



SECURITY FUNDING OPPORTUNITIES:

Lessons & Observations from Successful Water & Wastewater Utilities

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American Water Works
Association

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PREFACE AND ACKNOWLEDGEMENTS

This *Security Funding Opportunities: Lessons & Observations from Successful Water & Wastewater Utilities* report was written to help utilities understand where funding is available for use with security upgrades and how to apply for it. The information found herein was brought together by research of existing publications and interviews with utilities that have been successful in receiving funding from a variety of resources. It is the authors' hope that this information will provide guidance and inspiration to utilities in their quest for funding.

Current information on Federal Funding can be found at the following websites:

Department of Homeland Security Overall Grant Website:
<http://www.dhs.gov/xopnbiz/grants/>

State Contacts and Grant Award Information:

<http://www.dhs.gov/xgovt/grants/index.shtm>

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OVERVIEW AND PURPOSE

Since being codified into public law under the Safe Drinking Water Act and the Federal Water Pollution Control Act, our nation's drinking water and wastewater systems' (here after referred to collectively as the *water sector*) primary function, as traditional stewards of public and environmental health, has always been to provide basic levels of safety and security. However, today's unfortunate reality in regards to terrorism and general risk management has elevated the water sector's needs to assess and implement appropriate risk mitigation actions.

Likely one of the earliest documented recognitions of the potential terrorist threat to the water sector comes from J. Edgar Hoover shortly before the Japanese invasion of Pearl Harbor. During an interview with AWWA in 1941, Hoover noted that, "It has long been recognized that among public utilities, water supply facilities offer a particularly vulnerable point of attack to the foreign agent, due to the strategic position they occupy in keeping the wheels of industry turning and in preserving the health and morale of the American populace".

In 2003 and 2004, water utilities quickly responded to the mandates put forward under the Bioterrorism Act and carried out vulnerability assessments (VAs) and developed emergency response plans (ERP). In fact, the Environmental Protection Agency reported that nearly 100% of drinking water utilities successfully met these requirements within the mandated time frame.

A key component of each VA was a risk reduction implementation plan that outlined specific risk reduction measures and identified planning level costs. These plans included physical security improvements, such as fencing and closed circuit televisions cameras, and/or emergency response improvements, such as the purchase of emergency generators or the training of utility personnel.

Suffice it to say, most security or emergency response improvements came with a price tag, and while some utilities received federal assistance to complete their VAs, obtaining funding to execute specific risk reduction measures seemed to be another matter. While tens of millions of federal dollars have been spent on improving the security of the nation's infrastructure, very little has gone to address the needs of the water sector. Additionally, to implement risk reduction measures, local utility owners and operators faced difficult resource allocation decisions because security and preparedness needs must compete with regulatory compliance and other operating expenses.

Financing options for utilities are basically limited to three principle sources —rate increases, loans or bonds, and grants. The first two options typically are closely connected and often face political barriers due to the negative associations with increased taxes. Grants programs, however, offer a viable resource that water sector utilities are eligible to access provided they satisfy some basic criteria.

However, while information has been made available to water and wastewater utilities in regards to available federal monies, many utilities still are not aware of their eligibility to access the various funding opportunities to support their security and emergency response upgrades. The local process for distribution of security funding varies widely from state to state or even county to county, and the application, eligibility, and allocation process remain a mystery to many water and wastewater utility leaders.

To address this issue, AWWA initiated the development of this report — *Security Funding Opportunities: Lessons & Observations from Successful Water & Wastewater Utilities*. It provides specific examples of water and wastewater utilities that have successfully secured federal or state funding to purchase or install security hardware or obtain emergency response training and to provide lessons learned from multiple utilities and grant programs.

The *Security Funding Opportunities* report is intended to provide a broad range of examples, which illustrate projects that:

- Have been financed with federal or local grants or low interest loans
- Have been executed at water or wastewater utilities
- Included the purchase or installation of physical security hardware or emergency response planning, exercising, or training.

In addition, the *Security Funding Opportunities* report provides specific information on resources available in Alabama, Delaware, California, Florida, and Texas. This information includes funding criteria, contact information, and tentative application schedules.

It is the hope of AWWA that the case studies will provide concrete guidance to utilities in their effort to access and successfully obtain funding for improving their security and emergency response capabilities.

Going Forward

The ability of the water sector to effectively manage risk in an all-hazards environment will continue to be challenged by our evolving knowledge of risk, threat, vulnerability, and consequence.



The drinking water community has already been mandated to prepare and submit VAs and ERPs to the USEPA. This essentially placed a liability burden on utilities by forcing them to discover potentially hazardous conditions. Therefore, from a risk management perspective, it is in a utilities' interest to undertake some level of action to mitigate the hazard potential.

As the water sector continues to evaluate its progress in reaching the milestones established under the Bioterrorism Act and the Water Sector Specific Plan, there could be pressure to take legislative or regulatory action if it appears that sector progress is deficient. In fact, there is already discussion related to the water sector's exemption from the Chemical Facility Anti-Terrorism Standards (CFATS), with specific focus being placed on the sector's use of gaseous chlorine. The CFATS program imposes risk based performance standards on any entity that triggers the rule in order to ensure that materials are secured in an appropriate manner to mitigate the potential for theft, sabotage, or intentional release. Therefore, there is potential for the water sector to be included in CFATS or a similar program, which would necessitate action by individual utilities to address any deficiencies in their security and preparedness program.

In contrast to the approach of regulations like CFATS, the water sector has been very quick to embrace the resiliency concept, partially as a result of the vulnerabilities and consequences exposed during the 2006 hurricane season. Resiliency is a core element of the Water Sector Specific Plan, published by the Department of Homeland Security and USEPA in May of 2007. The sector's recognition of the need to enhance response and recovery capability is best demonstrated by the rapid expansion and development of Water/Wastewater Agency Response Networks (WARNs) that allow utility-to-utility mutual aid and assistance

(see www.NationalWARN.org). The shift towards resiliency will continue to focus greater resources on preparedness efforts, including various forms of response and recovery training and exercises.

For the water sector, the contamination issue continues to be a challenge and many knowledge gaps remain, as is noted in the report "[Contamination Warning Systems: An Approach for Providing Actionable Information to Decision Makers](#)". The key for a contaminant warning system will be in defining the system capabilities and in determining what actions can be taken to mitigate risk to public health and prepare the utility for appropriate response actions. This is not limited to water quality monitoring, but also includes consumer complaint data, syndromic surveillance from the public health sector, security monitoring, and planning for consequence management.

In addition, any contaminant warning system cannot be decoupled from regulatory requirements, including the pending revisions to the Total Coliform Rule (TCR), which may in turn lead to the development of a distribution system rule. While the objectives for security and TCR are slightly different, they share similar challenges in terms of implementing a near real-time detection system. Also, obtaining funding for the implementation of risk reduction measures in the water sector will continue to be a challenge even with the renewed national focus on critical infrastructure with such events as the I-35W bridge collapse in Minneapolis.

All of these complex and inter-related issues are generally embodied in the Water Sector Specific Plan and will continue to drive the sector's efforts to support its vision for "a secure and resilient drinking water and wastewater infrastructure that provides clean and safe water as an integral part of daily life." Actions to support implementation of this vision will be necessary at all levels, but most importantly success relies on each utility's incorporation of these principles into their overall business continuity program to create a "layered defense of effective preparedness and security practices in the sector."

Kevin M. Morley
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INTRODUCTION & SUMMARY OF CASE STUDIES

Since water utilities have executed their vulnerability assessments and have implemented their risk reduction measures, a common theme has emerged — the funding challenge. Municipal utilities are grappling with budgets that are already stretched by simply providing essential services and basic capital improvements. Most utilities don't have the funds to improve their security posture as they might wish.

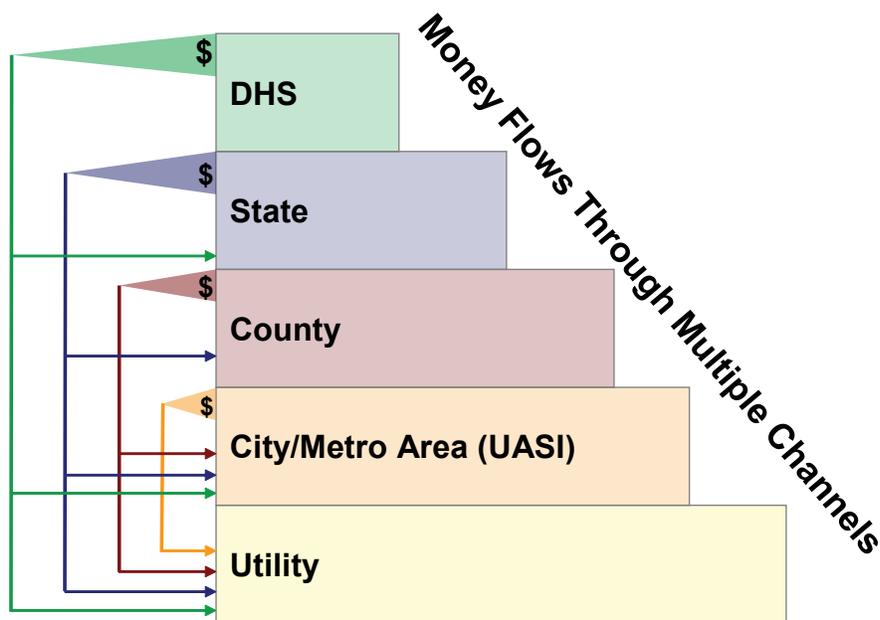
The Security Funding Opportunities: Lessons & Observations from Successful Water & Wastewater Utilities report examines the current state of security funding at both a federal and state level and identifies the best opportunities for water and wastewater utilities to obtain funding.

More importantly, the report collects the “key lessons learned” from ten utilities across the country who have successfully obtained state or federal funding to implement security upgrades. These lessons demonstrate that utility leaders who have successfully obtained funding consistently did the following things:

- **Be Persistent.** *Continue to pursue funding despite being turned down in the past. Many grants that were initially given exclusively to fire and police are now considered for other aspects of critical infrastructure.*
- **Be Prepared.** *Have risk reduction plans in place well in advance of the emergence of the specific funding opportunity. Many times a plan was initiated as part of a vulnerability assessment and having such a plan often allows the funding body to feel secure that funds will be spent on projects that will come to fruition.*
- **Make End-of-Fiscal-Year Requests.** *Be prepared to make requests of any remaining funds from the block grants if other recipients fail to spend their funds before the deadline.*
- **Network and Educate.** *Actively reach out to, and educate, the individuals that populate the funding bodies; individuals who are often unfamiliar with the water and wastewater sector. Oftentimes these individuals are from the first responder community.*
- **Tailor Your Application:** *Go out of your way to understand the goals of the granting organization and take the effort to tailor applications to closely match the stated funding criteria.*
- **Think Outside the Box.** *Be inventive in packaging projects and creative in gathering support for funding requests.*
- **Use Grant Writers:** *Use outside help when it is warranted – often this is grant writing or engineering help. In addition, actively follow the grant through the approval process to catch clerical errors or other snafus that could jeopardize its approval.*

In order to find secrets to a successful grant application, ten utilities were interviewed to discuss their grant applications. The interviews became Case Studies and have been summarized in the following section. These Case Studies cover utilities across entire spectrum of big and small, north and south, east and west. They also cover grant applications from \$10,000 to the multi-millions. The Case Studies are organized to provide a brief overview of the grant, some key lessons learned, and the overall story of the application from start to finish.

Please see Appendix A2 for the entire transcript of the interviews which contain additional valuable information and insight.



ALABAMA:

Birmingham Water Works and Sewer Board

Summary

The Birmingham Water Works and Sewer Board (BWWSB) in Birmingham, Alabama received a \$1 million dollar Hazard Mitigation grant from FEMA. The grant was used to purchase a generator for a critical pump station. The application was submitted in April of 2006 and was approved at State level later that year. As of this publication the grant has been approved by the State of Alabama and has been forwarded to the regional FEMA office in Atlanta. It was tentatively approved at Federal level until the 500 year flood requirement was added by FEMA.

Key Lessons Learned

- **Be Prepared.** *This utility recognized the need for a generator during the execution of their Vulnerability Assessment (VA) and had already begun planning to fund the work.*
- **Network.** *This utility found out about the grant from the Director of the County Emergency Management Agency (EMA). The Director knew the BWWSB had a need for generators so when he came across a grant specifically for generators he encouraged them to apply.*
- **Use Grant Writers.** *Writing the grant properly helps prevents clerical delays that could result in a missed deadline. Getting the application into the proper channels and having contacts in the granting organization can also prevents delays. This is absolutely necessary.*

Story

This Utility's VA highly recommended auxiliary power for their critical facilities. The total cost for these upgrades was expected to be between 15 and 20 million dollars. The BWWSB was gradually setting aside funds to complete this upgrade when the local EMA alerted them to the fact that a FEMA Hazard Mitigation grant exclusively designated for auxiliary power had been created in Alabama for areas affected by Katrina.

Under guidance from the Governor, the EMA was funding small water and wastewater utilities starting at the Gulf of Mexico and working north. The Security Director reached out to a contact that specialized in FEMA grants and asked him to look into this particular grant. He did so and informed the BWWSB that due to their geographical location in the middle of the state he expected the grant funds to be exhausted before their needs would be addressed.

The Security Director reached out to the EMA and was told they were funding the utilities located in the southern part of the State. Since the BWWSB serves over one quarter of the State's population (roughly 1 million people) the Security Director decided to petition the Governor to alter his original policy to include the Birmingham Water Works.

The Security Director arranged for a meeting with the Governor and prepared a written case showing how the BWWSB uniquely fit the grant objectives and how they had already demonstrated their commitment to security. In addition to a written case, the utility also arranged to have State Senators and Representatives attend the meeting with the Governor to provide support. By drawing attention to their size and number of people they serve they convinced the Governor to direct the EMA to reprioritize the grant to include the BWWSB.

DELAWARE:

Wilmington Water Department

Summary

The Wilmington Water Department (Water Department) in Wilmington, Delaware received a \$173,000 Department of Homeland Security block grant from the Delaware Emergency Management Administration (DEMA). The grant was used for the acquisition of a variety of security related equipment. Items funded included software, chemical test kits, locks, ladder guards and an emergency generator. The grant was awarded several months after the request. The funds had to be spent in full one year after award.

Key Lessons Learned

- **Be Persistent.** *If funding is offered every year, be sure to apply every year. It helps to informally build your case.*
- **Educate.** *Let your local or regional grant administrators know the role that you play in supporting the first responders. Request that they notify you of any upcoming deadlines or other opportunities.*
- **Make End of Fiscal Year Requests.** *Be prepared to make requests for any remaining funds from the block grants if other recipients fail to spend the all their funds before the deadline.*
- **Network.** *This utility found out about the grant by attending the DEMA meetings. The local or regional emergency responder entities are a good resource of information and may be more likely to receive funding.*

Story

Every year DEMA makes public the funding sources through the Public Works Working Group. The group meets approximately every other month and includes representatives from a variety of public works areas and municipalities as well as emergency services personnel. The Water Department helped to informally build its case for funding by attend the Working Group meetings and other task force meetings. They also highlighted how their proposal specifically addressed weaknesses identified in their Vulnerability Assessment.

The grant proposal was made to the group and the leadership forwarded the request and budget to the State to be included in its annual block grant application. (In recent years, requests have been funded at about 30% of the amount budgeted.)

After award, the funds had to be spent within one year and were only permitted for use for equipment purchases. Smaller items were purchased directly by DEMA against the grant amount. The larger, specialty item was purchased by the City and funds were reimbursed.

GEORGIA:

City of Atlanta Watershed Department

Summary

The Department of Watershed Management (the Department) has not received funding with the exception of the Vulnerability Assessment Grant. However, it is expected to receive UASI funding this year.

Key Lessons Learned

- **Educate.** *Work with your local first responders to make them understand that they can't do their role without your support and let them know your security needs. They may not be aware of how important you really are.*
- **Leverage Your Assets.** *This Utility utilizes their public relations and communications departments to help spread the message of the importance of water and wastewater in the business and the emergency response communities.*
- **Make a File.** *The Director collects all the material she might need for a grant application and keeps it handy. The file includes equipment lists and costing information.*
- **Make End of Fiscal Year Requests.** *Sometimes funding has to be spent by the end of a fiscal year or it is lost. Near the end of the fiscal year ask around to see if there is any money that needs to be spent. With all of the information collected in the file (see above) any quick deadline won't be a problem.*
- **Network.** *It is often impossible to stay on top of all the potential opportunities. Add your department to the distribution list for the local Emergency or All Hazards Committees. This allows you to stay abreast of what is going on.*
- **Talk the Talk.** *Ask for what you want in language that the funding body will understand, not necessarily the nomenclature that you are used to. This will increase your chances of winning your grant.*
- **Use Grant Writers.** *Your police or fire department may already have grant writers on staff. They may understand a bit more about the national infrastructure security plan and they may be able to see how to form partnerships with some of the other infrastructure representatives. Reach out and see.*

INDIANA:

South Bend Water Works Department

Summary

The Water Works Department of South Bend, Indiana received a \$10,000 dollar education grant from their Local Emergency Planning Commission (LEPC). The grant was used for an Indiana Incident Command Training Class. The application was submitted in March of 2006 and the class had to be completed by January of 2007.

Key Lessons Learned

- **Be Persistent.** *The Director worked for three years to receive this grant.*
- **Network.** *The Director of this utility found out about the grant by attending LEPC meetings even though most of the attendees were from Fire, Police and HAZMAT.*
- **Tailor Your Application.** *The application should fit the funding. The LEPC set aside this grant specifically for education. In addition, they preferred to award it in a manner that would benefit the entire County.*
- **Use Grant Writers.** *The first grant application was rejected not due content but due to a procedural error.*

Story

After taking on the role of Emergency Planner for the Water Works of South Bend the Director of Treatment began to attend meetings of the LEPC even though the attendees were traditionally Fire, Police and HAZMAT.

During these meetings the LEPC discussed grants it had received from the Department of Homeland Security. The Director submitted an application for funding an Early Warning Detection System. The grant was rejected due to a procedural error. After learning the proper procedure and filing again the grant application was still rejected because it did not fall under the guidelines that the LEPC was using to award the grants. The LEPC had shifted its focus from the funding of the purchase of equipment to funding education programs that were available to the entire County.

The Director took this information and submitted an application that suited the LEPC's requirements by making emergency response education available to the entire County. The LEPC understood his seriousness and with all the procedural items in place the grant application was approved.

NEW JERSEY: Bergen County Utilities Authority

Summary

The Bergen County Utilities Authority (BCUA) in Little Ferry, New Jersey received a \$3 million dollar low interest loan from the New Jersey Environmental Infrastructure Financing Program (Financing Program) of the New Jersey Department of Environmental Protection. The loan was used to finance the construction of a variety of physical security upgrades at their wastewater treatment plant, including fencing, entrance redesign, guardhouses, access control and closed circuit television.

Key Lessons Learned

- **Be Persistent.** *This utility had multiple grant applications denied but continued to seek out ways to fund the necessary upgrades.*
- **Spend Money to Save Money.** *The application for the Financing Program is extensive. This utility paid an outside firm to assist them with this work. Even with this cost they are still saving tens of thousands of dollars on interest.*
- **Think Outside the Box.** *The BCUA was originally not going to fund their security project with this loan. But then somebody asked “Why not try?”.*

Story

The BCUA has a large wastewater treatment plant that serves a significant portion of northern New Jersey. After Sept. 11th they identified security as a top priority. Initially they executed a Vulnerability Assessment (VA) and update of their Emergency Response Plan.

Following the VA they pursued a number of grant opportunities with the local Office of Emergency Management and were proactive in scheduling meetings and hosting presentations detailing their needs and requirements however, no funding was forthcoming.

But the BCUA was committed to implementing their security improvements and began looking into funding the project themselves.

At the same time the BCUA was working with the Financing Program on another project and was able to successfully lobby the Financing Program to finance their security project with a low-interest loan.

The loan program application required significant effort and the BCUA recognized that they did not have the resources needed so they hired an outside consultant to help with the process.

Despite the costs associated with this assistance the BCUA will benefit from significant interest savings and they are planning to pursue this type of funding for future security upgrades.

Information on the New Jersey Environmental Infrastructure Financing Program of the New Jersey Department of Environmental Protection can be found at: <http://www.njeit.org/>

NEW JERSEY: Jersey City Municipal Utilities Authority

Summary

The Jersey City Municipal Utilities Authority (JCMUA) received a \$531,000 grant from the Morris County New Jersey Office of Emergency Management. The grant was a part of UASI funds allocated for the State of New Jersey. The grant was used for the purchase and installation of security hardware and training.

Key Lessons Learned

- **Be Prepared.** *If this utility had not had an implementation plan prepared they may not have received the grant.*
- **Network.** *The director of this utility was contacted regarding the availability of the grant from the local OEM official.*
- **Be Creative.** *When it became clear that the JCMUA had to spend over \$500,000 in three months they found a creative solution (with the help of their Contract Operator) to bidding and constructing the project quickly within the constraints of the local municipal bid laws.*

Story

The local Office of Emergency Management in Morris County, NJ contacted the Director of the JCMUA to let him know that there was over a half million dollars of unspent UASI money available. The OEM offered it to the JCMUA if they could prove a need and also could spend the money before the deadline which turned out to be about 90 days after the construction contract was awarded.

After learning of the grant the JCMUA was able to have a scope and cost estimate to the OEM within three days. The JCMUA used the implementation plan outlined in their Vulnerability Assessment as the basis for the scope and costs. In addition, they incorporated recommendations from the OEM into their scope of work.

In order to speed up the project the JCMUA leveraged their existing operations contract with a Contract Operator so that the contract could be awarded faster than the New Jersey public contracts would allow.

Thanks to careful construction administration management by the JCMUA, the Contract Operator and Consulting Engineer and the hard work of the Contractor the contract was completed on time and the grant money was spent in full.

OHIO:

Mt. Vernon Division of Water and Wastewater

Summary

Mt. Vernon received \$55,000 toward the cost of an emergency generator for a water pump station. The funding came from The Department of Homeland Security through the Ohio Emergency Management Agency (Agency). The Agency requested that the Utility apply for the funds. Several months later the Utility was awarded the grant and less than a year after that the generator was built and installed.

Key Lessons Learned

- **Be Prepared.** *In lieu of a standard application, this utility was invited to speak before its local EMA to present its case.*
- **Educate.** *This utility emphasized its own importance by stressing that the area that it serviced included a hospital, nursing homes and another village. This utility also spoke to the misconception that water and wastewater utilities have an endless supply of money because they are funded by rate payers.*
- **Network.** *This utility participated in table top exercises with its local Emergency Management Agency and local first responders. The utility was notified of the grant through a request for application letter it received from the EMA.*

Story

The utility received a letter from its local Emergency Management Agency requesting that it apply for funding by composing a list of items that it would like to be considered for funding. The EMA then invited the utility to a meeting where it could speak for 15 minutes to present these items for consideration for funding. The EMA decided to award funds for one of the items on the list, a generator.

The utility was awarded a \$55,000 grant towards the cost of an emergency generator. These funds were to be used solely for the cost of the generator and not for any soft costs such as engineering or installation. Since the total cost of the generator was \$101,290, the utility received the difference from the City of Mt. Vernon.

An administrator for this utility is a member of its local Emergency Management Agency Committee and she credits their ability to secure these funds to these relationships. To further develop its relationships with the EMA and the local first responders, the utility participated in such activities as a tabletop exercise on water contamination and a full scale exercise simulating a chlorine release held at its wastewater treatment plant.

PENNSYLVANIA: Philadelphia Water Department

Summary

Shortly after the events of September 11th, the Philadelphia Water Department received a \$725,000 grant from the Pennsylvania Department of Environmental Protection (PADEP) to establish an Early Warning Detection (EWS) system for its source water.

Key Lessons Learned

- **Be Persistent.** *The initial funding request for the EWS was submitted in 1998 but wasn't awarded until 2002.*
- **Network.** *The utility had previously received funding from the PADEP and continued to follow up with them for funding for the EWS. The PADEP approached this utility and invited them to resubmit a request once funding became available.*
- **Think Long Term.** *In addition to the grant that established the EWS this utility is pursuing funding for the yearly maintenance costs of the system.*

Story

The Philadelphia Water Department had received previous funding from PADEP to conduct source water assessments. One of the recommendations that came out of that work was to develop an Early Warning Detection system.

The initial application for funding was made in 1998 under a grant program with more of an educational focus. It was denied.

A request was resubmitted in 2001 after some additional studies were completed and the PADEP expressed an interest in funding the EWS from some newly available funds. Funds were awarded in 2002 due to the increased emphasis on security.

The EWS was developed to include a partnership of water suppliers and emergency responders throughout the coverage area, a real-time water quality monitoring network, and a notification system that enables emergency responders and other users to generate automated telephone and email notifications concerning water quality events.

A big part of developing the EWS was to strengthen the relationship with first responders and since installation the PWD and first responders have an excellent relationship.

Currently the PWD is funding the yearly costs of the EWS through their budget and subscription fees to participating utilities. They are continuing to seek funding for maintenance.

TEXAS:

Dallas Water Utilities

Summary

In 2006 Dallas Water Utilities (DWU) received a \$1M UASI Grant from the Department of Homeland Security. The funding was used to purchase two large, transportable electric generator units. This purchase does not fulfill all of the utilities needs for portable generator sets, but it does give them a head-start on a sustainable recovery plan rooted in self reliance.

In 2007 DWU was awarded a \$400K UASI Grant from DHS. The funding was 77% of the total requested and will be used to update and enhance their emergency response equipment. The short fall required the elimination of training and exercises.

Key Lessons Learned

- **Be Prepared.** Any organization has several steps they “should” take to improve their protection, response or resilience capabilities. The financial need to set priorities leaves projects/strategic purchases on waiting lists every year. Flesh out the specifications and impact statements for those “should dos” and submit them as grant requests when they meet the application criteria.
- **Tailor Your Application.** Your request for grant money must be risk based and support a well thought out mitigation plan.
- **Think Long Term.** Grants don’t show up in the proper sequence. If you have a security master plan that identifies future needs for your utility, you will recognize an opportunity to make strategic purchases when they present themselves.

Story

A strong relationship with the City’s grant coordinator was how the DWU learned that some funding might be available in 2006. DWU learned about the opportunity only a few days before the application was due in 2006. After the 2006 award DWU filed a 2007 application which was also funded at 77%.

In both cases DWU contacted their security and safety consulting team who pulled together a list of needs which met the grant criteria and consultants were asked to write a draft application for each. Since DWU is a combined water and wastewater utility they decided to request an item that could benefit both part of the organization and could be shared between them on an as-needed basis. Large electric generators, mounted on trailers to make them easy to move, became the key items requested in the grant application for 2006. The 2007 request focused on emergency equipment, training and exercises.

The DWU and the consultant worked together to fill out the on-line application. Each jurisdiction has a different process and schedule for the application process. In this case the applications were due in March of each year and the awards are made public in August of the same year.

Today DWU is working diligently to make grant applications a process rather than a mission. They believe that if you are always ready to apply for a funding opportunity, your approval ratio will be increased and the stress and time impact on the organization will be minimized.

TEXAS:

San Antonio Water Works

Summary

The San Antonio Water Works (SAWW) has made the decision that it is their responsibility to fund physical security applications by incorporating the improvements into their overall budget and as such does not apply for grants. However they have successfully partnered with other local entities to apply for assets that will be beneficial to both. In addition, their Security Director (who was interviewed) sits on the local Council of Government that reviews grant applications and was able to offer a wealth of advice.

Key Lessons Learned

- **Be Proactive.** *The SAWW made it their prerogative to get involved with their Local Emergency Planning Committee, which has aided in providing information on new opportunities and helped them stay up to date on relevant issues. In return for their efforts the Security Director was offered a seat on the Alamo Area Regional Council of Government which reviews applications and awards grants.*
- **Establish Relationships.** *The SAWW works with commercial entities to establish local support and gain access to additional emergency resources. For example, they have partners with a local supermarket chain to provide bottled water and medical aid as well as emergency vehicles for distributing them.*
- **Make End of the Fiscal Year Requests / Know your Grant Cycle.** *This rule of thumb is beneficial when applying for grants. This year's schedule is generally recycled from last year's schedule. By anticipating when grants will become available you can prepare ahead of time and have all your ducks in a row when the opportunity finally presents itself. This will ensure meeting hard deadlines.*
- **Network and Educate.** *Opening the lines of communication with fire, police, and local area utilities has provided the SAWW with the opportunity to receive benefits by "piggy-backing" off other's grants. They received \$15K in funding for Field Test Kits by adding their request onto another utility's application for grant money.*
- **Not a Member?** *It is important to make the effort and reach out to your Local Emergency Planning Committee and any other entity that controls grant money. Don't wait for someone to come to you, get involved and let your voice be heard.*
- **Think Outside the Box.** *When applying for a grant, determine how the award of this grant will benefit the region as a whole rather than just the local area. By increasing the number of beneficiaries, the likelihood of award also increases. Additionally, looking on a regional level provides opportunities to participate in large scale exercises.*
- **Use Grant Writers / Don't Reinvent the Wheel.** *Many utilities are new to the grant application process, while fire and police departments have been active participants in this process for years. Seek help and advice from these departments and their grant writers.*

Department of Homeland Security (DHS) Funding Opportunities for the Water Sector

The attached Water Security Grant and Funding Matrix (prepared by the Water Security Division Partners) contains information on major opportunities offered by the DHS and the Federal Emergency Management Agency (FEMA) for water and wastewater utilities. This information includes:

- Eligibility criteria
- Application timelines
- Available funding
- Acceptable uses of funding
- Contact information

The document is organized as follows:

Table 1:

- State Homeland Security Grant Program (SHSP)
- Urban Areas Security Initiative (UASI)
- Emergency Management Performance Grants (EMPG)

Table 2:

- Buffer Zone Protection Plan (BZPP)
- Pre-Disaster Mitigation Program (PDM)

Table 3:

- Web site links for each grant program.

Table 1. Homeland Security Grant Program (HSGP) and Emergency Management Performance Grants (EMPG)

Program	Homeland Security Grant Program (HSGP)		Emergency Management Performance Grants (EMPG)
	State Homeland Security Grant Program (SHSP)	Urban Areas Security Initiative (UASI)	
National Incident Management System (NIMS)	SHSP supports the implementation of the NIMS. Funding can be used for NIMS related activities such as evaluating prevention and response plans, policy, procedures, and protocols, including NIMS, the National Response Plan (NRP), and State and local Emergency Operations Plans (EOP).		EMPG funds may be used for the following activities related to NIMS: <ul style="list-style-type: none"> • Planning for NIMS implementation • Modifying existing incident management and emergency operations plans to ensure proper alignment with the NIMS and NRP coordinating structures, processes, and protocols • Conducting all-hazards emergency management training, including NIMS FY 2007 training requirements
Grant Hierarchy	DHS provides funding for these programs through its Office for Domestic Preparedness (ODP). ODP provides funds to the individual State Administrative Agency (SAA). SSAs are the only agencies that can apply for funds. The SAA obligate the funds to sub-grantees: local units of government and other designated recipients.		

Program	Homeland Security Grant Program (HSGP)		Emergency Management Performance Grants (EMPG)
	State Homeland Security Grant Program (SHSP)	Urban Areas Security Initiative (UASI)	
Program Purpose	<p>The FY 2007 State Homeland Security Program (SHSP) is a core homeland security assistance program that provides funds to build capabilities at the state and local levels through planning, equipment, training, and exercise activities and to implement the goals and objectives included in State Homeland Security Strategies and Initiatives in the Program and Capability Enhancement Plan. SHSP funding also supports the four mission areas of homeland security—prevent, protect, respond, and recover—and addresses all of the National Priorities and the 37 Target Capabilities, as they relate to terrorism.</p> <p>In light of several major new national planning priorities, which address such issues as pandemic influenza and the aftermath of Hurricane Katrina, the allowable scope of SHSP activities include catastrophic events, provided that these activities also build capabilities that relate to terrorism.</p> <p>SHSP supports the implementation of State Homeland Security Strategies to address the identified planning, equipment, training, and exercise needs for acts of terrorism. In addition, SHSP supports the implementation of the National Preparedness Goal, the National Incident Management System (NIMS), and the NRP.</p>	<p>The FY 2007 UASI program provides financial assistance to address the unique multidiscipline planning, operations, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and to assist them in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism.</p> <p>The FY 2007 UASI program provides the opportunity to enhance regional preparedness efforts. Urban Areas must employ regional approaches to overall preparedness and are encouraged to adopt regional response structures whenever appropriate to meet the goals identified in the Urban Area Homeland Security Strategy and common, measurable objectives. Security and preparedness officials at all levels should seek opportunities to leverage funding from multiple sources whenever possible and not restrict their activities to Federal funding alone. UASI funding will be provided to identify Urban Area authorities through the SAAs. In some instances Urban Area boundaries cross state borders. States must ensure that the identified Urban Areas take an inclusive regional approach to the development and implementation of the FY 2007 UASI program and involve the contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, and state agencies, Citizen Corps Council(s), and Metropolitan Medical Response Systems (MMRS) in their program activities.</p>	<p>With funds provided through the FY 2007 EMPG, states have the opportunity to structure individual emergency management programs based on identified needs and priorities for strengthening their emergency management capabilities, while addressing issues of national concern. States have the flexibility to develop intrastate emergency management systems that encourage the building of partnerships that include government, business, volunteer and community organizations.</p> <p>An all-hazards approach to preparedness, including the development of a comprehensive program of planning, training, and exercises, encourages an effective and consistent response to any threatened or actual disaster or emergency, regardless of the cause. As authorized by the Fiscal Year (FY) 2007 Department of Homeland Security (DHS) Appropriations Act (P.L. 109-295), the FY 2007 Emergency Management Performance Grants (EMPG) program seeks to provide resources to assist state and local governments in moving forward with this all-hazards planning approach to emergency management.</p>

Program	Homeland Security Grant Program (HSGP)		Emergency Management Performance Grants (EMPG)
	State Homeland Security Grant Program (SHSP)	Urban Areas Security Initiative (UASI)	
Acceptable Funding Uses	<p>These funds support costs including but not limited to:</p> <ul style="list-style-type: none"> • Homeland security and emergency operations planning activities, • Purchase of specialized equipment [see guidance related to Authorized Equipment List (AEL) and the Responder Knowledge Base (RKB) at http://www.rkb.mipt.org, • Costs related to the design, development, and conduct of security training programs and attendance at ODP-approved courses, • Design, development, conduct, and evaluation of approved exercises, • Models, simulations or games, • Related exercises and trainings in preparing to hosting a special event (e.g., Superbowl) or a TOPOFF exercise, • Enhanced security allowable at critical infrastructure activities, including improved lighting, fencing, closed circuit TV systems, communication antennas, motion detection systems, barriers, gates, etc., not to exceed \$1 million, • Overtime and backfill costs for attendance at ODP sponsored or approved trainings, • Allowable personnel costs for SHSP are explained in Chapter III, Section E – Allowable Costs Guidance. Up to 15 percent of the program funds may be used to support the hiring of full or part-time personnel to conduct program activities that are allowable under the FY07 HSGP (e.g., planning, training program management, exercise program management), • Full-time Counterterrorism Staffing Pilot for FY07 UASI. <p>Organization costs are not allowed under SHSP.</p> <p>A list of mandatory standards for each equipment item can be found at the following Website: http://www.rkb.mipt.org</p>		<p>The National Preparedness Goal identifies six elements of capability that support the building and sustaining of capabilities, which are consistent with NIMS. These newly outlined elements of capability track closely with the five allowable cost categories traditionally used in Office of Grants and Training (G&T) grant programs (planning, organization, equipment, training, and exercises, oftentimes referred to collectively as POETE). In addition to these programmatic allowable costs, EMPG also allows for personnel costs, as well as management and administrative (M&A) costs. Table 2 crosswalks the elements of capability from the Goal and the EMPG allowable cost categories in order to demonstrate the alignment between these categories.</p> <p>FY07 EMPG activities focus on addressing shortfalls and sustaining capabilities in their emergency management programs, with a specific focus on planning for catastrophic events.</p> <p>Acceptable costs include planning, organization, equipment, training, M&A, exercises, and some personnel costs. Construction and renovation costs related to updating facilities to be usable and accessible to individuals with disabilities is permissible. See the guidance information for details of these areas.</p> <p>Acceptable costs can also include the purchase of specialized equipment. [See guidance related to Authorized Equipment List (AEL) and the Responder Knowledge Base (RKB), http://www.rkb.mipt.org.]</p>

Program	Homeland Security Grant Program (HSGP)		Emergency Management Performance Grants (EMPG)
	State Homeland Security Grant Program (SHSP)	Urban Areas Security Initiative (UASI)	
Eligibility Criterion	<p>SHSP expenditures must be linked to goals or objectives in State Homeland Security Strategy.</p> <p>To be eligible to receive FY 2007 federal preparedness funding assistance, applicants must meet NIMS compliance requirements. Risk will be evaluated at the federal level using a risk analysis model developed by DHS in conjunction with other federal entities.</p> <p>Risk is defined as the product of the following principal variables:</p> <ul style="list-style-type: none"> • Threat – the likelihood of an attack occurring • Vulnerability and Consequence – the relative exposure and expected impact of an attack 	<p>UASI expenditures are expended based upon the Urban Area Homeland Security Strategies. Activities implemented under UASI must support terrorism preparedness and build or enhance capabilities that relate to terrorism in order to be considered eligible, even if the capabilities themselves do not focus exclusively on terrorism. For example, mass evacuation planning supports terrorism preparedness but also other types of catastrophic events. Planning for pandemic influenza and linking that effort to a larger bioterrorism preparedness effort offers another example. Grantees must demonstrate the dual-use nature of any activities implemented under this program that are not explicitly focused on terrorism preparedness.</p>	<p>EMPG funds support the comprehensive, risk-based, all-hazards emergency management program and support activities that contribute to the capability to manage consequences of acts of terrorism.</p>
Who is Eligible	<p>The Governor of each state has designated an SAA to apply for and administer the funds under HSGP and EMPG. The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and other designated recipients.</p> <p>The SAA appointed contact responsible for managing all ODP grants can be found at: http://www.ojp.usdoj.gov/odp/contact_state.htm</p>		
Contacts/ Web Site	<p>For all application and funding questions please contact your state SAA.</p> <p>SAA appointed contact responsible for managing all ODP grants: http://www.ojp.usdoj.gov/odp/contact_state.htm</p> <p>The Office for Domestic Preparedness 810 Seventh Street, N.W. Washington, DC 20531 ODP Centralized Scheduling and Information Desk (CSID) 1-800-368-6498, 8:00 a.m. to 7:00 p.m. EST/EDT, Mon-Fri.; Fax: 202-786-9920</p>		

Program	Homeland Security Grant Program (HSGP)		Emergency Management Performance Grants (EMPG)
	State Homeland Security Grant Program (SHSP)	Urban Areas Security Initiative (UASI)	
Application/Timeframe	<p>HSGP Guidance is located at : http://www.ojp.usdoj.gov/odp/docs/fy07_hsgp_guidance.pdf</p> <p>Completed Applications must be submitted to Grants.gov no later than 11:59 p.m. Eastern Daylight Time, April 5, 2007.</p> <p>SAAs must apply for FY 2007 HSGP funding through the online Grants.gov system through the Authorized Organization Representative (AOR) to ensure a successful submission. If applicants have previously used Grants.gov, the same account may be used for FY 2007 HSGP.</p> <p>Electronic submission through Grant Management System, http://www.ojp.usdoj.gov/fundopps.htm. Assistance with GMS may also be obtained by using the following toll-free telephone number: 1-888-549-9901.</p> <p>Reminder: Only SAAs may apply for grants.</p>		<p>EMPG Guidance is located at : http://www.ojp.usdoj.gov/odp/docs/fy2007empg.pdf</p> <p>Completed applications for the FY 2007 EMPG must be received by G&T no later than 11:59 p.m., Eastern Standard Time, December 29, 2006.</p> <p>Reminder: Only SAAs may apply for grants.</p>
Funding Distribution	<p>Funding priorities for this year continue and further refine HSGP's primary commitment to risk-based funding and also continue to deepen the commitment to assisting with regional planning and security coordination. The FY 2007 Homeland Security Appropriations Act directed DHS to administer the HSGP in a manner consistent with the FY 2006 HSGP practice. Consequently, G&T will allocate SHSP and UASI funds based on risk and anticipated effectiveness, with a minimum allocation to states under SHSP. For SHSP and UASI, G&T will combine analysis on risk and anticipated effectiveness to finalize the allocations. Each applicant's final funding allocation will be determined using a combination the results of the risk and effectiveness analysis, with approximately a two-thirds weight applied to risk and approximately a one-third weight applied to effectiveness. This weighting further reinforces DHS' commitment to a risk-based approach to national preparedness.</p>		<p>FY 2007 EMPG funds have been allocated consistent with previous fiscal years. Pursuant to the Compact of Free Association, funds are available for the Federated States of Micronesia and for the Republic of the Marshall Islands. Table 3 on page 24 of the FY 2007 EMPG guidance provides state-by-state FY 2007 EMPG funding allocations.</p> <p>Each state must obligate 100 percent of the total grant program amount to the designated state-level emergency management agency (EMA). State EMAs are encouraged to pass EMPG funds through to local EMAs, as appropriate.</p>

Program	Homeland Security Grant Program (HSGP)		Emergency Management Performance Grants (EMPG)
	State Homeland Security Grant Program (SHSP)	Urban Areas Security Initiative (UASI)	
Funding Distribution	<p>FY 2007 SHSP funds will be allocated based on the analyses of risk and anticipated effectiveness. Each state will receive a minimum allocation under SHSP using the USA PATRIOT Act formula. All 50 States, the District of Columbia, and Puerto Rico will receive 0.75 percent of the total allocation for those programs. Four Territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.25 percent of the total for SHSP.</p> <p>Each state must make no less than 80 percent of the total grant program amount available to local units of government, including identified Urban Areas, within 60 days of the receipt of funds. Any UASI funds retained by the SAA must be used to directly support the designated Urban Areas in the state. For Puerto Rico, the pass-through requirement is 50 percent of total grant program funds within 60 days of receipt of funds.</p>	<p>Each state must make no less than 80 percent of the total grant program amount available to local units of government, including identified Urban Areas, within 60 days of the receipt of funds. Any UASI funds retained by the SAA must be used to directly support the designated Urban Areas in the state. For Puerto Rico, the pass-through requirement is 50 percent of total grant program funds within 60 days of receipt of funds.</p> <p>In response to requests from our Urban Areas Security Initiative partners, the FY07 program includes a pilot test that gives the highest risk metropolitan areas additional flexibility in using their grant funds under that program.</p> <p>FY 2007 UASI funds will be allocated based on risk and anticipated effectiveness upon completion of the application review process. The 45 candidates are eligible to apply for funding under the UASI program. The eligible candidates have been grouped into two tiers according to relative risk. Tier I includes the six highest risk areas; Tier II includes the other 39 candidate areas. The tier approach was employed to allow applicants with a similar level of risk to compete for funding on a level playing field.</p>	
Cost Share?	No	No	EMPG has a 50 percent federal and 50 percent state cost-share cash or in-kind match requirement. Match requirements are waived for the US Territories of American Samoa, Guam, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands.
Competitive or Non-competitive?	Competitive though DHS has elected to provide a base allocation to states under SHSP. The remainder of those funds will be allocated based on risk and need.	Competitive - all funding will be allocated based on risk and need.	Competitive
Funding Available	FY 2007 \$509.3 million	FY 2007 \$746.9 million	FY 2007 \$194 million

Table 2. Buffer Zone Protection Program (BZPP) and Pre-Disaster Mitigation Program (PDM)

Program	Infrastructure Protection Program (IPP)	Pre-Disaster Mitigation Program (PDM)
	Buffer Zone Protection Program (BZPP)	
Grant Hierarchy	<p>DHS provides the funding for this program through ODP.</p> <p>ODP provides funds to the individual SAA. These are the only agencies that can apply for funds.</p> <p>The SAA obligate the funds to sub-grantees—local units of government and other designated recipients within the critical infrastructure and key resource (CI/KR) sites.</p>	<p>DHS provides funding for this program through the Federal Emergency Management Agency (FEMA).</p> <p>The state EMA or similar offices are eligible to apply. Sub-applicants apply to the applicant for assistance. Sub-applicants eligible include: state-level agencies including state institutions (e.g., state hospital or university); federally recognized Indian tribal governments; local governments, including state recognized Indian tribes, authorized Indian tribal organizations, and Alaska Native villages; public colleges and universities; and Indian tribal colleges and universities.</p>
Program Purpose	<p>The funds provided by the BZPP are intended to increase the preparedness capabilities of responsible jurisdictions in communities surrounding high-priority CI/KR assets through allowable planning and equipment acquisition. The BZPP assists responsible jurisdictions in building effective prevention and protection capabilities that will make it more difficult for terrorists to conduct site surveillance or launch attacks within the immediate vicinity of selected CI/KR assets.</p> <p>Private Sector Coordination. Critical infrastructure is largely privately-owned and operated. Enhancing public/private partnerships will leverage private sector initiatives, resources, and capabilities, as permitted by applicable laws and regulations.</p>	<p>The Pre-Disaster Mitigation (PDM) program will provide funds to states, territories, federally recognized Indian tribal governments, and communities for hazard mitigation planning and the implementation of mitigation projects prior to a disaster event. Funding these plans and projects reduces overall risks to the population and structures, while also reducing reliance on funding from actual disaster declarations.</p>
Acceptable Funding Uses	<p>FY07 BZPP allowable costs are therefore divided into the following three categories:</p> <ol style="list-style-type: none"> 1. Planning 2. Equipment acquisitions 3. Management and administration <p>Appendix 2 of the BZPP guidance provides additional detail about each of these three allowable expense categories, as well as a section that identifies several specifically unallowed cost items.</p> <p>Authorized Equipment List (AEL):</p> <ul style="list-style-type: none"> • Explosive Device Mitigation and Remediation Equipment • Interoperable Communications Equipment • Detection Equipment • Physical Security Enhancement • Inspection and Screening Equipment 	<p>Mitigation planning activities:</p> <ul style="list-style-type: none"> • New plan development; • Upgrade; and • Comprehensive review and update <p>Mitigation project activities:</p> <ul style="list-style-type: none"> • Voluntary acquisition of real property (i.e. structures and land, where necessary) for conversion to open space in perpetuity; • Relocation of public or private structures; • Elevation of existing public or private structures to avoid coastal or riverine flooding; • Structural retrofitting and non-structural retrofitting (e.g., storm shutters, hurricane clips, bracing systems) of existing public or private structures to meet or exceed applicable building codes relative to hazard mitigation; • Construction of safe rooms (e.g., tornado and severe wind shelters) for public and private structures that meet the FEMA construction criteria in FEMA 320 “Taking Shelter from the

Program	Infrastructure Protection Program (IPP)	Pre-Disaster Mitigation Program (PDM)
	Buffer Zone Protection Program (BZPP)	
Acceptable Funding Uses		<p>Storm” and FEMA 361 “Design and Construction Guidance for Community Shelters”;</p> <ul style="list-style-type: none"> Hydrologic and Hydraulic studies/analyses, engineering studies, and drainage studies for the purpose of project design and feasibility determination
Eligibility Criterion	<p>The Governor of each state has designated an SAA to apply for and administer the funds under BZPP. The SAA is the only agency eligible to apply for BZPP funds and is responsible for obligating BZPP funds to the appropriate local units of government or other designated recipients. The SAA must coordinate all BZPP activities with the respective State Homeland Security Advisor.</p>	<p>Only the state emergency management agencies or a similar office are eligible to apply to FEMA for assistance as Applicants under this program. Each state, territory, or Indian tribal government must designate one Agency to serve as the Applicant for this program. Each Applicant may submit a maximum of five sub-applications (planning and/or projects) and one sub-application for Applicant management costs.</p> <p>The following entities are eligible to apply to the Applicant for assistance: state-level agencies including state institutions (e.g., state hospital or university); federally recognized Indian tribal governments; local governments, including state-recognized Indian tribes, authorized Indian tribal organizations, and Alaska Native villages; public colleges and universities; and Indian tribal colleges and universities. Private non-profit (PNP) organizations and private colleges and universities are not eligible Sub-applicants; however, an eligible, relevant state agency or local government may apply to the Applicant as the Sub-applicant for assistance to benefit the private entity.</p>
Contacts/ Web Site	<p>The Office for Domestic Preparedness 810 Seventh Street, N.W. Washington, DC 20531 ODP Centralized Scheduling and Information Desk (CSID) 1-800-368-6498, 8:00 a.m. to 7:00 p.m. EST/EDT, Mon-Fri.</p> <p>Additional questions may be directed to your Transportation Preparedness Officer or the Centralized Scheduling and Information Desk at askcsid@dhs.gov or 1-800-368-6498.</p> <p>Reminder: Only SAAs may apply for grants.</p>	<p>Contact Regional FEMA office Web site: http://www.fema.gov/about/contact/regions.shtm</p> <p>e-grants helpdesk 1-866-476-0544</p>
Application/ Timeframe	<p>FY 2007 Guidance may be found at: http://www.ojp.usdoj.gov/odp/docs/fy07_bzpp_guidance.pdf</p> <p>Completed applications for the FY 2007 BZPP must be received by G&T no later than 11:59 p.m., Eastern Standard Time, March 6, 2007. The period of performance is 36 months.</p>	<p>FY 2007 Guidance may be found at: http://www.fema.gov/government/grant/pdm/fy2007.shtm</p> <p>Applicants must submit an FY 2007 PDM grant application to the appropriate FEMA Regional Office by February 5, 2007, at 11:59:59 p.m. Eastern Standard Time. Each applicant may submit an unlimited number of sub-applications for eligible planning/project activities that the applicant has reviewed and approved. A separate management cost sub-application must be</p>

Program	Infrastructure Protection Program (IPP)	Pre-Disaster Mitigation Program (PDM)
	Buffer Zone Protection Program (BZPP)	
Application/ Timeframe		submitted for Applicant management costs. Applicants must rank each sub-application included in the grant application in order of their priority for funding based on the applicant's standard or enhanced hazard mitigation plan. The applicant or sub-applicant are required to perform a Benefit-Cost Analysis (BCA) for each property, including repetitive flood loss properties and substantially damaged properties.
Funding Distribution	Funds are awarded to and distributed through the SAA designated by the governor of each state. Each state must make no less than 95 percent of the total grant program amount available to the responsible unit of government within 60 days of the approval notification for the Vulnerability Reduction Purchase Plan (VRPP). The VRPP identifies a spending plan to protect given infrastructure assets. It includes the planning activities and equipment necessary to implement the BZPP. Details about the VRPP content and format have been provided to SAAs that administer this program.	Funding for the program is provided through the National Pre-Disaster Mitigation Fund to assist states and local governments in implementing cost-effective hazard mitigation activities that complement a comprehensive mitigation program.
Cost Share?	No	Up to 75 percent federal cost share. Small and impoverished communities may be eligible for up to a 90 percent federal cost-share. As a new initiative in FY 2007, each state (including territories) will receive no less than \$500,000 provided the state submits sub-applications for at least that amount and the application(s) meets all program eligibility and completeness requirements. The maximum PDM award for any one state must not exceed \$15 million. There is a \$1 million cap on Federal share for plans and a single federal share cap of \$3 million for projects.
Competitive or Non-Competitive	Competitive	Competitive
Funding Available	FY 2007 \$48.5 million	FY 2007 \$100 million

Definitions:

NIMS – National Incident Management System. A system mandated by Homeland Security Presidential Directive 5 that provides a consistent, nationwide approach for federal, state, local, and tribal governments; and the private sector to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

NRP – National Response Plan. Establishes a comprehensive all-hazards approach to enhance the ability of the United States to manage domestic incidents. The plan incorporates best practices and procedures from incident management disciplines—homeland security, emergency management, law enforcement, firefighting, public works, public health, responder and recovery worker health and safety, emergency medical services, and the private sector—and integrates them into a unified structure. It forms the basis of how the federal government coordinates with state, local, and tribal governments and the private sector during incidents.

NPS – National Preparedness System. The NPS derives its authority from Homeland Security Presidential Directives 5, 7 and 8, and comprises seven core national initiatives. These initiatives include the National Incident Management System (NIMS), the National Response Plan (NRP), the National Infrastructure Protection Plan (NIPP), the National Preparedness Goal (NPG), Capabilities-Based Planning Tools, Homeland Security Grant Program Guidance, and National Preparedness Guidance. This effort purports to establish a comprehensive national system to ensure that the response to disasters of all types is as efficient and effective as possible. The Office of State and Local Government Coordination and Preparedness (OSLGCP), rather than the Emergency Preparedness and Response Directorate (EP&R, a/k/a FEMA), has been assigned the lead role for developing most of the National Preparedness System.

ODP – Office for Domestic Preparedness. ODP is the principal component of the Department of Homeland Security (DHS) responsible for preparing the United States against acts of terrorism. In carrying out its mission, ODP is responsible for providing training, funds for the purchase of equipment, support for the planning and execution of exercises, technical assistance and other support to assist states and local jurisdictions to prevent, respond to, and recover from acts of terrorism. ODP achieves its mission by providing grants to states and local jurisdictions, providing hands-on training through a number of residential training facilities and in-service training at the local level, funding and working with state and local jurisdictions to plan and execute exercises, and providing technical assistance on-site to state and local jurisdictions.

Table 3. List of Key Web Sites

Grant Program	Category	Link
SHSP, UASI	FY07 Program Guidance	http://www.ojp.usdoj.gov/odp/docs/fy07_hsqp_guidance.pdf
SHSP, UASI	Target Capabilities List, p. 69	http://www.ojp.usdoj.gov/odp/grants_programs.htm#fy2006hsqp
SHSP, UASI, EMPG	Authorized Equipment List (AEL) guidance and Responder Knowledge Base (RKB)	http://www.rkb.mipt.org (Log in or log in as a guest)
SHSP, UASI, EMPG	State Administrative Agencies (SAA): Contact responsible for managing all ODP grants	http://www.ojp.usdoj.gov/odp/contact_state.htm
SHSP, UASI, EMPG	Instructions regarding electronic submissions and electronic submissions through Grant Management System (GMS)	http://www.ojp.usdoj.gov/fundopps.htm
SHSP	Funding available	http://www.ojp.usdoj.gov/odp/news.htm
SHSP, UASI, EMPG	U.S. DHS Office of Grants and Training	http://www.ojp.usdoj.gov/odp/grants_programs.htm#fy2007empg
SHSP, UASI, EMPG	U.S. DHS Office of Grants and Training News Releases	http://www.ojp.usdoj.gov/odp/news.htm
EMPG	EMPG Guidance for FY07	http://www.ojp.usdoj.gov/odp/docs/fy2007empg.pdf
BZPP	FY07 Application Guidelines	http://www.ojp.usdoj.gov/odp/docs/fy07_bzpp_guidance.pdf
BZPP	Program title in Catalog of Federal Domestic Assistance (CFDA) is "Department of Homeland Security Fiscal Year 2005 Buffer Zone Protection Program"	http://12.46.245.173/cfda/cfda.html
PDM	Example of FY05 approved mitigation projects, State of Texas	http://www.txdps.state.tx.us/DEM/mitigation/FY05PDgrant.pdf
PDM	Eligibility Criteria	http://www.fema.gov/government/grant/pdm/fy2007.shtm
PDM	FY07 Guidance	http://www.fema.gov/library/viewRecord.do?id=2095
PDM	Contact: Regional FEMA Office	http://www.fema.gov/about/contact/regions.shtm
PDM	Contact: State FEMA Office	http://www.fema.gov/about/contact/statedr.shtm

STATE SECURITY FUNDING SOURCE OVERVIEW

The attached State Security Funding Source Summary contains information on the most commonly available sources available at the State level. The table is organized by

- **Funding Source:** *First by department and then by specific grant name.*
- **Description:** *Summary of the stated purpose of the grant.*
- **Contact Information:** *General information on who or where to go to seek further information regarding these grants.*

In researching this paper and interviewing utilities that have received funding, the funds with the highest level of success for water and wastewater utilities have come from the Department of Homeland Security. Specifically the State Homeland Security Grant Program and the Urban Area Security Initiative (UASI) Grant Program have been used by numerous utilities.

Please see Appendix A1 for specific information for examples of funding available in the States of Alabama, California, Delaware, and Florida.

Funding Source**Description****Contact Information**

Department of Homeland Security

<i>State Homeland Security Grant Program</i>	Mitigate costs of enhanced security at critical infrastructure facilities.	Block grant awarded to State Administrative Agency (SAA). For subgrants, coordinate through designated State or regional representative. Typically an informal application process. Attend meetings and get on mailing list to learn of and request consideration for available funds. New requests are generally considered in the Fall. Amounts vary, no match is required, but may be encouraged. Limits on funding of construction and other activities. Past focus has been for equipment or commercially available products.
<i>Urban Area Security Initiative (UASI) Grant Program</i>	Enhance security of critical infrastructure sites in certain designated urban areas.	Coordinate with designated State or regional representative.
<i>Infrastructure Protection Program Grant (IPP)</i>	Enhance the protection around critical infrastructure and key resource sites and deter threats or incidents of terrorism aimed at those facilities. This is the umbrella for a number of grant programs including Port Security Grant Program and Buffer Zone Protection Program as described below.	Coordinate with designated State or regional representative.
<i>Buffer Zone Protection Plan (BZPP) Grant</i>	Enhance the protection around critical infrastructure and key resource sites and deter threats or incidents of terrorism aimed at those facilities.	Coordinate with designated State or regional representative.
<i>Port Security Grant Program</i>	Enhance security, mitigation strategies, enhanced facility and operational security in port areas. Training may not be eligible.	Coordinate directly with applicable port authority as funding is block granted and at the Port Authority discretion for use. May require operation under control of port authority to qualify
<i>Metropolitan Medical Response System Grants (MMRS)</i>	Funds to major cities to develop or enhance emergency planning. Includes training and preparation for mass casualty response.	Varies by State, coordinate with SAA.
<i>Law Enforcement Terrorism Prevention Program Grant</i>	Planning, training, exercises and equipment funding for terrorism prevention activities.	Coordinate with designated State or regional representative.
<i>Chemical Sector Buffer Zone Protection Grant Program</i>	Funding to enhance risk management and security for state and local protection of chemical sector infrastructure from terrorism and other hazards.	Varies by state, coordinate with SAA.
<i>Emergency Management Performance Grant (EMPG)</i>	Support activities that contribute to the grant recipient's capability to prevent, prepare for, mitigate against, respond to and recover from emergencies and disasters. Eligible activities include planning, training and exercises. Equipment greater than \$5,000 per unit with a greater than one year life. Funds may also be used to manage the consequences of terrorist attacks.	State emergency management agencies use EMPG funds to enhance their emergency management capabilities in a range of areas that include planning, equipping, and training, conducting exercises, and providing for all-hazards emergency management operations. In addition, EMPG funds are used to pay for personnel who write plans, conduct training and exercise programs, maintain emergency response programs, and educate the public on disaster readiness.

FEMA

<i>Pre-Disaster Mitigation (PDM) Grants</i>	Funding for improvements that will reduce recurrent disaster recovery efforts.	Coordinate through state emergency management agency. Applications generally due in February each year. Must be submitted electronically and is nationally competitive with demonstration of positive cost-benefit.
<i>Commercial Equipment Direct Assistance Program (CEDAP)</i>	Provides necessary equipment and training to rural or smaller first responder agencies to conduct homeland security, emergency management, and similar functions. Includes GIS software and training.	August/September application period. Must not have received past CEDAP funding or be eligible for UASI funding. www.ojp.usdoj.gov/odp/equipment_cedap.htm ; 1-800-368-6498
<i>Homeland Defense Equipment Reuse (HDER) Program</i>	Provides surplus radiological, chemical, and biological detection and response equipment detection instrumentation and other PPE equipment, as well as training and technical support, to enhance homeland security preparedness capabilities.	No cost for refurbished equipment and training. Offered on competitive basis depending on need and availability. Coordinate through State or Urban Area coordinator. Application for high cost equipment should be made within first 45 days of fiscal year. www.ojp.usdoj.gov/odp/equipment_hder.htm www.rkb.mipt.org
<i>Fire Prevention and Safety (FP&S)</i>	For projects that enhance public safety. Focus on efforts that reach high-risk target groups in order to mitigate the high incidences of death and injuries.	Up to \$1 million available annually to public or non-profit entities. No match required except for fire departments and EMS, which must provide 10% to 20% match depending on population served. Competitive grant, must fit grant criteria. Public awareness and training activities by safety staff eligible for funding. Equipment is not eligible. Should have fire safety and awareness connection. Grant application costs are reimbursable. Online application, maximum 10 pages. Application period typically December/January of each fiscal year.
<i>Assistance to Firefighters Grant (AFG)</i>	Primarily an equipment focused grant. Eligible activities include training, equipment, vehicles, personal protective equipment, wellness and fitness, and modifications to fire stations and training facilities.	Grant is focused on fire departments and limited EMS funding. Public Works departments may be included as recipients on a regional application. Expected funding up to \$1 million per organization with a 30% match. Affiliation with a fire department may be required. March/April application period.

Department of Justice

<i>Justice Assistance Grant Program (JAG) - includes former Local Law Enforcement Block Grant Program (LLEBG) and Byrne Grant</i>	Department of Justice funds available to units of general-purpose local government to reduce crime and improve public safety. Eligible costs include training, equipment and security measures around high crime area facilities.	Block grants to the State allocated by population and crime statistics. Apply directly to Bureau of Justice Assistance (BJA) by late spring or early summer. Funds distributed up front. Multi-year awards possible. Match may be required at the discretion of State.
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Congress

*Congressionally-Identified
Projects*

Assistance is provided to implement specific projects identified by Congress.

Coordinate request through Congressional representatives and Senators. Deadline for request is generally late March. Initial application should be in the form of a letter of interest with project description and requested amount. Awards have ranged from \$650,000 to \$8,000,000. A request under \$2,000,000 is more likely to succeed. A partial award of funds may be received. No match required.

Federal Geographic Data Committee

*National Spatial Data
Infrastructure FY 2007
Cooperative Agreement Program
Grants*

Provides funding for projects that make use of digital geographic data.

Applications available in November with a January deadline. Awards for GIS capped at \$50,000 with a 100% match required. www.fgdc.gov

USDA

*Technical Assistance and
Training Grant*

Provides training on a regional basis to associations eligible for Rural Utilities Service water and wastewater assistance. Funds may be used for grant and loan application assistance.

Must be provide through a private non-profit organization in an area with less than 10,000 population. Utilities may coordinate with national or regional organizations to pursue this funding. October – December application period annually. Up to \$1 million awarded to past projects. www.usda.gov/rus/water/tatg.htm

APPENDIX A1—National Funding Overview

ALABAMA

Funding Source	Description	Contact Information
Department of Homeland Security		
<i>State Homeland Security Grant Program</i>	Mitigate costs of enhanced security at critical infrastructure facilities.	<p>Block grant awarded to State. Alabama has historically distributed the majority of the funding on a prescribed basis to the Counties. For sub-grants, coordinate through designated County representative. There is no formal application process. Attend meetings and get on mailing list to learn of and request consideration for available funds. New requests are generally considered in the Fall. Amounts vary, no match is required, but may be encouraged. Limits on funding of construction and other activities. Past focus has been for equipment or commercially available products. County representatives indicated that the block grant typically goes toward the budgeted emergency management program and there is no real solicitation or consideration of other requests. Past funds have gone toward emergency vehicles and there are still needs for communications systems. Utilities would do well to connect with their local emergency management or public safety departments to request funds.</p> <p>http://www.homelandsecurity.alabama.gov/contact.htm</p>
<i>Urban Area Security Initiative (UASI) Grant Program</i>	Enhance security of critical infrastructure sites in certain designated urban areas.	There are no UASI designations for Alabama.
<i>Infrastructure Protection Program Grant (IPP)</i>	Enhance the protection around critical infrastructure and key resource sites and deter threats or incidents of terrorism aimed at those facilities. This is the umbrella for a number of grant programs including Port Security Grant Program and Buffer Zone Protection Program as described below.	See below.
<i>Buffer Zone Protection Plan (BZPP) Grant</i>	Enhance the protection around critical infrastructure and key resource sites and deter threats or incidents of terrorism aimed at those facilities.	<p>Coordinate with designated State representative. \$770,000 budgeted for FY 2007. Currently viewed as best opportunity for funding of utilities in Alabama.</p> <p>http://www.homelandsecurity.alabama.gov/contact.htm</p>
<i>Port Security Grant Program</i>	Enhance security, mitigation strategies, enhanced facility and operational security in port areas. Training may not be eligible.	Mobile and Guntersville port areas eligible for funds. Coordinate through port authority and State or regional representative.
<i>Metropolitan Medical Response System Grants (MMRS)</i>	Funds to major cities to develop or enhance emergency planning. Includes training and preparation for mass casualty response.	Coordinate with designated State or regional representative. Eligible areas include Birmingham, Huntsville, Mobile, and Montgomery. Each location will receive \$258,145 in FY 07 to establish and sustain local capabilities.

<i>Law Enforcement Terrorism Prevention Program Grant</i>	Planning, training, exercises and equipment funding for terrorism prevention activities.	Coordinate with Alabama Department of Public Safety (DPS). http://www.dps.state.al.us ; (334) 242-4371
<i>Chemical Sector Buffer Zone Protection Grant Program</i>	Funding to enhance risk management and security for state and local protection of chemical sector infrastructure from terrorism and other hazards.	None allocated.
<i>Emergency Management Performance Grant (EMPG)</i>	Support activities that contribute to the grant recipient's capability to prevent, prepare for, mitigate against, respond to and recover from emergencies and disasters. Eligible activities include planning, training and exercises. Equipment greater than \$5,000 per unit with a greater than one year life. Funds may also be used to manage the consequences of terrorist attacks.	Coordinate requests through Alabama Emergency Management Administration. http://www.ema.alabama.gov/

FEMA

<i>Pre-Disaster Mitigation (PDM) Grants</i>	Funding for improvements that will reduce recurrent disaster recovery efforts.	Coordinate through Alabama Emergency Management Administration. http://www.ema.alabama.gov/
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Department of Justice

<i>Justice Assistance Grant Program (JAG) - includes former Local Law Enforcement Block Grant Program (LLEBG) and Byrne Grant</i>	Department of Justice funds available to units of general-purpose local government to reduce crime and improve public safety. Eligible costs include training, equipment and security measures around high crime area facilities.	Block grants to the State allocated by population and crime statistics. Apply directly to Bureau of Justice Assistance (BJA) by late spring or early summer. Funds distributed up front. Multi-year awards possible. Alabama requests 25% match. Funding levels fluctuate from year to year. Current funding levels are limited. Bobbie Pruitt, 334-242-5454
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Funding Source	Description	Contact Information
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Department of Homeland Security

State Homeland Security Grant Program

Mitigate costs of enhanced security at critical infrastructure facilities.

Block grant awarded to State. For subgrants, coordinate through California Office of Homeland Security (OHS) and Operational Areas (OAs) representative. Informal application process. Attend meetings and get on mailing list to learn of and request consideration for available funds. New requests are generally considered in the Fall. Amounts vary, no match is required, but may be encouraged. Limits on funding of construction and other activities. Past focus has been for equipment or commercially available products. Up to \$1 million may be allowed for construction.

OHS offers application workshops throughout state in April. (<http://www.homeland.ca.gov>)

Statewide committee representatives typically meet in early December to nominate projects to the board for funding. Initial requests should be coordinated through the respective regional task force. There is no specific public works or drinking water committee at present.

Urban Area Security Initiative (UASI) Grant Program

Enhance security of critical infrastructure sites in certain designated urban areas.

Bay Area, Sacramento, Los Angeles/Long Beach, San Diego, and Anaheim/Santa Ana locations eligible for funds. Coordinate with OHS, UASI local group and county emergency management coordinator.

Up to \$1 million may be allowed for construction.

Infrastructure Protection Program Grant (IPP)

Enhance the protection around critical infrastructure and key resource sites and deter threats or incidents of terrorism aimed at those facilities. This is the umbrella for a number of grant programs including Port Security Grant Program and Buffer Zone Protection Program as described below.

See below.

Buffer Zone Protection Plan (BZPP) Grant

Enhance the protection around critical infrastructure and key resource sites and deter threats or incidents of terrorism aimed at those facilities.

Coordinate through OHS. Block grant funds awarded based on priorities of OHS. Allocations determined at national level and work plans are negotiated rather than a formal application process. \$4,695,000 budgeted for California for FY 2007. Targeted program with different focus each year. State must have identified critical infrastructure and funding must not already be provided under another federal infrastructure protection program. <http://www.homeland.ca.gov>

Port Security Grant Program

Enhance security, mitigation strategies, enhanced facility and operational security in port areas. Training may not be eligible.

San Francisco Bay and Los Angeles port areas eligible. Coordinate through OHS.

<http://www.homeland.ca.gov>

Metropolitan Medical Response System Grants (MMRS)

Funds to major cities to develop or enhance emergency planning. Includes training and preparation for mass casualty response.

Los Angeles, San Francisco, San Diego, San Jose, Long Beach, Oakland, Sacramento, Fresno, Santa Ana, Anaheim, Riverside, Glendale, Huntington Beach, Stockton, Bakersfield, Fremont, Modesto, and San Bernardino are within an MMRS jurisdiction. Coordinate requests through OHS and Emergency Medical Services Authority (<http://www.emsa.ca.gov>). Each location will receive \$258,145 in FY 07 to establish and sustain local capabilities.

Law Enforcement Terrorism Prevention Program Grant

Planning, training, exercises and equipment funding for terrorism prevention activities.

Coordinate requests through OHS and OA Approval Authority which consists of county public health, emergency response and law enforcement officials. Law enforcement based, but other organizations may be eligible for subgrants. Up to \$1 million may be allowed for construction. Approval Authority granted broad latitude for use of funds.

Chemical Sector Buffer Zone Protection Grant Program

Funding to enhance risk management and security for state and local protection of chemical sector infrastructure from terrorism and other hazards.

California will receive approximately \$6.6 million for this program. Utilities with chemical storage and use security needs may be eligible. Coordinate through OHS, competitive process.

Emergency Management Performance Grant (EMPG)

Support activities that contribute to the grant recipient's capability to prevent, prepare for, mitigate against, respond to and recover from emergencies and disasters. Eligible activities include planning, training and exercises. Equipment greater than \$5,000 per unit with a greater than one year life. Funds may also be used to manage the consequences of terrorist attacks.

Must be in one of 58 Operational Areas (OAs). Base award of \$50,000 plus additional funds based on population. Application due March of each year for reimbursement funds beginning the following September. Coordinate subgrant request through Operational Area representative of OES.

FEMA

Pre-Disaster Mitigation (PDM) Grants

Funding for improvements that will reduce recurrent disaster recovery efforts.

Coordinate request through County Emergency Manager, or local mitigation task force, and OES. Must demonstrate strong cost-benefit ratio. Match of 25% required. Nationally competitive grant. California applications must be through state e-grants system.

Department of Justice

Justice Assistance Grant Program (JAG) - includes former Local Law Enforcement Block Grant Program (LLEBG) and Byrne Grant

Department of Justice funds available to units of general-purpose local government to reduce crime and improve public safety. Eligible costs include training, equipment and security measures around high crime area facilities.

Block grants to the State allocated by population and crime statistics. Apply directly to Bureau of Justice Assistance (BJA) by late spring or early summer. Funds distributed up front. Multi-year awards possible. Match may be required at the discretion of State. Scott Frizzie, 916-322-1904.

DELAWARE

Funding Source	Description	Contact Information
Department of Homeland Security		
<i>State Homeland Security Grant Program</i>	Mitigate costs of enhanced security at critical infrastructure facilities.	Block grant awarded to State. Coordinate through Delaware Emergency Management Administration (DEMA) Public Works group. Submit requests to working group in December for following year. Typically an informal application process. Attend meetings and get on mailing list to learn of and request consideration for available funds. New requests are generally considered in the Fall. Amounts vary, no match is required, but may be encouraged. Limits on funding of construction and other activities. Past focus has been for equipment or commercially available products. State is considering more competitive process for funding over all disciplines. http://www.state.de.us/dema ; John Moore, David West or Mike Lipko at 302-659-3362 or 1-877-SAY-DEMA
<i>Urban Area Security Initiative (UASI) Grant Program</i>	Enhance security of critical infrastructure sites in certain designated urban areas.	Delaware has no current award funds under this program.
<i>Infrastructure Protection Program Grant (IPP)</i>	Enhance the protection around critical infrastructure and key resource sites and deter threats or incidents of terrorism aimed at those facilities. This is the umbrella for a number of grant programs including Port Security Grant Program and Buffer Zone Protection Program as described below.	See Below.
<i>Buffer Zone Protection Plan (BZPP) Grant</i>	Enhance the protection around critical infrastructure and key resource sites and deter threats or incidents of terrorism aimed at those facilities.	Coordinate through DEMA representative. Allocations determined at national level and work plans are negotiated rather than a formal application process. Targeted program with different focus each year. State must have identified critical infrastructure and funding must not already be provided under another federal infrastructure protection program. \$192,500 budgeted for FY 2007. http://www.state.de.us/dema
<i>Port Security Grant Program</i>	Enhance security, mitigation strategies, enhanced facility and operational security in port areas. Training may not be eligible.	Delaware Bay area eligible for funds. Coordinate directly with applicable Port Authority as funding is block granted and at the Port Authority discretion for use. May require operation under control of port authority to qualify.
<i>Metropolitan Medical Response System Grants (MMRS)</i>	Funds to major cities to develop or enhance emergency planning. Includes training and preparation for mass casualty response.	Delaware has no current funds under this program.

<i>Law Enforcement Terrorism Prevention Program Grant</i>	Planning, training, exercises and equipment funding for terrorism prevention activities.	Coordinate through DEMA representative. http://www.state.de.us/dema
<i>Chemical Sector Buffer Zone Protection Grant Program</i>	Funding to enhance risk management and security for state and local protection of chemical sector infrastructure from terrorism and other hazards.	Delaware awarded \$630,000 in funds under this program.
<i>Emergency Management Performance Grant (EMPG)</i>	Support activities that contribute to the grant recipient's capability to prevent, prepare for, mitigate against, respond to and recover from emergencies and disasters. Eligible activities include planning, training and exercises. Equipment greater than \$5,000 per unit with a greater than one year life. Funds may also be used to manage the consequences of terrorist attacks.	Coordinate through DEMA representative. http://www.state.de.us/dema

FEMA

<i>Pre-Disaster Mitigation (PDM) Grants</i>	Funding for improvements that will reduce recurrent disaster recovery efforts.	Coordinate through DEMA representative. http://www.state.de.us/dema
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Department of Justice

<i>Justice Assistance Grant Program (JAG) - includes former Local Law Enforcement Block Grant Program (LLEBG) and Byrne Grant</i>	Department of Justice funds available to units of general-purpose local government to reduce crime and improve public safety. Eligible costs include training, equipment and security measures around high crime area facilities.	Block grants to the State allocated by population and crime statistics. Apply directly to Bureau of Justice Assistance (BJA) by late spring or early summer. Funds distributed up front. Multi-year awards possible. Contact Valerie Tickle, 302-577-8713
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FLORIDA

Funding Source	Description	Contact Information
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Department of Homeland Security

<i>State Homeland Security Grant Program</i>	Mitigate costs of enhanced security at critical infrastructure facilities.	Block grant awarded to State. For subgrants, coordinate through Florida Department of Law Enforcement (FDLE) Regional Domestic Security Task Force. Informal application process. Attend meetings and get on mailing list to learn of and request consideration for available funds. New requests are generally considered in the Fall. Amounts vary, no match is required, but may be encouraged. Limits on funding of construction and other activities. Past focus has been for equipment or commercially available products. Approximately \$20M of funding anticipated for next round of DHS grants to Florida. Statewide committee representatives typically meet in early December to nominate projects to the board for funding. Initial requests should be coordinated through the respective regional task force. There is no specific public works or drinking water committee at present. A Florida Department of Environmental Protection or Department of Health committee co-chair may be petitioned for funding consideration through the regional task force.
<i>Urban Area Security Initiative (UASI) Grant Program</i>	Enhance security of critical infrastructure sites in certain designated urban areas.	Broward and Miami-Dade locations eligible for funds. Coordinate with FDLE task force, UASI local group and county emergency management coordinator. There are no active funding opportunities at the moment.
<i>Infrastructure Protection Program Grant (IPP)</i>	Enhance the protection around critical infrastructure and key resource sites and deter threats or incidents of terrorism aimed at those facilities. This is the umbrella for a number of grant programs including Port Security Grant Program and Buffer Zone Protection Program as described below.	See Below.
<i>Buffer Zone Protection Plan (BZPP) Grant</i>	Enhance the protection around critical infrastructure and key resource sites and deter threats or incidents of terrorism aimed at those facilities.	Block grant funds awarded based on priorities of FDLE Regional Domestic Security Task Force. \$2,310,000 budgeted for Florida in FY 2007.
<i>Port Security Grant Program</i>	Enhance security, mitigation strategies, enhanced facility and operational security in port areas. Training may not be eligible.	Eligible areas include Miami, Pensacola, Palm Beach, Panama City, Port Canaveral, Port Everglades, Tampa Bay and Jacksonville. Coordinate with port authority.

<i>Metropolitan Medical Response System Grants (MMRS)</i>	Funds to major cities to develop or enhance emergency planning. Includes training and preparation for mass casualty response.	Miami, Jacksonville, Tampa, St. Petersburg, Hialeah, Ft. Lauderdale, and Orlando are within an MMRS jurisdiction. Coordinate requests through FDLE Task Force and in particular the Department of Health co-chair for each region. Each location will receive \$258,145 in FY 07 to establish and sustain local capabilities.
<i>Law Enforcement Terrorism Prevention Program Grant</i>	Planning, training, exercises and equipment funding for terrorism prevention activities.	Coordinate requests through FDLE Task Force. Law enforcement based, but other organizations may be eligible for subgrants.
<i>Chemical Sector Buffer Zone Protection Grant Program</i>	Funding to enhance risk management and security for state and local protection of chemical sector infrastructure from terrorism and other hazards.	None awarded.
<i>Emergency Management Performance Grant (EMPG)</i>	Support activities that contribute to the grant recipient's capability to prevent, prepare for, mitigate against, respond to and recover from emergencies and disasters. Eligible activities include planning, training and exercises. Equipment greater than \$5,000 per unit with a greater than one year life. Funds may also be used to manage the consequences of terrorist attacks.	Coordinate request through County Emergency Manager, or local mitigation task force, and Florida Department of Emergency Management (FDEM).

FEMA

<i>Pre-Disaster Mitigation (PDM) Grants</i>	Funding for improvements that will reduce recurrent disaster recovery efforts.	Coordinate request through County Emergency Manager, or local mitigation task force, and Florida Department of Emergency Management (FDEM). Must demonstrate strong cost-benefit ratio. Match of 25% required. Nationally competitive grant.
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Department of Justice

<i>Justice Assistance Grant Program (JAG) - includes former Local Law Enforcement Block Grant Program (LLEBG) and Byrne Grant</i>	Department of Justice funds available to units of general-purpose local government to reduce crime and improve public safety. Eligible costs include training, equipment and security measures around high crime area facilities.	Non-law enforcement bodies eligible for up to \$10,000 annually. Application dates vary, typically from April to September for the following fiscal year. A 10% to 25% match is required, funds are distributed up front. Applicant may not also receive a direct block grant from US-DOJ. Funding varies annually. Contact: FDLE, Office of Criminal Justice Grants at (850) 410-8700
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APPENDIX A2—Case Study Transcripts

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Texas (San Antonio)	57

Alabama – Birmingham Water Works and Sewer Board

Specific name of grant or loan:	Hazard Mitigation Grant
Specific name of funding body:	FEMA
Amount of money received:	\$1,000,000
Is it a loan or a grant?	Grant
Is it renewable?	No
Were there requirements on the funding use?	The grant was issued specifically for purchase of a generator.
Exactly how did you receive the funds?	Funds are provided as a reimbursement after an invoice is received.

1. HOW DID YOUR UTILITY LEARN OF THE FUNDING OPPORTUNITY?

I Terry Oden, Security Manager for the Birmingham Water Works and Sewer Board (BWWSB)] am also the Chairman of the local Jefferson County Emergency Management Agency (EMA) where the BWWSB is located. The Executive Director of the EMA told me there were a number of Hazard Mitigation Grants available as a result of aftermath of Hurricane Katrina. There were several different kinds, one of which was specifically for auxiliary power. The BWWSB had already identified back up power as a security and operational need and we benefited from having an employee focusing on security and creating relationships in the security and emergency management community. I was able to comb through the different available Hazard Mitigation Grants to discover an appropriate one.

2. PLEASE DESCRIBE THE APPLICATION PROCESS.

I presented our case to the Alabama State EMA and discovered that the Governor had set a priority to fund small water and wastewater utilities starting at the gulf and going north through the State. There was concern that funding would run out before it reached us because we are located in the middle of the state, therefore we made an appointment to see the Governor to present our case while drawing attention to the fact that the BWWSB supplied water to roughly one million people or one quarter of the population of the State. To further emphasize the importance of this utility we arranged for two State Senators the District, a State Representative from the District, a U.S. Congressman's Executive Assistant and a lobbyist to be present during our presentation to the Governor. The Governor agreed to move the BWWSB up on the State's EMA priority list.

- ***How did you get the appointment with the Governor?***

I have had some previously dealings with the Governor and received help from our attorney who was able to set up the appointment based on his contacts in the State Capitol.

3. WHAT WAS THE TIME FRAME FROM WHEN THE GRANT WAS AWARDED TO WHEN THE GENERATOR WAS INSTALLED?

The application was submitted April 2006. It was signed off on by the State and afterwards it went to the southern headquarters of FEMA in Atlanta, which usually take about a month. We expect to be notified of the decision in March or April 2007.

- ***Approximately how long do you anticipate for the generator to be manufactured, delivered and installed?***

About 18 months.

- ***Do you have to update FEMA on your progress during that 18 month period?***

We had to provide a very detailed progress schedule to FEMA .The entire list - from placing the order for the generator to getting it installed and operational - was very detailed and we had to adhere to the schedule.

We also had to get approval from the State Historical Commission, the State Department of Environmental Management, and the Army Core of Engineers, as well as provide evidence of elevations because it was located in a flood plain.

- ***When did you first learn that grant money was available?***
Discussion about grant funds being available through the EMA didn't start until the end of 2005, so there was very little turnaround time to submit the application.

4. WHAT PERCENT OF FUNDING REQUEST WAS AWARDED?

Twenty percent. We originally requested \$5 million but it was denied. We then selected a facility that needed back up power; the cost for this was \$2.5 million. FEMA awarded \$1 million and we were able to cover \$1.5 million from money set aside over time by the BWWSB. Utilities must assume that they'll have to rely on themselves for funding and have some available. It is helpful to be able to match at least 25% to 30% of any funds awarded and to indicate this when applying for a grant. Outside grants should be thought of as supplementary and as ways of reaching goals faster than would be possible without them.

5. CAN YOU TELL US GENERALLY HOW THE FUNDS WERE USED?

In the utility's vulnerability assessment, it was highly recommended to have auxiliary power for the critical facilities in order to provide fire flow in a power outage. This grant will be used for two generators to provide backup power to the pump station, one of the utility's most critical sites, which provides close to half of the raw water for the treatment plants. This will guarantee a main water supply in a power outage. The grant will pay for one generator and the utility will pay for the other.

6. DID YOU (HAVE YOU) PURSUE(D) ANY OTHER FUNDING OPPORTUNITIES?

No.

- ***Did this experience make you more or less likely to pursue more funding?***
The BWWSB would pursue funding again, but due to the level of effort involved we would consider roughly \$500,000 a breakpoint. If a grant was for less than that we may not pursue it.

7. DO YOU PLAN ON APPLYING FOR ANY OTHER FUNDING FOR ASSISTANCE FOR SECURITY AND/OR EMERGENCY RESPONSE?

The BWWSB is always looking for more funding opportunities, but recently funds from DHS and FEMA are getting smaller every year. The current grant has come from funding for Katrina, which had created an extra pool.

8. PRIOR TO APPLYING FOR FUNDING HOW WOULD YOU DESCRIBE YOUR RELATIONSHIP WITH YOUR LOCAL FIRST RESPONDERS -- FIRE, POLICE, AND EMERGENCY RESPONSE PERSONNEL?

Excellent. In Jefferson County and all of Alabama in general, Fire, Police, and Emergency people all get along. It goes back to a program that the U.S. Attorney General started in 1975 called Law Enforcement Coordinating Committee, a Committee that was encouraged by the Department of Justice in Washington DC. That Committee was comprised of Federal, Local, and State law enforcement. All groups got to know each other and have worked together over all these years. There are no big turf battles or anything else. I also benefited from working in law enforcement for over 25 years.

- ***Have you tried to pursue any money to finance training exercises involving everyone?***

No. Tabletop exercises can be administered at anytime. Two have been administered already for water, a chemical train wreck as well as an airplane crash. These exercises have been a county wide thing where everybody is involved.

9. WHAT ADVICE OR DIRECTION CAN YOU OFFER TO OTHER UTILITIES THAT SEEK FUNDING FOR SECURITY IMPROVEMENTS?

One thing that was critical to our ability to seize this opportunity was an implementation plan that was in place for two years before the application process began. We were able to say 'This is our plan and it's been on the books for two years.'

10. DO YOU HAVE ANYTHING YOU'D LIKE TO ADD?

Have a critical reason for you application prepared and then find out where funds are available. Personal contacts – people at DHS and the local FEMA. Make a contact with someone who can write the grant in a proper way and get it to the proper channels. Then keep in contact with this individual periodically along the way, checking the status of the application. That way if a piece of information is missing, the utility can be notified in time and not miss a deadline.

Delaware – Wilmington Water Department

Specific name of grant or loan:	Department of Homeland Security Block Grant
Specific name of funding body:	Delaware Emergency Management Administration (DEMA)
Amount of money received:	\$173,422
Is it a loan or a grant?	Grant
Is it renewable?	No
Were there requirements on the funding use?	The funding had to be used within one year from award and was only permitted to be used for equipment.
Exactly how did you receive the funds?	Smaller items were purchased directly by the DEMA against the grant amount. A single larger specialty item was purchased by the City and the funds were reimbursed. The smaller items were funded at 100% and the larger item was funded at 50% of the cost due to limited funding availability. There was no match requirement.

1. HOW DID YOUR UTILITY LEARN OF THE FUNDING OPPORTUNITY?

The Wilmington Water Department (Water Department) works closely with the City's Department of Public Safety and Office of Emergency Management (OEM) in planning for emergencies. The Director of the OEM was aware of the block grant opportunities and invited requests from the Water Department and other City departments. As the initial wave of homeland security funding was geared heavily toward emergency services, the requests from the Water Department were better received as coming from the OEM.

2. PLEASE DESCRIBE THE APPLICATION PROCESS.

While there was no formal application process, the Water Department coordinated its request through the City's OEM which submitted the request to the DEMA along with other City-wide emergency needs. The requests are generally made to the DEMA at the end of the year and the goal is to get the project on the list that is submitted with the State's annual block grant application. It helps to attend the working group meetings and other task force meetings to make the case for funding informally. Cut sheets for equipment and quotes to support the budget requests needed to be provided. It also helped if items addressed specific weaknesses identified in the Vulnerability Assessment.

3. WHAT WAS THE TIME FRAME FROM THE SUBMITTAL OF THE APPLICATION TO THE AWARD OF FUNDS?

Several months from submittal until the Notice of Award.

4. WHAT PERCENT OF FUNDING REQUEST WAS AWARDED?

100% of the smaller items and 50% of a high cost item.

5. CAN YOU TELL US GENERALLY HOW THE FUNDS WERE USED?

The funds were used for acquisition of a variety of security related equipment. Items funded included software, chemical test kits, locks, ladder guards and an emergency generator.

6. HOW WERE THE FUNDS ACCESSED?

DEMA purchased the commercially available smaller items directly and billed the cost against the grant amount. The high cost larger specialty item was reimbursed 50% through a sub grant.

7. HAVE YOU PURSUED ANY OTHER FUNDING OPPORTUNITIES?

Annual requests are made through the DEMA Public Works working group. The group meets approximately every month and includes representatives from a variety of public works areas and municipalities as well as emergency services personnel. Proposals for funding with upcoming Homeland Security grants can be made to the group and the leadership forwards requests and budgets to the State to be included in its annual block applications. In recent years approximately 30% of requested funds have been received by grantees.

8. PRIOR TO APPLYING FOR FUNDING HOW WOULD YOU DESCRIBE YOUR RELATIONSHIP WITH YOUR LOCAL FIRST RESPONDERS -- FIRE, POLICE, AND EMERGENCY RESPONSE PERSONNEL?

There are good working relationships and interactions around emergency planning. This was key to the Water Department hearing about the initial funds through DEMA.

9. DID YOU HAVE SOME SORT OF A SECURITY/EMERGENCY RESPONSE PLAN IN PLACE BEFORE YOU APPLIED FOR THE FUNDS?

The Water Department had conducted a Vulnerability Assessment and prepared an Emergency Response Plan. Short, medium and long term security needs were identified through this planning process and provide the basis for funding requests.

10. WHAT ADVICE OR DIRECTION CAN YOU OFFER TO OTHER UTILITIES THAT SEEK FUNDING FOR SECURITY IMPROVEMENTS?

Coordinate security funding requests with local or regional emergency responder entities. They seem to have good information on resources and may be more likely to receive funding.

Keep in touch with the local or regional grant administrators to make sure that you are aware of any upcoming deadlines or other opportunities.

Make end of fiscal year requests of any remaining funds from the block grants if other recipients fail to spend the all their funds before the deadline.

Georgia – Atlanta Department of Watershed Management

[EDITOR'S NOTE: At the time of this writing the Atlanta Department of Watershed Management has not received security funding with the exception of a grant for the completion of their Vulnerability Assessment. However, they are anticipating receiving UASI funding this year and their Director, who was interviewed, provided a wealth of experiences and examples that can be utilized by anyone seeking funding.]

Specific name of grant or loan:	N/A
Specific name of funding body:	N/A
Amount of money received:	N/A
Is it a loan or a grant?	N/A
Is it renewable?	N/A
Were there requirements on the funding use?	N/A
Exactly how did you receive the funds?	N/A

1. HOW DID YOUR UTILITY LEARN OF THE FUNDING OPPORTUNITY?

The UASI region that the Atlanta Department of Watershed Management [the Department] covers Fulton County and DeKalb County. These two counties have received UASI money in the past but the Department has not received UASI money until this year.

After 3 years of attending, explaining, and participating in the different activities the Department has been included in grant discussions. In addition the local All Hazards Regional Committee has hired a grant developer for the purposes of unifying all of the local requests from the UASI Region.

This year we are anticipating that UASI money will be directed more toward hardening critical infrastructure as opposed to upgrading interoperable communications such as Police, Fire, and Emergency Management.

2. PLEASE DESCRIBE THE APPLICATION PROCESS.

The process was basically “drop everything in order to make it to some meetings.” However I have been preparing grant applications for a couple of years so the necessary materials were already in a file that could be pulled out of the desk drawer.

- ***Can you talk a little bit about what's in that file?***

The water portion of the nation's critical infrastructure is so heavily financed by customers that it's probably not the first place that people think of for governmental spending. Over the years I've learned to keep a desk file. In peaceful times I fill up the file so that at the end of a budget cycle when they have a set amount of budget money to spend by the close of the fiscal year, which is October, then I have the information ready.

3. WHAT HAVE YOU DONE TO FUND SECURITY IMPROVEMENTS SINCE YOU HAVE BEEN UNABLE TO SECURE GRANT MONEY?

The Department took our 2003 Vulnerability Assessment and developed a security surcharge to help funded identified improvements. The surcharge was instituted as part of a rate adjustment in January of 2004. The surcharge was applied to security enhancements which

run from automated surveillance and intrusion detection to CPTED (Crime Prevention Through Environmental Design).

An explanation of the surcharge was provided to the public at the same time as a rate increase was passed. The rate increase itself was arduous but the surcharge was implemented relatively soon after the events of September 11th so the customers did not balk a great deal.

4. CAN YOU TELL US GENERALLY HOW YOU WILL USE THE FUNDS?

One of our goals is to stop collecting the surcharge if we can, otherwise it will be used to fund smaller components of larger capital improvement projects. Some of the larger security projects have estimated costs in the tens of millions of dollars and there is reluctance to putting in a grant application for something that big. If they are broken into smaller components they may be eligible for inclusion in one of these comprehensive grants.

5. PRIOR TO APPLYING FOR FUNDING HOW WOULD YOU DESCRIBE YOUR RELATIONSHIP WITH YOUR LOCAL FIRST RESPONDERS -- FIRE, POLICE, AND EMERGENCY RESPONSE PERSONNEL?

Generally speaking, the attitude from the first responders was one of disinterest, i.e. that water doesn't need to be protected. What they have failed to understand in the past is that they're not alone in doing their job. They have a community behind them. For instance, if they want a building bulldozed or if they want to have debris removed, it's going to be public works that does it. If they want to have a sewer connection to their mobile command post or clean drinking water when there is disruption and failure going on, they're going to depend on us.

- ***Have you participated in activities with the local First Responders?***

The Department has participated in a collective design for additional security in the City of Atlanta itself. When issues come up there is a Homeland Security committee that Commissioners of the different City Departments participate in. There are also tabletops and other types of exercises and training sessions where we invite Police and Fire to. In addition, they have become more open about inviting us to some of their training, which is good for networking. It's important to network with the people you expect to come and rescue you.

Also, all of our exercises are becoming higher quality, more inclusive and they're doing more critical infrastructure related exercises as opposed to assault related. Some of the elected officials in the City are trying to heighten the issue of the protection of critical infrastructure.

- ***Would then say attending the First Responder activities and meetings has paid dividends?***

Yes it has. In addition, the events along the gulf coast during Katrina have helped highlight the importance of water and wastewater as well.

Also the police department in particular has had grant writers since the 70s and now that they understand a little bit more about the national infrastructure plan they see where they should form partnerships with some of the other infrastructure representatives.

6. DO YOU PARTICIPATE IN ANY STATE-WIDE EXERCISES?

We participate with the All Hazards Committee and this invitation only came because the Department was proactive. The invitations are put out typically through the emergency management or law enforcement networks. It's important to reach out to those communities

and at least to get on the distribution list. If you don't know what's happening, it can be a major loss.

If we weren't in contact with the All Hazards Committee, we would never have known about the grant developer they hired for the UASI region. Another important bridge is the Department's communications group. We are forming a bridge with the communication, public relations, and customer service folks that handle public affairs, information releases, and public information in order to be able to properly formulate the security and emergency response message. There's a big assumption in our community [water and wastewater] that 'of course everyone knows how important we are', but they don't.

In the past the Communication Department has focused on the community acceptance of things that the water or wastewater departments might have to do or recognition of the value of the water supply and wastewater reclamation. To that message we're adding, 'and this is how it needs to be secured' and 'these are the steps that need to be taken in case of an emergency.'

7. WHAT ADVICE OR DIRECTION CAN YOU OFFER TO OTHER UTILITIES THAT SEEK FUNDING FOR SECURITY IMPROVEMENTS?

Keep a desk file with relevant information for equipment and pricing so when someone tells you at the end of a budget cycle that they have money they have to spend by the close of the fiscal year you can react quickly.

Improve your networking with First Responders. Invite them into your domain and respond to their invitations. Through that networking you're increasing your chances of being a sub-grantee through one of the Police or Fire Department's grants.

Another key is to identify who will be reviewing your application and write it in a way that will be well received. The terminology used by drinking water can be different than that used by First Responders and if you try to do a presentation for First Responders in "water" language you're going to lose them. You need to discuss your needs and wants in the same terms that the grant issuer uses in their discipline. If possible spend time with the grant issuer's individuals as well as their executives to find out what they are doing, what their job is like, how do they have to respond, where do they connect that hose to, etc. etc.

Indiana – South Bend Water Works

Specific name of grant or loan:	Local Emergency Planning Commission (LEPC) Grant
Specific name of funding body:	Department of Homeland Security
Amount of money received:	\$10,000
Is it a loan or a grant?	Grant
Is it renewable?	No, but we can apply again
Were there requirements on the funding use?	The grant was specifically identified by the LEPC for educational use.
Exactly how did you receive the funds?	A payment request had to be submitted. No money came from the Water Works.

1. HOW DID YOUR UTILITY LEARN OF THE FUNDING OPPORTUNITY?

The emergency planner for the South Bend Water Works attended the Local Emergency Planning Commission (LEPC) meetings, which are mostly for emergency, fire, HAZMAT, and police.

2. PLEASE DESCRIBE THE APPLICATION PROCESS.

It was a learning process over 3 years. We submitted an application and were turned down due to incorrect procedure. Also we discovered the LEPC is reluctant to grant money for use just within the City of South Bend, but are more agreeable if everyone in the LEPC District can benefit. Upon resubmission, using the correct procedure, we discovered that the LEPC wanted to grant funds for education as opposed to equipment purchase. A final resubmission proved that we were serious and the application was approved.

- ***Did anyone help you fill out the applications?***

No, but examples of cost estimates for training classes acquired from other organizations aided us in creating one for this class to submit to the LEPC.

- ***Did the funding require, outside of just inviting everyone, a certain number of people in attendance?***

There was no attendance requirement, but the class ended up being well attended.

3. WHAT WAS THE TIME FRAME FROM WHEN THE GRANT WAS AWARDED TO WHEN YOU CONDUCTED THIS CLASS?

The deadline for the application was in March 2006, the funds were granted in June, and the class had to be conducted by January 20th of the following year.

- ***When did they tell you that the grant was available?***

Talk that funds were available through the LEPC didn't start until the end of 2005, so there was very little turnaround time to submit the application.

4. WHAT PERCENT OF FUNDING REQUEST WAS AWARDED?

One hundred percent of the \$10,000 requested.

5. CAN YOU TELL US GENERALLY HOW THE FUNDS WERE USED?

A two day class intended for the County because the LEPC wanted it to be for the whole district that they represent. The class was specifically aimed at the water and wastewater sector, and Northern Indiana, District II.

6. HAVE YOU PURSUED ANY OTHER FUNDING OPPORTUNITIES?

Yes, we have pursued funding from the LEPC for a distribution monitoring system within the City. The funding was denied because it was for something too specific as opposed to something that would benefit the entire district.

7. DO YOU PLAN ON APPLYING FOR ANY OTHER FUNDING FOR ASSISTANCE FOR SECURITY AND/OR EMERGENCY RESPONSE?

Yes, additional grants from the LEPC for education as well as the distribution monitoring system again (Early Warning Detection System).

- ***Have you pursued any sort of low interest loans in your area for upgrades or the Early Warning Detection System?***
Part of a bond that was received by South Bend Water Works was set aside for security.
- ***Are you continuing to use your Vulnerability Assessment as a mechanism for trying to get future upgrades implemented?***
Yes.

8. PRIOR TO APPLYING FOR FUNDING HOW WOULD YOU DESCRIBE YOUR RELATIONSHIP WITH YOUR LOCAL FIRST RESPONDERS -- FIRE, POLICE, AND EMERGENCY RESPONSE PERSONNEL?

Good. Local First Responders have been very inviting and interested generally in someone from Public Works, and specifically from Water, in attending their meetings. Police and Fire had to be persuaded at first to recognize the importance of water.

- ***What is your role at these meetings, do you attend other types of meetings?***
I assisted with emergency plan development and maintenance. I also attended HAZCOM and Texas Engineering Extension (TEEX) meetings. TEEX along with Texas A&M, offered a training class through the Department of Homeland Security. There was substantial work involved in ensuring proper attendance at this class and I feel that devoting time to assisting with this class helped us demonstrate our commitment to the LEPC.
- ***During the VA how involved were the Fire and Police if any?***
The Police and the FBI were invited, but did not end up being involved at all.

9. WHAT ADVICE OR DIRECTION CAN YOU OFFER TO OTHER UTILITIES THAT SEEK FUNDING FOR SECURITY IMPROVEMENTS?

Build relationships with the Fire and Police. Attend [meeting like] the LEPC and educate the other attendees about the importance of water and wastewater. Get involved with the Red Cross or other organizations that rely on water and wastewater utilities and therefore should be incorporated into the utility's emergency planning.

New Jersey – Bergen County Utilities Authority

Specific name of grant or loan:	New Jersey Environmental Infrastructure Financing Program
Specific name of funding body:	New Jersey Department of Environmental Protection (NJDEP)
Amount of money received:	\$3,100,000
Is it a loan or a grant?	Low Interest Loan
Is it renewable?	No
Were there requirements on the funding use?	The funds had to be used for projects that were approved by the financing program.
Exactly how did you receive the funds?	Reimbursement Basis

1. HOW DID YOUR UTILITY LEARN OF THE FUNDING OPPORTUNITY?

The Infrastructure Financing Program is popular in New Jersey for providing low interest loans for Water and Wastewater capital improvements.

2. PLEASE DESCRIBE THE APPLICATION PROCESS.

The Bergen County Utilities Authority (BCUA) had already prepared the design documents for and funded the construction contract to install security hardware and other security upgrades at their Wastewater Treatment Plant (Plant) when they began the process of applying for a New Jersey Environmental Infrastructure Financing Program (Infrastructure Financing Program) loan for another capital improvement project with the NJDEP. The BCUA met with the NJDEP and petitioned them to also approve the security contract for funding under the loan program.

After the NJDEP approved the security upgrades project for funding, the loan application, design documents, proposed construction schedule and cost estimate were submitted to the NJDEP. In addition, we applied for all necessary environmental permits for the project.

Once the design package was approved by the NJDEP the loan was approved and we put the project out for bid.

The process required significant effort and the BCUA realized they did not have the appropriate staff to meet the requirements themselves. The BCUA retained the services of an outside consultant to help with the process.

3. WHAT WAS THE TIME FRAME FROM WHEN THE APPLICATION WAS SUBMITTED TO THE APPROVAL OF THE LOAN?

The loan application was submitted in February of 2005 and the project was approved to be advertised for bid in November of 2005. The project is currently under construction.

4. WHAT PERCENT OF FUNDING REQUEST WAS AWARDED?

One hundred percent of the \$3,100,000 requested.

5. CAN YOU TELL US GENERALLY HOW THE FUNDS WERE USED?

The funds were used for the installation of perimeter fencing, the reconfiguration of the two entrances to the Plant to include guardhouses and new gates, installation of CCTV cameras

and access control equipment and the installation of a security control room in one of the building at the Plant.

6. HAVE YOU PURSUED ANY OTHER FUNDING OPPORTUNITIES?

The BCUA had previously met with their local county Office of Emergency Management (OEM) to seek funding for other security improvements. We have applied for available funding and were proactive about meetings where we explained the need for wastewater security. The County OEM denied the BCUA's request since it felt there were more pressing security needs than wastewater.

9. DO YOU PLAN ON APPLYING FOR ANY OTHER FUNDING FOR ASSISTANCE FOR SECURITY AND/OR EMERGENCY RESPONSE?

The BCUA feels strongly that wastewater needs to be protected as a part of the nation's critical infrastructure and will continue to seek out funding for future security upgrades at our pump stations and remote facilities.

The application for the Infrastructure Financing Program is extensive and requires the services of a consulting engineer. Despite the added cost of effort the Program has saved the BCUA significant money and we plan to utilize the program in the future.

10. PRIOR TO APPLYING FOR FUNDING HOW WOULD YOU DESCRIBE YOUR RELATIONSHIP WITH YOUR LOCAL FIRST RESPONDERS -- FIRE, POLICE, AND EMERGENCY RESPONSE PERSONNEL?

The BCUA has a strong relationship with the first responder community. We routinely perform training exercises that the local Fire and Police departments take part in. The BCUA considers a strong relationship vital to our overall security plan.

11. WHAT ADVICE OR DIRECTION CAN YOU OFFER TO OTHER UTILITIES THAT SEEK FUNDING FOR SECURITY IMPROVEMENTS?

Be very creative in searching for opportunities. This project was one of the first to be funded by the NJDEP for security equipment. While not as ideal as a grant, the loan has still allowed the BCUA and its ratepayers to save significant money in interest payments.

New Jersey – Jersey City Municipal Utilities Authority

Specific name of grant or loan:	Urban Area Security Initiative Grant
Specific name of funding body:	Department of Homeland Security via the Morris County Emergency Management.
Amount of money received:	\$531,000
Is it a loan or a grant?	Grant
Is it renewable?	No
Were there requirements on the funding use?	The grant was to be used for training, purchasing of equipment, and installation, but not on construction.
Exactly how did you receive the funds?	The project was set up through two contractors that the Jersey City Municipal Utilities Authority's Operator (United Water) hired. An agreement was made with the State Attorney General's Office that all reimbursements would be made directly to United Water.

1. HOW DID YOUR UTILITY LEARN OF THE FUNDING OPPORTUNITY?

The Jersey City Municipal Utilities Authority (JCMUA) received a call from the Morris County Office of Emergency Management (OEM) requesting a meeting. This meeting took 2-3 months to set up. 15-20 people attended the meeting including representatives from The City of Jersey City, The Morris County OEM, various towns in the area, the State Attorney General's office, and the New Jersey State Department of Environmental Protection Dam Safety Committee. During the meeting it was disclosed that a grant was available. Within 2-3 days the JCMUA had a preliminary list of upgrades and a preliminary cost estimate prepared for the OEM.

- ***Speaking of OEMs, does the JCMUA sit on these agencies or routinely go to the meetings either from Morris, Hudson, or Essex Counties?***

When an emergency situation arises, let's say a major snow storm, flooding or hurricane, the JCMUA would have a representative at the OEM headquarters. Recently there was also training held for all government employees who are first, second or third responders. Beyond that no.

- ***Do you think first responders understand the full importance of why water and waste water facilities need to be intimately involved in Emergency Management training?***

Intellectually it is understood. However, it is not reflected in the Federal Government's monetary allowances to the utilities.

2. PLEASE DESCRIBE THE APPLICATION PROCESS.

The application, including all of the follow-up and paperwork for the Morris County OEM and the Attorney General's office, was completed internally by JCMUA staff with some assistance from an outside engineering firm. The Attorney General's main concern was that the money be spent before a certain date. Once we sent them a basic description there was no direct involvement after that, not even a site visit. The funds had to be spent by the end of the fiscal year, or the grant would not be awarded.

- ***You already had an implementation plan in place and were committed to doing security upgrades, so that when the opportunity fell in your lap you were able to capitalize on it?***

The Vulnerability Assessment was developed with specific tasks and their related costs. This is what was used when the \$531,000 grant came around.

- ***And were you able to spend all the money in just three months?***

Yes. Unfortunately, because the New Jersey local public contract law is set up to prevent corruption and abuse, it doesn't lend itself to moving projects ahead quickly. We did discuss with the Attorney General's Office whether or not, because this was a security project, we could get any waivers in order to spend the money more rapidly. The petition was declined. However, we found another solution – going through United Water. The JCMUA was fortunate to be able to do this. Many other municipalities don't have that ability.

3. WHAT WAS THE TIME FRAME FROM WHEN THE GRANT WAS AWARDED TO WHEN THE SECURITY UPGRADES WERE COMPLETED?

The information was submitted to the OEM in August 2004. Several problems were encountered and there were delays associated with putting all of the agreements in place. Most of the work was completed through the summer and fall of 2005.

4. WHAT PERCENT OF FUNDING REQUEST WAS AWARDED?

The grant was indicated to be \$531,000 from the beginning. The JCMUA invested roughly another \$200,000 for the completion of the work.

5. CAN YOU TELL US GENERALLY HOW THE FUNDS WERE USED?

Funds were used for closed circuit television, electronic access control, and fencing at the Treatment Plant and on the Dam.

- ***The one thing they did require was the assessment of the JCMUA's dams, is this correct?***

This is a unique situation because even though the JCMUA is located in Hudson County, New Jersey, the dams and the Treatment Plant are located in Morris County, New Jersey. The money came through Morris County OEM, the leading OEM for this entire urban area and protection of the dam is critical to protect the citizens. If the dam was compromised it would only affect Morris County residents directly, and Jersey City residents indirectly. It was in the OEM's best interest to have some additional security at the dam.

- ***How were the funds accessed?***

A basic description of the cost of the work was submitted to the OEM. An agreement was made with the Attorney General's office. This Memo of Understanding included acceptance of grant, payments, and transfer of money to United Water, and the Contractor. The applications for payment, after being approved by the engineer were sent off for reimbursement.

6. DID YOU (HAVE YOU) PURSUE(D) ANY OTHER FUNDING OPPORTUNITIES?

Yes. The JCMUA contacted Morris County OEM to see if any other funds were available.

7. DO YOU PLAN ON APPLYING FOR ANY OTHER FUNDING FOR ASSISTANCE FOR SECURITY AND/OR EMERGENCY RESPONSE?

Yes.

- **Would you consider loans? Would there be some breakpoint in size to make it worth or not worth while?**

If there was a federal or state mandate requiring certain upgrades, then maybe a loan would be the answer.

- **The City of Jersey City received a larger sum of money this year from UASI than they did in the past from DHS funding; do you think that the JCMUA will see any of that money?**

Possibly, but the problem remains that most of the security in this County is run by the Police and Fire departments which are costly operations and are a priority. Money is hard-pressed to find its way to improvements or security of the infrastructure.

- **In addition to this grant, has money been put aside or budgeted each year for security?**

Yes, approximately \$500,000 a year.

- **Have you raised rates to finance your security improvements? If not, how have you financed them?**

Rates have been raised on an ongoing basis, but it's also a line item in the capital budget. Most of the administrative operation costs have been absorbed into the normal budget. It hasn't been a separate line item or earmarked for security issues.

8. PRIOR TO APPLYING FOR FUNDING HOW WOULD YOU DESCRIBE YOUR RELATIONSHIP WITH YOUR LOCAL FIRST RESPONDERS -- FIRE, POLICE, AND EMERGENCY RESPONSE PERSONNEL?

Grant money has been received from the Morris County OEM, but no, there has been no other contact on an official basis before then and very little thereafter. The JCMUA might contact the local police department in Boonton, Parsippany, or Rockaway [nearby towns], but we haven't had much dialog with them either.

- **Have they invited the JCMUA or United Water to participate in any training that has gone on in any of these counties?**

As far as I know we have not been invited to participate in any tabletop exercises. The JCMUA has conducted emergency management training through the State Department of Environmental Protection Dam Safety. More tabletop training is scheduled. This training has to do with a dam failure due to an earthquake or the like in order to know the procedure for notifying local responders.

- **And you are planning to invite all of the local first responders?**

Yes. We will invite them from all of the surrounding effected towns. The training last year had a sizable attendance.

9. WHAT ADVICE OR DIRECTION CAN YOU OFFER TO OTHER UTILITIES THAT SEEK FUNDING FOR SECURITY IMPROVEMENTS?

Most utilities in this Country, at least the ones in this area where the systems are extremely old, have many needs. Sometime it's hard to get past the mindset of locals or even people at the State level. Nobody is thinking about security right now. Instead people are talking about lowering property taxes. If property taxes have to be lowered how would that affect the security efforts? Individuals don't have the ability to change the way of looking at the security issue. There is also not enough priority given to this by the media. Until people change their way of looking at security, improvements are not going to occur until the next catastrophe.

There are only so many hours in the day to accomplish things and unfortunately security has not been brought up as an issue allowing a position with the specific task of running a security program and seeking out security grants.

- ***Hypothetically, if funding was available for such a position, do you think it would be helpful to have? Does it warrant having a full time job?***

There is a need for someone to be specialized or dedicated specifically to this issue. In its current state, if a future terrorist attack or something to that effect should occur, there would be chaos and everyone would be wondering why we didn't do anything. So yes, it is something important, but until everyone believes this can be done and it is a high enough priority, it will never happen.

Ohio – Mt. Vernon Division of Water and Wastewater

Specific name of grant or loan:	State Homeland Security Grant
Specific name of funding body:	Ohio Emergency Management Agency
Amount of money received:	\$55,000
Is it a loan or a grant?	Grant
Is it renewable?	No
Were there requirements on the funding use?	The generator had to be purchased through the State Procurement Program. The funds could not be used for engineering or installation.
Exactly how did you receive the funds?	The Local Emergency Management Agency sent the generator vendor a check.

1. HOW DID YOUR UTILITY LEARN OF THE FUNDING OPPORTUNITY?

The local Emergency Management Agency (EMA) sent a letter to the Mt. Vernon Division of Water and Wastewater (Division). The EMA indicated that they had a secondary group called the Weapons of Mass Destruction Advisory Group (Advisory Group) and that this group had met and determined that there were nine different facilities that were vulnerable to a terrorist or extremist-group; and that the group had funding available and requested that the Division apply.

2. PLEASE DESCRIBE THE APPLICATION PROCESS.

The EMA asked the Division to put together a list of items to be considered for funding. The original list included items such as conducting a Vulnerability Assessment (VA), preparing an Emergency Response Plan (ERP), purchasing a generator, and installing fencing and some closed circuit television monitoring with a perimeter alarm. The EMA responded that the VA and ERP needed to be removed from the list and then they asked a representative from the Division to attend a meeting to further explain why the items requested were needed. The Administrator of the Division attended and was given fifteen minutes to speak before the EMA and the Advisory Group. The Advisory Group asked numerous questions about the items on the list. Subsequent to the interview the Advisory Group removed everything from the original list except the generator.

3. WHAT WAS THE TIME FRAME FROM WHEN THE APPLICATION WAS SUBMITTED TO THE AWARD OF FUNDS?

The letter from the EMA was sent in February of 2004. The grant was awarded in June of 2004. The grant was formally paid after the installation of the generator, which happened in the Spring of 2005.

4. WHAT PERCENT OF FUNDING REQUEST WAS AWARDED?

Approximately 50%. The total cost of the generator was \$101,290 and the grant was for \$55,000.

5. CAN YOU DESCRIBE HOW THE FUNDS WERE DISBURSED?

Once the funds were approved the Division obtained an estimate for the cost of the generator from a State Procurement Vendor. A copy was sent to the local EMA. The EMA wrote a purchase order for the amount and this was faxed to the vendor. The vendor

accepted that as an order and they began to build the generator. Once the generator was received and installed then the local EMA sent the vendor a check.

- ***Do you believe that it was important to be able to show the funding agency that you were willing to match the funding amount that you received?***

Yes, it did help us to obtain the grant. The other important factor was that the area the generator provides back up power to include a hospital, nursing homes and another village.

6. HAVE YOU PURSUED ANY OTHER FUNDING OPPORTUNITIES?

The Division received funding from FEMA in December of 2004 after a very serious ice storm where the Division was without power for two and a half days. The back-up generator that we had at the time only served part of the facilities so the widespread power outage caused a lot of problems. There was debris clean up and there were people responding to various emergencies - whether it was sewer lift stations, water booster pump stations or at the waste water treatment plant.

The State and the County were both declared disaster areas and the State of Ohio FEMA came in and conducted an overall workshop for all the villages, townships and cities that were involved. They presented notebooks full of paperwork about how items had to coded, what was acceptable and what was not. The Division had to attend the meeting in order to be eligible to apply for funds.

Eventually a FEMA representative came over to the Division to do a review with us and look at the various facilities where we wanted to apply for funds. Some of the funds that were allowable were equipment funds. FEMA has a specific list of certain types of equipment they will pay for. There were also strict rules regarding reimbursement for labor.

7. DO YOU PLAN ON APPLYING FOR ANY OTHER FUNDING FOR ASSISTANCE FOR SECURITY AND/OR EMERGENCY RESPONSE?

If another grant opportunity like this comes up again the Division would certainly apply. The VA and ERPs are now completed. The VA gave the Division a prioritized list of upgrades to do down the road.

Currently the Division is trying to set aside money in our annual budget for security upgrades. Items from the VA were included in a recent water rate study but the study showed that the Division needed to raise rates 19.5% in order to just continue to pay off debts and pay for operation and maintenance costs. At this time it is a challenge to afford even the most basic capital improvements much less security improvements.

8. PRIOR TO APPLYING FOR FUNDING HOW WOULD YOU DESCRIBE YOUR RELATIONSHIP WITH YOUR LOCAL FIRST RESPONDERS -- FIRE, POLICE, AND EMERGENCY RESPONSE PERSONNEL?

Prior to this, the Division did not have a very good relationship with the Fire Chief or Police Chief. However, we did get to know each other after our local EMA Director provided some outreach to the Division's facilities and the first responders joined us for a tabletop exercise on a water contamination. The Division also hosted a full scale exercise at our wastewater treatment plant, simulating a chlorine release. That is basically how we got to know the first responders better and where it became apparent that we have vulnerable assets that need to be considered.

- ***It sounds like during the course of these exercises the first responders were able to see how important your utility is to them.***

The Division tried to keep them informed, for example, in regards to our Risk Management Program for chlorine and we have also supplied them with information about the location of our tanks and additional items. Until we all came to the table and did an exercise that directly involved us that they really did not have a very good grasp as to the importance of our facilities.

- ***Does anyone from the Division you sit on your local EMA?***

Yes, the Administrator of the Division is a member of the local EMA committee. They meet quarterly but so far in these meetings they have not discussed what goes on in the other committee where they divide up the funds.

9. WHAT ADVICE OR DIRECTION CAN YOU OFFER TO OTHER UTILITIES THAT SEEK FUNDING FOR SECURITY IMPROVEMENTS?

Many of the questions that were asked during the interview with the EMA and the Advisory Group seemed to come from the perception that because water and wastewater utilities are self funded all they have to do for funding is go out and raise their rates; whereas the Fire and Police Departments are typically run out of the general funds that are generated by income taxes and hence have a more difficult time getting the money that they need. That may be one reason why it might be difficult for water and wastewater utilities to get this money because there may be this perception that we are some kind of self-funded monopoly.

- ***Do you have any specific thoughts or advice for smaller utilities in terms of getting funding?***

In this case it was important to have had some contact with the people that actually have the purse strings; these were the emergency management people. The experience of coming together during the table top exercises and providing them with a better understanding of the Division's role, our vulnerabilities, and what can happen if there is some type of an emergency, was very important. Try to be included in some of these exercises or offer to host one at your facility.

Pennsylvania – Philadelphia Water Department

Specific name of grant or loan:	Drinking Water State Revolving Fund
Specific name of funding body:	Pennsylvania Department of Environmental Protection (PADEP) via the EPA.
Amount of money received:	\$725,000
Is it a loan or a grant?	Grant
Is it renewable?	No
Were there requirements on the funding use?	The funds had to be for establishing an Early Warning System (EWS) and could not be used for maintenance.
Exactly how did you receive the funds?	Reimbursement Basis

1. HOW DID YOUR UTILITY LEARN OF THE FUNDING OPPORTUNITY?

Philadelphia Water Department (PWD) had received previous funding from the PADEP to conduct source water assessments and the impetus for an EWS came out of that work. The PADEP was interested in funding the EWS from some newly available funds and invited PWD to submit a request.

2. PLEASE DESCRIBE THE APPLICATION PROCESS.

The grant process was informal and was not competitive based. It developed out of discussions with the PADEP. The request for funds was prepared by PWD staff with support by consultants.

3. WHAT WAS THE TIME FRAME FROM WHEN THE APPLICATION WAS SUBMITTED TO THE AWARD OF FUNDS?

The initial application was in 1998 under a grant program with more of an educational focus. Funds were not approved at that time. The request was resubmitted again in 2001 after some additional studies were completed. Funds were awarded in 2002 due to an increased emphasis on security after the events of September 11th.

4. WHAT PERCENT OF FUNDING REQUEST WAS AWARDED?

One hundred percent of the \$725,000 requested.

5. CAN YOU TELL US GENERALLY HOW THE FUNDS WERE USED?

The funds were used for the consultant work to develop the Delaware Valley Early Warning System. The EWS is an online monitoring, notification, and communication system designed to provide water suppliers in the Schuylkill and Delaware Rivers with advanced warning of water quality events. Funds were not severely restricted during development and were mostly spent on programming and website development. The EWS was developed to include a partnership of water suppliers and emergency responders throughout the coverage area, a real-time water quality monitoring network, and a notification system that enables emergency responders and other users to generate automated telephone and email notifications concerning water quality events.

6. HAVE YOU PURSUED ANY OTHER FUNDING OPPORTUNITIES?

Besides the EWS funding, the Department has pursued funding associated with their proximity to regional ports but has been unsuccessful.

7. DO YOU PLAN ON APPLYING FOR ANY OTHER FUNDING FOR ASSISTANCE FOR SECURITY AND/OR EMERGENCY RESPONSE?

PWD will continue to request funding through available avenues. There is a possibility of some additional EWS maintenance funding through the New Jersey Department of Environmental Protection (NJDEP).

8. PRIOR TO APPLYING FOR FUNDING HOW WOULD YOU DESCRIBE YOUR RELATIONSHIP WITH YOUR LOCAL FIRST RESPONDERS -- FIRE, POLICE, AND EMERGENCY RESPONSE PERSONNEL?

A big part of developing the EWS was to strengthen the relationships with first responders. It was not a significant influence on the grant award. Currently PWD and the EWS partners have a very good first responder relationship.

9. DID YOU HAVE SOME SORT OF A SECURITY/EMERGENCY RESPONSE PLAN IN PLACE BEFORE YOU APPLIED FOR THE FUNDS?

PWD does have an Emergency Response Plan (ERP), but this funding request did not come out of the ERP but rather out of a watersheds initiative. The EWS serves a dual purpose of security and emergency response enhancement. Further, the EWS was a commonly desired improvement on the part of regional utilities and that is part of why it was viewed positively for funding.

10. WHAT ADVICE OR DIRECTION CAN YOU OFFER TO OTHER UTILITIES THAT SEEK FUNDING FOR SECURITY IMPROVEMENTS?

Build strong relationships with potential partners for your program. Look into ways to fund the program beyond the initial grant amount.

Texas – San Antonio

[EDITOR'S NOTE: The San Antonio Water Works has made the decision that it is their responsibility to fund physical security applications by incorporating improvements into their overall budget physical and as such does not apply for grant with the exception of a grant for the completion of their Vulnerability Assessment. However their Security Director, who was interviewed, sits on the local Council of Government that reviews grant applications and provided a wealth of experiences and examples that can be utilized by anyone seeking funding.]

Specific name of grant or loan:	N/A
Specific name of funding body:	N/A
Amount of money received:	N/A
Is it a loan or a grant?	N/A
Is it renewable?	N/A
Were there requirements on the funding use?	N/A
Exactly how did you receive the funds?	N/A

1. HOW DID YOUR UTILITY LEARN OF THE FUNDING OPPORTUNITY?

The San Antonio Water Works (SAWW) was one of the first recipients of a Vulnerability Assessment Grant, which was in the amount of \$115K. All subsequent opportunities we have learned about have been a direct result of our own research as well as by partnering with other agencies. The best way for other utilities to learn of funding opportunities is to be active in their Local Emergency Planning Committee.

2. PLEASE DESCRIBE THE APPLICATION PROCESS.

On occasions where the SAWW partnered with other agencies to obtain money there was no extensive application process on their part. In one example, we partnered with the Metropolitan Health Department and received \$10-15K for the purchase of a Field Test Kit. The Health Department did the majority of the work and we “piggy-backed” on their application. This collaborating is beneficial to both agencies because you have a greater chance of success of being awarded a grant when it is beneficial to a larger pool of people.

3. WHAT HAVE YOU DONE TO FUND SECURITY IMPROVEMENTS SINCE YOU DO NOT PERSUE GRANT MONEY?

Typically our organization does not apply for any grant money. Funding is available for security upgrades because we factor those upgrades and improvements into the overall budget. SAWW made the decision to take on the responsibility to fund all security applications. This method has been very successful for us.

4. PRIOR TO APPLYING FOR FUNDING HOW WOULD YOU DESCRIBE YOUR RELATIONSHIP WITH YOUR LOCAL FIRST RESPONDERS -- FIRE, POLICE, AND EMERGENCY RESPONSE PERSONNEL?

Our relationships are very good. We recently held a Water Security Briefing Workshop that was open to everyone. Participants included representatives from the FBI, police and fire department. The workshop provided mass information exchange between all groups. If agencies are ever presented with the opportunity to participate in such an event, I highly

recommend it. We have also participated in exercises with the Union Pacific Railroad and the nearby Air Force base.

We keep an open line of communication with our first responders and are always looking to partner with them on grant applications. Many utilities are new to the grant application process, while fire and police departments have been active participants in this process for years. Seek help and advice from these departments and their grant writers.

5. WHAT ADVICE OR DIRECTION CAN YOU OFFER TO OTHER UTILITIES THAT SEEK FUNDING FOR SECURITY IMPROVEMENTS?

Be proactive in finding funding opportunities. Reach out to local fire and police departments, and other local utilities; they may provide opportunities for collaboration on grant applications as previously mentioned. Additionally, fire and police departments have years of experience with grant applications and therefore can provide advice on the application process.

It is important to keep all your files up to date and anticipate when grants will become available. Application periods always have hard dates and time between announcement and deadlines are often short. If you know the grant cycle, it will be easy to submit your application in a timely manner.

Look at the broader picture and for opportunities that have multiple benefits. We recently completed a conservation effort to acquire large properties and place them into the local area watershed to prevent urban development. This was done under a \$1 million EPA Conservation Easement Grant. By doing so we not only aided in protecting our environment but also maintained the amount of water collected in the aquifer we use.

The Council of Government (COG) uses a scoring system to rank applicants according to certain criteria. Agencies that will supplement the grant money with their own funds are given a higher rank. This shows that they are willing to make the effort on their own and that the grant money is only an aid and not a means to help them reach their goal. Agencies that show award of grant will provide benefits regionally rather than just locally are also ranked higher. Highway message boards or large scale communication systems that will help the entire region during emergencies are two examples.

In advance of submitting an application, you should find out who are the people on committee and tailor your application to use terms they will understand. When in doubt use Department of Homeland Security terminology. You should also attempt to attend one of their meetings to try to meet the people. After you submit the application you should seek out the opportunity to present your case to the application committee.

Texas – Dallas Water Utilities

Specific name of grant or loan:	Urban Area Security Initiative Grant
Specific name of funding body:	Department of Homeland Security
Amount of money received:	\$1,000,000
Is it a loan or a grant?	Grant
Is it renewable?	No
Were there requirements on the funding use?	The funds could not be used for projects currently funded. The funds had to be spent on security, public safety and emergency response capability.
Exactly how did you receive the funds?	Reimbursement Basis

1. HOW DID YOUR UTILITY LEARN OF THE FUNDING OPPORTUNITY?

A consultant pointed out that much of the current chemical safety training and physical security upgrades could be grant eligible and encouraged the Dallas Water Utilities' Water Department (Water Department) to apply.

2. PLEASE DESCRIBE THE APPLICATION PROCESS.

The grant process was formal but made very user friendly by the State with web-based applications and on-line help. The application was less than ten pages and permitted "cut and paste" so text could be crafted off line and entered quickly when final. The applications were reviewed by the City's Security Manager and submitted as a package with other city requests to the Region and then to the State.

3. WHAT WAS THE TIME FRAME FROM WHEN THE APPLICATION WAS SUBMITTED TO THE AWARD OF FUNDS?

The grant needed to be completed by the Water Department and turned into the City in March of 2006. The grant was approved August of 2006.

4. WHAT PERCENT OF FUNDING REQUEST WAS AWARDED?

One hundred percent of the \$1,000,000 requested.

5. CAN YOU TELL US GENERALLY HOW THE FUNDS WERE USED?

The funds were used for the purchase of two large trailer-mounted generators. The units were sized to meet the needs of most of the smaller pump/lift stations and can be configured in series to meet heavier demands. The portability of the units was important so they could be moved around the water system as needed.

6. HAVE YOU PURSUED ANY OTHER FUNDING OPPORTUNITIES?

In 2002 / 2003 when UASI funds were first made available the Water Department submitted application but they were turned down as the focus was on Police and Fire. Several years prior to that the Water Department applied for and received other grants from the State but the applications were so cumbersome that the Water Department didn't pursue any other grants.

The Water Department has requested additional funding from 2007 UASI funds, however as of the time of this writing they are awaiting notification.

7. DO YOU PLAN ON APPLYING FOR ANY OTHER FUNDING FOR ASSISTANCE FOR SECURITY AND/OR EMERGENCY RESPONSE?

The Utility is evaluating a proposal from a consultant to develop a sustainable granting program. The proposal posits that a systematic approach to grants - that includes being aware of granting opportunities, their rules and application requirements - is needed. Funding sources and rules for qualifying change year to year and there may be value in making this effort a process with assigned roles, responsibilities and an annual schedule. This approach may enable the Dallas Water Utilities to find and capture more funding.

8. PRIOR TO APPLYING FOR FUNDING HOW WOULD YOU DESCRIBE YOUR RELATIONSHIP WITH YOUR LOCAL FIRST RESPONDERS -- FIRE, POLICE, AND EMERGENCY RESPONSE PERSONNEL?

The Dallas Water Utilities had a working relationship with the first responder community. The relationship was unaffected either way by this particular grant. That is mostly due to the nature of the request.

9. WHAT ADVICE OR DIRECTION CAN YOU OFFER TO OTHER UTILITIES THAT SEEK FUNDING FOR SECURITY IMPROVEMENTS?

Be very creative in searching for opportunities. There are no “click here for water security grants” buttons that I have found. If you use disinfection methods which require rail car delivery, look at railroad grants. If a highway is nearby and HAZ MAT is transported over it, look for DOT and trucking grants.

Getting funding is about connecting your operation with a hazard that you would mitigate if you had unlimited assets. The assumption is that you are doing the “must dos” and so the grant funding is for the “should dos” that you may be putting off to keep your water flowing.