



U.S. DEPARTMENT OF HOMELAND SECURITY

**FISCAL YEAR 2009**

**URBAN AREAS SECURITY INITIATIVE  
NONPROFIT SECURITY GRANT PROGRAM**

**GUIDANCE AND APPLICATION KIT**

**NOVEMBER 2008**



U.S. DEPARTMENT OF HOMELAND SECURITY

**Title of Opportunity:** Urban Areas Security Initiative (UASI) Nonprofit Security Grant Program (NSGP)

**Funding Opportunity Number:** DHS-09-GPD-008-1974

**Federal Agency Name:** FEMA Grant Programs Directorate (GPD)

**Announcement Type:** Initial

**Dates:** Completed applications must be submitted **no later than 11:59 PM EDT, March 20, 2009.**

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**PART I.**  
**FUNDING OPPORTUNITY DESCRIPTION**

The Fiscal Year (FY) 2009 Urban Areas Security Initiative (UASI) Nonprofit Security Grant Program (NSGP) provides funding support for target hardening activities to nonprofit organizations that are at high risk of terrorist attack. While this funding is provided specifically to high-risk nonprofit organizations under the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329), the \$15,000,000 program seeks to integrate nonprofit preparedness activities with broader State and local preparedness efforts. It is also designed to promote coordination and collaboration in emergency preparedness activities among public and private community representatives, State and local government agencies, and Citizen Corps Councils.

## PART II.

# AWARD INFORMATION

This section summarizes the award period of performance and the total amount of funding available under the FY 2009 NSGP, describes the basic distribution method used to determine final grants awards, and identifies all eligible applicants for FY 2009 funding.

In FY 2008, \$15,000,000 was also available through NSGP. FEMA received 621 applications, of which 232 eligible nonprofit organizations received funding.

### ***Award Period of Performance***

The period of performance of this grant is 36 months. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required.

### ***Available Funding***

In FY 2009, the total amount of funds distributed under the NSGP will be \$15,000,000. Each nonprofit organization may apply through their State for up to a \$75,000 grant award. The FY 2009 NSGP funds will be allocated to high-risk nonprofit organizations, as described under section 501(c)(3) of the Internal Revenue Code of 1986, Title 26 of the U.S.C., and exempt from tax under section 501(a) of such Code. The high-risk nonprofit organizations must be located within one of the specific UASI-eligible Urban Areas listed below in Table 1.

**Table 1 – Eligible Urban Areas under the FY 2009 UASI Program**

<b>FY 2009 Tier 1 Urban Areas</b>	
<b>7 Urban Areas</b>	
(CA) Los Angeles/Long Beach Area	(NJ) Jersey City/Newark Area
(CA) Bay Area	(NY) New York City Area
(DC) National Capital Region	(TX) Houston Area
(IL) Chicago Area	
<b>FY 2009 Tier 2 Urban Areas</b>	
<b>55 Urban Areas</b>	
(AZ) Phoenix Area	(NV) Las Vegas Area
(AZ) Tucson Area	(NY) Albany Area
(CA) Riverside Area	(NY) Buffalo Area
(CA) Sacramento Area	(NY) Rochester Area
(CA) San Diego Area	(NY) Syracuse Area
(CA) Anaheim/Santa Ana Area	(OH) Cincinnati Area
(CA) Oxnard Area	(OH) Cleveland Area
(CO) Denver Area	(OH) Columbus Area
(CT) Bridgeport Area	(OH) Toledo Area
(CT) Hartford Area	(OK) Oklahoma City Area
(FL) Fort Lauderdale Area	(OK) Tulsa Area
(FL) Jacksonville Area	(OR) Portland Area
(FL) Miami Area	(PA) Philadelphia Area
(FL) Orlando Area	(PA) Pittsburgh Area
(FL) Tampa Area	(PR) San Juan Area
(GA) Atlanta Area	(RI) Providence Area
(HI) Honolulu Area	(TN) Memphis Area
(IN) Indianapolis Area	(TN) Nashville Area
(KY) Louisville Area	(TX) Austin Area
(LA) Baton Rouge Area	(TX) Dallas/Fort Worth/Arlington Area
(LA) New Orleans Area	(TX) El Paso Area
(MA) Boston Area	(TX) San Antonio Area
(MD) Baltimore Area	(UT) Salt Lake City Area
(MI) Detroit Area	(VA) Richmond Area
(MN) Twin Cities Area	(VA) Norfolk Area
(MO) Kansas City Area	(WA) Seattle Area
(MO) St. Louis Area	(WI) Milwaukee Area
(NC) Charlotte Area	

## PART III.

# ELIGIBILITY INFORMATION

### A. Eligible Applicants

The Governor of each State and territory with an eligible FY 2009 Urban Areas Security Initiative (UASI) Urban Area is required to designate a State Administrative Agency (SAA) to apply for and administer the funds awarded under the NSGP. The SAA is the only entity eligible to formally apply to FEMA for these funds.

To be eligible to receive FY 2009 NSGP funding, applicants must meet National Incident Management System (NIMS) compliance requirements. The NIMSCAST will be the required means to report FY 2008 NIMS compliance for FY 2009 preparedness award eligibility. All State and territory grantees were required to submit their compliance assessment via the NIMSCAST by September 30, 2008 in order to be eligible for FY 2009 preparedness programs. The State or territory department/agency grantee reserves the right to determine compliance reporting requirements of their sub-awardees (locals) in order to disperse funds at the local level.

For FY 2009 there are no new NIMS compliance objectives. If FY 2008 NIMS compliance was reported using NIMSCAST and the grantee has met all NIMS compliance requirements, then NIMSCAST will only require an update in FY 2009. Additional information on achieving compliance is available through the FEMA National Integration Center (NIC) at <http://www.fema.gov/emergency/nims/>.

Applications must be provided to the SAA from eligible nonprofit organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code) that are at **high risk of terrorist attack** and are located within one of the specific UASI-eligible Urban Areas.

SAAs, in coordination with the Urban Area Working Groups (UAWGs) and Citizen Corps Councils, are encouraged to actively and aggressively advertise the availability of the FY 2009 NSGP to eligible nonprofit organizations, especially to organizations that previously have not applied for or received NSGP funding. This is not meant to imply that previous recipients are ineligible to apply for FY 2009 funds, but FEMA would like to ensure that the FY 2009 NSGP is widely advertised and ALL eligible nonprofit organizations are afforded a reasonable opportunity to seek funding.

Eligible nonprofit organizations are required to become members of their local Citizen Corps Council, where one exists, in order to build an integrated, comprehensive community preparedness effort in their community.

Criteria for determining eligible applicants who are at high risk of terrorist attack include, but are not limited to:<sup>1</sup>

- Identification and substantiation (e.g., police reports or insurance claims) of prior threats or attacks against the nonprofit organization or closely related organizations (within or outside the U.S.) by a terrorist organization, network, or cell
- Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site as possible target of terrorism
- Role of the applicant nonprofit organization in responding to or recovering from terrorist attacks
- Findings from previously conducted risk assessments including threat or vulnerability

## **B. Cost Sharing**

Grant recipients must meet a 75 percent Federal-25 percent grantee match requirement. Grantee contributions must be from non-Federal sources. The grantee's match may be met through cash or in-kind contributions which may include training investments related to use of equipment purchased with the grant, or training investments related to general purpose security and emergency preparedness for staff. For example, the costs of training security guards on new screening equipment purchased as part of the grant or providing general preparedness training for nonprofit organization staff can be leveraged to satisfy the match. In no event can regular personnel costs such as salary, overtime, or other operational costs unrelated to training be used to satisfy the matching requirement.

## **C. Restrictions**

Please see Part IV.E. for Management & Administration (M&A) limits, and allowable/unallowable costs guidance.

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<sup>1</sup> The criteria used for determining eligible applicants must be addressed within the Investment Justification and not attached as a separate document in support of the materials addressed in the Investment Justification.



## PART IV.

# APPLICATION AND SUBMISSION INFORMATION

### A. Address to Request Application Package

DHS participates in the Administration's e-government initiative. As part of that initiative, all applications must be filed using the Administration's common electronic "storefront" -- [grants.gov](http://www.grants.gov). Eligible SAAs must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>. To access application forms and instructions, select "Apply for Grants," and then select "Download Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select "Download Application Package," and then follow the prompts to download the application package. To download the instructions, go to "Download Application Package" and select "Instructions." If you experience difficulties or have any questions, please call the [grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726.

### B. Content and Form of Application

**1. On-line application.** The on-line application must be completed and submitted using [grants.gov](http://www.grants.gov) after Central Contractor Registry (CCR) registration is confirmed. The on-line application includes the following required forms and submissions:

- Investment Justifications from eligible nonprofits
- Prioritization of Investment Justifications (in rank order) in FEMA-provided template
- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information
- Standard Form 424B, Assurances
- Standard Form LLL, Disclosure of Lobbying Activities

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "*Nonprofit Security Grant Program*." The CFDA number is **97.008**. When completing the on-line application, applicants should identify their submissions as new, non-construction applications.

**2. Application via [grants.gov](http://www.grants.gov).** FEMA participates in the Administration's e-government initiative. As part of that initiative, all applicants must file their applications using the Administration's common electronic "storefront" -- [grants.gov](http://www.grants.gov). Eligible SAAs must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

3. **DUNS number.** The applicant must provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number with their application. This number is a required field within [grants.gov](http://grants.gov) and for CCR Registration. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at (866) 705-5711.
4. **Valid Central Contractor Registry (CCR) Registration.** The application process also involves an updated and current registration by the applicant. Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for funding through [grants.gov](http://grants.gov).
5. **501(c)(3) Requirement.** Grant recipients are responsible for keeping a copy of the 501(c)(3) registration number or IRS Letter of Recognition of sub-grantees on file. Those grantees who submitted Investment Justifications, subsequently selected for award, by nonprofit organizations which do not hold or have not formally applied for a 501(c)(3) registration number, are responsible for maintaining an affidavit and/or other indicia certifying or verifying their 501(c)(3) compliance on file for review by DHS.
6. **Investment Justification.** As part of the FY 2009 NSGP application process, 501(c)(3) organizations within eligible Urban Areas must develop a formal Investment Justification that addresses each initiative proposed for funding. These Investment Justifications must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities. The Investment Justification must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Applicants must ensure that the Investment Justification is consistent with all applicable requirements outlined in this application kit.

FEMA has developed guidelines that establish the required Investment Justification content and helps ensure that submissions are organized in a consistent manner while addressing key data requirements. **Failure to address these data elements in the prescribed format, including the strict formatting guidelines, will result in the rejection of the Investment Justification from review consideration.**

The Investment Justification must: 1) Be created and submitted in Microsoft Word (\*.doc) or text (\*.text); 2) **Not exceed five (5) single-spaced pages, in 12 point Times New Roman font, with a minimum of 1" margins.** The applicant is required to adhere to and include the following section headings, page restrictions, character limitations and selection criteria within the Investment Justification. Due to the competitive nature of this program, separate attachments **will neither be accepted nor reviewed**. Additionally, scanned or imaged applications will not be accepted. Applications must use the following file naming convention when

submitting required documents as part of the FY 2009 NSGP: “FY 2009 NSGP <State Abbreviation>\_<Nonprofit Name>.”

Applications should be submitted by the nonprofit organization to the SAA/UAWG, in coordination with the local Citizen Corps Council (if they are separate entities), **no later than 11:59 PM EST, January 13, 2009** to ensure adequate time for a State review of nonprofit applications.

### FY 2009 NSGP Investment Justification and Selection Criteria

Question	Scoring Criteria
<b>I. APPLICANT INFORMATION</b>	
<p><b>Identify the following:</b></p> <ul style="list-style-type: none"> <li>• Name of the Organization</li> <li>• Organization Type (e.g., Medical, Religious, Educational, Community Center, Museum, Other<sup>2</sup>)</li> <li>• 501(c)(3) Number</li> <li>• Dun and Bradstreet Number<sup>3</sup></li> <li>• FY 2009 Urban Area<sup>4</sup></li> <li>• FY 2009 UASI NSGP Federal Funding Request</li> <li>• FY 2009 UASI NSGP Grantee’s 25 Percent Match</li> <li>• FY 2009 UASI NSGP Total Project Cost</li> <li>• Any Previous NSGP Funding Received, including amount</li> <li>• Any Previous DHS Funding Received, including source<sup>5</sup></li> <li>• Any Current Contract with DHS (Yes/No – if yes, please describe)</li> </ul> <p><b>(800 Character Max not including spaces)</b></p>	<p>This information will not be scored</p>
<b>II. BACKGROUND</b>	
<p><b>Background:</b> Describe the nonprofit organization including:</p> <ul style="list-style-type: none"> <li>• Membership and community served</li> <li>• Involvement in their local Citizen Corps Council</li> <li>• Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site as a possible target of terrorism</li> <li>• Known critical infrastructure or key resources (CIKR) located within close proximity to nonprofit organization facilities (see <a href="http://www.dhs.gov/nipp">http://www.dhs.gov/nipp</a> for additional information and guidance on CIKR sectors)</li> <li>• Any role in responding to or recovering from terrorist attacks</li> </ul> <p><b>(1,800 Character Max not including spaces)</b></p>	<p>The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</p>
<b>III. INVESTMENT HEADING</b>	

<sup>2</sup> If the *Other* category is selected, please identify the primary function of the organization.

<sup>3</sup> Applications can only be submitted with a **current** and **valid** Dun and Bradstreet Data Universal Numbering System (DUNS) number; pending DUNS numbers will **not** be accepted.

<sup>4</sup> The applicant **must** be located within one of the specific UASI-eligible Urban Areas listed in the FY 2009 Nonprofit Security Grant Program Guidance and Application Kit. Within the grant guidance, please refer to Table 1 – Eligible Urban Areas under the FY 2009 UASI Program to determine the organization’s Urban Area designation.

<sup>5</sup> Responses should include any funding received through the respective State and/or Urban Area, including the DHS Homeland Security Grant Program (including Urban Areas Security Initiative, State Homeland Security Grant Program, and/or the Citizen Corps Program).

Question	Scoring Criteria
<p><b>Investment Heading:</b></p> <ul style="list-style-type: none"> <li>• Investment name</li> <li>• Total FY 2009 NSGP Federal Funding Requested</li> <li>• Investment Phase – Ongoing or New</li> </ul> <p><b>(500 Character Max not including spaces)</b></p>	<p>This information will not be scored</p>
<b>IV. BASELINE</b>	
<p><b>Baseline – Previous Request Name and Funding:</b> If the nonprofit organization has received DHS or NSGP funding in the past, provide the funding amount and the investment type. <b>(700 Character Max not including spaces)</b></p>	<p>The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</p>
<b>V. RISK</b>	
<p><b>Risk:</b> DHS defines risk as the product of three principal variables: <i>Threat</i>, <i>Vulnerability</i>, and <i>Consequences</i>. In the space below, describe findings from previously conducted risk assessments, including A) Threats, B) Vulnerabilities, and C) Potential Consequences of an attack. <b>(2,200 Character Max not including spaces)</b></p>	<p>The information provided will be scored based on the indication of an understanding of the organization’s risk, including threat and vulnerabilities, as well as potential consequences of an attack.</p>
<p><b>V.A. Threat:</b> In considering threat, the applicant should discuss previous findings such as risk assessment and/or police findings.</p>	
<p><b>V.B. Vulnerabilities:</b> In considering vulnerabilities, the applicant should discuss the organization’s susceptibility to destruction, incapacitation, or exploitation by a terrorist attack.</p>	
<p><b>V.C. Potential Consequences:</b> In considering potential consequences, the applicant should discuss potential negative effects on the organization’s asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack.</p>	

Question	Scoring Criteria
<b>VI. TARGET HARDENING</b>	
<p><b>Target Hardening:</b> In this section, describe the proposed target hardening activity, including the total Federal funds requested, that addresses the identified threat or vulnerability. Allowable costs are focused on target hardening activities. Thus, funding can be used for acquisition and installation of security equipment on real property (including buildings and improvements) owned or leased by the nonprofit organization, specifically in prevention of and/or in protection against the risk of a terrorist attack. This equipment is <b>limited to two</b> categories of items on the Authorized Equipment List (AEL).</p> <ul style="list-style-type: none"> <li>• Physical Security Enhancement Equipment (AEL Category 14)</li> <li>• Inspection and Screening Systems (AEL Category 15)</li> </ul> <p>The equipment categories are listed on the web based AEL on the Responder Knowledge Base (RKB), which is sponsored by DHS and located at <a href="http://www.rkb.us/">http://www.rkb.us/</a>. The below description must identify the respective AEL category for <b>all</b> requested equipment.</p> <p><b>(2,200 Character Max not including spaces)</b></p>	<p>Target hardening activity and impact address prevention of, protection against, and/or mitigation of the identified risk(s).</p>
<b>VII. MILESTONES</b>	
<p><b>Milestones:</b> Provide description and associated key activities that lead to the milestone event over the FY 2009 NSGP period of performance. Start dates should reflect the start of the associated key activities and end dates should reflect when the <b>milestone event will occur</b>.</p> <p><b>(1,000 Character Max not including spaces)</b></p>	<p>Milestones collectively present a clear sequence of events that will allow the Investment to reach its objectives for this period of performance.</p>
<b>VIII. PROJECT MANAGEMENT</b>	
<p><b>Describe the project management, including:</b></p> <ul style="list-style-type: none"> <li>• Who will manage the project</li> <li>• Description of any challenges to the effective implementation of this project</li> <li>• Coordination of the project with State and local homeland security partners</li> </ul> <p><b>(2,000 Character Max not including spaces)</b></p>	<p>Response describes, at a high-level, the roles and responsibilities of the management team, governance structures, and subject matter expertise required to manage the Investment</p>
<b>IX. GRANTEE MATCH PLAN</b>	
<p><b>Match Requirement:</b> Describe how the 75-25 match in kind will be met. Provide the Federal request amount, the grantee's 25 percent match, and the total project cost for the FY 2009 NSGP. In addition to the required cash or -in-kind match, discuss other funding sources (e.g., non-FY 2009 NSGP funds) that you plan on utilizing for the implementation of this project.</p> <p><b>(1,000 Character Max not including spaces)</b></p>	<p>This information will not be scored</p>

Question	Scoring Criteria
<b>X. IMPACT</b>	
<p><b>Impact:</b> What measurable outputs and outcomes will indicate that this Investment is successful at the end of the FY 2009 NSGP period of performance? What specific target capability is this investment working to achieve?  <b>(1,500 Character Max not including spaces)</b></p>	<p>Response describes how the outcomes will mitigate risks outlined in the Background and Risk sections of the Investment Justification</p>

### C. Submission Dates and Times

Completed applications must be submitted electronically through [www.grants.gov](http://www.grants.gov) **no later than 11:59 PM EDT, March 20, 2009**. Late applications will neither be considered nor reviewed. Upon successful submission, a confirmation e-mail message will be sent with a [grants.gov](http://www.grants.gov) tracking number, which is needed to track the status of the application.

### D. Intergovernmental Review

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. Executive Order 12372 can be referenced at <http://www.archives.gov/federal-register/codification/executive-order/12372.html>. The names and addresses of the SPOCs are listed on OMB's home page available at: <http://www.whitehouse.gov/omb/grants/spoc.html>.

### E. Funding Restrictions

The SAA is the only entity eligible to formally apply for these funds. Applications must be provided to the SAA from eligible nonprofit organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code) that are at **high risk of terrorist attack** and are located within one of the specific FY 2009 UASI-eligible Urban Areas.

**1. Management and Administration (M&A).** No more than three percent (3%) of the total award amount may be retained by the State for M&A purposes. Any funds retained by the State are to be used solely for management and administrative purposes associated with the FY 2009 NSGP award. States may pass through a portion of the State M&A allocation to nonprofit subgrantees to support local management and administration activities; the overall subgrantee M&A amount may not equal more than three percent (3%). M&A activities are those defined as directly relating to the management and administration of the grant funds, such as financial management and monitoring.

M&A costs include the following categories of activities:

- Hiring of full-time or part-time staff or contractors/consultants:

- To assist with the management of UASI NSGP funds
- To assist with design, requirements, and implementation of the UASI NSGP
- Meeting compliance with reporting/data collection requirements, including data calls
- Development of operating plans for information collection and processing necessary to respond to DHS data calls
- Travel expenses directly related to management and administration of UASI NSGP funds
- Meeting-related expenses directly related to management and administration of UASI NSGP funds

## 2. Allowable Costs

### ***Equipment***

Allowable costs are focused on target hardening activities. Thus, funding can be used for the acquisition and installation of security equipment on real property (including buildings and improvements) owned or leased by the nonprofit organization, specifically in prevention of and/or protection against the risk of a terrorist attack. This equipment is **limited to two categories** of items on the Authorized Equipment List (AEL):

- Physical Security Enhancement Equipment (Category 14)
- Inspection and Screening Systems (Category 15)

### ***Equipment Standards***

The two allowable prevention and protection categories and equipment standards for the FY 2009 NSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at <http://www.rkb.us>.

The Standardized Equipment List (SEL) is located on this site as well. In some cases, items on the SEL are not allowable under FY 2009 NSGP or will not be eligible for purchase unless specific conditions are met. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

### ***Training***

Nonprofit organization security personnel may use FY 2009 NSGP funds to attend security-related training courses and programs. Allowable training-related costs under the FY 2009 NSGP are limited to attendance fees for training, and related expenses, such as materials, supplies, and/or equipment. Overtime, backfill, and/or travel expenses are not allowable costs. Allowable training topics are limited to the



protection of critical CIKR, including physical and cyber security, target hardening, and terrorism awareness/employee preparedness.

Training conducted using FY 2009 NSGP funds must address a specific threat and/or vulnerability, as identified in the nonprofit's Investment Justification.

***Proposed attendance at training courses and all associated costs leveraging the FY 2009 NSGP must be included in the nonprofit organization's Investment Justification.***

Nonprofit organizations are required, within 30 days after attendance, to submit information to the SAA on all training supported with FY 2009 NSGP funds. This information will consist of course titles, course description, mission area, level of training, the training provider, the date of the course, and the number of position titles of the individuals.

**3. Unallowable Costs.** The following projects and costs are considered **ineligible** for award consideration:

- **Hiring of Public Safety Personnel.** FY 2009 NSGP funds may not be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.
- **Construction and Renovation.** Construction and renovation are prohibited under the FY 2009 NSGP.
- **General-use Expenditures.** Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness functions), general-use vehicles, licensing fees, weapons, weapons systems and accessories, and ammunition are prohibited.
- **Overtime and Backfill.** Funds may not be used to support overtime and backfill costs associated with implementation of FY 2009 NSGP activities.

Additionally, the following initiatives and costs are considered **ineligible** for award consideration:

- Initiatives that do not address the implementation of programs/initiatives to build prevention and protection-focused capabilities directed at identified facilities and/or the surrounding communities
- The development of risk/vulnerability assessment models
- Initiatives that fund risk or vulnerability security assessments or the development of the Investment Justification
- Initiatives in which Federal agencies are the beneficiary or that enhance Federal property
- Initiatives which study technology development



- Proof-of-concept initiatives
- Initiatives that duplicate capabilities being provided by the Federal government
- Organizational operating expenses
- Reimbursement of pre-award security expenses

Any other activities unrelated to the implementation of the FY 2009 NSGP, items not in accordance with the AEL, or previously identified as ineligible within this guidance, are not allowable costs.

## PART V.

# APPLICATION REVIEW INFORMATION

### A. Review Criteria

Applications will be reviewed through a two-phased State and Federal review process for completeness, adherence to programmatic guidelines, feasibility, and how well the Investment Justification addresses the identified risk.

FY 2009 NSGP evaluation criteria include items such as:

- Identification and substantiation of prior threats or attacks (within or outside the U.S.) by a terrorist organization, network, or cell against the applicant
- Symbolic value of the site(s) as a highly recognized national or historical institution(s) that renders the site as possible target of terrorism
- Proximity of the nonprofit organization to identified CIKR
- Role of the applicant nonprofit organization in responding to terrorist attacks
- Findings from previously conducted threat and/or vulnerability assessments
- Integration of nonprofit preparedness with broader State and local preparedness efforts to include coordination with the Citizen Corps Council
- Complete, feasible Investment Justifications that address an identified risk, including threat and vulnerability

### B. Review and Selection Process

Applications will be reviewed in two phases to leverage local knowledge and understanding of the applicant's risk for terrorist attack, while also ensuring coordination and alignment with Federal, State, and local preparedness efforts.

- **State Review:** Applications should be submitted by the nonprofit organization to the SAA/UAWG, in coordination with the local Citizen Corps Council (if they are separate entities), **no later than 11:59 PM EST, January 13, 2009** to ensure adequate time for a State review of nonprofit applications.

Listed below are the review criteria for the SAA/UAWG phase of the FY 2009 NSGP review. The criteria provide a standard review methodology across States and Urban Areas. By focusing the SAA/UAWG review on two Investment Justification focus areas (Background and Risk), the review leverages local knowledge and efficiently applies the SAA/UAWG effort to the questions most needing local input. The "Overall Score" provides the SAA/UAWG panel the opportunity to objectively review the overall application including the focus areas.

### **Review Criteria**

- Does the response clearly address all of the identified topics?
- Does the response indicate an understanding of the nonprofit organization's risk, including threat and vulnerability, as well as potential consequences of an attack?
- Can the SAA/UAWG review panel verify the responses?

### **Overall Score**

- SCORE = 0
  - Incomplete or unclear Investment Justification (IJ)
  - Review panel cannot verify or substantiate information in Background and Risk section in IJ
- SCORE = 1
  - Partially complete IJ
  - Review panel cannot verify or substantiate information in Background and Risk section in IJ
- SCORE = 2
  - Complete or clear IJ
  - Review panel can verify or substantiate some information in Background and Risk section in IJ
- SCORE = 3
  - Complete and clear IJ
  - Review panel can verify or substantiate all information in Background and Risk section in IJ

As part of the FY 2009 NSGP application, FEMA will provide the SAA with a template for the Prioritization of Investment Justifications (in rank order). This will allow the SAA to easily provide a prioritized list of applicants, ranked in consideration of two factors:

- Need – The relative need for the nonprofit organization compared to the other applicants
- Impact – The potential impact of the nonprofit investment on achieving maximum prevention and/or protection results at minimal cost

The method by which an SAA chooses to review investment using the two factors is at the discretion of the SAA/UAWG, provided the output of the SAA NSGP investment process is one list of prioritized investments submitted with the applicable Investment Justifications. The Prioritization of Investment Justifications template **must** be submitted to FEMA with the applicable Investment Justifications **no later than 11:59 PM EDT, March 20, 2009.**

The files should be organized according to score and then combined into Adobe PDF files according to score category for a maximum submission of five files (four Adobe score files, if applicable, and the Prioritization of Investment Justifications in Excel). The following file naming convention must be used when submitting required documents as part of the FY 2009 NSGP: "FY 2009 NSGP <State Abbreviation>\_<Score Category>" and "FY 2009 <State Abbreviation>\_Prioritization of Investment Justifications>."

For example:

- State Name\_Score 0
- State Name\_Score 1
- State Name\_Score 2
- State Name\_Score 3
- Prioritization of Investment Justifications

**Federal Review:** Applications will be reviewed by a panel of Federal evaluators from across various components within DHS. FEMA will use the results of the State and Federal reviews to make recommendations for funding to the Secretary of Homeland Security.

**NOTE: Upon award, the recipient may only fund Investments that were included in the FY 2009 Investment Justification that was submitted to FEMA and evaluated through the Federal review process.**

### **C. Anticipated Announcement and Award Dates**

FEMA will evaluate and act on applications within 90 days following close of the application period, consistent with the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329). Awards will be made on or before September 30, 2009.

## PART VI.

# AWARD ADMINISTRATION INFORMATION

### A. Notice of Award

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the “award date.” Notification of award approval is made through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized grantee official. Follow the directions in the notification and log into GMS to access the award documents. The authorized grantee official should carefully read the award and special condition documents. If you do not receive a notification, please contact your Program Analyst for your award number. Once you have the award number, contact the GMS Help Desk at (888) 549-9901, option 3, to obtain the username and password associated with the new award.

The period of performance is 36 months. Any unobligated funds will be deobligated at the end of the 90 day close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required.

### B. Administrative and National Policy Requirements

1. **State Preparedness Report.** The *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 109-295) requires any State that receives Federal preparedness assistance to submit a State Preparedness Report to DHS. FEMA will provide additional guidance on the requirements for updating State Preparedness Reports. **Receipt of this report is a prerequisite for applicants to receive any FY 2009 DHS preparedness grant funding.**
2. **Standard Financial Requirements.** The grantee and any subgrantee shall comply with all applicable laws and regulations. A non-exclusive list of regulations commonly applicable to DHS grants are listed below:
  - 2.1 -- **Administrative Requirements.**
    - 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
    - 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A-110)

## **2.2 -- Cost Principles.**

- 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)
- 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21)
- 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122)
- Federal Acquisition Regulations (FAR), Part 31.2 Contract Cost Principles and Procedures, Contracts with Commercial Organizations

## **2.3 -- Audit Requirements.**

- OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations

**2.4 -- Duplication of Benefits.** There may not be a duplication of any federal assistance, per A-87, Basic Guidelines Section C.3 (c), which states: Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Circular may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements.

**3. Non-supplanting Requirement.** Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

## **4. Technology Requirements.**

**4.1 -- National Information Exchange Model (NIEM).** FEMA requires all grantees to use the latest NIEM specifications and guidelines regarding the use of Extensible Markup Language (XML) for all grant awards. Further information about the required use of NIEM specifications and guidelines is available at <http://www.niem.gov>.

**4.2 -- Geospatial Guidance.** Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). FEMA encourages grantees to align any geospatial activities with the guidance available on the FEMA website at <http://www.fema.gov/grants>.

**4.3 -- 28 CFR Part 23 guidance.** FEMA requires that any information technology system funded or supported by these funds comply with 28 CFR Part 23, Criminal Intelligence Systems Operating Policies, if this regulation is determined to be applicable.

## 5. Administrative Requirements.

**5.1 -- Freedom of Information Act (FOIA).** FEMA recognizes that much of the information submitted in the course of applying for funding under this program or provided in the course of its grant management activities may be considered law enforcement sensitive or otherwise important to national security interests. While this information under Federal control is subject to requests made pursuant to the Freedom of Information Act (FOIA), 5 U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the FEMA FOIA Office, and may likely fall within one or more of the available exemptions under the Act. The applicant is encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. The applicant may also consult FEMA regarding concerns or questions about the release of information under State and local laws. The grantee should be familiar with the regulations governing Sensitive Security Information (49 CFR Part 1520), as it may provide additional protection to certain classes of homeland security information.

**5.2 -- Protected Critical Infrastructure Information (PCII).** The PCII Program, established pursuant to *the Critical Infrastructure Information Act of 2002* (Public Law 107-296) (CII Act), created a new framework, which enables State and local jurisdictions and members of the private sector to voluntarily submit sensitive information regarding critical infrastructure to DHS. The Act also provides statutory protection for voluntarily shared CII from public disclosure and civil litigation. If validated as PCII, these documents can only be shared with authorized users who agree to safeguard the information.

PCII accreditation is a formal recognition that the covered government entity has the capacity and capability to receive and store PCII. DHS encourages all SAAs to pursue PCII accreditation to cover their State government and attending local government agencies. Accreditation activities include signing a memorandum of agreement (MOA) with DHS, appointing a PCII Officer, and implementing a self-inspection program. For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at [pcii-info@dhs.gov](mailto:pcii-info@dhs.gov).

**5.3 -- Compliance with Federal civil rights laws and regulations.** The grantee is required to comply with Federal civil rights laws and regulations. Specifically, the grantee is required to provide assurances as a condition for receipt of Federal funds that its programs and activities comply with the following:

- *Title VI of the Civil Rights Act of 1964, as amended, 42. U.S.C. 2000 et. seq.* – no person on the grounds of race, color, or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance.

- *Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794* – no qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance.
- *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et. seq.* – discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance.
- *The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq.* – no person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of or subjected to discrimination under any program or activity receiving Federal financial assistance.

Grantees must comply with all regulations, guidelines, and standards adopted under the above statutes. The grantee is also required to submit information, as required, to the DHS Office for Civil Rights and Civil Liberties concerning its compliance with these laws and their implementing regulations.

**5.4 -- Services to limited English proficient (LEP) persons.** Recipients of FEMA financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, natural origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. The grantee is encouraged to consider the need for language services for LEP persons served or encountered both in developing their proposals and budgets and in conducting their programs and activities. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, see <http://www.lep.gov>.

**5.5 -- Integrating individuals with disabilities into emergency planning.** Section 504 of the Rehabilitation Act of 1973, as amended, prohibits discrimination against people with disabilities in all aspects of emergency mitigation, planning, response, and recovery by entities receiving financial from FEMA. In addition, Executive Order 13347, *Individuals with Disabilities in Emergency Preparedness* signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Executive Order 13347 requires the Federal government



to encourage consideration of the needs of individuals with disabilities served by State, local, and tribal governments in emergency preparedness planning.

FEMA has several resources available to assist emergency managers in planning and response efforts related to people with disabilities and to ensure compliance with Federal civil rights laws:

- **Comprehensive Preparedness Guide 301 (CPG-301): Interim Emergency Management Planning Guide for Special Needs Populations:** CPG-301 is designed to aid tribal, State, territorial, and local governments in planning for individuals with special needs. CPG-301 outlines special needs considerations for: Developing Informed Plans; Assessments and Registries; Emergency Public Information/Communication; Sheltering and Mass Care; Evacuation; Transportation; Human Services/Medical Management; Congregate Settings; Recovery; and Training and Exercises. CPG-301 is available at <http://www.fema.gov/pdf/media/2008/301.pdf>.
- **Guidelines for Accommodating Individuals with Disabilities in Disaster:** The Guidelines synthesize the array of existing accessibility requirements into a user friendly tool for use by response and recovery personnel in the field. The Guidelines are available at <http://www.fema.gov/oer/reference/>.
- **Disability and Emergency Preparedness Resource Center:** A web-based “Resource Center” that includes dozens of technical assistance materials to assist emergency managers in planning and response efforts related to people with disabilities. The “Resource Center” is available at <http://www.disabilitypreparedness.gov>.
- **Lessons Learned Information Sharing (LLIS) resource page on Emergency Planning for Persons with Disabilities and Special Needs:** A true one-stop resource shop for planners at all levels of government, non-governmental organizations, and private sector entities, the resource page provides more than 250 documents, including lessons learned, plans, procedures, policies, and guidance, on how to include citizens with disabilities and other special needs in all phases of the emergency management cycle.

LLIS.gov is available to emergency response providers and homeland security officials from the Federal, State, and local levels. To access the resource page, log onto <http://www.LLIS.gov> and click on *Emergency Planning for Persons with Disabilities and Special Needs* under *Featured Topics*. If you meet the eligibility requirements for accessing Lessons Learned Information Sharing, you can request membership by registering online.

**5.6 -- Compliance with the National Energy Conservation Policy and Energy Policy Acts.** In accordance with the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329), grant funds must comply with the following two requirements:

- None of the funds made available shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order 13123, part 3 of title V of the National Energy Conservation Policy Act (42 USC 8251 et. Seq.), or subtitle A of title I of the Energy Policy Act of 2005 (including the amendments made thereby).
- None of the funds made available shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC13212).

**5.7 -- Environmental and Historic Preservation Compliance.** FEMA is required to consider the potential impacts to the human and natural environment of projects proposed for FEMA funding. FEMA, through its Environmental and Historic Preservation (EHP) Program, engages in a review process to ensure that FEMA-funded activities comply with various Federal laws including: National Environmental Policy Act, National Historic Preservation Act, Endangered Species Act, and Executive Orders on Floodplains (11988), Wetlands (11990) and Environmental Justice (12898). The goal of these compliance requirements is to protect our nation's water, air, coastal, wildlife, agricultural, historical, and cultural resources, as well as to minimize potential adverse effects to children and low-income and minority populations.

The grantee shall provide any information requested by FEMA to ensure compliance with applicable Federal EHP requirements. Any project with the potential to impact EHP resources cannot be initiated until FEMA has completed its review. Grantees may be required to provide detailed information about the project, including the following: location (street address or map coordinates); description of the project including any associated ground disturbance work, extent of modification of existing structures, construction equipment to be used, staging areas, access roads, etc.; year the existing facility was built; natural, biological, and/or cultural resources present in the project vicinity; visual documentation such as site and facility photographs, project plans, maps, etc; and possible project alternatives.

For certain types of projects, FEMA must consult with other Federal and State agencies such as the U.S. Fish and Wildlife Service, State Historic Preservation Offices, and the U.S. Army Corps of Engineers, as well as other agencies and organizations responsible for protecting natural and cultural resources. For projects with the potential to have significant adverse effects on the environment and/or historic properties, FEMA's EHP review and consultation may result in a

substantive agreement between the involved parties outlining how the grantee will avoid the effects, minimize the effects, or, if necessary, compensate for the effects.

Because of the potential for significant adverse effects to EHP resources or public controversy, some projects may require an additional assessment or report, such as an Environmental Assessment, Biological Assessment, archaeological survey, cultural resources report, wetlands delineation, or other document, as well as a public comment period. Grantees are responsible for the preparation of such documents, as well as for the implementation of any treatment or mitigation measures identified during the EHP review that are necessary to address potential adverse impacts. Grantees may use these funds toward the costs of preparing such documents and/or implementing treatment or mitigation measures. Failure of the grantee to meet Federal, State, and local EHP requirements, obtain applicable permits, and comply with any conditions that may be placed on the project as the result of FEMA's EHP review may jeopardize Federal funding.

Recipient shall not undertake any project having the potential to impact EHP resources without the prior approval of FEMA, including but not limited to communications towers, physical security enhancements, new construction, and **modifications to buildings, structures and objects** that are 50 years old or greater. Recipient must comply with all conditions placed on the project as the result of the EHP review. Any change to the approved project scope of work will require re-evaluation for compliance with these EHP requirements. If ground 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. **Any construction activities that have been initiated without the necessary EHP review and approval will result in a non-compliance finding and will not eligible for FEMA funding.**

For more information on FEMA's EHP requirements, SAAs should refer to FEMA's Information Bulletin #271, *Environmental Planning and Historic Preservation Requirements for Grants*, available at <http://ojp.usdoj.gov/odp/docs/info271.pdf>. Additional information and resources can also be found at <http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm>.

**5.8 -- Royalty-free License.** Applicants are advised that FEMA reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, for Federal government purposes: (a) the copyright in any work developed under an award or sub-award; and (b) any rights of copyright to which an award recipient or sub-recipient purchases ownership with Federal support. Award recipients must agree to consult with FEMA regarding the allocation of any patent rights that arise from, or are purchased with, this funding.

**5.9 -- FEMA GPD Publications Statement.** Applicants are advised that all publications created with funding under any grant award shall prominently contain the following statement: "This document was prepared under a grant from FEMA's Grant Programs Directorate, U.S. Department of Homeland Security. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of FEMA's Grant Programs Directorate or the U.S. Department of Homeland Security."

**5.10 -- Equipment Marking.** Applicants are advised that, when practicable, any equipment purchased with grant funding shall be prominently marked as follows: "Purchased with funds provided by the U.S. Department of Homeland Security."

**5.11 -- Disadvantaged Business Requirement.** Applicants are advised that, to the extent that recipients of a grant use contractors or subcontractors, such recipients shall use small, minority, women-owned or disadvantaged business concerns and contractors or subcontractors to the extent practicable.

**5.12 -- National Preparedness Reporting Compliance.** *The Government Performance and Results Act (Public Law 103-62) (GPRA)* requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. FEMA will work with grantees to develop tools and processes to support this requirement. FEMA anticipates using this information to inform future-year grant program funding decisions. Award recipients must agree to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within their grant agreement. This includes any assessments, audits, or investigations conducted by the Department of Homeland Security, Office of the Inspector General, or the Government Accountability Office.

## **C. Reporting Requirements**

Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements. Please note that FEMA Payment and Reporting System (PARS) contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

- 1. Financial Status Report (FSR) -- required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FSR, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending

March 31, FSR is due no later than April 30). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FSR is due 90 days after the end date of the performance period.

FSRs **must be filed online** through the PARS.

Reporting periods and due dates:

- October 1 – December 31; *Due January 30*
- January 1 – March 31; *Due April 30*
- April 1 – June 30; *Due July 30*
- July 1 – September 30; *Due October 30*

- 2. Categorical Assistance Progress Report (CAPR).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicable SAAs are responsible for completing and submitting the CAPR reports. Awardees should include a statement in the narrative field of the CAPR that reads: *See Biannual Strategy Implementation Report (BSIR).*

The CAPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Future awards and fund drawdowns may be withheld if these reports are delinquent.

CAPRs must be filed online at <https://grants.ojp.usdoj.gov>. Guidance and instructions can be found at <https://grants.ojp.usdoj.gov/gmsHelp/index.html>.

***Required submission: CAPR (due semi-annually).***

- 3. Initial Strategy Implementation Plan (ISIP).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information to meet the pass-through requirement. The applicable SAAs are responsible for completing and submitting the ISIP online.

***Required submission: ISIP (due within 45 days of the award date).***

- 4. Biannual Strategy Implementation Reports (BSIR).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicable SAAs are responsible for completing and submitting the BSIR reports which is a component of the CAPR. The BSIR submission will satisfy the narrative requirement of the CAPR. SAAs are still required to submit the CAPR with a statement in the narrative field that reads: *See BSIR.*

The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Future awards and fund drawdowns may be withheld if these reports are delinquent.

***Required submission: BSIR (due semi-annually).***

- 5. Financial and Compliance Audit Report.** Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accountability Office, *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2009 NSGP assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant.

The State shall require that sub-grantees comply with the audit requirements set forth in *OMB Circular A-133*. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

***Monitoring***

Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met. Programmatic monitoring may also include the Regional Federal Preparedness Coordinators, when appropriate, to ensure consistency of project investments with Regional and National goals and policies, as well as to help synchronize similar investments ongoing at the Federal, State, and local levels.

Monitoring will be accomplished through a combination of office-based reviews and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, performance and administrative issues relative to each program and will identify areas where technical assistance and other support may be needed.

The recipient is responsible for monitoring award activities, to include sub-awards, to provide reasonable assurance that the Federal award is administered in compliance

with requirements. Responsibilities include the accounting of receipts and expenditures, cash management, maintaining of adequate financial records, and refunding expenditures disallowed by audits.

***Grant Close-Out Process***

Within 90 days after the end of the period of performance, grantees must submit a final FSR and final CAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the project as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR. The grantee is responsible for returning any funds that have been drawndown but remain as unliquidated on grantee financial records.

***Required submissions: (1) final SF-269a, due 90 days from end of grant period; and (2) final CAPR, due 90 days from the end of the grant period.***



## PART VII.

# FEMA CONTACTS

This section describes several resources that may help applicants in completing a FEMA grant application. During the application period FEMA will identify multiple opportunities for a cooperative dialogue between the Department and applicants to ensure a common understanding of the funding priorities and administrative requirements associated with the FY 2009 NSGP and to help in submission of projects that will have the highest impact on reducing risks.

- 1. Centralized Scheduling & Information Desk (CSID) Help Line.** CSID is a non-emergency resource for use by emergency responders across the nation. CSID is a comprehensive coordination, management, information, and scheduling tool developed by DHS through FEMA for homeland security terrorism preparedness activities. CSID provides general information on all FEMA grant programs and information on the characteristics of CBRNE, agro-terrorism, defensive equipment, mitigation techniques, and available Federal assets and resources.

CSID maintains a comprehensive database containing key personnel contact information for homeland security terrorism preparedness programs and events. These contacts include personnel at the Federal, State and local levels. CSID can be contacted at (800) 368-6498 or [askcsid@dhs.gov](mailto:askcsid@dhs.gov). CSID hours of operation are from 8:00 am–6:00 pm (EST), Monday-Friday.

- 2. Grant Programs Directorate (GPD).** FEMA GPD will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to [ASK-GMD@dhs.gov](mailto:ASK-GMD@dhs.gov).
- 3. GSA's State and Local Purchasing Programs.** The U.S. General Services Administration (GSA) offers two efficient and effective procurement programs for State and local governments to purchase products and services to fulfill homeland security and other technology needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes.
  - Cooperative Purchasing Program  
Cooperative Purchasing, authorized by statute, allows State and local governments to purchase a variety of supplies (products) and services under



specific GSA Schedule contracts to save time, money, and meet their everyday needs and missions.



The Cooperative Purchasing program allows State and local governments to purchase alarm and signal systems, facility management systems, firefighting and rescue equipment, law enforcement and security equipment, marine craft and related equipment, special purpose clothing, and related services off of Schedule 84 and Information Technology products and professional services off of Schedule 70 and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing for these categories is authorized under Federal law by the *Local Preparedness Acquisition Act* (Public Law 110-248) and Section 211 of the *E-Government Act of 2002* (Public Law 107-347).

Under this program, State and local governments have access to GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The U.S. General Services Administration provides a definition of State and local governments as well as other vital information under the frequently asked questions section on its website at <http://www.gsa.gov/cooperativepurchasing>.

- **Disaster Recovery Purchasing Program**

GSA plays a critical role in providing disaster recovery products and services to Federal agencies. Now State and Local Governments can also benefit from the speed and savings of the GSA Federal Supply Schedules. Section 833 of the *John Warner National Defense Authorization Act for Fiscal Year 2007* (Public Law 109-364) amends 40 U.S.C. §502 to authorize GSA to provide State and Local governments the use of ALL GSA Federal Supply Schedules for purchase of products and services to be used to *facilitate recovery from a major disaster declared by the President under the Robert T. Stafford Disaster Relief and Emergency Assistance Act or to facilitate **recovery** from terrorism or nuclear, biological, chemical, or radiological attack.*

GSA provides additional information on the Disaster Recovery Purchasing Program website at <http://www.gsa.gov/disasterrecovery>.

State and local governments can find a list of contractors on GSA's website, <http://www.gsaibrary.gsa.gov>, denoted with a  or  symbol.

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit <http://www.gsa.gov/csd> to find a local customer service director in your area. For assistance at the national level, contact Tricia Reed at [tricia.reed@gsa.gov](mailto:tricia.reed@gsa.gov), (571) 259-9921. More information is available on all GSA State and local programs at: [www.gsa.gov/stateandlocal](http://www.gsa.gov/stateandlocal).

- 4. Homeland Security Preparedness Technical Assistance Program.** The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides direct support assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to prevent, protect against, respond to, and recover from terrorist and all hazard threats. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other direct support assistance programs.

More information can be found at [http://www.fema.gov/about/divisions/pppa\\_ta.shtm](http://www.fema.gov/about/divisions/pppa_ta.shtm).

- 5. Lessons Learned Information Sharing (LLIS) System.** LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, AARs from exercises and actual incidents, and other relevant homeland security documents. LLIS facilitates improved preparedness nationwide by providing response professionals with access to a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

The LLIS website also includes a national directory of homeland security officials, as well as an updated list of homeland security exercises, events, and conferences. Additionally, LLIS includes online collaboration tools, including secure email and message boards, where users can exchange information. LLIS uses strong encryption and active site monitoring to protect all information housed on the system. The LLIS website is <https://www.llis.gov>.

- 6. Information Sharing Systems.** FEMA encourages all State, regional, local, and Tribal entities using FY 2009 funding in support of information sharing and intelligence fusion and analysis centers to leverage available Federal information sharing systems, including Law Enforcement Online (LEO) and the Homeland Security Information Network (HSIN). For additional information on LEO, contact the LEO Program Office at [leoprogramoffice@leo.gov](mailto:leoprogramoffice@leo.gov) or (202) 324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at (703) 674-3003.