



Homeland Security

GRANTS, COOPERATIVE AGREEMENTS, AND OTHER TYPES OF ASSISTANCE

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FEDERAL GRANT AND COOPERATIVE AGREEMENT ACT

(P.L. 97-258 31 U.S.C. 6301)

- **Sec. 6303. Using Procurement Contracts**
 - An executive agency shall use a procurement contract as the legal instrument reflecting a relationship between the United States Government and a State, a local government, or other recipient when
 - (1) **the principal purpose of the instrument is to acquire (by purchase, lease, or barter) property or services for the direct benefit or use of the United States Government; or**
 - (2) the agency decides in a specific instance that the use of a procurement contract is appropriate.



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➤ **Sec. 6304. Using Grant Agreements**

- An executive agency shall use a grant agreement as the legal instrument reflecting a relationship between the United States Government and a State, a local government, or other recipient when
 - (1) **the principal purpose of the relationship is to transfer something of value to the State or local government or other recipient to carry out a public purpose of support or stipulation authorized by a law of the United States instead of acquiring (by purchase, lease, or barter) property or services for the direct benefit or use of the United States Government; and**
 - (2) substantial involvement is not expected between the executive agency and the State, local government, or other recipient when carrying out the activity contemplated in the agreement



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- **Sec. 6305. Using Cooperative Agreements**
 - An executive agency shall use a cooperative agreement as the legal instrument reflecting a relationship between the United States Government and a State, a local government, or other recipient when
 - (1) the principal purpose of the relationship is to transfer something of value to the State, local government, or other recipient to carry out a public purpose of support or stipulation authorized by a law of the United States instead of acquiring (by purchase, lease, or barter) property or services for the direct benefit or use of the United States Government; and
 - (2) **substantial involvement is expected between the executive agency and the State, local government, or other recipient when carrying out the activity contemplated in the agreement.**



TYPES OF ASSISTANCE

(Extracted from “CFDA Reference Manual for Agency Liaisons and Staff”)

➤ FINANCIAL ASSISTANCE PROGRAMS

- **Formula Grants:** Allocations of money to States or their subdivisions in accordance with distribution formulas prescribed by law or administrative regulation, for activities of a continuing nature not confined to a specific project. Be certain to specify the formula under the Assistance Considerations section, and Formula and Matching Requirements section.
- **Project Grants:** The funding, for fixed or known periods, of specific projects. Project grants can include fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, survey grants, and construction grants.



TYPES OF ASSISTANCE

➤ FINANCIAL ASSISTANCE PROGRAMS Cont.

- **Direct Payments for Specified Use:** Financial assistance from the Federal government provided directly to individuals, private firms, and other private institutions do encourage or subsidize a particular activity by conditioning the receipt of the assistance on a particular performance by the recipient. This does not include solicited contracts for the procurement of goods and services for the Federal government.
- **Direct Loans:** Financial assistance provided through the lending of Federal monies for a specific period of time, with a reasonable expectation of repayment. Such loans may or may not require the payment of interest.
- **Insurance:** Financial assistance provided to assure reimbursement for losses sustained under specified conditions. Coverage may be provided directly by the Federal government or through private carriers and may or may not involve the payment of premiums.



TYPES OF ASSISTANCE

➤ NON-FINANCIAL ASSISTANCE PROGRAMS

- **Sale, Exchange, or Donation of Property and Goods:** The sale, exchange, or donation of federal real property, personal property, commodities, and other goods including land, buildings, equipment, food and drugs. This does not include the loan of, use of, or access to Federal facilities or property.
- **Use of Property, Facilities, and Equipment:** The loan of, use of, or access to Federal facilities or property wherein the federally owned facilities or property do not remain in the possession of the recipient of the assistance.



TYPES OF ASSISTANCE

➤ NON-FINANCIAL ASSISTANCE PROGRAMS

- **Provision of Specialized Services:** The provision of federal personnel directly to perform certain tasks for the benefit of communities or individuals. These services may be performed in conjunction with nonfederal personnel, but they involve more than consultation, advice, or counseling.
- **Advisory Services and Counseling:** The provision of federal specialists to consult, advise, or counsel communities or individuals including conferences, workshops, or personal contacts. This may involve the use of published information, but only in a secondary capacity.



TYPES OF ASSISTANCE

➤ NON-FINANCIAL ASSISTANCE PROGRAMS

- **Dissemination of Technical Information:** The publication and distribution of information or data of a specialized or technical nature frequently through clearinghouses or libraries. This does not include conventional public information services designed for general public consumption.
- **Provision of Specialized Services:** The provision of Federal personnel directly to perform certain tasks for the benefit of communities or individuals. These services may be performed in conjunction with nonfederal personnel, but they involve more than consultation, advice, or counseling.
- **Advisory Services and Counseling:** The provision of Federal specialists to consult, advise, or counsel communities or individuals including conferences, workshops, or personal contacts. This may involve the use of published information, but only in a secondary capacity.



TYPES OF ASSISTANCE

➤ NON-FINANCIAL ASSISTANCE PROGRAMS

- **Dissemination of Technical Information:** The publication and distribution of information or data of a specialized or technical nature frequently through clearinghouses or libraries. This does not include conventional public information services designed for general public consumption.
- **Training:** Instructional activities conducted directly by a federal agency for individuals not employed by the federal government.
- **Investigation of Complaints:** Federal administrative agency activities that are initiated in response to requests, either formal or informal, to examine or investigate claims of violations of federal statutes, policies, or procedure. The origination of such claims must come from outside the federal government.



TYPES OF DHS ASSISTANCE PROGRAMS

- **PREPAREDNESS:** Programs designed to assist States, American Territories and Local and Indian Tribal Governments in an effort to be better prepared in their response to acts of terrorism or natural disasters.
- **PROTECTION:** Programs designed to assist States, American Territories and Local and Indian Tribal Governments in an effort to better protect against acts of terrorism or natural disasters.
- **RESPONSE:** Programs that provide resources in response to terrorist attacks or events of natural disaster.
- **RECOVERY:** Programs that provide assistance in recovery efforts to States, American Territories and Local and Indian Tribal Governments in the aftermath of terrorist attacks or natural disasters.
- **MITIGATION:** Programs that provide assistance in the prevention and/or reduction of damage caused by disaster.
- **RESEARCH:** Programs that provide funding to conduct research, development, testing and evaluation of technologies related to the DHS mission.



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PREPAREDNESS

- **PREPAREDNESS:** Programs designed to assist States, American Territories and Local and Indian Tribal Governments in an effort to be better prepared in their response to acts of terrorism or natural disasters.
 - ✓ Planning
 - ✓ Equipment
 - ✓ Training
 - ✓ Exercise
 - ✓ Technical Assistance



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PROTECTION

- **PROTECTION:** Programs designed to assist States, American Territories and Local and Indian Tribal Governments in an effort to better protect against acts of terrorism or natural disasters.
 - ✓ Planning
 - ✓ Equipment
 - ✓ Training
 - ✓ Technical Assistance



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RESPONSE

➤ **RESPONSE:** Programs that provide resources in response to terrorist attacks or events of natural disaster.

- ✓ Emergency Food and Shelter
- ✓ Debris Removal
- ✓ Urban Search and Rescue
- ✓ Emergency Medical Supplies
- ✓ Crisis Counseling



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RECOVERY

➤ **RECOVERY:** Programs that provide assistance in recovery efforts to States, American Territories and Local and Indian Tribal Governments in the aftermath of terrorist attacks or natural disasters.

✓ Individual Assistance

✓ Infrastructure Assistance to State, Local and Indian Tribal Governments



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MITIGATION

- **MITIGATION:** Programs that provide assistance in the prevention and/or reduction of damage caused by disaster.
 - ✓ Individual Assistance through Community Projects
 - ✓ Infrastructure Assistance to State, Local and Indian Tribal Governments



RESEARCH

➤ **RESEARCH:** Programs that provide funding to conduct research, development, testing and evaluation of technologies related to the DHS mission.

➤ Research

- *Homeland Security Advance Research Project Agency (HSARPA)*
- *Transportation Security Administration*
 - ✓ Port Security Research and Development
 - ✓ Aviation Research Grants
- *United States Coast Guard*
 - ✓ Research, Development, Test, and Evaluation
- *United States Secret Service*
 - ✓ Research and Development
 - ✓ Conduct Behavioral Research in Support of Protective Research and Operations.



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RESEARCH

- Centers for Homeland Security
- Students and Fellows



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FOR MORE INFORMATION ABOUT ASSISTANCE PROGRAMS

- Catalog of Federal Domestic Assistance (CFDA):
<http://www.CFDA.gov>
 - Provides Descriptions of Government – Wide Assistance Programs
 - DHS'CFDA is 97._ _ _ .
 - Each program starts with the agency Number 97.

- Grants.gov website:
<http://www.Grants.gov>
 - Provides a daily list of grant award and cooperative agreement opportunities.
 - Once registered the daily list is transmitted automatically.

- DHS Public Page/Business/Open for Business/Grants:
<http://www.DHS.gov>



WHO RECEIVES FUNDING

➤ **Direct Awards:**

Awards made directly to non-federal entities (e.g. States, Local and Indian Tribal Governments, Profit and Non-Profit Organizations and Individuals).

For example:

DHS awards a Port Security Grant to the City of Los Angeles to install security lighting at a city dock.

➤ **Awards/Sub-Awards:**

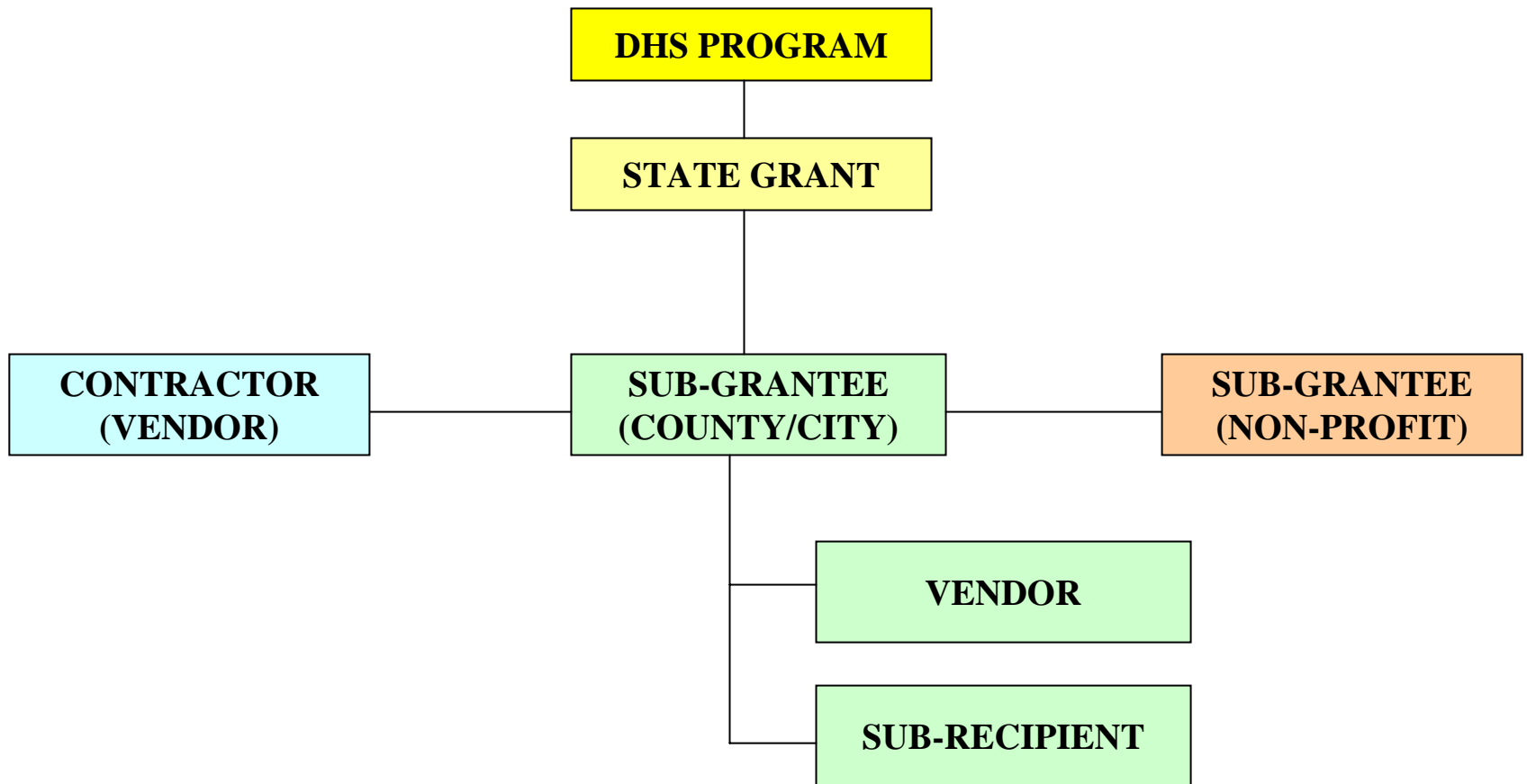
Awards made to non-federal entities that award sub-grants to other non-federal entities.

For example:

DHS awards a Public Assistance Grant to Florida who in turns awards sub-grants to several counties to repair damage to city streets caused by a hurricane.



GRANT WITH SUB-AWARDS (EXAMPLE)





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WHAT GOVERNS ASSISTANCE PROGRAMS

- Federal Statute – Program, Appropriation, Other
- State and Local Statutes
- Regulations
- Federal OMB Circulars and Directives
- Terms and Conditions of the Award