



OHIO DEPARTMENT  
OF PUBLIC SAFETY  
EDUCATION • SERVICE • PROTECTION

# Ohio Emergency Management Agency

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## **State Homeland Security Program (SHSP)**



### **FY 2009 State Agency Competitive Award Guidance and Application Package**

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## INTRODUCTION

The Homeland Security Grant Program (HSGP) is comprised of four interconnected grant programs: **State Homeland Security Program (SHSP)**; Urban Areas Security Initiative (UASI); Metropolitan Medical Response System (MMRS); Citizen Corps Program (CCP).

The purpose of this package is to provide state agencies with an overview of the SHSP and the grant guidance and application materials needed to apply for funding under the program. The package outlines both federal and state requirements for implementation of a successful application.

The SHSP is a core homeland security assistance program that provides funds to build capabilities at the state and local levels through planning, equipment, training, and exercise activities and to implement the goals and objectives included in the State Investment Justification, State Homeland Security Strategy and initiatives outlined in the State Preparedness Report. Funding continues to support the four mission areas of homeland security to prevent, protect, respond, and recover, and align with the U.S. Department of Homeland Security's (DHS) National Priorities, National Preparedness Guidelines and 37 Target Capabilities, as they relate to terrorism prevention in Ohio. Amongst these preparedness tools, DHS has built a process that gives DHS, the State of Ohio, and its local jurisdictions a benchmark from which to determine: *How prepared we are now; how prepared we need to be; and how we will prioritize each year to fulfill those capability gaps?*

## CHANGES TO GUIDANCE '09

- ✦ **For FY 2009 SHSP there is a 25% Planning requirement that must be met by all sub-recipients of the grant. For FY09 “Planning activities” have been expanded to include Training and Exercise efforts as well.**
- ✦ **Ohio EMA’s Electronic Grants Management System will be the sole mechanism for management and payment of the successful FY 2009 SHSP State agency grants.**
- ✦ No more than 50% of the agency’s total award can be allocated toward personnel and contractor costs.
- ✦ Applicants will have until February 23, 2010 to submit completed FY09 applications.
- ✦ Application project submissions must align with the State Investment Justification Milestones (as submitted in Ohio’s application to U.S. DHS).
- ✦ If applying for training and exercise activities, Training and Exercise Pre-Approval forms must be submitted.
- ✦ Environmental and Historical Preservation (EHP) Review forms have been updated and must be completed and submitted with projects (as applicable per this guidance).
- ✦ Applicants must comply with financial administrative requirements 44 CFR Part 13 (as previously announced in Ohio EMA Information Bulletin #12)
- ✦ Quarterly reporting will be conducted for all FY09 HSGP sub-grants.

## **PROGRAM SUMMARY**

### **I. HSGP Program Timeline**

The FY09 HSGP was released by DHS for state applications in November 2008. States were directed to develop and submit their respective grant applications on/before March 20, 2009. The application included a FY09 HSGP Investment Justification with reference to Ohio's State Preparedness Report and State Homeland Security Strategy. DHS completed its review of the state applications and announced on June 16, 2009 how much funding each state will receive under the individual FY09 grant programs. DHS issued the state's federal grant award on August 21, 2009.

State Agency FY09 SHSP grant applications must be received/postmarked NLT, February 23, 2010. Applications received after that date/time will not be considered and the associated funds will be re-allocated to other eligible applicants. See "Grant Application" section on how to apply.

The state has set aside \$1,167,435 in FY09 SHSP funding for state agency projects that will support the priorities identified in our FY09 Homeland Security Grant Program Application and Investment Justification. **Funding availability is competitive** and applicants are advised to thoroughly review and follow the application guidelines. Applicants must identify projects that clearly support the state's priorities outlined in the enclosed guidance package; projects outside of this scope are ineligible per federal funding guidelines.

**Applicants must use at least 25 percent of their total FY09 SHSP allocation toward strengthening preparedness planning through planning, training and exercise activities.**

**Once applications are received, the Ohio Department of Public Safety will conduct reviews and issue notice of awards to successful applicants no later than March 25, 2010.** If the application and budget worksheets are not approved at this point the award agreement will be sent out with the special condition that funds can not be encumbered and/or drawn down until the application and accompanying budget worksheets are approved. **The last date to meet this special condition is April 26, 2010.** At this time, if the application and budget worksheets are not approved your funds will be de-obligated and re-allocated.

### **II. State Investment Strategy and Funding Priorities**

The SHSP is an important part of Ohio's larger, coordinated effort to strengthen homeland security preparedness. The SHSP will implement objectives addressed in Ohio's FY09 Investment Justification. As the State Administering Agency, the Ohio Emergency Management Agency (EMA) expects our State, local and private partners to be familiar with this state preparedness architecture and to incorporate elements of this architecture into their anti-terrorism planning, operations and capability building efforts.

Based upon ongoing intelligence analysis, capability review and assessment, Ohio will continue to focus available grant funding on risk-based investments. Ohio's FY09 local SHSP investment areas and funding priorities are as follows:

- 1) Expand Interoperable communications throughout Ohio
- 2) Conduct Multi-Agency Local, Regional and State-wide Exercises
- 3) Implement Preparedness Training Initiatives
- 4) Strengthen CBRNE Prevention, Protection, Detection and Response
- 5) Enhance Intelligence Fusion and Information Sharing Capabilities
- 6) Implement the National Infrastructure Protection Program

State and local SHSP applications must align with one or more of the above funding priorities to be eligible for funding. In addition, **at least 25 percent of an applicants FY09 SHSP allocation must be dedicated toward strengthening preparedness planning through planning, training and exercise activities.**

### **III. Eligible Applicants**

Individual state agencies and their respective sections are eligible to apply to Ohio EMA for funding via FY09 SHSP. Individual sections within an agency must not apply separate of its state agency.

Agencies will not include in their application any local, city, applicant, township or other jurisdiction budget needs, only those of the state agency itself.

### **IV. Eligible Program Activities**

FY09 HSGP required Ohio to submit a State Investment Justification. The Investment Justification outlined the initiatives that will be accomplished and thus funded via the FY09 SHSP. DHS approved those Initiatives on August 21, 2009. **As per federal restrictions, no agency applications written outside of the scope identified in the State Investment Justification will be funded via the FY09 HSGP.**

Per these five FY09 SHSP investment areas, **agency project(s) applications must directly align with one or more of the investment areas in the table below.** Later in this application the Project Description Form will ask applicants to describe how their project relates to one or more investment areas and how the project will help local government achieve or participate in an investment milestone identified in the State Investment Justification. The following is a summary of the Investment Justifications submitted by Ohio and approved by DHS.

#### **Investment Area #1**

#### **Expand Interoperable Communications Throughout Ohio**

**Investment Description:** This investment directly supports the communications primary target capability through improving the ability of first responders to communicate across discipline & jurisdictional lines. Across Ohio improvements will be made through equipment, design of new

systems, system interface, the development of plans & procedures for interoperable communications and training. These improvements will follow the strategies of the State's Interoperable Communications Plan.

**Aligning National Priorities:** Expanded Regional Collaboration, Strengthen Communications Capabilities; Strengthen Information Sharing and Collaboration Capabilities;

**Aligning Target Capabilities:** Communications; Emergency Public Safety and Security; Intelligence and Information Sharing and Dissemination; On-Site Incident Management; Responder Safety and Health.

**Milestones:** Please see milestones 1-5 identified on Attachment A of this application package.

## **Investment Area #2**

### **Conduct Multi-Agency Local, Regional and Statewide Exercises**

**Investment Description:** The goal of this investment is to continue funding the State of Ohio's Homeland Security Grant Exercise Program (HSGEP). Key activities of this investment include conducting seminars, drills, & exercises with scenarios focused on strengthening improvised explosive device (IED) attack deterrence, prevention, and protection capabilities, as well as interoperable communications. Based on previous exercise Improvement Plans (IPs), this investment will also assess whether the gaps from previous exercises have been reduced and/or eliminated.

**Aligning National Priorities:** Expanded Regional Collaboration; Implement the NIMS and NRP; Strengthen Communications Capabilities; Strengthen Information Sharing and Collaboration Capabilities

**Aligning Target Capabilities:** Communications; Economic and Community Recovery; Emergency Public Information and Warning; Intelligence and Information Sharing and Dissemination.

**Milestones:** Please see milestones 1-4 identified on Attachment A of this application package.

## **Investment Area #3**

### **Implement Preparedness Training Initiatives**

**Investment Description:** This investment will continue to support the Ohio EMA annual training program providing training to emergency managers, first responders, volunteers and private sector personnel. Specifically this investment will support delivery of FEMA and other federal and state courses that are DHS approved. Initiatives funded by this investment include: Continued funding of partnerships between Ohio EMA and Ohio community colleges and universities to incorporate Ohio EMA training courses into academic programs, bridging the gap between continuing education and academics; institutionalization the Emergency Planning in Ohio course. Conducting eight structural collapse operations courses and one structural collapse technician course and funding local all hazard training programs according to jurisdictional training needs.

**Aligning National Priorities:** Implement the NIMS and NRP; Strengthen Information Sharing and Collaboration Capabilities; Strengthen Planning and Citizen Preparedness Capabilities

**Aligning Target Capabilities:** Emergency Public Safety and Security; Community Preparedness and Participation; Emergency Operations Center Management; On-Site Incident Management; Planning

**Milestones:** Please see milestones 1-3 identified on Attachment A of this application package.

## **Investment Area #4**

### **CBRNE Detection, Response and Decontamination Capabilities**

**Investment Description:** The goal of this investment is to advance Ohio's progress toward strengthening CBRNE response, detection and prevention; this will be accomplished by continuing the build-out of risk-based capabilities as outlined by The National Preparedness Guidelines and Target Capabilities List. It will both reduce the risk of terrorism and increase local, regional and state preparedness through better coordinated and enhanced CBRNE/WMD detection, response and decontamination capabilities, and increased public awareness. Key activities of this investment include completing the build-out of regional explosive device response (bomb) teams, regional collapse search and rescue teams, and regional hazardous materials/WMD response & decontamination capabilities; and filling gaps between local and federal response. This investment will also improve prevention efforts by defining gaps, coordinating current capabilities and developing appropriate local, regional, and state CBRNE detection capabilities.

**Aligning National Priorities:** Expand Regional Collaboration; Strengthen CBRNE Detection, Response, & Decontamination Capabilities; Strengthen Planning and Citizen Preparedness Capabilities

**Aligning Target Capabilities:** Explosive Device Response Operations; CBRNE Detection; Community Preparedness and Participation; Search and Rescue (Land-Based); WMD and Hazardous Materials Response and Decontamination

**Milestones:** Please see milestones 1-5 identified on Attachment A of this application package.

## **Investment Area #5**

### **Enhance Intelligence Fusion and Information Sharing Capabilities**

This investment's goal is to continue strengthening Ohio's vertical and horizontal information sharing and intelligence fusion at the local, UASI, regional, state and federal levels to detect threats and prevent terrorism. The Strategic Analysis Info Center (SAIC) is the collaborative state entity facilitating the intelligence fusion process. The SAIC, UASI Terrorism Early Warning Groups (TEWG), and Regional Intelligence Groups (RIG) work together to integrate local, state, federal, public and private sector stakeholders and provide a neutral environment for collecting, analyzing, and disseminating predictive intelligence. Key activities of the investment include continuing to strengthen information gathering and detection capabilities at the earliest stage in the fusion process and streamlining existing relationships and electronic information

sources to make the flow and analysis of information and actionable intelligence more seamless and real-time.

**Aligning National Priorities:** Expanded Regional Collaboration; Implement the NIPP, Strengthen CBRNE Detection, Response, & Decontamination Capabilities, Strengthen Information Sharing and Collaboration Capabilities

**Aligning Target Capabilities:** Intelligence and Information Sharing and Dissemination, Counter-Terror Investigation and Law Enforcement, Information Gathering and Recognition of Indicators and Warnings, Intelligence Analysis and Production

**Milestones:** Please see milestones 1-2 identified on Attachment A of this application package.

## **Investment Area #6**

### **Implement the National Infrastructure Protection Program**

**Investment Description:** The goal of this investment is to increase Ohio's ability to deter threats, mitigate vulnerabilities, and minimize consequences to the state's largely privately owned and operated, exploitable and interdependent critical infrastructure and key resources (CI/KR). Key activities of this investment will be the deployment of trained experts to visit sites to assess risk through consequence, vulnerability and threat analysis. The risk assessments will serve as the basis for prioritizing CI/KR for funding and the development of protective programs. Ohio understands that CI/KR protection and resiliency must be a collaborative effort among CI/KR managers, first responders and other stakeholders. Ohio has a critical need for CI/KR resiliency in a state with the nation's greatest number of miles of interstate highway, significant rail intersections, an international maritime border, and is in top five states in the nation for production of many agriculture commodities.

**Aligning National Priorities:** Expanded Regional Collaboration; Implement the NIPP

**Aligning Target Capabilities:** Critical Infrastructure Protection; Counter-Terror Investigation and Law Enforcement; Intelligence and Information Sharing and Dissemination; CBRNE Detection; Risk Management.

**Milestones:** Please see milestones 1-2 identified on Attachment A of this application package.

## **V. NIMS Compliance**

To be eligible to receive FY 2009 Federal preparedness funding assistance, applicants must meet NIMS compliance requirements as outlined the form enclosed in this application package.

**Please reference the attached NIMS form guidelines for applicability to State agencies.**

State, Territory, Tribal, and local governments are considered to be in full NIMS compliance if they have adopted and/or implemented the FY05, FY06, FY07 and FY08 compliance activities. Adoption and/or implementation has been self-certified each year by the Governor's office for each State and Territory, which includes Tribal and local governments.

Therefore, the State Agency Director must review and certify below that these FY05, FY06, FY07 and FY08 NIMS training requirements have in fact been implemented to the "good faith effort" standard within the Agency by all disciplines with a response role as noted above.

Evidence of compliance with these requirements must be made available, upon request, to Ohio EMA. Failure to do so may result in suspended or terminated funding.

## **VI. Allowable Program Costs**

The allowable costs under the FY09 SHSP grant are divided into five program categories: Planning, Equipment, Training, Exercises, and Administration. Activities implemented under SHSP must support terrorism preparedness and build or enhance capabilities as they relate to the State Investment Justification.

Many program costs and activities are dual-use in nature, in that they can apply to both terrorism preparedness as well as other hazards. Activities implemented under SHSP can be dual-use in nature, but must **primarily** support terrorism preparedness and build or enhance capabilities as they relate to the State Investment Justification.

### **a) Planning Costs**

**Applicants must use at least 25 percent of their total FY09 SHSP allocation toward strengthening preparedness planning through planning, training and exercise activities.**

Allowable FY09 SHSP planning activities as they pertain to the State Investment Justification:

- Public education & outreach
- Develop and implement homeland security support programs and adopt ongoing DHS National Initiatives
- Develop and enhance plans and protocols
- Develop or conduct assessments
- Establish, enhance, or evaluate Citizen Corps related volunteer programs
- Hiring of full- or part-time staff or contract/consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)
- Conferences to facilitate planning activities
- Materials required to conduct planning activities
- Travel/per diem related to planning activities
- Overtime and backfill costs (IAW operational Cost Guidance)

Planning funds cannot be used for the purpose of hiring public safety (fire, EMS, law enforcement) personnel who will also fulfill traditional public safety duties. **These funds cannot supplant, but can only supplement existing budgets** for these planning activities. In no case is dual compensation allowable.

Upon completion of a given planning project, the agency will submit copies of the completed plans and/or planning tasks that were developed, enhanced, or updated using FY09 SHSP 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.

Further, all publications created with FY09 SHSP 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.”

## **b) Equipment Costs**

FY09 SHSP funds can be used for the acquisition of specialized response equipment from the eligible 21 equipment categories listed in the FY09 Authorized Equipment List (AEL). The AEL is only available online through the Responder Knowledge Base (RKB) website at [www.rkb.us](http://www.rkb.us). NOTE, the AEL is routinely updated and thus must be consulted each time decisions are to be made on what equipment to be purchased. The Agency must consult the AEL in order to develop its Project/Budget application.

*For the FY09 SHSP Federal guidance states that FY09 SHSP funds may be utilized for sustaining costs of equipment purchased with previous fiscal years' SHSP funds through the performance period of the FY 09 SHSP grant.*

Allowable FY09 SHSP equipment purchases can be selected from the following categories (per the AEL) as they pertain to the State Investment Justification:

- Personal Protective Equipment
- Explosive Device Mitigation and Remediation
- CBRNE Operational and Search and Rescue
- Information Technology
- Cyber Security Enhancement
- Interoperable Communications
- Detection Equipment
- Decontamination Equipment
- Medical
- Power Equipment
- CBRNE Reference Materials
- CBRNE Incident Response Vehicles
- Terrorism Incident Prevention
- Physical Security Enhancement
- Inspection and Screening Systems
- Agricultural Terrorism Prevention, Response and Mitigation
- CBRNE Prevention and Response Watercraft
- CBRNE Aviation
- CBRNE Logistical Support
- Intervention Equipment
- Other Authorized Equipment (to include consulting services in support of equipment acquisition; Installation; Leasing of space for equipment storage; Maintenance; Shipping; Sales Tax; Vendor Training and Programming)

Before any equipment item is added to the applicant budget, the applicant 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 applicant 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 applicant must receive approval for the item in writing (email or memorandum) from Ohio EMA's Grants Branch. This clarification must take place prior to any encumbrance or expenditure of funds for the item in question.

The applicant will not consult DHS independent of Ohio EMA on an item's eligibility, which must be coordinated thru Ohio EMA's Preparedness Grants Branch. Equipment item decisions made by Ohio EMA and DHS are not subject to appeal.

Any equipment purchased with grant 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.

### **c) Training Costs**

Allowable training-related costs under this program include the establishment, support, conduct, and attendance of DHS-approved training programs. A listing of DHS-approved course can be found at <https://www.firstrespondertraining.gov/TEI/tei.do?jsessionid=47A707031E0936EF8C478E45708B7B54?a=home>

Training conducted must also be in accordance with the FY09 State Investment Justification. All training activities supported by FY09 SHSP must be pre-approved by the Ohio EMA and applicant must obtain approval in writing (email or memorandum). All training project proposals must be submitted on the Training Pre-Approval Form enclosed in this guidance.

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 Cathy Deck, WMD Training Officer, at 614-889-7168, Phil Johnson, Training Supervisor, at 614-799-3680 or Lisa Jones, Training Officer, at 614-799-3824.

Allowable FY09 SHSP training activities as they pertain to the State Investment Justification include:

- Costs to develop, deliver, and evaluate training, to include costs related to administering the training; planning, scheduling, facilities, materials, and supplies, reproduction of materials, and equipment.
- Overtime and backfill costs associated with attendance at DHS sponsored and/or approved training courses and programs.

- Costs associated with the certification and recertification of instructors.
- Travel costs (e.g. airfare, mileage, per diem, hotel) for personnel attending approved training.
- Hiring of full or part-time staff or contractors/consultants. (Full or part time staff may be hired to support training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the local government.)

#### **d) Exercise Costs**

The primary focus of FY09 SHSP exercise funds is to provide for exercise expenses related to the design, development, conduct, and evaluation of exercises that support terrorism preparedness by building or enhancing capabilities that relate to the prevention of, protection from, response to, or recovery from terrorism. However, many capabilities that support terrorism preparedness simultaneously support preparedness for other hazards.

Acceptable scenarios for SHSP exercises include chemical, biological, radiological, nuclear, explosive (CBRNE), cyber, agricultural, and natural or technological disasters. Exercise scenarios must be catastrophic in scope and size, as defined by the National Response Framework (NRF), with a national impact significant enough to implement the Catastrophic Incident Annex. Exercises must be progressive in nature and conducted via the building block approach.

With FY09 SHSP funding, Ohio EMA will continue to implement a competitive, Regional Homeland Security Grant Exercise Program (HSGEP) separate from the local allocations listed in section four of this package. Counties will receive information on the FY09 Regional HSGEP and participation separate from this application.

If applicants are interested in conducting a local exercise utilizing their local FY09 SHSP funding, which is separate from the Regional HSGEP, the Exercise Pre-Approval Form, enclosed in this application package should be completed. This form should only be used if the jurisdiction does NOT intend to apply for the competitive, Regional HSGEP. To be eligible, all exercise activities must be compliant with the Homeland Security Exercise and Evaluation Program (HSEEP).

Exercise contractor support will not be available for exercises budgeted for with local funds. However, exercises conducted under the Regional HSGEP will have exercise contractor support available. Jurisdictions developing exercises without exercise contractor support must have at least two (2) members on their jurisdiction's exercise planning team that have completed the FEMA Exercise Design and Evaluation Course and the HSEEP Training Course. All consultants/contractors, including their support staff (e.g., exercise planners, controllers, facilitators) that are utilized to develop, conduct, or evaluate exercises must have completed the FEMA Exercise Design and Evaluation Course and the HSEEP Training Course, as well as have a strong working knowledge of the National Exercise Schedule (NEXS) and Corrective Action Program (CAP) systems. A scope of work and contract detailing the job duties and deliverables for all consultants/contractors must be provided and approved by the Ohio EMA Exercise Program Manager prior to finalizing any consultant/contractor agreements or contracts. Failure to abide with this process may result in the denial of exercise funds.

To budget local SHSP funds for exercise activities, the applicant must agree to adhere to the following guidelines during the grant period:

1. All exercise activities funded under the auspices of this sub-grant must comply with the US Department of Homeland Security's Homeland Security Exercise and Evaluation Program (HSEEP) and the State of Ohio's Terrorism/Multi-Hazard Exercise and Evaluation Manual (EEM). HSEEP materials are available via the Internet at <https://hseep.dhs.gov>. Programmatic information requests should be directed to the Ohio EMA Exercise Program Manager at (614) 799-3660. Requests for the State of Ohio's Terrorism/Multi-Hazard EEM should be made to this number as well. Questions should be directed to the Ohio EMA Exercise Staff.
2. For exercises that are being combined for joint exercise credit, the exercises must include a specific CBRNE hazard and not cross the boundaries between different hazards (i.e. biological and chemical). They must also be of similar type (i.e. the combining of a tabletop and a functional exercise is not permitted).
3. Per the FY 2009 Investment Justification that was submitted to the US Department of Homeland Security (DHS), the primary scope of the Regional HSGEP will be functional exercises taking place in the jurisdiction's emergency operations center (EOC). These functional exercises will subsequently be followed by tabletop exercises that will validate changes and plan revisions as a result of the functional EOC exercises. Applicants allocating local exercise funds are encouraged to follow this same process but are not required to do so. However, any exercises that are conducted must follow a building block approach.
4. Exercise planning must begin 2-4 months in advance of the projected exercise date for tabletop exercises (TTXs), 4-8 months in advance of the projected exercise date for functional exercises (FEs) and 8-12 months in advance of the projected exercise date for full-scale exercises (FSEs). It is imperative for a representative from Ohio EMA to be present at the Initial Planning Conference (IPC) for each exercise to ensure uniformity in the exercise design process.
5. The Ohio EMA Exercise Program Manager must approve all planning conference and exercise dates.
6. Ohio EMA Exercise Staff must approve the exercise scenario and objectives.
7. Each TTX must have a Situation Manual (SitMan) and a PowerPoint presentation developed in accordance with the applicable HSEEP and State of Ohio format. All materials must be submitted to Ohio EMA's Exercise Section at least 30 days in advance of the exercise.
8. Each FE and FSE must have, in addition to the scenario, an Exercise Plan (ExPlan), Controller and Evaluator (C/E) Handbook and a complete Master Scenario Events List (MSEL) developed. These documents, as well as the scenario, must be developed according to the HSEEP and State of Ohio formats and provided to Ohio EMA no later than 30 days in advance of the exercise.

9. The State of Ohio Terrorism/Multi-Hazard EEM will be the sole basis for the evaluation of exercises conducted under this sub-grant.
10. Once an exercise is completed, an initial draft of the After Action Report/Improvement Plan (AAR/IP) must be submitted to the Ohio EMA Exercise Program Manager no later than (NLT) 30 days after the conduct of the exercise. A final copy must be provided to the Ohio EMA Exercise Program Manager within 60 days after the conduct of the exercise. To ensure uniformity, AAR/IP templates will be provided by Ohio EMA.
11. As part of the improvement planning process, the applicant will be tasked with reviewing the AAR/IP recommendations and developing a Corrective Action/Improvement Action for each recommendation, identifying the Responsible Party/Agency for coordinating the implementation of that Corrective Action/Improvement Action, as well as a tentative Completion Date. This task is accomplished at the After Action Conference (AAC), which should be conducted 6-7 weeks after the exercise. Once the AAC is conducted, the final AAR/IP must be submitted for final approval to the Ohio EMA Exercise Program Manager. This AAR/IP process must be completed within 60 days after the conduct of the exercise.
12. Copies of all final versions of the exercise scenario, SitMans, PowerPoint presentations, ExPlan, C/E Handbook, the MSEL, evaluation forms, AARs/IPs, sign-in sheets, etc. must be provided to the Ohio EMA Exercise Program Manager and are not proprietary to any applicant, jurisdiction, sub-grantee or contractor(s).
13. As previously mentioned, proposed exercise dates must be coordinated and approved by the Ohio EMA Exercise Program Manager to avoid scheduling conflicts. This scheduling process will be conducted at the Training and Exercise Planning Workshop (TEPW) that will take place in the March-April 2010 time frame. Attendance at the TEPW is mandatory. No exercise funds may be encumbered or spent, nor exercise planning started, prior to attending the TEPW.
14. To be eligible for funding, all exercises and projected exercises must be listed in the State of Ohio's Multi-Year Training and Exercise Plan (TEP).
15. All exercises must be entered in the National Exercise Schedule (NEXS). The responsibility for entering the information, including planning conference and exercise dates, contact information, participating agencies, etc. will be the responsibility of the local exercise planning team. A training session on the NEXS will be provided as part of the TEPW.
16. The IP from all exercises must be entered into the Corrective Action Program (CAP) System within 10 business days after the submission of the final AAR/IP to Ohio EMA. It is the responsibility of the local exercise planning team to enter their respective IPs into the CAP System. A training session on the CAP System will be provided as part of the TEPW.

17. A final drawdown for exercise expenses will not be processed until the applicant submits the final AAR/IP to Ohio EMA, finalizes the exercise information in the NEXS and enters the IP for the exercise into the CAP System.
18. For exercises conducted utilizing local SHSP allocations, the applicant will be solely responsible for ensuring HSEEP compliance and must maintain documentation for State and Federal programmatic audit purposes (e.g., copies of document reviews, proof of AAR/IP submittals, maintenance of NEXS and CAP System information). The applicant must identify a single point of contact that will coordinate all activities with the Ohio EMA Exercise Program Manager. For exercises conducted through the Regional HSGEP, Ohio EMA will continue to ensure HSEEP compliance by directly monitoring all exercise activities.
19. Should the applicant choose to sub-grant exercise funds (e.g., SHSP, EMPG, UASI, CCP), the applicant sub-granting the funding will be solely responsible for oversight, administration, and auditing to ensure HSEEP compliance. This includes attending all exercise meetings and exercises, as well as reviewing and approving all exercise documentation.

Allowable FY09 SHSP exercise costs as they pertain to the State Investment Justification:

- **Funds Used to Design, Develop, Conduct and Evaluate an Exercise** – Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants** – Full or part-time staff may be hired to support exercise-related activities. Such costs must be included within the funding allowed for program management personnel expenses, which must not exceed 15 percent of the total allocation. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) – whichever is more stringent – must be followed. In no case is dual compensation allowable. As previously noted, all consultants/ contractors, including their support staff (e.g., exercise planners, controllers, facilitators) that are utilized to develop, conduct, or evaluate exercises must have completed the FEMA Exercise Design and Evaluation Course and the HSEEP Training Course, as well as have a strong working knowledge of the National Exercise Schedule (NEXS) and Corrective Action Program (CAP) systems. A scope of work and contract detailing the job duties and deliverables for all consultants/contractors must be provided and approved by the Ohio EMA Exercise Program Manager prior to finalizing any consultant/contractor agreements or contracts.
- **Overtime and Backfill Costs** – Overtime and backfill costs associated with 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.
- **Travel** - For expenses (e.g., airfare, mileage, per diem, lodging) of employees on official business related to the planning and conduct of the exercise project(s).

- **Supplies** - Items that are expended or consumed during the course of the planning or conduct of the exercise project(s) (e.g., copying paper, gloves, tape, moulage kits or supplies, triage tags).
- **Other Items** - Costs would include rental space/locations for exercise planning and conduct, rental of equipment (e.g., portable toilets, tents, PA systems), food, gasoline, exercise signs, badges, etc.

Unauthorized exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles) and emergency response apparatus (e.g., fire trucks, ambulances). The only vehicle cost that is reimbursable is fuel/ gasoline (receipts must be provided).
- Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs).

**All exercise activities supported by FY09 SHSP must be pre-approved by the Ohio EMA. As a reminder, the applicant must attend a mandatory Training and Exercise Plan Workshop (TEPW) to coordinate and schedule their exercise activities and obtain approval in writing (email or memorandum) prior to encumbering any exercise related expenses or beginning any exercise planning activities.** 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)

## e) Administrative Costs

**For the FY09 State Competitive SHSP there are no administrative costs permitted.**

## f) Personnel Costs

As directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412), all personnel and personnel-related costs, including those for intelligence analysts, **are allowed up to 50 percent of SHSP and UASI funding** without time limitation placed on the period of time that such personnel can serve under the grant. These guidelines are not retroactive to previous fiscal years of HSGP funding (see Part IV.E.4 for additional information). This guidance replaces last year's limitations on the 15% personnel cap.

i) **Overtime:** These are expenses incurred by personnel who are performing approved and budgeted FY09 SHSP grant program activities over and above their normal, scheduled work hours or work week. To avoid problems arising from overtime or its related payroll regulations, arrangements to pay these costs must first be coordinated between the Advisory Team and the agencies/departments who expect to incur qualifying overtime costs for their personnel who will incur planning, training, or administrative costs. Budgeting or paying for overtime costs will not result in an increase of full-time employees (FTEs). Overtime payments are allowed only to the extent that:

- The cost was pre-approved by the Advisory Team and is reflected on the Team’s currently approved budget worksheet for planning, training, and/or administration costs;
- The compensation must be reasonable and consistent with that paid for similar work in other activities of local government;
- The payment for such services is in accordance with the policies of the local unit(s) of government; and
- The time and/or services used to accomplish a specific program activity are supported by adequate documentation of the costs.

ii) **Backfill:** 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. Backfill-related overtime only includes the difference between the overtime rate paid and what would have otherwise been paid to the backfilling employee for regular time. Under no circumstances should the entire amount of backfill overtime expense be charged to an award. Neither overtime nor backfill expenses are the result of an increase of Full-Time Equivalent (FTE) employees.

iii) **Hiring:** Agencies/departments who will undertake approved and budgeted FY09 SHSP grant program activities may hire new personnel to complete those tasks. This may also include personnel expenses incurred where new personnel are hired to fulfill functions and duties as a result of existing personnel being reassigned full-time to perform approved and budgeted FY09 SHSP grant program activities. In either case, the hiring of personnel will result in an increase of FTEs, but cannot result in an increase in the number of FTE positions performing normal operational duties.

**Supplanting – Replacing a currently State and/or locally budgeted position with one or more full-time employees or contractors supported in whole or in part with Federal funds is prohibited.**

FY09 SHSP grant funds may not be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities. Grantees are permitted to hire or laterally move existing public safety officers to new positions that support SHSP program activities that are allowable under FY09 SHSP program guidance. In the case of lateral transfers, grant funds may be used to support only those positions that are allowable under FY09 SHSP program guidance; **all non-supplanting rules apply.**

Positions created and/or funded through FY04-FY08 SHSP grants may continue to be supported with FY09 SHSP funding provided that the position is dedicated to the same or similar purposes allowable under applicable grant program guidance.

## **g) Unallowable Costs**

FY09 SHSP funds may not be used for activities unrelated to the completion and implementation of the grant program. Further, equipment grant funds awarded under this program may not be used to reimburse costs for equipment procured prior to or after the award performance period. For equipment or office equipment-related costs, grant funds may not be used for:

- General use software (for basic word processing, graphics, spreadsheets, etc.)
- General use computers and related equipment (used for day-to-day office work not associated with homeland security)
- General use vehicles
- Registration, Insurance, Licensing, and other fees (not otherwise specifically allowed in the AEL)
- Weapons systems and ammunition
- Equipment not in accordance with the FY09 SHSP Authorized Equipment List (AEL).

Grant funds may not supplant previously budgeted funds meant to accomplish the same tasks, activities, purchases, and/or expenses. **Also, grant funds will not be used to pay for Indirect Costs.**

Grant funds may not be used as a source of matching funds for other state or federal grant programs. Additionally, SHSP grant funds may not be transferred to cover costs within the other HSGP grant programs (CCP, LETPP, UASI, or MMRS) or another separate state or federal grant program.

## **VII. Construction/Renovation & NEPA Requirements**

### **a) Construction Activities**

Use of FY09 SHSP funds for construction and renovation is generally prohibited except as outlined below. Such construction and renovation shall be strictly limited and allowable only when it is a necessary component of a security system at critical infrastructure facilities. Construction activities must be in accordance with FY09 IJ #5 “Implement the National Infrastructure Protection Program” and facility eligibility must be coordinated with Ohio Homeland Security. Such construction and renovation shall be strictly limited and allowable only when it is a necessary component of a security system and **must comply with National Environmental Policy Act (NEPA).**

Project construction and renovation not exceeding \$1,000,000.00 is allowable, as deemed necessary by the Executive Director and the National Preparedness Guidelines. These program funds may be used for activities such as:

- Construction and/or renovation to guard facilities.
- Any other construction or renovation efforts that change or expand the footprint of a facility or structure, including security enhancements to improve perimeter security.

**In order for counties to budget for construction and renovation costs under SHSP, the Project narrative must contain:**

- A description of the asset or facility, its location, whether the infrastructure is publicly or privately owned, and a description of the construction or renovation project.
- An outline addressing how the construction or renovation project will address one of the milestones in the FY09 State Investment Justification.
- Consequences of not implementing the construction or renovation project.

Approval of the construction or renovation Project will first be reviewed and evaluated by Ohio EMA. If not acceptable, the Project will be rejected in whole or returned for further clarification. Written approval will be provided by DHS prior to the use of any funds for construction or renovation. The applicant will then be responsible to satisfy all DHS restrictions and requirements applicable to the approved construction and renovation Project. Changes will not be made in the Project without prior approval of Ohio EMA and DHS.

## **b) Non-Construction Activities**

The following actions and improvements are allowable as non-construction activities, as they align with a FY09 State Investment Justification Milestone, but **must still comply** with National Environmental Policy Act (NEPA) and other relevant provisions if required.

- Improved facility lighting
- Fencing
- Closed-circuit television (CCTV) systems
- Motion detection systems
- Barriers, doors, gates and related security enhancements
- Installations involving ground or area disturbance

In addition, the erection of communications towers that are included as a Project under the Interoperable Communications Initiative is allowable, subject to all applicable state, federal and local laws, regulations, and licensing provisions, to include but not limited to NEPA and FCC provisions as applicable.

## **c) NEPA Requirements**

This section provides general guidance to applicants on environmental planning and historic preservation (EHP) requirements for grant funded projects involving communication towers, physical security enhancements, new construction, renovation, and modifications to buildings and structures that are 50 years old or older. This applies to all such projects (regardless of Fiscal Year award) funded by the Homeland Security Grant Program (HSGP), the Infrastructure Protection Program (IPP), and the Emergency Management Performance Grants Program (EMPG). These projects have the potential to affect environmental resources and historic properties through ground disturbance, impact to wetlands, floodplains, coastal zones, and other water resources, alteration of historically-significant properties, and impact to threatened and endangered species and migratory birds. Consequently, FEMA engages in a compliance review process to ensure proposed projects comply with applicable federal EHP laws, regulations, and Executive Orders.

**As many projects qualify for EHP review, the enclosed EHP Form and its required attachments should be included and submitted with the final application package.**

Inadequate project descriptions and/or documentation of the presence of environmental resources and historic properties in a project area may cause significant delays in the timeliness of the review and affect the project's implementation. Failure of the grantee to meet all Federal, State and local EHP requirements, comply with project conditions established during FEMA's EHP review, and/or obtain applicable permits and approvals may result in project delays or the denial of funding.

## **VIII. Grant Application**

### **A) Application Submission**

**The following forms/information with original signature must be mailed to Ohio EMA and must be postmarked by February 23, 2010.**

- 1) Summary of Projects/Costs
- 2) Project Narratives (paragraph explaining project objectives, past funding, etc).
- 3) Contact Information
- 4) NIMS Compliance Information

Forms not postmarked by that date/time will not be guaranteed timely review, approval and/or funding. Forms *must be mailed or hand delivered* to the Ohio EMA Preparedness Grants Branch, 2855 W. Dublin-Granville Rd, Columbus, Ohio, 43235.

For FY 2009 SHSP, all successful grant applications will be managed through the Electronic Grant Management System (EGMS). Successful sub-grantees will have additional information and guidance provided to facilitate access to the system and submission/upload of pertinent information.

Applicants will base their application for FY09 funding on the information presented in this guidance and contained in the following Attachments to the guidance:

- Attachment A, Investment Milestones Reference Guide
- FY09 SHSP Local Grant Application forms

### **B) Application Forms**

#### **1) Summary of Projects/Costs**

This form acts first as a checklist to ensure all forms are complete and attached. It next lists all Projects being submitted for funding and their respective Total Costs. Finally, the applicant's authorized representative will sign and verify the submission of the application.

## 2) Project Narratives

For each project submitted, the applicant must provide a narrative (no form provided, Word/PDF document acceptable) that explains the project. The goal here is not to submit volumes of words, but succinct statements of need and achievable accomplishment. Items that must be included in the narrative for each project includes:

**Project Title:** A short, concise title that simply identifies what is to be accomplished by the project (ie. Upgrade six PSAPs with Cross-banding Radios, or Equip HM Team to Tier 1 Level).

**Project Priority:** It is recognized that Project scopes may change as they are initiated and that agencies are competing for a limited amount of money. As such agencies should identify which project is most important to them.

**Program Category Funding:** Identify the total funding needed by the Project based on the Planning, Equipment, Training, and Exercise categories. For any category, identify the total costs not the individual costs (those will be captured on the Detailed Budget Worksheet after successful application). Also, include if this is a continuation of a previously funded project or a new funding opportunity.

**Summary of capability being built:** The focus of the narrative should address how the project will overcome a defined need based on a target capability. It should provide a simple summary description of the tasks necessary to complete the project.

## 3) Contact Information

For Ohio EMA to complete the official Grant Agreement, the applicant must identify the three individuals who will manage and address any state/federal questions on the status of projects or funding. The Project Manager should be the person who has the day-to-day status of all project tasks and accomplishments. The Financial Officer should be the representative in the agency who will receive the transfer of funds and can address the pay-in/out of funds transferred to the applicant. The Signatory Official is the person who signs the Grant Agreement on behalf of the agency.

## 4) NIMS Compliance

To be eligible to receive FY 2009 Federal preparedness funding assistance, applicants must meet NIMS compliance requirements. State, Territory, Tribal, and local governments are considered to be in full NIMS compliance if they have adopted and/or implemented the FY05, FY06, FY07 and FY08 compliance activities. Adoption and/or implementation has been self-certified each year by the Governor's office for each State and Territory, which includes Tribal and local governments. Therefore, the Agency Director must review and certify that the applicable requirements for FY05, FY06, FY07 and FY08 NIMS requirements have in fact been implemented to the "good faith effort" standard within the agency by all personnel that have or may have a response role during a State-wide event natural or human made. Evidence of compliance with these requirements must be made available, upon request, to Ohio EMA. Failure to do so may result in suspended or terminated funding. **See the attached NIMS Form for applicability to State agencies.**

## C) “Project” Overview

A Project is a specific accomplishment of a task such as the purchase of equipment or completion of training that fulfills a clearly defined capability gap/need at the local or regional level, and in accordance with the FY09 State Investment Justification. One Project may contain the various elements of Planning, Equipment, Training, and Administration as necessary to complete the Project.

The applicant grant application will consist of one or more Projects designed to directly support the State’s FY09 Homeland Security Strategy. Counties are not required to complete a Project for each Investment Area. Instead, the applicant may complete multiple Projects for multiple Investments or only one Project within a single Investment, as it correlates with one or more of that Investment’s Milestones.

Regional projects (two or more counties) are encouraged to be funded directly from the local SHSP funds based on the common needs/gaps of the counties within a given region. How the regional need is funded depends on the capability being fulfilled and the availability of funds at the local level. For example, if the goal is to fulfill a specific regional team’s need (ie. SAR or Hazmat), the host applicant of that team could/should submit one Project to support that team. Additionally, the other counties supporting that team could also submit and fund similar Projects for that team. In this case, each applicant shares in the cost of equipping or training that team. If the regional goal is to fulfill a common capability of all counties within a given region (ie. all EOCs will use a common software), then the individual counties will identify that same project in their respective applications and fund their respective costs accordingly.

## IX. Grant Application Processing

**Ohio EMA will issue signed/completed grant agreements within 30 calendar days of receiving local grant applications and/or having final budgets approved and on file with Ohio EMA.**

## X. Grant Performance Period

The performance period for they FY09 SHSP is **August 1, 2009 - April 30, 2012**. **All equipment must be received and installed as well as the final cash draw-downs must be submitted by the end of the performance period.** No funds may be spent on activities or costs that occur outside of the defined grant performance period.

Any FY09 SHSP funds not properly spent within the performance will be de-obligated by Ohio EMA for re-obligation to other eligible grant recipients. **There will be no extensions to the grant performance period.**

## XI. 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:

- 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 Advisory Team reasonable notice of its intent to impose any measure and will make efforts to resolve the problem informally.

## **XII. Federal Grant Guidance and Financial Requirements**

Federal FY09 HSGP grant guidance applies and supports the management of FY09 SHSP funds and can be found at [www.fema.gov/grants](http://www.fema.gov/grants). Applicable sections of federal guidance should be consulted and understood by the applicant prior to submitting its application. Failure to adhere to guidance and its general conditions can result in suspended or terminated grant awards as well as the repayment of funds.

In the management of the FY09 SHSP funds, the grant recipient will comply with the guidance outlined here within as well as the federal grant guidance. When state and federal grant guidance conflicts, the state guidance will take precedence unless otherwise stated here within. Clarifications shall be directed to and resolved by the Ohio EMA Preparedness Grants Branch.

Applicants shall comply with all applicable laws, regulations and program guidance. A nonexclusive list of regulations commonly applicable to DHS grants are listed below, including the guidance:

### **a) Administrative Requirements**

1. 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
2. 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A-110)

### **b) Cost Principles**

1. 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)
2. 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21)
3. 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122)
4. Federal Acquisition Regulations (FAR), Part 31.2 Contract Cost Principles and Procedures, Contracts with Commercial Organizations

### **c) Audit Requirements**

1. OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations

### **d) Grant Fund CFDA**

The CFDA number for the FY09 SHSP is **97.067**, as part of the overall FY09 HSGP.

### **e) Freedom of Information**

DHS recognizes that much of the information submitted in the course of applying for funding under this program, or provided in the course of its grant management activities, may be considered law enforcement sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information is subject to requests made pursuant to the Freedom of Information Act, 5. U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis and may likely fall within one or more of the available exemptions under the Act.

Information provided under the Project Descriptions is considered to be a security record and thus is not public record as per Revised Code 149.433. The other application forms and information submitted with this grant application is not and is considered public record. The applicant should consult their respective legal offices for more information on the applicability of RC 149.433.

### **XIII. 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 NLT January 10 and July 10 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.

### **POINTS OF CONTACT**

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

- State Agency, Kathleen Nelson, Grants Administrator  
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)

For **Exercise Program** needs, contact:

- Darren Price, Exercise Program Manager,  
614-799-3660 or via [deprice@dps.state.oh.us](mailto:deprice@dps.state.oh.us)

For **Training Program** needs, contact:

- Phil Johnson, Training Supervisor,  
614-799-3680 or via [prjohnson@dps.state.oh.us](mailto:prjohnson@dps.state.oh.us)
- Cathy Deck, WMD Training Officer,  
614-889-7168 or via [cdeck@dps.state.oh.us](mailto:cdeck@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

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

**APPLICATION FORMS** (see attached for the following)

- a) **Attachment A:** FY09 Investment Justification Milestones Reference Guide
- b) **Grant Application Forms**
  - 1) Summary of Projects/Costs
  - 2) **Project Narratives**
  - 3) Contact Information
  - 4) NIMS Compliance Information

# Attachment A

## Investment Milestones Reference Guide

Per these five FY09 SHSP investment areas, local project applications *must* directly align with one or more of the investment areas as outlined in the table below. Per the Project Description Form (Form 2), applicants *must* describe how a project relates to one or more investment areas and specifically what milestone the project will participate in and help achieve.

### Investment Area #1

#### Expand Interoperable Communications Throughout Ohio

**Investment Description:** This investment directly supports the communications primary target capability through improving the ability of first responders to communicate across discipline & jurisdictional lines. Across Ohio improvements will be made through equipment, design of new systems, system interface, the development of plans & procedures for interoperable communications and training. These improvements will follow the strategies of the State's Interoperable Communications Plan.

**Aligning National Priorities:** Expanded Regional Collaboration, Strengthen Communications Capabilities; Strengthen Information Sharing and Collaboration Capabilities;

**Aligning Target Capabilities:** Communications; Emergency Public Safety and Security; Intelligence and Information Sharing and Dissemination; On-Site Incident Management; Responder Safety and Health.

### Milestones (1-5)

#### □ Milestone 1

Development of a statewide MARCS talk group will be dedicated on the state's MARCS to provide for instant cross-communications among system radio users. Backbone system equipment will be configured to support this capability, end-user radios reprogrammed and procedures on system use developed for all first responders. This talk group will provide a common talk group for all dispatch centers to use in coordinating both day-to-day and emergency communications.

#### □ Milestone 2

Integrate existing MARCS radios into console electronics and extend MARCS into all Ohio dispatch centers. Previously MARCS radios were installed in all applicant Sheriff Offices, applicant EOCs & some other local first responder organizations. These stand-alone radios interface only to the state MARCS. This milestone interfaces a portion of these radios to console electronics of dispatch centers, allowing all console features including cross-patching. Radios on state MARCS network will be installed in dispatch centers lacking capacity to talk on the state interoperable backbone network. These radios will provide centers with interoperable communications to all MARCS radio state & local users. Installation will take place over several years. FY09 HSGP will fund dispatch centers with extra console capability or who are modernizing consoles.

□ **Milestone 3**

Equip incident commanders and key supervisory vehicles with MARCS radios. To establish command level interoperability, the installation of MARCS radios into first responder incident command and key supervisor vehicles will continue. This installation will be driven by applicant and local government desire to join the MARCS command communications capability. Radios will be funded through applicant Homeland Security Grant allocations.

□ **Milestone 4**

Expand existing or develop new systems to be interoperable with neighboring systems. Provisions are underway at the state level & in most Ohio UASI areas to incorporate neighboring systems. Requested funds will help support this system development. Talk group sharing will be employed, cross-system personalities programmed into radios and cross-patching to non-system users employed. Voice and data systems will also be consolidated at the applicant and regional level. Funds will be used to develop/expand local & regional capabilities, support infrastructure development, enhance EOC systems, improve voice, data and other information sharing, and purchase subscriber equipment. Expansion of non-trunked radio systems to accommodate interoperability will take place in areas where trunked radio technology does not exist.

□ **Milestone 5**

Upgrade MARCS to an advanced hardware/software voice & data platform. This will support extra system capacity in both additional fulltime and emergency response system users. This upgrade will be accomplished in phases as state and federal funding will allow. Total project costs are estimated at \$60 Million. Project completion will provide enhanced digital trunked radio system for voice & data communications interoperability.

## **Investment Area #2**

### **Conduct Multi-Agency Local, Regional and Statewide Exercises**

**Investment Description:** The goal of this investment is to continue funding the State of Ohio's Homeland Security Grant Exercise Program (HSGEP). Key activities of this investment include conducting seminars, drills, & exercises with scenarios focused on strengthening improvised explosive device (IED) attack deterrence, prevention, and protection capabilities, as well as interoperable communications. Based on previous exercise Improvement Plans (IPs), this investment will also assess whether the gaps from previous exercises have been reduced and/or eliminated.

**Aligning National Priorities:** Expanded Regional Collaboration; Implement the NIMS and NRP; Strengthen Communications Capabilities; Strengthen Information Sharing and Collaboration Capabilities

**Aligning Target Capabilities:** Communications; Economic and Community Recovery; Emergency Public Information and Warning; Intelligence and Information Sharing and Dissemination.

## **Milestones (1-4)**

### **□ Milestone 1**

Design, develop, conduct, and evaluate 8 regional functional emergency operations center (EOC) exercises with a purpose of enhancing Emergency Operations Center Management capabilities for EOCs in each of Ohio's Homeland Security Regions. Key activities will include:

- (1) Intelligence/ Information Sharing and Dissemination between the participating EOCs,
- (2) Operable and Interoperable Communications between the participating EOCs,
- (3) identifying information sharing and communication strengths and areas for improvement, and
- (4) plan revisions based on the results of the after action reports and improvement plans (AARs/IPs).

### **□ Milestone 2**

Design, develop, conduct, and evaluate 8 regional tabletop exercises that focus on the revisions made to EOC policies and procedures based on the AARs/IPs from the regional EOC exercises conducted in calendar year (CY) 2010.

### **□ Milestone 3**

Enhanced preparedness to respond, and provide support to affected jurisdictions in the aftermath of a catastrophic earthquake in the central United States impacting Ohio and our regional/national partners. This accomplishment will build toward and include participation in National Level Exercise (NLE)-11, which will focus on a catastrophic earthquake along the New Madrid Seismic Zone.

- (1) Conduct a State level tabletop exercise in preparation for NLE-11. The exercise will focus on catastrophic planning based on the projected impact an earthquake along the New Madrid Seismic Zone would have on southwest Ohio, as well as support that Ohio would be able to provide to other States through the Emergency Management Assistance Compact (EMAC).
- (2) Conduct a State-level functional exercise in the State Emergency Operations Center (SEOC) that will focus on the ability of the SEOC to coordinate State-level resources for a catastrophic response as a result of an earthquake along the New Madrid Seismic Zone and the effect it would have on southwest Ohio. The exercise will also provide an opportunity to simulate Ohio providing support to other States through the Emergency Management Assistance Compact (EMAC).

### **□ Milestone 4**

Continuation of the Campus Safety Initiative (CSI) implemented in calendar year (CY) 2008. The initiative consists of exercises for universities throughout the State of Ohio that focus on campus operations prior to, during, and after (recovery phase) a catastrophic on-campus incident.

- (1) Conduct three (3) tabletop exercises for senior campus administrators and their support staff focusing on policy level decision-making.
- (2) Conduct three (3) functional exercises at on-campus EOCs to evaluate their ability to coordinate on-campus activities while being integrated into an incident command structure, as well as how they coordinate and share information with the local and State EOCs.

### **Investment Area #3**

#### **Implement Preparedness Training Initiatives**

**Investment Description:** This investment will continue to support the Ohio EMA annual training program providing training to emergency managers, first responders, volunteers and private sector personnel. Specifically this investment will support delivery of FEMA and other federal and state courses that are DHS approved. Initiatives funded by this investment include: Continued funding of partnerships between Ohio EMA and Ohio community colleges and universities to incorporate Ohio EMA training courses into academic programs, bridging the gap between continuing education and academics; institutionalization the Emergency Planning in Ohio course. Conducting eight structural collapse operations courses and one structural collapse technician course and funding local all hazard training programs according to jurisdictional training needs.

**Aligning National Priorities:** Implement the NIMS and NRP; Strengthen Information Sharing and Collaboration Capabilities; Strengthen Planning and Citizen Preparedness Capabilities

**Aligning Target Capabilities:** Emergency Public Safety and Security; Community Preparedness and Participation; Emergency Operations Center Management; On-Site Incident Management; Planning

#### **Milestones (1-3)**

##### **□ Milestone 1**

Institutionalize Emergency Planning in Ohio Course. The Ohio Revised Code requires each director of an emergency management agency for a political subdivision to pursue a professional development program and Chapter 4501:3-5 Training specifies a number of courses that must be taken and continuing education requirements. One of the key courses in the list is Emergency Planning.

##### **□ Milestone 2**

Delivery of 15 U.S. DHS approved courses and all fees and expenses associated with these deliveries: Includes classroom rental; Instructor and student material; Instructor fees and expenses; Student lodging.

##### **□ Milestone 3**

Delivery of courses through colleges and universities: FY07 SHSP funds were used to fund two pilot deliveries of G362, Multi-hazard Planning for Schools in partnership with community colleges and universities. One delivery was conducted online and in the classroom over a normal quarter. This delivery carried college credit toward an undergraduate certificate. The other delivery was conducted as a traditional adult learning course through the continuing education department of a university. This delivery carried no academic credit. FY07 SHSP funds were also used to conduct two pilot deliveries of the G197 Emergency Planning and Special Needs Populations course through the continuing education department of the university. FY09 SHSP funds will be used to continue the program through July 1, 2012.

## **Investment Area #4**

### **CBRNE Detection, Response and Decontamination Capabilities**

**Investment Description:** The goal of this investment is to advance Ohio’s progress toward strengthening CBRNE response, detection and prevention; this will be accomplished by continuing the build-out of risk-based capabilities as outlined by The National Preparedness Guidelines and Target Capabilities List. It will both reduce the risk of terrorism and increase local, regional and state preparedness through better coordinated and enhanced CBRNE/WMD detection, response and decontamination capabilities, and increased public awareness. Key activities of this investment include completing the build-out of regional explosive device response (bomb) teams, regional collapse search and rescue teams, and regional hazardous materials/WMD response & decontamination capabilities; and filling gaps between local and federal response. This investment will also improve prevention efforts by defining gaps, coordinating current capabilities and developing appropriate local, regional, and state CBRNE detection capabilities.

**Aligning National Priorities:** Expand Regional Collaboration; Strengthen CBRNE Detection, Response, & Decontamination Capabilities; Strengthen Planning and Citizen Preparedness Capabilities

**Aligning Target Capabilities:** Explosive Device Response Operations; CBRNE Detection; Community Preparedness and Participation; Search and Rescue (Land-Based); WMD and Hazardous Materials Response and Decontamination

#### **Milestones (1-5)**

##### **□ Milestone 1**

Complete build-out of accredited bomb squads capable of response to all of Ohio within two hours.

- (1) Type all bomb squads in accordance with federal guidance.
- (2) Identify/fill equipment gaps.
- (3) Complete conversion from standard x-ray to digital x-ray technology.
- (4) Develop coordinated policies, plans & procedures.
- (5) Develop & conduct regional exercises demonstrating regional explosive device response.
- (6) Develop/conduct advanced training for bomb squad personnel.

##### **□ Milestone 2**

Complete build-out of hazardous materials/WMD response capabilities in accordance with the plan developed by the Ohio Response System, ensuring appropriate risk-based hazmat/WMD response throughout Ohio.

- (1) Procure equipment necessary to fill Type I & II capability gaps.
- (2) Develop coordinated, consistent response policies, plans & guidelines.
- (3) Conduct team capability verifications.
- (4) Facilitate inclusion of team typing data into state emergency response dispatching system.
- (5) Develop/conduct regional exercises demonstrating Type I & II response.

### □ Milestone 3

Complete build-out of the local, regional, & state collapse search & rescue capability.

- (1) Update collapse search & rescue equipment lists.
- (2) Evaluate team equipment against updated lists, fill gaps.
- (3) Develop program(s) to make collapse search and rescue & pre-requisite rescue training available statewide.
- (4) Revise structural collapse operations course.
- (5) Develop/conduct regional exercises demonstrating deployment & interoperability of local, regional, & state response assets.

### □ Milestone 4

Develop local, regional & state incident command capabilities to successfully manage all emergency incidents & preplanned (recurring/special) events in accordance with ICS organizational structures, doctrine, & procedures, as defined in NIMS.

- (1) Conduct training, purchase equipment, develop plans/procedures, & conduct exercises to support incident command functions & to attain/maintain statewide NIMS compliance.
- (2) Develop state & regional incident management assistance teams.
- (3) State Type III IMT:
  - a) Develop training plan, including position-specific training for team members,
  - b) Develop IMT response policies & guidelines
  - c) Complete equipment procurement
  - d) Develop/conduct capability awareness campaign.

### □ Milestone 5

Develop coordinated state & local CBRNE detection capability with capability measured against risk.

- (1) Establish a technical advisory committee consisting of all stakeholders to initiate development/coordination of CBRNE detection capabilities.
- (2) Identify current CBRNE detection capabilities & improve coordination.
- (3) Conduct gap analysis & fill training, equipment, & procedural gaps.
- (4) Develop/conduct exercises to evaluate capability.
- (5) Develop & implement CBRNE public awareness campaign.

## **Investment Area #5**

### **Enhance Intelligence Fusion and Information Sharing Capabilities**

This investment's goal is to continue strengthening Ohio's vertical and horizontal information sharing and intelligence fusion at the local, UASI, regional, state and federal levels to detect threats and prevent terrorism. The Strategic Analysis Info Center (SAIC) is the collaborative state entity facilitating the intelligence fusion process. The SAIC, UASI Terrorism Early Warning Groups (TEWG), and Regional Intelligence Groups (RIG) work together to integrate local, state, federal, public and private sector stakeholders and provide a neutral environment for collecting, analyzing, and disseminating predictive intelligence. Key activities of the investment include continuing to strengthen information gathering and detection capabilities at the earliest stage in the fusion process and streamlining existing relationships and electronic information sources to make the flow and analysis of information and actionable intelligence more seamless and real-time.

**Aligning National Priorities:** Expanded Regional Collaboration; Implement the NIPP, Strengthen CBRNE Detection, Response, & Decontamination Capabilities, Strengthen Information Sharing and Collaboration Capabilities

**Aligning Target Capabilities:** Intelligence and Information Sharing and Dissemination, Counter-Terror Investigation and Law Enforcement, Information Gathering and Recognition of Indicators and Warnings, Intelligence Analysis and Production

□ **Milestone 1**

Establish a committee to make recommendations for development and implementation of statewide electronic information sharing strategic plan. • Complete the strategy leveraging the existing plans of stakeholders. • Complete a NIEM-compliant electronic SAR system aligned with the national SAR effort. • Develop/identify a criminal intelligence database to integrate intelligence from agencies across Ohio in one location for statewide queries. • Implement cyber and physical solutions to integrate existing systems.

□ **Milestone 2**

Provide continuing education for TLOs and train and deploy multi-disciplinary TLOs in every county.) • Hire additional intelligence analysts and purchase new (or expand existing) electronic platforms and equipment to complete co-location and expansion of the SAIC and Central Ohio TEWG • Deploy early identification equipment (biometric identification equipment, license plate readers, etc.) & mobile data equipment to LE agencies and other criminal justice entities. • Integrate GIS, video & acoustic sensor platforms, including public & private surveillance systems, into fusion ctrs & EOCs within bounds of privacy policies. • Regional LE committees will hold planning summits to ensure the continued development, interoperability, & sustainability of programs.

**Investment Area #6**

**Implement the National Infrastructure Protection Program**

**Investment Description:** The goal of this investment is to increase Ohio's ability to deter threats, mitigate vulnerabilities, and minimize consequences to the state's largely privately owned and operated, exploitable and interdependent critical infrastructure and key resources (CI/KR). Key activities of this investment will be the deployment of trained experts to visit sites to assess risk through consequence, vulnerability and threat analysis. The risk assessments will serve as the basis for prioritizing CI/KR for funding and the development of protective programs. Ohio understands that CI/KR protection and resiliency must be a collaborative effort among CI/KR managers, first responders and other stakeholders. Ohio has a critical need for CI/KR resiliency in a state with the nation's greatest number of miles of interstate highway, significant rail intersections, an international maritime border, and is in top five states in the nation for production of many agriculture commodities.

**Aligning National Priorities:** Expanded Regional Collaboration; Implement the NIPP

**Aligning Target Capabilities:** Critical Infrastructure Protection; Counter-Terror Investigation and Law Enforcement; Intelligence and Information Sharing and Dissemination; CBRNE Detection; Risk Management.

## **Milestones (1-2)**

### **□ Milestone 1**

Work with state, local, federal, and private sector partners to enter risk assessments, vulnerability assessments, emergency preparedness plans, and emergency response plans for an additional 400 CI/KR sites into C/ACAMS.

- (1) Train 200 people to be certified in the use of the C/ACAMS program to input infrastructure asset data.
- (2) Following the assessment team model established to complete IAVs at state buildings, provide team training to individuals throughout the state with sector-specific expertise in the Agriculture, Cyber and Transportation Sectors, so they can be called upon to assist with IAVs at the local level.
- (3) Acquire necessary personnel, equipment and electronic platforms to support C/ACAMS data collection and entry statewide.

### **□ Milestone 2**

State and local government will provide options for consideration from C/ACAMS and other appropriate assistance to private and public sector partners for development of programs to secure CI/KR

- (1) Foster cross-sector partnerships with public and private industry to continue to identify security goals and address interdependencies for critical infrastructure sectors in Ohio.
- (2) Work with sector partners to complete CI/KR Sector-Specific Plans for Ohio.
- (3) Create criteria for a state-specific Tier I & II list of Ohio CI/KR & support data calls for the national Tier I and II lists.
- (4) Conduct 200 Initial Asset Visits and provide options for consideration to improve security.
- (5) Provide security equipment and resources to agencies and businesses through programs such as the Buffer Zone Protection Program (BZPP).
- (6) Hold annual exercises with private & public sector partners to test security programs.

*Note on CI Sites in your Applicant if applying for a construction project:*

Upon request, the Ohio Department of Public Safety's Division of Homeland Security (OHS) Office of Infrastructure Protection will provide information on critical infrastructure and key resources (CI/KR) to agencies in support of their SHSP funding decisions. All of the CI/KR identified will meet state-specific criteria as high level assets and most likely were included in nomination as candidates for the national highest level of criticality.

Once the applicant has reviewed the list, the applicant will be asked to provide detailed descriptions of the criticality of the assets and systems nominated to receive funding. These descriptions should include specific regional, state, or local impacts that the disruption or destruction of these assets would have on your area of operations. OHS will then be able to assist in support of the eligibility of your sites for assistance and funding.

## FY 2009 State Homeland Security Program

**Application Deadline, post-marked by: February 23, 2010**

**Application Checklist, completed:**

- 1. *This form.* FY09 State Homeland Security Program (SHSP) Summary of Projects/Costs
- 2. Project Narratives
- 3. Contact Information Sheet
- 4. NIMS Compliance Information

**Reminder:** Eligible Projects must directly support specific State Investment Justification Milestones.

### FY09 SHSP Summary of Projects/Costs

**Applicant:** \_\_\_\_\_

**Award Amount:** \$ \_\_\_\_\_

	Project Title(s) <small>(shown in order of priority)</small>	Investment Justification Supported	Funding Budget
1.			\$
2.			\$
3.			\$
4.			\$
5.			\$
6.			\$
7.			\$
8.			\$
9.			\$
10.			\$
--.	Grant Administration (limited to 3% of grant award)		\$
<b>Total Funding (must equal Award Amount):</b>			\$

Grant Signatory Official (signature)

Date

\_\_\_\_\_

\_\_\_\_\_

# Contact Information

Date:

<b>Applicant:</b>	
<b>Tax ID#:</b>	
<b>Point of Contact Information</b> <i>Identify the Grant Project Manager, Jurisdiction's Financial Officer, and Signatory Official.</i>	
<b>Grant Project Manager</b> <i>(Individual who will operationally manage and answer questions on the day-to-day project accomplishments.)</i>	
<b>Name/Title</b>	
<b>Department</b>	
<b>Address</b> (Street, City, Zip)	
<b>Telephone</b>	
<b>Fax</b>	
<b>Email</b>	
<b>Financial Officer</b> <i>(Individual from Auditor/Treasurer's office authorized to provide/share information on financial records.)</i>	
<b>Name/Title</b>	
<b>Department</b>	
<b>Address</b> (Street, City, Zip)	
<b>Telephone</b>	
<b>Fax</b>	
<b>Email</b>	
<b>Signatory Official</b> <i>- Not required for initial State Agency Application</i>	
<b>Name/Title</b>	
<b>Department</b>	
<b>Address</b> (Street, City, Zip)	
<b>Telephone</b>	
<b>Fax</b>	
<b>Email</b>	
<i>If during the grant period any changes are made to the above information, a revised Contact Information form MUST be provided to the Ohio EMA within 5 business days of the change. If change is for the Signatory official, an official letter from the Jurisdiction announcing the change must accompany the form</i>	

## NIMS Compliance Information

<b>Applicant:</b>	
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To be eligible to receive FY 2009 Federal preparedness funding assistance, applicants must meet NIMS compliance requirements. State, Territory, Tribal, and local governments are considered to be in full NIMS compliance if they have adopted and/or implemented the FY05, FY06, FY07 and FY08 compliance activities. Adoption and/or implementation has been self-certified each year by the Governor's office for each State and Territory, which includes Tribal and local governments. Ohio Revised Code 5502.28(c) designates NIMS and its incident response management component, the Incident Command System (ICS), as the primary response/recovery framework for all jurisdictions in the state.

Therefore, the Applicant's Director must review and certify below that these FY05, FY06, FY07 and FY08 NIMS requirements have in fact been implemented to the "good faith effort" standard within the Agency by all disciplines receiving direct benefit as a result of FY05, FY06, FY07 and FY08 SHSP expenditures and likely to receive direct benefit as a result of FY09 SHSP expenditures. Evidence of compliance with these requirements must be made available, upon request, to Ohio EMA. Failure to do so may result in suspended or terminated funding.

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Please check one:

- The Applicant is one of the 17 state agencies, commissions, divisions, or departments required to complete a National Incident Management System Compliance Assistance Support Tool (NIMSCAST). The Applicant's NIMSCAST is complete and any open corrective action plans are being addressed.
- The Applicant is not required to complete a National Incident Management System Compliance Assistance Support Tool (NIMSCAST). The Applicant has established a training program that ensures the requisite NIMS/ICS training (see *explanation of specific requirements, below*) for personnel who will potentially represent the Applicant during incidents in the State Emergency Operations Center (SEOC). The Applicant also has established the necessary policies and procedures to execute any responsibilities assigned in the State Emergency Operations Plan.

**The Applicant hereby certifies that the tasks necessary to address implementation of NIMS requirements in accordance with FY08 NIMS guidance have been accomplished, and as such the Applicant has satisfied the NIMS compliance conditions that are a prerequisite to receipt of FY09 grant funds.**

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Grant Signatory (signature)

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Date

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The NIMS/ICS training guidelines in the Ohio NIMS Implementation Guidance (available at <http://ema.ohio.gov/NimsGuidance.aspx>) require that State Emergency Operations Center (SEOC) staff complete the following courses for NIMS compliance:

**IS-700 NIMS: An Introduction**

**IS-800 National Response Plan (NRP): An Introduction**

**IS-100 Introduction to the Incident Command System (ICS)** or equivalent

**IS-200 Basic ICS** or equivalent; and

**ICS 300 Intermediate ICS** (not available as independent study, classroom only)

In cases where these same personnel also fill ICS Command or General Staff positions for their own agency, **ICS 400 Advanced ICS** is a requirement. Otherwise, **ICS 400** is simply recommended for anyone with essential incident management and coordination roles.

Two additional optional online courses pertinent to staffing an EOC include:

**IS-701 Multi-Agency Coordination Systems (MACS)**; and

**IS-703 NIMS Resource Management**

Although these two courses are not required for NIMS compliance, they provide a useful overview of both multi-agency coordination and resource management principles in the NIMS context. They are available through the FEMA Independent Study online system.

Finally, any EOC participants are encouraged to take advantage of **OpsCenter** training provided by the Readiness and Response Branch of Ohio EMA. **OpsCenter** is the current EOC software used to manage situational information and resource tracking for incidents and exercises.

Due to inevitable employee turnover, and the potential need for multiple shifts in a long-term response, each lead and support agency/organization should consider training the number of personnel necessary to support the EOC in a large-scale incident, including a pandemic.

NIMS and ICS independent study courses can be accessed online at <http://training.fema.gov/IS/crslist.asp>. Information about availability of Intermediate and Advanced ICS courses can be directed to the Ohio EMA Training Section at (614) 799-3680. Requests for OpsCenter training can be directed to the Ohio EMA Readiness and Response Branch at (614) 799-3692.

Additional guidance available at <http://ema.ohio.gov/NimsGuidance.aspx> and <http://www.fema.gov/emergency/nims/index.shtm>.