



# City of Santa Fe, New Mexico

# memo

**DATE:** May 1, 2014  
**TO:** Finance Committee  
**FROM:** Robert Rodarte, Officer  
Purchasing Division  
**VIA:** Marcos A. Tapia, Director  
Finance Department

**SUMMARY:** SWAT and Incident Management Team Training :  
Vendor: Government Training Institute (GTI)  
Procurement Method: New Mexico Department of Homeland Security &  
Emergency Management: Sub- Grant EMW-2013-SS-00152-S01-City of Santa Fe  
(NMDHSEM).

The City of Santa Fe Police Department and the Office of the Emergency Manger are requesting use of the aforementioned grant funding for the purpose of SWAT Training as specified in the award documentation.

#### History:

On 2/26/2014, the City Council approved the acceptance of Sub- Grant EMW-2013-SS-00152-S01-City of Santa Fe (14-0101) in the total amount of \$194,420.00. The fee for this particular SWAT specialized training is \$56,400 and meets all of the grant requirements.

On 3/26/2014, NMDHSEM identified and approved, "Government Training Institute (GTI)" as the authorized vendor under this grant award. GTI is identified as the exclusive owner of the curriculum provided for this Training and Exercise Integration State Sponsored Course.

As stated in the City of Santa Fe Section 16.0. Sole Source Requirements: Sole Source over \$50,000 requires City Council approval and are required to be posted on the City Purchasing Web Site for a period of 30 days.

All grant award information is attached for your review. Funding for this training procurement is currently available in Business Unit 22832/560700 (NM Homeland Security/Registration).

#### **ACTION REQUESTED:**

It is requested that this procurement award to Government Training Institute (GTI), from New Mexico Department of Homeland Security & Emergency Management Sub-Grant EMW-2013-SS-00152-S01, in the amount of \$56,400, for the City Police SWAT Team, be reviewed, approved and submitted to the City Council for consideration.



**New Mexico Homeland Security and Emergency Management  
REQUEST TO USE FEDERAL GRANT FUNDS  
For Training, Conferences or Exercise Activities**

NMDHSEM, State Administrative Agency (SAA)  
PO Box, 27111, Santa Fe, NM 87502

\*\*PLEASE TYPE OR PRINT CLEARLY -- COMPLETE ALL SECTIONS\*\*

Please indicate the type of project to be funded with grant funds.

- Training** – Complete this Form **AND** Section 1 **AND** Attach Course Description and Registration Information.
- Conference** –Complete this Form **AND** Section 2 **AND** Attach Conference Description, Agenda, and Registration Information.
- Exercise** –Complete this Form **AND** Section 3 **AND** requested attachments.

REQUESTER INFORMATION	
Requester Name: Andrew Phelps	Date of Request: 3/21/14
Agency/Program/Organization: Santa Fe PD via Santa Fe OEM	
Mailing Address: PO Box 909	
City: Santa Fe	Zip Code: 87504
Email: ajphelps@santafenm.gov	
Phone: 505-955-6537	Fax:
GRANT ACTIVITY INFORMATION	
SUB-GRANT NUMBER:	See your jurisdiction's sub-grant agreement. N/A for Off-Cycle requests. <b>EMW-2013-SS-00152-S01-City of Santa Fe</b>
PROJECT TITLE & NUMBER:	See your jurisdiction's sub-grant agreement. N/A for Off-Cycle requests. <b>Project 1: SWAT Training and Equipment</b>
MATCH FUNDS AVAILABLE?	Match must be non-federal funds. Contact your Local Preparedness Coordinator for more information. <input type="checkbox"/> Yes <input type="checkbox"/> No
TRAINING COURSE, CONFERENCE TITLE OR EXERCISE NAME	<b>Type II Advanced SWAT Course</b>
TARGET CAPABILITIES ADDRESSED BY ACTIVITY:	Should match jurisdiction's grant application <b>OR</b> for Off-Cycle requests, see Attachment A – Resources for list of capabilities. On-Scene Security and Protection
ACTIVITY DATE(S): LOCATION:	<b>July 7-24, 2014</b>
JUSTIFICATION	How will activity contribute to building / supporting capabilities for your program? Tie this justification to the Target Capability Critical Task identified in the jurisdiction's application. For Off-Cycle requests see Target Capabilities List at <a href="http://www.fema.gov/pdf/government/training/tcl.pdf">http://www.fema.gov/pdf/government/training/tcl.pdf</a> .  This course will support our current Type II SWAT program, the only Type II (or higher) SWAT team north of Albuquerque in New Mexico.
PARTICIPANT OR AUDIENCE DISCIPLINE: (CHECK ALL THAT APPLY)	<input type="checkbox"/> ADMINISTRATION/ELECTED <input type="checkbox"/> AGRICULTURE <input type="checkbox"/> EMERGENCY COMMUNICATIONS <input type="checkbox"/> EMERGENCY MANAGEMENT <input type="checkbox"/> EMS <input type="checkbox"/> FIRE/HAZMAT <input type="checkbox"/> HEALTH <input type="checkbox"/> HOSPITAL <input checked="" type="checkbox"/> LAW ENFORCEMENT <input type="checkbox"/> NGO/VOAD <input type="checkbox"/> PUBLIC WORKS <input type="checkbox"/> TRANSPORTATION <input type="checkbox"/> OTHERS _____

**AUTHORIZATION SIGNATURES**

**Local Authorization: (Name, Title and Signature of Program or Agency Head).**

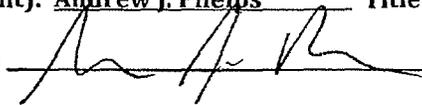
*The signatory below represents and warrants that the signor has the authority to allocate the use of grant funds and execute the Request for Use of Grant Funds on behalf of the entity for the activity specified above.*

**I certify that:**

- all information provided in this application is true and correct;
- all funds will be used only for the project and purposes identified;
- the grant funds for the activity specified, are in support of the Jurisdiction's 3-Year Training and Exercise Plan;
- The Jurisdiction has completed and is compliant with all National Incident Management Systems Requirements and Reports.

**Total Amount Requested** (Total of all funds requested in Section(s) 1, 2 or 3) \$56,400.00

**Name (Print):** Andrew J. Phelps      **Title:** Emergency Manager

**Signature:**       **Date:** 3/21/14

Please Complete & Submit this form along with the Requested Attachments. You must complete and return Attachment B - Training and Conference Evaluation Form with your Reimbursement Package.

\*\*\*\*\*

**\*FOR NMDHSEM USE ONLY\***

STATE TRAINING AND EXERCISE APPROVED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO DATE: <u>3/24/2014</u>	SIGNATURE: <u></u> <i>judgmental approval</i>
GRANTS/FINANCE APPROVAL APPROVED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO DATE: <u>3-26-14</u>	SIGNATURE: <u></u>
CABINET / DEPUTY SECRETARY APPROVED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO DATE: _____	SIGNATURE: <i>Not needed.</i> <i>Funds available to in sub-grant agreement</i>

### SECTION 1 - TRAINING REQUESTS

(Please check one)

**DHS APPROVED COURSES**

**NON-DHS APPROVED COURSE:** See Attachment A – Resources for items which must be submitted with requests for funding of non-DHS approved courses.

<b>COURSE NAME:</b> TYPE II ADVANCED SWAT COURSE	<b>DHS COURSE CODE: (IF APPLICABLE)</b> ID-002-RESP
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<b>COURSE VENDOR NAME / CONTACT INFORMATION:</b>	Government Training Institute (GTI) Boise, ID 866-938-5510
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**ARE YOU REQUESTING SUPPORT FROM NMDHSEM FOR COURSE ACTIVITIES?**

**Yes - COURSE LOGISTICS SUPPORT REQUESTED FROM DHSEM. CHECK ALL THAT APPLY:**

- Registration on www.preparingnewmexico.org
- Local Approval of Registrations for Attendance
- Verification of completion of course pre-requisites

**No - COURSE LOGISTICS PROVIDED BY OTHER AGENCY.** Participants will register at (Provide registration contact information i.e. web address, phone number, mailing address):

The course sponsoring entity and the course provider assume all responsibility and any liability for the delivery of the course

**TRAINING BUDGET INFORMATION – PER PERSON COST ESTIMATES (COMPLETE WHEN GRANT FUNDS WILL BE USED FOR ANY OF THE FOLLOWING EXPENDITURES)**

<b>NUMBER OF INSTRUCTORS:</b> _____	<b>INSTRUCTOR(S) FEE(S)</b>	<b>\$56,400.00</b>
	<b>INSTRUCTOR(S) TRAVEL</b>	\$
<b>ANTICIPATED NUMBER OF PARTICIPANTS:</b> _____	<b>INSTRUCTOR(S) LODGING</b>	\$
	<b>FACILITY RENTAL</b>	\$
	<b>COURSE MATERIALS PRINTED / COPIED</b>	\$
	<b>COURSE EQUIPMENT RENTAL</b>	\$
	<b>PARTICIPANT FEES:</b>	
	• Registration	\$
	• Lodging	\$
	• Travel / Per Diem / Car Rental	\$
	• Backfill/Overtime	\$
	<b>OTHER (PLEASE SPECIFY)</b>	\$
<b>Total:</b>		<b>\$56,400.00</b>

## SOLE SOURCE REQUEST AND DETERMINATION FORM

Date: 05/07/14

Prepared By: Andrew Padilla Title: Lieutenant

Vendor Name: Government Training Institute (GTI)

Address: 25 E. Fairview Ave. Suite#215A

City: Meridian State: Idaho Zip Code: 83642

### Description of Good/Service to be Procured:

Estimated Cost: \$56,400.00 Term of Contract: Course Dates: July 7-24, 2014

1. Explain why this is the only available source that can be meet the needs of your department.

This Advanced Type II SWAT Course follows the Institute of Emergency Management and/or the national standard of the Incident Command System (ICS) for any and all critical incidents. ICS ranks all SWAT Teams by their capabilities and equipment, ranging for a Type I SWAT Team to a Type IV SWAT Team, the least equipped and or prepared. This course curriculum specifically covers the first responder's response to a Hazardous Material scene and or incident and thoroughly focusses on Personal Protective Equipment when dealing with Weapons of Mass Destruction and or chemical agents. The course also addresses current case law and the latest techniques and or technology available. Please see the attached 18 page course curriculum for further details.

The Government Training Institute or GTI is nationally known to be the only vendor to offer this type of training and is recognized by the Department of Homeland Security. The 18 day course is pre-approved by the DHS and the State Sponsored Course Catalog, Course ID-002-RESP.

This course would allow our SWAT Team to be classified as a Type II SWAT Team nationally. A Type II SWAT Team is the second most prepared and equipped SWAT Team. We do not qualify to be ranked a Type I SWAT Team as our department does not have the need to conduct airborne or waterborne operations.

The City of Santa Fe Emergency Manager, Andrew Phelps applied for a 2013 State Homeland Security Grant last year. Mr. Phelps specifically applied for this course under that grant. Mr. Phelps was awarded with the grant; 2013 Federal Grant Number: EMW-2013-SS00152-S01 and the New Mexico Department of Homeland Security and the Office of Emergency Management (NMDHSEM) has allowed these grant funds to be expended on this course. The funds can found in Business Unit and Line Item Number: 22832/560700.

The Sub-grant agreement has been attached to this request and was approved by Mayor David Coss and Finance Director Marcos Tapia in March of 2014.

**2. Explain why this vendor is the only available source from which to obtain this product of service.**

The company has affirmed (memo from vendor is attached) that there is no other source for this item. Our search for possible vendors proved unsuccessful; or

Other reason, please explain in full. Attach additional sheets, if necessary.

Please see attached Sub-grant agreement.

**3. Explain why the price is considered fair and reasonable.**

The price is considered fair and reasonable because GTI has the capability of coming to our location to conduct the training. By GTI coming to our location, our department/the City of Santa Fe does not have to pay for the per diem/travel costs that would be needed to send all twelve officers to this course which is normally held out of state. Another major plus of GTI conducting the training at our location the twelve officers have the ability to work together

GTI will also provide all student manuals, certificates and Simmunition conversion kits for all weapon(s) systems, Simmunition rounds for all practical exercises, shooting targets for the firing range and any and all other specialized equipment needed for the course.

**4. Describe the efforts made to obtain the best possible price from this sole source vendor for the taxpayers. What (if any) is the total cost savings from the original quote? (Attach additional sheets, if necessary.)**

The City of Santa Fe does not have to pay for the out of state travel costs or the daily per diem rate of \$115 or \$215.

This 18 day course does not normally come to New Mexico and on the lower end of the per diem rate of \$115 per day that would equal \$2,070.00 per officer or \$24, 840.00 for all twelve officers. The above calculations are just for the actual 18 days of the course and do not include the one to three days of travel needed to get to and from the course. Therefore, the daily per diem rate and travel costs are the biggest cost savings for the City of Santa Fe if GTI comes to our location to conduct the training.



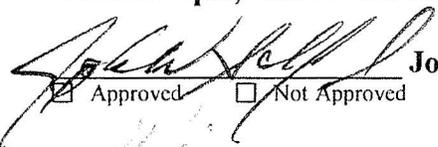
# City of Santa Fe, New Mexico

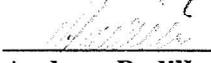
# Memo

**DATE:** April 25, 2014

**TO:** Finance Committee

**CC:** Brian Snyder, City Manager  
Marcos Tapia, Finance Director

**Via:**  John Schaerfl, Deputy Chief of Police  
 Approved  Not Approved

**FROM:**   
Andrew Padilla, Lieutenant, SWAT Team Commander

**RE:** 2013 Department of Homeland Security Grant-Advanced Training

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The following is a request to allow a purchase order be generated to cover the cost of an advanced training course for the SFPD SWAT Team. The funds will come from the 2013 Department of Homeland Security Grant. The City of Santa Fe Emergency Manager, Andrew Phelps has received approval from NM DHSEM to expend the funds on the registration/cost for this Type II SWAT Operators School. The funds to be used are in Business Unit and Line Item number: 22832/560700.

The Santa Fe Police Department is set to host this course July 7-24, 2014 and twelve officers would attend the training. The course focusses on a SWAT Teams response to CBRN (Chemical, biological, radiological and nuclear). These are incidents that are deliberate, malicious acts with the intention to kill, sicken, and/or disrupt society. The course covers the proper use of personal protective equipment, ranging from the use of a gas mask, all the way up to full personal protective equipment to include the use of a self-contained breathing apparatus and a chemical suit.

The training would be taught by instructors from the Government Training Institute (GTI). GTI explains the benefits of the course as the preparedness of State and Local SWAT Teams in the United States is one of the major initiatives of the Department of Homeland Security. Under the Department of Homeland Security typing system, there are four typing classifications ranging from a Type IV team, the least equipped, to a Type I

team, the most equipped and capable. The typing system has been created to flow with the overall Incident Command System (ICS). GTI conducts this type of training nationally and is recognized by the Department of Homeland Security. This course would allow the City of Santa Fe's SWAT Team to be nationally classified as a Type II SWAT Team. Which is the second highest typing under the DHS standards, the only thing keeping our SWAT Team from being typed as a Type I team is the lack of our need to conduct airborne and waterborne operations.

**Item:**

**GTI Advanced SWAT Training/Type II SWAT Operators School:** DHS Grant and/or Course ID# DHS# ID-002-RESP, Funds to be used are in Business Unit and Line Item number: 22832/560700 (Registration)

**Total: \$56,400.00**

**\*\*Attached documents include the course proposal from the Government Training Institute and the course description.**

**Requested Action:**

A purchase order be generated to cover the cost of this advanced training.

Should you have any questions, please feel free to contact me.

# City of Santa Fe, New Mexico

# memo

Date: November 15, 2013

To: Public Safety Committee

Finance Committee

City Council

From: Andrew Phelps, Emergency Manager



Subject: 2013 State Homeland Security Grant Acceptance

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**Item:**

Attached is the 2013 State Homeland Security Grant Program Sub-grant agreement, awarded on November 13, 2013. This sub-grant provides \$194,420.00 for Police Department Special Weapons and Tactics (SWAT) Team training and equipment as well as equipment, training and exercise for Incident Management. There is no local match requirement for this grant. The sub-grant expires on November 30, 2014. Below is an outline of the projects to be funded through this sub-grant:

Project	Amount	Bus. Unit/Line Item
SWAT Training and Equipment	\$105,000.00	21734/490610
Incident Management Team Training Equipment, and Exercise	\$89,420.00	21734/490610

**Background:**

The City of Santa Fe applied for this reimbursable Federal Preparedness Grant through the United States Department of Homeland Security and the Federal Emergency Management Agency, and administered by the New Mexico Department of Homeland Security and Emergency Management (NM DHSEM) to fund the City's Emergency Manager position..

The Emergency Manager is responsible for ensuring the conditions of this grant are met, including providing and receiving required training, city-wide compliance with the National Incident Management System, conducting emergency response exercises, and developing and maintaining appropriate emergency management plans for the City. All expenditures must be pre-approved by the New Mexico Department of Homeland Security and Emergency Management.



*Success is not by Chance*

25 E. Fairview Ave Suite #215A Meridian Idaho 83642  
1321 Technology Dr Suite #101 Barnwell SC 29812  
866.938.5510  
[WWW.GTITRAINING.ORG](http://WWW.GTITRAINING.ORG)

In cooperation with the Institute of Emergency Management, an extension of Idaho State University, the Government Training Institute (GTI) developed six courses that were submitted to the US Department of Homeland Security, Center for Domestic Preparedness (CDP). The CDP conducted a desk audit of the course materials based on the completed templates, the completeness of the materials submitted, and the content to determine if the training materials were consistent with the Office of State and Local Government Coordination and Preparedness (SLGCP) standards. Analysis and evaluation of the submitted materials found that the training courses met the required standards.

GTI is the exclusive owner of the curriculum and is the sole source for delivery of the curriculum.

Each of the following courses are currently listed in the Department of Homeland Security Training and Exercise Integration (TEI) State Sponsored Course Catalog:

TYPE 3 SWAT	ID-001-RESP
TYPE 2 SWAT	ID-002-RESP
TYPE 1 SWAT	ID-003-RESP
IMMEDIATE ACTION TEAMS (IAT)	ID-004-RESP
BASIC SWAT	ID-006-RESP
IED AWARENESS	ID-008-RESP



Success is not by Chance

### Government Training Institute / Course Proposal

<b>Agency Requesting Training:</b>	Santa Fe		
<b>Agency POC:</b>	Andrew Padilla	<b>Phone:</b>	505-629-8184
<b>Agency POC Email:</b>	aapadilla@santafenm.gov	<b>Fax:</b>	

### Proposal for Type 2 SWAT

**Santa Fe will provide:**  
 Classroom for 18 Days, Standard Outdoor Range for 2 Days, Building(s) with multiple rooms and hallways where Simunition training can occur for 13 days, rappel / fast rope tower for 3 days, Equipment requirements for each student include: Agency issued tactical uniform for 18 days (All tactical duty equipment that is normally worn on the operator should be worn each day.), Eye protection, Ear protection, NFDD pouches, Flashlight, Ballistic helmet, Ballistic vest, Holster, Magazine pouches, Level C PPE Suit, Negative and/or positive pressure respiratory protection system. A Rifle and a Handgun.  
 Transportation to each training facility

**GTI will provide:**  
 Instructors at a 1:12 Ratio, Student manuals, Student certificates, Simunition conversion kits, Man marking rounds for all practical excercises, targets for range / practical excercises and All additional specialized equipment needed for the course.

**Comments:**  
 This proposal is for up to 12 students to attend GTI's Type II Advanced SWAT course ID-002-RESP training to take place in or near Santa Fe, NM. Dates July 7-24, 2014. All MTT fees are included.  
 This proposal will expire July 24, 2014

To accept proposed training, please contact your GTI representative:

<b>Final Proposal Cost:</b>	\$56,400.00	<b>Date:</b>	03/11/14
<b>Prepared By:</b>	Jason Kemper	<b>Email:</b>	jkemper@gtitraining.org

If training proposal is accepted, training dates must be pre-approved by GTI a minimum of 1 month in advance, unless otherwise specified above. This proposal is valid for 60 days from date above.

Government Training Institute - Boise, ID / Barnwell, SC  
(866) 938-5510 Fax: (208) 938-5507

ITEM # 14-0101



**NEW MEXICO DEPARTMENT OF HOMELAND SECURITY  
& EMERGENCY MANAGEMENT  
Sub-Grant Agreement**

*2013 State Homeland Security Grant Program*  
2013 Federal Grant No. EMW-2013-SS-00152-S01 CFDA No. 97.067

<b>1. Sub-Grant No.</b> EMW-2013-SS-00152-S01-City of Santa Fe	<b>2. Recipient</b> City of Santa Fe	<b>3. FIDUCIARY</b> City of Santa Fe	<b>4. DFAVENDOR NUMBER/DUNS NUMBER</b> 54360 / 069420818
<b>5. Recipient Address</b> City of Santa Fe PO Box 909 Santa Fe, NM 87504-0909		<b>6. Issuing Office and Address</b> New Mexico Department of Homeland Security & Emergency Management P. O. Box 27111 Santa Fe, NM 87502	
<b>7. Effective Date of This Action</b> November 13, 2013		<b>8. DHSEM Grant Specialist:</b> John Stephens	<b>Phone: 505-476-0616</b> <b>Fax: 505-476-9695</b> <b>Email: johnp.stephens@state.nm.us</b>
<b>9. Termination Date</b> November 30, 2014			
<b>10. Funding:</b> Total Awarded Amount: \$194,420.00			

**11. Grant Requirements, Assurances and Agreements:** (see attached Grant Requirements, Assurances and Agreements)  
*The acceptance of a grant from the United States creates a legal duty on the part of the grantee to use the funds or property made available in accordance with the conditions of the grant through the State.*

- 12. Special Conditions:** Grant funds cannot be expended until these conditions have been met.
- a. Project Budget Details are funding allocations, and are not to be construed as expenditure authorizations or approvals. Grant program guidelines and Federal, State, and local contracting and procurement compliance requirements apply. Items procured with SHSGP grant funds will be considered a state resource in times of need.
  - b. Quarterly financial and progress reports are due on 1/30, 4/30, 7/30, and 10/30.
  - c. DHSEM Programmatic and Grant pre-approvals are required for all equipment, training, planning, and exercise obligations regardless of any application review. And all equipment must be purchased and deployed in accordance with the jurisdictions 2013 SHSGP application.
  - d. Request for reimbursement will not be processed if quarterly financial and programmatic reports are delinquent.
  - e. Generators purchased must be mobile unless they are part of an approved tower project.
  - f. Communication Equipment: If a revision of scope of work is requested it must be approved by SICWG, DHSEM grant staff as well as program staff before the jurisdiction can proceed. No increase to communications awards will be considered without full approval of the SICWG.
  - g. Procurement from Minority Owned and Women Owned Business is encouraged, and must be tracked and reported to DHSEM on the quarterly reports.
  - h. Emergency Operations Plans must satisfactorily address the plan requirements outlined in the DHSEM Local Emergency Operations Plan Review crosswalk before payment.
  - i. NEPA/EHP Compliance: The recipient must provide information to DHSEM to assist with the legally required environmental planning and historic preservation (EHP) review and to ensure compliance with the applicable EHP laws and Executive Orders (EO). These EHP requirements include but are not limited to National Environmental Policy Act, National Historic Preservation Act, Endangered Species Act, E 11988 Floodplain Management, EO 11990 Protection of Wetlands, and EO 12898 Environmental Justice. The recipient must comply with all Federal, State and Local EHP requirements and obtain applicable permits and clearances during the performance period
  - j. All SHSGP sub-grantees must be NIMS compliant and must undergo a yearly NIMSCAST site visit and complete their jurisdictions NIMSCAST assessment on or before September 30.
  - k. Resource typing database must be updated quarterly in E-Team.
  - l. Budget or Program changes must be approved by Program and Grant Staff.
  - m. Annual external audit reports must be submitted to DHSEM within 30 days of receipt by sub-recipients
  - n. Contracts must be pre-approved by DHSEM prior to obtaining vendor and sub-recipient signatures.
  - o. The accounting system and financial capability questionnaire must be completed by the sub-recipient and DHSEM grant staff within 60 days of the sub-grant dissemination and prior to funds being released.
  - p. Each jurisdiction is required to conduct one operations-based exercise to test the field capabilities of equipment purchased with past or current federal preparedness grant within the performance period. The operations-based exercise must be a Homeland Security Exercise and Evaluation Program (HSEEP) compliant exercise. The exercise must be entered into the Lessons Learned Information Sharing (LLIS) in the Homeland Security Exercise and Evaluation Program (HSEEP) Toolkit. Additionally, documents must be entered into LLIS to include the After-Action Report/Improvement Plan (AAR/IP) within 60 days following the end of the exercise <https://www.llis.dhs.gov>
  - q. All awarded projects must be planned for and budgeted within the designated performance period. Extensions will only be considered for documented extenuating circumstances. Remaining balances will be reviewed and may be re-allocated to other jurisdictions.

13. Recipient is required to sign and return the original of this document, as well as the signed and accepted grant requirements, assurances and agreements to the Issuing Address in block 6, within 30 days from the date in block 17.	
14. Signature of Jurisdiction Grant Specialist/Program Manager 	Date: <u>11/15/13</u> Phone: _____ Fax: <u>505-935-6530</u> Email: <u>ajphelps@santafe.com.nm</u>
Printed Name: <u>Andrew J. Phelps</u>	
15. Signature of Jurisdiction Chief Financial Officer	Date: _____ Phone: _____ Fax: _____ Email: _____
Printed Name: _____	
16. Signature of Jurisdiction Signatory Official	Date: _____ Phone: _____ Fax: _____ Email: _____
Printed Name and Title: _____	
17. DHSEM Signatory Official (Name and Title)	Date: _____

**Grant Terms and Conditions (continued from Section 10 of Award)**

The CITY OF SANTA FE has been awarded \$194,420.00 shall be used to support activities essential to the ability of states, territories, and urban areas to prepare for, prevent, and respond to terrorist attacks and other all-hazards events. The scope of work is as follows:

- Project 1: LETPA: 105,000.00 SWAT Type II Small Recon Robot w/attachments /Training
- Project 2: 89,420.00 IMT Type III Equipment/Training/Exercise

The performance period of this grant award is November 13, 2013 through November 30, 2014. CITY OF SANTA FE cannot sub-grant all or any part of this award to any other entity or organization. All awards require confirmation within the first reporting quarter that expenditures in the budget category toward projects will be made, or DHSEM will execute de-obligation of the funds.

(A) **Changes to Award:** All change requests must be submitted in writing, or electronically to the DHSEM grant specialist, accompanied by a justification narrative and budget/spending plan, for review and approval. Changes must be consistent with the scope of the project and grant guidelines. Requests for changes will be considered only if the reporting requirements are current, and if terms and conditions have been met at the time the request. Changes in the programmatic activities, or purpose of the project, changes in key persons specified on the grant award, contractual services for activities central to the purposes of the award, requests for additional funding, change in project site, or release of special conditions will result in an amendment to this award.

(B) **NEPA/EHP Compliance;** The recipient must provide information to NMDHSEM to assist with the legally-required environmental planning and historic preservation (EHP) review and to ensure compliance with the applicable EHP laws and Executive Orders (EO). These EHP requirements include but are not limited to National Environmental Policy Act, National Historic Preservation Act, Endangered Species Act, E 11988 Floodplain Management, EO 11990 Protection of Wetlands, and EO 12898 Environmental Justice. The recipient must comply with all Federal, State and Local EHP requirements and obtain applicable permits and clearances.

Recipients shall not undertake any activity from the project that would result in ground disturbance, facility modification, or relates to the use of sonar equipment without the prior approval of FEMA. These include but are not limited to communications towers, physical security enhancements involving ground disturbance, new construction, and modifications to buildings that are 50 years old or older. Recipient must comply with all mitigation or treatment measures required for the project as the result of FEMA's EHP review. Any change to an approved project description will require re-evaluation for compliance with EHP requirements before the project can proceed. If ground disturbing 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 FEMA and the appropriate State Historic Preservation Office. Initiation of these activities prior to completion of FEMA's EHP review will result in a non-compliance finding and may not be eligible for grant funding.

(C) **Reporting Requirements:** CITY OF SANTA FE shall submit timely quarterly *Financial Progress Reports* to the Grant Specialist at DHSEM. For grant awards, the sub-recipient is required to submit a quarterly Performance Report to the Program Specialist within the Preparedness Bureau. Instructions and blank forms are attached and are located electronically at [www.nmdhsem.org](http://www.nmdhsem.org), and may be reproduced. Jurisdictions must check the web site quarterly for most current forms. **Use of outdated forms will not be accepted.** Quarterly reports are due: January 30, April 30, July 30, and October 30 for each calendar year the grant is open. The final report is due the following quarter after all funds have been reimbursed to the jurisdiction. *Financial Progress Reports* shall describe the status of the funds, show encumbrances, and receipts of program income, cash or in-kind contributions to the project, whether or not a local match is required. The *Final Narrative Report* is a summary report, evaluating project activities and measuring performance against project goals and objectives for the entire performance period, and is required *in addition* to the last quarterly report.

**(D) Additional Reporting Requirements:** The applicant must immediately report in writing to the DHSEM Grant Specialist any alleged acts or allegations of fraud or misappropriation of funds for work authorized under this Sub-Grant Agreement. This extends to reporting any legal action, lawsuit, bankruptcy, or other action that may jeopardize the successful completion of any authorized project.

**(E) Reimbursements:** Submission of a request for reimbursement must be accompanied by a financial report form. Reimbursement shall be based upon authorized and allowable expenditures consistent with project narrative and grant guidelines, and submission of timely *Financial Progress Reports*. Payments may be withheld pending correction of deficiencies. Reimbursement of expenditures may be requested at any time within the performance period. Expenditures must be supported with source documentation (e.g. copies of invoices, receipts, timesheets with name/wage/hours, cost allocation, warrants, etc.). Grant staff will not process reimbursement, until performance/fiscal quarterly reports are submitted.

- **Personnel Costs:** FOR EMPG GRANTS ONLY - Payroll reports signed and certified by the chief financial officer that capture the employee name, position, coded allocation to the project, amount paid, are acceptable. Staff may not self-certify their own time and wages. CITY OF SANTA FE shall retain all supporting payroll records, including time and attendance records signed by the employee and supervisor and copies of warrants as per the recordkeeping requirements.
- **Contracts:** All sole-source procurements, single vendor response to a competitive bid, and contracts over \$100,000 require DHSEM pre-approval prior to implementation. Requests for reimbursement for contractual services must be accompanied by the relevant contract.
- **Local Match:** Local matching funds must clearly support the source, the amount, and the timing of all matching contributions.
- **Equipment:** Allowable equipment categories are listed on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB) at [www.rkb.mipt.org](http://www.rkb.mipt.org). Documentation required per instructions attached to DHSEM quarterly reports.
- **Travel:** All reimbursable travel must be pre-approved by DHSEM 30 days prior to travel date.
- **Per Diem:** Reimbursements for local jurisdictions cannot exceed the rates of the New Mexico Mileage and Per Diem Act.
- **Training:** Requires DHSEM pre-approval 30 days prior to registering or participating in training opportunities.
- **Exercise:** Requires submission of an After-Action Report/Improvement Plan within 30 days after conduct of the exercise.
- **Food and Beverages:** Per National Preparedness Directorate (NPD) allowances, food and/or beverage expenses provided by recipients are allowable costs if:
  - (1) The food and/or beverages are provided to participants at training sessions, meetings, or conferences that are allowable activities under the NPD program guidelines; and
  - (2) Expenses incurred for food and/or beverages, and provided at training sessions, meetings, or conferences, satisfy the following tests:
    - (a) The cost of the food and/or beverages provided is considered to be reasonable;
    - (b) The food and/or beverages provided are subject of a work-related event and work continues after meals are served;
    - (c) Participation by all participants is mandatory; and
    - (d) The food and/or beverages provided are not related directly to amusement and/or social event. **(Any event where alcohol is being served is considered a social event; therefore, costs associated with the event are not allowed).**

**(F) Non-reimbursable Expenses:**

- Transfer of funds between any programs (SHSP, LETPP, CCP, MMRS)
- Contracts, single vendor response to a competitive bid, and procurements > \$100,000 not pre-approved by DHSEM
- Sole source contracts and procurements not pre-approved by DHSEM
- Training and related travel costs not pre-approved by DHSEM
- Construction and renovation
- Indirect costs (p. 5, Financial Progress Report)
- Supplanting (using federal funds to purchase items previously budgeted for with state or local funds)
- Maintenance and/or wear and tear costs of general use vehicles and emergency response apparatus.
- Equipment purchased for an exercise cannot be used for permanent installation and/or beyond the scope of an exercise.
- Hiring of sworn public safety officers to fill traditional public safety duties or to supplant traditional public safety positions and responsibilities
- Weapons and ammunition
- Entertainment and sporting events
- Personal items such as laundry, personal hygiene items, magazines, in-room movies, personal travel, personal phone calls
- Travel insurance, visa, and passport charges
- Lodging costs in excess of Federal or State per diem, as appropriate
- Lunch when travel is wholly within a single day
- Stand-alone working meals
- Bar charges, alcoholic beverages
- Finance, late fees, or interest charges
- Lobbying, political contributions, legislative liaison activities
- Organized fund-raising, including salaries of persons while engaged in these activities
- Land acquisition
- Expenditures not supported with appropriate documentation when submitted for reimbursement. Only properly documented expenditures will be processed for payment. Unsupported expenditures will be returned to the jurisdiction for resubmission.

**(G) Property and Equipment Management:** The sub-recipient shall maintain an effective property management system; safeguards to prevent loss, damage or theft; maintenance procedures to keep equipment in good condition; and disposition procedures. A *Property Inventory Report and a Grant Funded Typed Resource Report* shall be submitted to DHSEM bi-annually each **June 30** and **December 30** with the *Financial Progress Report* during the performance period, and continued submission is required bi-annually until final disposition of the equipment. The sub-recipient shall, when practical, prominently display the following on any equipment purchased with award funds: ***Purchased with funds provided by the U.S. Department of Homeland Security.*** No equipment purchased with these grant funds may be assigned to other entities or organizations without the expressed approval in writing from DHSEM, prior to the jurisdiction's encumbrance or expenditure for that equipment.

**(H) Procurement:** Procurement shall comply with local procurement policies and procedures, and conform to applicable State and Federal law and the standards identified in the Procurement Standards Sections of *28 CFR Parts 66 and 70, and 2 CFR Part 215 "Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments."* Contractors that develop or draft specifications, requirements, Statements of Work, and/or Requests for Proposals (RFP) for a proposed procurement shall be excluded from bidding or submitting a proposal to compete for the award of such procurement. Local bidder's preference is not allowed for federally funded procurements. Procurement transactions shall be conducted

to provide maximum open and free competition. **Each sole-source procurement, single vendor response to a competitive bid, and all purchases require prior approval of DHSEM.** DHSEM has provided a summary of documentation required for levels of procurement and attached it to the instructions on the quarterly *Financial Progress Reports*.

**(I) Contracts:** Any contract entered into during this grant period shall comply with local, State and Federal government contracting regulations. Contracts for professional and consultant services must include local, State and Federal government required contract language, a project budget, and require pre-approval by DHSEM prior to implementation. Contract deliverables must meet the intent of the grant application and grant requirements. Justification is required for compensation for individual consultant services, which must be reasonable and consistent with the amount paid for similar services in the market place. Detailed invoices, and time and effort reports are required for consultants. A summary of documentation required for levels of contracting is attached to the instructions on the quarterly *Financial Progress Reports*.

**(J) Publications:** Publications created with funding under this grant shall prominently contain the following statement: ***This Document was prepared under a sub-grant from the U.S. Department of Homeland Security, and the New Mexico Department of Homeland Security and Emergency Management. 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 the U.S. Department of Homeland Security or the State of New Mexico.***

**(K) Audit Requirements:** As the Federal grant recipient, the State of New Mexico requires a sub-recipient **expending \$500,000 or more** in Federal funds in the organization's fiscal year to conduct an organization-wide audit in accordance with *OMB Circular A-133*. CITY OF SANTA FE will permit the State of New Mexico Grant and Program officials and auditors to have access to the sub-recipient's and third-party contractors' records and financial statements as necessary for the State of New Mexico to comply with *OMB Circular A-133*. Copies of audit findings must be submitted to DHSEM within 30 days after CITY OF SANTA FE receives its audit report, or within a 9-month period of the grant closeout date, whichever is earlier, in accordance with *2 AAC 45.010*. Include the Federal agency name, program, grant number, and year; the CFDA title and number; and the name of the pass-through agency.

**(L) Recordkeeping Requirements:** Grant financial and administrative records shall be maintained for a period of three (3) years following the date of the closure of the grant award, or audit if required. Time and effort, personnel and payroll records for all individuals reimbursed under the award must be maintained. Property and equipment records shall be maintained for a period of three (3) years following the final disposition, replacement or transfer of the property and equipment.

**(M) Performance Measures:** Quarterly *Progress Reports* shall demonstrate performance and progress relative to: Acceptable performance on applicable critical tasks in Exercises using approved scenarios

1. Progress in achieving project timelines and milestones
2. Percent measurable progress toward completion of project
3. How funds have been expended during reporting period, and explains expenditures related to the project

**(N) Sub-recipient Monitoring Policy:** Periodic monitoring is required to ensure that program goals, objectives, timelines, budgets and other related program criteria are being met. DHSEM reserves the right to periodically monitor, review and conduct analysis of the financial, programmatic and administrative policies and procedures such as, accounting for receipts and expenditures, cash management, maintaining adequate financial records, means of allocating and tracking costs, contracting and procurement policies and records, payroll records and means of allocating staff costs, property/equipment management system(s), progress of project activities, etc. This may include desk and field audits. Technical assistance is available from DHSEM staff.

**(O) Penalty for Non-Compliance:** For the reasons listed below, special conditions may be imposed, reimbursements may be partially or wholly withheld, the award may be wholly or partly suspended or terminated, or future awards, reimbursements and award modifications may be withheld. DHSEM may institute the following, but is not limited to, withholding authority to proceed to the next phase of a project, requiring additional or more detailed financial reports, additional project monitoring, and/or establish additional prior approvals. DHSEM shall notify the sub-recipient of its decision in writing stating the nature and the reason for imposing the conditions/restrictions, the corrective action required and timeline to remove them, and the method of requesting reconsideration of the imposed conditions/restrictions. The sub-recipient must respond within 5 days of receipt of notification.

- a. Unwillingness or inability to attain project goals
- b. Unwillingness or inability to adhere to Special Conditions listed in Block 12
- c. Failure or inability to adhere to grant guidelines and federal compliance requirements
- d. Improper procedures regarding contracts and procurements
- e. Inability to submit reliable and/or timely reports
- f. Management systems which do not meet federal required management standards

**(P) Termination for Cause:** If performance is not occurring as agreed, the award may be reduced or terminated without compensation for reduction or termination costs. DHSEM will provide 5 days notice to the sub-recipient stating the reasons for the action, steps taken to correct the problems, and the commencement date of the reduction or termination. DHSEM will reimburse the sub-recipient only for acceptable work or deliverables, necessary and allowable costs incurred through the date of reduction or termination. Final payment may be withheld at the discretion of DHSEM until completion of a final DHSEM review. Any equipment purchased under a terminated grant may revert to DHSEM at the option of DHSEM.

**(Q) Termination for Convenience:** Any project may be terminated upon convenience, in whole or in part, for the convenience of the Government. The U.S. Department of Homeland Security (USDHS) and the DHSEM, by written notice, may terminate this grant, in whole or in part, when it is in the Government's interest. Allowable costs obligated and/or incurred through the date of termination shall be reimbursed. Any equipment purchased under a terminated grant may revert to DHSEM at the option of DHSEM.

**(R) Project Implementation:** Due to the competitiveness of the Homeland Security grant program, approved projects shall be ready-to-go. Project implementation shall begin within the first reporting quarter.

- a. If a project cannot be operational within the first reporting quarter of the approved award date, the sub-grantee must submit a written statement signed by the signatory officials to DHSEM, justifying the implementation delay, expected starting date, and a formal request to

extend the project start date past the first reporting quarter. At the discretion of DHSEM, the grant award is subject to cancellation and funds may be de-obligated and reallocated to other projects.

**Grant Requirements, Assurances and Agreements (continued from Section 11 of the Award)**

(A) The performance period for this grant award is *November 13, 2013 through November 30, 2014*. Monies may not be obligated outside of this time period. An obligation occurs when funds are encumbered, as with a purchase order and/or commitment of salaries and benefits. All obligated and encumbered funds must be liquidated within 45 days of the end of the performance period when the *Final Progress Reports* are due.

(B) The sub-recipient shall comply with the requirements and restrictions of the FY2013 State Homeland Security Grant Guidance, State Guidelines, and the State Homeland Security Strategy. By signing this obligating award document, the sub-recipient certifies it has read, understood and accepted these documents as binding.

(C) The signature of the signatory officials on this award certifies that all financial expenditures, including all supporting documentation submitted for reimbursement, have been incurred by the jurisdiction, and are eligible and allowable expenditures consistent with the grant guidelines for this project. The sub-recipient shall follow the financial management requirements imposed on them by DHSEM, which includes the requirements of U.S. Department of Homeland Security.

(D) The signature of the signatory officials on this award attests to **CITY OF SANTA FE understanding, acceptance, and compliance with Lobbying; Debarment, Suspension and other responsibility matters; Drug-free Workplace; Conflict of Interest, and Non-Supplanting certifications. Federal funds will not be used to supplant State or local funds. Federal funds must be used to supplement existing funds to augment program activities, and not replace those funds which have been appropriated in the budget for the same purpose.**

Potential supplanting may be the subject of application and pre-award, post-award monitoring, and audit.

(E) The CITY OF SANTA FE shall ensure the accounting system used allows for separation of fund sources. These grant funds cannot be commingled with funds from other federal, state or local agencies, and each award is accounted for separately.

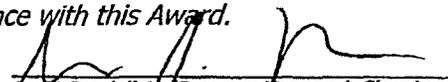
(F) The CITY OF SANTA FE shall comply with Federal Civil Rights Laws and Regulations: *Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, Age Discrimination Act of 1975, Americans with Disabilities Act of 1991*. CITY OF SANTA FE will take reasonable steps to ensure Limited English Proficient (LEP) persons have meaningful access to its programs and activities. *Executive Order 13347 Individuals with Disabilities in Emergency Preparedness* requires government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism.

(G) The CITY OF SANTA FE certifies that it has an Affirmative Action Plan/Equal Employment Opportunity Plan (for USDHS/DOJ grants). An EEOP is not required for recipients of less than \$25,000.00 or fewer than 50 employees.

(H) The CITY OF SANTA FE certifies that its employees are eligible to work in the U.S. as verified by Form I-9, Immigration & Naturalization Service Employment Eligibility.

- (I) It is the responsibility of CITY OF SANTA FE as the recipient of these federal funds to fully understand and comply with the requirements of:
- a. 2CFR Part 215, *Grants and Cooperative Agreements with State and Local Governments* at [www.whitehouse.gov/omb/circulars/a102/a102.html](http://www.whitehouse.gov/omb/circulars/a102/a102.html).
  - b. 2 CFR Part 225 *Cost Principles for State, Local and Indian Tribal Governments* at [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html).
  - c. 2 CFR Part 215 *Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations* at [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html)
  - d. 2 CFR Part 220 *Cost Principles for Educational Institutions* at [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html)
  - e. 2 CFR Part 230 *Cost Principles for Non-Profit Organizations* at [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html)
  - f. 44 CFR Emergency Management and Assistance
  - g. OMB Circular A-133 *Audits of States, Local Governments and Non-Profit Organizations* at [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html)
  - h. CFR Title 48 Federal Acquisition Regulations Systems Chapter 1 Part 31 *Contract Cost Principles and Procedures*
  - i. Common Rule: *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*. Incorporated into individual Federal agency's *Code of Federal Regulations*.
  - j. OGO *Financial Guide* [www.dhs.gov/dhspublic/interweb/assetlibrary/Grants\\_FinancialManagementGuide.pdf](http://www.dhs.gov/dhspublic/interweb/assetlibrary/Grants_FinancialManagementGuide.pdf)
  - k. New Mexico State Procurement Code <http://www.conwayareene.com/nmsu/lpext.dll?f=templates&fn=main-h.htm&2.0>
  - l. New Mexico Administrative Code Title 2 – Public Finance [http://www.nmcp.state.nm.us/NMAC\\_title02/title02.htm](http://www.nmcp.state.nm.us/NMAC_title02/title02.htm)

*We certify we have read, understood, and accept the Grant Terms and Conditions, the Grant Requirements, and Assurances and Agreements, in accordance with this Award.*

  
Grant Specialist's/Program Manager's Signature

\_\_\_\_\_  
Chief Financial Officer's Signature

\_\_\_\_\_  
Signatory Official's Signature

CITY OF SANTA FE:

David Cozz  
DAVID COSS, MAYOR

3-6-14  
DATE

ATTEST:

Yolanda Y. Vigil  
YOLANDA Y. VIGIL, CITY CLERK  
ECMTG 2/26/14

APPROVED AS TO FORM:

Justine for  
KELLEY A. BRENNAN, INTERIM CITY ATTORNEY 12/2/13

APPROVED:

[Signature]  
MARCOS A. TAPIA, FINANCE DIRECTOR 3/19/14



**City of Santa Fe  
Summary of Contracts, Agreements, & Amendments**

**Section to be completed by department for each contract or contract amendment**

1 FOR: ORIGINAL CONTRACT  or CONTRACT AMENDMENT

2 Name of Contractor N/A

3 Complete information requested  Plus GRT  
 Inclusive of GRT

Original Contract Amount: \$194,420.00

Termination Date: November 30, 2014

Approved by Council Date: \_\_\_\_\_

or by City Manager Date: \_\_\_\_\_

Contract is for: 2013 State Homeland Security Grant Program sub-grant agreement

Amendment # \_\_\_\_\_ to the Original Contract# \_\_\_\_\_

Increase/(Decrease) Amount \$ \_\_\_\_\_

Extend Termination Date to: \_\_\_\_\_

Approved by Council Date: \_\_\_\_\_

or by City Manager Date: \_\_\_\_\_

Amendment is for: \_\_\_\_\_

4 History of Contract & Amendments: (option: attach spreadsheet if multiple amendments)  Plus GRT  
 Inclusive of GRT

Amount \$ 194,420.00 of original Contract# \_\_\_\_\_ Termination Date: 11/30/2014

Reason: New Subgrant Agreement

Amount \$ \_\_\_\_\_ amendment # \_\_\_\_\_ Termination Date: \_\_\_\_\_

Reason: \_\_\_\_\_

Amount \$ \_\_\_\_\_ amendment # \_\_\_\_\_ Termination Date: \_\_\_\_\_

Reason: \_\_\_\_\_

Amount \$ \_\_\_\_\_ amendment # \_\_\_\_\_ Termination Date: \_\_\_\_\_

Reason: \_\_\_\_\_

Total of Original Contract plus all amendments: \$ 194,420



City of Santa Fe
Summary of Contracts, Agreements, & Amendments

5 Procurement Method of Original Contract: (complete one of the lines)

RFP# \_\_\_\_\_ Date: \_\_\_\_\_

RFQ [ ] \_\_\_\_\_ Date: \_\_\_\_\_

Sole Source [ ] \_\_\_\_\_ Date: \_\_\_\_\_

Other Grant Application \_\_\_\_\_

6 Procurement History: First year of sub-grant agreement.
example: (First year of 4 year contract)

7 Funding Source: N/A BU/Line Item: \_\_\_\_\_

8 Any out-of-the ordinary or unusual issues or concerns:
None
(Memo may be attached to explain detail.)

9 Staff Contact who completed this form: Andrew J. Phelps

Phone # 505-955-6537

10 Certificate of Insurance attached. (if original Contract) [ ]

Submit to City Attorney for review/signature
Forward to Finance Director for review/signature
Return to originating Department for Committee(s) review or forward to City Manager for review
and approval (depending on dollar level).

To be recorded by City Clerk:

Contract # \_\_\_\_\_

Date of contract Executed (i.e., signed by all parties): \_\_\_\_\_

Note: If further information needs to be included, attach a separate memo.

Comments: \_\_\_\_\_





**New Mexico Homeland Security and Emergency Management  
REQUEST TO USE FEDERAL GRANT FUNDS  
For Training, Conferences or Exercise Activities**

NMDHSEM, State Administrative Agency (SAA)  
PO Box, 27111, Santa Fe, NM 87502

**\*\*PLEASE TYPE OR PRINT CLEARLY – COMPLETE ALL SECTIONS\*\***

Please indicate the type of project to be funded with grant funds.

- Training** – Complete this Form AND Section 1 AND Attach Course Description and Registration Information.
- Conference** – Complete this Form AND Section 2 AND Attach Conference Description, Agenda, and Registration Information.
- Exercise** – Complete this Form AND Section 3 AND requested attachments.

REQUESTER INFORMATION	
<b>Requester Name:</b> Andrew Phelps	<b>Date of Request:</b> 3/21/14
<b>Agency/Program/Organization:</b> Santa Fe PD via Santa Fe OEM	
<b>Mailing Address:</b> PO Box 909	
<b>City:</b> Santa Fe	<b>Zip Code:</b> 87504
<b>Email:</b> ajphelps@santafenm.gov	
<b>Phone:</b> 505-955-6537	<b>Fax:</b>
GRANT ACTIVITY INFORMATION	
<b>SUB-GRANT NUMBER:</b>	See your jurisdiction's sub-grant agreement. N/A for Off-Cycle requests. <b>EMW-2013-SS-00152-S01-City of Santa Fe</b>
<b>PROJECT TITLE &amp; NUMBER:</b>	See your jurisdiction's sub-grant agreement. N/A for Off-Cycle requests. <b>Project 1: SWAT Training and Equipment</b>
<b>MATCH FUNDS AVAILABLE?</b>	Match must be non-federal funds. Contact your Local Preparedness Coordinator for more information. <input type="checkbox"/> Yes <input type="checkbox"/> No
<b>TRAINING COURSE, CONFERENCE TITLE OR EXERCISE NAME</b>	<b>Type II Advanced SWAT Course</b>
<b>TARGET CAPABILITIES ADDRESSED BY ACTIVITY:</b>	Should match jurisdiction's grant application OR for Off-Cycle requests, see Attachment A – Resources for list of capabilities. On-Scene Security and Protection:
<b>ACTIVITY DATE(S):</b> <b>LOCATION:</b>	<b>July 7-24, 2014</b>
<b>JUSTIFICATION</b>	How will activity contribute to building / supporting capabilities for your program? Tie this justification to the Target Capability Critical Task identified in the jurisdiction's application. For Off-Cycle requests see Target Capabilities List at <a href="http://www.fema.gov/pdf/government/training/tcl.pdf">http://www.fema.gov/pdf/government/training/tcl.pdf</a> .  This course will support our current Type II SWAT program, the only Type II (or higher) SWAT team north of Albuquerque in New Mexico.
<b>PARTICIPANT OR AUDIENCE DISCIPLINE:</b> <b>(CHECK ALL THAT APPLY)</b>	<input type="checkbox"/> ADMINISTRATION/ELECTED <input type="checkbox"/> AGRICULTURE <input type="checkbox"/> EMERGENCY COMMUNICATIONS <input type="checkbox"/> EMERGENCY MANAGEMENT <input type="checkbox"/> EMS <input type="checkbox"/> FIRE/HAZMAT <input type="checkbox"/> HEALTH <input type="checkbox"/> HOSPITAL <input checked="" type="checkbox"/> LAW ENFORCEMENT <input type="checkbox"/> NGO/VOAD <input type="checkbox"/> PUBLIC WORKS <input type="checkbox"/> TRANSPORTATION <input type="checkbox"/> OTHERS _____

**AUTHORIZATION SIGNATURES**

**Local Authorization: (Name, Title and Signature of Program or Agency Head).**

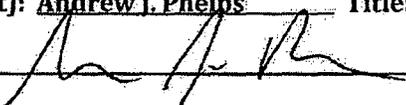
*The signatory below represents and warrants that the signor has the authority to allocate the use of grant funds and execute the Request for Use of Grant Funds on behalf of the entity for the activity specified above.*

**I certify that:**

- all information provided in this application is true and correct;
- all funds will be used only for the project and purposes identified;
- the grant funds for the activity specified, are in support of the Jurisdiction's 3-Year Training and Exercise Plan;
- The Jurisdiction has completed and is compliant with all National Incident Management Systems Requirements and Reports.

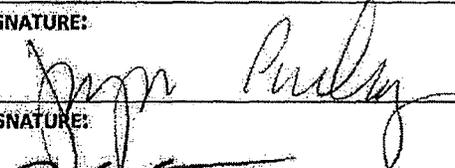
**Total Amount Requested** (Total of all funds requested in Section(s) 1, 2 or 3) \$56,400.00

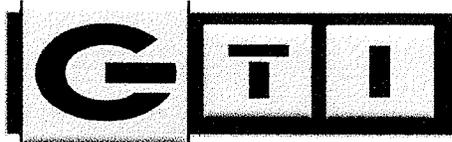
**Name (Print):** Andrew J. Phelps      **Title:** Emergency Manager

**Signature:**       **Date:** 3/21/14

**Please Complete & Submit this form along with the Requested Attachments. You must complete and return Attachment B -Training and Conference Evaluation Form with your Reimbursement Package.**

\*\*\*\*\*  
\*FOR NMDHSEM USE ONLY\*

STATE TRAINING AND EXERCISE APPROVED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO DATE: <u>3/24/2014</u>	SIGNATURE:  <i>programmatic approval</i>
GRANTS/FINANCE APPROVAL APPROVED <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO DATE: <u>2-26-14</u>	SIGNATURE: 
CABINET / DEPUTY SECRETARY APPROVED <input type="checkbox"/> YES <input type="checkbox"/> NO DATE: _____	SIGNATURE: <i>Not needed.</i> <i>Funds available in sub-grant agreement</i>



Success is not by Chance

## Government Training Institute / Course Proposal

<b>Agency Requesting Training:</b>	Santa Fe		
<b>Agency POC:</b>	Andrew Padilla	<b>Phone:</b>	505-629-8184
<b>Agency POC Email:</b>	aapadilla@santafenm.gov	<b>Fax:</b>	

### Proposal for Type 2 SWAT

**Santa Fe will provide:**

Classroom for 18 Days, Standard Outdoor Range for 2 Days, Building(s) with multiple rooms and hallways where Simunition training can occur for 13 days, rappel / fast rope tower for 3 days, Equipment requirements for each student include: Agency issued tactical uniform for 18 days (All tactical duty equipment that is normally worn on the operator should be worn each day.), Eye protection, Ear protection, NFDD pouches, Flashlight, Ballistic helmet, Ballistic vest, Holster, Magazine pouches, Level C PPE Suit, Negative and/or positive pressure respiratory protection system. A Rifle and a Handgun.  
Transportation to each training facility

**GTI will provide:**

Instructors at a 1:12 Ratio, Student manuals, Student certificates, Simunition conversion kits, Man marking rounds for all practical exercises, targets for range / practical exercises and All additional specialized equipment needed for the course.

**Comments:**

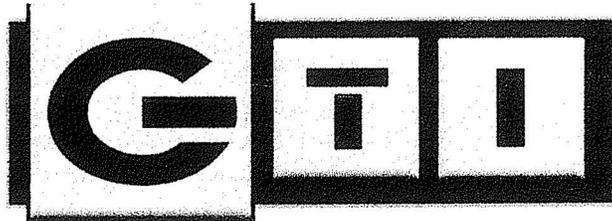
This proposal is for up to 12 students to attend GTI's Type II Advanced SWAT course ID-002-RESP training to take place in or near Santa Fe, NM. Dates July 7-24, 2014. All MTT fees are included.  
This proposal will expire July 24, 2014

**To accept proposed training, please contact your GTI representative:**

<b>Final Proposal Cost:</b>	\$56,400.00	<b>Date:</b>	03/11/14
<b>Prepared By:</b>	Jason Kemper	<b>Email:</b>	jkemper@gtitraining.org

If training proposal is accepted, training dates must be pre-approved by GTI a minimum of 1 month in advance, unless otherwise specified above. This proposal is valid for 60 days from date above.

**Government Training Institute - Boise, ID / Barnwell, SC**  
(866) 938-5510 Fax: (208) 938-5507



*Success is not by Chance*

## Type II SWAT Operator's School Course Description





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## Program Overview

The preparedness of State and Local SWAT Teams in the U.S. is one of the major initiatives of the Department of Homeland Security. Under the Department of Homeland Security typing system, there are four typing classifications ranging from a Type IV team, the least equipped, to a Type I team, the most equipped and capable. The typing system has been created to flow with the overall Incident Command System (ICS), which was originally developed and utilized by the Federal agencies responsible for wild land fire protection, the U.S. Forest Service, and the Department of Interior Offices, including the Bureau of Indian Affairs, Bureau of Land Management, Fish and Wildlife Service, and National Park Systems. Because of their expertise in the ICS system, personnel from these agencies are called upon for assistance in emergency matters outside of their normal scope of duties, such as the September 11, 2001, attacks on the World Trade Center and the shuttle explosion over Texas.

The Government Training Institute proudly announces the first SWAT Team training system in the United States to address the Department of Homeland Security SWAT Team Classification System. This course is approved to receive U.S. Department of Homeland Security (D.H.S.) grant funds, allowing state and local law enforcement agencies to attend the training using D.H.S. grant monies to pay for tuition, overtime, meals, lodging, and associated backfill costs. While the class is approved for the use of these funds at the federal level, each state's Point of Contact (POC) must also approve the use of the funds for officers to attend the course.

To achieve the status this 161.5 hour / 18 day course has obtained from D.H.S.'s Office of Domestic Preparedness (O.D.P.), the Government Training Institute had to go through a lengthy and thorough 5 phase review process that took 6 months to complete.

This course is intended to supplement, not supplant, existing resources. This course assumes that the students have attended a reputable Basic SWAT course and/or have served in their capacity as an operational member of their SWAT team for a period of time. Several modules in this course could be considered refresher training, depending on the level of initial training the student has already received. However, the "refresher" modules in this course examine CBRNE environments and address issues, difficulties, and tactical considerations while in a protective PPE posture. Students will don, doff, and conduct tactical operations in PPE daily throughout this course.



## Benefits of the Course

The need for a definitive SWAT typing system was realized upon the completion of numerous joint readiness exercises under the Unified Command Structure. By creating a SWAT typing system, commanders at an incident can quickly determine what resources are available to them based upon the equipment, resources, and training levels of various SWAT teams.

Agency heads, SWAT Team Leaders and SWAT operators will benefit from this course by attending training that:

- Addresses current case law
- Is approved by the federal government for utilization of DHS funds
- Is the new national standard for SWAT team training
- Addresses the human body's true response when encountering perceived deadly threats
- Addresses and utilizes the newest technologies available
- Thoroughly addresses PPE and WMD issues

## Course Details

The Type II SWAT Operator's Course is the most comprehensive SWAT program ever to be offered to state and local agencies. The program covers 44 separate modules in 18 days. Each student will be issued a training manual and a student progress book that includes copies of all of the student's written exams, and practical application examinations.

Students who successfully graduate the Type II SWAT Operator's Course will have earned it. There are stringent standards that all students must achieve in order to pass the course. They will be tested daily, and on occasion, several times a day. Every student must prove that they are capable of being an operational member of a Type II SWAT team.

At the conclusion of this course, students will have the skills, abilities, and knowledge to effectively serve as a team member performing tactical missions that would commonly be conducted by a Type II SWAT Team, including conducting tactical operations in a CBRNE environment absent vapors. (All of the skills taught in this course are extremely perishable and will require the participants to continue with on-going training.)

## Student Performance and Evaluations

Student performance will be evaluated by a variety of methods. These methods include:

- Written Pre-Test
- Written Daily Quizzes
- Daily Practical Exercise Evaluations
- Practical Knot Tying Test
- Practical Seat (Rappel Harness) Inspection Test
- Final Comprehensive Exercise
- Written Final Exam



Students must maintain a daily score of 70% as well as complete each course with a minimum of 70% average in order to receive a *Certificate of Training*.

Written Pre-Test is a multiple-question closed-book test that will evaluate the base knowledge of students prior to their receiving any instruction. The Pre-Test will not be utilized as a criterion for course completion and graduation; however, the results of this test will be recorded and compared to the Written Post-Test. (The pre-test will be handed out to the students at the time of testing.)

Written Daily Quizzes are small closed-book quizzes with questions based on homework assignments provided to the students at the end of class the day prior. Most mornings will begin with students taking a closed-book written quiz in which they are provided 20 minutes to complete. Quiz scores are recorded and used in calculating final grades. (The quizzes will be handed out at time of testing.)

Written Final Exam Each of the three SWAT Typing courses has its own multiple-question closed-book exam comprised of a broad base of questions derived from the student manual module enabling objectives from within the specific modules covered under the given SWAT Typing course. This exam score is recorded and calculated toward final grades. (The exam will be handed out at the time of testing.)

Practical Knot Tying Test: The student will be required to tie several different types of knots required to set up ropes to various anchor points.

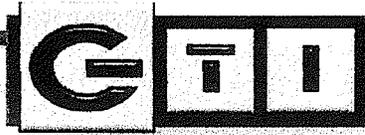
Practical Seat (Rappel Harness) Inspection Test: The student will be required to inspect two individuals in harnesses and attached to ropes.

Daily Practical Exercise Evaluations are completed while students are performing practical exercises following classroom instruction on the particular topic of evaluation. Students will be given time to watch the instructors demonstrate the exercise and will be provided time to perform the necessary tasks in a “practice” mode before the students will be evaluated. When the instructor(s) feels that students have been provided enough time to rehearse (times will fluctuate based upon the ability levels of the group), the instructor will announce to the students that practice time is over and evaluations are beginning.

These evaluations examine some or all of the following:

- Initiative
- Participation
- Tactical and strategic actions
- Adherence to directions and directives
- Safety
- Communications
- Team work

Daily Practical Exercise Evaluations are examined first on a simple Pass/Fail basis. If a student receives a failing mark for any category, that student will be informed of the grade/mark, will receive explanation from the evaluator, and will be provided the opportunity to correct the action. If the student fails to receive a passing mark after three attempts (with the exception of certain safety violations further



explained below), the student will be excused from the class and provided the opportunity to retake the class at another date and time. The Daily Practical Exercise Evaluations will also count towards the students' final scores. For every category, students are given 3 points for successful completion after the first attempt, 2 points after the second attempt, and 1 point after the third attempt.

Safety Evaluations will be performed every day, including the day of the final scenario. Certain safety violations will be addressed immediately by the instructors/evaluators. These violations, depending on severity, may be grounds for dismissal from the class. The safety violations are split into three categories, minor (category I), moderate (category II), and major (category III). If a student conducts any safety violation, the offense will be recorded on a daily safety violation sheet. Category I offenses can be violated 3 times before the student is called before the *Safety Review Board*. Category II offenses can be violated only twice before the student is called before the *Safety Review Board*, and category III offenses are called before the *Safety Review Board* on the first offense. Category III offenses are as follows:

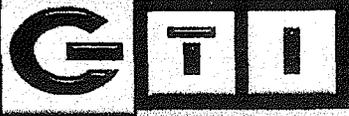
- Muzzling/Lasering any operator, evaluator, or spectator
- Violating 1 meter rule (engagement or aiming)
- Placing finger in trigger well outside of target engagement
- Failure to identify or consider backstop
- Possessing live ammunition or non-approved firearm or other weapon in non-designated area
- Failure to follow directions or directive from instructors or safety staff
- Improper, unjustified, or excessive force

Safety Review Board: If any student reaches the level of safety violations that is unacceptable (one category III, two category II, or three category I), his/her violation report will be immediately forwarded to the *Safety Review Board* for review. The *Safety Review Board* is made up of all course instructors/evaluators involved in the class and is chaired by the most senior instructor who did not present the violation to the board.

The *Safety Review Board* will evaluate the *Safety Evaluation* report and take both written and oral statements from the instructor who witnessed the violation(s). The board will also take oral statements from the student. If the student denies the allegation, fellow student witnesses will be brought in before the board and their oral testimonies will be heard by the board. After hearing the statements from both parties, the Board will make a decision as to whether the student will be dismissed from the class.

The Final Comprehensive Exercise will test participants' knowledge, skills, and abilities obtained from this course. Participants are evaluated as individual members of a team and as a consolidated team during this exercise. The exercise will consist of a high-risk SWAT Operation that will require the students to perform the following actions (which they will be rated on):

- Receive initial intelligence briefing
- Establish perimeter/containment
- Complete threat report/analysis
- Arrange for CBRNE materials testing and air sampling
- Form Deliberate Assault Team
- Form Scouting Team
- Conduct preliminary scene assessment
- Conduct the following scout missions:



- Intelligence Scout
- Map/Route Scout
- Area Scout
- Target Scout
- Daytime Scout (if applicable)
- Nighttime Scout (if applicable)
- Time of Operation Scout (if applicable)
- Update Scout (if applicable)
- Conduct a 360-degree visual sweep for command detonation, secondary devices, and booby traps
- Label the building and ports
- Attempt to gather blueprints and/or floor plans
- Interview/interrogate pertinent parties involved
- Arrange for interpreters as required
- Coordinate efforts with support agencies (as applicable) to include:
  - Other law enforcement agencies
  - Fire
  - EMS
  - Haz-Mat
  - Utilities
  - Aerial support
  - EOD
- Complete safety plan including medical monitoring
- Choose approach
- Rapidly form and deploy Emergency Assault (IAT) teams (as applicable)
- Conduct briefings on available information
- Assign weapon systems
- Assign responsibilities
- Recommend placement of TIC/TOC/IC
- Recommend placement of Sniper Teams
- Formulate Tactical Action Plan, conduct briefing on the plan, and coordinate plan with IC/OSC and appropriate teams/agencies/organizations
- Choose LCC and identify to team
- Archive all data in an appropriate format that allows for quick retrieval and subsequent analysis, investigation, and official reports
- Choose and don appropriate PPE
- Deploy the team as planned
- Make approach without compromise
- Make entry
- Clear all threats
- Use appropriate force options

For the Final Comprehensive Exercise, students will be graded on several categories evaluating their performance as individual operators and as members of a team on a scale from 1-5, with 1 being the lowest possible score and 5 being the highest. Students must have an average score of 3 or better to



receive a *Certificate of Training*. (A copy of the Final Comprehensive Exercise Evaluation Sheet will be handed to the students at the time of testing.)

Student Course Performance Packet: Students will be provided with a Student Course Performance Packet. This packet will include scores for the following:

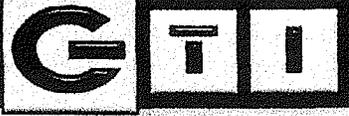
- Written Pre-Test (does not count towards the final grade)
- All Written Daily Quizzes
- Daily Practical Exercise / Safety Evaluation Reports
- Practical Knot Tying Test
- Practical Seat (Rappel Harness)
- Final Comprehensive Exercise Evaluation Sheet
- Written Final Exam
- Final Overall Score

### **Mandatory Equipment and Course Prerequisites**

This course assumes that the students have attended a reputable Basic SWAT course and/or have served in their capacity as an operational member of their SWAT team for a period of time.

All students are required to bring the following equipment/items with them to class daily:

- Writing utensil
- North American Emergency Response Guidebook (NAERG)
- Student manuals (after issued)
- Agency issued Tactical SOP
- Eye protection
- Ear protection
- Ballistic helmet
- Ballistic vest
- Web gear
- Holster
- Magazine pouches
- Tactical vest
- NFDD pouches
- Flashlight
- Weapon mounted light systems (if available)
- Negative and/or positive pressure respiratory protection system
- Level C PPE Suit (charcoal or Tyvek®)
- APR or PAPR user's manual (provided by manufacturer of system)
- Airflow indicators for PAPR systems (if using a PAPR as part of PPE)
- Spare batteries for PAPR system (if using a PAPR as part of PPE)
- Agency issued tactical uniform (All tactical duty equipment that is normally worn on the operator should be worn each day.)
- Rappel equipment will be provided by the Government Training Institute. If a student request to utilize their own equipment, it will be first inspected by GTI personnel.
- Primary weapon system (Range days only)



- Secondary weapon system (Range days only)
- Type II Course Requires 900 rounds of primary weapon ammunition (Range days only)
- Type II Course Requires 500 rounds of secondary weapon ammunition (Range days only)

All equipment must be in good working order.

If the student brings an SCBA system, the agency will be required to have on-site appropriate spare cylinders, a fill station, and qualified support personnel to guarantee that the participant will not be excluded from exercises while they are re-filling or changing out cylinders.

Students must successfully complete all modules of the course to receive a certificate of training. Throughout the course, they will be required to wear their PPE Suits several times while training. It is important to know that students will not be able to don their PPE Suits if any of the following conditions exist:

1. Blood pressure >150/90
2. Resting heart rate >60% of Max HR
3. Respiratory rate of >25 BPM
4. Core Temperature of >99.8F
5. Existence of major rashes or open wounds
6. If the operator is physically ill
7. If the operator has consumed any alcohol within 6 hours or heavy alcohol within 72 hours
8. If the operator consumed any medications that would impair their ability within 24 hours
9. Pregnant operators

Additionally, after doffing PPE, the operator must be able to recover quickly. Post deployment vital criteria are closely evaluated. Operators doffing PPE will not be able to re-don PPE within 24 hours if any of the following conditions exist:

1. Blood pressure >160/100
2. 1st minute HR >85% of Max
3. 3rd minute HR <10 BPM from 1st minute
4. Respiratory rate >30 BPM
5. Temperature >100.4F



## Course Curriculum

### **Module 1 – Introduction and Administration**

Students will receive an overview of the *Type II SWAT* course. Activities for the course are covered; all administrative requirements, such as registration, are completed at this time. Students will be introduced to the instructors and the other students in the class, and will receive their student manuals. All participants will be administered a pre-test to assess their knowledge of course material.

### **Module 2 – Disclaimer**

Students will hear where tactics and techniques for the class were developed and will receive an overview of outside influences and expectations that can affect any operation. Additionally, students will hear how any discrepancies between their policies or SOPs and this training should be dealt with.

### **Module 3 – Written Pre-Test**

Students will take a written pre-test to determine their knowledge of SWAT operations, CBRNE events, and PPE prior to receiving any instruction.

### **Module 4 – Terrorism 101**

This module introduces students to worldwide terrorism. Students will be exposed to the essence of terrorism, terrorist activities, and terrorist groups. At the end of this module, students will be able to identify the characteristics of a terror organization and an act of terrorism and how they differ from both civil crimes and war crimes. Additionally this module begins preparing participants for the mindset they will need for successfully dealing with tactical operations in a terrorist or a CBRNE environment.

### **Module 5 – Weapons of Mass Destruction**

Students will be exposed to Chemical, Biological, Radiological, and Nuclear agent material incidents and will be introduced to the types of harm each weapon can cause. Students will learn self-protection methods and the importance of protection measures.

### **Module 6 – Personal Protective Equipment Levels and Selection**

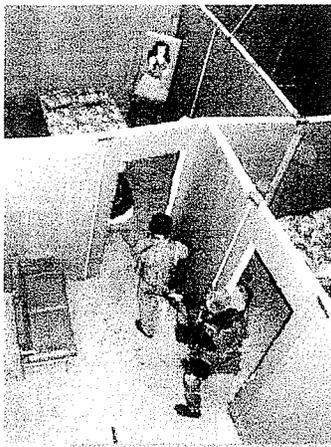
Students will be exposed to selection criteria for choosing PPE, the four separate protection Levels of PPE, advantages and disadvantage to each level, respiratory protection requirements, problems commonly encountered while in PPE, various levels of heat related injuries, and pre-deployment, deployment and post-deployment considerations.



## **Module 7 – Personal Protective Equipment Practical Exercise**

Students will perform donning and doffing procedures with PPE, as well as pre-deployment, deployment, and post-deployment medical screening.

## **Module 8 – Shooting Platforms and Sympathetic Nervous System Response to Threats**



Students will be exposed to the potentially detrimental effects on shooting platforms that are caused by the operator's perception of a threat. Effects of the visual system, fine and complex motor skills, auditory system, circular system, respiratory system, and the ability of the brain to cognitively process threats will be examined in this module. Students will be presented with numerous studies and statistics that show how shooting platforms are affected as a result of the response. Participants will hear how certain shooting platforms are adversely affected with respiratory protection systems and how PPE and respiratory protection systems affect the operator's vision and other body functions like dexterity. Participants will be presented with ideas and thoughts on preparing for and dealing with these effects and will be shown techniques that complement, not conflict, the body's natural response to threats.

## **Module 9 – Shooting Platforms and Sympathetic Nervous System Response to Threats Practical Exercise**

Students will see the effects of SNS response first hand, utilizing training weapon systems. Students will don an APR or PAPR system to see how their shooting platforms are affected by these systems with both primary and secondary weapon systems. Students will also don both inner and outer PPE gloves to experience the impact they have on weapon manipulation.

## **Module 10 – Scouting, Pre-Planning, and Intelligence**

Students will be exposed to the planning process involved with maintaining any tactical unit and conducting any tactical operation. Intelligence, scouting, diagramming, blueprints, operation orders, and case law pertaining to the importance of pre-planning and intelligence are covered in this module. The potential for a terrorist to deploy booby traps, IEDs, early warning systems, and counter surveillance are stressed in this module.

## **Module 11 – Tactical Movements Outside Target Structures**

By stressing the fact that being compromised on the outside of the structure may jeopardize the entire mission and put team members and others at risk, this module covers four commonly utilized approaches and the advantages to each type, open area crossings, movement in low light, obstacles, communication challenges, and the importance of noise and light discipline. This module addresses the



possibility that a terrorist may utilize counter surveillance, early warning systems, or IEDs on the outside of the crisis site, and covers tactical considerations for making approaches in PPE and working in a CBRNE environment.

### **Module 12 – Tactical Movements Out-side Target Structures Practical Exercise**

Students will work together as a team to approach a structure. They will encounter several dangers and will identify address them accordingly. Students will face highly armed terrorists (fellow students and GTI instructors) and engage them with training weapons. Students will encounter Improvised Explosive Devices and early warning systems and will make approaches in PPE. They will see first-hand the tactical considerations brought up in Module 11.

### **Module 13 – Range Practical Exercise**

Students will learn proper weapon handling skills and techniques for the primary and secondary weapon systems pertaining to a Close Quarters Battle Environment. This particular module sets the stage for future modules which entail the students shooting in PPE. Instructors must feel confident with the student's skills prior to the student shooting in PPE.

### **Module 14 – Tactical Breaching**

This module begins the students' mental transition and preparation from activities outside the crisis site to the inside. By stressing pre-planning, speed and cover, this module covers choosing primary and alternate breach locations, port and cover locations and techniques, selecting team breachers, the three major breaching methods, and case law related to breaching. This module is an overview of breaching, which refreshes students to the basic concepts of the topic. However, this module covers CBRNE and PPE considerations applicable to those breaching options required and recommended for Type III SWAT teams, making it different than other breaching blocks typically presented to teams. Certain breaching methods, such as exothermic, which have serious implications on PPE, will be



discussed.

### **Module 15 – Tactical Breaching Practical Exercise**

Students will apply tactics and techniques discussed in Module 14. Students will see first-hand the limitations of breaching options presented by the use of certain PPE.

### **Module 16 – Occupancy Control**

In this module, participants will be refreshed on the principles of occupancy control, contact, control, cuff and search, and counter. While stressing reasonable use of force, students will examine case law pertaining to protective detentions, protective frisks, protective handcuffing, handcuffing, minimal application of force, and general use of force issues. Students will learn numerous tactical

considerations that come in to play when trying to go “hands-on” with terrorist suspects, when working in a CBRNE environment, and the limitations and concerns in PPE.

### **Module 17 – Occupancy Control Practical Exercise**

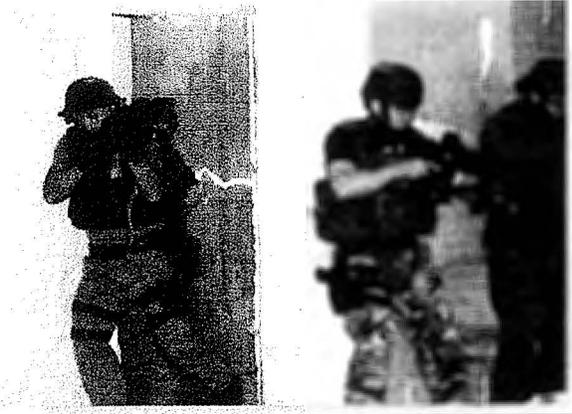
Students practice the methods previously discussed in Module 16. Students will be placed in PPE and must communicate with terrorist suspects (instructors) and their teammates at the same time. Students will experience tactical considerations and limitations of PPE and respiratory protection systems.

### **Module 18 – Alternate Methods of Team Communication**

SWAT work in PPE is difficult and presents several tactical considerations that are overlooked by those who do not often work in PPE. This module covers communicating with team members, innocents, hostages, and terrorist suspects while in PPE and the need for alternate methods of communicating, such as hand signs, lights, strobes, and other signaling techniques.

### **Module 19 – Tactical Angles**

Students will be exposed to tactical angles, including how to identify them, how to open and close them, and why a team would choose to do so. Tactical considerations surrounding the use of PPE and respiratory protection systems will be discussed.



### **Module 20 – Tactical Angles Practical Exercise**

Students will experience effects of the noise of the PPE, the communication difficulties due to PPE and APR or PAPR systems and, and the field of view limitations due to APR or PAPR. Students will identify and address tactical angles.

### **Module 21 – Dynamic Clearing Techniques**

While dynamic entry and clearing techniques should be thoroughly understood by the students in this class, this module incorporates issues involving the use of PPE and respiratory protection systems in a CBRNE environment.

### **Module 22 – Dynamic Clearing Techniques Practical Exercise**

Students will experience all of the limitations and concerns of performing dynamic entries in PPE. After performing several entries without PPE, later in the module students will don PPE and encounter increasingly more difficult tactical challenges, including armed terrorists (instructors) in a shootout (with training weapon systems). The culmination of this practical exercise will be a live fire event in which the student will conduct a two room live fire exercise with the instructors

### **Module 23 – Slow and Deliberate Clearing Techniques**

This module builds upon the Tactical Angles block and will cover Slow and Deliberate Clearing Techniques. Slow and deliberate techniques are considered some of the safest entries a team can perform under “normal,” but they are also the most difficult and probably the most taxing on the team members. Slow and deliberate entries are not necessarily the safest entries in a CBRNE environment and may actually be the most dangerous. Numerous tactical considerations dealing with Slow and deliberate entries in PPE in a CBRNE environment are covered.



### **Module 24 – Slow and Deliberate Clearing Techniques Practical Exercise**

Students will experience first-hand tactical considerations and challenges performing slow and deliberate entries both in and out of PPE. Students will encounter increasingly more difficult scenarios including mock CBRNE environments and with mock IEDs that require them to don PPE and to utilize a slow and deliberate technique.

### **Module 25 – Citizen and Team Member Recovery Techniques**

While all students in this course should be well familiar with the citizen and or team member process, this block evaluates recoveries in CBRNE environments, recovering casualties due to CBRNE agents v. gunshots or trauma, and tactical considerations involving recoveries in PPE.

### **Module 26 – Citizen and Team Member Recovery Techniques Practical Exercise**

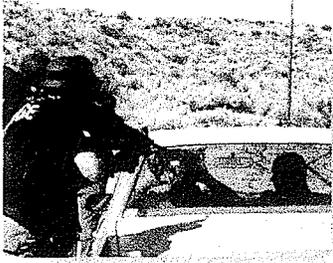
Students will be placed in several challenging scenarios that expose them to various issues involving encountering terrorist suspects (instructors) who attempt to keep a rescue team away from the casualty by providing sustained fully automatic rifle fire (training weapons), casualties caused from chemical agents, and recoveries on victims inside a CBRNE hot zone. Students will encounter limitations and tactical considerations created by PPE usage.

### **Module 27 – Improvised Explosive Devices and Explosive Materials Incidents**

Participants will be introduced to the various types of explosives and explosive materials incidents they may encounter in their careers. Emphasis will be placed on IEDs by examining various bodies, fillers, triggering systems, and delays that are commonly found with IEDs. Stand-off distances and public and self-protection issues are discussed within the module.

### **Module 28 – Improvised Explosive Devices Practical Exercise**

Students will make entry into a building structure both with and without pre-intelligence about the presence of IEDs. Students will be shown and be required to utilize techniques with pole cameras, mirrors, and lasers to locate the possible presence of not only terrorists (instructors), but also IEDs and their components.



### **Module 29 – Vehicle Assaults**

Vehicle assaults should be very familiar to all of the students in this course. However, this module will introduce students to the technique of “column assaults.” This technique considers and compliments SNS responses much better than most commonly used assault techniques. Students will be exposed to a variety of tactical considerations involved with performing vehicle assaults while in PPE. Students will also hear importance of situational awareness and the possibilities of terrorists working together in multiple vehicles.

### **Module 30 – Vehicle Assaults Practical Exercise**

Students will participate as members of a team that is required to perform multiple vehicle assaults from a variety of different angles. Students will make approaches on vehicles containing obvious and more covert signs of containing CBRNE agents and will be required to conduct assaults while in PPE.

### **Module 31 – Hostage Rescue Operations**

Participants will be exposed to the tactics and theories associated with the tactical option involving hostage rescues. Special tactical considerations involving rescue operations in a CBRNE hot zone are discussed as part of the discussion involving the three major types of hostage rescue scenarios.

### **Module 32 – Hostage Rescue Practical Exercises**

Students will learn to conduct hostage rescue operations using open air, vehicle, and stronghold options. Students will learn to utilize direct-to-threat, dynamic, and limited penetration entries during hostage rescue operations. Students will perform HR operations in a simulated CBRNE environment while wearing PPE.

### **Module 33 – Rappelling**

Students will learn what equipment is needed to safely conduct rappelling operations, and the use of that equipment. They will learn several methods of constructing anchor points and learn how to properly utilize them during tactical operations.

### **Module 34 – Rappelling Practical Exercise**

Students will tie the knots needed to safely conduct rappelling operations, will construct anchor points, and will demonstrate the ability to conduct controlled descents utilizing proper equipment. Students will construct several anchor points and utilize them during non-tactical operations.



### **Module 35 – Tactical Rappelling Practical Exercise**

Students will demonstrate the ability to conduct controlled tactical descents utilizing proper equipment. They will construct several anchor points and will utilize them during tactical operations.



### **Final Comprehensive Exercise**

The Final Comprehensive Exercise will test the participants' knowledge, skills, and abilities obtained from this course. Participants are evaluated for participation and safety as individual members of a team and as a consolidated team during this exercise. The exercise will consist of a high-risk SWAT Operation that will require students to perform a variety of actions.

### **Written Final Exam**

This module consists of the written final exam for *Type II SWAT* that consists of a series of questions derived from all modules covered under *Type II SWAT*. Students must obtain a minimum score of 70% on this test to receive a course certificate.

### **Class Evaluation and Graduation**

Students will hear final comments from the instructors, will perform an evaluation of the class and instructors, will receive their student packets, and will take a class photograph. Those students who successfully graduate the course will be provided a certificate of training.

### **Module H1 – SWAT Concepts**

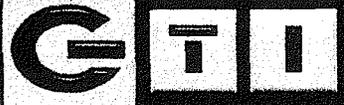
This module examines the need for SWAT teams and historical examples of the development of tactical units throughout the world, historically dealing with terrorist threats. This module addresses the shift from SWAT teams being called upon to handle “everyday criminals” to terrorist cells and CBRNE events.

### **Module H2 – Equipment Selection**

Participants are introduced to the DHS/ODP SWAT Typing systems equipment list requirements and equipment shortcomings are addressed. Equipment procurement sources are discussed so participants have a better understanding of how to receive the equipment items they may need. PPE, SCBA, CCBA, APR and PAPR systems are discussed briefly in this module, as they are covered in detail in a later stand-alone module; however, each piece of equipment is evaluated for compatibility with PPE and respiratory protection systems.

### **Module H3 – Selection of Firearms**

Students will hear about six essential criteria for making the selection of any weapon system. This module also covers basic ballistic information and examines two major theories currently utilized in the study of ballistics. The ability of a weapon to sustain fire against a well-armed terrorist is covered.



### **Module H4 – Body Armor**

This module covers NIJ data on Class I through Class III protection, as well as trauma plates of various materials. In this module, students will also hear about risks associated with stacking body armor and how CFR section 668 may apply to the issuance of body armor to Federal personnel. Decontamination issues and how body armor can effect operations in PPE and vice-versa are discussed.

### **Module H5 – Cover and Concealment**

Students will examine the differences between cover and concealment and how best to utilize both effectively. Effects of bullet ricochet and a military study on the stopping capabilities of various items found in an urban setting are also covered. Discussion will occur around the true definition of cover when going up against a terrorist with a fully automatic 7.62x39 and the definition of concealment if the terrorist has NVGs, thermal imagers, or other night viewing devices.

### **Module H6 – TIC/TOC Operations**

Students will learn about both the Tactical Intelligence Center and the Tactical Operation Center and critical components of both that take place inside during a tactical operation. Additionally, the students will learn how to establish and set up a TIC/TOC.

## **Funding**

State and local law enforcement agencies can utilize Department of Homeland Security Grant Program (HSGP) funds and/or Urban Area Security Initiative (UASI) funds to pay for the course. It is important to note that although this training and the use of HSGP Funds is approved by DHS, the agency's State Administrative Agencies (SAA) Training Point of Contact (POC) must approve the use of the funds to attend the course.

Tuition, housing, meals, lodging, overtime and backfill costs are all allowable expenditures with the funds. Agencies should experience no out-of-pocket expenses for the Type II SWAT Operator's Course. Tuition for the Type II SWAT Operator's Course includes the student manual, student progress book, over \$250,000 worth of equipment for use in the course and an instructor to student ratio of no greater than 1/10. The first step towards attending the program for most jurisdictions will be to contact their SAA POC. Along with the approved course catalog, the SAA POCs can be found at <https://www.firstrespondertraining.gov/content.do?page=howToTakeTraining>

## **Additional Information**

Additional questions involving the course design, delivery or curriculum should be presented to:

Government Training Institute

Email: [info@gtitraining.org](mailto:info@gtitraining.org)

Website: [www.gtitraining.org](http://www.gtitraining.org)