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Public Safety Interoperable Communications Grant Program

Program Guidance and Application Kit

NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION

FEDERAL EMERGENCY MANAGEMENT AGENCY
NATIONAL PREPAREDNESS DIRECTORATE

Foreword

The Deficit Reduction Act of 2005, as amended directed the National Telecommunications and Information Administration (NTIA), in consultation with the Department of Homeland Security (DHS), to establish and implement a $1 billion grant program to assist public safety agencies in the acquisition of, deployment of, or training for the use of interoperable communications systems that utilize – or enable interoperability with communications systems that can utilize – reallocated public safety spectrum for radio communications. The Call Home Act of 2006 subsequently directed NTIA to make the grant awards by September 30, 2007.

The Public Safety Interoperable Communications (PSIC) Grant Program has been designed to complement other federal interoperable communications grant programs and to minimize the paperwork and administrative burden on public safety agencies participating in the program. NTIA has consulted closely with DHS's Federal Emergency Management Agency (FEMA) National Preparedness Directorate (NPD) in the development and implementation of the PSIC Grant program, using its grant-related administrative services and interoperability expertise. DHS will serve as the familiar grant program interface with applicants.

NTIA is responsible for the development of the domestic and international telecommunications and information policy for the Executive branch. NTIA's policy, spectrum management, and research programs support emerging technologies and efficient use of spectrum resources for affordable alternative communications services. More than $2.9 billion of homeland security funding awarded to State and local public safety agencies since fiscal year 2003 has been directed toward enhancing their communications capabilities. The PSIC Grant Program offers a unique opportunity to combine the technical expertise of NTIA with the grant management capabilities of DHS to advance public safety interoperable communications nationwide. In this role, NTIA is honored to offer the PSIC Grant Program and looks forward to working with the Nation's first responders to enhance interoperable communications.

This Grant Guidance has been revised as of August 16, 2007, pursuant to Section 2201 of Pub. L. No. 110-53, the Implementing Recommendations of the 9/11 Commission Act of 2007.

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I. Program Description

The PSIC Grant Program is a one-time formula-based, matching grant program intended to enhance interoperable communications with respect to voice, data, and/or video signals. PSIC provides public safety agencies with the opportunity to achieve meaningful and measurable improvements to the state of public safety communications interoperability through the full and efficient use of all telecommunications resources.

This package provides the formal grant guidance and application materials needed to apply for funding under the PSIC Grant Program, including the PSIC funding allocations, eligibility criteria, detailed application requirements, and application review information.

The eligible applicants for this grant program are the 56 States and Territories. Application for the PSIC grant funds will require submitting the following three items: (1) application, (2) Statewide Communications Interoperability Plan (Statewide Plan), and (3) Investment Justifications for projects selected by the States and Territories for PSIC funding.

- **Applications:** The applications are due August 22, 2007. On or before that date, applicants are required to submit the Application for Federal Assistance Forms (Standard Form 424 [SF-424]) and sub-forms listed in Section IV.A, a brief narrative on the process for choosing proposals, an agreement to meet the non-federal match requirements and, if applicable, a budget for the five (5) percent of funds available to assist with the development of Statewide Plans. The brief narrative is an information collection subject to the Paperwork Reduction Act. This information is required under Standard Form 424 and is approved under OMB control number 0348-0043. Standard Form 424 can be accessed at http://apply07.grants.gov/apply//FormLinks?family=15.
- **Statewide Communications Interoperability Plans:** The Statewide Plans are due no later than December 3, 2007. The States and Territories are expected to develop Statewide Plans, pursuant to Section I.C.5 of the 2006 Homeland Security Grant Program Guidance and Application Kit, and consistent with SAFECOM criteria. Each Statewide Plan is subject to DHS approval. As it relates to PSIC grant funding, specific PSIC Statewide Plan Criteria are further defined in Section IV.B.
- **Investment Justifications:** Investment Justifications are also due on December 3, 2007. Investment Justifications detail how projects selected for funding will advance the goals and objectives of the PSIC Grant Program and fill the gaps identified in the Statewide Plan. The Investment Justification is an information collection subject to the Paperwork Reduction Act. This information is required under Standard Form 424A and is approved under OMB control number 0348-0044. Standard Form 424A can be accessed at http://apply07.grants.gov/apply//FormLinks?family=15.

A. PROGRAM FUNDING GOALS

The PSIC Grant Program will assist public safety agencies in the planning and coordination associated with, acquisition of, deployment of, or training for the use of interoperable communications equipment, software and systems that:

- utilize reallocated public safety spectrum for radio communication [1];
- enable interoperability with communications systems that can utilize reallocated public safety spectrum for communication; or
- otherwise improve or advance the interoperability of public safety communications systems that utilize other public safety spectrum bands.

NTIA is seeking solutions from public safety agencies that (1) achieve meaningful and measurable improvements in the state of interoperability for public safety communications and (2) fill interoperability gaps identified in the Statewide Plans.

NTIA recognizes that many solutions exist to achieve interoperability, and the PSIC Grant Program will not dictate a specific technology solution for public safety agencies. However, NTIA has identified the following technology and all hazards mitigation priorities that States and Territories must consider when selecting projects for PSIC funding:

- Technology
    - Adopt advanced technological solutions
    - Improve spectrum efficiency
    - Use cost-effective measures
- All Hazards Mitigation
    - Improve communications in areas at high risk for natural disasters
    - Continue to improve interoperability efforts in urban and metropolitan areas at high risk for threats of terrorism
    - Pre-position or secure interoperable communications in advance for immediate deployment in an emergency or major disaster

<u>Technology</u>

NTIA encourages applicants to be forward-thinking in the use of technology and to focus on spectrum-efficient and cost-effective technology solutions. NTIA recognizes that these are not mutually exclusive concepts and asks States and Territories to give weight to projects that best address these priorities in combination. Regardless of technology, projects should emphasize regional/consolidated equipment Investments. This can be accomplished in a variety of ways, including without limitation, documented P25-compliant dual-mode or digital land mobile radio trunked systems, patches and gateways which link public safety radio systems to other systems, and innovative approaches which leverage IP-based or point-to-point software-based solutions. In any

[1] For purposes of this program, the term ”reallocated public safety spectrum” will mean the band of spectrum located at 764-776 megahertz and 794-806 megahertz, inclusive.

case, projects should deliver capabilities that approach the functional equivalent of a common standards-based shared system.

Adopt advanced technological solutions. Advanced technological solutions are fundamental to enhancement of interoperable communications. The PSIC Grant Program encourages the use of forward-thinking technologies and solutions to achieve interoperability. Although all proposed interoperability solutions will be considered for funding, NTIA encourages proposals with a focus on advanced, next generation, and proven technology solutions to meet the applicant's interoperability needs.[2] Some examples of innovative solutions include (but are not limited to) the use of voice or radio internet protocol; broadband voice, data, or video applications; mobile public safety networks; multi-band/multi-mode software designed radios; network interconnect technologies; or satellite communication systems.

Improve spectrum efficiency. As a steward of effective use of spectrum as a finite public resource, NTIA, through the PSIC Grant Program, must consider spectrum efficiency in evaluating grants under this program. The definition of spectrum efficiency varies across technology platforms and among applications. For the purpose of the PSIC Grant Program, a spectrum-efficient solution is considered to be one which consumes the least amount of spectrum to accomplish the mission effectively within the budget, management plan, schedule, use and other constraints.

Use cost-effective measures. When evaluating the array of interoperability solutions, applicants should calculate the costs and benefits of the proposed project. As a part of this calculation, applicants should consider how projects will fit into the broader network of existing and ongoing Federal, State and local communications systems Investments. For the purposes of this grant program, a cost-effective measure is one that provides the most benefit to the greatest number of users for the proposed cost. One objective is to evaluate the cost-benefit measure and consider the use of solutions that provide the most benefit (i.e., data, voice, and/or video) for the least cost per user.

All Hazards Mitigation

NTIA recognizes the need for public safety agencies to be able to respond quickly to emergency situations regardless of their source or cause, particularly areas vulnerable to catastrophic natural disasters and areas at high risk for threats of terrorism. NTIA is seeking projects that best fill the interoperability gaps identified in the Statewide Plans in a way that supports capabilities across all hazards. NTIA expects States and Territories to prioritize their needs on the basis of risk and to select a slate of projects that addresses both natural disaster and terrorism risks, where applicable.

Improve interoperable communications in areas at high risk for natural disasters. Public safety agencies and their communications systems are usually pushed to the limit when a catastrophic natural disaster strikes. Hurricanes, earthquakes, tornadoes,

[2] Advanced technology solutions should be proven, and not be a test bed or a proof of concept. States and Territories should rely on national level programs and standards where applicable.

and other comparably devastating events are examples of the kinds of catastrophes that significantly impact people and property, and often require large, coordinated response efforts. Failure to interoperate during these kinds of events threatens the safety of first responders and interferes with their principal purpose to protect the safety of life, health, and property. Therefore, the PSIC Grant Program will consider proposed Investment(s) that address interoperability gaps in areas at high risk for natural disasters. These areas should be self-identified by States and Territories.

Continue to improve interoperability efforts in urban and metropolitan areas at high risk for threats of terrorism. DHS has worked to improve tactical interoperable communications within urban and metropolitan areas, which are at high risk of terrorism. Recently, 75 urban and metropolitan areas worked to develop Tactical Interoperable Communications Plans (TICP), tested the plans through exercises, and assessed the results through the development of After Action Reports and Tactical Interoperable Communications Scorecards. The PSIC Grant Program will continue to improve these plans and close identified gaps in order to address regional and statewide communications goals.

Pre-position or secure interoperable communications in advance for immediate deployment in an emergency or major disaster**.** Establishing a strategic technology reserve to pre-position or secure interoperable communications in advance for immediate deployment is a valuable approach for all-hazards mitigation. The PSIC Grant Program will consider funding projects that are capable of re-establishing communications when existing critical infrastructure is damaged or destroyed in an emergency or major disaster.

B. LIMITATION ON PROJECT SCOPE

The PSIC Grant Program will provide funding to qualified State and Territory applicants to acquire and enhance interoperable communications systems for public safety agencies. Each PSIC Investment is expected to include a range of activities that support project development, implementation, and evaluation. The intent of the statute that created the PSIC Grant Program is to fund interoperability projects across the country. Proposals submitted need to address solutions that include multiple agencies and multiple jurisdictions. **For these reasons, PSIC will NOT support projects whose purpose falls into the categories discussed below.**

1. **Single-Agency Projects.** PSIC ***will not*** support projects whose emphasis is on the internal communications needs of a single agency, even if the agency has a considerable number of offices or users in different cities or regions of the State/Territory. Investments should include multiple agencies and/or multiple disciplines.

2. **Single Jurisdiction.** PSIC ***will not*** support an interoperability project that only serves a single jurisdiction. Investment Justifications should be multi-

jurisdictional and/or regional in scope, as supported by the Fiscal Year (FY) 2007 SAFECOM Grant Guidance.[3]

C. AUTHORITY (PUB. L. NO. 109-171, AS AMENDED, AND PUB. L. NO. 109-459)

NTIA issues this *Announcement* pursuant to Section 3006 of the Deficit Reduction Act of 2005, Pub. L. No. 109-171, as amended by Section 2201 of Pub. L. No. 110-53, and Section 4 of the Call Home Act of 2006, Pub. L. No. 109-459.

[3] The Fiscal Year (FY) 2007 SAFECOM Grant Guidance is available at: www.safecomprogram.gov/SAFECOM/grant/default.

II. Award/Funding Information

A. ALLOCATIONS BASED ON FORMULA

The PSIC Grant Program will provide $968,385,000 to assist public safety agencies to improve the state of the Nation's interoperable communications. Though neither the authorizing statute nor its legislative history specify how funds are to be distributed, NTIA, in consultation with DHS, has determined that the program should, to the extent possible, establish a baseline level of interoperability in each State and Territory across the country. To that end, the funds are allocated using a two-part process. First, each State, the District of Columbia and Puerto Rico will receive a minimum of $3 million and each Territory will receive a minimum of $500,000 to ensure that it will be able to make meaningful improvements to its interoperable communications capabilities.

The remaining funds – more than 80 percent – are allocated to States and Territories using a formula similar to the current Homeland Security Grant Program (HSGP) risk formula, this formula is the product of three variables: threat, vulnerability and consequence. Vulnerability and consequence variables are an all-hazards construction in that they account for the relative severity of the effects of a disaster, regardless of the type of disaster considered. These variables also incorporate such factors as the population of an area, its economic output, the presence of nationally critical infrastructure, and national security concerns. The threat variable is based exclusively on terrorism threats. Recognizing the all-hazards nature and impact of the interoperable communications capability, the PSIC allocation formula weighs the threat variable at 10 percent and the combined vulnerability and consequence variables at 90 percent. In doing so, it affirms that all States and Territories are susceptible to a variety of different types of disasters, man-made, natural, intentional and accidental, all of which may require an interoperable communications capability.

The table below identifies available PSIC funding for each State and Territory:

State/Territory	PSIC Funding	STR Funding
Alabama	$ 13,585,399	$ 1,052,169
Alaska	$ 7,250,345	$ 561,529
American Samoa	$ 691,948	$ 53,590
Arizona	$ 17,713,050	$ 1,371,850
Arkansas	$ 11,169,402	$ 865,054
California	$ 94,034,510	$ 7,282,835
Colorado	$ 14,336,638	$ 1,110,352

State/Territory	PSIC Funding	STR Funding
Connecticut	$ 12,999,879	$ 1,006,822
Delaware	$ 8,196,842	$ 634,833
District of Columbia	$ 11,857,972	$ 918,383
Florida	$ 42,888,266	$ 3,321,633
Georgia	$ 25,311,354	$ 1,960,327
Guam	$ 2,600,678	$ 201,419
Hawaii	$ 8,069,879	$ 625,000
Idaho	$ 7,289,795	$ 564,584
Illinois	$ 36,414,263	$ 2,820,231
Indiana	$ 18,291,735	$ 1,416,668
Iowa	$ 10,935,974	$ 846,975
Kansas	$ 10,667,169	$ 826,157
Kentucky	$ 15,405,625	$ 1,193,143
Louisiana	$ 19,672,287	$ 1,523,590
Maine	$ 7,567,579	$ 586,098
Maryland	$ 22,934,593	$ 1,776,251
Massachusetts	$ 21,191,988	$ 1,641,288
Michigan	$ 25,039,781	$ 1,939,294
Minnesota	$ 14,262,071	$ 1,104,577
Mississippi	$ 10,989,345	$ 851,109
Missouri	$ 17,465,576	$ 1,352,683
Montana	$ 6,549,685	$ 507,263
Nebraska	$ 8,582,108	$ 664,672
Nevada	$ 12,042,417	$ 932,668
New Hampshire	$ 5,966,760	$ 462,117
New Jersey	$ 30,806,646	$ 2,385,930
New Mexico	$ 8,288,725	$ 641,950
New York	$ 60,734,783	$ 4,703,820
North Carolina	$ 22,130,199	$ 1,713,952
North Dakota	$ 7,052,490	$ 546,205
Northern Mariana Islands	$ 719,236	$ 55,704
Ohio	$ 29,377,337	$ 2,275,232
Oklahoma	$ 11,684,183	$ 904,923
Oregon	$ 12,182,532	$ 943,519
Pennsylvania	$ 34,190,555	$ 2,648,008
Puerto Rico	$ 9,590,025	$ 742,733
Rhode Island	$ 7,365,694	$ 570,462

State/Territory	PSIC Funding	STR Funding
South Carolina	$ 13,499,308	$ 1,045,502
South Dakota	$ 6,549,691	$ 507,264
Tennessee	$ 17,540,752	$ 1,358,506
Texas	$ 65,069,247	$ 5,039,518
U.S. Virgin Islands	$ 856,907	$ 66,366
Utah	$ 10,353,261	$ 801,845
Vermont	$ 4,476,761	$ 346,719
Virginia	$ 25,012,521	$ 1,937,183
Washington	$ 19,180,347	$ 1,485,490
West Virginia	$ 8,429,484	$ 652,851
Wisconsin	$ 15,367,216	$ 1,190,168
Wyoming	$ 5,952,187	$ 460,988
Total	**$ 968,385,000**	**$ 75,000,002**

Table 1 - PSIC State/Territory Allocation

Pursuant to Section 2201 of Pub. L. No. 110-53, States and Territories will be required to establish and implement a strategic technology reserve (STR) to pre-position or secure interoperable communications in advance for immediate deployment in an emergency situation or major disaster. The PSIC Grant Program has apportioned a total of $75 million for STR Funding. Each State or Territory has been allocated a presumptive funding amount proportionate to its total allocation under the program.

To be considered for PSIC funding, the STR must be capable of re-establishing communications when existing critical infrastructure is damaged or destroyed in an emergency or a major disaster. STR projects should include the following:

- appropriate current, widely-used equipment, such as Land Mobile Radio Systems, cellular telephones and satellite-enabled equipment (and related communications service), Cells-On-Wheels, Cells-On-Light Trucks, or other self-contained mobile cell sites that can be towed, backup batteries, generators, fuel, and computers;
- equipment on hand for the Governor of each State, key emergency response officials, and appropriate State or local personnel;
- contracts (including pre-negotiated contracts) for rapid delivery of the most current technology available from commercial sources; and
- arrangements for training to ensure the personnel are familiar with the operation of the equipment and devices to be delivered pursuant to such contracts.

States and Territories should ensure that they submit Investment Justifications reflecting a project that includes at least the presumptive funding amount to establish and implement a strategic technology reserve (STR) to pre-position or secure interoperable communications in advance for immediate deployment in an emergency situation or

major disaster. If a State or Territory is not submitting an Investment for the STR, it must submit a detailed written explanation with its Investment Justification that demonstrates that it has already implemented such a STR or that other funded project proposals represent a higher priority for public safety communications. Upon a finding by the Assistant Secretary that the State or Territory has met the demonstration requirement, it may use the presumptive funding amount for other approved PSIC projects.

As practicable, States may develop a multi-State project to establish and implement a strategic technology reserve to pre-position or secure interoperable communications. Details on how these projects should be incorporated into each State's Investment Justification will follow in Section IV.C.

B. FUNDING AVAILABILITY

Under this grant program, $968,385,000 is made available in grant awards. Funds and assistance granted through the PSIC Grant Program will be consistent with the existing FY 2007 SAFECOM Grant Guidance.

Up to 5 percent of the total State/Territory allocation can be used by the applicants to complete its Statewide Plan to ensure that the PSIC criteria are incorporated in the Statewide Plans. Funds designated for this purpose will be made available upon award. This percentage (up to 5 percent) is considered part of the State's 20 percent of non-pass-through funds, as described later in Section III.B. The funds can only be spent at the state level for developing the Statewide Communications Interoperability Plans, although the funds are expected to be used to support local involvement and participation in statewide planning efforts. More information on the PSIC criteria is available in Section IV.B.

Release of the remaining PSIC award amount, less the Statewide planning funds, are subject to successful completion and approval of Statewide Plans and Investment Justifications. See Section IV for the submission requirements and Section V for review information. Upon approval of both the Statewide Plan and Investment Justifications, the remaining PSIC funds will be released to grantees.

C. PROJECT/AWARD PERIOD

The project period begins on October 1, 2007 and ends on September 30, 2010. **All funds must be expended by September 30, 2010**.[4] Given the statutory deadline for the program, **no extensions can be granted for this PSIC Grant Program**.

States and Territories have the option to use up to 5 percent of their total allocation to assist in the development of the Statewide Plans, as those plans relate to the PSIC requirements described in detail in Section IV.B. Pre-award costs, incurred on or after April 1, 2007 and associated with the development of the Statewide Plan in relation to

[4] All funds must be expended, not obligated, meaning that all PSIC funds must be spent by the eligible applicant for PSIC-related activities by September 30, 2010.

the PSIC requirements, can be reimbursed under this grant program.[5] Section IV.A further details the brief narrative, which is required for a State or Territory to use the up to 5 percent of planning costs. The other approximately 95 percent of funds can be applied to costs incurred from the date of the approved Statewide Plan and Investment Justifications.

D. DEOBLIGATION OF UNEXPENDED FUNDS

All PSIC grants funds that are not expended by September 30, 2010 must be remitted by the grantee to NTIA, which will deobligate the funds and return them to the U.S. Treasury.

[5] Pre-award costs and match requirement associated with the Statewide Communications Interoperability Plans can be incurred as of April 1, 2007 (after the March 21-23, 2007 National Governors Association Conference in which PSIC requirements for Statewide Plans were released).

III. Eligibility Information

A. ELIGIBLE APPLICANTS

The PSIC grant will be awarded to the 56 States and Territories. The Governor of each State and Territory has designated a State Administrative Agency (SAA), which can apply for and administer the funds under the PSIC Grant Program. The SAA is the only agency eligible to apply for PSIC funds. The SAA is responsible for the management and administration of all funds provided through this award and is accountable for all the deadlines, requirements, and limitations of this award. The SAA is responsible for obligating PSIC funds to eligible pass-through recipients, as well as for overseeing and monitoring the activity of these sub-recipients. A recipient must be a public safety agency that is a State, local, or tribal government entity or nongovernmental organization authorized by such entity, whose sole or principal purpose is to protect safety of life, health, or property. [6]

B. MATCH REQUIREMENTS

Each public safety agency receiving PSIC funds is required to meet and document the 20 percent statutory match requirement for each project, during the period of performance of the grant program.[7] The SAA is required to track and report the 20 percent match requirement for each individual project that receives PSIC funds for efforts other than planning and coordination, and training, which do not require any match. This documentation must demonstrate that match funds are from non-federal sources. The match requirements can be met through cash or in-kind sources consistent with 15 C.F.R. §§ 24.3, 24.24.

As provided in 48 U.S.C. § 1469a, the requirement for local matching funds under $200,000 (including in-kind contributions) is waived for the Territorial governments in Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands.

Applicants are exempt from the 20 percent match for all pre-award costs related to the Statewide Plans.

Training activities can make up no more than 20 percent of a State or Territory's total federal allocation.[8]

Each STR project will be considered an individual Investment and subject to the above cost sharing requirements.

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[6] See Pub. L. No. 109-171, § 3006(d)(1), 120 Stat. at 24 (2006). As defined in the OMB Circular A-87, local government means a "county, municipality, city, township, local public authority, school district, special district, intrastate district, council of governments (whether or not incorporated as a non-profit corporation under State law) any other regional or interstate government entity, or any agency or instrumentality of a local government."

[7] See Pub. L. No. 109-171, § 3006(c), 120 Stat. at 24 (providing "[i]n order to obtain a grant under the grant program, a public safety agency shall agree to provide, from non-Federal sources, not less than 20 percent of the costs of acquiring and deploying the interoperable communications systems funded under the grant program").

[8] The training category and requirements include any interoperable communications-specific exercises and drills.

C. PASS-THROUGH REQUIREMENTS (MOU REQUIREMENTS)

To be eligible to receive PSIC funding assistance from the SAA, a public safety agency must be a State, local, or tribal government entity or authorized nongovernmental organization.[9] Each State will make no less than 80 percent of the total award amount available as a pass-through to such local or tribal government or authorized nongovernmental public safety agencies. The District of Columbia has no pass-through requirement. For Puerto Rico, the pass-through requirement is 50 percent of total award amount. Due to the unique nature of the Territorial governments in Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands, no pass-through requirements will be applied to those Territories. However, the above Territories are expected to take into account the needs of local communities prior to making funding decisions.

States with a designated Urban Areas Security Initiative (UASI) Tier 1 Urban Area should ensure that allocations to these areas conform to the presumptive funding amounts listed in the following table. These amounts were determined by the percentage of the State's risk attributed to the Urban Area. Allocation preferences that do not conform to these amounts will require submission of a written justification explaining in detail the reasons for the proposed variance. If a State with a Tier 1 Urban Area does not provide the Urban Area with the designated minimum funding level, a written justification for this variance must be provided, documenting why other geographical areas demonstrated greater need. Any proposed variance from the presumptive funding amounts should also include a record either of concurrence or objection from the local elected executive or executives affected by the variance.

Table 2 - PSIC Tier 1 UASI Allocation

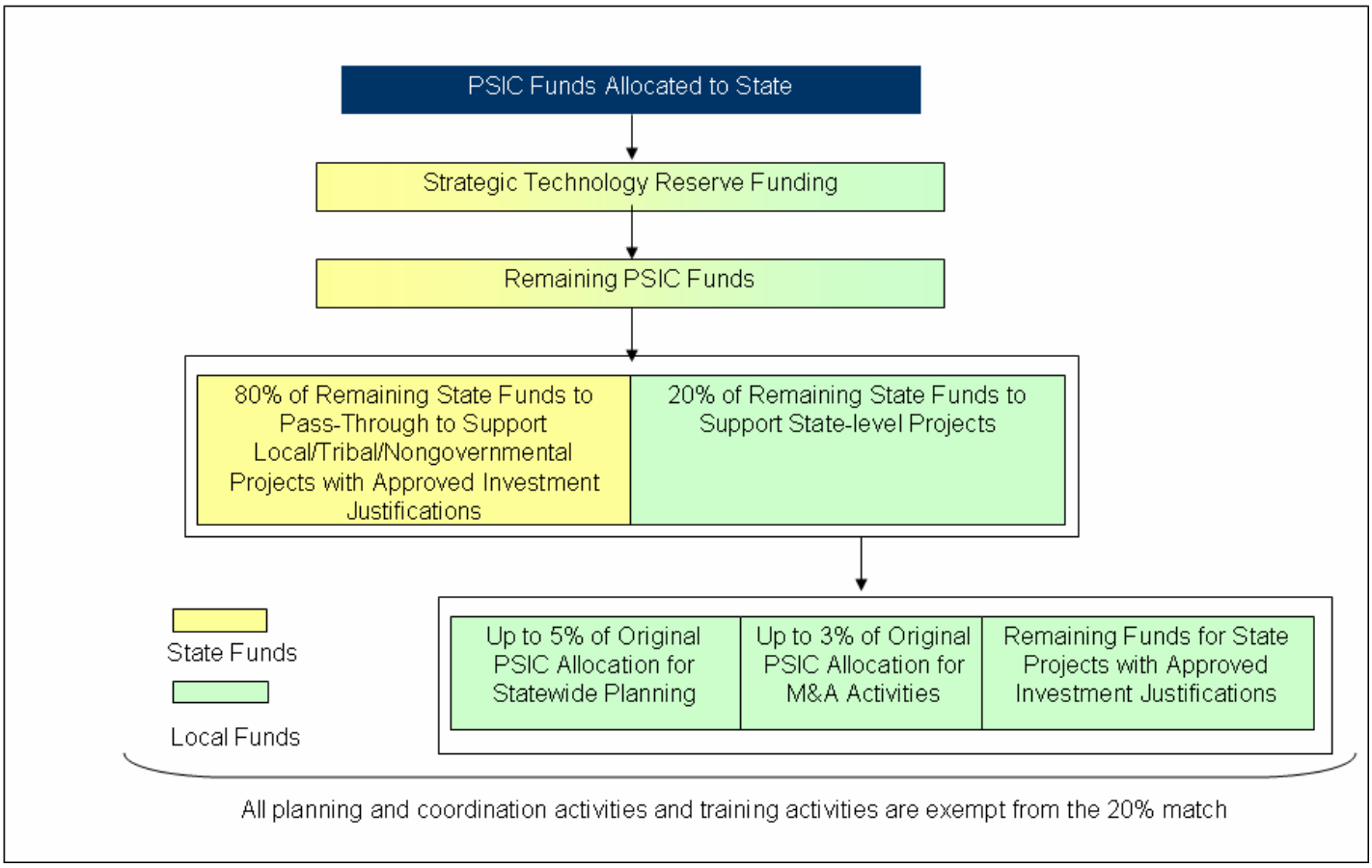
Tier I UASI	Tier I UASI Funding	Total State Funding
Bay Area, CA	$14,528,292	$94,034,510
Chicago Area, IL	$16,195,438	$36,414,263
Houston Area, TX	$14,586,128	$65,069,247
Jersey City/Newark Area, NJ	$17,495,751	$30,806,646
Los Angeles/Long Beach Area, CA	$22,278,788	$94,034,510
National Capital Region[10]	$11,857,972	$11,857,972
New York City Area, NY	$34,812,602	$60,734,783

[9] These public safety agencies may include homeland security, law enforcement, fire, and emergency medical services, among others. For example, such State public safety agencies may include State Highway Patrols, State Health organizations, and State Departments of Public Safety. Authorized nongovernmental organizations may include for-profit ambulance services, volunteer fire fighters, and agencies that are responsible for responding to 911 calls, among others.

[10] This allocation only represents the District of Columbia funding, which may support the National Capital Region Tier 1 Urban Area. In submitting their Investment Justifications, the District of Columbia, Maryland, and Virginia SAAs should consider both State-specific as well as National Capital Region interoperability projects.

Within 60 days of the approval of the Investment Justification(s), a State or Territory must pass-through the 80 percent of PSIC funds to local applicants. Figure 1 below illustrates the delineation of PSIC funds by recipient and by authorized use.

Figure 1 – PSIC Funding Flow Example



NOTE: For the pass-through of funds, each State and Territory may retain some or all of the pass-through for expenditures made by the State and Territory on behalf of the pass-through local entities. This may occur only if requested in writing by the pass-through recipients. States and Territories holding grant funds on behalf of local entities must enter into a formal Memorandum of Understanding (MOU) with the local unit of government, tribal government and/or nongovernmental entities, as applicable. If an MOU is already in place for existing efforts, NTIA will recognize the MOU for FY 2007 through FY 2010. States and Territories must submit these MOUs with the Investment Justifications by December 3, 2007. A final, executable copy of the MOU will be kept on file with the SAA and NTIA.

IV. Application and Submission Information

A. APPLICATION

Step 1: Application

The section below details application and budget narrative information. States and Territories will submit the standard federal assistance forms and a brief narrative as the first step of the funding process.

A.1 – Forms

The following is a list of required application forms for States and Territories to be submitted by the SAA.

- Brief Narrative
- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information
- Standard Form 424B, Assurances
- Standard Form 424D, Assurances (Construction Projects)
- Standard Form LLL, Disclosure of Lobbying Activities
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters
- Certification of non-supplanting

A.1.1 – Brief Narrative

The applicant should complete a brief narrative, including responses to the following:

1. A description of how the SAAs plan to solicit, review, and select Investments from State, local, and Tribal government public safety agencies and authorized nongovernmental organizations;
2. A high-level overview of the planning process and how PSIC criteria is being incorporated into the Statewide Plan; and
3. A description and budget detail of the specific statewide planning activities to be accomplished with the up-to-5 percent of the State or Territory total allocated PSIC funds.

The brief narrative is an information collection subject to the Paperwork Reduction Act. This information is an element required under Standard Form 424 and is approved under OMB control number 0348-0043.

A.1.2 – Standard Form 424, Application for Federal Assistance

Application for Federal Assistance forms (SF-424) can be accessed at http://apply07.grants.gov/apply//FormLinks?family=15. The recipient must complete this application face sheet when submitting the application through grants.gov.

A.1.3 – Standard Form 424A, Budget Information

Budget Information form (SF-424A) can be accessed at http://apply07.grants.gov/apply//FormLinks?family=15. The recipient must complete this form with the requested budget information when submitting the application through grants.gov.

A.1.4 – 424B, Assurances

Assurances forms (SF-424B) can be accessed at http://apply07.grants.gov/apply//FormLinks?family=15. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.

A.1.5 – 424D, Assurances (Construction Projects)

Assurances for Construction Programs (SF-424D) can be accessed at http://apply07.grants.gov/apply//FormLinks?family=15. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. The applicant will be agreeing to these assurances upon submission of the application.

A.1.6 – Standard Form LLL, Disclosure of Lobbying Activities

Disclosure of Lobbying Activities (SF-LLL) can be accessed at http://apply07.grants.gov/apply//FormLinks?family=15. Recipients must file this form for each payment or agreement to make payment to any lobbying entity.

A.1.7 – Certification Regarding Debarment, Suspension, and Other Responsibility Matters

This certification, which is a required component of the on-line application, commits the applicant to comply with the certification requirements under 28 CFR part 67, *Government-wide Debarment and Suspension (Non-procurement);* 28 CFR part 69, *New Restrictions on Lobbying;* and 28 CFR part 83, *Government-wide Requirements for Drug-Free Workplace (Grants)*. All of these can be accessed at: http://csrc.nist.gov/grants/cd511.pdf.

All forms submitted as part of the PSIC application will be treated as a material representation of fact by which NTIA will rely in awarding grants.

A.1.8 – Non-Supplanting Certification

This certification affirms that these grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review, as well as in the pre-award review, post-award monitoring, and any potential audits. Applicants or grantees may be required to supply documentation certifying that a reduction in non-federal, non-matching resources occurred for reasons other than the receipt or expected receipt of federal funds.

A.2 – Administrative Submission Information

To ensure a successful submission, the SAAs **must apply** for PSIC Grant Program funding through the online Grants.gov system through the Authorized Organization Representative (AOR.) Grants.gov, an e-Government initiative, is a "storefront" that provides a unified process for all customers of federal grants to find funding opportunities and apply for funding. If applicants have previously used Grants.gov, the same account may be used for the PSIC Grant Program. States that have not previously submitted an application through Grants.gov are strongly encouraged to initiate the registration process as soon as possible. Instructions are available on the Grants.gov website (www.grants.gov). Please note the Grants.gov technical support hours are Monday-Friday, 7 a.m. to 9 p.m., Eastern Standard Time. For more detail, see http://www.grants.gov/contactus/contactus.jsp. Section IV.D further details the required application materials. Applicants must address the submission requirements below. Failure to properly register and apply for PSIC funds by the deadlines will result in forfeiture of the grant opportunity.

A.2.1 – Valid Central Contractor Registry (CCR) Registration

The PSIC application process also involves an updated and current registration by the SAA and the SAA Business Point of Contact through CCR. ***Eligible applicants must confirm CCR registration at http://www.ccr.gov, as well as apply for PSIC funding through Grants.gov at http://www.grants.gov.***

A.2.2 – DUNS Number

The SAA must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number with the PSIC application. This number is a required field within Grants.gov and for CCR Registration. Organizations should verify that they have a DUNS number or take the steps necessary to obtain one as soon as possible. (Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-800-333-0505).

A.2.3 – Catalog of Federal Domestic Assistance (CFDA) Number

The program title listed in the CFDA is "PSIC Grant Program." The CFDA number is **11.555**. When completing the on-line application, applicants should identify their submissions as new applications.

A.2.4 – Single Point of Contact (SPOC) Review

Executive Order 12372, located at http://www.archives.gov/federal-register/codification/executive-order/12372.html, requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State single point of contact (SPOC), and to notify NTIA if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC or the reason such submission is not required should be provided.

A.3 – Administrative Requirements

Administrative requirements are detailed below.

A.3.1 - Freedom of Information Act (FOIA)

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 under Federal control is subject to requests made pursuant to the Freedom of Information Act (FOIA), 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 fall within one or more of the available exemptions under the Act. The applicant is encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, strategic planning process, and Investment Justifications, the applicant may also consult DHS and NTIA regarding concerns or questions about the release of information under State and local laws. The grantee should be familiar with the regulations governing Protected Critical Infrastructure Information (6 CFR Part 29) and Sensitive Security Information (49 CFR Part 1520), as these designations may provide additional protection to certain classes of homeland security information.

A.3.2 - Compliance with Federal Civil Rights Laws and Regulations

The grantee is required to comply with Federal civil rights laws and regulations. Specifically, the grantee is required to provide assurances as a condition for receipt of Federal funds that its programs and activities comply with the following:

- Title VI of the Civil Rights Act of 1964, as amended, 42. U.S.C. 2000 et. seq. – No person on the grounds of race, color or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance;
- Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794 – No qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance;

- Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et. seq. – Discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance;
- The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq. – No person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity receiving Federal financial assistance.

The grantee must comply with all regulations, guidelines, and standards adopted under the above statutes.

A.3.3 - Services to Limited English Proficient (LEP) Persons

Recipients of Federal financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, please see *http://www.lep.gov.*

A.3.4 - Integrating Individuals with Disabilities into Emergency Planning

Executive Order #13347, entitled "Individuals with Disabilities in Emergency Preparedness" and signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Further information on this issue can be found at the Disability and Emergency Preparedness Resource Center at *http://www.disabilitypreparedness.gov*.

A.4 – Deadlines

Each State and Territory must submit its application and narrative **no later than 11:59 p.m. Eastern Daylight Time on August 22, 2007**. Failure to properly register and apply for PSIC funds by the deadlines will result in forfeiture of the grant opportunity.

A.5 – Application Approvals

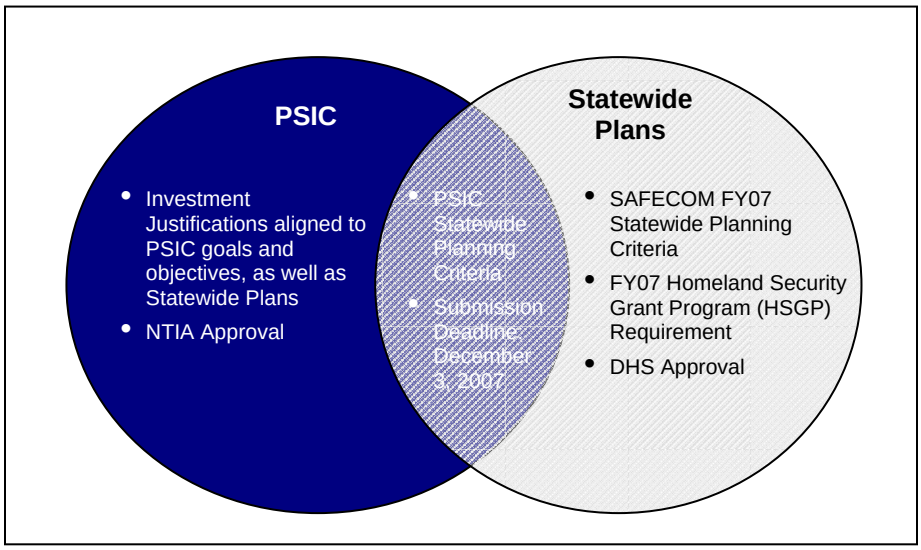
NTIA and DHS program staff will review each application for completeness and adherence to PSIC program rules. Based upon the recommendation of the program staff, the Assistant Secretary for Communications and Information, Department of Commerce, will approve each application.

B. STATEWIDE COMMUNICATIONS INTEROPERABILITY PLAN

Step 2: Statewide Communications Interoperability Plan

The PSIC Grant Program leverages the requirement for States to develop, adopt, and submit Statewide Plans by December 3, 2007, which must address locally-driven interoperable communications capabilities among local and tribal government entities, and authorized nongovernmental organizations. The development and adoption of a Statewide Plan is required by Section I.C.5 of the 2006 Homeland Security Grant Program Guidance and Application Kit. Guidance on the Statewide Communications Interoperability Plans was provided in SAFECOM's Criteria for Statewide Interoperability Strategic Plans. In addition, the criteria encourage States and Territories to address the recommendations provided through the TICP initiative (i.e., After Action Report [AAR], Scorecard). Figure 3 below illustrates the relationship between Statewide Communications Interoperability Plans and the PSIC Grant Program.

Figure 3 - Relationship between Statewide Communications Interoperability Plans and the PSIC Grant Program



The section below details Statewide Communications Interoperability Plan information. States and Territories will submit the plan as part of the second step in obtaining PSIC funds.

B.1 – PSIC Requirements for Statewide Communications Interoperability Plan

The MOU between NTIA and DHS signed on February 16, 2007 identified the Statewide Plans as one of the evaluation factors for the PSIC Grant Program. As such, the Statewide Plans must include the statutory requirements of the PSIC Grant Program, which are listed below:

- Describe how public safety agencies will plan and coordinate, acquire, deploy, and train on interoperable communications equipment, software and systems that (1) utilize reallocated public safety – the public safety spectrum in the 700 MHz frequency band, (2) enable interoperability with communications systems that can utilize reallocated public safety spectrum for radio communications, or (3) otherwise improve or advance the interoperability of public safety communications systems that utilize other public safety spectrum bands;
- Describe how a strategic technology reserve will be established and implemented to pre-position or secure interoperable communications in advance for immediate deployment in an emergency or major disaster;
- Describe how local and tribal government entities' interoperable communications needs have been included in the planning process and how their needs are being addressed, if applicable; and
- Describe how authorized nongovernmental organizations' interoperable communications needs have been included in the planning process and how their needs are being addressed, if applicable.

B.2 – Deadlines

Each State and Territory must submit its final Statewide Communications Interoperability Plan by December 3, 2007, in conjunction with PSIC Investment Justifications, to the NPD Secure Portal. The Secure Portal can be accessed at https://odp.esportals.com.

B.3 – Statewide Plan Approval

DHS will review and approve each Statewide Communications Interoperability Plan using the SAFECOM's Criteria for Statewide Interoperability Strategic Plans. [11] In addition, NTIA will review each Statewide Plan to ensure that States and Territories address the PSIC requirements set forth in Section IV.B.1 above.

[11] The Statewide Interoperability Planning Guidebook outlines these criteria at http://www.safecomprogram.gov/SAFECOM/statewideplanning

C. INVESTMENT JUSTIFICATION

Step 3: Investment Justification

The section below details Investment Justification information. States and Territories will submit Investment Justification(s) as part of the third step in obtaining PSIC funds.

C.1 – Investment Justification Overview

States and Territories will be required to submit an Investment Justification for each proposed PSIC Investment (project). Up to 10 Investment Justifications will be accepted per State or Territory. A portfolio view of all the State's or Territory's Investment Justifications will include a statewide Investment summary. The summary will detail the requirements below:

- Summary of PSIC Investments;
- Summary of how the Investments collectively relate to the statewide strategy/plan;
- Description of the process used to identify, prioritize, and select Investments included in the Investment Justification; and
- Description of the stakeholders involved in the evaluation and selection of proposals.

These Investments should strongly align with the goals and gaps set forth in the Statewide Plan and the PSIC criteria. The statewide Investment summary of a State's or Territory's Investment Justifications must cumulatively account for the total amount of PSIC funding allocated to the State or Territory, not including any funds (up to 5 percent) already dedicated to statewide planning efforts.

Throughout the Investment Justification, the six PSIC objectives should be addressed. The objectives, previously described in Section I.A Program Funding Goals, are listed below:

- Technology
  - Adopt advanced technological solutions
  - Improve spectrum efficiency
  - Use cost-effective measures
- All Hazards Mitigation
  - Improve interoperable communications in areas at high risk for natural disasters

- Continue to improve interoperability efforts in urban and metropolitan areas at high risk for threats of terrorism
- Pre-position or secure interoperable communications in advance for immediate deployment in an emergency or major disaster

It is important to note that each Investment Justification must be a separate and unique project from any efforts currently under way. For example, a State may use its funding to support an existing statewide communications system; however, this funding must be a unique component of this system that does not receive funding from another federal grant program.

States may choose to submit multi-state Investments to establish and implement a strategic technology reserve (STR). States must include proposed multi-state STRs as one of their ten Investments. Each participating state must outline the specific components of the multi-state Investment for which it would be responsible, and include that Investment as part of its Investment Justification. States must note the multi-state Investment in the Investment Heading section of the IJ template and specify the other states involved. Multi-state Investments should be consistent with each state's respective statewide plans and PSIC goals. Multi-state Investment will be reviewed in accordance with the criteria noted in this section.

C.2 – Submission Information

States and Territories are **required** to use the Investment Justification template in Microsoft Excel format for their PSIC Investment Justification submissions. Each Investment Justification will be reviewed by NTIA and DHS for completeness, adherence to programmatic guidelines, feasibility, and how well the proposed solution addresses the identified need or capability shortfall. [12] If submissions do not meet PSIC requirements, they will be returned to the submitting State or Territory and funds will be withheld until the Statewide Communications Interoperability Plan and Investment Justifications meet all PSIC requirements. The Investment Justification is an information collection subject to the Paperwork Reduction Act. This information is required under Standard Form 424A and is approved under OMB control number 0348-0044. Standard Form 424A can be accessed at http://apply07.grants.gov/apply//FormLinks?family=15.

C.3 – Questions and Review Criteria

The following table outlines the Investment Justification sections and questions, as well as the review criteria.[13]

[12] In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop, draft, or help prepare Investment Justifications, specifications, requirements, statements of work, invitation for bids and/or requests for proposals shall be excluded from competing for such procurements.

[13] All grantees must conform to applicable FCC Rules regarding authorized spectrum use and licensing.

Table 2 – Investment Justification Outline

Question	Review Criteria
Investment Heading	
I. Investment Heading ▪ State/Territory name ▪ Investment name (if applicable, include specific reference to areas designated as at high-risk for natural disasters and/or urban or metropolitan area at high risk for threats of terrorism) ▪ Total PSIC funding requested	The information provided will be considered in terms of its contribution to setting context and relationship to other questions
Project Narrative	
II. Project Narrative: Describe the proposed Investment: ▪ Interoperability problem(s) ▪ Proposed solution(s) ▪ Expected outcome(s) ▪ Partners and end users that will be involved ▪ Plan to use or interoperate with the reallocated public safety spectrum or improve or advance the interoperability of public safety communications systems that utilize other public safety spectrum bands ▪ Plans to evaluate the Investment	The information provided will be considered in terms of its contribution to setting context and relationship to other questions
Baseline	
III.A. Baseline – Historical Funding and Request Name: If the Investment has previously been funded or if funding has been requested (e.g. Homeland Security Grant Program, Emergency Management Performance Grants, Infrastructure Protection Program, Assistance to Firefighter Grants, and/or Department of Justice grants such as those from the Office of Community Oriented Policing Services), provide the name of this project and the total amount of funding that was dedicated or proposed to it, if any.	▪ The information provided will be considered in terms of its contribution to setting context and relationship to other questions.

Question	Review Criteria
III.B. Baseline – Description of Need: Provide a summary description of the current state of this Investment, its objectives, and any outcomes that will be completed prior to the application of PSIC funds. Reference should also be made to the PSIC objectives (highlighted in Section I.A Program Funding Goals) addressed by the Investment.	The information provided will be considered in terms of its contribution to setting context and relationship to other questions. Specifically: ▪ Response addresses PSIC objectives ▪ Response describes the nature of the communication problem (e.g., voice and/or data, coverage), its capacity (e.g. number of users, available frequencies), and the capability gap(s) (e.g., gaps identified in Statewide Communications Interoperability Plan) that this Investment is intended to address ▪ Response discusses why this Investment was selected over other options and identify the partners, communities, and end users affected by the Investment ▪ If applicable, response provides information on what has been done with regard to the Investment by the area designated as at risk for natural disasters and/or urban or metropolitan area at high risk for threats of terrorism
III.C. Baseline – Description of Governance Structure and Activities: Provide a summary description of the current state of your governance structure and activities.	The information provided will be considered in terms of its contribution to setting context and relationship to other questions. Specifically: ▪ Reference Interoperability Baseline Survey[14] ▪ Number of public safety agencies which entered into formal interoperability agreements (e.g., MOU) ▪ Existence of a formal/informal interoperability group (e.g., working group) that discusses interoperability issues across the state and/or region ▪ Number of agencies that share formal standard operating procedures (SOPs) for day-to-day, task force, and mutual aid communications interoperability ▪ Number of agencies and types of disciplines and levels of government that are engaged in joint training events

[14] Link to Interoperability Baseline Survey at http://www.safecomprogram.gov/SAFECOM/library/background/1295_2006national.htm

Question	Review Criteria
III.D. Baseline – Stakeholder Involvement: Provide information on the public safety agencies involved in the Investment Justification Process.	▪ Response demonstrates the public safety disciplines engaged in the development and implementation of Investment(s), to include, but not limited to, law enforcement, fire, emergency medical services, emergency managers, transportation, hospitals/public health, tribal government entities, and authorized non-governmental organizations
Strategy	
IV.A. Strategy – Statewide Communications Interoperability Plan objectives: Explain how this Investment supports the State/Territory Statewide Communications Interoperability Plan PSIC criteria.	▪ Response demonstrates how the Investment will support the Statewide Communications Interoperability Plan PSIC criteria (highlighted in Section II B Funding Availability) ▪ If applicable, response explains how solution fits within existing TICP framework
IV.B. Strategy – Technology: Explain how this Investment supports the PSIC technology objectives.	▪ Response addresses the technical feasibility of the proposed Investment ▪ Response addresses how the proposed Investment will consider advanced technologies ▪ Response addresses how the proposed Investment will promote spectrum-efficient solutions ▪ Response explains the degree to which the proposed Investment will work and interoperate with other existing systems and the extent to which the Investment represents a shared system or system-of-systems

Question	Review Criteria
IV.C. Strategy – All Hazards Mitigation: Explain how this Investment supports interoperable communications capabilities to respond to all hazards.	▪ Response addresses how the Investment addresses communications needs with respect to areas designated as at high risk for natural disasters ▪ Response addresses how the Investment addresses communications needs with respect to urban and/or metropolitan areas at high risk for threats of terrorism (e.g., Tier 1 UASI Urban Areas) ▪ If a State with a Tier 1 Urban Area does not provide the Urban Area with the designated minimum funding level, a written justification for this variance must be provided, documenting why other geographical areas demonstrated greater need. Any proposed variance from the presumptive funding amounts should also include a record either of concurrence or objection from the local elected executive. ▪ For STR Investments, response addresses how a strategic technology reserve takes into account the continuing technological evolution of communications technologies and devices, with its risk of obsolescence, the use of prenegotiated contracts and other arrangements for rapid deployment of equipment, supplies, and systems and related communications services, and any barriers to immediate deployment, including time and distance, in the event of an emergency. ▪ If a State or Territory does not submit an Investment Justification reflecting a strategic technology reserve project that includes at least the presumptive funding amount, then a detailed written explanation should be submitted demonstrating that it has already implemented such a strategic technology reserve or that it has a higher priority public safety communications need.
Funding Plan	
V. Funding Plan: Detail the total estimated cost for the Investment throughout the PSIC period of performance (FY 2007 – FY 2010). Describe any other concurrent funding sources that may also support this Investment, including form of cost share. Detailed estimated expenditure plan which credibly demonstrates ability to meet expenditure deadline of September 30, 2010.	▪ Response references appropriate activities, services, or products for the solution area ▪ Response describes how the funds will be used specifically towards this Investment ▪ Response outlines the Investment budget ▪ Response describes the sufficiency of matching funds to support the Investment

Question	Review Criteria
Milestones	
VI. Milestones: Provide specific milestones for the Investment over the PSIC period of performance (FY 2007 – FY 2010), including a description, and start and end dates for each milestone; up to 10 milestones may be provided.	▪ Each milestone provides a clear description of the milestone activities as well as start and end dates ▪ Milestones collectively present a clear sequence of events that will allow the Investment to reach its objectives
Project Management	
VII. Project Management: Describe the management team that is directly responsible for the implementation of this Investment. Specifically, describe any key Investment roles and responsibilities, structures, and subject matter expertise required by this Investment, including at least the project manager and the contracts management structure. An organizational chart may be included in the response.	▪ Response identifies and describes a project manager role, specifically referencing the responsibilities of the project manager position as well as the decision-making authority; if the project manager is the same as in other Investments, the response explains why this is appropriate ▪ Response describes a contracts management structure ▪ Response describes, at a high level, the operational roles, responsibilities, and subject matter expertise required to manage the Investment ▪ Response relates project management responsibilities to those existing within any governance or oversight body identified in the Statewide Communications Interoperability Plan
Investment Challenges	
VIII. Investment Challenges: List and describe up to five potential challenges to effective implementation of this Investment over the entire PSIC period of performance. For each identified challenge, provide a brief description of how the challenge will be mitigated, and indicate a probability of occurrence (high, medium, low), and level of impact should it occur (high, medium, low). Applicants should consider the Investment's technical feasibility as a possible Investment challenge.	Response identifies the following: ▪ Investment challenge(s) ▪ Mitigation strategy for each challenge listed ▪ Probability of occurrence ▪ Level of impact should the challenge occur
Impact	
IX.A. Impact - Outcomes: Describe the outcome(s) that will indicate that this Investment is successful throughout the PSIC period of performance (FY 2007 – FY 2010). The description should include compelling reasons why the Investment will make a difference in the communications capabilities of its stakeholders. Note: Must address how the outcomes will be evaluated.	▪ Response describes specific outcomes that will determine the Investment's success, including what will be measured on both an annual basis and at the Investment completion and a description of the impact these activities will have on improving interoperability ▪ Response describes the community's affected by the Investment, such as the various jurisdictions, regional partners, tribal government entities, etc.

Question	Review Criteria
IX.B. Impact – Cost-effective measures: Describe the cost-effective measures that will indicate that this Investment is successful throughout the PSIC period of performance (FY 2007 – FY 2010).	▪ Response describes cost-effectiveness (e.g., a unit cost measurement, percentage increase of jurisdictions that will successfully implement technology, increase in number of radio users interoperating on communications system, percentage increase of State's or Territory's geographic area with radio coverage, percentage of radio users trained and proficient on interoperability solution) to address the interoperability gaps (identified in III.B. Baseline Description) ▪ Response describes how project will fit into the broader network of existing and ongoing Federal, State and local communications systems Investments.
IX.C. Impact – Sustainability: Describe the long-term approach to sustaining this Investment.	▪ Response describes how the technology and/or services that are acquired, deployed, or trained on will be maintained/sustained long term (e.g., consideration of non-PSIC future funding mechanisms, plans for maintenance and periodic upgrades) ▪ Response describes how the Investment will be maintained/sustained long term, 3-5 years after the PSIC period of performance ends ▪ For STR Investments, response describes how the strategic technology reserve will be sustained beyond the grant period

C.4 – Deadlines

Each State and Territory must submit its PSIC Investment Justification(s) by December 3, 2007. These Investment Justifications are to be submitted in conjunction with final Statewide Communications Interoperability Plans to the NPD Secure Portal. The Secure Portal can be accessed at https://odp.esportals.com.

C.5 – Investment Justification(s) Approval

NTIA and DHS program staff will review the submitted Investment Justification(s) for compliance with PSIC program rule and objectives. Based on the recommendation of peer review groups and NTIA and DHS program staff, the Assistant Secretary for Communications and Information, Department of Commerce, will approve each Investment Justification. If the peer review groups include non-federal employees no consensus advice will be provided by the groups.

V. Application Review Information

Eligible applicants must follow the three steps to apply for PSIC funding: submit application and brief narrative, submit a Statewide Communications Interoperability Plan, and submit Investment Justifications.

A. APPLICATION

The first step includes submitting an application on Grants.gov, which is further explained in Section IV.A. Applications will be approved and PSIC funds will be awarded no later than September 30, 2007.

B. STATEWIDE COMMUNICATIONS INTEROPERABILITY PLAN AND INVESTMENT JUSTIFICATIONS

The second step includes submitting a Statewide Communications Interoperability Plan, which is further explained in Section IV.B. Each State and Territory must submit its final Statewide Communications Interoperability Plan by December 3, 2007. DHS will review and approve Statewide Communications Interoperability Plans using SAFECOM's Criteria for Statewide Interoperability Strategic Plans. In addition to the DHS review, NTIA will be reviewing the Statewide Plans to ensure that States and Territories address the three PSIC Requirements set forth in Section IV.B.1 above.

The third step includes submitting Investment Justification(s), which must be submitted by December 3, 2007 as is further explained in Section IV.C. NTIA and DHS program staff will review the Investment Justification(s), and based upon the recommendations of peer review groups and the program staff, the Investment Justification(s) will be approved by the Assistant Secretary for Communications and Information, Department of Commerce. If the peer review groups include non-federal employees no consensus advice will be provided by the groups.

Only after approval of both a State or Territory's Statewide Communications Interoperability Plan and Investment Justification(s), will remaining PSIC funds be released to the State or Territory.

VI. Award Administrative Information

A. GRANT AWARD

Upon approval of the application, the grant will be awarded to the SAA. This date will be known as the "award date." The signed award document with special conditions must be returned to Department of Homeland Security, Federal Emergency Management Agency, Grants Management Office (GMO), 245 Murray Lane Bldg. 410, Washington, DC 20528-7000. A sample award package is included below.

1. Review Award and Special Conditions Document

Notification of award approval is made by e-mail through the FEMA Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official.
Carefully read the award and any special conditions or other attachments.

If you agree with the terms and conditions, the authorized official should sign and date both the original and the copy of the award document page in Block 19.
You should maintain a copy and return the original signed documents to:

Department of Homeland Security
Federal Emergency Management Agency
Grants Management Office
Attention: Control Desk
245 Murray Lane Bldg. 410
Washington, DC 20528-7000

If you do not agree with the terms and conditions, contact the awarding program manager as noted in the award package.

2. Read Guidelines

Read and become familiar with the *Financial Management Guide,* which is available at 1-866-927-5646 online at *http://www.dhs.gov/xopnbiz/grants/*.

3. Reporting Requirements

Reporting requirements must be met during the life of the grant (refer to the *Financial Management Guide* and the specific program guidance for a full explanation of these requirements, special conditions, and any applicable exceptions). Please note that the *Payment and Reporting System* contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

4. Questions about your award?

Questions regarding your grant the FEMA help line at 1-866-927-5646 or e-mail at ask-OGO@dhs.gov.

B. DRAWDOWN AND EXPENDITURES OF FUNDS

PSIC funding will be awarded by September 30, 2007, as required by the Call Home Act of 2006. Grant recipients will be able to expend a portion (up to 5 percent) of their allocated PSIC funds immediately to support statewide planning efforts related to the direction of Section 3006 of the Deficit Reduction Act, as amended. Specifically, States and Territories can access up to 5 percent of the grant funds for costs incurred since April 1, 2007 for statewide planning efforts to ensure that PSIC requirements are addressed in the Statewide Plans. Special conditions will be placed on the remaining funds until successful completion and approval of the Statewide Communications Interoperability Plans and Investment Justifications due by December 3, 2007, and compliance with the statutory matching fund requirements.

Please note that grantees will only be permitted to draw down PSIC funds in proportion to demonstrated non-federal matching funds consistent with Pub. L. No. 109-171, § 3006(c). See also Section III.B above.

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can draw down and expend grant funds through the Payment and Reporting System. Questions regarding award payments and how to access this system should be addressed to the dedicated FEMA call center at 1-866-927-5646 or email at ask-ogo@dhs.gov.

SAAs should request funds based upon immediate disbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days. Grantees may elect to draw down funds up to 30 days prior to expenditure/disbursement. NTIA strongly encourages recipients to draw down funds as close to expenditure as possible to avoid accruing interest. ***Funds received by grantees must be placed in an interest-bearing account and are subject to the rules outlined in the Uniform Rule 28 CFR Part 66, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments***, at: http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html and the Uniform Rule 28 CFR Part 70, Uniform Administrative Requirements for Grants and Agreements (Including Subawards) with Institutions of Higher Education, Hospitals and other Non-profit Organizations, at: http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html. These guidelines state that entities are required to promptly, but at least quarterly, remit interest earned on advances to:

United States Department of Health and Human Services
Division of Payment Management Services
P.O. Box 6021
Rockville, MD 20852

The subgrantee may keep interest amounts up to $100 per year for administrative expenses for all Federal grants combined. Please consult the *Financial Management Guide* or the applicable OMB Circular for additional guidance. Although advance drawdown requests may be made, State grantees remain subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its implementing regulations at 31 C.F.R. Part 205. Interest under CMIA will accrue from the time Federal funds are credited to a State account until the time the State pays out the funds or transfers the funds to a subgrantee.

***Important Note:* Although advance drawdown requests may be made, State grantees remain subject to the interest requirements of CMIA and its implementing regulations at 31 CFR Part 205. Interest under CMIA will accrue from the time Federal funds are credited to a State account until the time the State pays out the funds for program purposes.**

C. REPORTING REQUIREMENTS

Reporting requirements for all programs included in the PSIC Grant Program will be consolidated into a single reporting system.

C.1 – Financial Status Report (FSR) (Required quarterly)

Obligations and expenditures must be reported on a quarterly basis through the FSR, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, FSR is due on April 30). A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods where no grant activity occurs. ***Fund draw downs will be withheld if these reports are delinquent.***

FSRs **must be filed online** through the Payment and Reporting System.

Grantees are reminded to review the following documents and ensure that grant activities are conducted in accordance with the applicable guidance:

- OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments,* at http://www.whitehouse.gov/omb/circulars/index.html
- OMB Circular A-102, *Grants and Cooperative Agreements with State and Local Governments*, at http://www.whitehouse.gov/omb/circulars/index.html (codified at 15 C.F.R. Part 24)
- OMB Circular A-133, Audits of States, Local Governments, and Non-profit Organizations http://www.whitehouse.gov/omb/circulars/index.html

For additional information on awards, grant and subgrant recipients should refer to the Financial Management Guide. GMO can be contacted at 1-866-927-5646 by e-mail at ask-OGO@dhs.gov.

Required Submission: Financial Status Report (FSR) SF-269a (due quarterly)

C.2 – Biannual Strategy Implementation Reports (BSIR) and Categorical Assistance Progress Report (CAPR)

Following award of a grant, a State or Territory and its subgrantees will be responsible for providing updated obligation and expenditure information on a regular basis. ***The applicable SAAs are responsible for completing and submitting the CAPR/BSIR reports.*** The BSIR submission will satisfy the narrative requirement in Box 12 of the biannual Categorical Assistance Progress Report (CAPR – OJP Form 4587/1). SAAs will still be required to submit the CAPR form with a line in box 12 that reads: See BSIR.

The BSIR and the CAPR are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and on January 30 with a reporting period of July 1 though December 31). Grantees will provide initial overall obligation and expenditure information with the CAPR/BSIR submission due January 30, 2008. Updated obligation and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Web-enabled application for the BSIR submission to grantees and a copy of the CAPR (OJP Form 4587/1) will be provided in the initial award package. ***Future awards and fund drawdowns may be withheld if these reports are delinquent.***

CAPRs **must be filed online** through the Internet at https://grants.ojp.usdoj.gov. Forms and instructions can be found at http://www.ojp.usdoj.gov/forms.htm.

Required Submission: CAPR/BSIR (biannually)

C.3 – Exercise Evaluation and Improvement

Exercises implemented with PSIC grant funds should be performance-based and directly related to the grant activities and the interoperable communications system. Guidance on conducting exercise evaluations and implementing improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement Planning* located at https://hseep.dhs.gov/support/HSEEP%20Volume%20III%20021507%20(Final%20Revision%20February%202007).pdf. Grant recipients must report on scheduled exercises and ensure that an AAR and Improvement Plans are prepared for each exercise conducted with PSIC funds and submitted to DHS within 60 days following completion of the exercise.

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The Improvement Plans outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR. Generally the Improvement Plan, with at least initial action steps, should be included in the final AAR. DHS is establishing a national database to facilitate the

scheduling of exercises, the submission of the AAR/Improvement Plans, and the tracking of Improvement Plan implementation. Guidance on the development of AARs and Improvement Plans is provided in Volume II of the HSEEP manuals.

Required Submissions: AARs and Improvement Plans (as applicable)

C.4 – Financial and Compliance Audit Report

Recipients that expend $500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accountability Office, *Government Auditing Standards*, located at http://www.gao.gov/govaud/ybk01.htm, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at http://www.whitehouse.gov/omb/circulars/a133/a133.html. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Commerce, the Inspector General of the Department of Commerce, and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of PSIC Grant Program assistance for audit and examination purposes, provided that, in the opinion of the Secretary of Commerce, the Inspector General of the Department of Commerce, or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency, the Inspector General, or the Comptroller General, through any authorized representative, access to, and the right to examine, all records, books, papers or documents related to the grant.

The State shall require that subgrantees comply with the audit requirements set forth in *OMB Circular A-133*. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

C.5 – Federal Funding Accountability and Transparency Act

While there is no specific PSIC requirement in FY 2007, the Federal Funding Accountability and Transparency Act of 2006 may affect PSIC reporting requirements in later years. The Act requires the Federal government to create a publicly searchable online database of Federal grant recipients by January 1, 2008, with an expansion to include subgrantee information by January 1, 2009.

C.6 – PSIC Reporting Compliance with Other DHS Grant Programs

The Government Performance and Results Act (GPRA) requires collection and reporting on performance information for federal programs. Specifically for grant programs, the Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national reporting requirements. NTIA and DHS will work with grantees to develop tools and processes to support this requirement.

D. MONITORING

Grant recipients and subrecipients will be monitored by NTIA and DHS program staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets and other related program criteria are being met. Monitoring will be accomplished through a combination of office-based and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, performance and administrative issues relative to each program and will identify areas where technical assistance and other support may be needed. The SAA, as the grantee, is required to maintain complete and appropriate documentation and files to enable sufficient oversight by federal representatives.

The recipient is responsible for monitoring award activities, to include subawards, to provide reasonable assurance that the PSIC award is administered in compliance with requirements. Responsibilities of the SAA, as the recipient grantee, include the tracking of stated goals and milestones of funded projects, and the accounting of receipts and expenditures, cash management, budgetary control, maintaining adequate financial records, and refunding expenditures disallowed by audits. In addition, the SAA is responsible for monitoring sub-recipient/subgrantee awards.

E. GRANT CLOSE-OUT

Within 90 days after the end of the award period, SAAs must submit a final FSR, final CAPR, and final BSIR detailing all accomplishments throughout the project. Upon the review and recommendation of DHS and approved by the Assistant Secretary for Communications and Information, a Grant Adjustment Notice (GAN) will be completed to close out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR.

Required Submissions: 1) Final SF-269a, due 90 days from the end of the grant period; and, 2) Final CAPR/BSIR, due 90 days from the end of the grant period

VII. Allowable and Disallowable Cost Guidance

A. ALLOWABLE COSTS

Based on the Deficit Reduction Act of 2005, as amended, the PSIC Grant Program covers the planning and coordination with, acquisition of, deployment of, and training for the use of interoperable communications systems that use or enable interoperability with communications systems that can use the reallocated public safety spectrum or otherwise improve or advance the interoperability of public safety communications systems that utilize other public safety spectrum bands. There are associated allowable activities that must be completed to successfully implement and use new communications equipment. Such activities must fall within the four broad categories mentioned above and within the governing statutes. These four categories of activities should align with the lanes of the Interoperability Continuum as set forth in the SAFECOM grant guidance (i.e., governance, standard operating procedures, technology, training and exercises, usage) and provide broader context for understanding the complexities associated with technology acquisition, deployment, and training. Figure 4 below illustrates the alignment of PSIC requirements with the Interoperability Continuum. The following sections outline allowable costs within the definitions of planning, acquisition, deployment, training, and management and administration.

Figure 4 – Alignment of PSIC Requirements to Interoperability Continuum

	PLANNING & COORDINATION	ACQUISITION	DEPLOYMENT	TRAINING
Description	Planning and coordination require that adequate technical and financial planning, as well as coordination activities, occur to ensure that interoperable communications systems (e.g., swap radios, gateways, shared systems) being acquired, deployed, or trained on meet the needs of public safety agencies.	Acquisition requires procurement and system design activities occur to ensure that the interoperable communications systems and equipment being acquired meets the needs of public safety agencies.	Deployment requires that communications equipment is built out, deployment procedures are developed for its use, and service level agreements are developed for the interoperable communications equipment.	Training requires that public safety agencies understand how to use the interoperable communications equipment, and that exercises and drills take place to validate the effectiveness of the communications system to ensure efficient and effective interoperable communications is in place.
Continuum Alignment	• Governance • SOPs • Technology • Training and Exercises • Usage	• Governance • Technology	• Governance • SOPs • Technology	• SOPs • Training and Exercises • Usage

A.1 – Statewide Planning

Planning for Statewide Communications Interoperability Plan activities is central to the PSIC Grant Program. As such, up to 5 percent of allocated PSIC funds can *only* be applied to planning costs incurred to include PSIC requirements while developing Statewide Communications Interoperability Plans, including related pre-award costs

from the date of April 1, 2007. (See Section IV.B.1 for additional guidance on the required PSIC elements.)

Allowable planning-related costs under PSIC include, but are not limited to, the types of activities listed below:

- Developing and enhancing communications plans and protocols related to the four PSIC requirements
- Developing and/or conducting needs assessments to help identify interoperability gaps in public safety communications
- Purchasing of materials and meeting-related expenses, including travel costs specific to incorporating PSIC requirements in Statewide Plans
- Expenses for full or part-time staff or contractors/consultants to assist with planning-related activities (Note: funds cannot be used to hire sworn public safety officers and the term of staff/consultants' employment cannot extend beyond the date necessary to fulfill Statewide Plan requirements).

DHS has developed a statewide planning approach, which each State will be implementing through 2007. These Statewide Plans and the criteria set forth for their development will enable States and Territories to prioritize interoperability needs, build interoperable communications capabilities, develop longer-term strategic goals, and deliver capabilities across disciplines (e.g., law enforcement, fire, emergency medical services, emergency management, public health, public works, transportation) and levels of government.

A.2 – Planning and Coordination

Planning and coordination requires that adequate technical and financial planning, as well as coordination activities, occur to ensure that interoperable communications systems meet the needs of public safety agencies. Allowable planning and coordination costs for individual PSIC Investments must be directly related to the use of interoperable communications equipment, software, and systems.

- Developing standard operating procedures for the use of equipment or systems funded in a PSIC Investment

- Developing and enhancing communications plans and protocols related to a PSIC Investment
- Developing and/or conducting technology and needs assessments as part of a PSIC Investment
- Developing requirements definition and analysis for a PSIC Investment
- Collecting asset inventory to identify needs of a PSIC Investment
- Developing concept-of-operations for PSIC Investment solutions

A.3 – Acquisition

In addition to the actual acquisition of interoperable communications equipment and methods (e.g., swap radios, shared channels, gateways, shared systems), acquisition requires technical and financial planning, as well as procurement and system design activities to ensure that the technology being acquired meet the needs of public safety agencies.

In addition to the acquisition costs associated for interoperable communications equipment and systems, NTIA will consider funding acquisition-related costs under PSIC that include, but are not limited to, the types of activities listed below:

- Developing requirements definition and analysis
- Collecting asset inventory
- Conducting technology alternatives and feasibility analyses
- Developing system design (e.g., engineering or site surveys)

A.3 – Deployment

In addition to build-out costs of interoperable communications equipment, deployment may include the development of deployment procedures for use and the establishment of service level agreements for its use.

NTIA will consider funding pre-positioning and deployment-related costs under PSIC that include, but are not limited to, the types of activities listed below:

- Installing and build-out communications system infrastructure
- Distributing portable and mobile equipment
- Developing deployment and standard operating procedures
- Developing fleetmap for local and statewide interoperability
- Conducting system acceptance testing
- Conducting certification and accreditation
- Managing interoperability assets through inventorying equipment
- Developing service-level agreement(s) and payment, including operations and maintenance considerations

A.4.1 – Operations and Maintenance (O&M)

Operations and Maintenance (O&M) costs are allowed under PSIC. However, O&M costs must be new costs directly associated with the PSIC Investments approved for funding. In general, examples of O&M costs include, but are not limited to:

- O&M costs of equipment such as Land Mobile Radio, service fees for cellular and satellite-enabled equipment and related communications service
- Personnel and fringe benefit costs, but only for new personnel (such as project manager) whose position(s) directly relates to the PSIC Investment.
- Utilities costs, supplies, repair and replacement costs
- General logistics support costs
- Cost of contract support to provide life-cycle operations and maintenance

O&M costs that supplant existing costs are not allowed. Examples include salaries, benefits and overtime for existing employees, sworn officers, grant writers and other staff who do not directly contribute to the implementation of the project. Also not allowed are office expenses such as phones, vehicle costs, office rental, furniture and equipment, office supplies and indirect charges.

A.4.2 – Construction and Renovation

PSIC grant funds may be used for interoperable communications infrastructure construction-based projects, such as to erect communications towers, to construct or enhance an equipment shelter, or to retrofit a dispatch center, subject to all applicable laws, regulations, and licensing requirements. Applicants must outline the full scope of the construction-based project, as it relates to the interoperability solutions. Applicants must also demonstrate the feasibility of the project in terms of the grant performance period with the understanding that no extension can be granted under this program.

Those agencies applying for construction-based projects (as delineated in the Investment Justifications) must comply with additional provisions of Federal law, including (but not limited to) the National Environmental Policy Act (NEPA). NEPA's requirements apply to federal projects, decisions, or actions, including grants, which might have a significant impact on the quality of the human environment.

NEPA requires all federal agencies to analyze the possible environmental impacts of each construction project. The purpose of a NEPA review is to weigh the impact of major federal actions or actions undertaken using federal funds on adjacent communities, water resources, endangered species, historical buildings, archaeological resources, or culturally sensitive areas prior to construction. This review also addresses the compliance requirements of other associated laws like Endangered Species Act, National Historic Preservation Act, Migratory Bird Treaty Act, etc. Grantees may be required to provide additional detailed information on proposed activities such as: location, site description, species and habitat to be affected**,** special construction needs, possible alternatives, and any environmental concerns that may exist. The NEPA Compliance Review of a proposed project could result in: the project, being approved via a categorical exclusion, the need to modify or redesign the project, or the need to perform an Environmental Assessment (EA) and/or draft an Environmental Impact Statement (EIS).

Grantees receiving PSIC funding for renovation or construction costs are advised to design their projects to minimize adverse environmental impacts, also minimizing the time and cost associated with their review. It is important to understand that compliance with the requirements of NEPA or other associated laws must be achieved before the expenditure of grant funds takes place.

A.4.3 – Construction Approval Process

In order to apply PSIC funds for construction and renovation costs, grantees must provide the following information as a part of its Investment Justification:

- A description of the asset or facility, asset location, whether the infrastructure is publicly or privately owned, and the construction or renovation project
- Certification that a facility vulnerability assessment has been conducted for the facility
- An outline addressing how the construction or renovation project will address the identified vulnerabilities from the assessment
- Consequences of not implementing the construction or renovation project.

Approval of an Investment Justification containing a request for a construction or renovation project will not relieve a grantee of NEPA requirements.

A.5 – Training

Training requires that public safety agencies understand how to use the interoperable communications equipment, both technically and operationally, and that exercises and drills take place to ensure familiarity with the communications system. Specifically, exercises are used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps in the operational application of communications equipment and procedures that are system- or region-wide. No more than 20 percent of a State's or Territory's overall allocation can be spent on training activities.

Allowable training-related costs under PSIC include, but are not limited to, the types of activities listed below:

- Conducting comprehensive interoperable communications user training on systems that use the reallocated public safety spectrum, can interoperate with the reallocated public safety spectrum, or any other band of public safety spectrum
- Conducting multi-jurisdictional interoperable communications-specific exercises and drills on systems that use the 700 MHz band or can interoperate with the 700 MHz band or any other band of public safety spectrum[15]
- Developing user guides and instruction manuals (e.g., develop a "cheat sheet" to ensure effective use of the interoperable communications system) on systems that use the 700 MHz band or can interoperate with the 700 MHz band or any other band of public safety spectrum.
- Hiring of personnel or contractors/consultants to conduct training activities, including associated backfill and overtime costs.

B. DISALLOWABLE COSTS

PSIC 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. For example, a local, uniformed, law enforcement

[15] Exercises must be managed and executed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP); https://hseep.dhs.gov/support/HSEEP%20Volume%20III%20021507%20Final%20Revision%20February%202007).pdf.

patrol officer cannot be hired using grant dollars to perform regular local law enforcement patrol duties.

C. TECHNOLOGY REQUIREMENTS

PSIC funds are to be used to acquire equipment that uses the reallocated public safety spectrum, that enables interoperability with communications systems that can utilize reallocated public safety spectrum, or interoperability solutions, such as gateways, that otherwise improves or advances the interoperability of public safety communications systems that utilize other public safety spectrum bands .

As stated in Section I.A Program Funding Goals, the three PSIC-specific technology objectives include (1) the adoption of advanced technological solutions, (2) the improvement of spectrum efficiency, and (3) the use of cost-effective measures. These three objectives are to be addressed when proposing technology solutions to be funded with PSIC grants. As stated in Volume 1 of the SAFECOM Statement of Requirements, "[n]ew technologies promote the convergence of information and communications systems with the result that mobile units are increasingly being viewed as merely wireless nodes within information networks." These technologies could include, but are not limited to, the use of radio internet protocol, broadband voice, data, or video applications, and network interconnect technologies.

When procuring voice and data communications equipment, public safety agencies should acquire the types of equipment that support specific functional requirements for infrastructure, dispatch equipment, interoperability solutions, and subscriber units as outlined in the "SAFECOM Recommended Federal Grant Guidance, Public Safety Communications and Interoperability Grants, FY 2007." A list of functional requirements for various components of voice and data communications systems is included in Appendix A of the "Recommended Federal Grant Guidance, Public Safety Communications and Interoperability Grants, FY 2007." These requirements outline the minimum capabilities that equipment should have for effective interoperable procurement selections. Additionally, agencies purchasing Project 25 (P25) compliant equipment must obtain documented evidence from the manufacturer that the equipment has been tested to and passed all of the applicable, published, normative P25 compliance assessment test procedures for performance, conformance, and interoperability as defined in the "Grant Guidance—Project 25 Explanatory Addenda," which can be found at www.safecomprogram.gov/SAFECOM/grant/default.htm.

Table 3 below illustrates technology considerations that are PSIC-specific for grant awards. Note that these objectives are not mutually exclusive.

Table 3 – PSIC-Specific Technology Considerations

PSIC Objective	Consideration Factors
Advanced Technology	• Use of emerging technology to provide advanced interoperability solutions • Use of commercial services, where appropriate, to support interoperable communications • Use of IP-based technologies to interconnect with other systems • Use of common advanced encryption techniques to secure vital transmissions while maintaining interoperability • Incorporation of Software Defined Radio and Cognitive Radio technology to provide interoperability flexibility • Use of standards-based technologies to provide voice and data services that meet wireless public safety service quality • Consider solutions that have an open interface to enable the efficient transfer of voice, data, and video signals
Spectrum Efficiency	• Provide the best solution that consumes the least amount of spectrum necessary to meet user requirements • Use of spectrum conserving techniques such as multiple access technologies • Use of spectrum or channel sharing techniques • Use of wired communications where possible to carry the appropriate types of communications traffic • Use of compression, error correction, or other processing techniques that increase throughput
Cost-effective Measures	• Use of shared infrastructure elements to benefit multiple disciplines and multiple jurisdictions across a region, State, and/or Territory • Use cost-per-user measures to demonstrate cost effectiveness of the project • Apply a cost-benefit analysis to determine effectiveness and tangible benefits of chosen solution • Consider economic impact of other interoperability solution options • Consider long-term and recurring costs of proposed solution • Consider degree to which proposed solution will interoperate with existing systems and the extent to which the Investment represents a shared system or system-of-systems

As stated in the SAFECOM Grant Guidance, "[f]und requests should not be limited to the purchase of new radios. Grant applicants are also encouraged to pursue current and next generation interoperability solutions, such as gateways, point-to-point software solutions, and backbone technologies that connect existing radio systems. These technologies may include, but are not limited to, Internet Protocol (IP) based solutions. These solutions may provide interim or long-term interoperability capabilities that obviate the need for new equipment or systems, and their implementation should not require or involve the acquisition of new, non-P25 systems. Absent compelling reasons

for using other solutions, communities considering new radio or system acquisitions are expected to migrate to P25-compliant equipment."[16]

When procuring voice and data communications equipment, public safety agencies should acquire the types of equipment that support specific functional requirements for infrastructure, dispatch equipment, interoperability solutions, and subscriber units as outlined in the "SAFECOM Recommended Federal Grant Guidance, Public Safety Communications and Interoperability Grants, FY 2007." These requirements delineate the minimum capabilities that equipment should have for effective interoperable procurement selections. PSIC Grant applicants should adhere to the *Principles of Guidelines for Eligible Activities* in Section 4 of the SAFECOM Grant Guidance when developing interoperability solutions for grant award. This section describes technical considerations and equipment acquisition guidance regarding voice and data standards.

Although there are additional technology considerations, the DHS Authorized Equipment List (AEL) *does* apply to the PSIC Grant Program. Additional notation and content have been added to accommodate unique requirements of PSIC, but the method for determining what equipment is authorized remains consistent with previous DHS grant programs. The equipment categories for the PSIC Grant Program are listed on the web-based AEL on the Responder Knowledge Base (RKB), which is sponsored by DHS and the National Memorial Institute for the Prevention of Terrorism (MIPT) at http://www.rkb.mipt.org. The AEL is housed on the RKB, with listings for the both the AEL and the Fall 2006 Interagency Board's Standardized Equipment List (SEL). Sections 6 of the AEL and the SEL describe equipment and systems that provide communications functionality, connectivity, and interoperability between local agencies and other organizations.

D. MANAGEMENT & ADMINISTRATION (M&A)

M&A costs associated with acquisition, deployment, and training are allowable expenditures for up to three percent (3 %) of the total State or Territory allocated funds. Up to three percent (3 %) of the total amount allocated to the State and Territory for PSIC may be retained at the State level and used for M&A purposes. These State and Territory M&A funds must be included when accounting for the total funds retained by the State and Territory. NTIA will allow M&A costs under PSIC that include hiring of full-time or part-time staff or contractors/consultants for grant management services related to compliance with reporting, monitoring, and audit requirements and associated travel and meeting expenses. The match requirement is also applicable to M&A expenses.

[16] See 2007 SAFECOM Grant Guidance Section 4.2 – Equipment Acquisition; http://www.safecomprogram.gov/SAFECOM/library/grant/1294_fy2007.htm.

VIII. Other Information

A. ASSISTANCE RESOURCES AND SUPPORT

A.1 – Grant Management Office (GMO)

The Grants Management Office (GMO) provides fiscal support, including pre- and post-award administration and technical assistance, for the grant programs included in this solicitation, with the exception of payment related issues. All grant and sub-grant recipients should refer to the *Financial Management Guide,* which is available at http://www.dhs.gov/xopnbiz/grants/.

GMO can be contacted at 1-866-927-5646 or by e-mail at ask-OGO@dhs.gov.

A.2 –Interoperable Communications Technical Assistance Program (ICTAP)

ICTAP, within the DHS Office of Emergency Communications, provides technical assistance to help States and Territories draft their Statewide Communications Interoperability Plans and Investment Justifications to ensure consideration of communications systems that can utilize – or enable communications with systems that can utilize – the reallocated public safety spectrum.

Further information on the ICTAP can be found on OEC's website at http://www.ojp.usdoj.gov/odp/ta.htm under the Catalog link, or by contacting the CSID.

A.3 – Equipment Purchase Assistance Program

The Equipment Purchase Assistance Program (EPAP) provides PSIC grantees with access to prime vendors through memoranda of agreement with the Defense Logistics Agency (DLA). Benefits of the program include shorter procurement lead time, online ordering, a diverse inventory of commercial products, and seven-day delivery for routine items. When ordering equipment through this program, grantees may only use funds awarded through the PSIC Grant Program; State and local funds may not be used. Establishing an account with DLA is a straightforward process that should be initiated by contacting the appropriate program representative. Additional information on the programs and contact information for program representatives is available in a fact sheet posted on the DHS website at http://www.ojp.usdoj.gov/odp/docs/fs-padef.htm.

Further information and contact information for the EPAP can be found on the DHS website at http://www.ojp.usdoj.gov/odp/docs/fs-padef.htm or by contacting CSID.

A.4 – GSA's Cooperative Purchasing Program

The U.S. General Services Administration (GSA) offers an efficient and effective procurement tool for State and local governments to purchase information technology products and services to fulfill homeland security and other needs. The GSA Schedules

(also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes. The Cooperative Purchasing program allows State and local governments to purchase from Schedule 70 (the Information Technology Schedule) and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing is authorized by Federal law and was enacted when Section 211 of the E-Government Act of 2002 amended the Federal Property and Administrative Services Act.

Under this program, State and local governments have access to over 3,500 GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The U.S. General Services Administration provides a definition of State and local governments as well as other vital information under the frequently asked questions section on its website at www.gsa.gov/cooperativepurchasing. The term "State and local governments" does not include contractors of, or grantees of, the Federal, State, or local governments not otherwise named in the approved list of entities.

State and local governments can find eligible contractors on GSA's website, www.gsaelibrary.gsa.gov, denoted with a COOP PURCH symbol. Assistance is available from GSA at the local and national level. For assistance at the local level, visit www.gsa.gov/csd to find the point of contact in your area. For assistance at the national level, contact Patricia Reed at patricia.reed@gsa.gov, 213-534-0094. More information is available at www.gsa.gov/cooperativepurchasing.

B. ACRONYMS

A	
AEL	Authorized Equipment List
AOR	Authorized Organization Representative
AAR	After Action Report
B	
BSIR	Biannual Strategy Implementation Reports
C	
CAPR	Categorical Assistance Progress Reports
CCR	Central Contractor Registry
CFR	Code of Federal Regulations
CFDA	Catalog of Federal Domestic Assistance
D	
D&B	Dun and Bradstreet
DHS	U.S. Department of Homeland Security
DLA	Defense Logistics Agency
DUNS	Data Universal Numbering System
E	
EA	Environmental Assessment
EIS	Environmental Impact Statement
EPAP	Equipment Purchase Assistance Program
F	
FEMA	Federal Emergency Management Agency
FOIA	Freedom of Information Act
FSR	Financial Status Report
FY	Fiscal Year
G	
GAN	Grant Adjustment Notice
GMO	Grants Management Office
GMS	Grants Management System
GPRA	Government Performance and Results Act
GSA	General Service Administration
H	
HSPD	Homeland Security Presidential Directive
HSGP	Homeland Security Grant Program
HSEEP	Homeland Security Exercise and Evaluation Program
I	
ICTAP	Interoperable Communications Technical Assistance Program
IP	Internet Protocol

J		
K		
L		
	LEP	Limited English Proficient
	LLIS	Lessons Learned Information Sharing
M		
	M&A	Management and Administrative
	MHz	Megahertz
	MOU	Memorandum of Understanding
N		
	NEPA	National Environmental Policy Act
	NPD	National Preparedness Directorate
	NTIA	National Telecommunications and Information Administration
O		
	OJP	Office of Justice Programs
	O&M	Operations and Maintenance
	OMB	Office of Management and Budget
P		
	P25	Project 25
	PSIC	Public Safety Interoperable Communications
R		
	RKB	Responder Knowledge Base
S		
	SAA	State Administrative Agency
	SEL	Standardized Equipment List
	SF	Standard Form
	SHSP	State Homeland Security Program
	SOP	Standard Operating Procedure
	SPOC	Single Point of Contact
	Statewide Plans	Statewide Communications Interoperability Plans
T		
	TICP	Tactical Interoperable Communications Plan
U		
	UASI	Urban Areas Security Initiative
V		
W		
X		
Y		
Z		