

Title of Application: Public Safety Interoperable Communications Grant Program

Funding Opportunity



Overview Information

Catalog of Federal Domestic Assistance (CFDA) Number(s):

11.555

Application Deadline:

August 22, 2007, 11:59 PM Eastern Daylight Time

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I. FUNDING OPPORTUNITY DESCRIPTION

The Deficit Reduction Act of 2005 directed NTIA, in consultation with DHS, to establish and implement a \$1 billion grant program to assist public safety agencies in the acquisition of, deployment of, or training for the use of interoperable communications systems that utilize, or enable interoperability with communications systems that can utilize, reallocated public safety spectrum for radio communications.

The Public Safety Interoperable Communications (PSIC) Grant Program is a one-time formula-based, matching grant program intended to enhance interoperable communications with respect to voice, data, and/or video signals. PSIC provides public safety agencies with the opportunity to achieve meaningful and measurable improvements to the state of public safety communications interoperability through the full and efficient use of all telecommunications resources.

II. AWARD INFORMATION

- A. **Type of Award:** Grant
- B. **Authorizing Statute:** The Deficit Reduction Act of 2005 (P.L. 109-171) and the Call Home Act of 2006 (P.L. 109-459)
- C. **Estimated Funding:** \$968,385,000

The table below identifies available PSIC funding for each State and Territory:

Table 1 - PSIC State/Territory Allocation

State/Territory	PSIC Funding
Alabama	\$ 13,585,399
Alaska	\$ 7,250,345
American Samoa	\$ 691,948
Arizona	\$ 17,713,050
Arkansas	\$ 11,169,402
California	\$ 94,034,510
Colorado	\$ 14,336,638
Connecticut	\$ 12,999,879
Delaware	\$ 8,196,842
District of Columbia	\$ 11,857,972
Florida	\$ 42,888,266
Georgia	\$ 25,311,354

Guam	\$	2,600,678
Hawaii	\$	8,069,879
Idaho	\$	7,289,795
Illinois	\$	36,414,263
Indiana	\$	18,291,735
Iowa	\$	10,935,974
Kansas	\$	10,667,169
Kentucky	\$	15,405,625
Louisiana	\$	19,672,287
Maine	\$	7,567,579
Maryland	\$	22,934,593
Massachusetts	\$	21,191,988
Michigan	\$	25,039,781
Minnesota	\$	14,262,071
Mississippi	\$	10,989,345
Missouri	\$	17,465,576
Montana	\$	6,549,685
Nebraska	\$	8,582,108
Nevada	\$	12,042,417
New Hampshire	\$	5,966,760
New Jersey	\$	30,806,646
New Mexico	\$	8,288,725
New York	\$	60,734,783
North Carolina	\$	22,130,199
North Dakota	\$	7,052,490
Northern Mariana Islands	\$	719,236
Ohio	\$	29,377,337
Oklahoma	\$	11,684,183
Oregon	\$	12,182,532
Pennsylvania	\$	34,190,555
Puerto Rico	\$	9,590,025
Rhode Island	\$	7,365,694
South Carolina	\$	13,499,308
South Dakota	\$	6,549,691
Tennessee	\$	17,540,752
Texas	\$	65,069,247
U.S. Virgin Islands	\$	856,907
Utah	\$	10,353,261
Vermont	\$	4,476,761
Virginia	\$	25,012,521
Washington	\$	19,180,347
West Virginia	\$	8,429,484

Wisconsin	\$	15,367,216
Wyoming	\$	5,952,187
Total	\$	968,385,000

D. **Performance Period:** October 1, 2007 through September 30, 2010

III. ELIGIBILITY INFORMATION

A. **Eligible Applicants:** The PSIC grant will be awarded to the 56 States and Territories. The Governor of each State has designated a State Administrative Agency (SAA), which can apply for and administer the funds under the PSIC Grant Program. The SAA is the only agency eligible to apply for PSIC funds. Additionally, the SAA is the grantee in the management and administration of all funds provided through this award. The SAA is responsible for obligating PSIC funds to eligible pass-through recipients. A recipient must be a public safety agency that is a State, local, or tribal government entity or nongovernmental organization authorized by such entity, whose sole or principal purpose is to protect safety of life, health, or property (authorized nongovernmental public safety organization).

B. **Cost Sharing:** Each public safety agency receiving PSIC funds is required to meet and document the 20 percent statutory match requirement for each project. The SAA is required to track and report the 20 percent match requirement for each individual project that receives PSIC funds for efforts other than training, which do not require any match. This documentation must demonstrate that match funds are from non-federal sources. The match requirements can be met through cash or in-kind sources consistent with 15 C.F.R. §§ 24.3, 24.24.

As provided in 48 U.S.C. § 1469a, the matching requirement does not apply to the first \$200,000 in grant funds awarded to the Territorial governments in Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands.

Training activities are excluded from this match requirement; however, training activities can make up no more than 20 percent of a State's or Territory's total investments.

C. **Restrictions:** See Section IV.E regarding information about funding restrictions.

E. **Other:** None

IV. APPLICATION AND SUBMISSION INFORMATION

A. **Address to Request Application Package:** To ensure a successful submission, the SAAs must apply for PSIC Grant Program funding through the online Grants.gov system through the Authorized Organization Representative (AOR). Grants.gov, an e-Government initiative, is a “storefront” that provides a unified process for all customers of federal grants to find funding opportunities and apply for funding. If applicants have previously used

Grants.gov, the same account may be used for the PSIC Grant Program. States that have not previously submitted an application through Grants.gov are strongly encouraged to initiate the registration process as soon as possible. Instructions are available on the Grants.gov website (www.grants.gov). Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.” NOTE: You will not be able to download the Application Package unless you have installed PureEdge Viewer. The application package will be available on Grants.gov and must be submitted through that website. We recommend you visit Grants.gov at least 30 days prior to filing your application to fully understand the process and requirements. To use Grants.gov, the applicant must have a Data Universal Numbering System (DUNS) number and register in the Central Contractor Registry (CCR). You should allow a minimum of five days to complete the CCR registration. Please note the Grants.gov technical support hours are Monday-Friday, 7 a.m. to 9 p.m., Eastern Daylight Time. For more detail, see <http://www.grants.gov/contactus/contactus.jsp>. Failure to properly register and apply for PSIC funds by the deadlines will result in forfeiture of the grant opportunity.

The program title listed in the CFDA is “PSIC Grant Program.” The CFDA number is **11.555**. When completing the on-line application, applicants should identify their submissions as new applications.

B. **Content and Form of Application Submitted through Grants.gov:** The following is a list of required application forms for States and Territories to be submitted by the SAA.

- Brief Narrative
- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information
- Standard Form 424B, Assurances, or
- Standard Form 424D, Assurances (Construction Projects)
- Standard Form LLL, Disclosure of Lobbying Activities
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters
- Certification of non-supplanting

The use of Standard Forms 424, 424A, 424B, 424D, and SF-LLL has been approved by OMB under the respective control numbers 0348-0043, 0348-0044, 0348-0040, 0348-0042, and 0348-0046.

Brief Narrative

The applicant should complete the brief narrative template, including responses to the following:

1. A description of how the SAAs plan to solicit, review, and select investments from State, local, and Tribal government public safety agencies and authorized nongovernmental organizations;

2. A high-level overview of the planning process and how PSIC criteria is being incorporated into the Statewide Plan; and
3. A description and budget detail of the specific statewide planning activities, related to the PSIC requirements, to be accomplished with the up-to-5 percent of the State or Territory total allocated PSIC grants.

The brief narrative is an information collection subject to the Paperwork Reduction Act. This information is required under Standard Form 424 and is approved under OMB control number 0348-0043.

Standard Form 424, Application for Federal Assistance

Application for Federal Assistance forms (SF-424) can be accessed at <http://apply07.grants.gov/apply//FormLinks?family=15>. The recipient must complete this application face sheet when submitting the application through grants.gov.

Standard Form 424A, Budget Information

Budget Information form (SF-424A) can be accessed at <http://apply07.grants.gov/apply//FormLinks?family=15>. The recipient must complete this form with the requested budget information when submitting the application through grants.gov.

Standard Form 424B, Assurances

Assurances forms (SF-424B) can be accessed at <http://apply07.grants.gov/apply//FormLinks?family=15>. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.

Standard Form 424D, Assurances (Construction Projects)

Assurances for Construction Programs (SF-424D) can be accessed at <http://apply07.grants.gov/apply//FormLinks?family=15>. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. The applicant will be agreeing to these assurances upon submission of the application.

Standard Form LLL, Disclosure of Lobbying Activities

Disclosure of Lobbying Activities (SF-LLL) can be accessed at <http://apply07.grants.gov/apply//FormLinks?family=15>. Recipients must file this form for each payment or agreement to make payment to any lobbying entity.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

This certification, which is a required component of the on-line application, commits the applicant to comply 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 accessed at: <http://csrc.nist.gov/grants/cd511.pdf>.

All forms submitted as part of the PSIC application will be treated as a material representation of fact by which NTIA will rely in awarding grants.

Non-Supplanting Certification

This certification affirms that these grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review, as well as in the pre-award review, post-award monitoring, and any potential audits. Applicants or grantees may be required to supply documentation certifying that a reduction in non-federal, non-matching resources occurred for reasons other than the receipt or expected receipt of federal funds.

- C. **Submission Dates and Times:** Each State and Territory must submit its **application and narrative** no later than 11:59 p.m. Eastern Daylight Time **on August 22, 2007**. Failure to properly register and apply for PSIC funds by the deadlines will result in forfeiture of the grant opportunity.
- D. **Intergovernmental Review:** NTIA and DHS program staff will review each **application** for completeness and adherence to PSIC program rules. The Assistant Secretary for Communications and Information, Department of Commerce, will approve each application.

DHS will review and approve each **Statewide Communications Interoperability Plan** using the SAFECOM Criteria for Statewide Interoperability Strategic Plans. In addition, NTIA will review each Statewide Plan to ensure that States and Territories address the three PSIC requirements set forth below.

- Describe how public safety agencies will acquire, deploy, and train on interoperable communications systems that use – or enable interoperability with communications systems that use – the public safety spectrum in the 700 megahertz frequency band;
- Describe how local and tribal government entities' interoperable communications needs have been included in the planning process and how their needs are being addressed, if applicable; and
- Describe how authorized nongovernmental organizations' interoperable communications needs have been included in the planning process and how their needs are being addressed, if applicable.

NTIA and DHS program staff will review the submitted **Investment Justifications** for compliance with PSIC program rule and objectives. Based on the recommendation of peer and subject matter expert groups (and NTIA and DHS program staff), the Assistant Secretary for Communications and Information, Department of Commerce, will approve all Investment Justifications. If non-federal employees will participate in the peer and subject matter expert groups, no consensus advice will be provided by groups.

- E. **Funding Restrictions:** The PSIC Grant Program Guidance and Application Kit outlines allowable cost guidance. Several costs, however, are not allowed under PSIC.

PSIC funds may not be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities. For example, a local, uniformed, law enforcement patrol officer cannot be hired using grant dollars to perform regular local law enforcement patrol duties.

Operations and maintenance costs that supplant existing costs are not allowed. Examples include salaries, benefits and overtime for existing employees, sworn officers, grant writers and other staff who do not directly contribute to the implementation of the project. Also not allowed are office expenses such as phones, vehicle costs, office rental, furniture and equipment, office supplies and indirect charges.

To be eligible to receive PSIC funding assistance from the SAA, a public safety agency must be a State, local, or tribal government entity or authorized nongovernmental public safety organization. Each State will make no less than 80 percent of the total award amount available as a pass-through to such local or tribal government or authorized nongovernmental public safety agencies. The District of Columbia has no pass-through requirement. For Puerto Rico, the pass-through requirement is 50 percent of total award amount. Due to the unique nature of the Territorial governments in Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands, no pass-through requirements will be applied to those Territories. However, the above Territories are expected to take into account the needs of local communities prior to making funding decisions.

Within 60 days of the approval of the Investment Justification(s), a State or Territory must pass-through the 80 percent of PSIC funds to local applicants.

For the pass-through of funds, each State and Territory may retain some or all of the pass-through for expenditures made by the State and Territory on behalf of the pass-through local entities. This may occur only if requested in writing by the pass-through recipients. States and Territories holding grant funds on behalf of local entities must enter into a formal Memorandum of Understanding (MOU) with the local unit of government and/or tribal government entities, as applicable. If an MOU is already in place for existing efforts, NTIA will recognize the MOU for fiscal year (FY) 2007 through FY 2010. States and Territories must submit these MOUs with the Investment Justifications by November 1, 2007. A final, executable copy of the MOU will be kept on file with the SAA and NTIA.

- F. **Other Submission Requirements:** None

V. APPLICATION REVIEW INFORMATION

- A. **Review Criteria:** NTIA is seeking solutions from public safety agencies that (1) achieve meaningful and measurable improvements in the state of interoperability for public safety communications and (2) fill interoperability gaps identified in the Statewide Plans.

NTIA recognizes that many solutions exist to achieve interoperability, and the PSIC Grant Program will not dictate a specific technology solution for public safety agencies. However, NTIA has identified the following technology and all hazards mitigation priorities that States and Territories must consider when selecting projects for PSIC funding:

- Technology
 - Adopt advanced technological solutions
 - Improve spectrum efficiency
 - Use cost-effective measures
- All Hazards Mitigation
 - Improve communications in areas at high risk for natural disasters
 - Continue to improve interoperability efforts in urban and metropolitan areas at high risk for threats of terrorism.

PSIC will not support projects whose purpose falls into the following categories;

- **Single-Agency Projects.** PSIC will not support projects whose emphasis is on the internal communications needs of a single agency, even if the agency has a considerable number of offices or users in different cities or regions of the State/Territory. Investments should include multiple agencies and/or multiple disciplines.
- **Single Jurisdiction.** PSIC will not support a project that only serves a single jurisdiction. Investments should be multi-jurisdictional and/or regional in scope.
- **Isolation from 700 MHz Band.** PSIC will not support a project that does not have the capability to interoperate with equipment or systems in the 700 MHz frequency band presently or in the future.

Specific PSIC requirements must be met for the Statewide Communications Interoperability Plans and Investment Justifications, which are further defined in Section V.B below.

- B. **Review and Selection Process:** Eligible applicants must follow the three steps to apply for PSIC funding: submit an application and brief narrative, submit a Statewide Communications Interoperability Plan, and submit Investment Justifications.

The first step includes submitting an application on Grants.gov. NTIA and DHS program staff will review each application for completeness and adherence to PSIC program rules. Applications will be approved by the Assistant Secretary for Communications and Information, Department of Commerce, and PSIC funds will be awarded no later than September 30, 2007.

The second step includes submitting a Statewide Communications Interoperability Plan. Pursuant to Section I.C.5 of the 2006 Homeland Security Grant Program, Program Guidance and Application Kit, each State and Territory must develop and adopt a Statewide communications interoperability plan. Each State and Territory must submit its final Statewide Communications Interoperability Plan by November 1, 2007. The Statewide Communications Interoperability Plan will be reviewed by peer and subject matter expert groups. If non-federal employees will participate in the peer and subject matter expert groups, no consensus advice will be provided by groups. DHS will review and approve each Statewide Communications Interoperability Plan using the SAFECOM Criteria for Statewide Interoperability Strategic Plans. In addition, NTIA will review each Statewide Plan to ensure that States and Territories address the three PSIC requirements.

The third step includes submitting Investment Justifications, which must be submitted by November 1, 2007. These Investment Justifications are to be submitted in conjunction with final Statewide Communications Interoperability Plans to the National Preparedness Directorate's Secure Portal at <https://odp.esportals.com>. The Investment Justifications also will be reviewed by peer and subject matter expert groups. If non-federal employees will participate in the peer and subject matter expert groups, no consensus advice will be provided by groups. NTIA and DHS program staff will review the submitted Investment Justifications for compliance with PSIC program rule and objectives. Based on the recommendation of peer and subject matter expert groups and NTIA and DHS program staff, the Assistant Secretary for Communications and Information, Department of Commerce, will approve all Investment Justifications.

PSIC funds will be released to the State or Territory, only after approval of both a State or Territory's Statewide Communications Interoperability Plan and Investment Justification(s).

The Investment Justification is an element required under Standard Form 424A and has been approved by OMB under control number 0348-0044.

- C. **Anticipated Announcement and Award Dates:** PSIC funding will be awarded by September 30, 2007, as required by the Call Home Act of 2006. Grant recipients will be able to expend a portion (up to 5 percent) of their allocated PSIC funds immediately to support statewide planning efforts related to the direction of Section 3006 of the Deficit Reduction Act. Specifically, States and Territories can access up to 5 percent of the grant funds for costs incurred for statewide planning efforts to ensure that PSIC requirements are addressed in the Statewide Plans, including related pre-award costs incurred on or after April 1, 2007. Special conditions will be placed on the remaining funds until successful completion and approval of the Statewide Communications Interoperability Plans and Investment Justifications due by November 1, 2007, and compliance with the statutory matching fund requirements.

VI. AWARD ADMINISTRATION INFORMATION

- A. **Notice of Award:** Upon approval of the application, the grant will be awarded to the SAA. This date will be known as the "award date." The signed award document with special

conditions must be returned to Department of Homeland Security, Federal Emergency Management Agency, Grants Management Office (GMO), 245 Murray Lane Bldg. 410, Washington, DC 20528-7000.

B. Administrative and National Policy Requirements:

Administrative and National policy requirements applicable to this program include:

Freedom of Information Act (FOIA)

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 FOIA, 5 U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis and may 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, strategic planning process, and Investment Justifications, the applicant may also consult NTIA and DHS regarding concerns or questions about the release of information under State and local laws. The grantee should be familiar with the regulations governing Protected Critical Infrastructure Information (6 CFR Part 29) and Sensitive Security Information (49 CFR Part 1520), as these designations may provide additional protection to certain classes of homeland security information.

Compliance with Federal Civil Rights Laws and Regulations

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

- Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000 et. seq. – No person on the grounds of race, color or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance;
- Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794 – No qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance;
- Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et. seq. – Discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance;
- The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq. – No person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity receiving Federal financial assistance.

The grantee must comply with all regulations, guidelines, and standards adopted under the above statutes.

Services to Limited English Proficient (LEP) Persons

Recipients of Federal 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. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, please see <http://www.lep.gov>.

Integrating Individuals with Disabilities into Emergency Planning

Executive Order #13347, entitled "Individuals with Disabilities in Emergency Preparedness" and signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Further information on this issue can be found at the Disability and Emergency Preparedness Resource Center at <http://www.disabilitypreparedness.gov>.

C. Reporting Requirements:

Reporting requirements for all programs included in the PSIC Grant Program will be consolidated into a single reporting system.

Financial Status Report (FSR) (Required quarterly)

Obligations and expenditures must be reported on a quarterly basis through the FSR, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, FSR is due on April 30). A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods where no grant activity occurs. *Fund draw downs will be withheld if these reports are delinquent.*

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

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

- OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- OMB Circular A-102, *Grants and Cooperative Agreements with State and Local Governments*, at <http://www.whitehouse.gov/omb/circulars/index.html> (codified at 15 C.F.R. Part 24)
- OMB Circular A-133, *Audits of States, Local Governments, and Non-profit Organizations* <http://www.whitehouse.gov/omb/circulars/index.html>

For additional information on awards, grant and subgrant recipients should refer to the OGO Financial Guide. OGO can be contacted at 1-866-9ASKOGO or by e-mail at ask-OGO@dhs.gov.

Biannual Strategy Implementation Reports (BSIR) and Categorical Assistance Progress Report (CAPR)

Following award of a grant, a State or Territory and its subgrantees will be responsible for providing updated obligation and expenditure information on a regular basis. *The applicable SAAs are responsible for completing and submitting the CAPR/BSIR reports.* The BSIR submission will satisfy the narrative requirement in Box 12 of the biannual Categorical Assistance Progress Report (CAPR – OJP Form 4587/1). SAAs will still be required to submit the CAPR form with a line in box 12 that reads: See BSIR.

*The BSIR and the CAPR are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and on January 30 with a reporting period of July 1 through December 31). Grantees will provide initial overall obligation and expenditure information with the CAPR/BSIR submission due January 30, 2008. Updated obligation and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Web-enabled application for the BSIR submission to grantees and a copy of the CAPR (OJP Form 4587/1) will be provided in the initial award package. *Future awards and fund drawdowns may be withheld if these reports are delinquent.**

CAPRs **must be filed online** through the Internet at <https://grants.ojp.usdoj.gov>. Forms and instructions can be found at <http://www.ojp.usdoj.gov/forms.htm>.

Exercise Evaluation and Improvement

Exercises implemented with PSIC grant funds should be performance-based and directly related to the grant activities and the interoperable communications system. 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 Planning* located at [https://hseep.dhs.gov/support/HSEEP%20Volume%20III%20021507%20\(Final%20Revision%20February%202007\).pdf](https://hseep.dhs.gov/support/HSEEP%20Volume%20III%20021507%20(Final%20Revision%20February%202007).pdf). Grant recipients must report on scheduled exercises and ensure that an AAR and Improvement Plans are prepared for each exercise conducted with PSIC funds and submitted to DHS within 60 days following completion of the exercise.

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The Improvement Plans outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR. Generally the Improvement Plan, with at least initial action steps, should be included in the final AAR. DHS is establishing a national database to facilitate the scheduling of exercises, the submission of the AAR/Improvement Plans, and the tracking of Improvement Plan implementation. Guidance on the development of AARs and Improvement Plans is provided in Volume II of the HSEEP manuals.

Financial and Compliance Audit Report

Recipients that expend \$500,000 or more of Federal funds during their FY 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 FY. In addition, the Secretary of Commerce, the Inspector General of the Department of Commerce, and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of PSIC Grant Program assistance for audit and examination purposes, provided that, in the opinion of the Secretary of Commerce, the Inspector General of the Department of Commerce, or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency, the Inspector General, 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 subgrantees comply with the audit requirements set forth in *OMB Circular A-133*. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

Federal Funding Accountability and Transparency Act

While there is no specific PSIC requirement in FY 2007, the Federal Funding Accountability and Transparency Act of 2006 may affect PSIC reporting requirements in later years. The Act requires the Federal government to create a publicly searchable online database of Federal grant recipients by January 1, 2008, with an expansion to include subgrantee information by January 1, 2009.

PSIC Reporting Compliance with Other DHS Grant Programs

The Government Performance and Results Act requires collection and reporting on performance information for federal programs. Specifically for grant programs, the Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national reporting requirements. NTIA and DHS will work with grantees to develop tools and processes to support this requirement.

VII. NTIA AND DHS CONTACTS

Applicants may contact the NTIA PSIC Program Manager, Laura Pettus, at lpettus@ntia.doc.gov, or the Centralized Scheduling and Information Desk (CSID). CSID is a non-emergency resource for use by State and local emergency responders across the nation. CSID provides general information on all National Preparedness Directorate (NPD) programs. CSID can be contacted by telephone at 1-800-368-6498 or via email at askcsid@dhs.gov. CSID hours of operation are from 8:00 a.m. - 6:00 p.m. Eastern Daylight Time, Monday through Friday.

VIII. OTHER INFORMATION

None