

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

U.S. DEPARTMENT OF HOMELAND SECURITY

**Fiscal Year 2007
Homeland Security Grant Program**

**Urban Areas Security Initiative:
*Nonprofit Security Grant Program***

Program Guidance and Application Kit

April 2007



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I. Introduction

The Fiscal Year (FY) 2007 Urban Areas Security Initiative (UASI) Nonprofit Security Grant Program¹ provides funding support for target hardening activities to nonprofit organizations that are at high risk of international terrorist attack. While this funding is provided specifically to high-risk nonprofit organizations, the program seeks to integrate nonprofit preparedness activities with broader state and local preparedness efforts. It is also designed to promote coordination and collaboration in emergency preparedness activities among public and private community representatives, State and local government agencies, and Citizen Corps Councils.

¹ Authorized by the FY 2006 DHS Appropriations Act and updated by the FY 2007 DHS Appropriations Act (P.L. 109-295).

II. Funding Availability and Eligible Applicants

A. Funding Availability

The UASI Nonprofit Security Grant Program will provide \$24,007,500 to high-risk nonprofit organizations. Each nonprofit organization may apply through the State for up to a \$100,000 grant award.

B. Eligible Applicants

The Governor of each State and Territory with an eligible FY 2007 Urban Area Security Initiative (UASI) jurisdiction is required to designate a State Administrative Agency (SAA) to apply for and administer the funds awarded under the UASI Nonprofit Security Grant Program. The SAA is the only entity eligible formally to apply for these funds. Applications must be provided to the SAA from eligible nonprofit organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code) that are at **high risk of international terrorist attack** and are located within one of the specific UASI-eligible urban areas listed in Table 1.

Criteria for determining eligible applicants who are at high risk of terrorist attack include, but are not limited to:

- Identification and substantiation (e.g. police reports or insurance claims) of prior threats or attacks against the nonprofit organization or directly related organizations (within or outside the U.S.) by a terrorist organization, network, or cell
- Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of terrorism
- Role of the applicant nonprofit organization in responding to or recovering from terrorist attacks
- Findings from previously conducted risk assessments including threat, vulnerability or consequence.

Note: Not all UASI cities are guaranteed funding. Allocation decisions will be made based on risk and how well the applicant addresses program requirements through their investment justification submissions.

Table 1 – Urban Area Definitions

State	Candidate Urban Area	Existing Urban Area Definitions
AZ	Tucson Area	N/A
	Phoenix Area	City of Phoenix; Maricopa County; and the three tribal nations of Salt River Pima, Fort McDowell, and Gila River.
CA	Anaheim/Santa Ana Area	Cities of Anaheim, Santa Ana, Buena Park, Cypress, Fullerton, Garden Grove, Orange, Placentia, Yorba Linda, La Habra, La Palma, Seal Beach, Brea, Villa Park, Stanton, Los Alamitos, Westminster, Costa Mesa, Fountain Valley, Huntington Beach, Irvine, Newport Beach, Tustin, San Juan, Capistrano, Laguna Beach, Aliso Viejo, Dana Point, Laguna Hills, Laguna Woods, Lake Forest, Mission Viejo, Rancho Santa Margarita, San Clemente, Laguna Niguel; the University of California at Irvine; California State University at Fullerton; and all political jurisdictions in the Orange County geographical area.
	Bay Area	Cities of Oakland, San Francisco, and San Jose; counties of Alameda, Contra Costa, Marin, Napa, San Mateo, Santa Clara, Santa Cruz, Solano, and Sonoma; and over 100 other incorporated cities including Berkeley, Daly City, Fremont, Hayward, Palo Alto, Richmond, Santa Clara, Sunnyvale, and Vallejo.
	Los Angeles/Long Beach Area	Cities of Long Beach and Los Angeles and County of Los Angeles; Los Angeles County Unincorporated; Cities of Beverly Hills, Burbank, Carson, Commerce, Culver City, El Segundo, Glendale, Hawthorne, Inglewood, Pasadena, San Fernando, Santa Monica, Torrance, Vernon, West Hollywood, Bellflower, Carson, Compton, Hawaiian Gardens, Lakewood, Paramount, and Signal Hill.
	Sacramento Area	Cities of Sacramento, Citrus Heights, Elk Grove, Folsom, Rancho Cordova, Rocklin, Roseville, and West Sacramento, as well as unincorporated areas of Sacramento and Placer Counties.
	San Diego Area	City and County of San Diego, inclusive of cities of Carlsbad, Chula Vista, Coronado, Del Mar, El Cajon, Encinitas, Escondido, Imperial Beach, La Mesa, Lemon Grove, National City, Oceanside, Poway, San Marcos, Santee, Solana Beach and Vista; bounded by the Pacific Ocean to the west, Mexico to the south, Imperial County, CA to the east, and Riverside County, CA and Orange County, CA to the north.
CO	Denver Area	City and County of Denver; Counties of Adams, Arapahoe, and Jefferson; cities of Arvada, Aurora, Cherry Hills Village, Commerce City, Englewood, Glendale, Lakewood, Littleton, Sheridan, Thornton, Westminster, Wheat Ridge, Arvada Fire Protection District, Cunningham Fire Protection District, Greater Brighton Fire Protection District, Littleton Fire Protection District, North Washington Fire Protection District, South Adams County Fire Protection District, South Metro Fire and Rescue, Southwest Adams Fire Protection District, and West Metro Fire Protection District.
DC	National Capital Region	District of Columbia; Counties of Montgomery and Prince Georges (MD); Counties of Arlington, Fairfax, Loudon, and Prince William and the City of Alexandria (VA); and all cities and other units of government within the geographic areas of such District, Counties, and City.

FL	Fort Lauderdale Area	Cities of Fort Lauderdale, Hollywood, Miami Gardens, Miramar, Pembroke Pines, Coral Springs; and Counties of Broward, Miami-Dade, Monroe, and Palm Beach.
	Jacksonville Area	City of Jacksonville; Duval County; Counties of Nassau, Baker, Union, Bradford, Alachua, Clay, Putnam, St. Johns, Flagler, Marion, Levy, and Gilchrist.
	Miami Area	Cities of Miami and Hialeah; Counties of Broward, Miami-Dade, Monroe, and Palm Beach.
	Orlando Area	City of Orlando; Counties of Orange, Seminole, Brevard, Osceola, Lake, and Volusia.
	Tampa Area	Cities of Tampa, Clearwater, and St. Petersburg; Counties of Hillsborough and Pinellas.
GA	Atlanta Area	City of Atlanta; Counties Fulton and DeKalb.
HI	Honolulu Area	City and County of Honolulu.
IL	Chicago Area	City of Chicago; Cook County, inclusive of 128 municipalities.
IN	Indianapolis Area	City of Indianapolis; Counties of Hamilton and Marion.
LA	New Orleans Area	City of New Orleans; Parishes of Jefferson, Plaquemines, and St. Bernard.
MA	Boston Area	Cities of Boston, Cambridge, Chelsea, Everett, Quincy, Revere, and Somerville; Towns of Brookline and Winthrop.
MD	Baltimore Area	Cities of Baltimore and Annapolis; Counties of Anne Arundel, Baltimore, Carroll, Harford, and Howard.
MI	Detroit Area	City of Detroit; Wayne County; Counties of Macomb, Oakland, Washtenaw, Monroe, and St. Clair.
MN	Twin Cities Area	Cities of Minneapolis and St. Paul; Counties of Hennepin, Ramsey, and Dakota.
MO	Kansas City Area	Cities of Kansas City (MO) and Kansas City (KS); Counties of Cass, Clay, Jackson, Platte, and Ray (MO); Counties of Johnson, Leavenworth, and Wyandotte (KS).
	St. Louis Area	City and County of St. Louis; Counties of St. Charles, Franklin, and Jefferson (MO); Counties of St. Clair, Madison, and Monroe (IL).
NC	Charlotte Area	City of Charlotte; Counties of Mecklenburg, Union, Cabarrus, Stanly, Iredell, Catawba, Lincoln, Gaston; supported by York and Lancaster in South Carolina.
NJ	Jersey City/Newark Area	Cities of Jersey City and Newark; Counties of Essex, Bergen, Hudson, Middlesex, Morris, Passaic, and Union.
NV	Las Vegas Area	City of Las Vegas; Clark County.
NY	Buffalo Area	City of Buffalo; Counties of Erie and Niagara.
	New York City Area	Cities of New York and Yonkers; Counties of Nassau, Suffolk, and Westchester; Port Authority of New York and New Jersey.
OH	Cincinnati Area	City of Cincinnati; Hamilton County, and the 48 local jurisdictions within the county; Counties of Adams, Brown, Butler, Clermont, Clinton, Highland, Warren (OH); Counties of Boone, Campbell, Kenton (KY), and County of Dearborn (IN).
	Cleveland Area	City of Cleveland; Cuyahoga County, inclusive of nine Cuyahoga Community Regions - Chagrin, Cleveland, Cuyahoga, Heights, Hillcrest, Southcentral, Southeast, Southwest, and Westshore, and the local jurisdictions therein.

	Columbus Area	City of Columbus; Franklin County; the cities of Bexley, Columbus, Dublin, Grandview Heights, Grove City, Hilliard, Reynoldsburg, Upper Arlington, Westerville, Worthington; Villages of Brice, Canal Winchester, Groveport, Harrisburg, Lockbourne, Marble Cliff, Minerva Park, New Albany, Obetz, Urbancrest, Valleyview; Townships of Blendon, Brown, Clinton, Franklin, Hamilton, Jackson, Jefferson, Madison, Mifflin, Norwich, Perry, Plain, Pleasant, Prairie, Sharon, Truro, Washington.
OK	Oklahoma City Area	City of Oklahoma City; Counties of Oklahoma, Canadian, Cleveland, Logan, Pottawatomie, McClain, and Lincoln.
OR	Portland Area	City of Portland; Counties of Washington, Multnomah, Clackamas, and Columbia (OR); Clark County (WA).
PA	Philadelphia Area	City of Philadelphia; Counties of Philadelphia, Bucks, Chester, Delaware, and Montgomery.
	Pittsburgh Area	City of Pittsburgh; Counties of Allegheny, Armstrong, Beaver, Butler, Cambria, Fayette, Greene, Indiana, Lawrence, Mercer, Somerset, Washington, and Westmoreland.
RI	Providence Area	N/A
TN	Memphis Area	City of Memphis; Counties of Shelby, Fayette, Tipton, and Lauderdale (TN); Crittenden County (AR); DeSoto County (MS).
TX	Dallas/Fort Worth/Arlington Area	Cities of Dallas, Fort Worth, and Arlington; Counties of Dallas, Tarrant, Kaufman, Collin, Rockwall, Denton, Johnson, Wise, Parker, Ellis, and Hood.
	Houston Area	City of Houston; Counties of Harris, Fort Bend, Montgomery, Brazoria, and Galveston; inclusive of the Transit Authority and the Port Authority.
	San Antonio Area	City of San Antonio; Counties of Bexar and Comal; All incorporated Municipalities within Bexar and Comal Counties.
	El Paso Area	N/A
VA	Norfolk Area	N/A
WA	Seattle Area	Cities of Seattle and Bellevue; Counties of King, Pierce and Snohomish.
WI	Milwaukee Area	City of Milwaukee; Counties of Milwaukee, Ozaukee, Racine, Washington, and Waukesha.

III. Application and Program Requirements

A. Period of Performance

The period of performance is **24 months** from the date of award. Any unobligated funds will be deobligated by the Department of Homeland Security (DHS) at the end of this period. Extensions to the period of performance will be considered on a case-by-case basis and only through a formal written request to DHS with a detailed justification that demonstrates the need for an extension beyond 24 months.

B. Application Process

DHS is participating in the e-Government initiative (one of 8 initiatives included in the President’s Management Agenda). [Grants.gov](http://www.grants.gov), part of this initiative, is a “storefront” that provides a unified process for all customers of Federal grants to find funding opportunities and apply for funding.

Applicants **must apply** through the online [Grants.gov](http://www.grants.gov) system through the Authorized Organization Representative (AOR) to ensure a successful submission. If applicants have previously used [Grants.gov](http://www.grants.gov), the same account may be used to apply. **Completed Applications must be submitted to [Grants.gov](http://www.grants.gov) no later than 11:59 p.m. Eastern Daylight Time, June 22, 2007.** For more detail, see <http://www.grants.gov/contactus/contactus.jsp>.

C. Required Application Submissions

Applicants must complete the following for the FY07 UASI Nonprofit Security Grant Program application:

<input type="checkbox"/>	Valid Central Contractor Registry (CCR) Registration
<input type="checkbox"/>	Data Universal Numbering System (DUNS) Number
<input type="checkbox"/>	Grants.gov Online Application
<input type="checkbox"/>	Review of Application by the State Single Point of Contact (SPOC) (<i>if applicable</i>)
<input type="checkbox"/>	Investment Justification

Note: In addition to these general requirements, applicants should review the relevant program-specific sections of this Guidance for additional requirements. ***All grant recipients are assumed to have read, understood, and accepted the Program Guidance as binding.***

C.1. Valid Central Contractor Registry Registration

The application process also involves an updated and current registration by the applicant through CCR. **Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for FY 2007 UASI Nonprofit Security Grant Program funding through [Grants.gov](http://www.grants.gov) at <http://www.grants.gov>.** Applicants that have not previously submitted an application through [Grants.gov](http://www.grants.gov) are strongly encouraged to initiate the registration process as soon as possible. Instructions are available on the [Grants.gov](http://www.grants.gov) website.

C.2. DUNS Number

The applicant must provide a Dun and Bradstreet Data Universal Numbering System number with the application. This number is a required field within [Grants.gov](http://www.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).

C.3. Grants.gov Online Application and Requirements

The on-line application must be completed and submitted using [Grants.gov](http://www.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 424A, Budget Information
- Standard Form 424B, Assurances
- Standard Form LLL, Disclosure of Lobbying Activities
- 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 “*Urban Area Security Initiative*.” The CFDA number is **97.008**. When completing the on-line application, applicants should identify their submissions as new, non-construction applications. It is important to note that this is a procedural requirement within [Grants.gov](http://www.grants.gov) and does not prohibit the applicant from submitting construction projects. The project period will be for a period not to exceed **24 months**.

- **Non-Supplanting Certification:** This certification affirms that these grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review, as well as in the pre-award review, post-award monitoring, and any potential audits. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal

resources occurred for reasons other than the receipt or expected receipt of Federal funds.

- **Assurances:** Assurances forms (SF-424B and SF-424D) can be accessed at <http://apply.grants.gov/agency/FormLinks?family=7>. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.
- **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:** This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 28 CFR part 67, *Government-wide Debarment and Suspension (Non-procurement)*; 28 CFR part 69, *New Restrictions on Lobbying*; and 28 CFR part 83, *Government-wide Requirements for Drug-Free Workplace (Grants)*. All of these can be referenced at: http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html.

All certifications will be treated as material representations of fact on which DHS will rely in awarding grants.

C.4. Investment Justification

Applicants will be required to submit Investment Justifications for funding requests that addresses the threat-oriented eligibility criteria as well as specific information on what activities will be implemented, what outcomes will be achieved, how the investment will be managed, and how the investment and related security enhancement activities are being coordinated with relevant state and local authorities.

In five pages or fewer using 12 point Times New Roman font and double-spaced lines, applicants must:

- Describe their nonprofit organization, including:
 - Membership and community served
 - Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of terrorism
 - Known critical infrastructure or key resources (CI/KR) located within close proximity to nonprofit organization facilities (see <http://www.dhs.gov/nipp> for additional information and guidance on CI/KR sectors)
 - Any role in responding to or recovering from terrorist attacks.
- Identify prior threats or attacks (within or outside the U.S.) by a terrorist organization, network, or cell against their nonprofit organization or a closely related organization. Explain how their nonprofit organization gained knowledge of these threats, including the source of the information, and how this understanding influenced development of this application.

- Describe findings from previously conducted risk assessment, including threat, vulnerability or consequence.
- Describe the proposed target hardening activity, including total funds requested, that addresses the identified threat, vulnerability or consequence.
- Describe the project management, including:
 - Who will manage the project
 - Milestones, with start and end dates
 - Description of any challenges to the effective implementation of this project
 - Coordination of the project with state and local homeland security partners
 - Anticipated outcomes achieved.
- Describe how the 75-25 soft match will be met (see Section F below).
- Identify whether their nonprofit organization has previously received any homeland security preparedness funding through their State and/or Urban Area, including the DHS Homeland Security Grant Program (including Urban Areas Security Initiative, UASI Nonprofit Security Grant Program, State Homeland Security Program, and/or Citizen Corps Program).

D. Application Evaluation

DHS will evaluate and act on applications within 60 days of the submission deadline. Each Investment Justification will be reviewed for completeness, adherence to programmatic guidelines, feasibility, and how well the proposed solution addresses the identified risk. Applications will be reviewed in two phases to leverage local knowledge and understanding of the applicant's risk for terrorist attack while also ensuring coordination and alignment with Federal, State and local preparedness efforts.

First, applications will be reviewed and prioritized by the respective Urban Area Working Group (UAWG) in coordination with the local Citizen Corps Council, if they are separate entities. The UAWG is responsible for coordinating the development and implementation of all preparedness activities for its respective local jurisdictions. Prioritized applications will be reviewed by the respective State Administrative Agency (SAA) for concurrence/non-concurrence. As part of the UASI Nonprofit Security Grant Program application, the SAA must work with the UAWG and local Citizen Corps Council to develop a prioritized list of nonprofit proposals and submit that list with the investment justifications through [Grants.gov](https://www.dhs.gov/grants). Finally applications will be reviewed and award determinations made through a panel of evaluators from across DHS, including components within the Office of Infrastructure Protection (e.g., Risk Management Division, Office of Bombing Prevention), the Domestic Nuclear Detection Office (as applicable), and the Office of Intelligence and Analysis.

Evaluation criteria include such items as:

- Identification and substantiation of prior threats or attacks (within or outside the U.S.) by a terrorist organization, network, or cell against the applicant

- Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of terrorism
- Proximity of the nonprofit organization to identified CI/KR
- Role of the applicant nonprofit organization in responding to terrorist attacks
- Findings from previously conducted threat, vulnerability and/or consequence assessments
- Integration of nonprofit preparedness with broader state and local preparedness efforts to include coordination with the Citizen Corps Council
- Complete, feasible investment justifications that address an identified risk, including threat, vulnerability or consequence

E. Allowable Costs Guidance

E.1. Equipment

Allowable costs are focused on target hardening activities. Thus, funding can be used for the acquisition and installation of security equipment on real property (including buildings and improvements) owned or leased by the nonprofit organization, specifically in prevention of and/or protection against the risk of a terrorist attack. This equipment is limited to two categories of items on the Authorized Equipment List (AEL):

- Physical Security Enhancement Equipment
- Inspection and Screening Systems

The equipment categories are listed on the web-based AEL on the Responder Knowledge Base (RKB), which is sponsored by DHS and the National Memorial Institute for the Prevention of Terrorism (MIPT) at <https://www.rkb.mipt.org>.

Equipment Standards

Unless otherwise stated in the Grant Guidance, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. For example, respiratory protection equipment will require NIOSH certification. Compliance must be demonstrated either via third-party certification by an approved certifying organization or, where permitted by the standard, a supplier's declaration of conformity (SDOC) with appropriate supporting data and documentation per ISO/IEC 17050. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

A list of mandatory standards for each equipment item can be found at the following website: <https://www.rkb.mipt.org>.

E.2. Training

Nonprofit organization security personnel may use NSGP funds to attend security-related training courses and programs. Allowable training-related costs under NSGP are limited to attendance fees for the training, and related expenses, such as materials, supplies, and/or equipment. Overtime, backfill, and/or travel expenses are not allowable costs. Allowable training topics are limited to the protection of CI/KR, including physical and cyber security, target hardening, and terrorism awareness/employee preparedness. Further, matching funds associated with training must be in cash.

Training conducted using NSGP funds must address a specific threat, vulnerability and/or consequence, as identified in the nonprofit's Investment Justification. ***Proposed attendance at training courses and all associated costs leveraging the FY 2007 NSGP must be included in the nonprofit organization's Investment Justification.***

Nonprofit organizations are required, within 30 days after attendance, to submit information to the SAA on all training supported with NSGP funds. This information will consist of course title, course description, mission area, level of training, the training provider, the date of the course, and the number and position titles of the individuals.

Allowable Training Costs

Allowable training-related costs include the following:

- Allowable training-related costs under NSGP are limited to attendance fees for the training, and related expenses, such as materials, supplies, and/or equipment.

Unallowable Training Costs

No personnel costs, such as overtime and backfill costs, associated with attending training courses and programs are allowable.

No travel costs are allowable.

E.3. Management and Administrative (M&A)

No more than 3 percent of the total award amount (including SAA M&A costs) may be used for M&A purposes. M&A activities are those defined as directly relating to the management and administration of the grant funds, such as financial management and monitoring.

M&A costs include the following categories of activities:

- Hiring of full-time or part-time staff or contractors/consultants:
 - To assist with the management of UASI Nonprofit Security Grant Program funds

- To assist with design, requirements, and implementation of the UASI Nonprofit Security Grant Program
- Meeting compliance with reporting/data collection requirements, including data calls
- Development of operating plans for information collection and processing necessary to respond to DHS data calls
- Travel expenses directly related to management and administration of UASI Nonprofit Security Grant Program funds
- Meeting-related expenses directly related to management and administration of UASI Nonprofit Security Grant Program funds

F. Program Requirements

F.1. Soft Match Requirement

Grant recipients must meet a 75 percent Federal-25 percent grantee soft match. Grantee contributions must be from non-Federal sources. For all costs other than training, the grantee's match may be met through cash, training investments related to use of equipment purchased with the grant, or training investments related to general purpose security and emergency preparedness for staff. In the case of training projects, awardees must meet the matching requirement through cash. For example, the costs of training security guards on new screening equipment purchased as part of the grant or providing general preparedness training for nonprofit organization staff can be leveraged to satisfy the match. In no event can regular personnel costs such as salary, overtime, or other operational costs unrelated to training be used to satisfy the matching requirement.

F.2. National Incident Management System (NIMS) Compliance

HSPD-5, "*Management of Domestic Incidents*," mandated the creation of NIMS and the National Response Plan (NRP). NIMS provides a consistent framework for entities at all jurisdictional levels to work together to manage domestic incidents, regardless of cause, size, or complexity. To promote interoperability and compatibility among Federal, State, local, and tribal capabilities, NIMS includes a core set of guidelines, standards, and protocols for command and management, preparedness, resource management, communications and information management, supporting technologies, and management and maintenance of NIMS. The NRP, using the template established by NIMS, is an all-discipline, all-hazards plan that provides the structure and mechanisms to coordinate operations for evolving or potential Incidents of National Significance, which are major events that "require a coordinated and effective response by an appropriate combination of Federal, State, local, tribal, private sector, and nongovernmental entities."

The NIMS Integration Center (NIC) recommends **14 activities** for nongovernmental organizations that support NIMS implementation. These activities closely parallel the

implementation activities that have been required of State, territorial, tribal, and local governments since 2004 and can be found at www.fema.gov/pdf/emergency/nims/ngo_fs.pdf. To integrate nonprofit organizations into the broader national preparedness effort, DHS encourages grantees to consider pursuing these recommended activities.

Additionally, nongovernmental organizations grantees and sub-grantees will be required to meet certain NIMS compliance requirements. This includes all emergency preparedness, response, and/or security personnel in the organization participating in the development, implementation, and/or operation of resources and/or activities awarded through this grant **must** complete training programs consistent with the NIMS National Standard Curriculum Development Guide. Minimum training includes IS-700 *NIMS: An Introduction*. In addition, IS-800.a *NRP: An Introduction*, Incident Command System (ICS-100), and Incident Command System (ICS-200) are also recommended. For additional guidance on NIMS training, please refer to http://www.fema.gov/emergency/nims/nims_training.shtm.

Additional information about NIMS implementation and resources for achieving compliance are available through the NIMS Integration Center (NIC), at <http://www.fema.gov/emergency/nims/>.

G. Administrative Requirements

G.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 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.

G.2. Compliance with Federal Civil Rights Laws and Regulations

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

- *Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000 et. seq.* – No person on the grounds of race, color or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance;
- *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. 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.

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

G.4. Integrating Individuals with Disabilities into Emergency Planning

Executive Order #13347, entitled "Individuals with Disabilities in Emergency Preparedness" and signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. DHS has outlined several steps for States to consider in protecting

individuals with disabilities. Further information on this issue can be found at the Disability and Emergency Preparedness Resource Center at <http://www.disabilitypreparedness.gov>.

Appendix A – Award and Reporting Requirements

A. Grant Award

Upon approval of the application, the grant will be awarded to the State Administrative Agency. 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, Office of Grant Operations (OGO), 245 Murray Lane Bldg. 410, Washington, DC 20528-7000

A sample award package is included below.

1. Review Award and Special Conditions Document.

Notification of award approval is made by e-mail through the FEMA Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official.

Carefully read the award and any special conditions or other attachments.

If you agree with the terms and conditions, the authorized official should sign and date both the original and the copy of the award document page in Block 19.

You should maintain a copy and return the original signed documents to:

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

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

1. Read 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/xopnbiz/grants/>.

2. 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). Please note that the *Payment and Reporting System* contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

3. Questions about your award?

Questions regarding your grant **the FEMA help line at 1-866-927-5646** or e-mail at ask-ogo@dhs.gov.

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

B. Drawdown and Expenditure of Funds

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

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

Grantees should request funds based upon immediate disbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days.

C. Reporting Requirements

C.1 Financial Status Report (FSR)

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

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

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

- [OMB Circular A-102](http://www.whitehouse.gov/omb/circulars/index.html), *Grants and Cooperative Agreements with State and Local Governments*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-87](http://www.whitehouse.gov/omb/circulars/index.html), *Cost Principles for State, Local, and Indian Tribal Governments*, at <http://www.whitehouse.gov/omb/circulars/index.html>

- [OMB Circular A-110](#), *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 FY 2007 awards, grant and subgrant recipients should refer to the OGO Financial Guide. All previous awards 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 e-mail at ask-OGO@dhs.gov.

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

C.2 Categorical Assistance Progress Report (CAPR)

Following award of a grant, the State and its subgrantees will be responsible for providing updated obligation and expenditure information on a regular basis. The grantee is responsible for completing and submitting the CAPR reports.

The CAPR is 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 submission due January 30, 2008. 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>.

Required Submission: CAPR (biannually).

C.3 Financial and Compliance Audit Report

Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. Government Accountability Office, *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2007 HSGP 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 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.

C.4. Federal Funding Accountability and Transparency Act

While there are no requirements in FY 2007, the Federal Funding Accountability and Transparency Act of 2006 may affect 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.

D. Monitoring

Grant recipients will be monitored periodically by DHS program staff and OGO 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 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 subawards, 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 adequate financial records, and refunding expenditures disallowed by audits.

E. Grant Close-Out Process

Within 90 days after the end of the award period, grantees must submit a Final FSR, Final CAPR, and Final Report detailing all accomplishments throughout the project. The Final Report must detail the outcomes of the target hardening activities accomplished with grant funds. After these reports have been reviewed and approved by DHS, a Grant Adjustment Notice (GAN) will be completed to close out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be

deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR.

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

Appendix B – Assistance Resources and Support

A. Centralized Scheduling and Information Desk (CSID) Help Line

CSID is a non-emergency resource for use by emergency responders across the Nation. CSID is a comprehensive coordination, management, information, and scheduling tool developed by DHS for homeland security terrorism preparedness activities. CSID provides general information on all DHS programs and information on the characteristics and control of CBRNE, agriculture, cyber materials, defensive equipment, mitigation techniques, and available Federal assets and resources. CSID also 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–7:00 pm (EST), Monday-Friday.*

B. Office of Grant Operations (OGO)

The DHS Office of Grant Operations (OGO) provides fiscal support, including pre- and post-award administration and technical assistance, for the grant programs included in this solicitation, with the exception of payment related issues. All grant and sub-grant recipients should refer to the *OGO Financial Management Guide*, which is available at <http://www.dhs.gov/xopnbiz/grants/>.

OGO can be contacted at 1-866-9ASK-OGO or by e-mail at ask-OGO@dhs.gov.