

Investment Justification

A. Investment Justification Overview.

As part of the application process, applicants must develop a formal Investment Justification that addresses each initiative being proposed for funding. These Investment Justifications must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities.

Applicants may propose up to three investments within their Investment Justification.

The Investment Justification must demonstrate the ability of the applicant to provide tangible, physical security enhancements consistent with the purpose of the program and guidance provided by DHS. Applicants must ensure that the Investment Justification is consistent with all applicable requirements outlined in this application kit.

B. Investment Justification Template.

PSGP applicants must provide information in the following categories for each proposed Investment:

1. Background;
2. Strategic and program priorities;
3. Impact;
4. Funding and Implementation Plan.

Investment Heading	
Port Area	
Applicant Organization	
Investment Name	
Investment Amount	\$

I. Background.

Note: This section only needs to be completed once per application, regardless of the number of Investments proposed. The information in this section provides background and context for the Investment(s) requested, but does not represent the evaluation criteria used by DHS for rating individual Investment proposals.

I.A. Provide a brief abstract for this Investment.	
Response Type	Narrative
Page Limit	Not to exceed 1 page
Response Instructions	Provide a succinct statement summarizing this Investment.

I.A. Response

I.B. Provide an overview of the port system in which this Investment will take place.

Response Type	Narrative
Page Limit	Not to exceed 2 pages
Response Instructions	<ul style="list-style-type: none"> • Area of Operations: <ul style="list-style-type: none"> ○ Identify COTP Zone ○ Identify eligible port area • Point(s) of contact for organization: <ul style="list-style-type: none"> ○ Identify the organization’s Authorizing Official for entering into grant agreement. ○ Identify the organization’s primary point of contact for management of the project(s). • Ownership or Operation: <ul style="list-style-type: none"> ○ Identify whether the applicant is: (1) a private entity; (2) a state or local agency; or (3) a consortium composed of local stakeholder groups (i.e., river groups, ports, or terminal associations) representing federally regulated ports, terminals, US inspected passenger vessels or ferries. • Role in providing layered protection of regulated entities (applicable to State or local agencies, consortia and associations only): <ul style="list-style-type: none"> ○ Identify the specific regulated entities to which you are providing layered protection. ○ Describe your organization’s specific roles, responsibilities and activities in delivering layered protection. • Infrastructure: <ul style="list-style-type: none"> ○ Describe the type, quantity and significance of infrastructure to be protected through the prospective grant. Identify who the infrastructure is owned or operated by, if not by your own organization. • Nature of Operations: <ul style="list-style-type: none"> ○ Provide a brief summary of the character and scope of your operations. ○ Provide specific data/annual statistics that relate to your specific port project (for port applications), terminal project (for terminal applications), waterways, US inspected passenger vessel or ferry projects: <ul style="list-style-type: none"> ▪ Type and volume of cargo (annual statistics, if applicable) ▪ Type and volume of hazardous materials (annual statistics, if applicable) ▪ Number of passengers (annual statistics, if applicable) ▪ Number of vessels owned (if applicable) <p><i>Note: Terminals and vessels cannot rely on aggregated port statistics.</i></p> <ul style="list-style-type: none"> • Other important features: <ul style="list-style-type: none"> ○ Describe any other operational issues you deem important to the consideration of your application (e.g., interrelationship of your operations with other eligible high-risk ports, etc.).

I.B. Response

I.B. Response (cont.)

I.C. Describe the applicant's current and required capabilities.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Describe your organization's current and required capabilities related to Maritime Domain Awareness. • Describe your organization's current and required IED prevention, detection, response and recovery capabilities. • Describe your organization's current and required training and exercise activities.

I.C. Response

II. Strategic and Program Priorities

II.A. Describe how the Investment will address one or more of the National Port Security Priorities.	
Response Type	Narrative
Page Limit	Not to exceed 1 page
Response Instructions	<ul style="list-style-type: none"> • Describe how, and the extent to which, the proposed investment addresses: <ul style="list-style-type: none"> ○ Enhancement of Maritime Domain Awareness ○ Enhancement of prevention, detection, response and recovery capabilities for: <ul style="list-style-type: none"> ▪ IED attacks involving small craft or underwater swimmers ▪ IED attacks on passenger and/or vehicle ferries • Training and exercises • TWIC implementation projects

II.A. Response

II.B. Describe how the Investment will support priorities outlined in the applicable Area Maritime Security Plan (mandated under the MTSA).

Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	Describe how the investment will support priorities outlined in the applicable Area Maritime Security Plan

II.B. Response

II.C. Describe how the Investment supports any COTP Port-specific security priorities.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	Describe how the investment supports any port-specific security priorities as set forth by the appropriate COTP

II.C. Response

II.D. Describe how this Investment will support one or more of the Priorities of the National Preparedness Guidelines.

Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none">• Explain how this investment will support one or more of the following National Preparedness Priorities:<ul style="list-style-type: none">○ Expanding regional collaboration;○ Implementing the National Incident Management System and the National Response Framework;○ Implementing the National Infrastructure Protection Plan;○ Strengthening information sharing and collaboration capabilities;○ Enhancing interoperable communications capabilities; and,○ Strengthening CBRNE detection and response capabilities. <p><i>Note: At a minimum, the Investment must support implementation of the National Infrastructure Protection Plan (NIPP).</i></p>

II.D. Response

III. Impact

III.A. Describe how the project offers the highest risk reduction potential at the least cost.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none">• Discuss the how the project will reduce risk in a cost effective manner.<ul style="list-style-type: none">○ Discuss how this investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) by addressing the needs and priorities identified in earlier analysis and review.○ Identify the nature of the risk, why you consider it a risk, and how the risk and need are related to show how addressing the need through this investment will also mitigate risk (e.g., reduce vulnerabilities or mitigate the consequences of an event).

III.A. Response

III.B. Describe what the potential homeland security risks of not funding this Investment are.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Consider the risks that already exist and will be more prevalent and/or any new risks that will result if this Investment is not funded and implemented. • Briefly discuss potential outcomes if this risk is not addressed – explain what vulnerabilities will not be reduced or what potential consequences will not be mitigated.

III.B. Response

IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Numeric and Narrative
Page Limit	Not to exceed 1 page
Response Instructions	<ul style="list-style-type: none"> • Complete the chart below to identify the amount of funding you are requesting for <u>this investment only</u>; • Funds should be requested by allowable cost categories (as identified in the FY 2008 PSGP <u>Guidance and Application Kit</u>); • Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular Investment; and, • Applicants must indicate whether additional funding (non-FY 2008 PSGP) will be leveraged for this investment. Applicants must provide additional information in question IV.E, indicating the funding source(s) and how those funds will be leveraged. <p><i>Note: Investments will be evaluated on the expected impact on security relative to the amount of the investment (i.e., cost effectiveness). An itemized Budget Detail Worksheet and Budget Narrative must also be completed for this investment. See Appendix G of this document for a sample format.</i></p>

The following template illustrates how the applicants should indicate the amount of FY 2008 PSGP funding required for the investment, how these funds will be allocated across the cost elements, and the required cash match:

	FY 2008 PSGP Request Total	Cash Match	Grand Total
<i>Maritime Domain Awareness</i>			
<i>Prevention, Protection, Response and Recovery Capabilities</i>			
<i>Training</i>			
<i>Exercises</i>			
<i>TWIC Implementation</i>			
<i>M&A</i>			
Total			

IV.A. Response

IV.B. Identify up to five (5) potential challenges to the effective implementation of this investment (e.g., stakeholder buy-in, sustainability, aggressive timelines).

Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none">• For each identified challenge, provide a brief description of how the challenge will be addressed and mitigated, and indicate a probability of occurrence (high, medium, or low);• The response should focus on the implementation only;• Consider the necessary steps and stages that will be required for successful implementation of the Investment;• Identify areas of possible concern or potential pitfalls in terms of Investment implementation; and,• Explain why those areas present the greatest challenge to a successful Investment implementation.

IV.B. Response

IV.C. Describe the management team, including roles and responsibilities, that will be accountable for the oversight and implementation of this Investment, and the overall management approach they will apply for the implementation of this investment.

Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Provide the high-level skill sets (e.g., budget execution, grant administration, geospatial expert, outreach and communication liaison) that members of the management team must possess for the successful implementation and oversight of the investment. • Discuss how those skill sets fulfill the oversight and execution responsibilities for the investment, and how the management roles and responsibilities will be distributed or assigned among the management team. • Explain how the management team members will organize and work together in order to successfully manage the investment.

IV.C. Response

IV.D. Discuss funding resources beyond FY 2008 PSGP that have been identified and will be leveraged to support the implementation and sustainment of this investment.

Response Type	Numeric and Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none">• In addition to the required cash match, discuss other funding sources (e.g., non-PSGP grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this investment;• If no other funding resources have been identified beyond the required cash match, or if none are necessary, provide rationale as to why the requested FY 2008 PSGP funding is sufficient for the implementation and sustainment of this investment.

IV.D. Response

IV.E. Provide a high-level timeline, milestones and dates, for the implementation of this Investment. Possible areas for inclusion are: stakeholder engagement, planning, major acquisitions or purchases, training, exercises, and process/policy updates. Up to 10 milestones may be provided.

Response Type	Narrative
Page Limit	Not to exceed 1 page
Response Instructions	<ul style="list-style-type: none"> • Only include major milestones that are critical to the success of the Investment; • While up to 10 milestones may be provided, applicants should only list as many milestones as necessary; • Milestones are for this discrete Investment – those that are covered by the requested FY 2008 PSGP funds and will be completed over the 36-month grant period; • Milestones should be kept to high-level, major tasks that will need to occur; • Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone; • Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and, • List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).

IV.E. Response

IV.F. Describe the planned duration for this overall Investment. Discuss your long-term sustainability plans for the investment after your FY 2008 PSGP funds have been expended, if applicable.

Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Give the expected total life-span for this investment if fully implemented and sustained through completion. • Consider how this Investment will be sustained and funded after FY 2008 PSGP funds are expended, if applicable. • Include information about resource needs (e.g., personnel, processes, and tools), as well as critical governance needs. • List critical milestones that are outside of the FY 2008 PSGP grant period, and how those milestones will be met with the identified funding and resources.

IV.F. Response

IV.G. Describe the technical implementation plan for this investment. Discuss the innovativeness of the solution proposed.

Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<ul style="list-style-type: none"> • Define the vision, goals, and objectives for the risk reduction. Summarize how the proposed investment will fit into the overall effort to meet the critical infrastructure security priorities (including integration into existing security protocols). • Describe the specific needs and/or resource limitations that need to be addressed. • Identify specific equipment needs (e.g., number of facility cameras, number of security lights, amount of security fencing, etc.) and other details for training, awareness, exercises and other programs, if applicable (e.g., number of people to be trained, length of training, type of training, number of printed materials, number of agencies and staff members involved in exercise planning, execution, and review). • Describe progress made on the security project this Investment will be completing, if applicable. • Reference use of prior year grant funds, if applicable.

IV.G Response