



**U.S. DEPARTMENT OF HOMELAND SECURITY**

**Fiscal Year 2007**

**Competitive Training Grants Program**

**PROGRAM GUIDANCE AND APPLICATION KIT**

**April 2007**



## Highlights and Updates

The Fiscal Year (FY) 2007 Competitive Training Grants Program (CTGP) represents the fourth consecutive year for this important national training initiative. The program awards funds to competitively selected applicants to develop and deliver innovative training programs addressing high priority national homeland security training needs.

This year, five important focus areas have been identified for applicants to use in the development of their application and concept paper. A simplified and revised concept paper template has been developed for this purpose. Applicants may submit only one application and propose a training program for only one focus area. A rigorous, competitive peer review process will be used to select proposals for potential award.

State, local, tribal and Territorial governments, national associations, higher education institutions, nonprofits and the private sector are eligible and encouraged to apply. Creative, collaborative partnerships that enhance training capacity and subject matter expertise are encouraged.

The FY 2007 CTGP reflects the Department of Homeland Security's (DHS) commitment to continue working closely with the Nation's homeland security partners in a unified national effort to continuously expand training opportunities that address the evolving national risk environment.

All applicants are required to read and conform to all requirements of this grant guidance document and must have read and accepted all program guidance as binding.

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## INTRODUCTION

The CTGP provides funds to support training initiatives that are national in scope and further the DHS mission of preparing the Nation to prevent, protect against, respond to, and recover from risks posed by man, nature, and technology.

The purpose of this package is to provide: (1) an overview of the CTGP; and (2) formal grant guidance and application materials needed to apply for program funding. An explanation of DHS management requirements for a successful application is also included.

Making an application for significant Federal funds can be quite complex. Our mission at DHS is to provide clear guidance and efficient tools to assist applicants. Our customers are entitled to effective assistance during the application process, and transparent, disciplined management controls to support grant awards. We intend to be good stewards of Federal resources, and partners with a common sense approach to relationships with those with whom we work.

### A. Federal Investment Strategy

The CTGP is an important part of the Administration's larger, coordinated effort to strengthen homeland security preparedness. The CTGP supports objectives addressed in a series of post 9/11 laws, strategy documents, plans, and Homeland Security Presidential Directives (HSPDs) outlined in Appendix 1, including the National Preparedness Goal (the Goal). The Goal is an all-hazards vision regarding the Nation's four core preparedness objectives: to prevent, protect against, respond, and recover.

The Goal defines a vision of what to accomplish and a set of tools—including training program grant investments—to forge a unified national consensus about what to do and how to work together at the Federal, State, local, and tribal levels. Private sector participation is integral to the Goal's success.<sup>1</sup> The Goal outlines 15 scenarios that form the basis of much of the Federal exercise and training regime. In addition, it identifies 37 critical target capabilities that DHS, and its State, local, tribal, and private sector partners are making the focus of key investments.

DHS expects its training partners to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their training program planning, development, and delivery to the degree practicable. The CTGP focus areas outlined in this document reflect the Goal's priority investments, as appropriate.

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<sup>1</sup> The National Preparedness Goal and its supporting documents were published in draft form in March 2005. After extensive stakeholder outreach, the final Goal documents are expected to be published in 2007. For purposes of aligning applications under the CTGP, applicants can rely on the existing draft Goal, available at: <http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm>.

## B. Funding Priorities

Training programs that support the Nation's preparedness have long relied on classroom instruction and practical exercises. To ensure that CTGP training courses are accessible to as many key public and private officials with homeland security responsibilities throughout the Nation as possible, more distributed and flexible training models are encouraged. This "blended learning" approach encourages traditional classroom instruction with creative uses of web-based and computer-based training, simulations, and video tele-training. Courses are also encouraged to be offered locally or regionally to leverage expertise, share resources, and enhance training capacity. Proposed training programs must be innovative and distinct in comparison to current training offered by DHS's National Domestic Preparedness Consortium, other DHS training partners, other Federal agencies, and training traditionally offered by State and local training academies for routine missions.

Training should be designed for and delivered to appropriate State and local personnel with Homeland Security related responsibilities. The audience for training should be identified by applicants in their proposals.

In FY 2007, the emphasis is on the development and delivery of courses in one of the following five focus areas:

- Public communications
- Executive leadership of homeland security programs
- Intergovernmental coordination and planning
- Managing homeland security risks
- Legal issues in preparation, response, and recovery

These five focus areas reflect important components of a national homeland security training program that will ultimately support all target capabilities. These areas are broad and complex. Each applicant is expected to use a combination of readily available resources and their working knowledge of the subject matter to refine the focus area and to shape the overall training program in keeping with current national policies, doctrines, and priorities. Proposed training must be consistent with applicable Federal regulations, policies, and guidance that govern the focus area.

### **Focus Area 1: Public communications**

**Description:** Systems and protocols for communicating timely and accurate information to the public are critical before, during, and after a terrorist incident or major disaster. Well-developed strategies and communications plans ensure life saving prevention, protection, response, and recovery measures, evacuation routes, alert and warning systems, and other public safety information is coordinated with and communicated to numerous audiences. Dissemination of emergency information to the public is an operational mission that must be written into contingency plans at all levels of government. The National Incident Management System (NIMS) describes the

policies, protocols, principles, system components, and procedures needed to support effective emergency public information operations.

**Training Outcome:** Key government officials develop and implement NIMS-based public communications action plans, protocols, and structures and alert and warning procedures that enable citizens to understand risks and take appropriate protective or responsive actions. The goals of the action plans are to ensure interagency coordination and integration, development and delivery of coordinated messages, support for decision-makers, and flexibility, modularity, and adaptability of communications plans during a crisis.

## **Focus Area 2: Executive leadership of homeland security programs**

**Description:** Local and State government agencies are at the forefront of our Nation's evolving homeland security mission. Many demands are placed on them and leadership changes regularly. Continuous training is essential to provide the skills necessary to develop and carry out the strategies, policies, and organizational elements needed to successfully address homeland security missions.<sup>2</sup>

**Training Outcome:** Training must enhance leaders' capacity to acquire a deeper understanding of current and emerging homeland security issues, public policy debates, risk management, and evolving best practices. Local and State leaders should be taught how to:

- Build effective networks among local, State, Federal and private sector homeland security officials.
- Integrate and synchronize the four missions of prevention, protection, response, and recovery to such issues as intelligence, information sharing, critical infrastructure protection, public health, threat recognition, public communications, and incident and fear management.
- Explore emerging homeland security issues at the strategic, policy, and organizational levels, with particular attention to challenges to intergovernmental collaboration, public-private coordination, unified crisis operations, and working relationships across regions, agencies, and local-State-Federal jurisdictional lines.

## **Focus Area 3: Intergovernmental coordination and planning**

**Description:** Coordinated intergovernmental action hinges on effective pre-incident collaboration and planning. The implementation of the Goal and NIMS require collaborative planning. Plans help make sense of the complex homeland security environment by providing a methodical way to think through the entire life-cycle of a potential crisis, shortening the time required to gain control over an incident, and by

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<sup>2</sup> Recent Administration policies that require leadership training among State, local, and tribal government officials includes, among other things: the National Preparedness Goal, National Incident Management System, National Infrastructure Protection Plan, the National Strategy for Pandemic Influenza, and the Information Sharing Environment.

providing favorable conditions for rapid and effective exchange of information about a situation, its analysis, and alternative responses.

**Training Outcome:** A DHS review of State and local plans identified the requirement to modernize planning and strengthen collaboration to ensure Federal, State, and local governments can jointly accomplish their respective missions and apply the full range of capabilities at their disposal to achieve overall incident and national objectives. Training courses should enable State and local agencies to:

- Build effective planning teams that work collaboratively and in near-parallel fashion across multiple organizational levels and all homeland security missions (prevention, protection, response, and recovery).
- Provide planners with the skills to be able to create and revise plans rapidly and systematically, as circumstances require.
- Produce “living” plans that can be maintained continuously in a collaborative environment to reflect changes in planning goals or the threat environment.

#### **Focus Area 4: Managing homeland security risks**

**Description:** Risk analysis and risk management as applied to terrorism and other homeland security-related risks possess a high degree of complexity, uncertainty, and ambiguity. Nevertheless, proper consideration of risk is essential to provide capabilities, processes, and operations that create the greatest benefit to public safety. Despite general agreement with this in principle, how risk is evaluated when making specific decisions varies widely across the homeland security community.

**Training Outcome:** Training educates homeland security professionals who are responsible for managing risk in understanding methodologies that are most appropriate for analyzing, reducing, and countering risks, including:

- How various aspects of risk (i.e., threat, vulnerability, consequence, or likelihood) are balanced in assessing risk.
- How comparisons can be made across various missions, agencies, and topics for which risk is assessed.
- How methodologies and multi-use risk analysis products can be aligned and made more adaptive in the fluid homeland security decision-making environment.
- How to apply capability-based preparedness principles to optimize reductions in risk.

#### **Focus Area 5: Legal issues in preparation, response, and recovery**

**Description:** State and local government officials face a number of unique legal issues relating to homeland security. For example, securing a buffer zone may raise sensitive environmental issues or require eminent domain actions. The immediate and critical requirements of responding to a terrorist action or natural disaster could include quarantines or travel restrictions, or the rapid disposal of contaminated materials. Also, the expanding interdependency of critical infrastructure, including communications and

technology, pose unprecedented domestic and international legal issues. Officials must rely on their legal counsels for advice; yet in many cases, these legal advisors may not have had the opportunity to acquire training to deal with these challenges. Without adequate training they will face each challenge as a “case of first impression,” causing potential confusion and legal missteps.

**Training Outcome:** Training targets State and local government key advisors and legal counsel, and complements their legal continuing education requirements. Training should address legal issues relating to preparing for, responding to, and recovering from terrorist attacks and major disasters. Training on complex homeland security legal issues includes such diverse functions as research, project organization, and safety. The training, where possible, should not be specific to a local jurisdiction; it must be all-encompassing and relate to everything lawyers and key personnel do to support State and local officials and incident commanders in preparing for and managing responses to terrorist attacks or major disasters.



## PART I.

# AVAILABLE FUNDING AND ELIGIBLE APPLICANTS

### A. Available Funding

A total of \$29,100,000 in CTGP funds is available to develop and deliver innovative training programs of national scope that meet emerging training needs in our Nation's communities. Funding will be provided in the form of a *cooperative agreement* directly to the selected applicants.

### B. Selection of Eligible Applicants

Eligible applicants include: State, local, tribal, and Territorial governments; national associations and organizations with a demonstrable stake in and/or expertise relevant to one of the focus areas; higher education institutions with existing programs which address one of the focus areas; nonprofits, including community and faith-based organizations with a demonstrable stake in and/or expertise relevant to one of the focus areas; and private sector corporations including owners and operators of critical infrastructure or other entities which can demonstrate a stake in and/or expertise relevant to one of the focus areas.

## PART II.

# APPLICATION EVALUATION PROCESS

DHS has established a two-step application process for CTGP. The first step involves the submission of an application on [Grants.gov](https://www.grants.gov) that includes an 8-page national training concept paper. Applicants competitively selected during this step will be invited to submit a more detailed national training proposal (step two). The next section provides detailed information about the application deadline and review requirements for step one.

### A. Overview - Application Deadline and Review Process

***Completed applications (with concept papers) must be submitted to DHS via [Grants.gov](https://www.grants.gov) (see Part III for details about this Federal grant application tool) no later than 11:59 PM EST, May 4, 2007.***

DHS will evaluate and act on applications within 60 days of the end of the application period. DHS will review all applications and their effectiveness in addressing the funding priorities consistent with DHS policy as outlined in this *CTGP Program Guidance and Application Kit*.

Concept papers will be reviewed and evaluated for adherence to content and format requirements established in this guidance. The following represents a summary of key elements that will support the concept paper evaluation process. Concept papers should:

- Clearly select only one of the five eligible focus areas and demonstrate how the applicant's subject matter expertise will guide the development and delivery of a relevant and timely training program of national scope.
- Clearly demonstrate the applicant's relevance to the selected focus area either as a knowledgeable stakeholder or as a recognized source of expertise in the field.
- Propose innovative and distinct training in comparison to training currently offered by the DHS National Domestic Preparedness Consortium, other DHS training partners, other Federal agencies, and training traditionally offered by State and local training academies for routine missions.
- Propose training accessible to State and local responders throughout the Nation, using a distributed and flexible "blended learning" training model.

- Training should be designed for and delivered to appropriate State and local personnel with Homeland Security related responsibilities. The audience for training should be identified by applications in their proposals along with justification for why that is the most appropriate audience for the selected focus areas and an explanation of how the training is designed to best address that particular audience.

Additionally, the concept paper must adhere to the format, content, and length requirements detailed in Appendix 3 of this guidance. The Executive Summary statement must accurately reflect the training program's key components in 350 words or less. This summary statement will be used by DHS program staff as an important source of information in their review and evaluation of the application.

Applicants will be notified about their selection status once the DHS review has been completed. The following represents examples of why DHS may reject an application:

- Incomplete applications
- Did not propose a national scope training program
- Did not address one of the five focus areas
- Addressed more than one focus area
- Did not comply with format requirements
- Not submitted through the official online application portal

No additions to submitted applications or application resubmissions will be allowed.

## **B. CTGP Support from DHS**

DHS has established a special e-mail account exclusively for CTGP program questions. Please e-mail your questions dealing with the scope, purpose, or intent of this program to [CTGPhelp@dhs.gov](mailto:CTGPhelp@dhs.gov). Allow one business day for a reply. During the final week of the application period, additional support contact information will be posted on the DHS Training Division's web site [http://ojp.usdoj.gov/odp/training\\_ctgp.htm](http://ojp.usdoj.gov/odp/training_ctgp.htm). For post-award questions and support, see Appendix 5 – Additional Resources.

## PART III. PROGRAM REQUIREMENTS

### A. Application Requirements

The following steps must be completed using the online [Grants.gov](http://www.grants.gov) system to ensure a successful application submission:

1. **Application via [Grants.gov](http://www.grants.gov).** DHS participates in the Administration's e-government initiative. As part of that initiative, all CTGP applicants must file their applications using the Administration's common electronic "storefront" -- [Grants.gov](http://www.grants.gov). Eligible Authorized Organization Representatives must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>. Additional information on using [Grants.gov](http://www.grants.gov) can be found in Appendix 2.
2. **Application deadline.** Completed applications must be submitted to [Grants.gov](http://www.grants.gov) no later than **11:59 PM EST, May 4, 2007**.
3. **Valid Central Contractor Registry (CCR) Registration.** The application process also involves an updated and current registration by the applicant and the applicant's Business Point of Contact through the CCR. Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for FY 2007 CTGP funding through [grants.gov](http://www.grants.gov) at <http://www.grants.gov>.

This registration process must be completed 5 business days prior to the application deadline for all new participants to ensure [Grants.gov](http://www.grants.gov) access. Applications submitted after the deadline will not be accepted.

4. **Online application.** The online application must be completed and submitted using [Grants.gov](http://www.grants.gov) after CCR registration is confirmed. The online application includes the following required forms and submissions:
  - Standard Form 424, Application for Federal Assistance
  - Standard Form 424B, Assurances
  - Standard Form LLL, Disclosure of Lobbying Activities
  - Standard Form 424A, Budget Information
  - Certification Regarding Debarment, Suspension, and Other Responsibility Matters
  - Any additional required attachments (i.e. Concept Paper)

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is “*Competitive Training Grants*.” The CFDA number is **97.068**. When completing the online application, applicants should identify their submissions as new, non-construction applications.

5. **Project period.** The project period will be for a period not to exceed 36 months.
6. **Data Universal Numbering System (DUNS) number.** The applicant must provide a Dun and Bradstreet DUNS number with their application. This number is a required field within [Grants.gov](https://www.grants.gov) and for CCR registration. Organizations should verify 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 1-866-705-5711.
7. **Detailed budget.** The applicant must provide a one-page budget summary as part of the 8-page Concept Paper (see Appendix 3). However, it is not necessary to provide detailed budget information as requested on the [Grants.gov](https://www.grants.gov) Standard Form 424A, Budget Information. Completion of this form is required by the [Grants.gov](https://www.grants.gov) application process; therefore, applicants may simply insert zeros in all mandatory number fields. **Note: This year’s CTGP does not require the applicant to provide matching funds; however, in future CTGP solicitations a match will be required.**
8. **Concept paper.** **Applicants may submit only one concept paper that deals exclusively with one focus area.** Applicants are encouraged to select the focus area on the basis of their expertise and training capacity. The concept paper is submitted as part of the online application process described above. Additional information and the required template for the Concept Paper can be found in Appendix 3.
9. **Standard financial requirements.**
  - 9.1 -- **Non-supplanting certification:** This certification affirms grant funds will be used to supplement existing funds, and will not replace (supplant) funds appropriated for the same purpose. Potential supplanting will be addressed in the application review, as well as in the pre-award review, post-award monitoring, and any potential audits. 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.
  - 9.2 -- **Assurances:** Assurances forms (SF-424B and SF-424D) can be accessed at <http://apply.grants.gov/agency/FormLinks?family=7>. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.

**9.3 -- Certification regarding drug-free workplace requirement and lobbying, debarment, suspension, and other responsibility matters:** This certification, which is a required component of the online application, commits the applicant to compliance with the certification requirements under 28 CFR part 67, *Government-wide Debarment and Suspension (Non-procurement)*; 28 CFR part 69, *New Restrictions on Lobbying*; and 28 CFR part 83 *Government-wide Requirements for Drug-Free Workplace (Grants)*. All of these can be referenced at: [http://www.access.gpo.gov/nara/cfr/waisidx\\_04/28cfrv2\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html).

**9.4 -- Accounting System and Financial Capability Questionnaire:** All nongovernmental (nonprofit and commercial) organizations that apply for CTGP funding that have not previously (or within the last 3 years) received funding from DHS must complete the Accounting System and Financial Capability Questionnaire. The form can be found at <http://www.ojp.usdoj.gov/oc>.

## 10. Administrative requirements

**10.1 -- Freedom of Information Act (FOIA):** DHS recognizes 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. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. 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 DHS 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 DHS regarding concerns or questions about the release of information under State and local laws. The grantee should be familiar with the regulations governing Protected Critical Infrastructure Information (6 CFR Part 29) and Sensitive Security Information (49 CFR Part 1520), as these designations may provide additional protection to certain classes of homeland security information.

**10.2 -- 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 from DHS 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. More information can be found at:

<http://usinfo.state.gov/usa/infousa/laws/majorlaw/civilr19.htm>.

- *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. More information can be found at: <http://www.section508.gov/index.cfm?FuseAction=Content&ID=15>.
- *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. More information can be found at: <http://www.usdoj.gov/crt/cor/coord/titleix.htm>.
- *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.

**10.3 -- Services to limited English proficient (LEP) persons:** Recipients of DHS 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, national 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, please see <http://www.lep.gov>.

**10.4 -- Integrating individuals with disabilities into emergency planning:** Executive Order #13347, entitled "Individuals with Disabilities in Emergency Preparedness" and 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. Consequently, Federal agencies are required to: (1) encourage consideration of the



needs of persons with disabilities in emergency preparedness planning; and (2) facilitate cooperation among Federal, State, local, and tribal governments, private organizations, nongovernmental organizations, and the general public in the implementation of emergency preparedness plans as they relate to individuals with disabilities. Further information can be found at the Disability and Emergency Preparedness Resource Center at <http://www.dhs.gov/disabilitypreparedness>.

## **B. Competitive Training Grants Program Application Checklist**

***All CTGP applicants must complete the following:***

1. Obtain/possess a valid DUNS number.
2. Complete/Update a valid CCR registration.
3. Complete [Grants.gov](http://Grants.gov) application requirements.
4. Complete and upload a CTGP concept paper in the required format.
5. Submit only one online application and only one concept paper covering one focus area prior to submission deadline.



## Appendix 1 National Preparedness Architecture

This chart graphically summarizes key elements of the national preparedness architecture.



## Appendix 2

# Grants.Gov Quick-Start Instructions

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

Application attachments submitted via [Grants.gov](http://www.grants.gov) must be in one of the following formats: Microsoft Word (\*.doc), PDF (\*.pdf), or text (\*.txt). Note that the [Grants.gov](http://www.grants.gov) system does not process Microsoft Word documents with the extension .DOCX as used in the new version of Microsoft Word. Use the Catalog of Federal Domestic Assistance (CFDA) number listed in Part III during the application process in grants.gov.

This Appendix is intended to provide guidance on the various steps and activities associated with filing an application using [Grants.gov](http://www.grants.gov).

Grants.gov may be contacted by any of the following means:

- Email at [support@grants.gov](mailto:support@grants.gov);
- Telephone the Grants.gov Contact Center Phone: 1-800-518-4726. The Contact Center hours of operation are Monday-Friday, 7 a.m. to 9 p.m., Eastern Standard Time; closed on Federal Holidays.
- U.S. Postal Service (USPS) Mail Address:  
U.S. Department of Health and Human Services  
Office of Grants  
200 Independence Avenue, S.W.  
HHH Building  
Washington, DC 20201

When contacting this office, the following information will help expedite your inquiry:

- Funding Opportunity Number (FON)
- Name of Agency You Are Applying To (DHS)
- Specific Area of Concern

### Step 1: Registering

Registering with [Grants.gov](http://www.grants.gov) is a one-time process; however, if you are a first time registrant **it could take 3-5 business days to have your registration validated and confirmed, and to receive your user name and password.** It is highly recommended you start the registration process as early as possible to prevent delays in submitting your application package to our agency by the deadline specified. While your

registration is pending, you may continue with Steps 2, 3, and 4 of these instructions. Registration must be complete for you to be able to submit (step 5) and track (step 6) an application.

**1. Establishing an e-business point of contact.** [Grants.gov](http://Grants.gov) requires an organization to first be registered in the CCR before beginning the [Grants.gov](http://Grants.gov) registration process. If you plan to authorize representatives of your organization to submit grant applications through [Grants.gov](http://Grants.gov), proceed with the following steps. If you plan to submit a grant application yourself and sign grant applications and provide the required certifications and/or assurances necessary to fulfill the requirements of the application process, proceed to DUNS Number and then skip to the Authorized Organization Representative and Individuals section.

Go to [www.grants.gov](http://www.grants.gov), and click on the “Get Started” tab at the top of the screen.

- Click the “e-Business Point of Contact” option and click the “GO” button on the bottom right of the screen. If you have already registered with [Grants.gov](http://Grants.gov), you may log in and update your profile from this screen.
- To begin the registration process, click the “Register your Organization [Required]” or “Complete Registration Process [Required]” links. You may print a registration checklist by accessing [www.grants.gov/assets/OrganizationRegCheck.pdf](http://www.grants.gov/assets/OrganizationRegCheck.pdf).

**2. DUNS number.** You must first request a Data Universal Numbering System (DUNS) number. Click “Step 1. Request a DUNS Number.” If you are applying as an individual, please skip to “Authorized Organization Representative and Individuals.” If you are applying on behalf of an organization that already has a DUNS number, please proceed to “Step 2. Register with Central Contractor Registry (CCR).” You may obtain a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1-866-705-5711.

**3. Central Contractor Registry (CCR).** Registering with the CCR or updating or changing your profile could take up to 3-5 business days to be confirmed and validated. This delay could prevent your application from being submitted by the deadline specified, so you should register or make changes to your profile as early in the process as possible.

- Once you have a DUNS number, click on “Step 2. Register with Central Contractor Registry (CCR).” Here you are required to designate an individual as a point of contact. This point of contact is the sole authority for the organization and has the capability of issuing or revoking another individual’s authority to submit grant applications through [Grants.gov](http://Grants.gov).

- A registration worksheet is provided to assist in the CCR registration process at <http://www.ccr.gov>. It is recommended you review the “Tips for registering with the CCR” at the bottom of this template.
- Go to <http://www.ccr.gov> or click on the CCR icon in the middle of the screen to begin the registration process. To see if your organization is already registered, click “Search CCR” at the top left side of the screen. Search entries must be exact to accurately search the database. If your organization is already registered, you can scroll down and see who the e-Business point of contact is for your agency. If your organization is not already registered, return to the CCR home page and click “Start New Registration” at the top left of the screen.
- If you have problems or questions about the CCR registration process, please contact the CCR Assistance Center at 1–888–227–2423.
- Once your registration is complete, you will receive an email with a Trading Partner Identification Number (TPIN) and Marketing Partner Identification Number (MPIN). You will need the MPIN to register with [grants.gov](http://www.grants.gov). If your organization is already registered with the CCR, you will need to obtain the MPIN from your e-Business point of contact.

**4. Authorize your Organization Representative.** Click “Step 3. Authorize your Organization Representative.” Follow steps 1-4. You will need your DUNS + 4 digit number and the MPIN number CCR e-mailed to you.

**5. Log in as e-Business Point of Contact.** You may now go to “Step 4. Log in as e-Business Point of Contact.” Here you may authorize or revoke the authority of the Authorized Organization Representative. Once you are logged in, go to “Step 2. Downloading the Application Viewer,” below.

**6. Authorized Organization Representative and Individuals.** If you plan to submit a grant application as an individual or an Authorized Organization Representative, with authority to sign grant applications and the required certifications and/or assurances necessary to fulfill the requirements of the application process, proceed with the following steps:

- Go to [www.grants.gov](http://www.grants.gov) and click on the “Get Started” tab at the top of the screen.
- Click the “Authorized Organization Representative (AOR)” option and click the “GO” button to the bottom right of the screen. If you are applying as an individual, click the “Individuals” option and click the “GO” button to the bottom right of the screen.
- If you have previously registered as an AOR, you may start searching for this grant opportunity from this page. Otherwise, you must complete the first-time

registration by clicking “Complete First-Time Registration [Required].” You also may click on “Review Registration Checklist” and print a checklist for the following steps (see [www.grants.gov/assets/AORRegCheck.pdf](http://www.grants.gov/assets/AORRegCheck.pdf)).

- Individuals may click the “registration checklist” for help in walking through the registration process.

**7. Credential Provider.** Once you have entered the registration process, you must register with the credential provider to safeguard the security of your electronic information. You must have your DUNS + 4 digit number to complete this process. Click on “Step 1. Register with a Credential Provider.” Enter your DUNS number and click “Register.” Once you have entered the required information, click the “Submit” button.

If you need help with this process, please contact Credential Provider Customer Service at 1–800–386–6820. It can take up to 24 hours for your credential provider information to synchronize with [Grants.gov](http://Grants.gov). Attempting to register with [Grants.gov](http://Grants.gov) before the synchronization is complete may be unsuccessful.

**8. Grants.gov.** After completing the credential provider steps above, click “Step 2. Register with [Grants.gov](http://Grants.gov).” Enter the same user name and password used when registering with the credential provider. You will then be asked to provide identifying information and your organization’s DUNS number. After you have completed the registration process, [Grants.gov](http://Grants.gov) will notify the e-Business point of contact for assignment of user privileges.

Complete the “Authorized Organization Representative User Profile” screen and click “Submit.” *Note:* Individuals do not need to continue to the “Organizational Approval” step below.

**9. Organization Approval.** Prior to submitting a grant application package, you must receive approval to submit on behalf of your organization. This requirement prevents individuals from submitting grant application packages without permission. A notice is automatically sent to your organization’s e-Business point of contact. Then, your e-Business point of contact approves your request to become an AOR. You may go to <http://www.ccr.gov> to search for your organization and retrieve your e-Business point of contact information. Once organization approval is complete, you will be able to submit an application and track its status.

## **Step 2: Downloading the Application Viewer**

You may download the PureEdge Viewer while your registration is in process. You also may download and start completing the application forms in steps 3 and 4 below. This application viewer opens the application package needed to fill out the required forms.

The download process can be lengthy if you are accessing the Internet using a dial-up connection.

- From the [Grants.gov](http://www.grants.gov) home page, select the “Apply for Grants” tab at the top of the screen.
- Under “Apply Step 1: Download a Grant Application Package and Applications Instructions,” click the link for the PureEdge Viewer (<http://www.grants.gov/DownloadViewer>). This window includes information about computer system requirements and instructions for downloading and installation.

If you are a Macintosh user, please read the PureEdge Support for Macintosh white paper available at

[www.grants.gov/GrantsGov\\_UST\\_Grantee!/SSL!/WebHelp/MacSupportforPureEdge.pdf](http://www.grants.gov/GrantsGov_UST_Grantee!/SSL!/WebHelp/MacSupportforPureEdge.pdf).

- Scroll down and click on the link to download the PureEdge Viewer ([www.grants.gov/PEViewer/ICSViewer602\\_grants.exe](http://www.grants.gov/PEViewer/ICSViewer602_grants.exe)).
- You will be prompted to save the application. Click the “Save” button and the “Save As” window opens. Select the location where you would like to save PureEdge Viewer and click the “Save” button.
- A window appears to show the progress of the download. When the downloading is complete, click to close the dialog box.
- To install the PureEdge Viewer, locate the file on your computer and click to open it. When you are prompted to run the file, click “RUN.” Click “Yes” to the prompt to continue with the installation. The ICS InstallShield Wizard extracts the necessary files and takes you to the “Welcome” page.
- Click “Next” to continue.
- Read the license agreement and click “Yes” to accept the agreement and continue the installation process. This takes you to the “Customer Information” screen.
- Enter a User Name and a Company Name in the designated fields and click “Next.”
- The “Choose Destination Location” window prompts you to select the folder in which PureEdge Viewer will be installed. To save the program in the default folder, click “Next.” To select a different folder, click “Browse.” Select the folder in which you would like to save the program, click on “OK,” and then click “Next.”



- The next window prompts you to select a program folder. To save program icons in the default folder, click “Next.” To select a different program folder, type a new folder name or select one from the list of existing folders, then click “Next.” Installation will begin.
- When installation is complete, the “InstallShield Wizard Complete” screen will appear. Click “Finish.” This will launch the “ICS Viewer Help Information” window. Review the information and close the window.

### **Step 3: Downloading an Application Package**

Once you have downloaded the PureEdge Viewer, you may download and view this application package and solicitation instructions.

- From the [Grants.gov](https://www.grants.gov) home page, select the “Apply for Grants” tab at the top of the screen.
- Click “Apply Step 1: Download a Grant Application Package and Application Instructions.”
- Enter the CFDA number for this announcement, 97.068. Then click “Download Package.” This will take you to the “Selected Grants Application for Download” results page.
- To download an application package and its instructions, click the corresponding download link below the “Instructions and Application” column.
- Once you select a grant application, you will be taken to a “Download Opportunity Instructions and Application” screen to confirm that you are downloading the correct application. If you would like to be notified of any changes to this funding opportunity, enter your e-mail address in the corresponding field, then click the “Submit” button.
- After verifying that you have downloaded the correct opportunity information, click the “Download Application Instructions” button. This will open a PDF of this grant solicitation. You may print the solicitation or save it to your computer by clicking either the print icon at the top tool bar or the “File” button on the top tool bar. If you choose to save the file, click on “Save As” and save to the location of your choice.
- Click the “Back” navigation button to return to the “Download Opportunity Instructions and Application” page. Click the “Download Application Package” button. The application package will open in the PureEdge Viewer.

- Click the “Save” button to save the package on your computer. Because the form is not yet complete, you will see a prompt that one or more fields may be invalid. You will complete these fields in step 4, but for now, select “Yes” to continue. After you click “Yes,” the “Save Form” window will open.
- Save the application package to your desktop until after submission. Select a name and enter it in the “Application Filing Name” field. Once you have submitted the application through [Grants.gov](https://www.grants.gov), you may then move your completed application package to the file location of your choice.
- Click the “Save” button. If you choose, you may now close your Internet browser and complete your application package offline by double clicking the icon on your desktop. You do not have to be connected to the Internet to complete the application package in Step 4, below.

#### **Step 4: Completing the Application Package**

This application can be completed entirely offline; however, you will need to log in to [Grants.gov](https://www.grants.gov) to submit the application in Step 5.

- Locate the application package you saved on your computer. When you open the package, it will be in PureEdge Viewer. You may save your application at any time by clicking on the “Save” button at the top of the screen.
- Enter a name for your application package in the “Application Filing Name” field. This can be a name of your choice.
- Open and complete all the mandatory and optional forms or documents. To complete a form, click to select the form, and then click the “Open” button. When you open a required form, the mandatory fields will be highlighted in yellow. If you enter incomplete information in a mandatory field, you will receive an error message or the field will turn red, indicating a change needs to be made.
- Mandatory forms include the: (1) Application for Federal Assistance (SF-424); (2) Assurances for Non-Construction Programs (SF-424B); and (3) Disclosure of Lobbying Activities (SF-LLL). These forms can also be viewed at <http://apply.grants.gov/agency/FormLinks?family=7>. Other mandatory forms are identified in Part III.
- When you have completed a form or document, click the “Close Form” button at the top of the page. This will take you back to the cover/submission page where the “Save” button is located on the top left side of the screen. If you do not complete this step, your information will not be saved.



- Next, click to select the document in the left box entitled “Mandatory Documents.” Click the “=>” button to move the form or document to the “Mandatory Completed Documents for Submission” box to the right.
- Some mandatory documents will require you to upload files from your computer. To attach a document, select the corresponding form and click “Open.” Click the “Add Mandatory Attachment” button to the left. The “Attach File” box will open. Browse your computer to find where your file is located and click “Open.” The name of that file will appear in the yellow field. Once this is complete, if you would like to attach additional files, click on the “Add Optional Attachment” button below the “Add Mandatory Attachment” button.
- An “Attachments” window will open. Click the “Attach” button. Locate the file on your computer that you would like to attach and click the “Open” button. You will return to the “Attach” window. Continue this process until you have attached all the necessary documents. You may attach as many documents as necessary.
- Once you have finished, click the “Done” button. The box next to the “Attach at Least One Optional Other Attachment” will now appear as checked.
- *Note:* The name of these buttons will vary depending on the name of the form you have opened at that time; i.e., Budget Narrative, Other Attachment, and Project Narrative File.
- To exit a form, click the “Close” button. Your information will automatically be saved.

### **Step 5: Submitting the Application**

Once you have completed all the yellow fields on all the forms and saved the application on your desktop, check the application package for errors. This can be done any time throughout step 4 above and as often as you like.

- When you are ready to submit your final application package, the “Submit” button at the top of your screen will be enabled. This button will not be activated unless all mandatory data fields have been completed. When you are ready to submit your application, click on “Submit.” This will take you to a “Summary” screen.
- If your “Submit” button is not activated, then click the “Check Package for Errors” button at the top of the “Grant Application Package” screen. PureEdge Viewer will start with the first form and scan all the yellow fields to make sure they are complete. The program will prompt you to fix one error at a time as it

goes through the scan. Once there are no more errors, the system will allow you to submit your application to [Grants.gov](http://www.grants.gov).

- Review the application summary. If you wish to make changes at this time, click “Exit Application” to return to the application package, where you can make changes to the forms. To submit the application, click the “Sign and Submit Application” button.
- This will take you to a “Login” screen where you will need to enter the user name and password that you used to register with [Grants.gov](http://www.grants.gov) in “Step 1: Registering.” Enter your user name and password in the corresponding fields and click “Login.”
- Once authentication is complete, your application will be submitted. Print this confirmation screen for your records. You will receive an e-mail message to confirm that the application has been successfully uploaded into [Grants.gov](http://www.grants.gov). The confirmation e-mail will give you a [Grants.gov](http://www.grants.gov) tracking number, which you will need to track the status of your application. The confirmation e-mail will go to the e-Business point of contact; therefore, if you are submitting on behalf of someone else, be sure the e-Business point of contact is aware of the submission and that a confirmation e-mail will be sent.
- When finished, click the “Close” button.

### **Step 6: Tracking the Application**

After your application is submitted, you may track its status through [Grants.gov](http://www.grants.gov). To do this, go to <http://www.grants.gov>. At the very top of the screen, click on the “Applicants” link. Scroll down the “For Applicants” page and click the “Login Here” button. Proceed to login with your user name and password that was used to submit your application package. Click the “Check Application Status” link to the top left of the screen. A list of all the applications you have submitted through [Grants.gov](http://www.grants.gov) is produced. There four status messages your application can receive in the system:

- **Validated.** This means your application has been scanned for errors. If no errors were found, it validates that your application has successfully been submitted to grants.gov and is ready for the agency to download your application.
- **Received by Agency.** This means DHS downloaded your application into our electronic Grants Management System (GMS) and your application is going through our validation process to be successfully received on our end.
- **Agency Tracking Number Assigned.** This means our GMS did not find any errors with your package and successfully downloaded your application into our system.

- **Rejected With Errors.** This means your application was either rejected by [Grants.gov](#) or GMS due to errors. You will receive an e-mail from [Grants.gov](#) customer support providing details of the results and the next steps required. Most applications are rejected because: (1) a virus was detected; (2) you are using a user name and password that has not yet been authorized by the organization's e-Business point of contact; or (3) the DUNS number you entered on the SF-424 form does not match the DUNS number that was registered in the CCR for this organization.

If you experience difficulties at any point during this process, please call the [Grants.gov](#) customer support hotline at 1-800-518-4726.

## Appendix 3

# Concept Paper Template

DHS has developed a template that establishes the required headers and content of an acceptable 8-page concept paper. This template helps ensure that submissions are organized in a consistent manner and that key data requirements are addressed. Failure to address these data elements in the prescribed format, including page limitations, will result in the elimination of your concept paper.

Applicants must use this template to prepare and submit the electronic version of their concept paper as part of their online application. The concept paper must be created and submitted in Microsoft Word (\*.doc) or text (\*.txt) and may not exceed eight (8) double-spaced pages, in 12-point font, with a minimum of 1-inch margins. The title page/executive summary and the budget overview are included in the 8-page limit. Single-spaced concept papers (i.e. the equivalent of 16 double-spaced pages) will be rejected. No additional attachments will be accepted.

The following section headings, organization, and content are required and must be present in the concept paper.

### **Section 1: Title Page/Executive Summary** *(Limit – 1 Page)*

- *Training Program Title:* Provide a title for your proposed training program.
- *Focus Area Addressed:* Identify the focus area that your proposed training program addresses. Only one focus area is allowed.
- *Organization Identifier:* Provide the name and address of your organization and the primary point of contact.
- *Total Budget:* Provide the total dollar amount of your application, as detailed in the budget summary page.
- *Total Number to be Trained:* Provide a projected total number of persons your program will train during its three-year term.
- *Executive Summary:* In 350 words or less, describe the overall purpose of your training program and how it is unique, innovative, and fulfills CTGP guidance requirements. Information contained in this Executive Summary supports an important component of the DHS concept paper review process; failure to provide this summary in a clear and concise manner may unfavorably impact the results of this review.

**Section 2: Training Program Narrative** *(Limit – 1 Page)*

Concisely describe the overall purpose of the proposed multi-year training program. Describe target audiences, training strategies, and course content. Briefly explain how the training program will enhance a jurisdiction’s capability in the selected focus area, and show workable strategies in developing and delivering a national scope training program.

**Section 3: Training Analysis, Design, and Development** *(Limit – 2 Pages)*

Describe the proposed training needs assessment process that will define course learning objectives, structure, sequencing, and presentation; describe how applicable instructional design methodologies will be used to design and develop course content and delivery approaches; and provide realistic piloting and refinement strategies.

**Section 4: Training Implementation and Evaluation** *(Limit – 2 Pages)*

Provide realistic and cost-effective national training delivery approaches, consistent with DHS goals and your proposed budget; describe the course evaluation methods that measure the quality of instruction, instructional design, delivery, and student learning; explain your approach to incorporating lessons learned and evolving course content requirements.

**Section 5: Applicant Expertise, Support, and Collaboration** *(Limit – 1 Page)*

Briefly describe successful past performances related to the chosen subject matter; demonstrate a capacity to develop and deliver courses nationally, on time, and within budget; describe any relevant local, regional, and/or national affiliations and partnerships directly related to this project; provide a brief staffing plan overview that is realistic, fiscally responsible, and attainable.

**Section 6: Budget Summary** *(Limit – 1 Page)*

Provide total estimated costs for the following general categories: Personnel, Fringe Benefits, Travel, Equipment, Supplies, Consultants/Contracts, Other Costs, Indirect Costs, and Total Estimated Budget; ensure allocations are defensible, particularly for equipment, travel, and staffing; provide a defensible indirect cost rate (if applicable); provide a brief written rationale for how the budget was derived and identify key assumptions and methods for cost estimations. This section is similar to the [Grants.gov](https://www.grants.gov) SF 424A Budget Information form; however, applicants must provide this one-page budget summary, using the prescribed elements stated below, as an integral part of their 8-page concept paper, regardless of how they complete or submit the [Grants.gov](https://www.grants.gov) Budget Information form.

Please provide an estimated cost for each of the following categories:

- **Personnel:** Indicate the total projected salary and wages for all project personnel. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

- **Fringe Benefits:** Fringe benefits should be based on actual known costs or an established formula. Fringe benefits on overtime hours are limited to FICA, Workman’s Compensation, and Unemployment Compensation.
- **Equipment:** Provide the total projected cost of non-expendable items that need to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years. (Note: Organization’s own capitalization policy and threshold amount for classification of equipment may be used). Expendable items should be included either in the “Supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contracts” category.
- **Supplies:** Provide the total projected cost of supplies (e.g. office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders). Organization’s own capitalization policy and threshold amount for classification of supplies may be used. Generally, supplies include any materials that are expendable or consumed during the course of the project.
- **Consultants/Contracts:** Provide the total projected cost of consultants and contracts.
- **Other Costs:** Provide a total projected cost of miscellaneous items (e.g., rent, reproduction, telephone, and investigative or confidential funds)
- **Indirect Costs:** Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), will be required prior to an award. If the applicant does not have an approved rate, one can be requested by contacting the applicant’s cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant’s accounting system permits, costs may be allocated in the direct costs categories.
- **Total Estimated Budget:** The total dollar value for all categories.
- **Budget Rationale** – A brief narrative that explains the key assumptions and methods used for cost estimations.

**Special Budgetary Notes:** DHS has an established course review and approval process that must be followed prior to the release of training programs. Consequently, the applicant should include the costs of the resources they feel necessary to participate in the DHS course review process, which includes a needs assessment, focus group, or other method of “analysis” that will conform to the analyze, design, develop, implement, and evaluate (ADDIE) instructional design

model; conducting three pilot training sessions; instructional design expertise; subject matter expert (SME) attendance at one or more of the pilot sessions (per diem and fee); and staff or consultant time to make the revisions to the course materials suggested by the course review board. In addition to course review and approval costs, the applicant should account for actual course delivery costs.

**Unallowable Costs:** Grant funds should be applied only to costs directly associated with the development and delivery of the proposed training module. Incidental costs associated with training including travel, lodging, and per diem for trainees who attend programs offered regionally or nationally, as well as unassociated overtime and backfill costs associated with either trainees or trainers are not allowed and should not appear in the applicants budget estimate.

## Appendix 4

# Award and Reporting Requirements

(This section does not apply to the Concept Paper phase)

### A. Award and Obligation of Funds

Upon approval of an application, the cooperative agreement will be awarded to the recipient. The date this is done is the “award date.” The signed award document with special conditions must be returned to:

Department of Homeland Security  
Federal Emergency Management Agency  
Office of Grant Operations  
Attention: Control Desk  
245 Murray Lane Bldg. 410  
Washington, DC 20528-7000

An obligation is defined in the *Office of Grant Operations (OGO) Financial Management Guide* as a legally binding liability under a grant, sub-grant, contract or other funding instrument to pay determinable sums for services or goods incurred during the award period.

The period of performance is 36 months from the date of award. Any unobligated funds will be deobligated by DHS at the end of this period. Extensions to the period of performance will be considered only through formal requests to DHS with specific and compelling justifications as to why an extension is required.

### B. Post Award Instructions

DHS’s OGO provides fiscal support and oversight of the grant programs.

**1. Review award and special conditions document.** Notification of award approval is made by e-mail through the FEMA Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official. Carefully read the award and any special conditions or other attachments.

If you agree with the terms and conditions, the authorized official should sign and date both the original and the copy of the award document page in Block 19. You should retain a copy and return the signed documents (original and the copy) to:

Department of Homeland Security  
Federal Emergency Management Agency  
Office of Grant Operations



Attention: Control Desk  
245 Murray Lane Bldg. 410  
Washington, DC 20528-7000

If you do not agree with the terms and conditions of the award, contact the awarding DHS Program Manager as noted in the award package.

**2. Read the guidelines.** Read and become familiar with the “*OGO Financial Management Guide*,” which is available at 1-866-9ASKOGO or online at: [http://www.dhs.gov/xlibrary/assets/Grants\\_FinancialManagementGuide.pdf](http://www.dhs.gov/xlibrary/assets/Grants_FinancialManagementGuide.pdf).

**3. Access to payment systems.** Grantees will receive access to funds through the *Payment and Reporting System (PARS)*. Information regarding use and access to this system will be provided at the time awards are made. Please call the help line at 1-866-927-5646 if additional information is needed.

**5. Reporting Requirements.** Reporting requirements must be met during the life of the grant. Refer to the *OGO Financial Management Guide* and the specific program guidance for a full explanation of these requirements, special conditions, and any applicable exceptions. Required reports include the Financial Status Report and the Categorical Assistance Progress Report. Please note that the *Payment and Reporting System* contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

**6. Questions about your award?** Questions your award should be addressed to the FEMA help line at 1-866-927-5646 or via e-mail at: [ask-ogo@dhs.gov](mailto:ask-ogo@dhs.gov).

## C. Drawdown and Expenditure of Funds

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can drawdown and expend grant funds through the *Payment and Reporting System*. Information regarding use and access to this system will be provided at the time awards are made. Please call the help line at 1-866-927-5646 if additional information is needed.

## D. Reporting Requirements

**1. Financial Status Report (FSR) -- required quarterly.** Obligations and expenditures must be reported to DHS 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 on April 30). A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods where no

grant activity occurs. Future awards and fund drawdowns will be withheld if these reports are delinquent.

FSRs must be filed online through the *Payment and Reporting System*. Forms and instructions for FSRs can be found at: <http://www.ojp.usdoj.gov/forms.htm>.

Grantees are reminded to review the following documents and ensure that grant activities are conducted in accordance with the applicable guidance:

- [OMB Circular A-102](http://www.whitehouse.gov/omb/circulars/index.html), *Grants and Cooperative Agreements with State and Local Governments*, at: <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-87](http://www.whitehouse.gov/omb/circulars/index.html), *Cost Principles for State, Local, and Indian Tribal Governments*, at: <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-110](http://www.whitehouse.gov/omb/circulars/index.html), *Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-21](http://www.whitehouse.gov/omb/circulars/index.html), *Cost Principles for Educational Institutions*, at: <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-122](http://www.whitehouse.gov/omb/circulars/index.html), *Cost Principles for Non-Profit Organizations*, at: <http://www.whitehouse.gov/omb/circulars/index.html>

**Required submission: Financial Status Report (FSR) SF-269a (due quarterly)**

**2. Categorical Assistance Progress Report (CAPR).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information on a regular basis. 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 on 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. The final CAPR is due **within** 90 days after the end date of the award period.

Block #12 of the CAPR should be used to note progress against the proposed project. The grantor agency will provide sufficient information to identify the status of program implementation and goal achievement. CAPRs must be filed online through the internet at: <https://grants.ojp.usdoj.gov>. Forms and instructions can be found at: <http://www.ojp.usdoj.gov/forms.htm>.

**Required submission: CAPR (due semiannually)**

**3. 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. Government 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 2007 CTGP assistance for audit and examination purposes, provided that, in the opinion of the Secretary of Homeland Security or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, 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.

## **E. Monitoring**

Grant recipients will be monitored periodically by DHS 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. Monitoring will be accomplished through a combination of office-based reviews and onsite 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, maintenance of adequate financial records, and refund of expenditures disallowed by audits.

## **F. Grant Close-Out Process**

Within 90 days after the end of the award period, applicants must submit a final FSR and final CAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by DHS, a Grant Adjustment Notice (GAN) will be completed to close out the grant. The GAN will indicate the project as being 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. After the

financial information is received and approved by OGO, the grant will be identified as “Closed by the Office of Grant Operations.”

***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***

## Appendix 5 Additional Resources

**1. Centralized Scheduling & Information Desk (CSID) Help Line.** The 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 for homeland security terrorism preparedness activities. The CSID provides general information on all DHS grant programs and information on the characteristics of CBRNE, agro-terrorism, defensive equipment, mitigation techniques, and available Federal assets and resources.

The 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. The CSID can be contacted at 1-800-368-6498 or [askcsid@dhs.gov](mailto:askcsid@dhs.gov). CSID hours of operation are from 8:00 am–6:00 pm (EST), Monday-Friday.

**2. Office of Grant Operations (OGO).** DHS's OGO provides fiscal support, including pre- and post-award administration and technical assistance, of the grant programs included in this solicitation..

For financial and administrative questions, all grant and sub-grant recipients should refer to the OGO *Financial Management Guide* or contact OGO at 1-866-9ASKOGO or [ask-ogo@dhs.gov](mailto:ask-ogo@dhs.gov).