

The State of California
Federal Fiscal Year 2018
Guidance for Writing Homeland
Security Investment Justification
Projects



***Cal* OES**
GOVERNOR'S OFFICE
OF EMERGENCY SERVICES

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Cal OES Guidance for Writing Homeland Security Investment Justification Projects

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Note: This guidance is preliminary, and subject to change pending the final release of the Fiscal Year 2018 Homeland Security Grant Program Notice of Funding Opportunity or any changes to the National Preparedness Goal. The State of California reserves the absolute right to amend, revoke, or rescind this guidance, in whole or in part, at any time, or for any reason.

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INTRODUCTION

Each federal fiscal year (FY) the California Governor’s Office of Emergency Services (Cal OES), acting as the State Administrative Agency (SAA), submits an application to the U.S. Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA) for Homeland Security Grant Program (HSGP) funds. The bulk of these funds are comprised of two programs – the State Homeland Security Program (SHSP), and the Urban Area Security Initiative (UASI). Each of these two programs requires the SAA and subrecipients to develop investment justifications and associated projects for enhancing security and preparedness across the State. Each project must then be linked to a “primary Core Capability” in the grant application. In FY 2017, for the SHSP alone, California submitted ten investment justifications with approximately 700 projects.

In September 2011, DHS/FEMA published the *National Preparedness Goal (Goal)* with a second edition released in 2015. At the center of the *Goal* are the 32 Core Capabilities, which are designed to address threats and hazards that pose a risk to the nation. The 32 Core Capabilities are spread across the five homeland security mission areas (plus a set of capabilities common to all mission areas) and serve as the successor to the 37 Target Capabilities List of 2007. While distinct, the Core Capabilities are highly interdependent, especially those within the same mission area. **Table 1** below lists the Core Capabilities.

The current iteration of the Core Capabilities are often vague and overlapping in the language used to define them. This creates challenges for the State and its subrecipients to use the Core Capabilities as a framework to assign projects and track investments.

The purpose of this guidance is to provide subrecipients with a roadmap for how to properly develop and write HSGP funded projects, and more accurately and consistently align those projects to California’s 10 investment areas, and the Core Capabilities from the *Goal*. More accurate and consistent alignment of projects to investment areas and Core Capabilities will better enable the State and subrecipients to:

1. Track their investments against the State’s homeland security strategy, which mirrors to the extent possible, the State’s ten investment areas.
2. Understand and articulate the impacts and outcomes from those investments across the State in a consistent manner.
3. Provide better data to Congress and the Administration in support of continuing the grant programs through a consistent understanding of what capabilities the grant funding is supporting.

The conclusions outlined in this guidance represent the State of California’s best efforts to bring consistency in the use of the Core Capabilities, while recognizing that reasonable people may disagree with the conclusions reached herein. However, until the Core Capabilities are reformed at the national level, California is compelled to take steps to make the taxonomy more workable and consistent within the State. Finally, this guidance supersedes any prior State of California related guidance or training delivered on the topics herein prior to the issuance of this guidance.

Table 1: Core Capabilities by Mission Area

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

Defining and Developing Projects

For purposes of this guidance, an HSGP project is *a planned set of interrelated resources or elements to be executed over a fixed period, within certain cost and other limitations, and designed to achieve pre-determined results or outcomes.*

The resources or elements of a project may include any one or more of the following:

- Plans/Personnel
- Organization/People/Teams
- Equipment
- Training
- Exercises

Project Development Principles

When developing a project, the following principles should apply:

- **Keep like things together.** Like things means the things are directly linked to a single issue, purpose, or topic area. It does not necessarily mean the things have to be from the same resource or solution area. For example, a project that includes the development of an emergency operations plan, followed by training on the plan, and an exercise to test and evaluate the plan would involve like things, because each element is directly linked to the same item – the emergency operations plan.
- **Separate out the things that are different.** A training project that includes training courses for hazardous materials (HazMat) response teams, community emergency response teams, intelligence analysts, and terrorism awareness for law enforcement is **not** made of “like things.” Each item is “training,” but the courses focus on unrelated issues, and it is those issues that determine what is alike and not alike for purposes of project development.
- **Be descriptive without being gratuitous.** A project description should be no more than a paragraph, including two to three sentences at most. Descriptions that go beyond this size often include unnecessary information that can confuse a reader over what the project is truly about.
- **Give the project a clear name.** The name should be directly linked to the project description and give the reader a clear indication of what the project is generally focused on. For example, public information officer (PIO) Training, HazMat Team Equipment, or Cybersecurity Assessment of City’s Networks are all valid project names. Project names such as Exercises or Data Sharing are too vague.

Subrecipients are also reminded that each HSGP project must have a nexus to terrorism preparedness, even if it will also address natural hazards preparedness.

Describing the Project

Subrecipients should include the following information when developing and describing a project:

- **Who** the project is for, e.g., local HazMat team, bomb squad, emergency operations center (EOC), water treatment plant, fusion center, etc.
- **What** the project entails, e.g., plans, equipment, training, etc.
- Describe **where** the project will take place, e.g., which city, county, or region, site, etc.
- Describe **when** the project will start and end - needs to be within the period of performance of the grant.
- Describe **why** the project is necessary, or what the intended benefit/outcome will be.

The order of these elements in a project description is less important than the content addressing each element. The following are examples of effective project descriptions.

- **(what)** Installation of fencing, lighting, and gates, **(who)** at the Water Treatment Plant, **(where)** in Blank County, **(when)** in 2019, **(why)** to protect the plant from unauthorized intrusion.
- **(what)** Urban search and rescue equipment, training, and exercises, **(who)** for 200 local fire service responders **(where)** in Blank City **(when)** from 2018 through 2019 **(why)** to enhance search and rescue capabilities in collapsed structures following an earthquake, bombing, or other situation.
- **(who)** The County will hire a consultant **(when)** in 2019 **(what)** to develop a sub-jurisdictional level threat and hazard assessment profile **(where)** among eight municipalities in the county **(why)** to enhance the understanding of the threats and hazards faced across the county, and improve all hazard mitigation planning at the county and sub-jurisdiction level.
- **(who)** The city will hire a contractor **(what)** to design, develop, and conduct a full-scale active shooter exercise **(when)** in 2020 **(where)** at a simulated major special event **(why)** to test and evaluate emergency communications capabilities across public safety disciplines, private security staff, and local jurisdictions.

While each project element is necessary, the “why” element is most important. Describing and explaining why a project is necessary will be vital for determining which Core Capability the project primarily aligns with. In the last example, the “why” is linked to testing and evaluating “emergency communications capabilities.” This will cause Operational Communications to be the primary capability that links to the project. If the author had substituted communications with “to test and evaluate emergency medical services’ ability to deliver patient care in a warm zone” the corresponding primary Core Capability would change to Public Health, Healthcare, and Emergency Medical Services, and

so on. This issue is discussed again in more detail in the section on aligning projects to the Core Capabilities.

The following are examples of insufficient project descriptions.

- Incident Command System (ICS) 300 and 400 training
- Encryption Hardware/Software
- HazMat response team training, CERT training, PIO training

None of the above projects provide enough detail for a reader to fully understand what the projects entail. In the third example, in addition to insufficient information about the training, multiple unlike elements are grouped together. As noted above, being from the same solution area or project element does not make things “alike.”

Project Budget and Solution Areas

Once the project description is complete, the next step is to assign the project’s budget to the appropriate HSGP solution areas. Using one of the previous examples from above, this is done in the following way.

- Urban search and rescue equipment, training, and exercises for 200 local fire service responders in Blank City from 2018 through 2019 to enhance search and rescue capabilities in collapsed structures following an earthquake, bombing, or other situation.
 - Planning: N/A
 - Organization: N/A
 - Equipment: \$95,000
 - Training: \$75,000
 - Exercises: \$45,000

Note that each solution area referenced in the narrative is assigned its element of the budget, and each solution area is not its own project. If a solution area is described in the narrative, it should have a corresponding funding amount shown on the Project Ledger, and on the appropriate POETE worksheet(s) in the Financial Management Forms Workbook. Conversely, if a solution area has a budget number assigned to it, it should also be referenced in the narrative.

Aligning Projects to California’s Investment Justification Areas

This section addresses California’s SHSP investment justifications (IJs), and how SHSP subrecipients should link or assign their projects to the correct State IJs. While this section does not directly address UASI IJs, urban areas in California can use this section of the guidance to inform how they assign projects to their IJs to ensure consistency with the State to the greatest extent practicable.

Over the years, California has submitted the maximum number of allowed SHSP IJs per application, which is 10. In 2018, the State will likely again submit ten SHSP IJs, but the nature and title of those IJs are very likely to change. **Table 2** outlines the FY 2017 SHSP IJs as submitted, and the proposed SHSP IJs for FY 2018. The IJs in red indicate a change from FY 2017 to FY 2018.

Table 2: California’s Current and Proposed SHSP Investment Areas

CURRENT SHSP INVESTMENT JUSTIFICATIONS		Proposed FY18 SHSP INVESTMENT JUSTIFICATIONS	
1	Information Sharing and Analysis, Collaboration Capabilities, and Public Safety Response	1	Strengthen Capabilities of the State Threat Assessment System
2	Protect Critical Infrastructure and Key Resources	2	Protect Critical Infrastructure and Key Resources <i>(includes Food and Agriculture)</i>
3	Enhance Cybersecurity	3	Enhance Cybersecurity
4	Strengthen Communications Capabilities Through Planning, Governance, Technology and Equipment	4	Strengthen Communications Capabilities Through Planning, Governance, Technology and Equipment
5	Enhance Medical and Public Health Preparedness	5	Enhance Medical and Public Health Preparedness
6	Preventing Violent Extremism Through Multi-Jurisdictional/Inter-Jurisdictional Collaboration and Coordination	6	Preventing Violent Extremism Through Multi-Jurisdictional/Inter-Jurisdictional Collaboration and Coordination
7	Enhance Community Resilience, Including Partnerships With Volunteers and Community Based Organizations and Programs	7	Enhance Community Resilience, Including Partnerships With Volunteers and Community Based Organizations and Programs
8	Strengthen Food and Agriculture Security	8	Strengthen Information Sharing and Collaboration
9	Enhance Multi-Jurisdictional/Inter-Jurisdictional All-Hazards Incident Planning, Response & Recovery Capabilities	9	Enhance Multi-Jurisdictional/Inter-Jurisdictional All-Hazards Incident Planning, Response & Recovery Capabilities
10	Homeland Security Exercise, Evaluation, and Training Programs	10	Homeland Security Exercise, Evaluation, and Training Programs

The following explains the nature and composition of each of the proposed FY 2018 State of California SHSP IJs.

IJ 1: Strengthen Capabilities of the State Threat Assessment System (STAS)

For several years and through FY 2017, DHS/FEMA has required each state with a DHS recognized fusion center to submit at least one “fusion center IJ.” For California, IJ 1 is the “fusion center IJ.” This means only projects with a **direct nexus** to one of the state’s six fusion centers and to Terrorism Liaison Officers (TLO) can be placed under this IJ. For purposes of IJ 1, the State’s six fusion centers are:

- State Threat Assessment Center
- Northern California Regional Intelligence Center
- Central California Intelligence Center
- Joint Regional Intelligence Center
- Orange County Intelligence Assessment Center
- Law Enforcement Coordination Center

Any project assigned to this IJ must have a direct link to one or more of the above listed fusion centers. Such projects may include:

- Fusion center intelligence analyst salaries
- Fusion center cybersecurity analyst salaries
- Fusion center critical infrastructure protection analyst salaries
- Critical infrastructure protection program manager operating out of a fusion center
- Cybersecurity unit or operations center operating within a fusion center
- Fusion center equipment
- Fusion center planning, and exercises
- Training for fusion center analysts
- TLO training. TLOs are the “eyes and ears” of the fusion centers, and as such, TLO projects should be assigned to IJ 1.

Intelligence, cybersecurity, and critical infrastructure protection related projects that do **not** have a direct nexus to a fusion center should be assigned to either IJ 2, IJ 3, or IJ 8, respectively. Examples of these types of projects are provided later in this guidance under IJs 2, 3, and 8. This approach is necessary to be consistent with DHS/FEMA guidance, which currently prefers that any cybersecurity, critical infrastructure protection, or intelligence related project with a direct nexus to a fusion center be placed in the fusion center IJ – California IJ 1.

IJ 2: Protect Critical Infrastructure and Key Resources

IJ 2 covers critical infrastructure activities with no direct nexus to a fusion center. The major change in this IJ for FY 2018 is the inclusion of all food and agriculture related projects. In the past, food and agriculture projects were placed under a distinct food and agriculture IJ. However, due to the requirements of IJ 1, the limitation of 10 total IJs for the State, and the fact that food and agriculture is a critical infrastructure sector under the National Infrastructure Protection Plan, food and agriculture related projects will now be placed under IJ 2.

IJ 2 type projects may include:

- Vulnerability and risk assessments at critical infrastructure sites
- Cameras, lighting, gates, bollards, fencing, etc., at critical infrastructure sites
- Access control systems
- Critical infrastructure database management
- Special event security planning
- **Non-fusion center** staff costs for critical infrastructure protection units/analysts/personnel
- Food or agriculture preparedness/security related projects
 - Livestock trailer for evacuation
 - Food laboratory equipment
 - Disaster Animal Response Team

IJ 3: Enhance Cybersecurity

IJ 3 covers cybersecurity activities outside the direct nexus to a fusion center. Whether a Cybersecurity linked project falls under IJ 1 or IJ 3 will be determined by whether that project has direct nexus to a fusion center. For example, funding for a cybersecurity analyst in a fusion center will fall under IJ 1, and funding for equipment in a city's cybersecurity operations center (that operates separate from a fusion center) will fall under IJ 3. Projects that may fit under IJ 3 include:

- Information security systems
- Cyber incident response teams
- Software upgrades for information system and network security
- Cybersecurity operations center equipment
- Cybersecurity related training
- Information system continuity planning
- Cyber information sharing systems
- Cybersecurity analysts

IJ 4: Strengthen Communications Capabilities Through Planning, Governance, Technology, and Equipment

IJ 4 covers two broad categories – emergency responder communications, and public information and warning. Projects that may fall under IJ 4 include:

- Radios
- 911 dispatch systems
- Public alert and warning systems
- Radio towers
- Public information officer training
- Tactical Interoperable Communications Plan (TICP) updates
- State Communications Interoperability Plan (SCIP) updates
- Joint information center exercises

IJ 5: Enhance Medical and Public Health Preparedness

IJ 5 covers public health, hospital, and emergency medical based projects. Projects that may fall under IJ 5 include:

- Public health laboratory equipment
- Public health surveillance and epidemiological investigation plans
- Medical surge training
- Medical counter measures dispensing exercises
- Medical supplies
- Isolation and quarantine planning
- Patient tracking equipment
- Emergency Medical Services (EMS) training
- EMS equipment

IJ 6: Preventing Violent Extremism Through Multi-Jurisdictional/Inter-Jurisdictional Collaboration and Coordination

The Preventing Violent Extremism (PVE) IJ is a relatively new IJ for the State. PVE programs are community-led efforts aimed at improving coordination and collaboration among stakeholders to raise awareness for the indicators of homegrown violent extremism, or domestic terrorism through training and education initiatives; counter violent extremism messaging; building community trust; and strengthening intervention programs to mitigate the threat of violent extremism.

The best analogy for PVE are gang prevention programs that work with communities and schools to change the mindset of youth in the prevention and reduction of gang membership. Projects that fall under IJ 6 may include:

- Seminars or conferences related to PVE
- Training or planning related to PVE
- Sovereign citizens awareness training

- Staff related to PVE programs
- Management and administration (M&A) activities. While not directly related to PVE, SHSP subrecipients will be asked to place their M&A costs under IJ 6 for ease of organization and tracking.

IJ 7: Enhance Community Resilience, Including Partnerships with Volunteers and Community Based Organizations and Programs

IJ 7 is California's "Citizen Corps" IJ from when DHS/FEMA managed the Citizen Corps Grant Program. While the grant program may no longer be in effect, the State is continuing the eligible activities under that program through IJ 7. Projects that fit under IJ 7 may include:

- Community Emergency Response Team (CERT) programs
- Volunteer or donations management projects
- National Voluntary Organizations Active in Disaster (VOAD) programs
- Ready campaigns, such as public service announcements, city or county websites, brochures, etc.

IJ 8: Strengthen Information Sharing and Collaboration

IJ 8 is the State's non-fusion center related information sharing investment area. Project areas covered here include any information sharing activities not covered by a fusion center, such as:

- A project manager for the sheriff's department's use of COPLINK® to share information with other law enforcement agencies in the county.
- Crime strategies unit lead analyst to coordinate countywide intelligence, threat assessment, event planning, training, and prevention efforts.
- Overtime for the city's police department personnel to take tips and leads and work with regional crime analysts assigned to gather intelligence and create models that predict terrorism.

IJ 9: Enhance Multi-Jurisdictional/Inter-Jurisdictional All Hazards Incident Planning, Response & Recovery Capabilities

IJ 9 is the investment with the largest number of total projects, as it covers the broadest scope of potential projects in both the response and recovery areas. In short, IJ 9 may be the default home for projects that have no other clear IJ under which they fit. Potential types of projects that may fall under IJ 9 include:

- EOC upgrades or exercises
- WebEOC projects
- Fire incident response equipment
- Mass evacuation plans
- HazMat team training

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- Fatality management exercises
- Catastrophic incident response planning
- Mass care plans
- Incident management team training and exercises
- Search and rescue team equipment
- Bomb squad equipment
- Special Weapons and Tactics (SWAT) team training
- Recovery planning

IJ 10: Homeland Security Exercise, Evaluation, and Training Programs

This investment area covers training and exercise **infrastructure**, and not specific trainings and exercises. This is a change from prior years, and one that urban areas are strongly encouraged to follow when developing their own UASI IJs. This approach treats training and exercise activities as supporting capability building that falls within any one of the other IJ areas. This is more consistent with the actual purpose behind training and exercises, which is to enhance capabilities, and not simply to deliver training and exercises as the ultimate end. Projects that may fit under IJ 10 include:

- Training and exercise program staff
- Equipment for multi-purpose training and exercise facilities
- Multi-year training and exercise plan updates and/or conferences

Aligning Projects to the Core Capabilities

This section outlines the process by which **all subrecipients, SHSP and UASI**, shall align their grant-funded projects with the Core Capabilities. The task is to link to the **primary** Core Capability, and not the exclusive capability. This is based on the DHS/FEMA requirement that all HSGP projects link to a primary Core Capability in the Grant Reporting Tool. Therefore, while virtually all projects will implicate or link with multiple Core Capabilities, the requirement in the IJ is to pick only one – the one where the linkage is strongest and clearest. The challenge in achieving this task is the fact that the Core Capabilities are not intuitive, the Core Capabilities are vague and overly broad, and the Core Capabilities are redundant and overlap.

In determining which projects align to which capabilities, the State has used multiple reference points, including the Core Capability definitions, the DHS/FEMA Target Capabilities List/Core Capabilities Crosswalk, and the usage of the Core Capabilities by the State and subrecipients over the years. The following describes those projects that fall under each Core Capability as the primary capability for that project. The DHS/FEMA definition of each Core Capability is provided in italics immediately following the listing of each capability.

The list of project types provided under each Core Capability is meant to be illustrative, and not exhaustive. Moreover, the primary purpose given for the project will often determine the primary Core Capability the project links to. For example, an exercise with a vehicle-borne improvised explosive device scenario could link to any number of Core Capabilities as primary depending on the primary purpose for conducting the exercise. If the primary purpose of the exercise is to test coordination between command posts, department operations centers, and EOCs, the primary Core Capability will be Operational Coordination. If on the other hand, the primary purpose is to test and evaluate alerting and warning the public, the primary Core Capability will be Public Information and Warning. It's possible that such an exercise might seek to test both capabilities and others. Regardless, subrecipients must still pick one capability as primary, and in doing so, subrecipients must choose and emphasize a primary purpose for the project.

Planning

Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or tactical-level approaches to meet defined objectives.

Planning is its own Core Capability, an element of every other Core Capability (the elements of capability are planning, organization, equipment, training, and exercises), and an HSGP solution area. This overlap can sometimes make aligning projects to the Planning Core Capability challenging.

The types of planning projects that align with the Planning Core Capability are those multi-discipline, multi-topic plans that go beyond any single issue or discipline.

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Examples of projects that align with Planning as the primary Core Capability include:

- Updates to homeland security strategies
- Updates to hazard mitigation plans
- Updates to multi-year training and exercise plans
- State or regional comprehensive disaster recovery framework
- Salaries for all hazards emergency services/emergency management planning staff
- Preventing/countering violent extremism projects
- Management and administration activities

Examples of planning projects that align with other Core Capabilities:

- A cybersecurity assessment and strategy (Cybersecurity)
- Updating or developing a mass dispensing plan (Public Health, Healthcare, Emergency Medical Services)
- Developing a donations management plan (Community Resilience)
- Developing standard operating procedures for preventive radiological nuclear detection operations (Screening, Search, and Detection)

Operational Coordination

Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.

Examples of projects that align with Operational Coordination as the primary Core Capability include:

- Emergency operations base plans. This is the exception to the multi-discipline plans that will normally fall under the Planning Core Capability. The word “base” is underlined because a project where an annex to an Emergency Operations Plan (EOP) is being developed will be assigned to the Core Capability that most directly links to that annex. For example, an EOP annex that covers mass care, or one that covers public information and warning will be linked to Mass Care Services, and the Public Information and Warning Core Capability, respectively. In the event the EOP base plan is being developed or updated with multiple annexes as a single project, the primary Core Capability for such a project will be Operational Coordination. In that case the base plan’s primary linkage will govern the whole project.
- WebEOC
- ICS training
- Multi-agency coordination group (MAC-G) planning
- EOC equipment upgrades
- EOC operations training
- Multi-agency incident command vehicles

Public Information and Warning

Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard, as well as the actions being taken, and the assistance being made available, as appropriate.

Examples of projects that align with Public Information and Warning as the primary Core Capability include:

- Joint information center planning
- PIO training
- Public alert systems (email, phone, social media)
- Public address systems
- Sirens
- Developing pre-scripted public messages for specific hazards
- Equipment to communicate with those with access and functional needs during emergencies
- Electronic message signs for all hazard public alerts and warnings
- AWR-209: Dealing with the Media: A Short Course for Rural First Responders
- IS-251: Integrated Public Alert and Warning System (IPAWS) for Alerting Authorities

Forensics and Attribution

Conduct forensic analysis and attribute terrorist acts (including the means and methods of terrorism) to their source, to include forensic analysis as well as attribution for an attack and for the preparation for an attack in an effort to prevent initial or follow-on acts and/or swiftly develop counter-options.

While listed as a “prevention” capability, Forensics and Attribution is in practice a response capability involving activities designed to determine those responsible for an attack, and the precise methods used in an attack. Subrecipients can think of this as the “CSI” Core Capability. Examples of projects that align with Forensics and Attribution as the primary Core Capability include:

- Crime scene investigative equipment
- Storage equipment for evidence
- Software-based mobile forensics for the examination of smart phones, tablets, and other computer devices to process and analyze digital evidence
- Photographic ballistic database/software that will enhance the current capability to match ballistics related to crimes with a national database
- AWR-103: Crime Scene Management for CBRNE Incidents
- PER-201: Evidence Collection in a HazMat Environment
- PER-222: Public Safety WMD Response—Sampling Techniques and Guidelines
- PER-228: Advanced Forensic Investigations for Hazardous Environments

Intelligence and Information Sharing

Information sharing is the ability to exchange intelligence, information, data, or knowledge among government or private sector entities, as appropriate.

Examples of projects that align with Intelligence and Information Sharing as the primary Core Capability include:

- Fusion center information sharing equipment, e.g., Palantir
- TLO training
- COPLINK®/other information sharing systems
- Intelligence analyst salaries (in or out of a fusion center)
- Suspicious activity reporting and analysis systems

Note that whether a project is part of a fusion center does not determine whether a project aligns with this Core Capability. The factor for determining the linkage to this Core Capability is whether the project is intelligence and information sharing based. The linkage to a fusion center is only relevant in determining which IJ the project falls under. The same is true for cybersecurity, and critical infrastructure protection related projects.

Interdiction and Disruption

Delay, divert, intercept, halt, apprehend, or secure threats and/or hazards.

This capability is primarily, although not exclusively, focused on SWAT teams and building and sustaining their capabilities. Other types of projects that fit under this capability involve counter terrorism investigations and operations. Examples of projects that align with Interdiction and Disruption as the primary Core Capability include:

- SWAT team training or equipment, i.e., Bearcat
- Crisis response team; crisis negotiation response module
- PER-227: Advanced Tactical Operations: WMD Interdiction
- Counter terrorism investigator salaries
- Social media policy and training for law enforcement to detect terrorism indicators
- Overtime to support Joint Terrorism Task Force (JTTF) investigations/operations

Screening, Search, and Detection

Identify, discover, or locate threats and/or hazards through active and passive surveillance and search procedures. This may include the use of systematic examinations and assessments, bio-surveillance, sensor technologies, or physical investigation and intelligence.

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Examples of projects that align with Screening, Search, and Detection as the primary Core Capability include:

- Automated License Plate Readers
- Preventive Radiological Nuclear Detection (PRND) equipment
- Radiation pagers for responders
- Chemical detection equipment
- PRND primary or secondary screener training
- PRND operational planning, and standard operating procedures

Note that while chemical and radiological screening and detection equipment is covered here, improvised explosive device, and biological detection equipment are not. Such equipment is covered under the On-scene Security, Protection, and Law Enforcement, and Public Health, Healthcare, and Emergency Medical Services Core Capabilities, respectively.

Access Control and Identity Verification

Apply and support necessary physical, technological, and cyber measures to control admittance to critical locations and systems.

While the definition here includes “cyber measures,” for purposes of California’s use of the capability, Access Control and Identity Verification will be limited to physical measures. Cyber measures to control admittance will be addressed under the Cybersecurity Core Capability. In addition, most cameras will be accounted for under Physical Protective Measures, except for those cameras designed specifically to give site security personnel knowledge of who is seeking access at a gate or entrance door of a facility. Such cameras will be covered under Access Control and Identity Verification.

Examples of projects that align with Access Control and Identity Verification as the primary Core Capability include:

- Project will add keyless building access control points on 2 lobby doors, 2 hallway doors and 1 back door
- Digital video recorders to capture and store all surveillance video for entrants that access the fire district facilities’ automated gates, and primary access doors

Cybersecurity

Protect (and if needed, restore) electronic communications systems, information, and services from damage, unauthorized use, and exploitation.

The factor for determining the linkage to this Core Capability is whether the project is cybersecurity based. A cybersecurity project’s linkage to a fusion center is only relevant in determining which IJ the project falls under.

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Examples of projects that align with Cybersecurity as the primary Core Capability include:

- Encryption of software and networks
- Cybersecurity assessment/plan
- Cybersecurity analyst (in or out of a fusion center)
- SANS securing the human training
- Cyber Incident Response Team
- Back-up/cloud computing
- Anti-virus software
- Cybersecurity operations center equipment (regardless of whether the cyber operations center is in or out of a fusion center)

Physical Protective Measures

Implement and maintain risk-informed countermeasures, and policies protecting people, borders, structures, materials, products, and systems associated with key operational activities and critical infrastructure sectors.

Examples of projects that align with Physical Protective Measures as the primary Core Capability include:

- Fencing
- Alarms
- Gates
- Bollards
- Cameras (perimeter)
- Physical protection site security plan

Supply Chain Integrity and Security

Strengthen the security and resilience of the supply chain.

This capability is largely focused on the food and agriculture sector in California. Examples of projects that align with Supply Chain Integrity and Security as the primary Core Capability include:

- Projects centered on protecting the California food and agriculture sectors from contamination
- Livestock trailer for evacuation
- Laboratory equipment
- Disaster Animal Response Team
- Community Animal Response Teams

Community Resilience

Enable the recognition, understanding, communication of, and planning for risk and empower individuals and communities to make informed risk management decisions necessary to adapt to, withstand, and quickly recover from future incidents.

This capability is largely focused on Citizen Corps Program related activities. Examples of projects that align with Community Resilience as the primary Core Capability include:

- CERT programs
- Volunteer or donations management projects
- VOAD programs
- “Ready” campaigns

Long Term Vulnerability Reduction

Build and sustain resilient systems, communities, and critical infrastructure and key resources lifelines so as to reduce their vulnerability to natural, technological, and human-caused threats and hazards by lessening the likelihood, severity, and duration of the adverse consequences.

California does not anticipate having many projects under this capability given its similarity to Physical Protective Measures. However, if subrecipients do develop such projects, examples of projects that align with Long-term Vulnerability Reduction as the primary Core Capability include:

- Retrofitting buildings to withstand bomb blasts and/or earthquakes
- E0312: Fundamentals of Building Science

Risk and Disaster Resilience Assessment

Assess risk and disaster resilience so that decision makers, responders, and community members can take informed action to reduce their entity's risk and increase their resilience.

The overlap between Risk and Disaster Resilience Assessment, Risk Management for Protection Programs and Activities, and Threats and Hazards Identification can be extremely challenging to manage when trying to link projects to primary Core Capabilities. For that reason, the three Core Capabilities are listed in succession for ease of reference.

Examples of projects that align with Risk and Disaster Resilience Assessment as the primary Core Capability include:

- Regional/County/City risk assessments (analysis of threats, vulnerabilities, consequences)
- CalCOP (Risk Analysis Software)

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- Federally mandated Threat and Hazard Identification and Risk Assessment
- IS-2001: Threat and Hazard Identification and Risk Assessment

Risk Management for Protection Programs and Activities

Identify, assess, and prioritize risks to inform protection activities, countermeasures, and investments.

Examples of projects that align with Risk Management for Protection Programs and Activities as the primary Core Capability include:

- Analyst and staffing to support the planning, and operation of the city's critical infrastructure protection program
- Critical infrastructure protection plans
- Critical infrastructure protection training, e.g., IS-860.a, or IS-821
- Critical infrastructure database
- AWR-219: Site Protection through Observational Techniques (SPOT)

Threats and Hazards Identification

Identify the threats and hazards that occur in the geographic area; determine the frequency and magnitude; and incorporate this into analysis and planning processes so as to clearly understand the needs of a community or entity.

Examples of projects that align with Threats and Hazards Identification as the primary Core Capability include:

- Projects that are limited to only identifying threats and hazards that may impact a community (excludes a vulnerability and consequence analysis, which, if included, would cause the project to move to Risk and Disaster Resilience Assessment)

Critical Transportation

Provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people and animals, and the delivery of vital response personnel, equipment, and services into the affected areas.

Examples of projects that align with Critical Transportation as the primary Core Capability include:

- Emergency Function (EF) #1 plans or updates, e.g. evacuation planning
- EF # 1 related training
- Variable message signs on roads and highways for mass evacuation
- Debris removal plans and/or exercises
- E0202: Debris Management Planning for State, Tribal, and Local Officials
- G0358: Evacuation and Re-Entry Planning Course

Environmental Response/Health and Safety

Conduct appropriate measures to ensure the protection of the health and safety of the public and workers, as well as the environment, from all-hazards in support of responder operations and the affected communities.

Examples of projects that align with Environmental Response/Health and Safety as the primary Core Capability include:

- HazMat team equipment
- HazMat team training
- Personal protective equipment for chemical/biological/radiological materials
- Air quality monitors for detecting hazardous fumes
- Satellite service for sending data from a contaminated environment; telemetry services for sending data from a contaminated environment

Fatality Management Services

Provide fatality management services, including decedent remains recovery and victim identification, working with local, state, tribal, territorial, insular area, and Federal authorities to provide mortuary processes, temporary storage or permanent internment solutions, sharing information with mass care services for the purpose of reunifying family members and caregivers with missing persons/remains, and providing counseling to the bereaved.

Examples of projects that align with Fatality Management Services as the primary Core Capability include:

- Body bags
- Refrigerated trailers
- Coroner mass fatality response training
- Coroner equipment
- Mass fatality plans
- G0386: Mass Fatalities Incident Response Course
- AWR-232: Mass Fatalities Planning and Response for Rural Communities

Fire Management and Suppression

Provide structural, wildland, and specialized firefighting capabilities to manage and suppress fires of all types, kinds, and complexities while protecting the lives, property, and the environment in the affected area.

Examples of projects that align with Fire Management and Suppression as the primary Core Capability include:

- Self-contained breathing apparatus for fire response strike teams
- Firefighter structural protection gear-jackets, pants, boots, and helmets
- Firefighting turnouts to protect firefighters
- Breathing support air compressor cascade system with high pressure capability
- Specialized vehicle designed to expand the regional and local water delivery system in the county
- R0614: Wildland Urban Interface: Fire-Adapted Communities
- R0837: Wildland Urban Interface: Fire-Adapted Communities
- S-130: Firefighter Training
- S-190: Introduction to Wildland Fire Behavior

Infrastructure Systems

Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.

Examples of projects that align with Infrastructure Systems as the primary Core Capability include:

- Restoration of lifelines planning or assessment projects - water, power, wastewater
- Infrastructure Systems Recovery Support Function plan
- MGT-342: Strategic Overview of Disaster Management for Water and Wastewater Utilities
- MGT-343: Disaster Management for Water and Wastewater Utilities
- MGT-345: Disaster Management for Electric Power Systems
- Multi-purpose generators for critical lifeline infrastructure restoration
 - Note: A generator links to a primary capability based on the function the generator is designed to restore and maintain. The acquisition of the generator alone does not determine the capability invoked. For example, a generator for a mass care shelter would link to “Mass Care Services,” and a generator for an EOC would link to “Operational Coordination.”

Logistics and Supply Chain Management

Deliver essential commodities, equipment, and services in support of impacted communities and survivors, to include emergency power and fuel support, as well as the coordination of access to community staples. Synchronize logistics capabilities and enable the restoration of impacted supply chains.

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Examples of projects that align with Logistics and Supply Chain Management as the primary Core Capability include:

- Emergency Function (EF) #7 plans or updates
- Funding for staff to coordinate federal 1033/1122 equipment acquisition programs
- Equipment acquisition contracts
- Logistical supply trailers
- Commodity point of distribution plans

Mass Care Services

Provide life-sustaining and human services to the affected population, to include hydration, feeding, sheltering, temporary housing, evacuee support, reunification, and distribution of emergency supplies.

Examples of projects that align with Mass Care Services as the primary Core Capability include:

- Developing a shelter operations plan
- Shelter operations training for staff
- Shelter assessment and evaluation projects
- Mass care shelter exercise
- E0411: Mass Care/Emergency Assistance Support for Field Operations
- E0417: Mass Care/Emergency Assistance Shelter Field Guide Training
- E0418: Mass Care/Emergency Assistance Planning and Operations
- E0459: IA Mass Care Program Specialist Surge Training

Mass Search and Rescue Operations

Deliver traditional and atypical search and rescue capabilities, including personnel, services, animals, and assets to survivors in need, with the goal of saving the greatest number of endangered lives in the shortest time possible.

Examples of projects that align with Mass Search and Rescue Operations as the primary Core Capability include:

- Urban search and rescue team training
- Urban search and rescue team equipment
- Swift water rescue equipment
- Rehabilitation trailer for OES, and the volunteer search and rescue team
- Fire rescue strut kit
- Thermal imaging cameras for the fire department
- PER-213: Wide Area Search
- PER-334: Search and Rescue in Community Disasters

On-scene Security, Protection, and Law Enforcement

Ensure a safe and secure environment through law enforcement and related security and protection operations for people and communities located within affected areas, and also for response personnel engaged in lifesaving and life-sustaining operations.

Examples of projects that align with On-scene Security, Protection, and Law Enforcement as the primary Core Capability include:

- Bomb squad equipment or training
- Mobile field force equipment or training
- Public safety dive team equipment or training for law enforcement purposes
- Personal Protective Equipment (PPE) for warm zone protection (explosives/ballistics) for fire and paramedic rescue task force operations
- Ballistic vests/helmets for non-SWAT officers
- PER-200: Field Force Operations
- PER-264: Law Enforcement Protective Measures for CBRNE Incidents

Operational Communications

Ensure the capacity for timely communications in support of security, situational awareness, and operations by any and all means available, among and between affected communities in the impact area and all response forces.

Examples of projects that align with Operational Communications as the primary Core Capability include:

- Radios
- 911 dispatch systems and upgrades
- Towers/repeater sites/antennas
- Tactical Interoperable Communications Plan (TICP) updates
- Statewide Communication Interoperability Plan (SCIP) updates
- Pagers and other equipment used for first responder notifications
- Mednet communications system for emergency medical response

Public Health, Healthcare, and Emergency Medical Services

Provide lifesaving medical treatment via Emergency Medical Services and related operations and avoid additional disease and injury by providing targeted public health, medical, and behavioral health support, and products to all affected populations.

Examples of projects that align with Public Health, Healthcare, and Emergency Medical Services as the primary Core Capability include:

- Auto injectors
- Mass dispensing exercises

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- Tactical Emergency Medical System (TEMS) training
- BioWatch exercise
- First aid kits
- Mass casualty response plan
- Lease space for storage of strategic critical medical equipment
- Refrigeration equipment to store bio-terrorism, pandemic and disease specimens
- Disease control program response vehicle
- Medical Reserve Corps training and planning
- Continuity of operations plan for the public health department
- Medical bags for first responders
- EMS patient tracking systems
- Public health laboratory equipment
- AWR-111-W: Basic Emergency Medical Services Concepts for CBRNE Events
- AWR-323-W: Disease Containment Measures
- AWR-900: Framework for Healthcare Emergency Management

Situational Assessment

Provide all decision makers with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, and the status of the response.

Examples of projects that align with Situational Assessment as the primary Core Capability include:

- Situation or damage assessment team training
- AWR-160: Standardized Awareness Training
- E0143: Advanced Situational Awareness and Common Operating Picture
- E0948: Situational Awareness and Common Operating Picture
- Situation or damage assessment equipment

Economic Recovery

Return economic and business activities (including food and agriculture) to a healthy state and develop new business and employment opportunities that result in an economically viable community.

Examples of projects that align with Economic Recovery as the primary Core Capability include:

- Economic Recovery Support Function training or plan
- FEMA Public Assistance training
- IS0394.a: Protecting Your Home or Small Business from Disaster

Health and Social Services

Restore and improve health and social services capabilities and networks to promote the resilience, independence, health (including behavioral health), and well-being of the whole community.

Examples of projects that align with Health and Social Services as the primary Core Capability include:

- Hospital post disaster restoration plan
- Health and Social Services Recovery Support Function plan or annex
- Post-incident Psychological Evaluation Teams
- E0352: Crisis Counseling Assistance and Training Program: Training State Trainers
- Critical Incident Stress Management Teams
- Family Assistance Center plans

Housing

Implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.

Examples of projects that align with Housing as the primary Core Capability include:

- Regional or State Housing Plans
- Post disaster housing needs assessments
- E0416: Individual Assistance Housing Group Supervisor
- G0282.2: Manufactured Homes and the National Flood Insurance Program

Natural and Cultural Resources

Protect natural and cultural resources and historic properties through appropriate planning, mitigation, response, and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and best practices and in compliance with applicable environmental and historic preservation laws and executive orders.

Examples of projects that align with Natural and Cultural Resources as the primary Core Capability include:

- Plans to sustain cultural resources following a disaster
- Environmental and historic preservation compliance training

Appendix A
Sample Projects, Investment Justifications, and Core Capabilities

Project	Project Description	IJ No.	Primary Core Capability
1	The County OES will hire a consultant to update the County EOP, and multiple support annexes, including Mass Care, Transportation, and Logistics, in 2018 to enhance incident response operations for all hazards, including catastrophic acts of terrorism.	9	Operational Coordination
2	The region will provide "Rescue Systems II Training" to approximately 100 county-wide fire fighters in 2018-2019 on advanced heavy rescue system techniques by addressing structural building types, wood and mechanical shores, crib capacities, floor weight calculations, building search, confined space considerations, damaged structure hazard assessment, use of power tools, air bags, to conduct rescue operations following a terrorist attack or other hazard.	9	Mass Search and Rescue Operations
3	County OES will pay salaries of OES personnel to address day-to-day SHSP grants management and administration activities for the county for the full period of performance of the grant.	6	Planning
4	The county will purchase the Mednet Communications System in 2018 to enhance the ability of emergency medical personnel across the county to communicate and share information during a mass casualty incident.	4	Operational Communications
5	The urban area will pay the salaries for 2 critical infrastructure protection analysts in the regional fusion center to conduct critical asset inventories and terrorism and other risk analyses for public and private sector owners and operators of critical infrastructure and special events in the region.	1	Risk Management for Protection Programs and Activities
6	The city will host a countering violent extremism workshop in 2019 with community leaders, religious leaders, academics and others to discuss ways to detect and prevent violent extremism among young people in the community, and issue a summary report that same year from the workshop's findings that will be shared across the city and with the State's PVE office.	6	Planning
7	The coroner will purchase 1 Decedent Storage Response Vehicle in 2019 to respond to mass casualty incidents in the county, and serve as a mutual aid resource.	9	Mass Fatality Services

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Project	Project Description	IJ No.	Primary Core Capability
8	County OES will pay the annual subscription cost for the countywide public Emergency Notification System for all hazards, which allows the county to issue alerts and warning to the entire population of the county.	4	Public Information and Warning
9	The county will purchase 10 self-contained breathing apparatus units in 2018 for fire departments in rural areas of the county to fight fires.	9	Fire Management and Suppression
10	Upgrade the county public health department's existing refrigeration equipment in 2019 to store disease specimens to enhance bio terrorism preparedness through research and other activities.	5	Public Health, Healthcare, and Emergency Medical Systems
11	County OES will acquire vests, flashlights, blankets and other equipment for the county's Community Emergency Response Team in 2018 to support response agencies across the county for all hazards.	7	Community Resilience
12	The sheriff's department will purchase portable fencing, pens, and crates in 2019 for livestock containment during catastrophic incidents.	2	Supply Chain Integrity and Security
13	The city will hire 1 cybersecurity analyst starting in 2019 to work in the city's cybersecurity operations center where the analyst will monitor and respond to malicious cyber activity against the city's network.	3	Cybersecurity
14	The urban area will fund an enterprise license for the use of the CalCOP risk management software system in the region's fusion center to support risk analysis activities across the region in support of public safety operations, special event planning, and other planning and operational activities.	1	Risk and Disaster Resilience Assessment
15	Provide training to 100 volunteers on Community Mass Care and Emergency Assistance (G108) to address catastrophic incidents that displace people from their homes.	9	Mass Care Services
16	The urban area training and exercise coordinator will acquire an Emergency Management Simulation Table in 2018 for the region to train and exercise first responders on decision making in a wide-variety of natural disaster and terrorism scenarios.	10	Planning
17	The County Fire Department will purchase 41 ballistic vests in 2018 to protect county fire and EMS staff in the warm zone in response to active shooter and complex coordinated terrorist attack events.	9	On-scene Security, Protection, and Law Enforcement

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Project	Project Description	IJ No.	Primary Core Capability
18	The county will acquire 1 armored vehicle for the sheriff's department's law enforcement tactical team in 2018 for use in response to active shooter and complex coordinated attacks to rescue victims, and engage suspects to more rapidly end the attacks.	9	Interdiction and Disruption
19	The county will purchase and install 1 security gate, and 1 camera at the back entrance of the sheriff's main office to deter and detect intruders. The camera will be monitored part-time and will record and store data for up to 30 days.	2	Physical Protective Measures
20	The urban area will hire a consultant to design, deliver, and evaluate a full-scale exercise in 2019 involving a mass fatality event in a major city in the region. The goal is to test coordination between the city, regional partners, and the Red Cross in establishing, running, and demobilizing a Family Assistance Center following the mass fatality event.	9	Health and Social Services
21	The City Fire Department will purchase a set of equipment in 2019, including chemical protective clothing, field testing, detection equipment, air monitoring, sampling, and radiation detection equipment for the agency's Type 2 HazMat response team to ensure the team can maintain its Type 2 rating over the coming years. This is required due to the threat posed by accidental and intentional releases of hazardous materials in this densely populated city.	9	Environmental Response, Health, and Safety