



U.S. DEPARTMENT OF HOMELAND SECURITY

FISCAL YEAR 2011

TRIBAL HOMELAND SECURITY GRANT
PROGRAM

INVESTMENT JUSTIFICATION
REFERENCE GUIDE

MAY 2011



U.S. DEPARTMENT OF HOMELAND SECURITY

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PART I.

FY 2011 THSGP INVESTMENT JUSTIFICATION REFERENCE GUIDE OVERVIEW

OVERVIEW OF INVESTMENT JUSTIFICATION REFERENCE GUIDE

The *FY 2011 Tribal Homeland Security Grant Program (THSGP) Investment Justification (IJ) Reference Guide* provides applicants with an overview of the new FY 2011 THSGP Investment Justification (IJ) Template, clarification of IJ questions, and an overview of the scoring criteria against which the Investment questions will be evaluated. This Guide supplements the *FY 2011 Tribal Homeland Security Grant Program (THSGP) Guidance and Application Kit* and the FY 2011 THSGP IJ Template.

GENERAL REMINDERS

The THSGP IJ Reference Guide is **only** a clarification document to provide additional information and helpful hints regarding the FY 2011 THSGP IJ Template. Eligible Tribes are **required** to use the Excel-based IJ Template for their FY 2011 THSGP IJ submission. The THSGP IJ Template can be found at <http://www.fema.gov/grants> or <http://www.grants.gov>. The THSGP IJ Template will be submitted as an attachment with the FY 2011 THSGP application submission in the ND Grants System.

THSGP applicants must self-certify if they meet the eligibility criteria as stated in the *Implementing Recommendations of the 9/11 Commission Act* within the THSGP Eligibility Certification Form as part of FY 2011 THSGP IJ. Any questions regarding an applicant's proximity to a Critical Infrastructure and Key Structures (CI/KR) site, as described in the eligibility criteria, may be directed to the State Administrative Agency (SAA).

Due to the competitive nature of the THSGP in FY 2011, applicants that have not received prior funding under THSGP between FY 2008 and FY 2010 will receive an extra five (5) points for each submitted Investment to their effectiveness score which impacts allocation determinations.

Additionally, there is an optional 25 percent (25%) cost match opportunity. An applicant's willingness to contribute an optional cost match will **not** impact application scores. Grantee contributions must be from non-Federal sources. The grantee's contribution may be met through cash or in-kind contributions.

INVESTMENT JUSTIFICATION SUBMISSION

Completed FY 2011 THSGP applications, to include the Excel-based IJ Template and Standard Forms, must be submitted to FEMA **no later than 11:59 p.m. June 20, 2011**. In

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order to request FY 2011 THSGP funds, eligible Tribes are **required** to:

1. Use the Excel-based Tribal Investment Justification Template, which can be found at <http://www.fema.gov/grants> or <http://www.grants.gov>

The application must be started and submitted using <http://www.grants.gov> after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required form:

- Standard Form 424, Application for Federal Assistance

The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. If you need additional assistance registering for the ND Grants system, please contact FEMA's Enterprise Service Desk at (888) 457-3362. The ND Grants system includes the following required forms and submissions:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- FY 2011 THSGP Investment Justification (Office of Management and Budget [OMB] Number 1660-0113/FEMA Form 089-22)

Each THSGP IJ may contain up to **3** individual Investments. These Investments must account for all THSGP funds requested by the applicant. Only the information included in the IJ will be scored in the review process.

SUMMARY OF THE IJ REVIEW AND SCORING PROCESS

Each Investment will be reviewed by peer reviewers and receive its own score. This *FY 2011 THSGP IJ Reference Guide* identifies sections of the individual Investment(s) that will be scored and what criteria reviewers will consider when scoring applicable sections. The scoring questions that reviewers will use during the review and scoring of Investments are derived from the "Helpful Hints and Tips" guidance.

Reviewers will score Investments across four sections listed below:

- Overview (25%)
- Baseline (25%)
- Project Management and Milestones (25%)

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- Accomplishments and Impact (25%)

After all Investments within an IJ have been scored, reviewers will provide consensus-based, constructive feedback on how applicants may be able to improve submitted Investments and/or future application submissions.

OVERVIEW OF THE SCORING CALCULATION PROCESS

The three steps below provide a description of how each applicant's individual Investment score(s) will be calculated:

- Reviewers score each of their assigned Investments
- Reviewers scores will be added and divided by the total number of reviewers that reviewed assigned Investments
- The mean Investment score is normalized and multiplied by 100

PART II.

FY 2011 THSGP INVESTMENT JUSTIFICATION QUESTIONS AND HELPFUL HINTS

INVESTMENT JUSTIFICATION INFORMATION

In order for an Investment to be considered complete, all questions, including the Investment Heading, must be addressed. Responses in the Investment Justification (IJ) should be self-sufficient and self-contained. Applicants should not rely on references to other sources of information to explain their response.

I. BACKGROUND

Question	Helpful Hints and Tips
I. Background (N/S)	
I.A Provide the Tribe name	<ul style="list-style-type: none">• Applicants are encouraged to use their Tribe name as listed in the latest Federal Register Notice, which can be found at http://www.bia.gov/idc/groups/xraca/documents/text/idc011463.pdf
I.B Provide the Investment name	<ul style="list-style-type: none">• Investment Name should help describe the purpose of the Investment
I.C Provide a baseline understanding of the spectrum of terrorism and natural hazard risks and demographics that the Tribe faces and influenced the development of this Investment Justification (IJ).	<ul style="list-style-type: none">• Describe the risks to the Tribal area; remember to include:<ul style="list-style-type: none">○ Terrorism risks○ Natural hazard risks; and○ Risk information from your own planning processes• Describe the demographics of the Tribal area; remember to include:<ul style="list-style-type: none">○ Population○ Geographical Location• Potential sources of information to assist with this response include:<ul style="list-style-type: none">○ Tribal risk assessments and analyses (if available)

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II. OVERVIEW

Question	Helpful Hints and Tips
II. Overview (25%)	
<p>II.A Identify the Investment as: If ongoing, describe the Investment’s current state and what will be accomplished prior to the application of FY 2011 funds. <i>Please note, if this Investment is marked “New”, please move to question II.B.</i></p>	<ul style="list-style-type: none"> • If the Investment is ongoing, describe the Investment’s current state and include accomplishments to date, using FY 2008 – FY 2010 THSGP funding such as: <ul style="list-style-type: none"> ○ Major milestones, purchases, training activities, or other implementation steps that have been or will be started and/or completed before the application of FY 2011 THSGP funds
<p>II.B Identify if this Investment focuses on building new capabilities or the sustainment of existing capabilities</p>	<ul style="list-style-type: none"> • Confirm that the appropriate response, “Building New Capabilities” or “Sustainment of Existing Capabilities,” from the drop down menu has been selected
<p>II.C Provide a description of this Investment, including the planning, organization, equipment, training, and/or exercises that will be involved.</p>	<ul style="list-style-type: none"> • Describe how the planning, organization, equipment, training, or exercises activities within this Investment support the Tribe and THSGP priorities <ul style="list-style-type: none"> ○ Examples of planning efforts include the prioritization of needs, updating preparedness strategies, and allocating resources ○ For equipment-related projects, applicants should reference the 21 allowable prevention, protection, response, and recovery equipment categories and equipment standards for FY 2011 THSGP listed on the web-based version of the Authorized Equipment List (AEL) at https://www.rkb.us. ○ For training-related projects, applicants should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to a building a capability that will be evaluated through an exercise

III. BASELINE

Question	Helpful Hints and Tips
III. Baseline (25%)	
<p>III.A Identify the goals and objectives that will be supported by this Investment. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i></p>	<ul style="list-style-type: none"> • Applicants should demonstrate linkages between specific projects undertaken with THSGP funds with the all-hazards risks identified in Question I.C. • Reviewers will reference Question I.C. to ensure the Investment's alignment with goals and objectives.
<p>III.B Describe existing capability levels that address the identified goals/objectives and what will be in place to support the Investment prior to the use of FY 2011 funds.</p>	<ul style="list-style-type: none"> • Applicants should provide a clear description of existing capability levels that will support identified goals and objectives in Question III.A. • If the Investment is ongoing, describe the Investment's current state and include accomplishments to date, using any funding they may have received (e.g., Federal or Non-Federal) such as: <ul style="list-style-type: none"> ○ Major milestones, purchases, training activities, or other implementation steps that have been or will be started and/or completed before the application of FY 2011 THSGP funds
<p>III.C Explain the capability gap(s) that this Investment is intended to address. <i>Please note, this should be linked to the all-hazards risks identified in I.C.</i></p>	<ul style="list-style-type: none"> • Applicants should describe gaps between existing capabilities, as identified in Question III.B, and desired capability as outlined in Question III.A. • Applicants should also demonstrate how this Investment will bridge identified capability gap(s) and address vulnerabilities • Where appropriate, applicants should quantify where capability gaps exist that may hinder their ability to successfully improve and play a critical role in helping communities in all stages of a disaster preparation, response, and long-term recovery • Applicants should also specify what they would require to building safe, secure, and resilient communities

IV. PROJECT MANAGEMENT AND MILESTONES

Question	Helpful Hints and Tips
IV. Project Management and Milestones (25%)	
IV.A Provide the proposed FY 2011 THSGP funding amount for this Investment.	<ul style="list-style-type: none"> • Confirm that the correct amount of proposed funding for this Investment has been entered • Funding in Questions IV.D. and IV.E. must add up to this Total Proposed Funding Amount
IV.B Identify the amount and percentage of funding that will be dedicated to Management and Administration (M&A) expenditures. <i>Please note, M&A cannot exceed 5 percent (5%) of the total award amount.</i>	<ul style="list-style-type: none"> • Confirm that M&A costs entered does not exceed 5 percent (5%) of the total proposed funding amount
IV.C If applicable, provide the proposed funding amount that is expected to be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA). <i>Please note, at least 25 percent (25%) of the total amount awarded to recipient must be dedicated towards LETPA.</i>	<ul style="list-style-type: none"> • For specific funding minimum requirements, please refer to Part II – “Award Information” of the <i>FY 2011 THSGP Guidance and Application Kit</i>
IV.D Identify the Target Capabilities that are supported by this Investment. For each of the selected Target Capabilities, provide the proposed funding amount to be obligated from this Investment.	<ul style="list-style-type: none"> • Target Capabilities selected should be relevant to the capability gap(s) described in Question III.C. The score for this question is not dependent upon the number of Target Capabilities identified, although responses should be comprehensive for the Investment
IV.E Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area.	<ul style="list-style-type: none"> • Planned expenditures should be appropriate for the Solution Area and grant program in which they are described; however, the list of planned expenditures does not have to be exhaustive
IV.F Each grantee must submit a detailed budget narrative, in addition to SF-424A, explaining related costs and expenses as a part of the application. This budget narrative should be detailed and should serve to: (1) explain how the costs were estimated, and (2) justify the needs for the costs incurred to the measurable achievement outcomes as stated in the Investment Justification.	<ul style="list-style-type: none"> • Describe in the solution area summaries how the funding will be used towards the planned expenditures, including products, services, and activities <ul style="list-style-type: none"> ○ Example: “For the purpose of this Investment, our planned expenditures will include the purchase of lumber, insulation, construction tools, roofing and plumbing materials, concrete, and windows. Estimated personnel expenses for procuring the equipment have been included in the estimated equipment cost. Purchasing this equipment will be critical to achieving the primary objective of building the house.”

Question	Helpful Hints and Tips
IV. Project Management and Milestones (Continued)	
IV.G Identify up to ten projects/activities, with start and end dates, which will be implemented over the 36 month period of performance. Provide the following information: - Project Name - Funding Amount - Project Management Process - Start Month/Year - End Month/Year	<ul style="list-style-type: none"> • The projects/activities should demonstrate progress towards achieving the Investment within the FY 2011 THSGP period of performance (October 1, 2011 – September 30, 2014) • Please reference Appendix A of this <i>FY 2011 THSGP IJ Reference Guide</i> for a detailed description of the Project Management Lifecycle
IV.H Does this Investment require new construction or renovation, retrofitting, or modification of existing structures?	<ul style="list-style-type: none"> • Confirm that the appropriate response, “Yes” or “No,” from the drop down menu has been selected
IV.I If desired, provide the optional cost match source and funding amount for this Investment. Ensure that the cost match amount entered on the SF-424 and SF-424 A forms equals the total cost match amount for all Investments submitted as part of the IJ.	<ul style="list-style-type: none"> • If this Investment includes optional cost sharing funds, provide the cash or in-kind funding amounts and describe how those funds will be applied • The optional cash and in-kind cost sharing funds identified will not be considered when making allocation determinations

IV. ACCOMPLISHMENTS AND IMPACT

Question		Helpful Hints and Tips
V. Accomplishments and Impact (25%)		
V.A	Describe the outcomes that will be achieved as a result of this Investment. The outcomes should demonstrate improvements towards building capabilities described in Section III, Baseline.	<ul style="list-style-type: none"> • Applicants should provide a description of the anticipated outcomes that will be achieved during the FY 2011 THSGP period of performance • Applicants should indicate how the implementation of the Investment will continue to fill capability gaps beyond the period of performance • Applicants should demonstrate how accomplishments will demonstrate progress toward the overall objective of the Investment and bridge capability gap(s) as outlined in Question III.A • Applicants should describe how successful maintenance and sustainment of the capabilities identified within the Investment will be supported to achieve long-term continuity
V.B	Identify the National Priorities that are supported by this Investment:	<ul style="list-style-type: none"> • The Investment should directly support the National Priorities provided

APPENDIX A. PROJECT MANAGEMENT LIFECYCLE

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

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

**APPENDIX B.
TARGET CAPABILITIES AND NATIONAL PRIORITIES**

Target Capabilities	
<p><u>Common Capabilities</u> Planning Communications Community Preparedness and Participation Risk Management Intelligence and Information Sharing and Dissemination</p> <p><u>Prevent Mission Capabilities</u> Information Gathering and Recognition of Indicators and Warnings Intelligence Analysis and Production Counter-Terror Investigation and Law Enforcement CBRNE Detection</p> <p><u>Protect Mission Capabilities</u> Critical Infrastructure Protection Food and Agriculture Safety and Defense Epidemiological Surveillance and Investigation Laboratory Testing</p>	<p><u>Respond Mission Capabilities</u> On-Site Incident Management Emergency Operations Center Management Critical Resource Logistics and Distribution Volunteer Management and Donations Responder Safety and Health Emergency Public Safety and Security Animal Disease Emergency Support Environmental Health Explosive Device Response Operations Fire Incident Response Support WMD and Hazardous Materials Response and Decontamination Citizen Evacuation and Shelter-in-Place Isolation and Quarantine Search and Rescue (Land-Based) Emergency Public Information and Warning Emergency Triage and Pre-Hospital Treatment Medical Surge Medical Supplies Management and Distribution Mass Prophylaxis Mass Care (Sheltering, Feeding and Related Services) Fatality Management</p> <p><u>Recover Mission Capabilities</u> Structural Damage Assessment Restoration of Lifelines Economic and Community Recovery</p>
National Priorities	
<ul style="list-style-type: none"> • Expand regional collaboration • Implement the National Incident Management System and the National Response Plan • Implement the National Infrastructure Protection Plan • Strengthen information sharing and collaboration capabilities • Strengthen communications capabilities • Strengthen CBRNE detection, response, and decontamination capabilities • Strengthen medical surge and mass prophylaxis capabilities • Strengthen planning and citizen preparedness capabilities 	