

COUNTY CONTRACT ROUTING FORM

*ALL FIELDS MUST BE FILLED OUT PRIOR TO CAO/FISCAL/ATTORNEY APPROVAL

*CONTRACT NAME: Contract with the Montana Department of Military Affairs for the Installation of the Middle Creek Dam Early Warning System.

*BRIEF DESCRIPTION OF CONTRACT: Contract with the Montana Department of Military Affairs for the Installation of the Middle Creek Dam Early Warning System. Contract Award amount not-to-exceed \$267,206. Total Project cost is estimated at \$322,906. The source of the additional funding not identified

If this contract amends or is a change/task order to a previous contract, provide original contract #.

*ORIGINAL CONTRACT #:

*RESPONSIBLE DEPARTMENT: Emergency Management

*ACCOUNT #: _____ *CONTRACT AMOUNT: \$267,206.00
Total Project Budget Estimate is \$322,906.00 County Indirect Costs will apply but are not billable to the grant award. Resulting activities will require procurement. Project Improvements will require long term maintenance that is not funded. Also, adequate liability insurance will be required.

*DATE SIGNED BY OUTSIDE PARTIES: ____/____/____; ____/____/____; ____/____/____

CAO APPROVED (For Dept. Heads Only): _____ DATE: ____/____/____

FISCAL OFFICER APPROVED: Edward M. Blackburn DATE: 9/18/08

COUNTY ATTORNEY APPROVED: _____ DATE: ____/____/____

DATE SIGNED BY BOARD OF COUNTY COMMISSIONERS: 9/30/08

**CLERK AND RECORDER KEEPS AN ORIGINAL AND WILL ROUTE A
COPY OF THE APPROVED CONTRACT TO THE FOLLOWING
DEPARTMENTS:**

- ✓ RESPONSIBLE/ORIGINATING DEPARTMENT
- ✓ DEPUTY COUNTY ATTORNEY-KATE DINWIDDIE
- ✓ AUDITOR

DATE CLERK AND RECORDER DISBURSED COPIES: ____/____/____

**THE RESPONSIBLE/ORIGINATING DEPARTMENT IS REQUIRED TO MAIL COPIES
AND/OR DUPLICATE ORIGINALS OF COMPLETED CONTRACTS TO ALL
INTERESTED PARTIES.**

CONTRACT ROUTING FORM

CONTRACT NO: _____

INSTRUCTIONS: All original contracts must first be signed and notarized by the contractor, then routed to the authorized Gallatin County representatives according to the Small Purchasing Policy (Resolution #2008-085) and the Service Contract Procedure Guidelines. All contracts will be routed back to the originating department who MUST forward the original contract to the Clerk & Recorder for filing. NO EXCEPTIONS!

(NOTE: If contractor requires an original document, two contracts must be routed.)

1. This section to be completed by: Department Head, Board Chairperson or Elected Official

DATE: 9/11/08 FUND #: _____

RESPONSIBLE DEPARTMENT: DES SIGNATURE: _____

CONTRACT NAME: FY08 Homeland Security - Early Warning System

CONTRACT AMOUNT: \$ 267,206.00 AMOUNT IS WITHIN MY BUDGET: YES ___ NO X

CONTRACT AMOUNT IS WITHIN APPROVED PURCHASE AUTHORITY: YES ___ NO X

MINIMUM SOLICITATION REQUIREMENTS HAVE BEEN DOCUMENTED: YES ___ NO ___

*IF "NO" ANSWERED TO ANY QUESTION ABOVE, EXPLAIN REASONS and SEND TO COUNTY ADMINISTRATOR FOR REVIEW.

START DATE: 9/10/08 EXPIRATION DATE: 1/5/11

**DESCRIPTION OF CONTRACT / GOODS OR SERVICES / SCOPE OF WORK:

Middle Creek Early Warning System

**IF THIS IS A MODIFICATION, WORK ORDER OR AMENDMENT OF EXISTING CONTRACT PROVIDE ORIGINAL CONTRACT #: _____

DATE SIGNED BY CONTRACTOR: ____/____/____

2. Finance Director complete, if amount is \$1,500 or greater.

FINANCE DIRECTOR APPROVED: _____ DATE: ____/____/____

3. County Administrator complete, if necessary.

COUNTY ADMINISTRATOR APPROVED: _____ DATE: ____/____/____

4. County Commissioner approval required?: ☒ Yes ☐ No

5. Clerk and Recorder: Date Recorded: ____/____/____

6. Responsible originating department must send one approved contract to contractor.



DEPARTMENT OF MILITARY AFFAIRS
DISASTER & EMERGENCY SERVICES DIVISION

STATE OF MONTANA

(406) 841-3911

1956 Mt Majo Street, PO Box 4789

Fort Harrison, MT 59636-4789

September 10, 2008

Gallatin County Commissioners
311 West Main Street
Bozeman MT 59901-5400

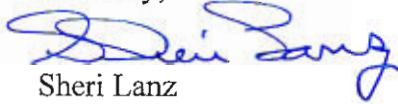
Dear Commissioners,

This is the formal award of your 100% federally funded FY08 US Department of Homeland Security Grant Program (HSGP) in the amount of \$267,206 for the activities outlined to meet the investment justification, attached.

- The award is based on installing an Early Warning System on the Middle Creek Dam and revising the Dam's Emergency Action Plan.
- Indirect costs are not allowed. Only direct costs for the listed activities are allowable.
- The grant period is the date of the award letter to December 31, 2010. All activities must be completed by December 31, 2010. All funds not expended will be reallocated.
- Only the items listed in the award budget are eligible for reimbursement. Non-approved expenditures will not be reimbursed.
- Any changes to the award activities or budget must be submitted in writing and approved prior to performing those activities or expending any funds.
- When practicable, any equipment purchased with grant funding shall be prominently marked as follows: "Purchased with funds provided by the US Department of Homeland Security." Labels are attached.
- All requests for reimbursements are recommended to be submitted on a monthly basis. All requests for reimbursements must be submitted by January 30, 2011. Requests for reimbursement received after January 30, 2011 will not be reimbursed.
- Grant progress and financial reports will be submitted for the periods of:
 - Award ltr date – December 31, 2008 with the report received by January 5, 2009
 - January 1, 2009 – June 30, 2009 with the report received by July 5, 2009
 - July 1, 2009 – December 31, 2009 with the report received by January 5, 2010
 - January 1, 2010 – June 30, 2010 with the report received by July 5, 2010
 - July 1, 2010 – December 31, 2010 with the final report received by January 5, 2011

- All progress reports must be electronically submitted to Sheri Lanz at sheris@mt.gov
A standardized progress report is attached.
- Please notify your finance office that the CFDA number is 97.067 and the grant number is 2008-GE-T8-0023.

Sincerely,



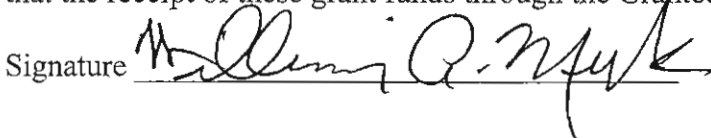
Sheri Lanz
Homeland Security Coordinator
MT Disaster & Emergency Services

cc: Patrick Lonergan, Emergency Manager
Randy Middlebrook, Dept. of Justice
File Copy

*****Please return this signature page within 10 day after receipt. The grant is not official until the signature page is submitted. Please fax to (406) 841-3965.**

I certify that I understand and agree to comply with the general and fiscal provisions of this grant award including the assurances and certifications; are fully National Incident Management System (NIMS) compliant; to comply with provisions of the regulations governing these funds and all other federal and state laws; that all information presented is correct; that there has been appropriate coordination with affected agencies; that I am duly authorized by the Applicant to perform the tasks of Project Director as they relate to the requirements of this grant award; and, that the receipt of these grant funds through the Grantee will not supplant state or local funds.

Signature



Date

Sept. 30, 2008

FY2008 Homeland Security Program (HSGP) Activities, Budget and Progress Reports

Grant Applicant: Gallatin County

Goal 3 in the State Strategic Plan which states: Implement the National Infrastructure Protection Plan. These grant activities support milestones #4 – #8 of Investment 3, Critical Infrastructure Protection Program, attached.

Outline your specific grant activities and completion timeframe(s):

The purpose of this project is to add to the current dam safety program at Middle Creek Dam by installing an Early Warning System (EWS). The EWS would give Gallatin County emergency responders vital time to respond to a dam failure. The need for an EWS at the Middle Creek Dam is based on the large amount of development in the flood inundation zone and the loss of life that would result from a dam failure. Project specifics are identified in the attached Grant Proposal.

The project consists of the following tasks:

1. Perform a Feasibility Study (FS) for an EWS at Middle Creek Dam. The FS has already been completed indicating an EWS would work at the dam and that the EWS would give additional time for emergency responders and the public to react to a dam failure, thereby saving lives. The FS also completed a preliminary design for two systems that would work at Middle Creek Dam. The FS was completed using funds from a DNRC Renewable Resource grant (RRG), Montana State Water Projects Bureau in-kind funding and Gallatin County in-kind funding.
2. Produce the final design and construction plans for the EWS
3. Produce a specific response plan for using the EWS in the event of a dam failure.
4. Procure and install the EWS.
5. Revise the Emergency Action Plan based on the new EWS.
6. Perform project administration in the form of project oversight, contracting, invoice review and payment, agency coordination, and reporting. Gallatin County will perform project administration for the project. Project administration funding will come from Gallatin County in-kind services.

Project Dates are:

TASK	DATE SCHEDULED
Perform EWS Feasibility Study	June 2007-January 2008 (Completed)
Develop Final Design & Construction Plans	December 2008-June 2009
Develop Site Specific Response Plan	June 2009 – December 2009
Procure and Install EWS	January 2010 – August 2010
Revise EAP	August 2010 – December 2010
Project Administration & Reporting	June 2007 – December 2010

Funding: \$267,206

Contract services \$ 267,206

Award letter date – December 31, 2008 with the report received by January 5, 2009

Describe activities accomplished during this period.

Describe any difficulties in accomplishing activities or needed time frame adjustments.

Funding used during this period \$

Contract services \$

January 1 – June 30, 2009 with the report received by July 5, 2009

Describe activities accomplished during this period.

Describe any difficulties in accomplishing activities or needed time frame adjustments.

Funding used during this period \$

Contract services \$

July 1 – December 31, 2009 with the report received by January 5, 2010

Describe activities accomplished during this period.

Describe any difficulties in accomplishing activities or needed time frame adjustments.

Funding used during this period \$

Contract services \$

January 1 – June 30, 2010 with the report received by July 5, 2010

Describe activities accomplished during this period.

Describe any difficulties in accomplishing activities or needed time frame adjustments.

Funding used during this period \$

Contract services \$

July 1 – December 31, 2010 with the final report received by January 5, 2011

Describe activities accomplished during this period.

Describe any difficulties in accomplishing activities or needed time frame adjustments.

Funding used during this period \$

Contract services \$

Grant Assurances and Certifications

Assurances

The sub-grantee hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including the current edition of the Office of Grant Operations Financial Management Guide, OMB Circulars No. A-21, A-102, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements 28 CFR, Part 66, Common rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. The sub-grantee must comply with FEMA's codified regulation 44CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 2CFR Part 225 State and Local Governments. The sub-grantee must comply with the most recent version of the Administrative Requirements, Cost Principles, and Audit requirements.

Also the sub-grantee assures and certifies that:

Programmatic

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information may be required.
2. It will comply with all requirements imposed by the Federal and State sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
 - a. All sub-grantees must be fully National Incident Management System (NIMS) compliant. Future Homeland Security grant funds are contingent on NIMS compliance.
 - b. All sub-grantees are required to modify their existing incident management and emergency operations plans in accordance with the National Response Framework's coordinating structures, processes, and protocols.
 - c. The sub-grantee agrees that, when practicable, any equipment purchased with grant funding shall be prominently marked as follows: "Purchased with funds provided by the US Department of Homeland Security."
 - d. The sub-grantee agrees to cooperate with any national or state assessments, evaluation efforts, quality assurance, or information or data collection requests, including, but not limited to, the provisions of any information required for the assessment or evaluation of any activities within this project.
 - e. All sub-grantees are required by FEMA's National Preparedness Directorate (NPD) to use the Global Justice Data Model specifications and guidelines regarding the use of XML for all homeland security grant awards.
 - f. All sub-grantees must fully engage citizens by expanding plans and committee memberships to address citizen participation; awareness and outreach to inform and engage the public; include citizens in training and exercise; and develop or expand programs that integrate citizen/volunteer support for emergency responder disciplines.
 - g. The sub-grantee agrees that all publications created with funding under this grant shall prominently contain the following statement: "This Document was prepared under a grant from FEMA's Grant Program Directorate (GPD), US Department of Homeland Security. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of GPD or the US Department of Homeland Security."
 - h. Travel costs must be consistent with the sub-grantee's policies and procedures and must be applied uniformly to all activities of the sub-grantee.

i. Funds utilized to establish or enhance state and local fusion centers must support the development of a statewide fusion process that corresponds with the Global Justice/Homeland Security Advisory Council Fusion Center Guidelines and achievement of a baseline level of capability as defined by the Fusion Center Planning Tool.

3. The sub-grantee agrees that federal funds under this award will be used to supplement, not to supplant, state or local funds or other resources that would otherwise have been made available for this program (see Financial Guide, Chapter 3, for explanation).

4. Any mutually agreed upon changes to this sub-grantee must be approved, in writing, by DES prior to implementation or obligation and shall be incorporated in written amendments to this grant. This procedure for changes to the approved sub-grantee is not limited to budgetary changes, but also includes changes of substance in project activities and changes in the project director or key professional personnel identified in the approved application.

5. Any reports, information, data, etc., given to, or prepared or assembled by the sub-grantee under this grant (which DES requests to be kept confidential) shall not be made available to any individual or organization by the sub-grantee without prior written approval of DES.

6. This grant and funding may be suspended, in whole or in part, and/or terminated where DES finds a substantial failure to comply with the provisions of the legislation governing these funds or regulations promulgated, including those grant conditions or other obligations established by DES. In the event the sub-grantee fails to perform the services described herein and has previously received financial assistance from DES, the sub-grantee shall reimburse DES the full amount of the payments made. However, if the services described herein are partially performed, and the sub-grantee has previously received financial assistance, the sub-grantee shall proportionally reimburse DES for payments made.

DES may suspend, in whole or in part, and/or terminate funding for or impose another sanction on a sub-grantee for any of the following reasons:

- a. Failure to comply substantially with the requirements or statutory objectives of the 2003 Omnibus Appropriations Act issued or other provisions of Federal Law.
- b. Failure to adhere to the requirements, standard conditions or special conditions.
- c. Proposing or implementing substantial program changes to the extent that, if originally submitted, the application would not have been approved for funding.
- d. Failure to submit reports.
- e. Filing a false certification in this application or other report or document.
- f. Other good cause shown.

7. The sub-grantee agrees to comply with the requirements of OMB Circular A-133 and Audits of States, Local Governments, and Non-Profit Organizations, as described in the current edition of the OJP Financial Guide, Chapter 19. Further, all records, books, papers, or documents with respect to all matters covered by this grant shall be made available for audit and inspection by The State of Montana and/or any of its duly authorized representatives. If required, the audit report must specifically cite that the report was done in accordance with OMB Circular A-133. If a compliance audit is not required, a written certification must be provided at the end of each audit period stating that the sub-grantee has not expended the amount of federal funds that would require a compliance audit.

8. Sub-grantee's accounting procedures must provide for accurate and timely recording of receipt of funds by source of expenditures made from such funds and unexpended balances. These records must contain information pertaining to grant awards, obligations, unobligated balances, assets, liabilities, expenditures and program income. Controls must be established which are adequate to ensure that expenditures charged to the sub-grant activities are for allowable purposes. Additionally, effective control and accountability must be maintained for all grant cash, real and personal property and other assets.

Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract documents, grant award documents, etc.

9. The financial responsibility of sub-grantees must be such that the sub-grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate accounting systems should meet the following criteria:

- a.** Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant;
- b.** Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located;
- c.** The accounting system should provide accurate and current financial reporting information;
- d.** The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency and encourage adherence to prescribed management policies.

10. Retention of Records - In accordance with the requirements set forth in 28 CFR Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to award shall be retained by each organization for AT LEAST THREE YEARS following the closure of their most recent audit report. Retention is required for purposes of Federal examination and audit. Records may be retained in an automated format.

- a.** Coverage - the retention requirement extends to books or original entry, source documents supporting accounting transactions, the general ledger, subsidiary ledgers, personnel and payroll records, cancelled checks, and related documents and records. Source documents include copies of all awards, applications, and required recipient financial and narrative reports. Personnel and payroll records shall include the time and attendance reports for all individuals reimbursed under the award, whether they are employed full-time or part-time. Time and effort reports are also required for consultants.
- b.** Retention Period - the three-year retention period starts from the date of the submission of the closure of the single audit report, which covers the grant period. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it or until the end of the regular three-year period, whichever is later.

11. Maintenance of Records - Recipients of funds are expected to see that records of different Federal fiscal periods are separately identified and maintained so that information desired may be readily located. Recipients are also obligated to protect records adequately against fire or other damage. When records are stored away from the recipient's principal office, a written index of the location of records stored should be on hand and ready access should be assured.

12. Access to Records - The awarding agency includes the funding agency, the Federal agency, the DOJ and DHS Office of the Inspector General, the Comptroller General of the United States, or any of their authorized representatives, who shall have the right of access to any pertinent books, documents, papers, or other records of recipients which are pertinent to the award, in order to make audits, examinations, excerpts, and transcripts. The right of access must not be limited to the required retention period but shall last as long as the records are retained.

13. Equipment acquired under an award shall be managed to ensure that the equipment is used under the specific purposes of the grant.

- a.** Title to equipment acquired under an award or sub-award will vest upon acquisition in the recipient or sub-recipient subject to the obligations and conditions set forth in 28 CFR Part 66.
- b.** A State shall use equipment acquired under an award by the State in accordance with State laws and procedures. The awarding agency encourages the States to follow the procedures set forth in this Guide. Other government recipients and sub-recipients shall use equipment in accordance with the following requirements:

- 1) Equipment must be used by the recipient or sub-recipient in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by Federal funds. When no longer needed for the original program or project, the equipment may be used in other activities currently or previously supported by a Federal agency.
 - 2) The recipient or sub-recipient shall also make equipment available for use on other projects or programs currently or previously supported by the Federal government, providing such use does not interfere with the work on the projects or programs for which it was originally acquired. First preference for other use shall be given to other programs or projects supported by the awarding agency. User fees shall be considered and treated as program income to the project, if appropriate.
 - 3) Notwithstanding program income, the recipient or sub-recipient shall not use equipment acquired with funds to provide services for a fee to compete unfairly with private companies that provide equivalent services, unless specifically permitted or contemplated by Federal statute.
 - 4) When acquiring replacement equipment, recipients or sub-recipients may use the equipment to be replaced as a trade-in or sell the equipment and use the proceeds to offset the cost of the replacement equipment, subject to the written approval of the awarding agency.
- c.** A State shall manage equipment acquired under an award to the State in accordance with State laws and procedures. Other government recipient and sub-recipient procedures for managing equipment (including replacement), whether acquired in whole or in part with project funds, will, at a minimum, meet the following requirements:
- 1) Property records must be maintained which include: description of the property; serial number or other identification number; source of the property; identification of title holder; acquisition date; cost of the property; percentage of Federal participation in the cost of the property; location of the property; use and condition of the property; and disposition date, including the date of disposal and sale price.
 - 2) A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.
 - 3) A control system must exist to ensure adequate safeguards to prevent: loss; damage; or theft of the property. The recipient and sub-recipient, as appropriate, shall investigate any loss, damage, or theft.
 - 4) Adequate maintenance procedures must exist to keep the property in good condition.
 - 5) If the recipient or sub-recipient is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return.
- d.** A State recipient shall dispose of its equipment acquired under an award to the State in accordance with State laws and procedures. Other government recipients and sub-recipients shall dispose of the equipment when original or replacement equipment acquired under the award or sub-award is no longer needed for the original project or program, or for other activities currently or previously supported by a Federal agency. Disposition of the equipment will be made as follows:
- 1) Items with a current per unit fair market value of less than \$5,000 may be retained, sold, or otherwise disposed of with no further obligation to the awarding agency.
 - 2) Items with a current per unit fair market value in excess of \$5,000 may be retained or sold, and the awarding agency shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the awarding agency's share of the equipment. Seller is also eligible for sale costs.
 - 3) In cases where a recipient or sub-recipient fails to take appropriate disposition actions, the awarding agency may direct the recipient or sub-recipient to take other disposition actions.

14. The sub-grantee or a contractor paid through this grant is free to copyright any books, publications or other copyrightable materials developed in the course of or under this grant. However the federal awarding agency and/or state funding agency (DES) reserve a royalty-free, non-exclusive, and irrevocable license to reproduce, publish or otherwise use, and authorize others to use, for federal or state government purposes: (a) the copyright in any work developed under an award or sub-award; and (b) any rights of copyright to which a recipient or sub-recipient purchases ownership with Federal support. The federal government's and DES's rights identified above must be conveyed to the publisher and the language of the publisher's release form must ensure the preservation

of these rights. DES and GPD must be notified regarding the allocation of any patent rights that are from, or are purchased with this funding. DES and GPD must be notified prior to starting the process for copyrighting.

15. Any television public service announcement that is produced or funded in whole or part by any agency or instrumentality of the federal government shall include closed captioning of the verbal content of such announcement.

16. Recipient shall comply with all applicable Federal, State and local environmental and historic preservation (EHP) requirements and shall provide any information requested by FEMA to ensure compliance with applicable laws including: National Environmental Policy Act, National Historic Preservation Act, Endangered Species Act, and Executive Orders on Floodplains (11988), Wetlands (11990) and Environmental Justice (12898). Failure of the recipient to meet Federal, State, and local EHP requirements and obtain applicable permits may jeopardize Federal funding. Recipient shall not undertake any project that has the potential to impact EHP resources without the prior approval of FEMA, including but not limited to communications towers, physical security enhancement, new construction, and modifications to buildings that are 50 years old or greater. Recipient must comply with all conditions placed on the project as the result of the EHP review. Any change to the approved project scope of work will require re-evaluation for compliance with these EHP requirements. If ground disturbance activities occur during project implementation, the recipient must ensure monitoring of ground disturbance and if any potential archeological resources are discovered, the recipient will immediately cease construction in that area and notify DES and FEMA and the appropriate State Historic Preservation Office.

Organizational

1. The sub-grantee understands and agrees that it cannot use any federal funds, either directly or indirectly, in support of the enactment, repeal, modifications, or adoption of any law, regulation or policy, at any level of government.

2. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.) None of the funds, materials, property or services provided directly or indirectly under this contract shall be used for any partisan political activity, or to further the election or defeat of any candidate for public office, or otherwise in violation of the provisions of the "Hatch Act."

3. Personnel and other officials connected with this grant shall adhere to the requirements given below:

a. Advice: No official or employee of a state or unit of local government or of non-government grantees/sub-grantees shall participate personally through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise in any proceeding, application, request for a ruling or other determination, contract, grant, cooperative agreement, claim, controversy, or other particular matter in which these funds are used, where to his knowledge he or his immediate family, partners, organization other than a public agency in which he is serving as officer, director, trustee, partner, or employee or any person or organization with whom he is negotiating or has any arrangement concerning prospective employment, has a financial interest.

b. Appearance: In the use of these grant funds, officials or employees of state or local units of government and non-governmental grantees/sub-grantees shall avoid any action which might result in, or create the appearance of the following:

- 1) Using his or her official position for private gain;
- 2) Giving preferential treatment to any person;
- 3) Losing complete independence or impartiality;
- 4) Making an official decision outside official channels; and/or
- 5) Adversely affecting the confidence of the public in the integrity of the government or the program.

4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.

5. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the State and Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.

6. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976, Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.

7. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of Investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.

8. It will comply, and assure the compliance of all its sub-grantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.

9. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.

10. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C,D,E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.

11. No person shall on the grounds of race, creed, color or national origin, be excluded from participation in, be refused the benefits of, or be otherwise subjected to discrimination under subgrants awarded pursuant to the Act governing these funds or any project, program, activity or subgrant supported by such requirements of Title VI of the Civil Rights Act of 1964, and all applicable requirements pursuant to the regulations of the Department of Commerce (Title 15, code of Federal Regulations, Part 8, which have been adopted by the Federal Funding Agency); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Labor Regulation 41 CFR Part 60; and the Department of Justice Non-discrimination Regulations 28 CFR Part 42, Subparts C, D, E and G. The sub-grantee must therefore ensure it has a current Equal Employment Opportunity Program (EEOP) which meets the requirements of 28 CFR 42.301. The Sub-grantee further agrees to post in a conspicuous place, available to all employees and applicants for employment, notices setting forth the provisions of the EEOP, as supplemented in Department of Labor Regulations 41 CFR Part 60. The Sub-grantee assures that in the event a federal or state court or federal or state administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin or sex against a recipient of funds, the recipient will immediately forward a copy of the findings to DES who will, in turn, will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs and Department of Homeland Security.

12. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.), which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

13. The sub-grantee must comply with all requirements of the Americans with Disabilities Act of 1990 (ADA), as applicable.

14. To the extent that recipients of a grant use contractors or subcontractors, such recipients shall use small, minority, women-owned or disadvantaged business concerns and contractors or subcontractors to the extent possible.

15. All recipients of federal funds must comply with Section 504 of the Rehabilitation Act of 1973 (Handicapped). Therefore, the federal funds recipient pursuant to the requirements of the Rehabilitation Act of 1973 hereby gives assurance that no otherwise qualified handicapped person shall, solely by reason of handicap, be excluded from the participation in, be denied the benefits of or be subject to discrimination, including discrimination in employment, in any program or activity that receives or benefits from federal financial assistance. The recipient agrees it will ensure that requirements of the Rehabilitation Act of 1973 shall be included in the agreements with and be binding on all of its sub-grantees, contractors, subcontractors, assignees or successors.

16. When implementing GPD-funded activities, the recipient must comply with all federal civil rights laws, to include Title VI of the Civil Rights Act, as amended. The recipient is required to take reasonable steps to ensure persons of limited English proficiency have meaningful access to language assistance services regarding the development of proposals and budgets and conducting GPD-funded activities.

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of the application and/or award form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug- Free Workplace (Grants)." The certifications shall be treated as a material

representation of fact upon which reliance will be placed when the Department of Homeland Security and DES determines to award the covered transaction, grant, or cooperative agreement.

1. Lobbying

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

- a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;
- c. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. Debarment, Suspension, and Other Responsibility Matters (Direct Recipient)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510

A. The applicant certifies that it and its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;
- b. Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- d. Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. Drug-Free Workplace

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620 A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

- a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition.
- b. Establishing an on-going drug-free awareness program to inform employees about:
 - 1) The dangers of drug abuse in the workplace.
 - 2) The grantee's policy of maintaining a drug-free workplace.
 - 3) Any available drug counseling, rehabilitation, and employee assistance programs.
 - 4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
- c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.
- d. Notifying the employee in the statement required by paragraph a that, as a condition of employment under the grant, the employee will:
 - 1) Abide by the terms of the statement.
 - 2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.
- e. Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph d.2 from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant.
- f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.2, with respect to any employee who is so convicted:
 - 1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended.
 - 2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency.
- g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a, b, c, d, e, and f. As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

**EARLY WARNING SYSTEM GRANT PROPOSAL
FOR
MIDDLE CREEK DAM, BOZEMAN, MONTANA**

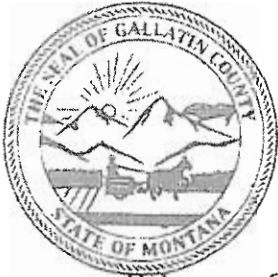


**Submitted To
Montana Disaster and Emergency Services (DES)
For State Homeland Security Grant Program (SHSGP)**

By:

**Gallatin County
311 West Main
Bozeman, MT 59771**

February, 2008



GALLATIN COUNTY

311 West Main, Rm. 306 • Bozeman, MT 59715

County Commission

William A. Murdock
Joe P. Skinner
Steve White

Phone (406) 582-3000
FAX (406) 582-3003

February 26, 2008

Sheri Lanz
Homeland Security Grants Director
Disaster and Emergency Services
P.O. Box 4789 - 1900 Williams Street
Fort Harrison, Montana 59636-4789

RE: State Homeland Security Program Grant Proposal

The Gallatin County Emergency Management is pleased to submit this request for funding for the Middle Creek Dam Early Warning System for your review.

The proposal is for \$267,206 to procure and install an Early Warning System (EWS) at the Middle Creek Dam located south of Bozeman, Montana in Hyalite Canyon. The EWS would give Gallatin County's Emergency Services advance warning of a potential dam failure and ensuing flood, and would allow for public notification and evacuation. The population downstream of the dam has increased due to residential and business development. The EWS would save lives and reduce property losses in the event of a dam failure caused by terrorist activities or natural disasters. The project is supported by local residents, Gallatin County, the City of Bozeman, the Montana Department of Natural Resources and Conservation (DNRC), and Senator Max Baucus.

The total cost of the project will be \$322,906. Costs above the grant request will be paid by Gallatin County and Montana DNRC with in-kind services.

Gallatin County's mission is to minimize loss of life and personal injury, damage to property and the environment from disasters, both natural and man made. We feel that the Middle Creek Dam EWS would greatly enhance our ability to mitigate potential loss of life due to a dam failure. The project also would increase the cooperative effort among the various emergency services in the county.

Sincerely,

A handwritten signature in black ink, appearing to read "William A. Murdock", is written over a horizontal line.

William A. Murdock, Chairman
Gallatin County Commission

Application Summary

- 1. Name of Applicant(s):** Gallatin County Emergency Management
- 2. Project Title:** Early Warning System – Middle Creek Dam
- 3. Total Cost of Project:** \$322,906
- 4. Cost of Grant Proposal:** \$267,206
- 5. Federal Tax Identification Number:**
- 6. Type of Entity:** County Agency
- 7. Type of Project:** Public Safety/Dam Safety
- 8. Project Location:** Middle Creek Dam - South Of Bozeman, MT
- 9. State Senate District:** 35
State House District : 70
- 10. Population Served by Project:** 2,846 Residents ; Recreational Users - est.
at 20,000 annually,
- 11. Number of Households Served by Project:** estimated at 2,000
- 12. Number of Farms or Ranches Served by Project:** estimated at 73
- 13. Number of Acres Served by Project:** 5,000
- 14. Authorized Representative:** Patrick Lonergan
Gallatin County Emergency Management
- 15. Mailing Address:** P.O. Box 1230, Bozeman, MT 59771-1230
- 16. Contact Phone:** 406-582-2395

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1.0 INTRODUCTION

Middle Creek Dam is a 125-foot high earth-fill dam located within the Gallatin National Forest approximately 16 miles south of Bozeman, MT (Figure 1). Dam construction was started in 1939 and completed in 1956. Rehabilitation work consisting of raising the embankment 10 feet, replacing the principle spillway, and construction of an auxiliary spillway was completed in 1992.

The Department of Natural Resources and Conservation (DNRC) maintains a dam safety program at each dam that includes monthly monitoring of reservoir pool levels and embankment instrumentation during the irrigation season, and annual dam safety inspections. The intent of the program is to verify that each dam is performing adequately, and to identify any potential problems that may be developing as early as possible (DNRC 2007). The monitoring program is not structured to detect and alert of an immediate threat at a dam.

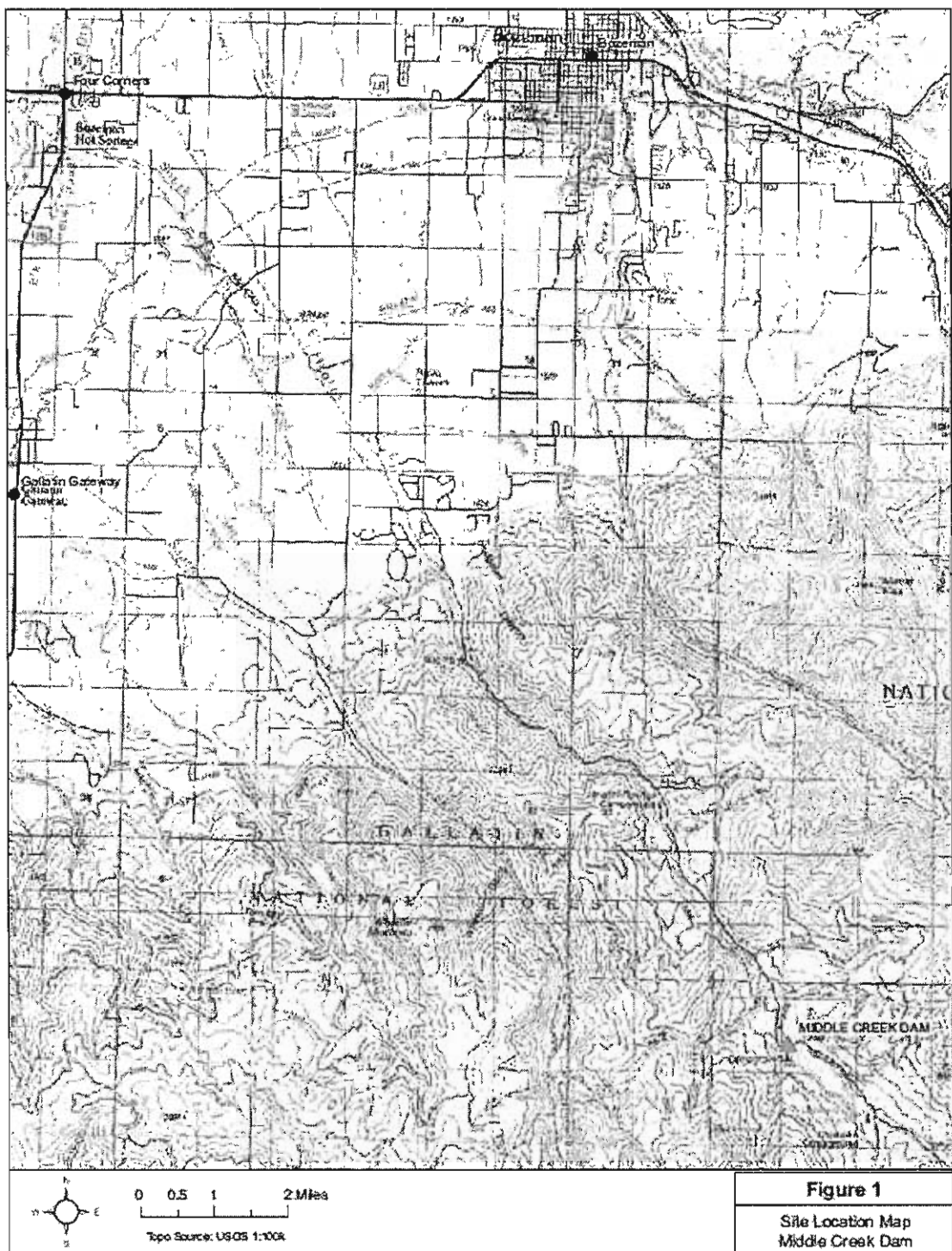
An undetected failure of Middle Creek dam would inundate numerous residences in the Gallatin Valley with little or no warning and result in a large loss of life. Dam failures can be caused by acts of terrorism, natural disasters such as earthquakes or storm flood events, or dam structural problems. The Emergency Warning System (EWS) would significantly reduce the risk to downstream residents and businesses and would save numerous lives in the event of a dam failure.

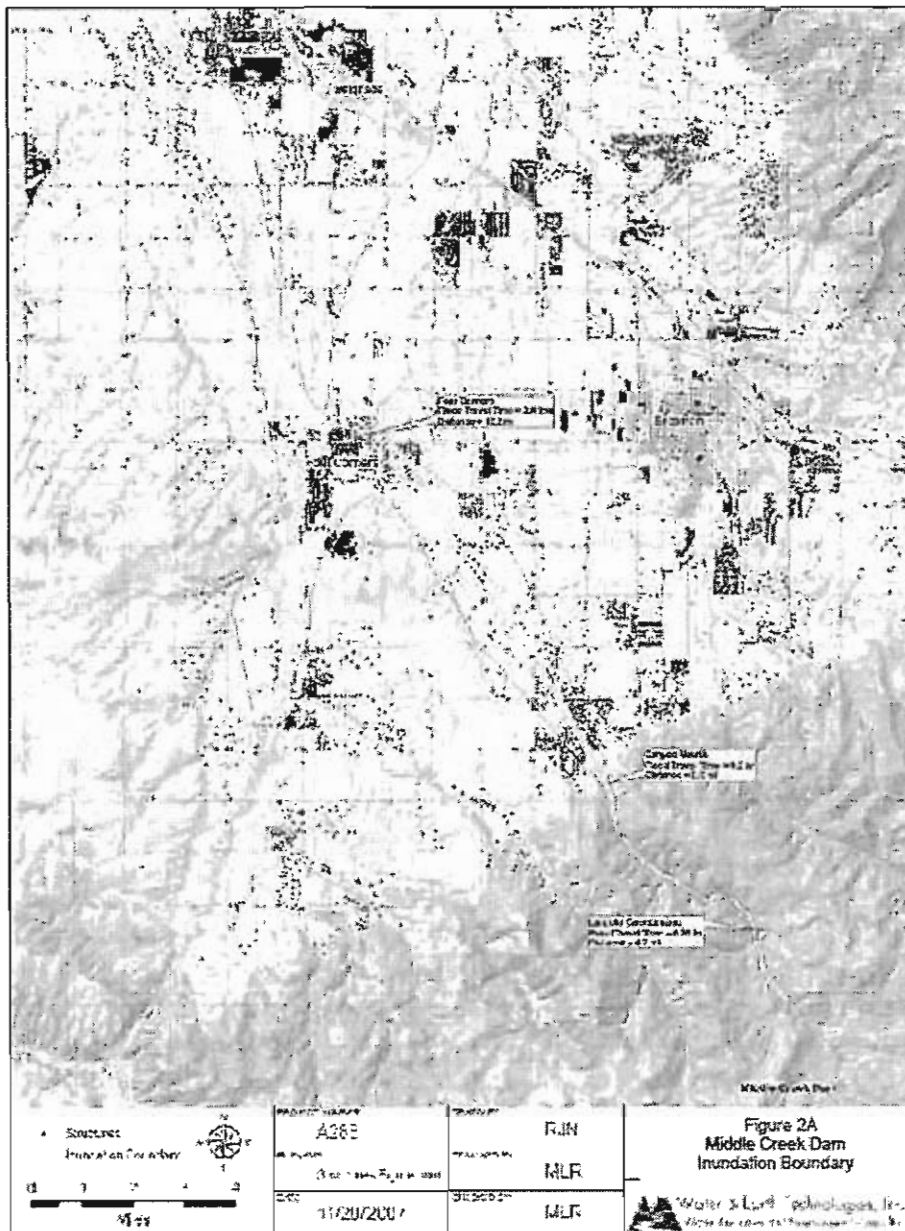
2.0 PROJECT SUMMARY

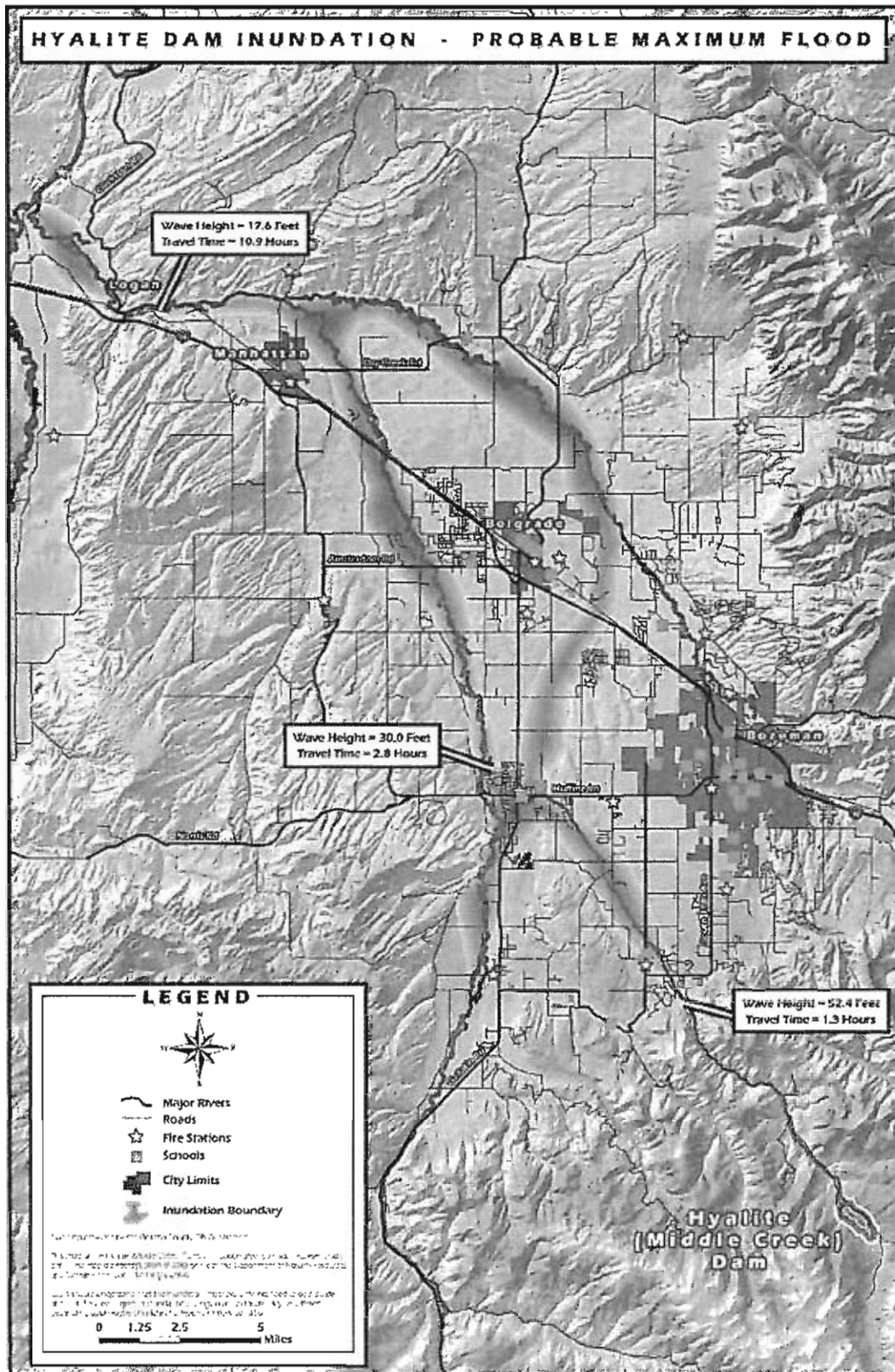
The purpose of this project is to add to the current dam safety program at Middle Creek Dam by installing an EWS. The EWS would give Gallatin County emergency responders vital time to respond to a dam failure. The need for an EWS at the Middle Creek Dam is based on the large amount of development in the flood inundation zone (Figure 2A & B) and the loss of life that would result from a dam failure.

The project consists of the following tasks:

1. Perform a Feasibility Study (FS) for an EWS at Middle Creek Dam. The FS has already been completed (Appendix A) indicating an EWS would work at the dam and that the EWS would give additional time for emergency responders and the public to react to a dam failure, thereby saving lives. The FS also completed a preliminary design for two systems that would work at Middle Creek Dam. The FS was completed using funds from a DNRC Renewable Resource grant (RRG), Montana State Water Projects Bureau in-kind funding and GCEM in-kind funding.







2. Produce the final design and construction plans for the EWS (HLS grant funding)
3. Produce a specific response plan for using the EWS in the event of a dam failure (HLS grant funding).
4. Procure and install the EWS (HLS grant funding).
5. Revise the Emergency Action Plan based on the new EWS (SWPB in-kind funding).
6. Perform project administration in the form of project oversight, contracting, invoice review and payment, agency coordination, and reporting. The GCEM will perform project administration for the project. Project administration funding will come from Gallatin County in-kind services.

3.0 PROJECT COSTS

The funding in this request would be used to develop the final design for the EWS, develop a site specific response plan, and procure and install monitoring and communications equipment for the EWS. Gallatin County is requesting a HSHP grant in the amount of \$272,206. The GCEM will assume the lead role in project management, intending to contribute in-kind services for administrative and technical work amounting to approximately \$20,000. GCEM has already spent \$1,340 of in-kind services on the FS for the EWS. The SWPB has spent \$5,360 of in-kind services for the FS and \$24,000 of RRG funds. The SWPB will spend another \$5,000 worth of in-kind services to re-write the EAP for the dam once the EWS is installed. Yearly O&M for the EWS will be budgeted for by Gallatin County. A detailed budget is presented in Section 7.

4.0 PROJECT GOALS AND OBJECTIVES

The goal of this project is to install and use an EWS at Middle Creek dam. Tasks remaining in the project include performing the final design and construction plans for the EWS, develop a specific response plan for the EWS, procure and install monitoring and communication equipment for the EWS, and revise the EAP for the dam.

The objective of the EWS is to decrease the risk to human life by warning of a possible dam failure in time for the public to evacuate the flood inundation zone. The FS that has been performed for the project indicates that the population at risk during a night time dam failure would be as high as 2,846 people (WET 2008, Figure 2, Table 1). The population at highest risk is located immediately below the dam to the Four Corners area (WET 2008). A day time dam failure could potentially put more people at risk since five schools, 158 commercial structures, one church, and one government structure are also in

the flood zone. These structures are not counted as populations at risk during a night time flood. In addition to the full time population, recreational users, and people traveling in the flood zone would be at risk.

Table 1 – Estimated Population at Risk from Canyon Mouth to Four Corners

Structure Type	Structure Count	Occupancy at Night	Persons per Household*	Population at Risk
Church	1	No	--	--
Clinic/hospital	1	Yes	50 (estimate)	50
Commercial	158	No	--	--
Farmstead	48	Yes	2.46	118
Fire station	1	Yes	10 (estimate)	10
Garage	5	No	--	--
Government	1	No	--	--
Multi-family	31	Yes	2.46	76
Residential	834	Yes	2.46	2,051
School	5	No	--	--
Trailer	220	Yes	2.46	541
TOTAL	1,305	--	--	2,846

* U.S. Census Bureau, 2000 census data, average persons per household in Gallatin County, Montana was 2.46.
Source: Final Middle Creek Early Warning System Feasibility Study (WET 2007)

5.0 TARGET POPULATION

The objective of the EWS is to enable evacuation of people in the flood zone in the event of a dam failure. As such, the target population is all people in the flood zone and local emergency service providers, who will begin notifying the public and performing evacuations. Any individual within the flood zone from the dam down to the Four Corners area and possibly beyond are part of the target population. That population includes residents, ranchers, recreational users, business personnel, travelers, students, church goers, hospital workers/patients, and emergency services.

6.0 PROJECT TASKS

Project activities consist of the following items and scheduled as outlined in the table below.

Table 2 – Project Tasks

Task	Date Scheduled
Perform EWS Feasibility Study	June 2007 – January 2008 (completed)
Develop Final Design & Construction Plans	December 2008 – June 2009
Develop Site Specific Response Plan	June 2009 – December 2009
Procure and Install EWS	January 2010 – August 2010
Revise EAP	August 2010 – December 2010
Project Administration & Reporting	June 2007 – December 2010

The specifics of each task are detailed below.

Task 1 - Perform a Feasibility Study for the EWS

The SWPB contracted a consultant in 2007 to perform a FS for an EWS at Middle Creek Dam. The FS consisted of:

1. Determining if EWS communication was possible from the dam to emergency services and the public.
2. Determining if an EWS would increase the time available to respond to a dam failure.
3. Evaluate potential EWS systems.
4. Prepare a preliminary design for the EWS.
5. Prepare a cost estimate to procure and install an EWS along with performing any additional tasks necessary toward that end.

Based on public concern, the SWPB in 2006 developed a grant package for performing a FS for the EWS. The grant package consisted of a \$100,000 grant and \$37,000 of in-kind services to produce an FS for the EWS and to procure and install automated monitoring equipment at the dam. In 2007, the DNRC contracted Water and Earth Technologies (WET) of Fort Collins, Colorado to perform the FS. WET completed the FS in January 2008 (Appendix A). The results of the FS are:

1. EWS communications from the dam to emergency services and the public are possible.
2. Approximately 2,846 people are at risk during a night time failure. Statistics were used for a night time event when most residents would be in their homes. This does not take into account additional people who are in the flood zone during the day at schools, places of business and government buildings.
3. A significant and growing population is at risk in the event of a dam failure and the EWS would provide additional time to respond to a dam failure, especially from near the dam down to the Four Corners area (Figure 2).
4. The FS also analyzed which types of communication systems would work at the dam location and evaluated seven different systems.
5. Based on the system evaluation, two types of systems were chosen as most suitable for Middle Creek dam. The first system is a satellite telemetry service (StormLink) offered by OneRain Inc (Figure 3). The second option includes transmission of data from the monitoring network in real-time using VHF radio telemetry and the Automated Local Evaluation in Real-Time (Alert) protocol (Figure 4). The county presently prefers the second option since it will tie in better to the present emergency services communications network.
6. Cost estimates were developed for the two communications systems and recommendations were made as to how to proceed with the project.

Task 2 - EWS Final Design and Construction Planning

During the spring of 2008, Gallatin County will put out a Request for Proposals for the EWS Final Design and Construction Planning and contract a consultant for the work by June of 2008. Final design and construction plans will be developed by December 2008. Final Design and Construction Plans would be funded by the HLS grant while project administration for this task would be funded by Gallatin County in-kind services.

Task 3 - Produce Specific Response Plan Based on the EWS

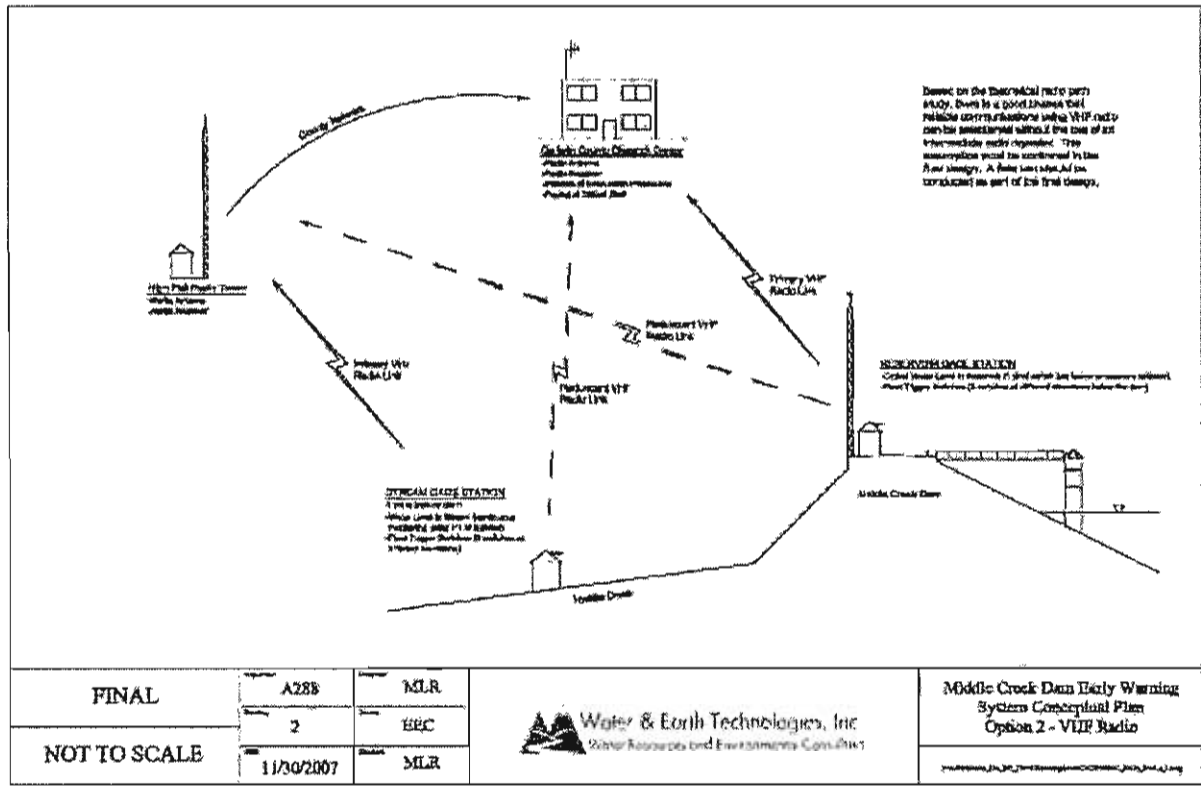
A response plan will be developed based on the final EWS design. The response plan will detail who will get emergency notification and how the notification will be transmitted throughout the public safety communications system. It will also detail, what actions will be taken after receiving a notification and who will take that action. The response plan will also locate evacuation centers, determine who is in the impact zone and the order in which people will be notified and evacuated. The response plan will be developed from January 2009 through March 2009 by the GCEM using funds from the HLS grant and will be developed after receiving the final EWS design and before the procurement and installation of the EWS.

Task 4 - Procurement and Installation of EWS Equipment

Procurement and installation of the EWS will be performed after the final design and construction plans are finished. It is planned that the EWS installation will be performed in the spring and summer of 2009. Funding for this part of the project will come from the HLS grant.

EWS equipment will consist of monitoring and communication equipment. The monitoring system will include a monitoring station in the creek immediately downstream of the dam that will include three float trigger switches installed at different elevations to measure quickly rising water levels. A station one mile down stream will measure water levels in Hyalite Creek. This station would include three float trigger switches and a continuous water level monitor (WET 2008).

The communications equipment will depend on the system chosen in the final design. For the satellite system, a satellite transmitter is located at each station. Data are transmitted from the monitoring equipment using L-band radios via a secure connection on the Stratos Global satellite system. Data are received, validated, and archived into OneRain's secure 24x7 database. Pre-set threat detection criteria will set off an automatic notification that will be sent to



pre-determined personnel within Gallatin County and the SWPB. With the VHF telemetry system a radio transmitter located at each monitoring location will transmit data from the specific location to a central on-site data logger. Data from the data logger are transmitted using a VHF frequency to the Gallatin County Dispatch Center. The data will be processed by specialized software and set off an alert based on threat detection criteria. Further alert notifications will be sent out to pre-determined personnel using the County's existing communications infrastructure (WET 2008).

Task 5 - Revise EAP

The emergency plan is prepared in compliance with the Montana Dam Safety Act and the resultant administrative rules. The purpose of the plan is to provide maximum early warning to affected persons in the unlikely event of failure of the Middle Creek Dam. The plan is intended to provide instructions for notifying the proper authorities of a problem at the dam (DNRC 2007a).

The EAP will be revised by the SWPB based on the site specific response plan that the county develops for the EWS. Changes to the EAP will include the procedure to be followed in the event of an alert. The emergency responder notification list will also be included with the names of all people to be notified, their locations, and their duties. A public notification list will also be prepared with property addresses and phone numbers if that is part of the site specific response plan. EAP revisions will be performed using in-kind services of the SWPB and Gallatin County.

Task 6 - Project Administration

Project administration will take place during the lifetime of the project. Project administration tasks will include planning, oversight, contracting, financial management, coordination of agencies, the public and contractors, and reporting. GCEM will perform project administration of the final design and construction plans, the site specific response plan, and the procurement and installation of the EWS. GCEM will also be responsible for any project reporting requirements. Funding for Gallatin County project administration will come from the county's operating budget.

The DNRC has performed project management of the FS and will also be responsible for revising the EAP. Funding for EAP revisions will come from SWPB's operating budget.

7.0 PROJECT BUDGET

Total project costs are estimated at \$322,906. The figure includes performing the FS for the EWS (\$30,700), final design of the EWS (\$52,800), capital costs and one-time fees (\$99,566), construction (\$99,840), specific response plans

(\$15,000), revising the EAP (\$5,000) and project administration (\$20,000). The FS was finalized in January 2008. The cost for project administration, final design and construction of the EWS will be incurred in FY 2008 – FY 2009. EAP revision costs will be incurred in FY 2009. The individual cost breakdowns for the project are shown below.

Feasibility Study Costs

The FS was started in 2007 with RRG funds and SWPB in-kind funding. Water and Earth Technologies (WET) from Fort Collins, Colorado was contracted to perform the FS. The Final FS was completed in January 2008.

The FS reviewed seven different communications options for an EWS at the Middle Creek dam. Two options (satellite – OneRain and VHF/UHF-Alert One) were chosen as the best systems for the dam based on their ability to work at the dam location, the time for the system to deliver the warning, and reliability. Preliminary design and cost estimates were developed for each method and shown below. Gallatin County prefers the VHF/UHF option due to its compatibility with the county's emergency services communications. Costs for the FS are shown below.

Table 3 - Feasibility Study Costs

Feasibility Study (from DNRC Grant)	\$24,000
DNRC In-Kind services (project management/FS review)	\$5,360
Gallatin County In-Kind services (meetings/review)	\$1,340
Total	\$30,700

Final Design and Construction Planning Costs

The implementation of a design option will require the development of a final design including a set of construction plans before the early warning system can be built. The final design for Option 2 should include a physical radio path study (to confirm the theoretical results presented in the feasibility report), equipment specification, determination of final sensor configuration (sensor type and location), details for equipment integration, interface planning (radio to microwave interface at County radio tower, CAD interface at dispatch center) and development of installation plans. The product from this work phase will be a complete set of construction plans that can be used to solicit bids for the construction of the system. Estimated costs to complete the engineering design and to develop the constructions plans are shown.

Table 4 - Final Design and Construction Planning Costs

Work Task	Option 1 – OneRain (satellite)	Option 2 – VHF Radio
Radio telemetry planning/testing	\$0	\$5,200
Radio frequency licensing	\$0	\$2,000
Sensor specification (type and location)	\$4,000	\$4,000
Equipment integration planning	\$4,000	\$14,000

Software integration planning	\$0	\$6,000
Installation/construction planning	\$4,200	\$4,200
Construction plans/specs	\$5,600	\$8,600
Final Design Sub-Total	\$17,800	\$44,000
Contingency 20%	\$3,560	\$8,800
Final Design Total	\$21,360	\$52,800

Source: Final Middle Creek Early Warning System Feasibility Study (WET 2008)

Capital Costs and One-Time Set-Up Fees

The capital costs and one-time set-up fees associated with both design options are estimated.

Table 5 - Capital Expenditures and Initial Fees

Description	Option 1 – OneRain (satellite)	Option 2 – VHF Radio
Middle Creek Dam Station		
Electronics enclosure	\$824	\$824
30 foot Rohn tower	\$950	\$950
Float switch (4 @ \$603)	\$2,508	\$2,508
Data logger	\$1,700	\$1,700
StormLink telemetry system	\$2,541	\$0
StormLink communications engine	\$2,508	\$0
VHF ALERT radio	\$0	\$800
VHF radio antenna/cables	\$0	\$100
Intrusion sensor (door switch)	\$139	\$139
Solar panel (20 watt)	\$732	\$732
Grounding kit	\$20	\$20
Misc. hardware (conduit, connectors, etc.)	\$500	\$500
Middle Creek Dam Station Sub-Total	\$12,422	\$8,273
Hyalite Creek Stream Gage		
Electronics enclosure	\$824	\$824
30 foot Rohn tower	\$950	\$950
Float switch (3 @ \$603)	\$1,809	\$1,809
Continuous water level sensor	\$2,105	\$2,105
Data logger	\$1,700	\$1,700
StormLink telemetry system	\$2,541	\$0
StormLink communications engine	\$2,508	\$0
VHF ALERT radio	\$0	\$800
VHF radio antenna/cables	\$0	\$100
Intrusion sensor (door switch)	\$139	\$139
Solar panel (20 watt)	\$732	\$732
Grounding kit	\$20	\$20
Misc. hardware (conduit, connectors, etc.)	\$500	\$500
Hyalite Creek Stream Gage Sub-Total	\$13,828	\$9,679
High Flat Receiver/Radio Repeater		
Electronics enclosure	\$0	\$824
VHF ALERT transceiver	\$0	\$800
Data Logger Repeater	\$0	\$7,500
VHF radio antenna/cables	\$0	\$1,500
Solar Panel	\$0	\$732
Grounding kit	\$0	\$20
Integration components to County Equip.	\$0	\$5,500
High Flat Receiver/Radio Repeater Sub-Total		\$16,876
County EOC Receiver		
Electronics enclosure	\$0	\$824

VHF ALERT receiver	\$0	\$800
ALERT decoder (audio digital modem)	\$0	\$2,500
VHF radio antenna/cables	\$0	\$500
Grounding Kit	\$0	\$20
Integration components to County Equip.	\$0	\$5,500
County EOC Receiver Sub-Total		\$10,144
Communication Set-Ups		
StormLink one-time setup	\$1,020	\$0
Terminal interface at EOC	\$0	\$5,500
High Flat interface to County Comm.	\$0	\$10,000
Base station software/CAD interface**	\$0	\$20,000
Software training	\$2,500	\$2,500
Capital Costs Sub-Total	\$29,770	\$82,972
Contingency 20%	\$5,954	\$16,594
Capital Costs and Initial Fees Total	\$35,724	\$99,566

Source: Final Middle Creek Early Warning System Feasibility Study (WET 2008)

Construction Costs

Construction, configuration and testing costs are estimated. These costs include installation of the monitoring network, installation of the telemetry system, installation and configuration of the software at the County Dispatch Center, integration of new software with County CAD system, and end-to-end testing.

Table 6 - Construction Costs

Description	Option 1 – OneRain (satellite)	Option 2 – VHF Radio
Sensor/monitoring network	\$25,000	\$25,000
Satellite telemetry network	\$0	\$0
Radio telemetry network/tower interface	\$0	\$15,000
Base station software/CAD interface	\$0	\$23,200
System configuration and testing	\$10,000	\$20,000
Construction Sub-Total	\$35,000	\$83,200
Contingency 20%	\$7,000	\$16,640
Construction Total	\$42,000	\$99,840

Source: Final Middle Creek Early Warning System Feasibility Study (WET 2008)

Design Response Plans

Specific response plans for the installed EWS will need to be developed to coordinate the logistics of public evacuation among all the emergency responder agencies. The estimated cost for developing a specific response plan is \$15,000 which will come from Gallatin County in-kind services .

Revising the EAP

The EAP will need to be revised once the EWS is installed and a specific response plan is installed. Revising the EAP will be done with DNRC in-kind services and is estimated at \$5,000 (one fte at \$33.50/hr for 150 hours).

Project Administration

Project administration will consist of project management, contracting, coordination, oversight of final design and construction plans, oversight of construction activities, performing equipment procurement, project reporting, and financial management. Project administration will be conducted by GCEM and costs are estimated at \$20,000 (approximately one fte at \$35/hr for 470 hrs).

Funding Structure

The proposed source of funding for the project includes the State Homeland Security Program Grant, a DNRC Renewable Resource Grant (already obtained), the State DNRC Water Projects Bureau In-Kind services, and the Gallatin County Emergency Management In-Kind Services. In-kind services are obtained through the general operating budgets for the DNRC and Gallatin County.

The grant request is for \$267,206 or approximately 83% of the project budget. The in-kind services and grant funding to be provided by DNRC and Gallatin County is \$55,700 or approximately 17.5% of the project budget. Total estimated project cost (including in-kind and other grant funding) is approximately \$322,906

Table 7 - Funding Structure

Funding Source	Amount
Homeland Security Grant	\$267,206
DNRC Grant Funding (Feasibility Study)	\$24,000
DNRC In-Kind Services (Feasibility Study Project Management)	\$5,360
Gallatin County In-Kind Services (Feasibility Study – Meetings/Review)	\$1,340
DNRC In-kind Contribution (future - EAP)	\$5,000
Gallatin County Emergency Management – In-Kind Services	\$20,000
Total	\$322,906

8.0 QUALIFICATIONS

The Gallatin County employees planners, grant administrators, and radio system personnel throughout its departments to administer and facilitate this process.

For this project, the DNRC has the staffing commitment to manage the planning, design, coordination, and implementation of its specific tasks and

will include SWPB and Bozeman Water Resources Regional Office (BWRRO) personnel.

The SWPB employs licensed professional engineers (PE), engineers in training (EIT), geologists, project and environmental coordinators. DNRC's project engineer will be a PE. The SWPB constructs water projects under the authority of MCA Title 85 throughout the state of Montana and has conducted the planning, oversight, procurement, and installation of automated monitoring systems at numerous state owned dams. EAP revisions will be performed by SWPB staff. The SWPB produces numerous revised EAPs on a regular basis.

9.0 SUMMARY

Middle Creek Dam is a 125-foot high earth-fill dam located within the Gallatin National Forest approximately 16 miles south of Bozeman, MT. Dam construction was started in 1939 and completed in 1956. Rehabilitation work consisting of raising the embankment 10 feet, replacing the principle spillway, and construction of an auxiliary spillway was completed in 1992.

Due to residential and business development since 1951, and the increasing rate of development with time, the flood inundation zone from a dam failure has become heavily populated. While the DNRC maintains a dam safety program which includes yearly inspections and regular water level monitoring at the dam, county residents and emergency service agencies are concerned that the present safety program would not detect a sudden dam failure in time to alert the public and evacuate the flood zone. The county proposes to install an Early Warning System at the dam which would immediately notify emergency services and the public in the event of a sudden dam failure. Sudden dam failures could be caused by terrorist activities, natural disasters, or inherent structural problems at the dam.

A Feasibility Study to determine if an EWS would work at the dam was completed in January 2008. The FS determined that it is possible to install an EWS at the dam and that the EWS would give the emergency services and the public additional time to evacuate the flood zone thereby saving lives.

Project tasks are outlined in the table below:

Table 8 – Tasks And Completion Dates

Task	Completion Date
Perform EWS Feasibility Study	January 2008 completed
Develop Final Design & Construction Plans	June 2009
Develop Site Specific Response Plan	December 2009
Procure and Install EWS	August 2010
Revise EAP	December 2010
Project Administration & Reporting	December 2010

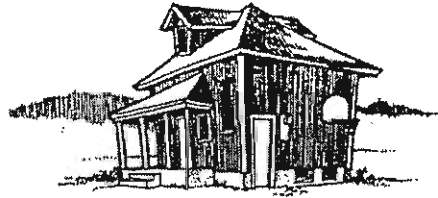
The project would be completed with a combination of funding from a Montana DNRC grant (already received), DNRC in-kind services, Gallatin County in-kind services and the State Homeland Security Program grant.

Gallatin County Emergency Management's mission is to minimize loss of life and personal injury, damage to property and the environment from disasters, both natural and man made. GCEM and county residents feel strongly that an EWS would save numerous lives and property in the event of a dam failure.

The project is supported by GCEM, county residents, the City of Bozeman, the Montana DNRC, and Senator Max Baucus.

REFERENCES

- Department of Natural Resources and Conservation (DNRC). 2007a. Request for Proposals, Middle Creek (Hyalite) Dam Early Warning System Feasibility Study. April.
- DNRC. 2007b. Middle Creek Dam Emergency Action Plan. August.
- Water and Earth Technologies. 2008. Middle Creek Early Warning System Feasibility Study. January.



ANDERSON SCHOOL DISTRICT NO. 41

10040 Cottonwood Road
Bozeman, Montana 59718

RECEIVED
FEB 20 2008
SCHOOL DISTRICT

To: Montana Homeland Security Senior Advisory Committee
From: Terry Vanderpan, Anderson District #41 Superintendent of Schools
Re: Support letter for Hyalite Reservoir & Middle Creek Dam Early Warning System

Date: February 19, 2008

Sirs:

As superintendent of the Anderson School District #41 I am writing on behalf of our school board, staff, 200 school children and their parents to show our support for an early warning system that needs to be developed for the Hyalite Reservoir & Middle Creek Dams that are located directly above our K-8 elementary school.

The Anderson Elementary School District is located directly in the flood path and according to latest research, if the dams were to break, we would be under water in 30 to 45 minutes. We presently have no way of knowing whether or not the dam has failed.

We have practiced loading the students on buses and evacuating the school grounds and buildings in case of a breach, but we have "no way" of learning about a flood unless we are warned somehow. Because the mouth of the canyon where the dam is located is so close (approx. 5 miles), we desperately need to be warned early in order to get 200 students and 30 other district employees to safety.

Please consider this letter as one of support for the early warning system grant.

If you have any questions, please call 406.587.1305

Thank you.



BOZEMAN WATER TREATMENT PLANT

P.O. Box 1230 BOZEMAN, MONTANA 59771
PHONE (406) 586-7158 FAX (406) 585-0058

February 20, 2008

Sheri Lanz
Homeland Security Grants Director
Disaster and Emergency Services
P.O. Box 4789-1900 Williams Street
Fort Harrison, Montana 59636-4789

RE: State Homeland Security Program Grant Proposal

On behalf of the City of Bozeman Department of Public Services, I would like to express support for Gallatin County Emergency Managements grant proposal for the Middle Creek Dam Early Warning System.

The dam is located in a remote area and the only practical egress rout is in the direct path of floodwaters, should there be a failure. Communication is difficult from the site, with no landline phone service, cell service, nor radio contact possible due to the mountainous terrain.

During the course of my employment, for the last twenty-four years, at the City of Bozeman Water Treatment Plant, I have visited this site on numerous occasions. Much of the time there is no one in the area. Thus, a dam failure could easily go undetected.

It is clear that this Early Warning System has the potential to save many lives in the event of dam failure.

Sincerely,

R. J. Moroney

Rick Moroney
Superintendent
City of Bozeman Water Treatment plant

**Rae Rural Fire Department
P.O. Box 4401
Bozeman, Montana 59772**

Sheri Lanz
Homeland Security Grants Director
Disaster and Emergency Services
P.O. Box 4789 - 1900 Williams Street
Fort Harrison, Montana 59636-4789

RE: State Homeland Security Program Grant Proposal

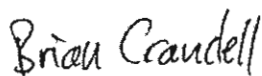
Date: February 19, 2008

Schools, homes, fire stations, businesses, infrastructure and many residents - all are in danger of being swept away within Rae Fire District should Middle Creek Dam be breeched. As fire chief of this district I'm deeply concerned with the safety of those who live here.

During the last five years I've worked with representatives of the DNRC to find a way to protect our citizens in the event of a terrorist attack on the dam or a natural disaster. A team hired by DNRC has evaluated the dam and has recommended placement of an early warning system to help protect our citizens.

We would very much appreciate your consideration of a grant to make this solution a reality.

Sincerely,



Brian Crandell, Fire Chief
Rae Fire Department

Sheri Lanz
Homeland Security Grants Director
Disaster and Emergency Services
P.O. Box 4789 - 1900 Williams Street
Fort Harrison, Montana 59636-4789

RE: State Homeland Security Program Grant Proposal

February 18, 2008

Sourdough Rural Fire Department Board of Trustees gives its wholehearted support to this grant request for funding for an early warning system on Middle Creek Dam.

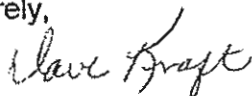
For many years now we've been searching for a way to mitigate the deadly impact a breach of the dam would have on our residents, fire stations, schools, businesses and infrastructure. Now that a team of professionals hired by DNRC has determined that an early warning system is feasible, and has provided a plan, we need funding to make it happen.

Engineers have determined that a breach of this dam has the potential of creating a huge loss of life in Gallatin County, with more than 6,000 persons affected. Within 30 minutes of a breach lives would be lost. Hence the need of an early warning system to mitigate that loss.

Our residents deserve this protection from terrorists who might breach the dam for reasons of their own and from natural disasters such as earthquakes.

We ask you to thoughtfully consider this grant request.

Sincerely,



Dave Kraft, Chair
Sourdough Fire Board of Trustees
4541 South Third Avenue
Bozeman, Montana 59715

Sheri Lanz
Homeland Security Grants Director
Disaster and Emergency Services
P.O. Box 4789 - 1900 Williams Street
Fort Harrison, Montana 59636-4789

RE: State Homeland Security Program Grant Proposal

February 19, 2008

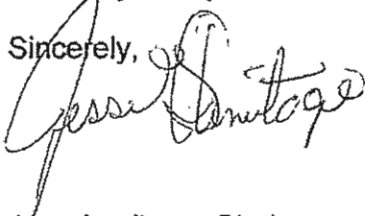
Rae Rural Fire Department Board of Trustees requests your assistance with funding for an early warning system on Middle Creek Dam.

We've been very concerned about the impact a breach of the dam would have on our residents for some time now. The engineering studies paint a very bleak picture for our neighbors who live in the inundation area. The disaster would be widespread and would encompass schools, churches, fire stations and places of business in our fire district.

Currently the only way to help mitigate loss of life following a breach of Middle Creek Dam from a terrorist or natural disaster is an early warning system. We're asking for your help to provide the funds to make this happen.

We ask you to please consider this grant request.

Sincerely,

A handwritten signature in black ink, appearing to read "Jess Armitage", written over the word "Sincerely,".

Jess Armitage, Chair
Rae Fire Department Board of Trustees
P.O. Box 4401
Bozeman, Montana 59772

SOURDOUGH RURAL FIRE DEPARTMENT

4541 South Third Avenue

Bozeman, Montana 59715

Sheri Lanz
Homeland Security Grants Director
Disaster and Emergency Services
P.O. Box 4789 - 1900 Williams Street
Fort Harrison, Montana 59636-4789

RE: State Homeland Security Program Grant Proposal

DATE: February 19, 2008

As Chief of Sourdough Fire Department I am charged with the safety of the more than 6,000 residents who live and work within our district. I'm very concerned about the lack of any early warning system on Middle Creek Dam should it fail from a terrorist attack or an earthquake.

For several years now we've been working to find a solution that would mitigate the loss of life in the event of a disaster on this dam. We now have a feasible solution.

Please consider funding an early warning system on Middle Creek Dam. It could be immensely important to the preservation of life of hundreds of our residents.

Thank you for your consideration.

Sincerely,



Brian Crandell, Fire Chief
Sourdough Rural Fire Department

HYALITE MEADOW

Community Emergency Response Team

13 Indian Paintbrush Drive, Bozeman, MT 59718

Sheri Lanz
Homeland Security Grants Director
Disaster and Emergency Services
P.O. Box 4789 - 1900 Williams Street
Fort Harrison, Montana 59636-4789

RE: State Homeland Security Program Grant Proposal DATE: February 20, 2008

Members of the Hyalite Meadow C.E.R.T. ask your consideration for a grant to fund the early warning system on Middle Creek Dam.

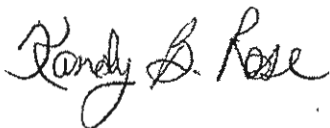
CERT members in this subdivision have met monthly for the last six years to learn skills to care for ourselves, our families and our neighbors in the event of a disaster. We took CPR and First Aid together. We've created our 72 Hour Kits, learned how to turn off our gas and electric, how to safely extricate persons trapped under debris in the event of an earthquake and have created defensible space around our homes. We've assisted our local fire departments with three wildfires that threatened our neighborhood and set up Neighborhood Network phone trees to help keep neighbors informed of impending dangers.

However, we can't raise the money on our own for an early warning system on the dam. We are a subdivision composed of couples with young children, families with teenagers and retired folks. Should Middle Creek Dam fail, engineering studies show we'd have 30 minutes to evacuate before being inundated by a 40' wall of water, rocks and debris IF we had a warning.

We've done all we can as citizens to learn how to protect ourselves and our neighbors. Now we're asking for your help.

We are grateful for your consideration of this grant.

Sincerely,



Kandy Rose, Chair

Hyalite Meadow CERT

Investment #3

Investment Information - Investment #3

Investment Name: Critical Infrastructure Protection Program
 Investment Phase: Ongoing
 Multi-Applicant Investment: No

I. Baseline - Investment #3

I.A. - Baseline - Previous HSGP Request Name and Funding

If the Investment was included in a previous HSGP request, please provide the name of the Investment and the total amount of HSGP funding that was dedicated to this Investment, if any. (100 Char. Max for Investment Name)

FY06 Investment name: Critical Infrastructure Protection Program

FY06 HSGP funding: \$205,000

FY07 Investment name: Critical Infrastructure Protection Program

FY07 HSGP funding: \$160,000

I.B. - Baseline - Purpose Statement

Describe, at a high-level, what activities will be implemented and what will be accomplished by this Investment. (1,000 Char. Max)

The CI program is in three phases: 1) the identification of CI sites to include GIS information, digital site pictures & site stakeholder interviews; 2) Risk, threat & vulnerability site assessments to include a criticality assessment using a scale of 1-10; 3) program reviews, data maintenance & performance evaluations. The sites have been identified; the program is moving to phase 2 criticality assessments.

Gallatin County is requesting an early warning system for the Middle Creek Dam. On an active fault zone, if the Dam is breached, approx 2,800 residents & many recreational users (estimated at 20,000 annually) would be in danger.

This Investment includes an upgrade the Capitol Campus Television Security Network. The Capitol Campus is the core of Montana state government. A team of state & city CI & police have surveyed & recommended the CCTV upgrade. The upgrade contributes to the safety of state elected officials & workers & to continuity of government operations.

I.C. - Baseline - Description

Provide a summary description of the current state of this Investment, its objectives, and any outcomes that will be completed prior to the application of FY08 HSGP funds. Include in this description whether this is a new Investment or an Investment in maintenance/sustainment. Describe the capability gap(s) that this Investment is intended to address. (2,500 Char. Max)

First, note that the Montana Department of Administration, Information Technology Services Division (ITSD), GIS Bureau is the steward of the Montana Critical Structures Framework. Through a federated approach, the project

collects data pertinent to disaster and emergency preparedness from various entities throughout the state and places them into a Critical Infrastructure & Structures Data Model (CISDM). The CISDM is currently operational and has been loaded with emergency facilities, airports and heliports. Also, Critical Infrastructure in all sectors and at all levels has been identified throughout the state. Finally, note that the Montana Infrastructure Protection Alliance (MIPA) has been formed to promote information sharing among private and public stakeholders. At this time, the Montana CI Program is nearing full accreditation from DHS to handle, store and disseminate Protected Critical Infrastructure Information (PCII) per federal codes and state statutes. Finally, note the CI Program uses the Automated Critical Asset Management System (ACAMS) secure database technology to ensure the proper storage and sharing of PCII).

This Investment is ongoing; it will address completing vulnerability assessments of identified sites and maintain information flow and the Montana Infrastructure Protection Alliance. Capability gaps include: 1) completing the vulnerability assessments; 2) continued reviews and updating of the CI and ACAMS databases; 3) development of a State Infrastructure Protection Plan; and, 4) continued integration with the fusion center and regional data sharing. This investment is included under the 25% law enforcement terrorism prevention-oriented activities grant requirement.

II. Strategy - Investment #3

II.A. - Strategy - State Preparedness Report

Explain how this Investment supports initiatives in the State Preparedness Report. Please reference relevant page numbers in the State Preparedness Report. (Part of overall Investment 15,000 Char. Max)

This Investment supports initiatives listed on page 30 of the SPR. Also, the Investment supports the Montana Infrastructure Protection Alliance (MIPA) as stated on page 24. The capability gaps listed in 1.C-Baseline Description become the initiatives stated in the SPR.

II.B. - Strategy - Homeland Security Strategy goals and objectives

Explain how this Investment supports the State/Territory/Urban Area Homeland Security Strategy goals and objectives. Please reference relevant goal and objective numbers in the State/Territory/Urban Area Homeland Security Strategy. (Part of overall Investment 15,000 Char. Max)

The Montana Homeland Security Strategy lists implementing the National Infrastructure Protection Plan (NIPP) as the third Plan priority (page 3). This Investment supports the following CI Plan objectives as stated on pages 15, 16 and 17:

Objective 3.4: Enhance the prevention, preparedness response capabilities for protection of critical infrastructure;

Objective 3.5: Statewide identification and criticality assessment of CI;

Objective 3.6: Enhance security of identified CI within two years;

Objective 3.7: Enhance GIS capabilities to support the use of CI data over five years;

Objective 3.10: Coordinate with the CI private sector; and,

Objective 3.13: Support planned exercises.

II.C. - Strategy - Target Capabilities

Select one primary and up to four secondary Target Capabilities that this Investment supports. For the primary Target Capability selected, provide an explanation of how it is supported by this Investment.

Primary Target Capability: Critical Infrastructure Protection

Primary Target Capability Narrative:

This Investment supports the primary target capability by completing the site criticality assessments and analysis, providing documentation, prioritizing assets, preparing a state CI Plan and implementing the Plan. Further, the Montana CI Program staffs the Infrastructure Protection Alliance Advisory Board to enhance public/private information sharing.

Secondary Target Capability 1: Counter-Terror Investigation and Law Enforcement
Secondary Target Capability 2: Information Gathering and Recognition of Indicators and Warnings
Secondary Target Capability 3: Planning
Secondary Target Capability 4: Risk Management

II.D. - Strategy - National Priorities

Select the National Priority(ies) that this Investment supports; up to four may be selected.

National Priority 1: Expanded Regional Collaboration
National Priority 2: Implement the NIPP
National Priority 3: Strengthen Information Sharing and Collaboration Capabilities

III. Implementation - Investment #3

III.A. - Funding Plan

Provide the total estimated cost for the FY08 HSGP period of performance for this Investment by completing the following table:

- For each solution area that has an associated FY08 HSGP funds request, provide a brief summary of the planned expenditures (including personnel)
- If this Investment uses other funding sources, identify the funding source and provide a brief summary of how those funds will be applied

	FY 2008 Homeland Security Grant Program Request				FY08 HSGP Request Total	Other Funding Sources Applied			Grand Total
	SHSP	UASI	MMRS	CCP		Other 1	Other 2	Other 3	
Planning	\$133,720				\$133,720				\$133,720
Organization									
Equipment	\$517,606				\$517,606				\$517,606
Training	\$5,000				\$5,000				\$5,000
Exercises	\$5,000				\$5,000				\$5,000
Total	\$661,326				\$661,326				\$661,326

Planning Summary: 1 CI Program Manager @ \$53,560 including sal/fr; 1 Criticality Assessment Field Technician @ \$43,260 including sal/fr; data base services @ \$10,000; Out of state travel @ \$4,500; In state travel @ \$6,400; Communications @ \$1,000; MIPA Conference @ \$15,000.

Equipment Summary: Computer hardware, software and network @ \$6,400; CCTV upgrade for Capitol Campus @ \$244,000; Middle Creek Dam Early Warning Equipment @ \$267,206.

Training Summary: Training @ \$5,000 to include critically assessment.

Exercises Summary: Participation in the Fusion (MATIC) exercise @ \$5,000.

III.B. - Milestones

Provide descriptions for up to 10 milestones and the associated key activities that lead to the milestone event over the FY08 HSGP period of performance. Start dates should reflect the start of the associated key activities and end dates should reflect when the milestone event will occur. Sustainment Investments must identify at least one milestone and describe the maintenance and sustainment activities associated with the investment. (500 char. max per milestone)

Milestone 1 (10/01/2008 - 09/30/2009)

Perform 20 criticality assessments.

Milestone 2 (06/01/2009 - 06/30/2009)

Hold the Montana Critical Infrastructure Alliance Conference

Milestone 3 (01/01/2009 - 01/30/2009)

Participate in the Fusion Center (MATIC) exercise

Milestone 4 (12/01/2008 - 06/01/2009)

Develop final design and construction plans for early warning system on Middle Creek Dam.

Milestone 5 (06/01/2009 - 12/30/2009)

Develop site specific response plans for Middle Creek Dam.

Milestone 6 (01/01/2010 - 08/30/2010)

Procure and Install EWS on Middle Creek Dam.

Milestone 7 (08/01/2010 - 12/30/2010)

Revise EAP for Middle Creek Dam.

Milestone 8 (07/01/2008 - 12/30/2010)

Project Administration and Reporting for Middle Creek Dam.

Milestone 9 (01/01/2009 - 05/30/2009)

Purchase and install hardware and software for CCTV Security Network upgrade.

Milestone 10 (10/01/2008 - 09/30/2009)

Utilize the Automated Critical Asset Management System (ACAMS) to store and share Protected CI Information collected through the criticality assessment process.

III.C. - Project Management

Describe the management team roles and responsibilities, governance structures, and subject matter expertise specifically required by this Investment. (Part of overall Investment 15,000 Char. Max)

The Critical Infrastructure Program operates under the Montana Department of Justice along with the MATIC (Fusion Center). The CI Program is under the Division of Criminal Investigation, Investigation Support Section. The Investigations Support Section Director directly supervises the CI Program manager who in turn supervises the Field Technician. The Program Manager is responsible to carry out the CI Program and ensure it meets program milestones and reaches program milestones and outcomes. Also, the Program Manager coordinates the BZPP Program, staffs the Infrastructure Protection Alliance Advisory Council and represents the CI Program to state and local government and the private sector. The Field Technician is responsible for data collection and is the point person for field site assessment teams that include the National Guard, subject matter experts and site owners. Both positions are responsible for site assessment analysis and the formulation of the state Critical Infrastructure Plan.

The Gallatin County Commission, William Murdock, Chairman, will receive the award for the Dam Early Warning System (EWS). The Commission in turn has assigned project management to the Gallatin County Emergency Management Coordinator, Patrick Lonergan.

Finally, note the award for the CCTV upgrade will go the Montana Department of Administration, General Services Division.

III.D. - Investment Challenges

List and describe up to three potential challenges to effective implementation of this Investment over the entire FY08 HSGP period of performance. For each identified challenge, provide a brief description of how the challenge will be mitigated, and indicate a probability of occurrence (high, medium, low), and level of impact should it occur (high, medium, low).

Challenge 1:

Private Stakeholders are reluctant to share information for assessments.

Probability: High **Impact:** High

Mitigation Strategy:

One on one contact with private stakeholders to explain that proprietary information is protected by Montana statute. Also, promote the MIPA annual conference to the private sector.

Challenge 2:

Technical barriers prevent intra-net sharing of CI intelligence with MATIC analysts.

Probability: Low **Impact:** Medium

Mitigation Strategy:

Work with ITSD and DOJ Information Technology staff to identify and correct technical barriers that "stove pipe" CI information.

Challenge 3:

Administrative and construction delays will impede the EWS for Middle Creek Dam.

Probability: Low **Impact:** High

Mitigation Strategy:

The SAA will let the award to Gallatin County within 45 days of the notification of grant award. And, the County will report progress to the SAA quarterly.

IV. Impact - Investment #3

IV.A. - Impact

What outputs and outcomes will indicate that this investment is successful at the end of the FY08 HSGP period of performance? (Part of overall investment 15,000 Char. Max)

Outputs include: 20 Criticality Assessments are completed and information is analyzed and entered into the Automated Critical Asset Management System (ACAMS); Information from the assessments can be shared with the appropriate responders; The MIPA Conference is held; and CI staff participates in the MATIC exercise. The outcomes of the CI Program include: the state Critical Infrastructure Plan; 12 federally recognized and at least 20 state sites are prioritized and protected from potential threats.

IV.B. - Sustainability

What is the long-term approach to sustaining the capabilities created or enhanced by this investment, or explain why this investment will not be sustained? (Part of overall investment 15,000 Char. Max)

The long term approach to sustaining the Critical Infrastructure capabilities rest with 2 potential funders. First, the state of Montana will be approached during the 2009 Session for support from the state's general fund. Secondly, major state Corporations will be approached as approximately 85% of CI assets are privately owned. Before entities can be approached, the CI program must demonstrate its effectiveness. This will be accomplished with FY '08 HSGP funding. Efforts will include completing criticality assessments; completing BZPP work on 1 nationally recognized site; adding to the CI Plan; and, working with state legislators and private sector companies including BNSF, Northwest Energy, Quest, Verizon, PP&L, Conoco and the Washington Corporation.

We proceed with the understanding that CI planning is a 3 year cycle and it must be sustained into the future. The state has progressively funded the MATIC Fusion Center and, when educated and informed, there is a probability it will fund the CI Program.

V. Optional Attachments - Investment #3

V.A. - Optional Attachments

As part of the FY08 HSGP Investment Justification, applicants have the option of including graphic file

attachments, such as organizational charts, with their application. Attachments supporting this application **MUST** be submitted through www.grants.gov as separate files when submitting the final Investment Justification grant application.

The following graphics file types are the only formats that will be recognized by the system: .jpg, .jpeg, .jiff, .jpe, .png, .gif.

If you choose to include an optional attachment that will be uploaded to www.grants.gov for this Investment, please provide the following information in the text box below (500 Char. Max):

- The file name
- The file extension (e.g., .jpg, gif)
- The relevancy this attachment has to this Investment

Please note the total number of attachments that will be submitted via grants.gov for this Investment (0-99):

(End of Investment #3.)

