

Issue Date: 09/24/2003

USE OF A UNIVERSAL IDENTIFIER BY GRANT APPLICANTS

I. Purpose

This directive establishes the Department of Homeland Security (DHS) policy for notifying all applicants and recipients of grant awards or cooperative agreements that they **must** obtain a Dun & Bradstreet (D& B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreement **on or after** October 1, 2003.

II. Scope

This directive applies to all DHS organizational elements that award grants or cooperative agreements.

III. Authorities

Office of Management and Budget Policy Directive, Use of a Universal Identifier by Grant Applicants, published in the Federal Register on June 27, 2003.

IV. Definitions

A. APPLICANT:

1. For complying with this policy, "Applicant" means all types of entities, e.g. State, local and tribal governments, private and non-profit organizations, etc., that meet the agency's or program's eligibility criteria and has the legal authority to apply for Federal grant or cooperative agreement awards under discretionary and mandatory grant programs or activities.

2. For obtaining a DUNS number, "Applicant" does not mean individuals who personally receive a grant or cooperative agreement award apart from any business or non-profit organization they may operate", or "any applicant that receives an exemption, or an applicant under a program that receives an exemption" directly from OMB.

B. **DUNS Number**: A DUNS number is a unique nine-digit identification number assigned to federal grant recipients by Dun & Bradstreet. It is designed to improve statistical reporting of Federal grants and cooperative agreements as well as to improve the government's ability to identify related organizations that receive federal funding. The DUNS system is the only system that provides the Federal government the ability to determine hierarchical and family-tree data for related organizations.

C. **CA (Cooperative Agreement)**: An award of financial assistance in the form of money, or property in lieu of money, to eligible recipients where the DHS has substantial involvement in the implementation of approved awards activities.

D. **GA (Grant Award)**: An award of financial assistance in the form of money, or property in lieu of money, to an eligible recipient where the DHS does not have involvement in the implementation of the award activities except for program and financial oversight and accountability.

V. Responsibilities

A. DHS offices that have electronic applications should coordinate with the CIO's support office to modify their systems to accept the DUNS number.

B. Electronic applications without DUNS can still be used, but applicants will need to send their DUNS number into the grants office(s) via other means.

C. DHS offices that have recipients of grant awards or cooperative agreements should notify their grantees that they must obtain the DUNS number if they anticipate applying for another Federal grant.

VI. Policy & Procedures

A. **Policy**. Effective October 1, 2003, all applicants of grant awards or cooperative agreements must have a DUNS number in order to apply for DHS assistance awards.

This policy applies to new or renewal applications submitted on or after October 1, 2003. It does not apply to existing grants and/or cooperative agreements that will not be renewed on or after October 1, 2003; individuals who personally receive a grant or cooperative agreement award from the Federal government apart from any business or non-profit organization they may operate; or, applicants that have received an exemption directly from the OMB.

B. **Procedures.**

1. DHS awarding offices should notify existing recipients of grant awards and cooperative agreements of the requirement to obtain a DUNS number for future application submission.
2. DHS awarding offices should assure that all grant award and cooperative agreement application guidance includes the requirement to obtain a DUNS number from Dun & Bradstreet, and includes a requirement that the DUNS number must be submitted with new applications when applying Federal assistance funding on or after October 1, 2003.
3. DHS awarding offices may not accept grant award cooperative agreement applications without DUNS numbers after the October 1, 2003 effective date.
4. Applicants of grant awards or cooperative agreements must obtain a DUNS number from Dun and Bradstreet prior to submitting applications.
5. The DUNS Number is site-specific. Therefore, each distinct physical location of an entity (such as branches, divisions, and headquarters) may be assigned a DUNS number. In order to provide on-the-spot DUNS Number assignment, D&B does not control or limit who may request or receive a DUNS number. It is the organization's responsibility to manage its DUNS numbers.
6. **Obtaining a DUNS Number.**
 - a. *If an applicant does not already have a DUNS number:* Applicants should verify whether they have a DUNS number or contact D&B at their toll-free number, 1-866-705-5711, to obtain one as soon as possible if there is a possibility they will apply for future Federal funding through grant awards or cooperative agreements. There is no need to wait until the application is submitted.
 - b. *If an applicant already has a DUNS number.* If the entity applying for a Federal grant or cooperative agreement previously obtained a DUNS number in connection with the Federal acquisition process or requested or had one assigned for another purpose, the entity should use that number on all grant applications. It is not necessary to request another DUNS number from D&B.

c. *If an applicant is not sure if it has a DUNS number.* The applicant should call D&B using the toll-free number, 1-866-705-5711, and indicate that it is a Federal grant or cooperative agreement applicant/prospective applicant. D&B will tell them if they already have a number. If they do not have a DUNS number, D&B will ask them to provide the information listed below and will immediately assign a number, free of charge.

d. *If an applicant knows it does not have a DUNS number.* The applicant should call D&B using the toll-free number, 1-866-705-5711, and indicate that it is a Federal grant applicant/prospective applicant. D&B will ask them to provide the information listed below and will immediately assign a number, free of charge.

7. Managing DUNS numbers.

a. D&B periodically contacts organizations with DUNS numbers to verify that their information is current. Organizations with multiple DUNS numbers may request a free family tree listing from D&B to help determine what branches/divisions have numbers and whether the information is current. Applicants can call the toll-free DUNS Number request line at 1-866-705-5711 to request a family tree.

b. (D&B recommends that organizations with multiple DUNS numbers have a single point of contact for controlling DUNS number requests to ensure that the appropriate branches/divisions have DUNS numbers for Federal purposes.

c. As a result of obtaining a DUNS number, an applicant has the option to be included on D&B's marketing list that is sold to other companies. If an applicant does not want its name/organization included on this marketing list, it should request to be de-listed from D&B's marketing file when speaking with a D&B representative during the DUNS number telephone application.

8. To obtain a DUNS Number:

a. Applicants should call the dedicated toll-free DUNS Number request line for Federal grant and cooperative agreement applicants/prospective applicants at: 1-866-705-5711

The number is staffed from 8 a.m. to 6 p.m. (local time of the caller when calling from within the continental United States.) Calls placed to the above number outside of those hours will receive a recorded message requesting the caller to call back between 8 a.m. and 6 p.m.

b. The process to request a DUNS number takes about 5-10 minutes.

c. A DUNS number will be assigned at the conclusion of the call.

d. (Callers will need to provide the following information to obtain a DUNS Number:

- (1) Legal Name
- (2) Headquarters name and address for organization
- (3) Doing business as (dba), or other name by which their organization is commonly recognized
- (4) (Physical Address, City, State and Zip Code
- (5) Mailing Address (if separate from Headquarters and/or physical address)
- (6) Telephone Number
- (7) Contact Name and Title
- (8) Number of Employees at caller's physical location

9. Coordination with CIO support offices:

DHS offices that have electronic applications should coordinate with the CIO's office in modifying their systems to accept the DUNS number. Electronic applications without DUNS can still be used, but applicants will need to send their DUNS into the grants office(s) via other methods.

C. **Questions or Concerns Regarding the Process.** Any questions or concerns regarding this directive should be addressed to Office of the Under Secretary of Management, Office of the Chief Procurement Office, Grant Policy Office