicable) on the state term or GSA list showing the best price was received.
- Procurements that exceed \$100,000 must follow a procedure that ensures compliance with 44 CFR Part 13 requirements.
  - Any procurement in excess of \$100,000 must be pre-coordinated with Ohio EMA to ensure proper documentation and procedures are met.
- If the procurement process is followed and the sub-grantee identifies that there is a lack of competition or the item is only available from one source, the purchase must be pre-coordinated with Ohio EMA. As the purchase will be considered “non-competitive” it must be documented in a specific manner.
  - Procurements that are completed outside of the competitive process without pre-coordination with Ohio EMA will not be reimbursed.

Sub-grantees should note that the following situations are considered to be restrictive of competition and should be avoided:

- Placing unreasonable requirements on firms in order for them to qualify to do business,
- Requiring unnecessary experience and excessive bonding,
- Noncompetitive pricing practices between firms or between affiliated companies,
- Noncompetitive awards to consultants that are on retainer contracts,
- Organizational conflicts of interest,
- Specifying only a “brand name” product instead of allowing “an equal” product to be offered and describing the performance of other relevant requirements of the procurement, and
- Any arbitrary action in the procurement process.

Sub-grantees will maintain records sufficient to detail the significant history of any procurement. These records will include, but are not necessarily limited to the following: rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price. Sub-grantees alone will be responsible, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of procurements.

### *Equipment and Supplies Requirements*

Utilization of HSGP funds for equipment purchases requires that sub-grantees maintain specific documentation on each item through its useful life until final disposition occurs. Per 44 CFR Part 13, procedures for managing equipment (including replacement equipment), whether acquired in whole or in part with grant funds, until disposition takes place will, as a minimum, meet the following requirements:

- Property records must be maintained that include:
  - A description of the property,
  - A serial number or other identification number,
  - The source of property,
  - Who holds title,
  - The acquisition date, and cost of the property,
  - Percentage of Federal participation in the cost of the property,
  - The location, use and condition of the property, and
  - Any ultimate disposition data including the date of disposal and sale price of the property.
- A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.
- A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft shall be investigated.
- Adequate maintenance procedures must be developed to keep the property in good condition.
- If the sub-grantee is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return.

When the equipment is no longer needed for the original project and/or has outlasted its useful life, 44 CFR Part 13 prescribes the following requirements for final disposition:

- Items of equipment with a current per-unit fair market value of less than \$5,000 may be retained, sold or otherwise disposed of with no further obligation to the awarding agency.
- Items of equipment with a current per unit fair market value in excess of \$5,000 may be retained or sold and the awarding agency (FEMA through Ohio EMA) shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the awarding agency's share of the equipment.
- In cases where a grantee or sub-grantee fails to take appropriate disposition actions, the awarding agency may direct the grantee or sub-grantee to take excess and disposition actions.

Supplies as defined as tangible personal property other than “equipment” for used in this guidance have a disposition requirement when the residual value of the combined unused inventory exceeds \$5,000. In cases where this may occur, the awarding agency is entitled to its share of the value of the remaining inventory.

### *Sub-Granting*

No sub-grantee receiving FY2012 HSGP funding may sub-grant funding to another entity without prior coordination and approval from Ohio EMA. In order to be granted permission to sub-grant, the managing jurisdiction will have to demonstrate an ability to ensure compliance with all terms, conditions and requirements of the federal grant guidance and this guidance.

### ***Single Audit Requirements***

Sub-grantees are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501–7507); 31 U.S.C. 503, 1111; Executive Order 8248; Executive Order 11541; and revised OMB Circular A–133, “Audits of States, Local Governments, and Non-Profit Organizations.” The audits shall be made by an independent auditor in accordance with generally accepted government auditing standards covering financial audits. Sub-grantees must ensure that funds received and expended under this grant program are coordinated with the jurisdictions fiscal office (treasurer, auditor, etc.)

### ***Reporting Requirements***

Upon official award, applicants acknowledge they will have to agree to complete quarterly reports to the Ohio EMA; and also agree to update the Bi-annual Strategy Implementation Report (BSIR) on the federal Grants Reporting Tool (GRT), due as available from DHS-FEMA and coordinated by Ohio EMA each year until the grant concludes, and then to complete one final BSIR within 120 days of the federal grant closure date. Further information on quarterly and bi-annual reporting will be provided with issuance of the official grant agreement.

## **D. Payment**

### ***Reimbursement Requests***

The reimbursement request process for the FY2012 HSGP programs will be executed solely through the EGMS system. In order to be processed, Ohio EMA will require that reimbursements include documentation noting that services have been completed (contract, personnel, etc.) and/or that equipment has been received on site and invoiced. To be reimbursed, costs must be eligible and proper back-up documentation must be submitted through the EGMS.

### ***Standards for Review***

The reimbursement review process includes an initial review for completeness, determination of eligibility and data entry of the cash request for tracking/monitoring. This review is conducted by the Preparedness Grants Program Specialist and focuses on accuracy of requests, prior approval of costs in the budget and ensuring complete documentation accompanies the request. Cash requests that are properly executed by the sub-grantee will be processed in five business days or less.

If a request is not complete, this includes but is not limited to the following items: lack of proper documentation, costs not included on the approved budget, no prior EHP approval, etc. the request will be rejected to the sub-grantee for revision. Sub-grantees are encouraged to utilize their Program Specialist for technical assistance in filling out the cash request and compiling documentation to support the cash request prior to submission in an attempt to expedite the approval process.

### ***Payment***

Upon approval by the Preparedness Grants Branch, the sub-grantees’ funds will be requested for payment from Ohio EMA’s fiscal unit. The payment process entails requesting money from the federal entity, receiving funds at the state level, vouchering the funds and the dispatching of an EFT to the sub-grantee. While this process relies heavily on external stakeholders, Ohio EMA will work to ensure the quickest processing of sub-grantee payments.

## **E. Enforcement, Termination and After the Grant Requirements**

### ***Monitoring***

Per 44 CFR Part 13, Ohio EMA is responsible for managing the day-to-day operations of grant and sub-grant supported activities and must monitor grant and sub-grant supported activities to assure compliance with applicable Federal requirements. The monitoring process is a tool that ultimately ensures a strong grant administration and management structure. Ohio EMA utilizes a monitoring program that includes a desk review process and on site monitoring visits. Desk reviews are conducted through the budget and reimbursement approval processes. On site monitoring visits are a scheduled meeting with at the sub-grantee's location and are completed by a one or more Ohio EMA Grants/Program and Fiscal staff. The review will evaluate specific costs and fiscal/grant activities, to include programmatic achievements, within any open or recently closed grant. The review may also include the inspection of Equipment purchased with grant funds, review of grant files and administrative processes.

All on site monitoring of this grant will be coordinated with the sub-grantee with ample advance notification.

### ***Enforcement***

If a sub-grantee materially fails to comply with any term of their award, whether stated in a Federal statute or regulation, this guidance, an assurance, a notice of award, or elsewhere, Ohio EMA may take one or more of the following actions, as appropriate in the circumstances:

- Temporarily withhold cash payments pending correction of the deficiency by the sub-grantee,
- Disallow (that is, deny both use of funds and matching credit for) all or part of the cost of the activity or action not in compliance,
- Wholly or partly suspend or terminate the current award for the sub-grantee's program,
- Withhold further awards for the program,
- Require reimbursement of the costs incurred, or
- Take other remedies that may be legally available.

Ohio EMA, in taking any enforcement action, will provide the sub-grantee an opportunity for an appeal or other administrative proceeding to which the sub-grantee is entitled.

### ***Grant Termination***

Ohio EMA may suspend or terminate funding under this grant, in whole or in part, or other measures may be imposed for any of the following reasons:

- Agreement between Ohio EMA and the sub-grantee to terminate or de-obligate;
- Failing to comply with the requirements or statutory objectives of federal law
- Failing to make satisfactory progress toward the goals or objectives set forth in this application
- Failing to follow grant agreement requirements or the respective grant guidance
- Failing to submit required reports
- Filing a false certification in this application or other report or document.

Before suspending or terminating funding, Ohio EMA will provide the sub-grantee reasonable notice of its intent to impose any measure and will make efforts to resolve the problem informally.

## POINTS OF CONTACT

For **Grant Fiscal and Administrative** needs, contact:

- Jessica Yuzwa  
614-799-3603 or via [jlyuzwa@dps.state.oh.us](mailto:jlyuzwa@dps.state.oh.us)
- Joe Haller  
614-799-3690 or via [jdhaller@dps.state.oh.us](mailto:jdhaller@dps.state.oh.us)
- Carl Sofranko  
614-799-3605 or via [cdsofranko@dps.state.oh.us](mailto:cdsofranko@dps.state.oh.us)
- State Agencies: Kathleen Nelson  
614-799-3836 or via [knelson@dps.state.oh.us](mailto:knelson@dps.state.oh.us)

For **State Homeland Security Strategy** inquiries, contact

- Tracy Proud, Senior Strategic Planner,  
614-644-3886 or via [tproud@dps.state.oh.us](mailto:tproud@dps.state.oh.us)
- Melinda Craig, Strategic Planner,  
614-644-7940 or via [mscraig@dps.state.oh.us](mailto:mscraig@dps.state.oh.us)

For **Exercise Program** needs, contact:

- Darren Price, Exercise Program Manager,  
614-799-3690 or via [deprice@dps.state.oh.us](mailto:deprice@dps.state.oh.us)
- Leslie Bricker, Training/Exercise Officer,  
614-889-7168 or via [ljbricker@dps.state.oh.us](mailto:ljbricker@dps.state.oh.us)

For **Training Program** needs, contact:

- Phil Johnson, Training & Exercise Supervisor,  
614-799-3680 or via [prjohnson@dps.state.oh.us](mailto:prjohnson@dps.state.oh.us)
- Lisa Jones, Training Officer,  
614-799-3824 or via [ljones@dps.state.oh.us](mailto:ljones@dps.state.oh.us)

For **Grant Management** inquiries, contact:

- Kathleen Nelson  
614-799-3836 or via [knelson@dps.state.oh.us](mailto:knelson@dps.state.oh.us)
- Andrew Elder, Grants Branch Chief,  
614-889-7178 or via [adelder@dps.state.oh.us](mailto:adelder@dps.state.oh.us)

**List of Appendices:**

Appendix A) Terms and Conditions of the Grant and Sub-Grant

Appendix B) Grant Application Checklist

Appendix C) Summary of Core Capabilities

Appendix D) State Homeland Security Strategy

Appendix E) Detail list of Planning Activities

## Terms and Conditions of the Grant

Ohio EMA, as the recipient of this grant is required to advise all sub-grantees of the HSGP program of the requirements imposed upon them by Federal statute, executive orders and regulations. Please enjoy the following several pages of reading.

**Freedom of Information Act (FOIA).** Information submitted in the course of applying for funding under this program or provided in the course of an entity's grant management activities which is under Federal control is subject to the *Freedom of Information Act* (FOIA), 5 U.S.C. §552. The applicant is also encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. Note that some information, though not considered classified, may be protected from release or in how it is released. It is important to understand those laws and regulations that fall into an alternate category of Sensitive But Unclassified (SBU) information.

- **Sensitive But Unclassified (SBU).** SBU is a designation of information in the United States Federal government that, though unclassified, often requires strict controls over its distribution. SBU is a broad category of information that includes material covered by such designations as For Official Use Only (FOUO), Law Enforcement Sensitive (LES), Sensitive Homeland Security Information, Security Sensitive Information (SSI), Protected Critical Infrastructure Information (PCII), etc. Some categories of SBU information have authority in statute or regulation (e.g. SSI, CII) while others, including FOUO, do not.
- **Sensitive Security Information (SSI).** Information submitted in the course of applying for funding or reporting under certain programs or provided in the course of an entity's grant management activities under those programs which is under Federal control is subject to protection under SSI, and must be properly identified and marked. Sensitive Security Information (SSI) is a control designation used by the Department of Homeland Security related to protecting information related to transportation security. It is applied to information about security programs, vulnerability and threat assessments, screening processes, technical specifications of certain screening equipment and objects used to test screening equipment, and equipment used for communicating security information relating to air, land, or maritime transportation. The applicable information is spelled out in greater detail in 49 CFR Part §1520.7.
- **Protected Critical Infrastructure Information (PCII).** The PCII Program, established pursuant to the *Critical Infrastructure Act of 2002* (Public Law 107-296) (*CII Act*), created a framework which enables members of the private sector, States, local jurisdictions, and Tribal nations to voluntarily submit sensitive information regarding critical infrastructure to DHS. The Act provides statutory protection from public disclosure and civil litigation for CII that is validated as PCII. When validated as PCII, the information can only be shared with government employees who complete the training requirement, who have homeland security duties, and a need to know. PCII accreditation is a formal recognition that the covered government entity has the capacity and capability to receive and store PCII appropriately. DHS encourages all States, local jurisdictions, and Tribal nations to pursue PCII accreditation to cover their government agencies. Accreditation activities include signing a memorandum of agreement (MOA) with DHS, appointing a PCII Officer and developing a standard operating procedure for handling PCII. For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at [pcii-info@dhs.gov](mailto:pcii-info@dhs.gov).
- **Chemical-terrorism Vulnerability Information (CVI).** DHS issues a Manual to provide guidance on how to identify, handle and safeguard information developed by private and public entities under Section 550 of Public Law 109-295 and its implementing regulations, the Chemical Facility Anti-Terrorism Standards (CFATS), 6 CFR Part §27. Pursuant to CFATS. This information is known as Chemical-terrorism Vulnerability Information, or CVI, is relevant for anyone authorized to possess or receive CVI (including chemical facility officers, employees, representatives and contractors, and Federal, State, local and Tribal government employees and contractors), as well as anyone who obtains what they reasonably should know is CVI. [http://www.dhs.gov/xlibrary/assets/chemsec\\_cvi\\_proceduresmanual.pdf](http://www.dhs.gov/xlibrary/assets/chemsec_cvi_proceduresmanual.pdf)



- **Sensitive Personally Identifiable Information (Sensitive PII).** Certain personally identifiable information, if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual and needs to be carefully managed. Social Security number or alien number (A-number), for example, requires stricter handling guidelines because of the increased risk to an individual if compromised. A key part of the DHS mission to protect the homeland is to minimize our impact on individual privacy. In this regard DHS has developed a *Handbook for Safeguarding Sensitive PII*, which can be found at [http://www.dhs.gov/xlibrary/assets/privacy/privacy\\_guide\\_spii\\_handbook.pdf](http://www.dhs.gov/xlibrary/assets/privacy/privacy_guide_spii_handbook.pdf). As required by OMB M-07-16, these rules also apply to DHS licensees, certificate holders, and grantees that handle or collect PII, including Sensitive PII, for or on behalf of DHS.

***Civil Rights Act of 1964.*** All recipients of financial assistance will comply with the requirements of Title VI of the *Civil Rights Act of 1964* (42 U.S.C. § 2000d *et seq.*), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

***Civil Rights Act of 1968.*** All recipients of financial assistance will comply with Title VIII of the *Civil Rights Act of 1968*, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 U.S.C. §3601 *et seq.*), as implemented by the Department of Housing and Urban Development at 24 CFR Part §100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units—*i.e.*, the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)—be designed and constructed with certain accessible features (see 24 CFR Part §100.201).

***Title IX of the Education Amendments of 1972 (Equal Opportunity in Education Act).*** All recipients of financial assistance will comply with the requirements of Title IX of the *Education Amendments of 1972* (20 U.S.C. §1681 *et seq.*), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. These regulations are codified at 44 CFR Part §19.

***Age Discrimination Act of 1975.*** All recipients of financial assistance will comply with the requirements of the *Age Discrimination Act of 1975* (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance.

***Americans with Disabilities Act of 1990.*** All recipients of financial assistance will comply with the requirements of Titles I, II, and III of the *Americans with Disabilities Act*, which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§12101–12213).

***Limited English Proficiency (Civil Rights Act of 1964, Title VI).*** All recipients of financial assistance will comply with the requirements of Executive Order 13166, *Improving Access to Services for Persons with Limited English Proficiency*, and resulting agency guidance, national origin and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, recipients must take reasonable steps to ensure that LEP persons have meaningful access to your programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. For assistance and information regarding LEP obligations, go to <http://www.lep.gov>.

***Lobbying Prohibitions.*** None of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with any Federal action concerning the award or renewal of any Federal contract, grant, loan, cooperative agreement. These lobbying prohibitions can be found at 31 U.S.C. §1352.

**Drug-Free Workplace Regulations.** All recipients of financial assistance will comply with the requirements of the *Drug-Free Workplace Act of 1988* (412 U.S.C. §701 *et seq.*), which requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. The recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment. These regulations are codified at 44 CFR Part §17.

**Debarment and Suspension.** Executive Orders 12549 and 12689 provide protection from fraud, waste, and abuse by debarment or suspending those persons deemed irresponsible in their dealings with the Federal government. The recipient must certify that they are not debarred or suspended from receiving Federal assistance. For additional information, see 2 CFR Part §3000.

**Federal Debt Status.** The recipient may not be delinquent in the repayment of any Federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. (See OMB Circular A-129, also refer to SF-424, item number 17.)

**Hotel and Motel Fire Safety Act of 1990.** In accordance with section 6 of the *Hotel and Motel Fire Safety Act of 1990*, 15 U.S.C. §2225a, the recipient agrees to ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds, complies with the fire prevention and control guidelines of the *Federal Fire Prevention and Control Act of 1974*, 15 U.S.C. §2225.

**Rehabilitation Act of 1973.** All recipients of financial assistance will comply with the requirements of Section 504 of the *Rehabilitation Act of 1973*, 29 U.S.C. §794, as amended, which provides that no otherwise qualified handicapped individual in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. These requirements pertain to the provision of benefits or services as well as to employment.

For additional detailed information, please refer to the following:

**FEMA Office of Disability Integration and Coordination.** at <http://www.fema.gov/about/odc>.

**Guidelines for Accommodating Individuals with Disabilities in Disaster.** at <http://www.fema.gov/oer/reference/>.

**Disability and Emergency Preparedness Resource Center.** available at <http://www.disabilitypreparedness.gov>.

**ADA Best Practices.** available at <http://www.ada.gov/pca toolkit/toolkitmain.htm>.

**National Environmental Policy Act (NEPA) of 1969.** All recipients of financial assistance will comply with the requirements of the *NEPA*, as amended, 42 U.S.C. §4331 *et seq.*, which establishes national policy goals and procedures to protect and enhance the environment, including protection against natural disasters. To comply with NEPA for its grant-supported activities, DHS requires the environmental aspects of construction grants (and certain non-construction projects as specified by the component and awarding office) to be reviewed and evaluated before final action on the application.

**Equipment Marking.** Awardees may consider marking equipment in the following manner, "Purchased with funds provided by the U.S. Department of Homeland Security," in order to facilitate their own audit processes, as well as Federal audits and monitoring visits, which may result from receiving Federal funding. Equipment maintenance requirements are outlined in 44 CFR Part §13.32.

**Disadvantaged Business Requirement.** Applicants are advised that, to the extent that recipients of a grant use contractors or subcontractors, such recipients shall use small, minority, women-owned or disadvantaged business concerns and contractors or subcontractors to the extent practicable.

**National Preparedness Reporting Compliance.** *The Government Performance and Results Act of 1993* (Public Law 103-62) (GPRA) requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investments and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. FEMA will work with grantees to develop tools and processes to support this requirement. FEMA anticipates using this information to inform future-year

grant program funding decisions. Award recipients must agree to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within their grant agreement. This includes any assessments, audits, or investigations conducted by DHS, the Office of the Inspector General, or the U.S. Government Accountability Office (GAO).

***Animal Welfare Act of 1966.*** All recipients of financial assistance will comply with the requirements of the *Animal Welfare Act*, as amended (7 U.S.C. §2131 *et seq.*), which requires that minimum standards of care and treatment be provided for vertebrate animals bred for commercial sale, used in research, transported commercially, or exhibited to the public. Recipients must establish appropriate policies and procedures for the humane care and use of animals based on the *Guide for the Care and Use of Laboratory Animals* and comply with the *Public Health Service Policy and Government Principles Regarding the Care and Use of Animals*.

***Clean Air Act of 1970 and Clean Water Act of 1977.*** All recipients of financial assistance will comply with the requirements of 42 U.S.C. §7401 *et seq.* and Executive Order 11738, which provides for the protection and enhancement of the quality of the Nation's air resources to promote public health and welfare and for restoring and maintaining the chemical, physical, and biological integrity of the nation's waters is considered research for other purposes.

***Protection of Human Subjects.*** All recipients of financial assistance will comply with the requirements of the Federal regulations at 45 CFR Part §46, which requires that recipients comply with applicable provisions/law for the protection of human subjects for purposes of research. Recipients must also comply with the requirements in DHS Management Directive 026-04, *Protection of Human Subjects*, prior to implementing any work with human subjects. For purposes of 45 CFR Part §46, research means a systematic investigation, including research, development, testing, and evaluation, designed to develop or contribute to general knowledge. Activities that meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program that is considered research for other purposes. The regulations specify additional protections for research involving human fetuses, pregnant women, and neonates (Subpart B); prisoners (Subpart C); and children (Subpart D). The use of autopsy materials is governed by applicable State and local law and is not directly regulated by 45 CFR Part §46.

***National Flood Insurance Act of 1968.*** All recipients of financial assistance will comply with the requirements of Section 1306(c) of the *National Flood Insurance Act*, as amended, which provides for benefit payments under the Standard Flood Insurance Policy for demolition or relocation of a structure insured under the Act that is located along the shore of a lake or other body of water and that is certified by an appropriate State or local land use authority to be subject to imminent collapse or subsidence as a result of erosion or undermining caused by waves or currents of water exceeding anticipated cyclical levels. These regulations are codified at 44 CFR Part §63.

***Flood Disaster Protection Act of 1973.*** All recipients of financial assistance will comply with the requirements of the *Flood Disaster Protection Act of 1973*, as amended (42 U.S.C. §4001 *et seq.*), which provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within one year of the identification. The flood insurance purchase requirement applies to both public and private applicants for DHS support. Lists of flood-prone areas that are eligible for flood insurance are published in the *Federal Register* by FEMA.

***Coastal Wetlands Planning, Protection, and Restoration Act of 1990.*** All recipients of financial assistance will comply with the requirements of Executive Order 11990, which provides that federally funded construction and improvements minimize the destruction, loss, or degradation of wetlands. The Executive Order provides that, in furtherance of Section 101(b)(3) of NEPA (42 U.S.C. § 4331(b)(3)), Federal agencies, to the extent permitted by law, must avoid undertaking or assisting with new construction located in wetlands unless the head of the agency finds that there is no practicable alternative to such construction, and that the proposed action includes all practicable measures to minimize harm to wetlands that may result from such use. In making this finding, the head of the agency may take into account economic, environmental, and other pertinent factors. The public disclosure requirement described above also pertains to early public review of any plans or proposals for new construction in wetlands. This is codified at 44 CFR Part §9.

**USA Patriot Act of 2001.** All recipients of financial assistance will comply with the requirements of the *Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act* (USA PATRIOT Act), which amends 18 U.S.C. §§175–175c. Among other things, it prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose. The Act also establishes restrictions on access to specified materials. —Restricted persons, as defined by the Act, may not possess, ship, transport, or receive any biological agent or toxin that is listed as a select agent.

**Trafficking Victims Protection Act of 2000.** All recipients of financial assistance will comply with the requirements of the government-wide award term which implements Section 106(g) of the *Trafficking Victims Protection Act (TVPA) of 2000*, as amended (22 U.S.C. §7104), located at 2 CFR Part §175. This is implemented in accordance with OMB Interim Final Guidance, *Federal Register*, Volume 72, No. 218, November 13, 2007. In accordance with the statutory requirement, in each agency award under which funding is provided to a private entity, Section 106(g) of the TVPA, as amended, requires the agency to include a condition that authorizes the agency to terminate the award, without penalty, if the recipient or a sub-recipient —

Engages in severe forms of trafficking in persons during the period of time that the award is in effect; 15

Procures a commercial sex act during the period of time that the award is in effect; or

Uses forced labor in the performance of the award or sub-awards under the award. Full text of the award term is provided at 2 CFR §175.15.

**Fly America Act of 1974.** All recipients of financial assistance will comply with the requirements of the Preference for U.S. Flag Air Carriers: Travel supported by U.S. Government funds requirement, which states preference for the use of U.S. flag air carriers (air carriers holding certificates under 49 U.S.C. §41102) for international air transportation of people and property to the extent that such service is available, in accordance with the *International Air Transportation Fair Competitive Practices Act of 1974* (49 U.S.C. §40118) and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B138942.

**Activities Conducted Abroad.** All recipients of financial assistance will comply with the requirements that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained. All recipients of financial assistance will comply with requirements to acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds.

**Copyright.** All recipients of financial assistance will comply with requirements that publications or other exercise of copyright for any work first produced under Federal financial assistance awards hereto related unless the work includes any information that is otherwise controlled by the Government (e.g., classified information or other information subject to national security or export control laws or regulations). For any scientific, technical, or other copyright work based on or containing data first produced under this award, including those works published in academic, technical or professional journals, symposia proceedings, or similar works, the recipient grants the government a royalty-free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for government purposes in all such copyrighted works. The recipient shall affix the applicable copyright notices of 17 U.S.C. §401 or 402 and an acknowledgement of government sponsorship (including award number) to any work first produced under an award.

**Use of DHS Seal, Logo, and Flags.** All recipients of financial assistance must obtain DHS' approval prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

**DHS Specific Acknowledgements and Assurances.** All recipients of financial assistance must acknowledge and agree—and require any sub-recipients, contractors, successors, transferees, and assignees acknowledge and agree—to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

- Recipients must cooperate with any compliance review or complaint investigation conducted by DHS.

- Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations *and* other applicable laws or program guidance.
- Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.
- Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
- If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties.
- In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office.
- The United States has the right to seek judicial enforcement of these obligations.

## Prohibition on Using Federal Funds

The recipient understands and agrees that it cannot use any Federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government, without the express prior written approval of FEMA.

## State Policy Requirements Affecting Grant Programs

The following Ohio Department of Public Safety policies are included as required by the policy.



Ohio Department of Public Safety  
Policy Number : DPS-501.40

### ADDRESSING CIVIL RIGHTS COMPLAINTS FROM CLIENTS OF THE DEPARTMENT OF PUBLIC SAFETY

Date of Revision : **8/30/2011**  
Priority Review : **All Employees ; All Supervisors**  
Distribution : **All ODPS Divisions**

#### Summary of Revisions

New policy to ensure compliance with Title VI of the Civil Rights Act of 1964 and other federal laws and regulations prohibiting discrimination.

#### Purpose

To provide guidelines and procedures that allow the Ohio Department of Public Safety (ODPS) to process and forward complaints alleging discrimination from clients, customers, program participants, or consumers of ODPS or ODPS grant recipients.

#### Policy

##### A. STATEMENT OF POLICY

1. All individuals have the right to participate in programs and activities operated by ODPS and ODPS grant recipients regardless of race, color, national origin, sex, religion, disability, and age. ODPS will make every effort to ensure ODPS and its grant recipients comply with Title VI of the Civil Rights Act of 1964, the Omnibus Crime Control and Safe Streets Act of 1968, Section 504 of the Rehabilitation Act of 1973, Title II of the Americans with Disabilities Act of 1990, Title IX of the Education Amendments of 1972, the Age Discrimination Act of 1975, and the DOJ regulations on the Equal Treatment for Faith-Based Organizations.

##### 2. RETALIATION

- a. Persons who believe they have been discriminated against on the basis of their membership in a protected class (race, color, religion, sex, national origin, disability, age, ancestry, or military status) shall not be retaliated against in terms and conditions of employment or services for exercising their right to file a discrimination complaint or inquiry.
- b. No person who participates in the investigation of a complaint, or is a witness in an investigation, or brings attention to a person in authority, of an alleged discrimination shall be retaliated against.

##### B. DEFINITIONS

1. **Discrimination:** To make a distinction, show bias towards, or be prejudicial against, a person or thing on the basis of the group, class, or category to which the person or thing belongs, rather than according to actual merit.
2. **Civil Rights Complaint Coordinator:** Person designated by ODPS who is responsible for receiving and acknowledging discrimination complaints and forwarding them to the U.S. Department of Justice (DOJ), Office of Justice Programs, Office for Civil Rights (OCR); the Ohio Civil Rights Commission

(OCRC), or other appropriate agency for review of the complaint to determine if a violation was committed. The ODPS EEO Manager shall be the designated Civil Rights Complaint Coordinator.

3. **Grant Recipient:** An agency or organization that receives funding from a division within ODPS, whether it is federal pass-through funding or a state grant. ODPS divisions that provide grants to agencies and organizations include, but are not limited to, the Office of Criminal Justice Services (OCJS), Ohio Emergency Management Agency (EMA) and Ohio Homeland Security (OHS).
4. **Retaliation:** Occurs when adverse action is taken against an individual in a protected class because he or she engaged in protected activity.
5. **Title VI of the Civil Rights Act of 1964 (42 U.S.C. §2000d):** Prohibits an individual from being excluded from participation in, being denied the benefits of, or being subjected to discrimination under any program or activity receiving federal financial assistance on the basis of race, color, or national origin as set forth in the DOJ implementing regulations (28 C.F.R. Part 42, Subpart C).
6. **Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. §3789d(c)(1)):** Prohibits recipients that receive federal funding under this statute from discriminating, either in employment practices or in the delivery of services or benefits, on the basis of race, color, religion, national origin, and sex as set forth in the DOJ implementing regulations (28 C.F.R. Part 42, Subpart D).
7. **Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. §794):** Prohibits discrimination on the basis of disability, in regard to both employment and the delivery of services or benefits, in any program or activity receiving federal financial assistance as set forth in the DOJ implementing regulations (28 C.F.R. Part 42, Subpart G).
8. **Title II of the Americans with Disabilities Act of 1990 (42 U.S.C. §12132):** Prohibits discrimination against qualified individuals with disabilities, in regard to both employment and the delivery of services or benefits, in all programs, activities, and services of public entities as set forth in the DOJ implementing regulations (28 C.F.R. Part 35). Title II applies to all state and local governments, their departments and agencies, and any other instrumentalities or special purpose districts of state or local governments.
9. **Title IX of the Education Amendments of 1972 (20 U.S.C. §1681):** Prohibits discrimination on the basis of sex in educational programs and activities that receive federal financial assistance as set forth in the DOJ implementing regulations (28 C.F.R. Part 54).
10. **Age Discrimination Act of 1975 (42 U.S.C. §6102):** Prohibits discrimination on the basis of age in the programs and activities receiving federal financial assistance as set forth in the DOJ implementing regulations (28 C.F.R. Part 42, Subpart I). The Act, which applies to all ages, permits the use of certain age distinctions and factors other than age that meet the Act's requirements.
11. **DOJ regulations on the Equal Treatment for Faith-Based Organizations:** Prohibits discrimination on the basis of religion in the delivery of services and prohibits organizations from using DOJ funding on

inherently religious activities (28 C.F.R. Part 38).

**C. COMPLAINT PROCEDURES**

1. ODPS shall accept and acknowledge all discrimination complaints from clients, customers, program participants, or consumers of ODPS or ODPS grant recipients. All discrimination allegations and complaints shall be referred to the designated ODPS Civil Rights Complaint Coordinator.
2. A client, customer, program participant or consumer may file a complaint of discrimination via email to the appropriate ODPS grant coordinator or via U. S. Mail to the attention of the ODPS Civil Rights Complaint Coordinator (1970 West Broad Street, Columbus, Oh, 43223). The complaint should include the complainant's name, contact information, and a brief explanation of the alleged discrimination. If the complaint is sent to an ODPS Grant Coordinator, that employee shall forward it immediately to the ODPS Civil Rights Complaint Coordinator.
3. The Complaint Coordinator shall provide an acknowledgement of the complaint to the client, customer, program participant, or consumer via e-mail or in a letter confirming the complaint has been received. The contents of the acknowledgement response must include information specifying the external agency to which the complaint has been forwarded for investigation, and provide information in which the complainant can contact that agency directly. If the complaint is against the ODPS or an ODPS grant recipient implementing funding from the DOJ and the ODPS is not forwarding the complaint to the OCR, the acknowledgement response shall also notify the complainant that he/she may file a complaint directly with the OCR at the following address:

**Office for Civil Rights  
Office of Justice Programs  
U.S. Department of Justice  
810 Seventh Street NW  
Washington, D.C. 20531**

4. The Complaint Coordinator shall then forward the complaint to OCR, OCRC, or other appropriate agency. The complaint shall be investigated by the appropriate agency.
5. All clients, customers, program participants, or customers of ODPS or ODPS grant recipients shall have access to these procedures at any time via the ODPS website ([www.publicsafety.ohio.gov](http://www.publicsafety.ohio.gov)).
6. Any client, customer, program participant, or consumer may choose to file a complaint directly with the DOJ-OCR (if the complaint is against the ODPS or an ODPS grant recipient implementing funding from the DOJ), OCRC, or the appropriate agency as opposed to filing with ODPS. If a complaint is filed directly with an outside agency, ODPS requests that a courtesy copy be forwarded to the ODPS Civil Rights Complaint Coordinator by the complainant. If the complaint is against an ODPS grant recipient, once the grant recipient becomes aware of the complaint, the grant recipient must notify the ODPS Civil Rights Complaint Coordinator of the complaint and how it is being investigated.

**D. TRAINING**

1. ODPS shall provide annual training for agency employees on these complaint

procedures. The training shall explain an employee's responsibility to refer discrimination complaints from clients, customers, program participants, or consumers to the Complaint Coordinator. This information shall be disseminated to new ODPS employees during new employee orientation training or as appropriate. ODPS will also disseminate a copy of these complaint procedures to ODPS grant recipients.

2. The current policy shall be evaluated annually to determine its effectiveness. ODPS shall make any necessary changes to ensure the complaint process is timely and efficient.

**Current Form and Supplemental References**

**Department of Justice Informational Links:**

- [Title VI of the Civil Rights Act of 1964 \(42 U.S.C. §2000d\)](#)
- [Omnibus Crime Control and Safe Streets Act of 1968 \(42 U.S.C. §1789d\)\(k\)\(1\)](#)
- [Section 504 of the Rehabilitation Act of 1973 \(29 U.S.C. §794, Section 794\)](#)
- [Title II of the Americans with Disabilities Act of 1990 \(42 U.S.C. §12132\)](#)
- [Title IX of the Education Amendments of 1972 \(20 U.S.C. §1681\)](#)
- [Age Discrimination Act of 1975 \(42 U.S.C. §6102\)](#)
- [DOJ regulations on the Equal Treatment for Faith-Based Organizations](#)

**Standard References**

None

**Policy References**

<a href="#">DPS-100.01</a>	ADMINISTRATIVE INVESTIGATIONS
<a href="#">DPS-501.01</a>	WORK RULES - NON-SWORN BARGAINING UNIT PERSONNEL
<a href="#">DPS-501.02</a>	WORK RULES - SWORN PERSONNEL
<a href="#">DPS-501.03</a>	WORK RULES - EXEMPT PERSONNEL
<a href="#">DPS-501.04</a>	WORK RULES - TEMPORARY WORKERS, CONTRACT VENDORS, CONSULTANTS, NON-DPS STAFF
<a href="#">DPS-501.15</a>	INITIAL EMPLOYMENT ORIENTATION TRAINING
<a href="#">DPS-501.29</a>	DISCRIMINATION AND UNLAWFUL HARASSMENT
<a href="#">OSP-103.19</a>	ADMINISTRATIVE INVESTIGATIONS - OSP EMPLOYEES
<a href="#">OSP-203.03</a>	POWERS / DUTIES, AUTHORITY / CODE OF ETHICS / OATH / RULES AND REGULATIONS



**Ohio Department of Public Safety**  
**Policy Number : DPS-501.39**

**ADDRESSING COMPLAINTS OF EMPLOYMENT  
 DISCRIMINATION AGAINST ODPS GRANT RECIPIENTS**

Date of Revision : **8/30/2011**  
 Priority Review : **All Employees ; All Supervisors**  
 Distribution : **All ODPS Divisions**

**Summary of Revisions**

New policy to ensure compliance with federal laws and regulations prohibiting employment discrimination.

**Purpose**

To provide guidelines and procedures that allow the Ohio Department of Public Safety (ODPS) to process and forward complaints alleging employment discrimination by employees or applicants of ODPS grant recipients.

**Policy**

**A. STATEMENT OF POLICY**

1. It is the policy of ODPS to prohibit discriminatory employment practices against anyone employed by an ODPS grant recipient, and to ensure all employees have equal employment opportunity. It is the policy of the State of Ohio and ODPS to ensure a working environment free from any discrimination and to prohibit sexual harassment of applicants, customers, clients, and employees, including discriminatory sexual advances or harassment adversely affecting an employee's terms and conditions of employment either directly or indirectly. **ODPS will ensure that grant recipients comply with all applicable federal laws regarding employment discrimination.**

**2. RETALIATION**

- a. Persons who believe they have been discriminated against on basis of their membership in a protected class (race, color, religion, sex, national origin, disability, age, ancestry, or military status) shall not be retaliated against in terms and conditions of employment or services for exercising their right to file a discrimination complaint or inquiry.
- b. No person who participates in the investigation of a complaint, or is a witness in an investigation, or brings attention to a person in authority, of an alleged discrimination complaint shall be retaliated against.

**B. DEFINITIONS**

1. **Discrimination:** To make a distinction, show bias towards, or be prejudicial against, a person or thing on the basis of the group, class, or category to which the person or thing belongs, rather than according to actual merit.
2. **Civil Rights Complaint Coordinator:** Person designated by ODPS who is responsible for acknowledging discrimination complaints filed by employees

or applicants of ODPS grant recipients and forwarding them to one of the following: U.S. Equal Employment Opportunity Commission (EEOC); the U.S. Department of Justice (DOJ), Office for Civil Rights (OCR); the Ohio Civil Rights Commission (OCRC); or other appropriate agency. The ODPS EEO Manager shall be the designated Civil Rights Complaint Coordinator.

3. **Grant Recipient:** An agency or organization that receives funding from a division within ODPS, whether it is federal pass-through funding or a state grant. ODPS divisions that provide grants to agencies and organizations include the Office of Criminal Justice Services (OCJS), Ohio Emergency Management Agency (EMA) and Ohio Homeland Security (OHS).
4. **Retaliation:** Occurs when adverse action is taken against an individual in a protected class because he or she engaged in protected activity.
5. **Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. §3789d(c)(1)):** Prohibits discrimination on the basis of race, color, religion, national origin, and sex, in regard to both employment practices and the delivery of services, in any program or activity receiving federal financial assistance under this statute as set forth in the DOJ implementing regulations (28 C.F.R. Part 42, Subpart D).
6. **Title II of the Americans with Disabilities Act of 1990 (42 U.S.C. §12132):** Prohibits discrimination against qualified individuals with disabilities, in regard to both employment and the delivery of services or benefits, in all programs, activities, and services of public entities as set forth in DOJ implementing regulations (28 C.F.R. Part 35).
7. **Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. §794):** Prohibits discrimination on the basis of disability, in regard to both employment and the delivery of services or benefits, in any program or activity receiving federal financial assistance as set forth in the DOJ implementing regulations (28 C.F.R. Part 42, Subpart G).
8. **Title IX of the Education Amendments of 1972 (20 U.S.C. §1681):** Prohibits discrimination on the basis of sex, in regard to both employment and the delivery of services or benefits, in educational programs receiving federal financial assistance as set forth in the DOJ implementing regulations (28 C.F.R. Part 54).

**C. COMPLAINT PROCEDURES**

1. ODPS shall accept and acknowledge all discrimination complaints from employees or applicants of ODPS grant recipients. All discrimination allegations and complaints shall be referred to the designated ODPS Civil Rights Complaint Coordinator.
2. An employee or applicant of an ODPS grant recipient may file a complaint of discrimination via e-mail to the appropriate ODPS grant coordinator or via U.S. Mail directly to the attention of the ODPS Civil Rights Complaint Coordinator (1970 West Broad Street, Columbus, Oh, 43223). The complaint should include the complainant's name, contact information, and a brief explanation of the alleged discrimination. If the complaint is sent to an ODPS Grant Coordinator, that employee shall forward it immediately to the ODPS Civil Rights Complaint Coordinator.
3. The Complaint Coordinator shall provide an acknowledgement of the complaint to the employee or applicant of the ODPS grant recipient via e-

mail or in a letter confirming the complaint has been received. The contents of the acknowledgement response must include information specifying the external agency to which the complaint has been forwarded for investigation. If the complaint is against an ODPS grant recipient implementing funding from the DOJ and the ODPS is not forwarding the complaint to the OCR, the acknowledgement response shall also notify the complainant that he/she may file a complaint directly with the OCR at the following address:

**Office for Civil Rights  
Office of Justice Programs  
U.S. Department of Justice  
810 Seventh Street NW  
Washington, D.C. 20531**

4. The Complaint Coordinator shall then forward the complaint to the EEOC, DOJ-OCR, OCRC, or other appropriate agency. The complaint shall be investigated by the appropriate agency.
5. All employees or applicants of ODPS grant recipients shall have access to these procedures at any time via the ODPS website ([www.publicsafety.dhs.gov](http://www.publicsafety.dhs.gov)).
6. Any employee or applicant of an ODPS grant recipient may choose to file a complaint directly with the grant recipient, EEOC, DOJ-OCR (if the grant recipient receives funding from the DOJ), OCRC, or other appropriate agency as opposed to filing with ODPS. If a complaint is filed directly with the grant recipient or with an outside agency, once the grant recipient becomes aware of the complaint, the grant recipient must notify the ODPS Civil Rights Complaint Coordinator of the complaint and how it is being investigated.

#### D. TRAINING

1. ODPS shall provide annual training for agency employees on these complaint procedures. The training shall explain an employee's responsibility to refer discrimination complaints from employees or applicants of ODPS grant recipients to the Complaint Coordinator. This information shall be disseminated to new ODPS employees during new employee orientation training or as appropriate. The ODPS shall also disseminate a copy of these complaint procedures to ODPS grant recipients.
2. The current policy shall be evaluated annually to determine its effectiveness. ODPS shall make any necessary changes to ensure the complaint process is timely and efficient.

#### Current Form and Supplemental References

##### Department of Justice Informational Links:

- [Omnibus Crime Control and Safe Streets Act of 1968 \(42 U.S.C. §1789\(c\)\(1\)\)](#)
- [Title II of the Americans with Disabilities Act of 1990 \(42 U.S.C. §12132\)](#)
- [Section 504 of the Rehabilitation Act of 1973 \(29 U.S.C. §794, Section 504\)](#)
- [Title IX of the Education Amendments of 1972 \(20 U.S.C. §1681\)](#)

##### Standard References

None

##### Policy References

<a href="#">DPS-100.01</a>	ADMINISTRATIVE INVESTIGATIONS
<a href="#">DPS-501.01</a>	WORK RULES - NON-SWORN BARGAINING UNIT PERSONNEL
<a href="#">DPS-501.02</a>	WORK RULES - SWORN PERSONNEL
<a href="#">DPS-501.03</a>	WORK RULES - EXEMPT PERSONNEL
<a href="#">DPS-501.04</a>	WORK RULES - TEMPORARY WORKERS, CONTRACT VENDORS, CONSULTANTS, NON-DPS STAFF
<a href="#">DPS-501.15</a>	INITIAL EMPLOYMENT ORIENTATION TRAINING
<a href="#">DPS-501.29</a>	DISCRIMINATION AND UNLAWFUL HARASSMENT
<a href="#">OSP-103.19</a>	ADMINISTRATIVE INVESTIGATIONS - OSP EMPLOYEES
<a href="#">OSP-203.03</a>	POWERS / DUTIES, AUTHORITY / CODE OF ETHICS / OATH / RULES AND REGULATIONS



## Application Preparation Checklist

- Read the entire application package and guidance.
- Review the selection criteria and notes sections.
- Ensure that the completed template addresses the selection criteria notes and all other grant requirements.
- Application addresses only one category (Sustainment, Closing Gaps, Building new capabilities)
- Application addresses how project directly supports terrorism preparedness, response, recovery or dual purpose as applicable.
- Application clearly supports core capability(ies) allowable by funding opportunity
- EHP has been addressed regardless of project
- Complete all forms required as components of the application:
  - Application Template
  - NIMS form
  - EHP Screening tool (required unless project is exempt)
  - Letters of support from all benefiting jurisdictions
- Double-check ALL budget figures to ensure accuracy.
- Application is being submitted by a County EMA
- Read the entire application package and guidance.
- Submit the application by the deadline date.** Applications must be submitted (postmarked), by mail (no fax), by August 13, 2012.

**Appendix C) – Summary of Core Capabilities**

**Crosswalk of Target Capabilities to Core Capabilities**

The following table maps the target capabilities outlined in the former *Target Capabilities List (TCL)* version 2.0, released in September 2007, to the new core capabilities outlined in the first edition of the *National Preparedness Goal*. The mapping was performed such that all thirty-seven target capabilities from the *TCL* were mapped; and each target capability was mapped to *one, and only one*, core capability. In a few cases, the alignment of a target capability to a single core capability is unclear—i.e., the target capability either did not match any core capabilities in a straightforward manner, or could be mapped to more than one core capability. Thus, the “Justification” column provides details as to the rationale used in the placement of the target capability.

Please note that not all core capabilities have a target capability associated with them. Furthermore, some core capabilities have more than one target capability associated with them. Importantly, readers should not interpret that the target capabilities assigned to a core capability necessarily capture *the entirety* of what that core capability is meant to address.

The core capabilities and their definitions are taken from the first edition of the *National Preparedness Goal*, which was issued in September 2011. Descriptions of the target capabilities are excerpts taken from the Capability Description section of each target capability in the *TCL*.

This crosswalk was created to support the transition that states, localities, tribes, and territories face in realigning activities that may have previously been organized by the *TCL* to the new core capabilities as part of the 2011 State Preparedness Report effort. The contents are meant to provide additional context and stimulate thinking, but are for discussion purposes only, and should not be taken as official FEMA doctrine.

Core Capability	Core Capability Definition	Cross-walked Target Capabilities	Target Capability Description (Target Capability List version 2.0)	Justification
Critical Transportation	Provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people and animals, and the delivery of vital response personnel, equipment, and services into the affected areas.	Citizen Evacuation and Shelter-in-Place	“to prepare for, ensure communication of, and immediately execute the safe and effective sheltering-in-place of an at-risk population (and companion animals), and/or the organized and managed evacuation of the at-risk population (and companion animals) to areas of safe refuge in response to a potentially or actually dangerous environment. In addition, this capability involves the safe reentry of the population where feasible.”	The notification-related portions of this target capability fall under the <b>Public Information and Warning</b> core capability. The evacuation-related portions of the <b>Citizen Evacuation and Shelter-in-Place</b> target capability correspond to the provision of transportation for evacuation of people and animals in the <b>Critical Transportation</b> core capability.
	<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Establish physical access through appropriate transportation corridors and deliver required resources to save lives and to meet the needs of disaster survivors.</li> <li>2. Ensure basic human needs are met, stabilize the incident, transition into recovery for an affected area, and restore basic services and community functionality.</li> </ol>			
Cybersecurity	Protect against damage to, the unauthorized use of, and/or the exploitation of (and, if needed, the restoration of) electronic communications systems and services (and the information contained therein).	NONE		
	<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Implement risk-informed guidelines, regulations, and standards to ensure the security, reliability, integrity, and availability of critical information, records, and communications systems and services through collaborative cybersecurity initiatives and efforts.</li> <li>2. Implement and maintain procedures to detect malicious activity and to conduct technical and investigative-based countermeasures, mitigations, and operations against malicious actors to counter existing and emerging cyber-based threats, consistent with established protocols.</li> </ol>			

Core Capability	Core Capability Definition	Cross-walked Target Capabilities	Target Capability Description (Target Capability List version 2.0)	Justification
Environmental Response/Health and Safety	Ensure the availability of guidance and resources to address all hazards including hazardous materials, acts of terrorism, and natural disasters in support of the responder operations and the affected communities.	Environmental	“to protect the public from environmental hazards and manage the health effects of an environmental health emergency on the public. The capability minimizes human exposures to environmental public health hazards (e.g., contaminated food, air, water, solid waste/debris, hazardous waste, vegetation, sediments, and vectors). The capability provides the expertise to run fate and transport models; design, implement, and interpret the results of environmental field surveys and laboratory sample analyses; develop protective guidance where none exists; and use available data and judgment to recommend appropriate actions for protecting the public and environment.”	Self-evident.
		Health		
		Responder Safety and Health	“ensures adequate trained and equipped personnel and resources are available at the time of an incident to protect the safety and health of on scene first responders, hospital/medical facility personnel (first receivers), and skilled support personnel through the creation and maintenance of an effective safety and health program.”	Self-evident.
		WMD and Hazardous Materials Response and Decontamination	“to assess and manage the consequences of a hazardous materials release, either accidental or as part of a terrorist attack. It includes testing and identifying all likely hazardous substances onsite; ensuring that responders have protective clothing and equipment; conducting rescue operations to remove affected victims from the hazardous environment; conducting geographical survey searches of suspected sources or contamination spreads and establishing isolation perimeters; mitigating the effects of hazardous materials, decontaminating on-site victims, responders, and equipment; coordinating off-site decontamination with relevant agencies, and notifying environmental, health, and law enforcement agencies having jurisdiction for the incident to begin implementation of their standard evidence collection and investigation procedures.”	The <b>Environmental Response/Health and Safety</b> capability targets include the deployment of hazardous materials teams as a resource in support of response personnel and the affected population; and the functions of assessing, monitoring, and performing cleanup actions, which correspond to activities in the <b>WMD and Hazardous Materials Response and Decontamination</b> target capability.
	<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Conduct health and safety hazard assessments and disseminate guidance and resources, to include deploying hazardous materials teams, to support environmental health and safety actions for response personnel and the affected population.</li> <li>2. Assess, monitor, perform cleanup actions, and provide resources to meet resource requirements and to transition from sustained response to short-term recovery.</li> </ol>			
Fatality Management Services	Provide fatality management services, including body recovery and victim identification, working with state and local authorities to provide temporary mortuary solutions, sharing information with mass care services for the purpose of reunifying family members and caregivers with missing persons/remains, and providing counseling to the bereaved.	Fatality Management	“to effectively perform scene documentation; the complete collection and recovery of the dead, victim’s personal effects, and items of evidence; decontamination of remains and personal effects (if required); transportation, storage, documentation, and recovery of forensic and physical evidence; determination of the nature and extent of injury; identification of the fatalities using scientific means; certification of the cause and manner of death; processing and returning of human remains and personal effects of the victims to the legally authorized person(s) (if possible); and interaction with and provision of legal, customary, compassionate, and culturally competent required services to the families of deceased within the context of the family assistance center.”	Self-evident.

Core Capability	Core Capability Definition	Cross-walked Target Capabilities	Target Capability Description (Target Capability List version 2.0)	Justification
Infrastructure Systems	Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.	Restoration of Lifelines	“to initiate and sustain restoration activities. This includes facilitating the repair/replacement of infrastructure for oil, gas, electric, telecommunications, drinking water, wastewater, and transportation services.”	The <b>Infrastructure Systems</b> core capability focuses on stabilizing critical infrastructure, which correspond to the types of lifelines identified in the <b>Restoration of Lifelines</b> target capability.
		Structural Damage Assessment	“to conduct damage and safety assessments of civil, commercial, and residential infrastructure and to perform structural inspections, and mitigation activities. The capability includes being able to provide contractor management, construction management, cost estimating, technical assistance, and other engineering services to support and manage response and recovery operations.”	First, damage and safety assessments are a necessary precursor to restoration activities. The relationship between the <b>Structural Damage Assessment</b> target capability and the <b>Restoration of Lifelines</b> target capability is explicitly called out in the <i>TCL</i> . Second, while some overlap with the <b>Housing</b> core capability exists, the <b>Infrastructure Systems</b> core capability more effectively captures the breadth of assessments needed, and the connection between damage assessment and restoration/construction activities.
Mass Care Services				
	<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Decrease and stabilize immediate infrastructure threats to the affected population, to include survivors in the heavily-damaged zone, nearby communities that may be affected by cascading effects, and mass care support facilities and evacuation processing centers with a focus on life-sustainment and congregate care services.</li> <li>2. Re-establish critical infrastructure within the affected areas to support ongoing emergency response operations, life sustainment, community functionality, and a transition to recovery.</li> <li>3. Restore and sustain essential services (public and private) to maintain community functionality.</li> <li>4. Develop a plan with a specified timeline for redeveloping community infrastructures to contribute to resiliency, accessibility, and sustainability.</li> <li>5. Provide systems that meet the community needs while minimizing service disruption during restoration within the specified timeline in the recovery plan.</li> </ol>	Mass Care (Shelter, Feeding and Related Services)	“to provide immediate shelter, feeding centers, basic first aid, bulk distribution of needed items, and related services to persons affected by a large-scale incident.”	Self evident.
Mass Search and Rescue Operations	Provide life-sustaining services to the affected population with a focus on hydration, feeding, and sheltering to those who have the most need, as well as support for reunifying families.			
	<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Move and deliver resources and capabilities to meet the needs of disaster survivors, including individuals with access and functional needs and others who may be considered to be at-risk.</li> <li>2. Establish, staff, and equip emergency shelters and other temporary housing options (including accessible housing) for the affected population.</li> <li>3. Move from congregate care to non-congregate care alternatives and provide relocation assistance or interim housing solutions for families unable to return to their pre-disaster homes.</li> </ol>	Search and Rescue (Land-based)	“to coordinate and conduct search and rescue (SAR) response efforts for all hazards, including searching affected areas for victims (human and, to the extent no humans remain endangered, animal) and locating, accessing, medically stabilizing, and extricating victims from the damaged area.”	Self-evident.
On-scene Security and Protection				
	Ensure a safe and secure environment through law enforcement and related security and protection operations for people and communities located within affected areas and also for all traditional and atypical response personnel engaged in lifesaving and life-sustaining operations.	Emergency Public Safety and Security Response	“to reduce the impact and consequences of an incident or major event by securing the affected area, including crime/incident scene preservation issues as appropriate, safely diverting the public from hazards, providing security support to other response operations and properties, and sustaining operations from response through recovery.”	The core capability and target capability specifically both relate to incident scene control and security operations.
		Explosive Device Response Operations (EDRO)	“to coordinate, direct, and conduct improvised explosive device (IED) response after initial alert and notification. Coordinate intelligence fusion and analysis, information collection, and threat recognition, assess the situation and conduct appropriate Render Safe Procedures (RSP). Conduct searches for additional devices and coordinate overall efforts to mitigate chemical, biological, radiological, nuclear, and explosive (CBRNE) threat to the incident site.”	Key actions under the <b>Explosive Device Response Operations</b> target capability include conducting render-safe procedures, and searching for additional devices to mitigate threats at the incident site. These actions align to the objective of ensuring a safe and secure environment within affected areas, as described in the <b>On-scene Security and Protection</b> core capability.
	<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Establish a safe and secure environment in an affected area.</li> <li>2. Provide and maintain on-scene security and meet the protection needs of the affected population over a geographically dispersed area while eliminating or mitigating the risk of further damage to persons, property, and the environment.</li> </ol>			

Core Capability	Core Capability Definition	Cross-walked Target Capabilities	Target Capability Description (Target Capability List version 2.0)	Justification
Operational Communications	Ensure the capacity for timely communications in support of security, situational awareness, and operations by any and all means available, among and between affected communities in the impact area and all response forces.	Cross-walked Target Capabilities Communications	<p>“Agencies must be operable, meaning they must have sufficient wireless communications to meet their everyday internal and emergency communication requirements before they place value on being interoperable, i.e., able to work with other agencies.</p> <p>Communications interoperability is the ability of public safety agencies (police, fire, EMS) and service agencies (public works, transportation, hospitals, etc.) to talk within and across agencies and jurisdictions via radio and associated communications systems, exchanging voice, data and/or video with one another on demand, in real time, when needed, and when authorized. It is essential that public safety has the intraagency operability it needs, and that it builds its systems toward interoperability.”</p>	Many activities listed under the <b>Communications</b> target capability address communication systems and networks, and their ability to adequately function. These align to the <b>Operational Communications</b> core capability definition.
Operational Coordination	Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.	Emergency Operations Center (EOC) Management	<p>“to provide multi-agency coordination (MAC) for incident management by activating and operating an EOC for a pre-planned or no-notice event. EOC management includes EOC activation, notification, staffing, and deactivation; management, direction, control, and coordination of response and recovery activities; coordination of efforts among neighboring governments at each level and among local, regional, State, and Federal EOCs; coordination public information and warning; and maintenance of the information and communication necessary for coordinating response and recovery activities.”</p>	The emphasis of EOCs as a coordinating entity makes <b>Operational Coordination</b> a logical alignment for the <b>Emergency Operations Center Management</b> target capability.
		On Site Incident Management	<p>“ to effectively direct and control incident activities by using the Incident Command System (ICS) consistent with the National Incident Management System (NIMS).”</p>	NIMS and ICS provide a systematic approach for entities to work together effectively. As such, the <b>On Site Incident</b> target capability aligns well to the <b>Operational Coordination</b> core capability.
<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Execute operations with functional and integrated communications among appropriate entities to prevent initial or follow-on terrorist attacks within the United States in accordance with established protocols.</li> <li>2. Establish and maintain partnership structures among Protection elements to support networking, planning, and coordination.</li> <li>3. Establish protocols to integrate mitigation data elements in support of operations within all states and territories and in coordination with Federal agencies.</li> <li>4. Mobilize all critical resources and establish command, control, and coordination structures within the affected community and other coordinating bodies in surrounding communities and across the Nation and maintain as needed throughout the duration of an incident.</li> <li>5. Enhance and maintain National Incident Management System (NIMS)-compliant command, control, and coordination structures to meet basic human needs, stabilize the incident, and transition to recovery.</li> <li>6. Mobilize all critical resources and establish command, control, and coordination structures within the affected community and other coordinating bodies in surrounding communities and across the Nation and maintain as needed throughout the duration of an incident.</li> <li>7. Enhance and maintain National Incident Management System (NIMS)-compliant command, control, and coordination structures to meet basic human needs, stabilize the incident, and transition to recovery.</li> </ol>				

Core Capability	Core Capability Definition	Cross-walked Target Capabilities	Target Capability Description (Target Capability List version 2.0)	Justification
Planning	Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or community-based approaches to meet defined objectives.	Planning	“Unlike the other target capabilities, the attributes of planning are difficult to quantify, as individual planners may have considerably varied education and experience and still produce plans that lead to the successful implementation of a target capability. The focus of the Planning Capability is on successful achievement of a plan’s concept of operations using target capabilities and not the ability to plan as an end unto itself. Plans should be updated following major incidents and exercises to include lessons learned. The plans should form the basis of training and should be exercised periodically to ensure that responders are familiar with the plan and able to execute their assigned role. Thus, it is essential that plans reflect the preparedness cycle of plan, train, exercise, and incorporation of after action reviews and lessons learned.”	Self-evident.
		<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Identify critical objectives based on the planning requirement, provide a complete and integrated picture of the sequence and scope of the tasks to achieve the objectives, and ensure the objectives are implementable within the time frame contemplated within the plan using available resources for prevention-related plans.</li> <li>2. Develop and execute appropriate courses of action in coordination with Federal, state, local, and private sector entities in order to prevent an imminent terrorist attack within the United States.</li> <li>3. Develop protection plans that identify critical objectives based on planning requirements, provide a complete and integrated picture of the sequence and scope of the tasks to achieve the planning objectives, and implement planning requirements within the time frame contemplated within the plan using available resources for protection-related plans.</li> <li>4. Implement, exercise, and maintain plans to ensure continuity of operations.</li> <li>5. Develop approved hazard mitigation plans that address all relevant threats/hazards in accordance with the results of their risk assessment within all states and territories.</li> <li>6. Develop operational plans at the Federal level, and in the states and territories, that adequately identify critical objectives based on the planning requirement, provide a complete and integrated picture of the sequence and scope of the tasks to achieve the objectives, and are implementable within the time frame contemplated in the plan using available resources.</li> <li>7. Convene the core of an inclusive planning team (identified pre-disaster), which will oversee disaster recovery planning.</li> <li>8. Complete an initial recovery plan that provides an overall strategy and timeline, addresses all core capabilities, and integrates socioeconomic, demographic, accessibility, and risk assessment considerations, which will be implemented in accordance with the timeline contained in the plan.</li> </ol>		
Public and Private Services and Resources	Provide essential public and private services and resources to the affected population and surrounding communities, to include emergency power to critical facilities, fuel support for emergency responders, and access to community staples (e.g., grocery stores, pharmacies, and banks) and fire and other first response services.	Critical Resource Logistics and Distribution	“to identify, inventory, dispatch, mobilize, transport, recover, and demobilize and to accurately track and record available human and material critical resources throughout all incident management phases. Critical resources are those necessary to preserve life, property, safety, and security.”	Elements of this target capability are captured under the <b>Critical Transportation</b> core capability. However, <b>Critical Transportation</b> appears to be more focused on providing transportation and access to transportation services. The full spectrum of activities associated with logistics and supply chain management is best represented in the systems developed by both public agencies (e.g., FEMA) and private organizations (e.g., Federal Express, American Red Cross).
		Fire Incident Response Support	“provides coordination and implementation of fire suppression operations, which include the following tasks: assessing the scene, assigning resources, establishing an incident command system (ICS) consistent with the National Incident Management System (NIMS), communicating the status of the situation, requesting additional resources, establishing a safe perimeter, evacuating persons in danger, rescuing trapped victims, conducting fire suppression, determining the cause of the fire(s), and ensuring the area is left in a safe condition. This capability further includes support necessary to prepare the community and reduce vulnerabilities in the event of a major event.”	The core capability specifically mentions the provision of fire and other first response services.
		Volunteer Management and Donations	“to effectively coordinate the use of volunteers and donations in support of domestic incident management.”	Coordination of volunteers and donations is typically achieved by public and private agencies (e.g., NGOs, ARC).
<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Mobilize and deliver governmental, nongovernmental, and private sector resources within and outside of the affected area to save lives, sustain lives, meet basic human needs, stabilize the incident, and transition to recovery, to include moving and delivering resources and services to meet the needs of disaster survivors.</li> <li>2. Enhance public and private resource and services support for an affected area.</li> </ol>				

Core Capability	Core Capability Definition	Cross-walked Target Capabilities	Target Capability Description (Target Capability List version 2.0)	Justification
Public Health and Medical Services	Provide lifesaving medical treatment via emergency medical services and related operations and avoid additional disease and injury by providing targeted public health and medical support and products to all people in need within the affected area.	Emergency Triage and Pre-Hospital Treatment	“to appropriately dispatch emergency medical services (EMS) resources; to provide feasible, suitable, and medically acceptable pre-hospital triage and treatment of patients; to provide transport as well as medical care en-route to an appropriate receiving facility; and to track patients to a treatment facility.”	Self-evident.
		Epidemiological Surveillance and Investigation	“to rapidly conduct epidemiological investigations. It includes exposure and disease (both deliberate release and naturally occurring) detection, rapid implementation of active surveillance, maintenance of ongoing surveillance activities, epidemiological investigation, analysis, and communication with the public and providers about case definitions, disease risk and mitigation, and recommendation for the implementation of control measures.”	Surveillance and epidemiology has been identified as a core public health function by the Centers for Disease Control and Prevention (CDC).
		Isolation and Quarantine	“to protect the health of the population through the use of isolation and/or quarantine measures in order to contain the spread of disease. Isolation of ill individuals may occur in homes, hospitals, designated health care facilities, or alternate facilities.”	According to the <i>TCL</i> , the <b>Isolation and Quarantine</b> target capability deals specifically with infectious disease, thus placing it squarely in the realm of public health. Furthermore, resource elements described in this target capability include CDC quarantine stations.
		Laboratory Testing	“is the ongoing surveillance, rapid detection, confirmatory testing, data reporting, investigative support, and laboratory networking to address potential exposure, or exposure, to all-hazards which include chemical, radiological, and biological agents in all matrices including clinical specimens, food and environmental samples, (e.g., water, air, soil). Such all-hazard threats include those deliberately released with criminal intent, as well as those that may be present as a result of unintentional or natural occurrences.”	Laboratories have been identified as a core public health function by the CDC. Furthermore, many of the Critical Tasks and Performance Measures associated with the <b>Laboratory Testing</b> target capability deal with the Laboratory Response Network, which is managed by the CDC.
		Mass Prophylaxis	“to protect the health of the population through the administration of critical interventions in response to a public health emergency in order to prevent the development of disease among those who are exposed or are potentially exposed to public health threats. This capability includes the provision of appropriate follow-up and monitoring of adverse events, as well as risk communication messages to address the concerns of the public.”	As noted in the target capability description, <b>Mass Prophylaxis</b> deals with the administration of interventions in response to a public health emergency. Moreover, the <b>Public Health and Medical Services</b> core capability definition emphasizes providing lifesaving medical treatment by providing products to all people in need within the affected area.
		Medical Supplies Management and Distribution	“to procure and maintain pharmaceuticals and medical materials prior to an incident and to transport, distribute, and track these materials during an incident.”	Similar to the rationale for the <b>Critical Resource Logistics and Distribution</b> target capability, the <b>Medical Supplies Management and Distribution</b> target capability was not linked to the <b>Critical Transportation</b> core capability because of this core capability’s limited scope. Instead, this target capability was aligned to the <b>Public Health and Medical Services</b> core capability because of its explicit medical nature.
		Medical Surge	“to rapidly expand the capacity of the existing healthcare system (long-term care facilities, community health agencies, acute care facilities, alternate care facilities and public health departments) in order to provide triage and subsequent medical care. This includes providing definitive care to individuals at the appropriate clinical level of care, within sufficient time to achieve recovery and minimize medical complications. The capability applies to an event resulting in a number or type of patients that overwhelm the day-to-day acute-	Self-evident.

			care medical capacity. Planners must consider that medical resources are normally at or near capacity at any given time. Medical Surge is defined as rapid expansion of the capacity of the existing healthcare system in response to an event that results in increased need of personnel (clinical and non-clinical), support functions (laboratories and radiological), physical space (beds, alternate care facilities) and logistical support (clinical and non-clinical equipment and supplies).”	
	<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Deliver medical countermeasures to exposed populations.</li> <li>2. Complete triage and initial stabilization of casualties and begin definitive care for those likely to survive their injuries.</li> <li>3. Return medical surge resources to pre-incident levels, complete health assessments, and identify recovery processes.</li> </ol>			
Core Capability	Core Capability Definition	Cross-walked Target Capabilities	Target Capability Description (Target Capability List version 2.0)	Justification
Public Information and Warning <sup>1</sup>	Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard and, as appropriate, the actions being taken and the assistance being made available.	Emergency Public Information and Warning	“includes public information, alert/warning and notification. It involves developing, coordinating, and disseminating information to the public, coordinating officials, and incident management and responders across all jurisdictions and disciplines effectively under all hazard conditions.”	Self-evident.
	<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Share prompt and actionable messages, to include National Terrorism Advisory System alerts, with the public and other stakeholders, as appropriate, to aid in the prevention of imminent or follow-on terrorist attacks, consistent with the timelines specified by existing processes and protocols.</li> <li>2. Provide public awareness information to inform the general public on how to identify and provide terrorism-related information to the appropriate law enforcement authorities, thereby enabling the public to act as a force multiplier in the prevention of imminent or follow-on acts of terrorism.</li> <li>3. Use effective and accessible indication and warning systems to communicate significant hazards to involved operators, security officials, and the public (including alerts, detection capabilities, and other necessary and appropriate assets).</li> <li>4. Communicate appropriate information, in an accessible manner, on the risks faced within a community after the conduct of a risk assessment.</li> <li>5. Inform all affected segments of society by all means necessary, including accessible tools, of critical lifesaving and life-sustaining information to expedite the delivery of emergency services and aid the public to take protective actions.</li> <li>6. Deliver credible messages to inform ongoing emergency services and the public about protective measures and other life-sustaining actions and facilitate the transition to recovery.</li> <li>7. Inform all affected segments of society by all means necessary, including accessible tools, of critical lifesaving and life-sustaining information to expedite the delivery of emergency services and aid the public to take protective actions.</li> <li>8. Deliver credible messages to inform ongoing emergency services and the public about protective measures and other life-sustaining actions and facilitate the transition to recovery.</li> </ol>			
Screening, Search, and Detection	Identify, discover, or locate threats and/or hazards through active and passive surveillance and search procedures. This may include the use of systematic examinations and assessments, sensor technologies, or physical investigation and intelligence.	CBRNE Detection	“ provides the ability to detect CBRNE materials at points of manufacture, transportation, and use. It is important to note that the activities and tasks described in this capability will be carried out individually for each specific agent, rather than for all agents at the same time....This capability includes the detection of CBRNE material through area monitoring, but does not include detection by their effects (i.e., signs or symptoms) on humans and animals. Such population level monitoring is addressed, respectively, in the Epidemiological Surveillance and Investigation and Animal Disease Emergency Support capabilities. The CBRNE Detection capability includes the identification and communication of CBRNE threats, but does not include actions taken to prevent an incident or respond to the consequences of a CBRNE incident, which are also addressed in other capabilities.”	Self-evident.
	<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Maximize the screening of targeted cargo, conveyances, mail, baggage, and people associated with an imminent terrorist threat or act using technical, non-technical, intrusive, or non-intrusive means.</li> <li>2. Initiate operations immediately to locate persons and networks associated with an imminent terrorist threat or act.</li> <li>3. Conduct CBRNE search/detection operations in multiple locations and in all environments, consistent with established protocols.</li> <li>4. Screen cargo, conveyances, mail, baggage, and people using information-based and physical screening technology and processes.</li> <li>5. Detect WMD, traditional, and emerging threats and hazards of concern using: <ol style="list-style-type: none"> <li>a. A laboratory diagnostic capability and the capacity for food, agricultural (plant/animal), environmental, medical products, and clinical samples</li> <li>b. Bio-surveillance systems</li> <li>c. CBRNE detection systems</li> <li>d. Trained healthcare, emergency medical, veterinary, and environmental laboratory professionals.</li> </ol> </li> </ol>			



Core Capability	Core Capability Definition	Cross-walked Target Capabilities	Target Capability Description (Target Capability List version 2.0)	Justification
Situational Assessment	Provide all decision makers with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, and the status of the response.	NONE		
<p><b>Core Capability Targets</b></p> <ol style="list-style-type: none"> <li>1. Deliver information sufficient to inform decision making regarding immediate lifesaving and life-sustaining activities and engage governmental, private, and civic sector resources within and outside of the affected area to meet basic human needs and stabilize the incident.</li> <li>2. Deliver enhanced information to reinforce ongoing lifesaving and life-sustaining activities, and engage governmental, private, and civic sector resources within and outside of the affected area to meet basic human needs, stabilize the incident, and transition to recovery.</li> </ol>				

## Appendix D) – Detailed Planning Eligible Activities

### Detailed Eligible Planning Activities:

- Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, mitigation, response, and recovery activities
- Developing and implementing homeland security support programs and adopting DHS national initiatives including but not limited to the following:
  - Implementing the NPG and the Whole Community Approach to Security and Emergency Management
  - Pre-event recovery planning
  - Implementing the National Infrastructure Protection Plan (NIPP) and associated Sector Specific Plans
  - Enhancing and implementing Statewide Communication Interoperable Plan (SCIP) and Tactical Interoperable Communications Plans (TICP) that align with the goals, objectives, and initiatives of the *National Emergency Communications Plan* (NECP)
  - Costs associated with the adoption, implementation, and adherence to NIMS compliance requirements, including implementing the NIMS National Credentialing Framework
  - Modifying existing incident management and EOPs to ensure proper alignment with the National Response Framework (NRF) coordinating structures, processes, and protocols
  - Establishing or enhancing mutual aid agreements
  - Developing communications and interoperability protocols and solutions
  - Conducting local, regional, and tribal program implementation meetings
  - Developing or updating resource inventory assets in accordance to typed resource definitions issued by the NIC
  - Designing State and local geospatial data systems
  - Developing and conducting public education and outreach campaigns, including promoting individual, family, and organizational emergency preparedness; alerts and warnings education; promoting training, exercise, and volunteer opportunities; informing the public about emergency plans, evacuation routes, shelter locations; and evacuation plans as well as CBRNE prevention awareness
  - Designing programs to address targeting at-risk populations and engaging them in emergency management planning efforts
  - Activities, materials, services, tools and equipment to achieve planning, protection, mitigation, response and recovery that is inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities)
  - Preparing materials for State Preparedness Reports (SPRs)
  - WHTI implementation activities including the issuance of WHTI-compliant tribal identification cards
- Developing related terrorism prevention activities including:
  - Developing THIRA that reflects a representative make up and composition of the jurisdiction
  - Developing initiatives that directly support local efforts to understand, recognize, prepare for, prevent, mitigate, and respond to pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with civil rights/civil liberties protections
  - Developing law enforcement prevention activities, to include establishing and/or enhancing a fusion center

- Hiring an IT specialist to plan, develop, and implement the IT applications necessary for a fusion center
- Developing and planning for information/intelligence sharing groups
- Integrating and coordinating the fire service, emergency management, public health care, public safety, and health security data-gathering (threats to human and animal health) within State and Major Urban Area fusion centers to achieve early warning, monitoring, and mitigation of threats
- Integrating and coordinating private sector participation with fusion center activities
- Developing and implementing preventive radiological/nuclear detection activities
- Acquiring systems allowing connectivity to State, local, tribal, territorial, and Federal data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate
- Planning to enhance security during heightened alerts, terrorist incidents, and/or during mitigation and recovery
- Multi-discipline preparation across first responder community, including EMS for response to catastrophic events and acts of terrorism
- Accessible public information/education: printed and electronic materials, public service announcements, seminars/town hall meetings, and web postings coordinated through local Citizen Corps Councils or their equivalent
- Volunteer programs and other activities to strengthen citizen participation
- Conducting public education campaigns including promoting suspicious activity reporting and preparedness; individual, family, and organizational emergency preparedness; promoting the *Ready* campaign; and/or creating State, regional, or local emergency preparedness efforts that build upon the *Ready* campaign
- Evaluating Critical Infrastructure Protection (CIP) security equipment and/or personnel requirements to protect and secure sites
- CIP cost assessments, including resources (e.g., financial, personnel) required for security enhancements/deployments
- Multi-Jurisdiction Bombing Prevention Plans (MJBPP)
- Underwater Terrorist Protection Plans
- Developing and enhancing plans and protocols, including but not limited to:
  - Community-based planning to advance “whole community” security and emergency management
  - Incorporating government/non-governmental collaboration, citizen preparedness, and volunteer participation into State and local government homeland security strategies, policies, guidance, plans, and evaluations
  - Developing, enhancing, maintaining a current EOP that conforms to the guidelines outlined in the CPG 101 v.2
  - Developing or enhancing local, regional, or statewide strategic or tactical interoperable emergency communications plans
  - Activities associated with a conversion from wideband to narrowband voice channels to support interoperability
  - Implementing SCIP and TICPs that align with the goals, objectives, and initiatives of the NECP
  - Developing protocols or standard operating procedures for specialized teams to incorporate the use of equipment acquired through this grant program
  - Developing terrorism prevention/protection plans

- Developing plans, procedures, and requirements for the management of infrastructure and resources related to HSGP and implementation of State or Urban Area Homeland Security Strategies
- Developing plans for mass evacuation and pre-positioning equipment
- Developing or enhancing plans for responding to mass casualty incidents caused by any hazards
- Developing or enhancing applicable procedures and operational guides to implement the response actions within the local plan including patient tracking that addresses identifying and tracking children, access and functional needs population, and the elderly and keeping families intact where possible
- Developing or enhancing border security plans
- Developing or enhancing cyber security and risk mitigation plans
- Developing or enhancing secondary health screening protocols at major points of entry (e.g., air, rail, port)
- Developing or enhancing agriculture/food security risk mitigation, response, and recovery plans
- Developing public/private sector partnership emergency response, assessment, and resource sharing plans
- Developing or enhancing plans to engage and interface with, and to increase the capacity of, private sector/non-governmental entities working to meet the human service response and recovery needs of survivors
- Developing or updating local or regional communications plans
- Developing plans to support and assist jurisdictions, such as port authorities and rail and mass transit agencies
- Developing or enhancing continuity of operations and continuity of government plans
- Developing or enhancing existing catastrophic incident response and recovery plans to include and integrate Federal assets provided under the NRF
- Developing plans and response procedures for adjudicating, validating and responding to an alarm from a chemical or biological detector (response procedures should include emergency response procedures integrating local first responders)
- Developing or enhancing evacuation plans
- Developing mechanisms for utilizing the National Emergency Family Registry and Locator System (NEFRS)
- Developing or enhancing plans to prepare for surge capacity of volunteers
- Developing or enhancing the State emergency medical services systems
- Developing or enhancing plans for donations and volunteer management and the engagement/integration of private sector/non-governmental entities in preparedness, mitigation, response, and recovery activities
- Developing or enhancing Bombing Prevention Plans
- Developing school preparedness plans
- Developing preparedness plans for child congregate care facilities, including group residential facilities, juvenile detention facilities, and public/private child care facilities
- Developing plans to educate youth on disaster preparedness
- Ensuring jurisdiction EOPs adequately address warnings, emergency public information, evacuation, sheltering, mass care, resource management from non-governmental sources, unaffiliated volunteer and donations management, and volunteer resource integration to support each Emergency Support Function, to include appropriate considerations for integrating activities, materials, services, tools and equipment to achieve planning inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental

health, intellectual and cognitive disabilities). Developing and implementing civil rights, civil liberties, and privacy policies, procedures, and protocols

- Designing and developing State, local, tribal, and territorial geospatial data systems
- Developing and implementing statewide electronic patient care reporting systems compliant with the National Emergency Medical Services Information System (NEMSIS)
- Costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities
- Developing or conducting assessments, including but not limited to:
  - Developing pre-event recovery plans
  - Conducting point vulnerability assessments at critical infrastructure sites/key assets and develop remediation/security plans
  - Conducting or updating interoperable emergency communications capabilities assessments at the local, regional, or Statewide level
  - Developing border security operations plans in coordination with CBP
  - Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
  - Updating and refining threat matrices
  - Conducting cyber risk and vulnerability assessments
  - Conducting assessments and exercising existing catastrophic incident response and recovery plans and capabilities to identify critical gaps that cannot be met by existing local, regional, and State resources
  - Conducting Bombing Prevention Capability Analysis
  - Activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs across disciplines (e.g., law enforcement, fire, EMS, public health, behavioral health, public works, agriculture, information technology, and citizen preparedness)
  - Activities that directly support the identification of pre-designated temporary housing sites
  - Activities that support the identification and development of alternate care sites
  - Conducting community assessments, surveys, and research of vulnerabilities and resource needs to determine how to meet needs and build effective and tailored strategies for educating individuals conducting assessments of the extent to which compliance with the integration mandate of disability laws is being achieved
  - Soft target security planning (e.g., public gatherings)
- Identifying resources for medical supplies necessary to support children during an emergency, including pharmaceuticals and pediatric-sized equipment on which first responders and medical providers are trained
- Ensuring subject matter experts, durable medical equipment, consumable medical supplies and other resources required to assist children and adults with disabilities to maintain health, safety and usual levels of independence in general population environments
- Developing and implementing a community preparedness strategy for the State/local jurisdiction
- Establishing, expanding, and maintaining volunteer programs and volunteer recruitment efforts that support disaster preparedness and/or response

- Citizen support for emergency responders is critical through year-round volunteer programs and as surge capacity in disaster response, including but not limited to: Citizen Corps Affiliate Programs and Organizations,

Community Emergency Response Teams (CERT), Fire Corps, Medical Reserve Corps (MRC), Neighborhood Watch/USA-on-Watch, Volunteers in Police Service (VIPS), and jurisdiction specific volunteer efforts

Establishing and sustaining Citizen Corps Councils or their equivalent

Working with youth-serving organizations to develop and sustain a youth preparedness program

