

The top of the page features a blue-tinted image of the American flag on the left and a bald eagle in flight on the right, set against a dark blue background.

U.S. DEPARTMENT OF HOMELAND SECURITY

Fiscal Year 2007

**Homeland Security Preparedness
Technical Assistance Program**

Program Guidance and Application Kit

June 2007



FEDERAL EMERGENCY MANAGEMENT AGENCY
NATIONAL PREPAREDNESS DIRECTORATE

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Part I. Program Guidance

A. Overview

The Homeland Security Preparedness Technical Assistance Program (HSPTAP) is a capabilities-based program that is structured to build and sustain State and local capacity in preparedness activities. Under this vision, the technical assistance (TA) services developed and delivered to State and local homeland security personnel address the full spectrum of mission areas, national priorities, and target capabilities outlined in the National Preparedness Goal (the Goal). As capability gaps are identified, the HSPTAP develops services to address those needs and build priority capabilities in the most critical areas. The HSPTAP is designed to be an agile program that addresses present day areas of greatest State and local need; is committed to transferring and institutionalizing knowledge at the State and local level; provides a dynamic menu of services that is responsive to national priorities; is performance-based; and effectively leverages limited resources. HSPTAP provides direct assistance to State, regional, local, and Tribal jurisdictions to improve their ability to prevent, protect against, respond to, and recover from major events, including threats or acts of terrorism.

HSPTAP is driven by several core tenets:

- TA must *support the National Preparedness Guidelines, National Priorities, and national strategies and doctrine related to homeland security*;
- TA must be *flexible and adaptable* to fully address current national trends or risks and the present day needs of homeland security personnel;
- TA must include a *layered range of products*—including templates and onsite support—that apply to States, regions, Urban Areas, local and Tribal jurisdictions, as well as private interests with a role in homeland security.

About HSPTAP

Applicants that receive HSPTAP awards under this solicitation are expected to support the development and delivery of TA services to State and local jurisdictions to assist them to effectively and efficiently develop, implement, and manage their homeland security programs.

This HSPTAP solicitation is made up of 3 parts:

- 1. Enhancing Grants Management Technical Assistance service, which is a competitive cooperative agreement;**
- 2. Best Practices Support Technical Assistance, which is a targeted cooperative agreements for an identified applicant; and**
- 3. Critical Asset Assessment Technical Assistance service, which is a targeted cooperative agreements for an identified applicant.**

This HSPTAP solicitation provides the program guidance and application kit for three (3) distinct programs:

- 1. Enhancing Grants Management Technical Assistance.** The main objective of the Enhancing Grants Management (EGM) Technical Assistance service is to provide basic and advanced grant management principles to the Federal Emergency Management Agency (FEMA) National Preparedness Directorate's (NPD) partners at the State and local level. These partners include Governors, their policy staff, State Homelands Security Advisors (HSAs), State Administrative Agencies (SAAs), State Emergency Management Directors, and other State Officials. Rather than limiting this service to provide direct TA to all State and local partners, our goal is to institutionalize both basic and advanced grant management principles through completion of three separate projects.

This EGM TA will facilitate partnership-building between emergency management, homeland security, and traditional public safety disciplines at the State and local levels by building a program that is eventually owned and operated by State homeland security and emergency management agencies, rather than FEMA. This program will be built from the existing EGM curriculum, and should illustrate measurable progress through institutionalizing these concepts at the State and local level.

The primary objectives of the EGM TA are as follows:

- Promote best business practices for grant administration and assist with integration of those practices into business plans of the recipients of FEMA federal funding;
- Enhance abilities to track and monitor grants by making available model electronic grant management systems or other proven systems currently in use in other States;
- Maintain and update a resource directory of reference documents, promising practices, and web sites/links;
- Decrease the time needed for recipients of FEMA federal funding to sub award and reimburse local units of government for purchase of goods and services;
- Increase efficiency in the deployment of equipment and services;
- Provide a platform for homeland security grantees to network; and
- Build and standardize performance and accountability measures.

For Fiscal Year 2007 (FY07), the EGM TA will be built upon existing curriculum with explicit deliverables:

- Identify and Establish Regional Centers of Excellence in Grants Management to institutionalize the Enhancing Grants Management concepts at the State and local level; and
- Delivery of rigorous, customized solutions through direct, on-site support to identified regional centers of excellence, and up to five direct deliveries to State Administrative Agencies.

- 2. Best Practice Support Technical Assistance.** The main objective of the Best Practice Support Technical Assistance service is to provide TA and serve as a liaison to FEMA's NPD partners at the State and local level.

Rather than limiting this service to provide direct TA to all State and local partners, our goal is to institutionalize the development and implementation of best practices across the nation by providing a forum through which State homeland security directors can discuss common issues, set priorities, communicate with DHS, and advise the nation's governors on the impact of federal homeland security policies.

This TA will facilitate partnership-building between emergency management, homeland security, and traditional public safety disciplines at the State and local levels by building upon best practices currently being developed and implemented by State homeland security and emergency management agencies.

The primary objectives of the Best Practice Support Technical Assistance are as follows:

- Promote the development and sharing of best practices and assist with integration of those practices into operational and strategic plans of the recipients of FEMA federal funding; and
- Provide a forum through which States can discuss common issues, set priorities, communicate with DHS, and advise the nation's governors on the impact of federal homeland security policies, including the following topic areas:
 - Border and Immigration;
 - Catastrophic Planning;
 - Critical Infrastructure and Key Resources;
 - Grants and other funding resources;
 - Information Sharing and Intelligence and Analysis; and
 - Interoperability.

- 3. Critical Asset Assessment Technical Assistance.** The main objective of the Critical Asset Assessment Technical Assistance service is to provide State and local best practice input to the development, implementation, and management of a critical infrastructure and key resource (CI/KR) protection program, and support the development and delivery of the associated TA service deliveries, as directed by DHS. Support for this service will require continuous coordination with partners at the State and local level, as well as the FEMA/NPD and DHS Office of Infrastructure Protection's Infrastructure Information Collection Division (IICD).

The primary objectives of the Critical Asset Assessment TA are as follows:

- Develop and document CI/KR protection program best practices;

- Provide State and local input into the continued development of the Automated Critical Asset Assessment Management System (ACAMS) and Critical Asset Assessment Technical Assistance Service;
- Support delivery of the Critical Asset Assessment Technical Assistance Service, as directed by DHS;
- Support conferences/workshops for program updates and sharing of best practices, as directed by DHS; and
- Support the coordination between public and private sector agencies, as it pertains to CI/KR protection.

B. Organizational Requirements

Grantees for each of the above programs shall have specific experience in managing and performing projects of the scope outlined in this Program Guidance, in an operating environment (business and technical) similar to FEMA. The grantee must be able to demonstrate baseline knowledge of existing TA programs and best practice development, and how the services assist DHS partners at the State and local level in support of the four homeland security mission areas (prevention, protection, response, and recovery). The grantee must also be able to satisfy and demonstrate the knowledge, skills and abilities to respond to the additional FY07 project areas in each program as described below.

1. Enhancing Grants Management Technical Assistance

Project One: Identify and establish *Regional Centers of Excellence in Grants Management* to institutionalize the Enhancing Grants Management concepts throughout the State, and merge the grants management related aspects of the four homeland security mission areas (prevention, protection, response, and recovery) with State and local mitigation planning. Specific elements of Project One include:

- Development of Train the Trainer Curriculum for EGM Technical Assistance;
- Delivery of Train the Trainer Curriculum for EGM Technical Assistance;
- Update power point presentations on successful grants practices;
- Provide solutions to address findings from an audit (federal/State), financial/ programmatic monitoring visits in the States;
- Post most current documentation to Lesson Learned Information Sharing (LLIS) website (llis.gov); and
- Solicit additional content for Compendium of Promising Grants Management Practices.

Deliverable for Project One: Within 10 days from award, the Grantee and the FEMA Project Manager (PM) will have a meeting to setup train the trainer curriculum development requirements. Curriculum development must be completed within six weeks from issuing the award. The Grantee will have weekly conference calls with the PM for updates and or corrections on the

curriculum development until completion. LLIS website will be updated on a monthly basis.

Outcome of Project One: State and local personnel will have the institutional knowledge of grants management principles and concepts. Individuals who receive train the trainer curriculum will have the knowledge, skills, abilities, and tools to facilitate and deliver this training throughout their State and region.

Project Two: Delivery of rigorous, customized solutions through direct, on-site support to identified regional centers of excellence, and up to five direct deliveries to State Administrative Agencies (SAAs). Workshops, guidance, and facilitation efforts maximize direct interaction between TA providers and TA recipients to ensure the successful implementation of the most complex initiatives. Specific elements of Project Two include:

- On-site, specific workshops, direct guidance and consultation;
- Meeting facilitation;
- Provide promising practices in grant administration (financial, programmatic and policy) needs/concerns;
- Assist the State in preparing training workshops for their grantees; and
- Provide assistance in correcting the findings from programmatic/financial monitoring visits.

Deliverable for Project Two: Grantees will respond to TA requests not later than (NLT) 2 business days. A conference call will be initiated with the Grantee, Preparedness Officer (PO), PM and TA requestor to start the process of the direct delivery. An After Action Report (AAR) will be submitted the PM NLT 7 business days after the TA delivery. A modified AAR will be submitted to the TA requestor NLT 10 business days after delivery. Evaluations will be received by PM NLT 2 business days after delivery.

Outcome of Project Two: Through successful completion of Project Two, advanced and basic grant management principles will be institutionalized throughout the State and local level.

Day to Day Activities: The Grantee will provide FEMA partners at the State and local level guidance on the programmatic and financial issues and challenges in grant management. Additionally, the Grantee will provide responses to inquiries by: existing resources and publications; networking and referral via telephonic or electronic assistance, dissemination of Compendium of Grants Management Promising Practices.

2. Best Practice Support Technical Assistance

Project One: Conduct a survey of HSAs to identify State homeland security priorities and to solicit input on national programs and initiatives.

Deliverable for Project One: Within 60 days from award, the Grantee and the FEMA Program Manager (PM) will have a meeting to establish survey requirements. The Grantee will have bi-weekly conference calls with PM for updates on survey development until completion and distribution.

Outcome of Project One: Survey results will be compiled in a formal report and provided to identified homeland security representatives.

Project Two: Provide a forum through which State homeland security directors can discuss common issues, set priorities, communicate with DHS, and advise the nation's governors on the impact of federal homeland security policies. The following activities will support the development of this forum:

- Management of and support for six meetings to facilitate the above forum objectives, including securing meeting space, developing agendas and materials in cooperation with DHS, staffing the meetings, and preparing AARs, lessons learned, and/or capturing best practices, as appropriate;
- Host monthly conference calls in support of the above forum; and
- Facilitate and record the work of forum participants/committees.

Deliverable for Project Two: As a result of these forum activities, resulting information, products, and reports will be disseminated to forum participants, as well as the broader homeland security policy community, through a variety of newsletters, list serves, web sites and other media.

Outcome of Project Two: Through successful completion of the project, homeland security directors will have an opportunity to discuss common issues, set priorities, communicate with DHS, advise the Nation's governors on the impact of federal homeland security policies, and share best practices.

Project Three: Conduct State-based policy research and analysis on the impact of national programs and policies, and the related impact on States in the coming years. Potential topics include:

- Border and immigration issues;
- Catastrophic planning;
- Communications interoperability;
- Intelligence analysis and information sharing activities and the development of State fusion centers;
- Emerging public sector standards for homeland security; and
- Regional preparedness and response.

Deliverable for Project Three: Within 60 days from award, the Grantee and the FEMA PM will have a meeting to establish topics to be addressed, and ensure coordination with inter- and intra-governmental and DHS partners. The Grantee will have bi-weekly conference calls with PM for updates during the completion of research and analysis.

Outcome of Project Three: Policy research and analysis results will be compiled in a series of formal reports and distributed to identified homeland security representatives.

3. Critical Asset Assessment Technical Assistance

Project One: In cooperation with FEMA/NPD and IP/IICD, provide State and local input into the continued development of ACAMS and the Critical Asset Assessment Technical Assistance Service. Specific elements of Project One include:

- Include multi-jurisdictional (i.e. other partner States and cities) and multi-discipline (fire, health, etc.) representatives, specifically those with incident command experience, in the development of ACAMS, including Stage 3, and Critical Asset Assessment Technical Assistance Service;
- Completion and updates of TA service curriculum and program of instruction, as necessary and directed by DHS, in accordance with all DHS training, TA guidance, and associated requirements; and
- Support the development of technical specifications, taxonomies, and/or data collection requirements necessary to map, import, and export information from other CI/KR databases into ACAMS, as directed by DHS.

Deliverable for Project One: Within 60 days from award, the Grantee and the FEMA PM, in coordination with IP/IICD, will have a meeting to establish support requirements, milestones, and level of support. The Grantee will have weekly conference calls with PM for updates on program development.

Outcome of Project One: System and program updates will be regularly documented and distributed to users and attendees, minimally on a bi-annual basis.

Project Two: In cooperation with FEMA/NPD and IP/IICD and as directed by DHS, support the delivery of the Critical Asset Assessment Technical Assistance Service. Specific elements of Project Two include:

- Provision of 10 train-the-trainer sessions to be hosted on-site in jurisdictions requesting the TA services, as approved and directed by DHS; and
- Hosting of 2 bi-annual conferences/workshops for trainers who have completed the train-the-trainer Critical Asset Assessment Technical Assistance Service, as directed by DHS.

Deliverable for Project Two. The Grantee will provide monthly TA service deliveries, on-site to jurisdictions, as directed by DHS. The Grantee will also have weekly conference calls with the PM for updates on program deliveries, and provide after action reports upon completion of each TA delivery.

Outcome of Project Two: The number of TA attendees and ACAMS users will be compiled, documented, and reported to DHS. Each service will include an evaluation of the delivery by TA attendees.

Project Three: In coordination with FEMA/NPD and IP/IICD, provide State and local input to develop and document CI/KR protection program best practices, as identified by DHS, during the development and delivery of the Critical Asset Assessment Technical Assistance Service.

Deliverable for Project Three. As identified by DHS, the Grantee will document and develop CI/KR protection program best practices.

Outcome of Project Three: The best practices will be compiled and shared during TA program deliveries, via the LLIS, and other identified information sharing resources.

Management and Administration

The Grantee shall be responsible for the management and administration of all services provided under the Cooperative Agreement. The Grantee shall maintain “in-house” skills and/or sub-award arrangements to ensure the availability of staff with the requisite experience, skills, and knowledge.

The Grantee shall identify the milestones and task activity that will take place against all project work. The Grantee shall provide resource and cost information as part of this plan. The Grantee shall show a “burn line” projection against all project specific work assigned.

Selection Criteria

Applications under EGM TA will be evaluated against the following criteria:

- (1) Previous experience in developing, conducting, and delivering technical assistance services to State and local partners with a demonstrated skills in developing best practices and collaborative information sharing as outlined in the above projects;
- (2) Previous experience coordinating and communicating with State and local homeland security partners, including HSAs, SAAs, emergency managers, and other officials;
- (3) Understanding of CBRNE and catastrophic events of national significance, and other homeland security national priorities;

- (4) Understanding of DHS/FEMA policy, programs, and services, especially those relevant to State and local funding recipients. The Grantee and staff must be able to provide general programmatic and financial information to FEMA grant recipients, or refer them to the appropriate FEMA point of contact;
- (5) A demonstrated ability to identify, assess, and prepare for responsive assistance that will enhance the capabilities of the agencies that receive and administer FEMA federal funding;
- (6) A demonstrated ability and capability to effectively and efficiently perform the proposed projects in a timely manner, within the period of performance, and within the proposed budget; and
- (7) Management and general technical approach for the accomplishment of this effort.

The above selection criteria are only applicable to the EGM TA.

Review Process

In response to the aforementioned criteria, interested applicants must submit an application on grants.gov that includes the HSPTAP Program Narrative, Budget, and Budget Narrative (Additional information is found in the Application Kit). FEMA will review and act on applications within 60 days of the application deadline. The approach to implementing and completing the projects outlined in this guidance must be consistent with existing DHS/FEMA policy.

Incomplete applications will not be accepted, and all applications must be submitted through the official online application portal. No additions to submitted applications or application resubmissions will be allowed.

C. Eligible Applicants

Entities who demonstrate the ability to deliver these services to State and local partners as requested are encouraged to apply for the FY07 HSPTAP, Enhancing Grants Management Technical Assistance service. **The FY07 HSPTAP Best Practice Support Technical Assistance and Critical Asset Assessment Technical Assistance services have been identified for targeted award recipients.**

D. Funding

- \$300,000 is available for activities under FY07 HSPTAP, Enhancing Grants Management Technical Assistance via a competitive cooperative agreement.

- \$250,000 is available for activities under FY07 HSPTAP, Best Practice Support Technical Assistance via a targeted cooperative agreement for identified applicants.
- \$750,000 is available for activities under FY07 HSPTAP, Critical Asset Assessment Technical Assistance via a targeted cooperative agreement for identified applicants.

E. Program Guidance

Period of Performance

The period of performance for all FY07 HSPTAP awards is 12 months.

Cost Share Requirement

There is no match requirement for this agreement.

F. General Guidance

Copyrights

The awarding agency reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, for Federal government purposes:

- The copyright in any work developed under a cooperative agreement award or subaward; and
- Any rights of copyright to which a recipient or subrecipient purchases ownership with support.

Patents, Patent Rights, and Inventions

If any program produces patentable items, patent rights, processes, or inventions, in the course of work sponsored by the Federal cooperative agreement award or subaward funds, such facts must be promptly and fully reported to the awarding agency. Unless there is a prior agreement between the recipient and the awarding agency on disposition of such items, the awarding agency shall determine whether protection on the invention or discovery shall be sought. The awarding agency will also determine how rights in the invention or discovery (including rights under any patents issued thereon) shall be allocated and administered in order to protect the public interest consistent with "Government Patent Policy" (President's Memorandum for Heads of Executive Departments and Agencies, dated August 23, 1971, and Statement of Government Patent Policy, as printed in 36 FR 16839). Government-wide regulations have been issued at 37 CFR Part 401 by the Department of Commerce.

Freedom of Information Act (FOIA)

FEMA recognizes that some 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 exempt from disclosure under FOIA. Decisions made regarding the release of such information will only be made after careful review by the DHS FOIA Officer in conjunction with FEMA and, where appropriate, with the submitter. Applicants may also consult their FEMA/NPD Preparedness Officer regarding concerns or questions about the release of information under State and local laws. Awardees should be familiar with the regulations governing protected critical infrastructure information (6 C.F.R. Part 29) and sensitive security information (49 C.F.R. Part 1520), as these designations may provide additional protection to certain classes of homeland security information.

Compliance With Federal Civil Rights Laws and Regulations

Cooperative agreement awardees are required to comply with federal civil rights laws and regulations. Specifically, awardees are 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;
- *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; and
- *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.

Cooperative agreement awardees must comply with all regulations, guidelines, and standards adopted under the above statutes.

- *Services to Limited English Proficient (LEP) Persons* - As noted above, awardees are required to comply with Title VI of the Civil Rights Act of 1964, as amended. Title VI prohibits discrimination on the basis of race, color, and national origin. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, awardees 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. Because awardees are required to provide meaningful access to LEP persons in their programs and activities, awardees are encouraged to consider the need for language services for LEP persons served or encountered in developing their proposals and budgets. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, please see <http://www.lep.gov>.

Cooperative agreement awardees are 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.

Compliance with Federal Energy Policy Legislation

In accordance with the FY 2007 DHS Appropriations Act, all FY 2007 HSGP funds must comply with the following two requirements:

- None of the funds made available through FY 2007 HSGP shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order No. 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); and
- None of the funds made available through FY 2007 HSGP shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC 13212).

G. FEMA Resources and Support

To assist the with program activities, FEMA has several support mechanisms available.

Role of FEMA Technical Assistance Division

Upon award, the grantee will be assigned to a FEMA TA Program Manager. Program Managers will be in continuous contact with the Grantee, and should be considered as the primary point of contact within FEMA for providing overall vision and management of TA services. All questions, concerns, and general issues should be brought to the attention of the assigned TA Program Manager.

Centralized Scheduling and Information Desk (CSID) Help Line

CSID is a non-emergency resource for use by State and local emergency responders across the nation. CSID provides general information on all FEMA programs and information on the characteristics and control of CBRNE materials, defensive equipment, mitigation techniques, and available Federal assets and resources.

CSID can be contacted by telephone at 1-800-368-6498 or via email at askcsid@dhs.gov. CSID hours of operation are from 8:00 a.m. - 7:00 p.m. (EST), Monday through Friday.

Part II. Application Kit

A. Overview

DHS is participating in the e-Government initiative (one of 8 initiatives included in the President's Management Agenda). Grants.gov, part of this initiative, is a "storefront" that provides a unified process for all customers of Federal grants to find funding opportunities and apply for funding. Applicants **must apply** for FY 2007 HSPTAP funding through the online Grants.gov system through the Authorized Organization Representative (AOR) to ensure a successful submission. If applicants have previously used grants.gov, the same account may be used for FY 2007 HSGP. Please note the Grants.gov technical support hours are Monday-Friday, 7 a.m. to 9 p.m., Eastern Standard Time. For more detail, see <http://www.grants.gov/contactus/contactus.jsp>.

The application period opens **June 26, 2007**. Applications must be received by FEMA no later than **July 9, 2007**.

These cooperative agreements are through DHS/FEMA. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) at <http://12.46.245.173/cfda/cfda.html> is "*Homeland Security Preparedness Technical Assistance*." The CFDA number for FY 2007 HSPTAP is 97.007. When completing the online application, applicants should identify their submissions as new, non-construction applications.

Valid Central Grantee Registry (CCR) Registration

The HSPTAP application process also requires a current registration through CCR. Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for FY 2007 HSPTAP funding through Grants.gov. Applicants that have not previously submitted an application through Grants.gov are strongly encouraged to initiate the registration process as soon as possible. Instructions are available on the Grants.gov website (www.grants.gov).

DUNS Number

The applicant must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number with the FY 2007 HSPTAP application. This number is a required field within 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 1-800-333-0505).

Grants.gov Online Application and Requirements

The on-line application must be completed and submitted using Grants.gov after CCR registration is confirmed. The on-line application includes the following required forms and submissions:

- Standard Form 424, Application for Federal Assistance
- Standard Form LLL, Disclosure of Lobbying Activities

- Standard Form 424B, Assurances
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters
- Any additional Required Attachments
- Standard Form 424A, Budget Information

When completing the on-line application, applicants should identify their submissions as new, non-construction applications. It is important to note that this is a procedural requirement within Grants.gov and does not prohibit the applicant from submitting construction projects.

- **Non-Supplanting Certification:** This certification affirms that these grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been 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.
- **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.
- **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:** This certification, which is a required component of the on-line 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.

The certification will be treated as a material representation of fact on which DHS will rely in awarding grants.

- **HSPTAP Program Narrative, Budget and Budget Narrative**

Program Narrative Requirements: Please provide a detailed work plan to address the planned activities, projects, and measurable achievement outcomes related to the initiatives under the FY 2007 HSPTAP. Please provide a description of current resource management capabilities to develop, implement, and manage the programmatic requirements associated with the HSPTAP. When describing current management capabilities, consider including such information as the following:

- Identify the major organizations, committees, and other structures accountable for implementing the initiatives
- Indicate the staffing/resource levels within these core organizations responsible for program administration and oversight.

The work plan must be attached within Grants.gov. Please see Appendix B for a work plan template with required items.

Budget and Budget Narrative Requirements: All HSPTAP project award recipients are required to submit a budget narrative and budget detail worksheets addressing HSPTAP related costs and expenses, as a part of the HSPTAP application. This budget narrative should be detailed and should serve to: (1) explain how the costs were estimated, and (2) justify the need for the costs incurred to the measurable achievement outcomes as Stated in the work plan. For clarification purposes, the narrative should include tables describing cost and expense elements (e.g. equipment list with unit costs/quantity). The narrative and accompanying budget worksheets must be attached within Grants.gov. Please see Appendix C for sample budget worksheets. A copy of this budget worksheet may be found at <http://www.ojp.usdoj.gov/forms.htm>.

Applicants must familiarize themselves with the requirements and restrictions of the Program Guidance for FY 2007 HSPTAP, available in Sections I through III of the *FY 2007 HSPTAP: Program Guidance and Application Kit*. The Program Guidelines contain critical information regarding this cooperative agreement program. All grant recipients are assumed to have read, understood, and accepted the Program Guidance as binding.

Part III. Award and Reporting Requirements

A. Cooperative Agreement Award

Following the review (not to exceed 60 days from close of application period) by DHS/FEMA, the selected Grantee will be notified. The date this Grantee is notified will be known as the “*award date*.”

Required Submissions: Signed award document and special conditions returned to DHS/FEMA at the following address:

U.S. Department of Homeland Security
Federal Emergency Management Agency
Office of Grant Programs
245 Murray Lane Bldg. 410
Washington, DC 20528-7000

B. Drawdown of Funds

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can draw down and expend grant funds through Payment and Reporting System.

Questions regarding award payments and how to access this system should be addressed to the dedicated FEMA call center at 1-866-927-5646 or email at ask-ogo@dhs.gov.

Grantees should request funds based upon immediate disbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days. Grantees may elect to draw down funds up to 120 days prior to expenditure/disbursement. DHS strongly encourages recipients to draw down funds as close to expenditure as possible to avoid accruing interest. ***Funds received by grantees must be placed in an interest-bearing account and are subject to the rules outlined in the Uniform Rule 28 CFR Part 66, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments***, at:

http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html and the Uniform Rule 28 CFR Part 70, Uniform Administrative Requirements for Grants and Agreements (Including Subawards) with Institutions of Higher Education, Hospitals and other Non-profit Organizations, at:

http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html. These guidelines state that entities are required to promptly, but at least quarterly, remit interest earned on advances to:

**United States Department of Health and Human Services
Division of Payment Management Services
P.O. Box 6021
Rockville, MD 20852**

The subgrantee may keep interest amounts up to \$100 per year for administrative expenses for all Federal grants combined. Please consult the Office of Grant Programs (OGP) *Financial Management Guide* or the applicable OMB Circular for additional guidance. Although advance drawdown requests may be made, State grantees remain subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its implementing regulations at 31 C.F.R. Part 205. Interest under CMIA will accrue from the time Federal funds are credited to a State account until the time the State pays out the funds or transfers the funds to a subgrantee.

C. Reporting Requirements

Monthly Status Reports

The Grantee shall report to FEMA on a monthly basis all activity and accomplishments completed or started on this agreement. Status reports shall contain programmatic and financial information that will be submitted by the 15th of every month to the PM.

Financial Status Report (FSR) (Required quarterly)

Obligations and expenditures must be reported to FEMA 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 draw downs will be withheld if these reports are delinquent.**

FSRs **must be filed online** through the Payment and Reporting System.

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: FSR SF-269a (due quarterly)

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 31 with a reporting period of January 1 through June 30, and on January 31 with a 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 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 shall provide sufficient information to monitor program implementation and goal achievement.

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

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 (biannually).

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/index.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than 9 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 HSPTAP 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 awardee 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 cooperative agreement.

The award recipient shall require that subgrantees 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.

Federal Funding Accountability and Transparency Act

While there are no requirements in FY 2007, the Federal Funding Accountability and Transparency Act of 2006 may affect HSPTAP awardee reporting requirements in subsequent years. The Act requires the Federal government to create a publicly-

searchable online database of Federal grant recipients by January 1, 2008 with an expansion to include subgrantee information by January 1, 2009.

D. Monitoring

Award recipients will be monitored both programmatically and financially by FEMA staff to ensure that the program goals, objectives, timeliness, budgets, measurable achievement outcomes as Stated in the approved work plan, and other related program criteria are being met. Monitoring is accomplished through a combination of office-based and on-site monitoring visits. Monitoring involves the review and analysis of the financial, programmatic, and administrative issues relative to each program, and helps identify areas where technical assistance and other support may be needed.

The grantee is responsible for monitoring subgrantee activities to provide reasonable assurance that the sub-recipient administers Federal awards in compliance with Federal and State requirements. Responsibilities include the accounting of receipts and expenditures, cash management, the maintaining of adequate financial records, and the refunding of expenditures disallowed by audits.

E. Cooperative Agreement Close-Out Process

Within 90 days after the end of the award period, awardees 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 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.

Required Submissions: 1) Final SF-269a, due 90 days from the end of the grant period; and, 2) Final CAPR

Project Final Report

All awardees will submit a final report **30** days after the end of the project period. This report will detail results of the pilot project(s) and results achieved. This is a separate report from the final CAPR, but information in this report may be used in Block #12 of the final CAPR.

Appendix A. Sample Award Package and Budget Worksheets

TAB 1: SAMPLE REVIEW OF AWARD

Post Award Instructions for FEMA Awards

1. Review Award and Special Conditions Document.

Carefully read the award and any special conditions or other attachments. There is an original plus one copy of the award page.

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 maintain a copy and return the original signed documents to:

U.S. Department of Homeland Security
Office of Grant Programs
245 Murray Lane Bldg. 410
Washington, DC 20528-7000

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

2. Read Guidelines.

Become familiar with the OGP Financial Management Guide, which is available at <http://www.dhs.gov/xopnbiz/grants>.

SAMPLE POST AWARD INSTRUCTION

Post Award Instructions

OGP will provide fiscal support and oversight of the FEMA grant programs.

Step 1. Review Award and Special Conditions.

If you agree with the terms and conditions Stated in the award, sign and date the award document and the last page of the Special Conditions, and return to DHS/FEMA. Notify the FEMA Program Manager when Special Conditions have been met (refer to Step 1 attachment).

If you do not agree with the terms and conditions as written, contact a FEMA Program Manager.

Step 2. Read Guidelines.

Read and become familiar with the OGP Financial Management Guide and related material.

Step 3. Reporting Requirements.

Reporting requirements must be met during the life of the grant (refer to the OGP Financial Management Guide and the specific program guidance for a full explanation of these requirements, special conditions and any applicable exceptions). The payment systems contain edits which will prevent access to funds if reporting requirements are not met on a timely basis.

Step 6. Questions about your FEMA award?

A reference sheet is provided containing frequently asked financial questions and answers. Questions regarding grant **payments** should be addressed Questions regarding all other financial/administrative issues should be addressed to the help line at 1-866-927-5646 or email at ask-ogo@dhs.gov.



OMB APPROVAL NO. 1121-0188
EXPIRES 5-98 (Rev. 1/97)

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
Position 1, each position entry limited to one line		
Position 2		
Position 3		
Position 4		
Position 5		
Position 6		
SUB-TOTAL		\$0.00

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
Fringe benefit 1, each benefit entry is limited to one line		
Fringe benefit 2		
Fringe benefit 3		
Fringe benefit 4		
Fringe benefit 5		
SUB-TOTAL		\$0.00
Total Personnel & Fringe Benefits		\$0.00

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
Travel entry 1, two lines per entry				
Travel entry 2				
Travel entry 3				
Travel entry 4				
Travel entry 5				
Travel entry 6				
Travel entry 7				
TOTAL				\$0.00

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). 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 "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
Equipment entry 1, one line per entry		
equipment entry 2		
equipment entry 3		
equipment entry 4		
equipment entry 5		
TOTAL		\$0.00

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
Supply item 1, one line per entry		
supply item 2		
supply item 3		
supply item 4		
supply item 5		
supply item 6		
supply item 7		
supply item 8		
supply item 9		
TOTAL		\$0.00

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
four lines per entry, use boxes below or an additional page for more space if required		
TOTAL		\$0.00

G. Consultants/Contracts - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
Supply item 1, one line per entry	maximum of three lines		
Supply item 1, one line per entry			
Supply item 1, one line per entry			
Supply item 1, one line per entry			
<i>Subtotal</i>			\$0.00

Consultant Expenses: List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
Consultant expense entry 1, one line per	maximum of three lines		
	maximum of three lines		
Consultant expense entry 1, one line per	maximum of three lines		
<i>Subtotal</i>			\$0.00

Contracts: Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost	
maximum of four lines, additional information should be attached on a separate sheet(s)		
maximum of four lines		
<i>Subtotal</i>		\$0.00
TOTAL		\$0.00

H. Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
four lines per entry, use boxes below or an additional page for more space if required		
TOTAL		\$0.00

I. 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), must be attached. 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.

Description	Computation	Cost
one line per entry		\$0.00
one line per entry		
TOTAL		\$0.00

Budget Summary- When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	\$0.00
B. Fringe Benefits	\$0.00
C. Travel	\$0.00
D. Equipment	\$0.00
E. Supplies	\$0.00
F. Construction	\$0.00
G. Consultants/Contracts	\$0.00
H. Other	\$0.00
Total Direct Costs	\$0.00
I. Indirect Costs	\$0.00
TOTAL PROJECT COSTS	\$0.00
Federal Request	_____
Non-Federal Amount	_____