U.S. DEPARTMENT OF HOMELAND SECURITY

Fiscal Year 2007
INFRASTRUCTURE PROTECTION PROGRAM:

TRUCKING SECURITY PROGRAM

PROGRAM GUIDANCE AND APPLICATION KIT

January 2007

OFFICE OF GRANTS AND TRAINING

KEY CHANGES IN FY 2007

The Fiscal Year 2007 (FY07) Infrastructure Protection Program (IPP) contains significant improvements based upon extensive outreach to FY06 IPP participants and stakeholders.   In addition, the risk analysis assessments that form the basis for eligibility under the IPP have been simplified, refined and considerably strengthened.

Potential applicants will have more time this year to complete the application process. The Department of Homeland Security (DHS) has also created multiple opportunities for applicants to have consultations with the Department's grant program and subject matter experts prior final review of applications. Some of the IPP grants – such as this grant program -- will be executed as cooperative agreements, thus allowing for iterative refinements regarding an applicant's funding proposal in order to maximize effective communication between DHS and our external partners about these important homeland security investments.

This year's IPP grants strengthen DHS's ability to protect security- and business-sensitive information that will be provided with grant applications from inappropriate public release. To increase program flexibility, the period for compliance under IPP grants has been extended from 30 to 36 months. New federal legislation requires compliance with federal energy policy laws and certain other administrative requirements. This year, Amtrak is eligible to participate in the rail transit security program, rather than being eligible under a separate program.

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 Trucking Security Program (TSP) is one of five grant programs that constitute the Department of Homeland Security FY07 Infrastructure Protection Program (IPP).[1] The IPP is one tool among a comprehensive set of measures authorized by Congress and implemented by the Administration to help strengthen the nation's critical infrastructure against risks associated with potential terrorist attacks.

The funds provided by the TSP seek to assist all professionals and operating entities throughout the entire highway sector in obtaining the skills and abilities required to support the National Preparedness Goal and the associated National Priorities. The TSP will again be administered through the American Trucking Associations.

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

Making an application for significant Federal funds under programs such as this can be quite complex. Our job at DHS is to provide clear guidance and efficient application tools to assist grant applicants. In managing this grant program, we intend to be good stewards of precious Federal resources, and commonsense partners with industry.

A.   Federal Investment Strategy.

The IPP is an important part of the Administration's larger, coordinated effort to strengthen homeland security preparedness, including the security of America's critical infrastructure. The IPP implements objectives addressed in a series of post 9/11 laws, strategy documents, plans and Homeland Security Presidential Directives (HSPDs) outlined in Appendix 1. Of particular significance are the National Preparedness Goal and its associated work products, including the National Infrastructure Protection Plan and its forthcoming sector-specific plans. The National Preparedness Goal is an all-hazards vision regarding the nation's four core preparedness objectives: to prevent, protect, respond, and recover from terrorist attacks and catastrophic natural disasters.

The National Preparedness Goal defines a vision of what to accomplish and a set of tools – including IPP 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.[2] It outlines 15 scenarios of

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[1] The IPP's other components include grants targeted for intracity rail and bus transit (including Amtrak and ferry systems), marine ports, intercity bus companies, and the Buffer Zone Protection Program for other high-risk infrastructure facilities.

[2] 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 very early in 2007. For purposes of aligning applications under the TSP, applicants can rely on the existing draft Goal, available at: *http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm*.

terrorist attacks or national disasters that form the basis of much of the Federal exercise and training regime. In addition, it identifies some 37 critical target capabilities that DHS is making the focus of key investments with State, local and tribal partners.

DHS expects its critical infrastructure partners – including recipients of IPP grants – to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their planning, operations and investment to the degree practicable. Our funding priorities outlined in this document reflect National Preparedness Goal priority investments as appropriate. Any specific programmatic requirements or priority investment categories reflecting the national preparedness architecture for this IPP grant program are expressly identified below.

B. Funding Priorities.

The funding priorities for the FY07 TSP reflect the Department's overall investment strategy, in which two priorities have been paramount: risk-based funding and regional security cooperation.

As a component of the IPP, the FY07 TSP seeks to assist all professionals and operating entities throughout the entire highway sector in obtaining the skills and abilities required to support the National Preparedness Goal and the associated National Priorities.

The TSP was originally developed in the trucking industry with an emphasis on safety. Its benefits and resources are now available to all professionals and operating entities throughout the highway sector, including private companies, public entities, and governmental operations.

The TSP Program Priorities for Highway Watch® in FY07 are:

1. **Participant Identification and Recruitment**

    - **Motor Carriers.** Recruit new motor carriers (e.g., truck, bus, truck driving schools, school transportation) that will actively participate in and support Highway Watch® training

    - **Individual Drivers.** Recruit active current drivers to include independent, unaffiliated drivers, passenger carriers, and other vehicle fleets to expand the program

    - **Responder/Law Enforcement.**   Recruit first responder/enforcement entities that will actively support Highway Watch® goals regarding driver training

2. Training

- Implement an evaluation methodology to ensure that the Highway Watch® training program is addressing homeland security and safety issues in conjunction with the National Preparedness Goal.

- Implement a training component specific to state, local and law enforcement entities to familiarize these forces with the domain awareness and incident/suspicious activity reporting training afforded to Highway Watch® students and with the identification devices used to distinguish Highway Watch® -trained personnel from those who have not been trained.

- Develop a plan for scaling the program based on the size of future appropriations.

3. Communications

- **Highway Watch® Call Center.** Maintain a full-service (24/7) call center staffed with well-trained responders who will provide nationwide first responder and law enforcement contact numbers and electronic linkage to registered participants. The center must be capable of re-directing calls to law enforcement and first responders for immediate action or to the Highway Information Sharing and Analysis Center (ISAC) for investigation as terrorist threats. The call center may also be utilized during an incident of national significance.

4. Information Analysis and Distribution

- Maintain the Highway ISAC, located at TSA's Transportation Security Operations Center (TSOC) in Herndon, VA, and dedicated exclusively to highway and highway-transport related security needs and issues. The applicant will provide recommendations, implementation strategies, and a completed plan for continued Highway ISAC operations to include other transportation stakeholders. Responsibilities may include identifying the appropriate role of a highway-specific ISAC or implementation strategies that address incidents of critical national significance.

C. Allowable Expenses.

Specific investments made in support of the funding priorities discussed above generally fall into one of three categories. FY07 TSP allowable costs are therefore divided into the following three categories:

1. Planning
2. Training
3. Management and administration

Appendix 2 provides additional detail about each of these three allowable expense categories, as well as a section that identifies several specifically unallowable costs.

PART I.
AVAILABLE FUNDING AND ELIGIBLE APPLICANTS

This section summarizes the total amount of funding available under the FY07 TSP, the basic distribution method used to administer the grants, and identifies all transit systems eligible for FY07 funding.

A. Available Funding.

The FY07 TSP will provide $11.64 million. Funding will be provided in the form of a cooperative agreement directly to the American Trucking Associations (ATA).

B. Selection of Eligible Applicants.

ATA is the only entity eligible to apply for funding under the FY07 TSP.

C. Grant Application Support from DHS.

During the application period, and in conjunction with industry associations, DHS will identify opportunities for a cooperative dialogue between the Department and applicant. This commitment is intended to ensure a common understanding of the funding priorities and administrative requirements associated with the FY07 TSP, and to help in submission of projects that will have the highest impact on reducing risks for the highway sector.

PART II.
PROGRAM REQUIREMENTS

This section provides detailed information about specific application requirements and the process for submission of applications.

A. General Program Requirements.

The award will be executed through a cooperative agreement with ATA.

1. **Management and Administration limits.**   ATA may retain a maximum of 3 percent of the funds awarded for management and administrative purposes associated with their TSP award.

2. **Match requirement.** There is no match requirement for the FY07 TSP. However, if matching funds are offered as part of the project, the applicant is advised that an award recipient is responsible for meeting any matching fund threshold reflected in an approved budget.

B. Application Requirements.

The following steps must be completed using the on-line *grants.gov* system to ensure a successful application submission:

1. **Application via *grants.gov*.** DHS participates in the Administration's e-government initiative. As part of that initiative, TSP applicants must file their applications using the Administration's common electronic "storefront" -- *grants.gov*.

2. **Application deadline**. Completed Applications must be submitted to *grants.gov* no later than **11:59 PM EST, March 6, 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 Central Contractor Registry. Eligible applicants must confirm CCR registration at *http://www.ccr.gov*, as well as apply for FY07 IPP funding through *grants.gov* at *http://www.grants.gov*.

    While registration with *grants.gov* and the CCR is a one-time process, new applicants are strongly encouraged to complete their registrations at least 10 days prior to the March 6, 2007 application deadline.

4. **On-line application.** 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 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

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "*Trucking Security Program.*" The CFDA number is 97.059. When completing the on-line 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. **DUNS number**. The applicant must provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number with their application. This number is a required field within *grants.gov* 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.

7. **Investment Justifications.** As part of the application process, applicants must develop a formal Investment Justification that addresses each initiative being proposed for funding. These Investment Justifications must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities. Additional details and templates for the Investment Justification may be found in Appendix 4.

8. **Detailed budget**. The applicant must also provide a detailed budget for the funds requested. The budget must be complete, reasonable and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs and any appropriate narrative. The budget should also demonstrate any match. Additional details and templates for the Detailed Budget may be found in Appendix 5.

9. **Standard financial requirements.**

9.1 -- Non-supplanting certification. This certification affirms that 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.

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 understand fully 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 -- Certifications regarding lobbying, debarment, suspension, other responsibility matters and the 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*.

9.4 -- Accounting System and Financial Capability Questionnaire. All nongovernmental (non-profit and commercial) organizations that apply for IPP funding that have not previously (or within the last 3 years) received funding from the Office of Grants and Training (G&T) must complete the Accounting System and Financial Capability Questionnaire. The form can be found at *http://www.ojp.usdoj.gov/oc*.

10. **Technology requirements.**

10.1 -- National Information Exchange Model. To support homeland security, public safety, and justice information sharing, G&T requires all grantees to use the latest National Information Exchange Model (NIEM) specifications and guidelines regarding the use of Extensible Markup Language (XML) for all IPP awards. Further information about the required use of NIEM specifications and guidelines is available at *http://www.niem.gov*.

10.2 -- Geospatial guidance. Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). State, local, and industry partners are increasingly incorporating geospatial technologies and data in an effort to prevent, protect against, respond to, and recover from terrorist activity and incidents of national significance. DHS encourages grantees to align geospatial activities with the guidance available on the G&T website at *http://www.ojp.usdoj.gov/odp/grants_hsgp.htm*.

11. **Administrative requirements.**

11.1 -- Freedom of Information Act (FOIA). DHS recognizes that much of the information submitted in the course of applying for funding under this program or provided in the course of its grant management activities may be considered law enforcement sensitive or otherwise important to national security interests. 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 G&T 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.

11.2 -- 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 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 197*2, *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.

11.3 -- 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, see *http://www.lep.gov*.

11.4 -- Integrating individuals with disabilities into emergency planning. Executive Order No.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, non-governmental 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*.

11.5 -- Compliance with the National Energy Conservation Policy and Energy Policy Acts. In accordance with the FY07 DHS Appropriations Act, all FY07 grant funds must comply with the following two requirements:

- None of the funds made available through the IPP 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)**.**

- None of the funds made available through the IPP shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC 13212).

C. Trucking Application Checklist.

All TSP applicants must complete the following:

SF-424 Grant Application with Certifications (through Grants.gov)
- Non-Supplanting Certification
- Assurances
- Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement

DUNS Number (through Grants.gov form)

Investment Justification (through Grants.gov file attachment)

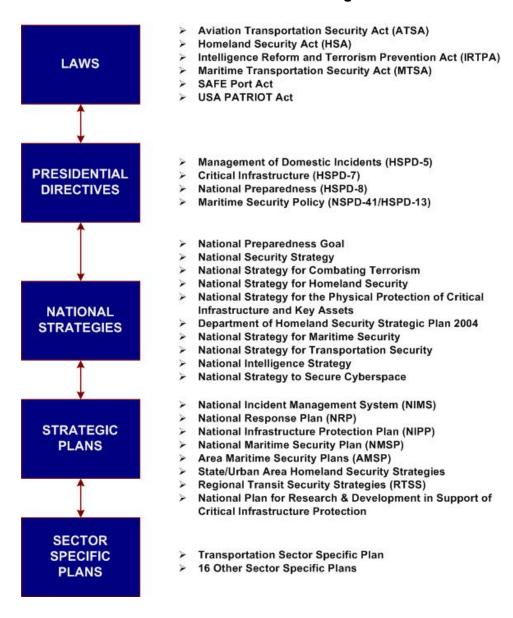**Detailed Budget (through Grants.gov file attachment)**

Accounting System and Financial Capabilities Questionnaire, if applicable (through Grants.gov file attachment)

Appendix 1
Alignment of IPP with the National Preparedness Architecture

Figure 1, below, graphically summarizes key elements of the national preparedness architecture. The Infrastructure Protection Program seeks maximum alignment with this architecture.

Figure 1.
Laws, Strategy Documents, Directives and Plans That Impact the Infrastructure Protection Program

LAWS
- Aviation Transportation Security Act (ATSA)
- Homeland Security Act (HSA)
- Intelligence Reform and Terrorism Prevention Act (IRTPA)
- Maritime Transportation Security Act (MTSA)
- SAFE Port Act
- USA PATRIOT Act

PRESIDENTIAL DIRECTIVES
- Management of Domestic Incidents (HSPD-5)
- Critical Infrastructure (HSPD-7)
- National Preparedness (HSPD-8)
- Maritime Security Policy (NSPD-41/HSPD-13)

NATIONAL STRATEGIES
- National Preparedness Goal
- National Security Strategy
- National Strategy for Combating Terrorism
- National Strategy for Homeland Security
- National Strategy for the Physical Protection of Critical Infrastructure and Key Assets
- Department of Homeland Security Strategic Plan 2004
- National Strategy for Maritime Security
- National Strategy for Transportation Security
- National Intelligence Strategy
- National Strategy to Secure Cyberspace

STRATEGIC PLANS
- National Incident Management System (NIMS)
- National Response Plan (NRP)
- National Infrastructure Protection Plan (NIPP)
- National Maritime Security Plan (NMSP)
- Area Maritime Security Plans (AMSP)
- State/Urban Area Homeland Security Strategies
- Regional Transit Security Strategies (RTSS)
- National Plan for Research & Development in Support of Critical Infrastructure Protection

SECTOR SPECIFIC PLANS
- Transportation Sector Specific Plan
- 16 Other Sector Specific Plans

Appendix 2
TSP Allowable Expenses

A. Overview.

Specific investments made in support of the funding priorities discussed above generally fall into one of three categories. Within the four project areas (Participant Identification and Recruitment, Training, Communications, and Information Analysis and Distribution), funding may be used in the following categories:

1. Planning
2. Training
3. Management and administration

The applicant is encouraged to contact its G&T Program Manager regarding any questions about allowable and unallowable program expenditures.

1. Planning. FY07 TSP funds may be used for the following types of planning activities for:

- Public education or outreach;

- Development and implementation of homeland security support programs and adoption of ongoing DHS national initiatives;

- Development and enhancement of plans and protocols;

- Hiring of full- or part-time staff or contractors/consultants to assist with planning activities (not for the purpose of hiring personnel);

- Conferences to facilitate planning activities;

- Materials required to conduct planning activities; and

- Travel/per diem related to planning activities.

2. Training. FY07 TSP funds may be used for the following training activities:

- **Training Workshops and Conferences.** Grant funds may be used to plan and conduct training workshops or conferences to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and training plan development.

- **Full- or Part-Time Staff or Contractors/Consultants.** Full- or part-time staff may be hired to support training-related activities. The services of contractors/ consultants may also be procured by the applicant in the design, development, conduct, and evaluation of the Highway Watch® Program. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.

- **Overtime and Backfill Costs.** Payment of overtime expenses will be for work performed by award or sub-award employees in excess of the established work week

(usually 40 hours). Further, overtime payments and backfill costs associated with sending personnel to training are allowable, provided that it is DHS's G&T sponsored training. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to Federal Insurance Contributions Act (FICA), Workers' Compensation and Unemployment Compensation.

- **Travel.** Travel costs (e.g., airfare, mileage, per diem, hotel, etc.) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the training project(s) or for attending G&T-sponsored courses or G&T-sponsored technical assistance programs. These costs must be in accordance with State law as highlighted in the Office of Grant Operations (OGO) *Financial Management Guide*. For further information on Federal law pertaining to travel costs please refer to the OGO *Financial Management Guide*, available at: *http://www.dhs.gov/xlibrary/assets/Grants_FinancialManagementGuide.pdf*.

- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the training project(s) (e.g., copying paper and training materials).

- **Other Items.** These costs include the rental of space/locations for planning and conducting training, badges, etc.

3. Management and Administrative (M&A) Costs. FY07 TSP funds may be used for the following M&A costs in the following manner:

- Hiring of full-time or part-time staff or contractors/consultants to assist with the management of the FY07 TSP;

- Hiring of full-time or part-time staff or contractors/consultants and expenses related to meet compliance with reporting/data collection requirements, including data calls;

- Meeting-related expenses (For a complete list of allowable meeting-related expenses, please review the OGO *Financial Management Guide*, available at: *http://www.dhs.gov/xlibrary/assets/Grants_FinancialManagementGuide.pdf*

- Acquisition of authorized office equipment, including personal computers, laptop computers, printers and LCD projectors *dedicated solely to the use of TSP project activities.*

B. Unallowable Costs.

Specific unallowable costs include:

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under these awards.

The following costs are unallowable under the FY07 TSP:

- Maintenance costs
- Monthly service charges or recurring costs
- Construction and renovation costs

Appendix 3
Grants.Gov Quick-Start Instructions

DHS participates in the Bush Administration's e-government initiative. As part of that initiative, all IPP applicants must file their applications using the Administration's common electronic "storefront" -- *grants.gov*. Eligible SAAs must apply for funding through this portal, accessible on the Internet at *http://www.grants.gov*.

Application attachments submitted via *grants.gov* must be in one of the following formats: Microsoft Word (*.doc), PDF (*.pdf), or text (*.txt). Use the Catalog of Federal Domestic Assistance (CFDA) number listed in the relevant program guidance section of this document in Grants.gov.

This Appendix is intended to provide guidance on the various steps and activities associated with filing an application using *grants.gov.*

Step 1: Registering.

Registering with *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, confirmed, and 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* requires an organization to first be registered in the CCR before beginning the *grants.gov* registration process. If you plan to authorize representatives of your organization to submit grant applications through *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,* 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, 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*.

2. DUNS number. You must first request a Data Universal Numbering System 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. Registering with the CCR, updating or changing your profile could take up to three to five 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.

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 e-mail with a Trading Partner Identification Number (TPIN) and Marketing Partner Identification Number (MPIN) number. You will need the MPIN number to register with *grants.gov*. If your organization is already registered with the CCR, you will need to obtain the MPIN number from your e-Business POC.

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* 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*).

- 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 agency's or individual DUNS + 4 digit number to complete this process. Now, 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 should need help with this process, please contact the 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*. Attempting to register with *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." 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 will notify the e-Business POC 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. Organizational 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 POC. Then, your e-Business POC 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 POC 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* 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.

- Scroll down and click on the link to download the PureEdge Viewer (*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," 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* 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, 97.059. 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*, 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* 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 II.

- When you have completed a form or document, click the "Close Form" button at the top of the page. Your information will automatically 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.*

- 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* 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. The confirmation e-mail will give you a *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 POC; therefore, if you are submitting on behalf of someone else, be sure the e-Business POC 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*. To do this, go to the Grants.gov home page at *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* 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 POC; 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.

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Appendix 4
Investment Justification

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A. Investment Justification Overview.

The American Trucking Associations (ATA) may submit one application for funding of up to four investments (projects). Applicant should follow the format below for this file attachment.

Note: The Investment Justification must demonstrate ATA's ability to implement initiatives consistent with the purpose of the program and guidance provided by TSA and G&T.

B. Investment Justification Template.

ATA must provide information in the following categories for **each** proposed investment:

- *Background;*
- *Strategic and Program Priorities;*
- *Impact; and,*
- *Funding/Implementation Plan.*

Investment Heading	
Applicant Organization	
Investment Name	
Investment Amount	$

I.   Background.

Note: This section only needs to be completed once per application, regardless of the number of investments proposed. The information in this section provides background/context for the investment(s) requested, but does not represent the evaluation criteria used by DHS for rating individual investment proposals. It will also be used to confirm eligibility.

I.A. Identify the point(s) of contact for this investment.	
Response Type	Narrative
Word Limit	Not to exceed ½ page
Response Instructions	Identify the following: • Point of contact's (POC) name and title; • POC's full mailing address; • POC's telephone number; • POC's fax number; • POC's email address; and, • Also include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award.
Response:	

II. Strategic and Program Priorities.

II.A. Describe how the investment will address one of the FY07 TSP Priorities for Highway Watch®.	
Response Type	Narrative
Page Limit	Not to exceed 1 page
Response Instructions	***Briefly*** discuss which of the following FY07 TSP priorities for Highway Watch® this investment will address: 1. **Participant Identification and Recruitment:** • <u>Motor Carriers</u> – Recruit new motor carriers (e.g., truck, bus, truck driving schools, school transportation) that will actively participate in and support Highway Watch® training; • <u>Individual Drivers</u> – Recruit active current drivers to include independent, unaffiliated drivers, passenger carriers, and other vehicle fleets to expand the program; • <u>Responder/Law Enforcement</u> – Recruit first responder/enforcement entities that will actively support Highway Watch® goals regarding driver training. 2. **Training:** • Implement an evaluation methodology to ensure that the Highway Watch® training program is addressing homeland security and safety issues in conjunction with the Goal. • Implement a training component specific to state, local and law enforcement entities to familiarize these forces with the domain awareness and incident/suspicious activity reporting training afforded to Highway Watch® students and with the identification devices used to distinguish Highway Watch®-trained personnel from those who have not been trained. 3. **Communications:** • <u>Highway Watch® Call Center</u> – Maintain a full-service (24/7) communications/call center staffed with well-trained responders who will provide nationwide first responder and law enforcement contact numbers and electronic linkage to registered participants. The center must be capable of re-directing calls to law enforcement and first responders for immediate action or to the Highway ISAC for investigation as terrorist threats. The call center may also be utilized during an incident of national significance. 4. **Information Analysis and Distribution:** • Maintain the Highway ISAC, located at TSA's Transportation Security Operations Center (TSOC) in Herndon, VA, and dedicated exclusively to highway and highway-transport related security needs and issues. The applicant will provide recommendations, implementation strategies, and a completed plan for continued Highway ISAC operations to include other transportation stakeholders. Responsibilities may include identifying the appropriate role of a highway-specific ISAC or implementation strategies that address incidents of critical national significance.
Response	

II.B. Describe how the investment will support the National Preparedness Goal.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• Discuss how this investment will support the following National Priority associated with the National Preparedness Goal: o Strengthening information sharing and collaboration capabilities.
Response	

III. Impact.

III.A. Describe what the potential homeland security risks of not funding this investment are.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• Consider the risks that already exist and will be more prevalent and/or any new risks that will result if this investment is not funded and implemented. • Briefly discuss potential outcomes if this risk is not addressed – explain what vulnerabilities will not be reduced or what potential consequences will not be mitigated.
Response	

III.B. Describe the potential cost effectiveness and sustainability of this investment without additional Federal funds.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	Describe the security related impact to the trucking industry if you do not receive funding for this project.
Response	

IV. Funding & Implementation Plan.

IV.A. Investment Funding Plan.	
Response Type	Numeric and Narrative
Page Limit	Not to exceed 1 page
Response Instructions	• Complete the chart below to identify the amount of funding you are requesting for <u>this investment only</u>; • Funds should be requested by allowable cost categories (as identified in the FY07 TSP Program Guidance and Application Kit); • Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and, • Applicants must indicate whether additional funding (non-FY07 TSP) will be leveraged for this investment. ***Note: Investments will be evaluated on the expected impact on security relative to the amount of the investment (i.e., cost effectiveness). An itemized Budget Detail Worksheet and Budget Narrative must also be completed for this investment. See Appendix 5 of this document for a sample format.***
Response	

The following template illustrates how the applicants should indicate the amount of FY07 TSP funding required for the investment, how these funds will be allocated across the cost elements, and any match being offered:

	FY07 TSP Request Total	Cash Match	Grand Total
Participant Identification and Recruitment			
Training			
Communications			
Information Analysis and Distribution			
M&A			
Total			

IV.B.	Identify up to five (5) potential challenges to the effective implementation of this investment (e.g., stakeholder buy-in, sustainability, aggressive timelines).	
Response Type	Narrative	
Page Limit	Not to exceed ½ page	
Response Instructions	- For each identified challenge, provide a brief description of how the challenge will be addressed and mitigated, and indicate a probability of occurrence (high, medium, or low); - The response should focus on the implementation only; - Consider the necessary steps and stages that will be required for successful implementation of the investment; - Identify areas of possible concern or potential pitfalls in terms of investment implementation; and, - Explain why those areas present the greatest challenge to a successful investment implementation.	
Response		

IV.C.	Describe the management team, including roles and responsibilities, that will be accountable for the oversight and implementation of this investment, and the overall management approach they will apply for the implementation of this investment.	
Response Type	Narrative	
Page Limit	Not to exceed ½ page	
Response Instructions	- Provide the high-level skill sets (e.g., budget execution, grant administration, geospatial expert, outreach and communication liaison) that members of the management team must possess for the successful implementation and oversight of the investment; - Discuss how those skill sets fulfill the oversight and execution responsibilities for the investment, and how the management roles and responsibilities will be distributed/assigned among the management team; and, - Explain how the management team members will organize and work together in order to successfully manage the investment.	
Response		

IV.D.	Discuss funding resources beyond FY07 TSP that have been identified and will be leveraged to support the implementation and sustainment of this investment.
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• In addition to the required cash match, discuss other funding sources (e.g., non-TSP grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this investment; • If no other funding resources have been identified beyond the required cash match, or if none are necessary, provide rationale as to why the requested FY07 TSP funding is sufficient for the implementation and sustainment of this investment.
Response	

IV.E.	Provide a high-level timeline, milestones and dates, for the implementation of this investment. Possible areas for inclusion are: stakeholder engagement, planning, major acquisitions/purchases, training, exercises, and process/policy updates. <u>Up to</u> 10 milestones may be provided.
Response Type	Narrative
Page Limit	Not to exceed 1 page
Response Instructions	• Only include major milestones that are critical to the success of the investment; • While up to 10 milestones may be provided, applicants should only list as many milestones as necessary; • Milestones are for this discrete investment – those that are covered by the requested FY07 TSP funds and will be completed over the 36-month grant period; • Milestones should be kept to high-level, major tasks that will need to occur; • Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone; • Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and, • List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).
Response	

IV.F.	Describe the planned duration for this overall investment. Discuss your long-term sustainability plans for the investment after your FY07 TSP funds have been expended, if applicable.
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• Give the expected total life-span for this investment if fully implemented and sustained through completion; • Consider how this investment will be sustained and funded after FY07 TSP funds are expended, if applicable; • Include information about resource needs (e.g., personnel, processes, and tools), as well as critical governance needs; and, • List critical milestones that are outside of the FY07 TSP grant period, and how those milestones will be met with the identified funding and resources.
Response	

IV.G.	Describe the technical implementation plan for this investment. Discuss the innovativeness of the solution proposed.
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	• Define the vision, goals, and objectives for the risk reduction, and summarizes how the proposed investment will fit into the overall effort to meet the critical infrastructure security priorities (including integration into existing security protocols); • Describe the specific needs and/or resource limitations that need to be addressed; • Identify specific needs and other details for training, awareness, exercises, and other programs, if applicable (e.g., number of people to be trained, length of training, type of training, number of printed materials, number of agencies and staff members involved in exercise planning, execution, and review); • Describe progress made on the security project this investment will be completing, if applicable; and, • Reference use of prior year grant funds, if applicable.
Response	

C. Investment Justification Submission and File Naming Convention.

Investment Justifications must be submitted with the grant application as a file attachment within *grants.gov*. Applicants must use the following file naming convention when submitting required documents as part of the FY07 TSP.

Investment Justification (through Grants.gov file attachment)
   Name of Applicant_ IJ Number (Example: ATA_IJ#1)

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Appendix 5
Sample Budget Detail Worksheet

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OMB Approval No. 1121-0188

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Purpose. The Budget Detail Worksheet may be used as a guide to assist applicants 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**

Note: Personnel costs are only allowable for direct management and administration of the grant award, i.e., preparation of mandatory post-award reports.

TOTAL _____

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**

TOTAL   _____

Total Personnel & Fringe Benefits   _____

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 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

TOTAL _____

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. (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 "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

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

TOTAL _____

E. Supplies. List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. (Note: 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.

Supply Items	Computation	Cost

TOTAL _____

F. 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.

Name of Consultant	**Service Provided**	**Computation**	**Cost**

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Subtotal _____

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

Item	**Location**	**Computation**	**Cost**

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Subtotal _____

Contracts: Provide a description of the product or services 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**

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Subtotal _____

TOTAL _____

G. 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, and provide a monthly rental cost and how many months to rent.

Description	**Computation**	**Cost**

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Important Note: If applicable to the project, construction costs should be included in this section of the Budget Detail Worksheet.

TOTAL _____

H. 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**

TOTAL _____

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 funds requested and the amount of non-Federal funds that will support the project.

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

Federal Request   _____

Non-Federal Amount   _____

Detailed Budget Submission and File Naming Convention.

Detailed Budgets must be submitted with the grant application as a file attachment within *grants.gov*. Applicants must use the following file naming convention when submitting Detailed Budgets as part of the FY07 TSP:

> **Detailed Budget (through Grants.gov file attachment)**
>   Name of Applicant_IJ Number_Budget (Example: ATA_IJ#1_Budget)

Appendix 6
Award and Reporting Requirements

A. Grant Award and Obligation of Funds.

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the "award date." The signed award document with special conditions must be returned to:

> **Office of Justice Programs,**
> **Attn: Control Desk – G&T Award**
> **810 7th Street, N.W., 5th Floor**
> **Washington, DC 20531.**

An obligation is defined in the *Office of Grant Operations (OGO) Financial Management Guide* as a legally binding liability under a grant, sub-grant, and/or contract determinable sums for services or goods incurred during the grant 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 G&T with specific and compelling justifications why an extension is required.

B. Post Award Instructions.

G&T's OGO will provide fiscal support and oversight of the grant programs, while the OJP Office of the Comptroller will continue to provide support for grant payments. The following is provided as a guide for the administration of awards. Additional details and requirements may be provided to the grantee in conjunction with finalizing an award.

1. Review award and special conditions document. Notification of award approval is made by e-mail through the OJP 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 maintain a copy and return the original signed documents to:

> **Office of Justice Programs**
> **Attn: Control Desk - G&T Award**
> **810 Seventh Street, N.W., 5th Floor**
> **Washington, DC 20531**

If you do not agree with the terms and conditions, contact the awarding G&T 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*.

3. Complete and return ACH form. The Automated Clearing House (ACH) Vendor/ Miscellaneous Payment Enrollment Form (refer to Step 3 attachment) is used to arrange direct deposit of funds into your designated bank account.

4. Access to payment systems. OJP uses the Phone Activated Paperless System (PAPRS) to request funds. Grantees will receive a letter with the award package containing their PIN to access the system and Grant ID information.

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). The payment system contains edits that will prevent access to funds if reporting requirements are not met on a timely basis. Refer to Step 5 attachments for forms, due date information, and instructions.

6. Questions about your award? A reference sheet is provided containing frequently asked financial questions and answers. Questions regarding grant payments should be addressed to the OJP Office of the Comptroller at 1-800-458-0786 or email at: *askoc@ojp.usdoj.gov*. Questions regarding all other financial/administrative issues should be addressed to the OGO Information Line at 1-866-9ASKOGO (927-5646) or email at: *ask-ogo@dhs.gov*.

Note: If you have any questions about GMS, need to establish a GMS account, or require technical assistance with accessing your award, contact the GMS Hotline at 1-888-549-9901.

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 Phone Activated Paperless System (PAPRS). There is a limited pool of grantees that may use the Automated Standard Application for Payments (ASAP).

In support of continuing efforts to meet the accelerated financial statement reporting requirements mandated by the U.S. Department of the Treasury and the Office of Management and Budget (OMB), payment processing will be interrupted during the last five working days of each month. Grant recipients should make payment requests before the last five working days of the month to avoid delays in deposit of payments.

For example, for the month of October, the last day to request (draw down) payments was October 24, 2006. Payments requested after that date were processed when the regular schedule resumed on November 1, 2006. A similar schedule will follow at the end of each month.

Grant recipients 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 Sub-awards) 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 sub-grantee may keep interest amounts up to $100 per year for administrative expenses for all Federal grants combined. Please consult the OGO *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 sub-grantee.

Note: 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 CFR 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 for program purposes.

D. Reporting Requirements.

1. Financial Status Report (FSR) -- required quarterly. Obligations and expenditures must be reported to G&T 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). Please note that this is a change from previous fiscal years. 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 Internet at: *https://grants.ojp.usdoj.gov*. Forms and instructions 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, *Grants and Cooperative Agreements with State and Local Governments*, at: *http://www.whitehouse.gov/omb/circulars/index.html*

- OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments,* at: *http://www.whitehouse.gov/omb/circulars/index.html*

- OMB Circular A-110, *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, *Cost Principles for Educational Institutions,* at: *http://www.whitehouse.gov/omb/circulars/index.html*

- OMB Circular A-122, *Cost Principles for Non-Profit Organizations,* at: *http://www.whitehouse.gov/omb/circulars/index.html*

For FY07 awards, grant and sub-grant recipients should refer to the OGO Financial Guide. All awards from FY05 and earlier are still governed by the OJP Financial Guide, available at: *http://www.ojp.usdoj.gov/FinGuide*. OGO can be contacted at 1-866-9ASKOGO or by email at: *ask-OGO@dhs.gov*.

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 though 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. At a minimum, reports should contain the following data: (1) As applicable, the total number of items secured under this grant (e.g., access controls, surveillance, physical enhancements, and vessels) to date, and (2) for other items acquired through this grant, a brief description and total number of items obtained to date.

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. Exercise Evaluation and Improvement. Exercises implemented with grant funds should be threat- and performance-based and should evaluate performance of critical prevention and response tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement* located at: *http://www.ojp.usdoj.gov/G&T/docs/HSEEPv2.pdf*. Grant recipients must report on scheduled exercises and ensure that an AAR and IP are prepared for each exercise conducted with G&T support (grant funds or direct support) and submitted to G&T within 60 days following completion of the exercise.

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The Improvement Plan (IP) outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR. Generally the IP, with at least initial action steps, should be included in the final AAR. G&T is establishing a

national database to facilitate the scheduling of exercises, the submission of the AAR/IPs and the tracking of IP implementation. Guidance on the development of AARs and IPs is provided in Volume II of the HSEEP manuals.

> ***Required submissions: AARs and IPs (as applicable).***

4. Financial and Compliance Audit Report. Recipients that expend $500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accountability Office, *Government Auditing Standards*, located at: *http://www.gao.gov/govaud/ybk01.htm*, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at: *http://www.whitehouse.gov/omb/circulars/a133/a133.html*. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY07 IPP 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.

5. Federal Funding Accountability and Transparency Act. While there are no State and Urban Area requirements in FY07, the Federal Funding Accountability and Transparency Act of 2006 may affect State and Urban Area reporting requirements in future 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 sub-grantee information by January 1, 2009

6. National Preparedness Reporting Compliance. The Government Performance and Results Act (GPRA) requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. DHS will work with grantees to develop tools and processes to support this requirement. DHS anticipates using this information to inform future-year grant program funding decisions.

7. National Assessment of State and Local Preparedness. HSPD-8 calls for an assessment of national preparedness. Furthermore, the FY07 DHS Appropriations Act requires a comprehensive national assessment of State and local preparedness in FY07. Additional guidance will be provided during the grant period regarding these requirements. DHS will strive to ensure reporting requirements support State and local level performance management requirements, where applicable. Congress also requires a Federal Preparedness Report on the Nation's level of preparedness for all hazards, including natural disasters, acts of terrorism, and other man-made disasters, including an estimate of the amount of Federal, State, local, and tribal expenditures required to attain the National Preparedness Priorities by October 4, 2007, and annually thereafter.

8. Catastrophic Resource Report. The Department is also required to develop and submit an annual Catastrophic Resource Report which estimates the resources of DHS and other Federal agencies needed for and devoted specifically to developing the capabilities of Federal, State, local, and tribal governments necessary to respond to a catastrophic incident. This requirement includes an estimate of State, local, and Tribal government catastrophic incident preparedness.

9. State Preparedness Report. Congress requires that States receiving DHS-administered Federal preparedness assistance shall submit a State Preparedness Report to the Department on the State's level of preparedness by January 4, 2008, and annually thereafter. The report shall include: (1) an assessment of State compliance with the national preparedness system, NIMS, the NRP, and other related plans and strategies; (2) an assessment of current capability levels and a description of target capability levels; and (3) an assessment of resource needs to meet the National Preparedness Priorities, including an estimate of the amount of expenditures required to attain the Priorities and the extent to which the use of Federal assistance during the preceding fiscal year achieved the Priorities.

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

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

F. Grant Close-Out Process.

Within 90 days after the end of the award period, grantees must submit a final FSR and final CAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by G&T, 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 7
Additional Resources

This Appendix describes several resources that may help applicants in completing an IPP application.

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 through G&T 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*. CSID hours of operation are from 8:00 am–6:00 pm (EST), Monday-Friday.

2. Office of Grant Operations (OGO). G&T's Office of Grant Operations will provide fiscal support, including pre- and post-award administration and technical assistance, of the grant programs included in this solicitation, with the exception of payment related issues.

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*. All payment related questions should be referred to the Office of Justice Programs/Office of the Comptroller (OJP/OC) Customer Service at 1-800-458-0786 or *askoc@ojp.usdoj.gov*. All grant and sub-grant recipients should refer to the OGO *Financial Management Guide.*

3. GSA's Cooperative Purchasing Program. The U.S. General Services Administration (GSA) offers an efficient and effective procurement tool for State and local governments to purchase information technology products and services to fulfill homeland security and other needs. The Cooperative Purchasing Program allows for State and local governments to purchase from Schedule 70 (the Information Technology Schedule) and the Consolidated Schedule (containing IT Special Item Numbers) only. Under this program, State and local governments have access to over 3,000 GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program.

State and local governments can find eligible contractors on GSA's website, *www.gsaelibrary.gsa.gov, d*enoted with a [COOP PURCH] symbol. Assistance is available from GSA at the local and national level. For assistance at the local level visit *www.gsa.gov/csd* to find the point of contact in your area and for assistance at the national level, contact Patricia Reed *at patricia.reed@gsa.gov, 213-534-0094. More information is available at www.gsa.gov/cooperativepurchasing.*

4. Exercise Direct Support. DHS has engaged multiple contractors with significant experience in designing, conducting, and evaluating exercises to provide support to States and local jurisdictions in accordance with State Homeland Security Strategies and HSEEP. Contract

support is available to help States conduct an Exercise Plan Workshop, develop a Multi-year Exercise Plan and build or enhance the capacity of States and local jurisdictions to design, develop, conduct, and evaluate effective exercises.

In FY07, states may receive direct support for three exercises: one Training & Exercise Planning Workshop (T&EWP), one discussion-based exercise; and one operations-based exercise. While states are allowed to submit as many direct support applications as they choose, they are strongly encouraged to give careful thought to which exercises will require the additional assistance that will be provided through the direct support program. Exercises involving cross-border or mass-gathering issues will be counted against the number of direct-support exercises being provided to states.

Applications for direct support are available at *http://hseep.dhs.gov* and are reviewed on a monthly basis. The Homeland Security Exercise and Evaluation Program offers several tools and resources to help design, develop, conduct and evaluate exercises.