

Fiscal Year 2017 Homeland Security Grant Program Guidance for Maine Sub-Recipients June 2017

****PLEASE READ CAREFULLY BEFORE PREPARING APPLICATIONS****

A. Overview:

Funding has been provided by the federal Department of Homeland Security (DHS) to the State of Maine, through the Maine Emergency Management Agency (MEMA) via the State Homeland Security Grant Program (HSGP). This grant provides funding to better prepare Maine communities and Maine first responders to prevent, prepare for, respond to, and recover from terrorist attacks and other all-hazard events.

A total of approximately **\$3.00 million** is available statewide for allocation under the grant allocation formula that has been used since FY2012. Of the available total, **\$994,785** is available to non-law enforcement entities at the Tribal/County/Local level and **\$813,915** available to the six top Metropolitan cities; with **\$357,720** is available to law enforcement entities at the Tribal/County/Local level and **\$292,680** is available to law enforcement entities in the same Metropolitan cities.

The **National Preparedness Goal**, released in September 2011, defines what it means for the whole community to be prepared for all types of disasters and emergencies. The goal itself is succinct:

“A secure and resilient nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.”

These risks include events such as natural disasters, disease pandemics, chemical spills and other manmade hazards, terrorist attacks and cyber-attacks.

While the State of Maine is in the process of updating the State Homeland Security Strategy, we continue to utilize HSGP funding to maintain State, County, Local and Tribal capabilities to detect, deter, and disrupt potential terrorist activity in accordance with the recently updated **2017-2019 State of Maine Homeland Security Strategy (SHSS)**.

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While the complete SHSS is restricted from open posting, the following Goals are the priorities for the state of Maine:

- Goal 1. Ensure that the state of Maine is fully capable of preventing an act of terrorism while working to reduce the state's vulnerability to such events.
- Goal 2. Ensure that the state of Maine is fully prepared to respond to any emergency or disaster, including the direct or indirect results of a terrorist event.
- Goal 3. Ensure that the state of Maine has the capability to recover quickly from any emergency or disaster including direct or indirect results of a terrorist event.
- Goal 4. Increase collaboration and engagement within intelligence communities in Maine.
- Goal 5. Prevent ideological radicalization of Maine Residents, using a whole-of-community stakeholder approach, increasing community awareness of indicators of risk behavior, identifying at-risk individuals and using the measures needed to break the radicalization process while preserving individual right and liberties.
- Goal 6. Increase collaboration and engagement within Critical Infrastructure.
- Goal 7. Strengthen the protection, resiliency and recovery of the 'life line' sectors of Critical Infrastructure in Maine.
- Goal 8. Improve Cyber Threat Information Sharing and Dissemination Process.
- Goal 9. Establish cyber education programs and promote industry security practices to create a culture of cyber security awareness statewide.
- Goal 10. Improve coordination and communication for cyber incident response.

Among the Tasks which have been identified by Maine's Homeland Security Advisory Council, the following have the highest priority:

1. Continue all-hazards planning
2. Improve Critical Infrastructure protection
3. Provide WMD/Terrorism/HAZMAT response training to first responders
4. Improve Interoperable Communications
5. Maintain the capabilities of the Maine Information & Analysis Center
6. Support the statewide exercise program
7. Support HAZMAT Team equipment needs

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8. Support Mass Care plans, exercises, & needs
9. Support Law Enforcement-specific preparedness and prevention needs
10. Develop a statewide response to Cyber threats.

In developing the 2016 Threat and Hazard Identification and Risk Analysis (THIRA) and State Preparedness Report (SPR), MEMA continued to underscore the importance of All-Hazard preparedness when prioritizing homeland security and emergency management needs. Through the **THIRA and SPR** process, MEMA identified areas needing further investment of HSGP funds to improve the state's capabilities to prevent, prepare, respond and recover from natural, technological and human-caused hazards.

Local officials are strongly encouraged to consult ALL emergency and work plans when submitting grant applications to ensure the grant application helps meet the needs identified in those plans.

B. Application Categories:

Through the **THIRA and SPR** process, Maine evaluated and reported on the state's capability to prevent, prepare, respond and recover from seven likely hazard scenarios. The hazards analyzed for the 2016 THIRA were:

- Natural Hazards: Hurricane, Severe Winter Storm/Ice Storm & Pandemic
- Technological Hazards: Hazmat Release (chemical)
- Human-Caused Hazards: Cyberattack and Explosive Devices

Along with the analysis of the Maine Training and Exercise Plan (TEP), the following ten core capabilities have been identified as priority areas to be addressed with this grant:

- Economic Recovery
- Housing
- Operational Communications
- Physical Protective Measures
- Natural and Cultural Resources
- Risk Management for Protection Programs and Activities
- Mass Search and Rescue Operations
- Health and Social Services
- Logistics and Supply Chain Management
- Public Information and Warning

At a minimum, all grant funds must address capability gaps in one or more of the

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following 32 DHS Core Capabilities. For more information on any of these capabilities, please see: <http://www.fema.gov/core-capabilities> . **Note** – Fire Management and Suppression was added in the 2015 update of the National Preparedness Goal.

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

Additionally, the Core Capabilities are compared to the previous DHS Target Capabilities List at: <https://www.fema.gov/pdf/prepared/crosswalk.pdf>

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C. Allowable Uses:

To the extent possible, MEMA encourages applicants to address **regional issues** and work with neighboring communities to maximize impacts of grant funding. Because of the limited funding available for the FY2017 grant round, MEMA recommends applicants focus on sustaining existing capabilities, reflecting priorities outlined in various reviews, State Homeland Security Strategy, Emergency Operations Plan, County and local EOPs, strategies and work plans. Below are recommended focus areas as well as allowable use of this grant.

1. **All Hazards Emergency Planning:** MEMA recognizes the ongoing need of Counties and communities to update, revise, and coordinate emergency planning activities. Grant applications are encouraged to assist with revision of existing plans or development of new plans that Counties or communities may be missing.

Planning focus areas suggested, but not limited to: County and Local EOPs, school emergency plans (see additional info on school planning initiatives below), disaster recovery plans, shelter management plans, hurricane, evacuation, continuity of operations and debris management plans.

If funds are to be used to hire planning assistance, applicants should be clear in noting which specific plans will be developed or updated. Funding may be used to hire full or part time planning assistance; however grantees will be expected to demonstrate clear objectives and outcomes, as well as provide copies of work completed by the end of the grant period.

2. **Interoperable Communications:** Applications will be accepted for projects designed to improve the interoperable communications capabilities of first responder agencies. Applicants should review the State of Maine Communications Interoperability Plan (SCIP) [see: <http://www.maine.gov/tools/whatsnew/attach.php?id=54971&an=3>] for information on the vision and direction for interoperability in Maine.

Applicants must show the ability to support the annual operations and maintenance costs for the new technology in future years. MEMA will review applications to ensure jurisdictions are not supplanting budget with communications requests.

As a condition for receiving FY2017 DHS Preparedness Grants, sub-recipients using funds for emergency communications projects **must comply** with SAFECOM guidance which can be found at <https://www.dhs.gov/publication/funding-documents> Contact MEMA SWIC or

HSGP Program Manager for additional details.

3. **Equipment:** The 21 allowable prevention, protection, mitigation, response and recovery equipment categories and equipment standards for HSGP are listed on the official Authorized Equipment List (AEL) issued by DH. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS/FEMA-adopted standards to be eligible for purchase using these funds. The AEL is available at <http://www.fema.gov/authorized-equipment-list>

Jurisdictions must ensure that the items they are requesting appear on the AEL when filling out the grant request. Aside from appearing on the AEL, the requested items must also be of applicable to one or more of the Core Capabilities listed in Section B. If the jurisdiction cannot find a desired item on the AEL, please contact your County Emergency Management Agency or MEMA for assistance.

UNALLOWABLE COSTS – Purchase of Weapons and Weapons Accessories is not allowed.

PROHIBITED EQUIPMENT – Grant funds may not be used for purchase of Prohibited Equipment. Refer to IB 407 “Use of Grant Funds for Controlled Equipment” for a complete Prohibited Equipment List. IB 407 will be on the MEMA finance page under HSGP for your use. As well, refer to the March 2017 Maine Emergency Management Agency “Sub-Recipient Finance Guidebook” Section 7 for detailed Allowed and Unauthorized Expenses. Of particular note, no riot equipment (face shield, batons, uniforms, helmets or shields) will be allowed under DHS/FEMA grants despite being on the controlled equipment list.

4. **Training and Exercising:** Eligible training courses are listed in the Emergency Management Institute FY2017 Training Catalog, found at: <https://www.firstrespondertraining.gov/frt/npcatalog/EMI>

Per DHS/FEMA Grants Program Directorate Policy FP 207-008-064-1, states, counties, tribal and local entities are no longer required to request approval from FEMA for personnel to attend non-DHS FEMA training as long as the training is coordinated with and approved by the State Training Point of Contact (TPOC) – through this grant application. This training will have to fall with the MEMA mission scope, Maine EOP and/or jurisdiction’s Emergency Operations Plan. However, the only exception to this policy is for Countering Violent Extremism courses.

Costs may include the conduct of training/exercise events, overtime for

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participants and/or backfill for other staff covering shifts. Overtime costs must be in accordance with local jurisdiction rules. Instructor fees must be in line with the state-established guidelines. All costs are auditable and must be fully documented.

For training and exercise of Emergency Management Response Teams (EMRTs) such as: Hazmat Regional Response Teams (RRTs) and Decontamination Strike Teams (DSTs), Incident Management Assistance Teams (IMATs), Search and Rescue Teams (SARs), interoperable communications teams (ARES and RACES), and various Community Emergency Response Teams (CERTs, CARTs, Shelter Assistance Teams, etc.), participation of team members should be recorded using the Decisions For Heroes (D4H) online tracking system that has been adopted by MEMA and County EMAs.

5. Emergency Management Response Teams (EMRTs): Annual maintenance and support for various EMRTs that may be organized within a County or Metro Area. Maintenance may include calibration and testing of specialized equipment, replacement or upgrade of worn out items, and ongoing services such as cellular air cards, software license renewals, etc. Support to EMRTs may also include specialized training and exercise for Team members, per MEMA's existing training and exercise policies. EMRTs may include: Regional Response Teams (RRTs), Decontamination Strike Teams (DSTs), Incident Management Assistance Teams (IMATs), interoperable communications teams (ARES, RACES), Search and Rescue teams (SARs), Medical Reserve Corps teams (MRCs) and various Community Emergency Response Teams (CERTs, CARTs, shelter management, etc.).
6. Law Enforcement: A minimum of 25% of Maine's State Homeland Security Grant award will be spent on Law Enforcement Terrorism Protection Activities in order to support Law Enforcement-specific equipment, training and exercise. Investments under this category should have an impact on the applying agency's preparedness, prevention or information-sharing capabilities. The grant allocations document, which accompanies this grant guidance, sets minimum LETPP targets for the Counties and METROS. Sub-recipients may have LETPP projects which exceed those targets, but may not fall short of the targeted minimums.
7. Vehicles: Vehicles may be purchased with HSGP; however, **MEMA will require jurisdictions to pre-approve all vehicle purchase requests** with the Homeland Security Program Manager **prior to submission** of applications. Specifically, these vehicles must align to or support one or more core capabilities and will be sharable through the Emergency Management Assistance Compact (EMAC).

8. Construction. Due to limited funding, the State of Maine **will not allow construction** activities to be funded through HSGP.

D. Procurement Policy and Asset Tracking:

Sub-recipients will follow procurement standards set forth in 2 CFR Part 200.318 “General Procurement Standards”. 2 CFR Part 200.318 can be found at:

http://www.ecfr.gov/cgi-bin/text-idx?SID=94a27a4993dd7e36bc1243c511f54996&mc=true&node=sg2.1.200_1316.sg3&rgn=div7

State purchasing requirements can be found at:

<http://maine.gov/purchases/policies/index.shtml>

Sub-recipients are required to follow federal and state purchasing guidelines, or their own established purchasing rules, if more stringent. The terms and conditions of the grant award Memorandum of Understanding (MOU) have been updated to reflect these requirements as well. Refer to the Sub-Recipient Finance Guidebook for more details.

Further, in accordance with federal requirements (2 CFR Pat 200.313) sub-recipients are required to develop and maintain an inventory of any equipment having a useful life of more than one year and a per-item value of more than \$5,000. The inventory must be submitted to MEMA at least once every two years.

Federal asset tracking requirements, as directed by 2 CFR Part 200.313 can be found at:

http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=94a27a4993dd7e36bc1243c511f54996&mc=true&n=sp2.1.200.d&r=SUBPART&ty=HTML#sg2.1.200_1309.sg2

E. Environmental and Historic Preservation Policy:

The National Environmental Policy Act of 1969 (NEPA) requires that the Federal government examine the proposed impacts of its actions before projecting implementation. This also applies to grant-funded actions. NEPA does not mandate preservation, only informed decision-making.

Grant projects that include any permanent installation of equipment, construction of communications towers or antennae, base radios, repeaters, sirens, security cameras, lighting, access control and fencing, generators, etc. will likely require an Environmental and Historic Preservation (EHP) screening and may possibly require additional environmental impact studies **before** approval to begin spending on the project.

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MEMA will do its best to identify projects which will require EHP review, however all sub-recipients are strongly encouraged to contact MEMA with any questions about EHP and whether their proposed project should go through the screening process. Sub-recipients should incorporate the time required to submit, review, and secure EHP approval into the timeline for grant projects.

FEMA is taking a zero tolerance approach to “after the fact” EHP reviews. Projects that proceed without EHP approval will not be reimbursed by MEMA.

The EHP Screening Form can be found at the MEMA Finance and Administration Website at <http://www.maine.gov/mema/finance/index.shtml>

F. National Incident Management System (NIMS) Requirements:

DHS has published guidance on benchmarks that agencies must achieve in order to be recognized as compliant with NIMS. Such efforts include, but are not limited to:

- Adoption of NIMS by the jurisdiction through Proclamation, Resolve, Ordinance, or other means of local government recognition
- Development and adoption of an Emergency Operations Plan (EOP) for the jurisdiction that meets NIMS criteria
- Training of first responders to the appropriate levels of Incident Command System (ICS) training as outlined in an implementation plan
- Ensuring the inventory and typing of emergency response equipment to national standards (to include Public Works assets)

School Departments/Regional School Units/School Administrative Districts must provide a document signed by the senior administrator of the organization attesting to the organization’s NIMS compliance. The ultimate decision if an educational organization is NIMS compliant rests with the County EMA for County/Local organizations and with MEMA for state-level organizations. If an educational organization’s boundaries include jurisdictions in multiple counties, the County EMAs involved must work together to determine the organization’s NIMS compliancy status.

Questions regarding NIMS compliance and requirements should be directed to MEMA Training Officer.

G. SARA Title 3 EPCRA Reporting:

To receive grant funds in a jurisdiction, all municipally-owned facilities must be in compliance with SARA Title 3 EPCRA reporting. If a jurisdiction is awarded a grant, no monies will be released to the jurisdiction unless and until that jurisdiction is fully in

compliance with SARA Title 3 EPCRA reporting.

H. Funding Allocations and Deadlines:

Counties and Metropolitan Area applicants must submit their Grant applications using the new MEMA project based application document titled “Maine 2017 HSGP Sub-Recipient Grant Application Form” to MEMA NLT **4:00pm, August 1, 2017** to HSGrants.Maine@maine.gov.

Funding allocations accompany this grant guidance; however, they are available on the MEMA finance web-site at <http://www.maine.gov/mema/finance/>

Under federal grant requirements, MEMA must issue grant award letters and MOUs to sub-recipients within 45 days of the availability of federal funds to the State of Maine. MEMA expects the federal award to be made in September, but NLT September 30, 2017.

Once projects have been approved and awards have been accepted, sub-recipients will have from **September 1, 2017 to August 31, 2020** to complete project activities and request reimbursement from MEMA.

I. Application Process:

MEMA will accept applications from each County Emergency Management Agency on behalf of local communities and partner agencies in their county and from each of the six designated Metropolitan Areas Applicants are strongly encouraged to include all members of the first responder community (Police, Fire, EMS, Hospitals, Public Works, Governmental and School District officials, etc). County EMA directors must determine top priorities and critical needs for their jurisdictions’ application(s).

Equally important is the requirement that these funds must **not supplant the normal budgetary responsibilities of a community.**

No matching funds are required on behalf of local governments to access grant funds. Once an application has been approved, and in keeping with federal accountability and reporting requirements, MEMA will require a signed Memorandum of Understanding (MOU) and Terms and Conditions documentation which accept Homeland Security Grant funding on behalf of the community or agency. Grant dollars cannot be reimbursed to a jurisdiction until the signed/completed MOU and Terms and Conditions Documents are received at MEMA.

Project-Based Application: MEMA has changed its grant application process to a single, project-based application. Applicants are encouraged to contact MEMA for

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guidance on projects and written guidance on the new application will be available on the MEMA Finance and Administration website. As much as possible, sub-recipients should combine similar type activities into single projects, to include Emergency Management Response Teams; however, **MEMA requires that the WMD/HAZMAT teams** are single projects only and not combined with other teams.

J. Audit Requirements:

As required by the Federal Government, the Maine Emergency Management Agency (MEMA) is required to monitor the activities of sub recipients that receive Federal Financial Assistance disbursed by MEMA in any given fiscal year. This may include Homeland Security Grant Program funds, Emergency Management Performance Grant funds, Disaster Public Assistance funds, or any other source of federal funds received by your entity, including funds that do not come from MEMA.

If the jurisdiction has expended over \$750,000 combined for all Federal Financial Assistance during the jurisdiction's fiscal year, a single or program-specific audit is required by federal law. If a the audit is required for the jurisdiction, please provide Maine Emergency Management Agency with a copy of the most recent audit report within 2 weeks of receipt of this notification. If the jurisdiction was not required to file an audit report, please send a copy of the most recent audited financial report.

MEMA is required to track the submission of these reports and follow up on any pertinent findings before dispersing federal funds to grant sub recipients. Not having a copy of the jurisdiction's report may delay the reimbursement of funding until MEMA's records are up to date.

K. Submitting Grant Applications:

County EMAs and Metro Areas should file their grant applications (Maine 2017 HSGP Sub-Recipient Grant Application Form) with MEMA electronically at:
HSGrants.Maine@maine.gov

Metro Areas are also required to forward a copy of their application materials to the County EMA office for their awareness of all projects taking place in the county, to reduce potential for duplication of effort, and to identify opportunities to streamline or partner with other agencies on common initiatives.