



U.S. DEPARTMENT OF HOMELAND SECURITY

FISCAL YEAR 2010

**URBAN AREAS SECURITY INITIATIVE
NONPROFIT SECURITY GRANT PROGRAM**

GUIDANCE AND APPLICATION KIT

DECEMBER 2009



U.S. DEPARTMENT OF HOMELAND SECURITY

Title of Opportunity: FY 2010 Urban Areas Security Initiative (UASI) Nonprofit Security Grant Program (NSGP)

Funding Opportunity Number: DHS-10-GPD-008-000-01

Federal Agency Name: U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA)

Announcement Type: Initial

Dates: Applications should be submitted by the nonprofit organization to the State Administrative Agency (SAA)/Urban Area Working Group (UAWG), in coordination with the local Citizen Corps Council (if they are separate entities), **no later than 11:59 p.m. EST, February 19, 2010** to ensure adequate time for a State review of nonprofit applications. If an extension to the deadline is required, nonprofit organizations must consult with their respective SAA/UAWG. The SAA must submit completed applications electronically through www.grants.gov **no later than 11:59 p.m. EDT, April 19, 2010.** Late applications will neither be considered nor reviewed. Only applications made through www.grants.gov will be accepted.

Additional Overview Information:

- **Management and Administration (M&A) Limits.** The amount of funds that grantees may retain solely for M&A purposes with the NSGP award has increased to **five percent (5%)** in FY 2010 from three percent (3%) in FY 2009.
- **Optional Cost Share.** In FY 2010, grantees may provide an optional cost share; however, an applicant's willingness to contribute an optional cost share will not impact application scores and, thus, allocations.
- **Increase in Eligible Urban Areas.** In FY 2010, the number of UASI Urban Areas has increased to 64 with 10 designated Tier I Urban Areas.
- **Citizen Corps Council Membership Requirement.** In FY 2010, eligible nonprofit organizations are required to establish membership with their local Citizen Corps Council, where one exists, prior to the subgrantee application deadline.

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PART I.

FUNDING OPPORTUNITY DESCRIPTION

The Fiscal Year (FY) 2010 Urban Areas Security Initiative (UASI) Nonprofit Security Grant Program (NSGP) provides \$19,000,000 in funding support for target hardening activities to nonprofit organizations that are at high risk of terrorist attack. While this funding is provided specifically to high-risk nonprofit organizations under the *Department of Homeland Security Appropriations Act, 2010* (Public Law 111-83), 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.

In FY 2008, \$15,000,000 was available through NSGP. FEMA received 621 applications, of which 232 eligible nonprofit organizations received funding. In FY 2009, \$15,000,000 was available through NSGP. FEMA received 635 applications, of which 227 eligible nonprofit organizations received funding.

PART II.

AWARD INFORMATION

Authorizing Statutes

The *Department of Homeland Security Appropriations Act, 2010* (Public Law 111-83) and Section 2003 of the *Homeland Security Act of 2002*, as amended by section 101 of the *Implementing Recommendations of the 9/11 Commission Act*, 6 U.S.C. 604 authorized the FY 2010 NSGP.

Period of Performance

The period of performance of this grant is 36 months. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications as to why an extension is required.

Available Funding

In FY 2010, the total amount of funds distributed under this grant program will be \$19,000,000. Each nonprofit organization may apply through their SAA for up to a \$75,000 grant award. The FY 2010 NSGP funds will be allocated to high-risk nonprofit organizations, as described under section 501(c)(3) of the Internal Revenue Code of 1986, Title 26 of the U.S.C., and exempt from tax under section 501(a) of such Code. The high-risk nonprofit organizations must be located within one of the specific UASI-eligible Urban Areas listed in Table 1.

Table 1 – Eligible Urban Areas

FY 2010 Tier I Urban Areas			
State/Territory	Urban Area	State/Territory	Urban Area
California	Bay Area	New Jersey	Jersey City/Newark Area
	Los Angeles/Long Beach Area	New York	New York City Area
District of Columbia	National Capital Region	Pennsylvania	Philadelphia Area
Illinois	Chicago Area	Texas	Dallas/Fort Worth/Arlington Area
Massachusetts	Boston Area		Houston Area
FY 2010 Tier II Urban Areas			
State/Territory	Urban Area	State/Territory	Urban Area
Arizona	Phoenix Area	Nebraska	Omaha Area
	Tucson Area	Nevada	Las Vegas Area
California	Anaheim/Santa Ana Area	New York	Albany Area
	Bakersfield Area		Buffalo Area
	Oxnard Area		Rochester Area
	Riverside Area		Syracuse Area
	Sacramento Area	North Carolina	Charlotte Area
	San Diego Area	Ohio	Cincinnati Area
Colorado	Denver Area		Cleveland Area
Connecticut	Bridgeport Area		Columbus Area
	Hartford Area		Toledo Area
Florida	Fort Lauderdale Area	Oklahoma	Oklahoma City Area
	Jacksonville Area		Tulsa Area
	Miami Area	Oregon	Portland Area
	Orlando Area	Pennsylvania	Pittsburgh Area
	Tampa Area	Puerto Rico	San Juan Area
Georgia	Atlanta Area	Rhode Island	Providence Area
Hawaii	Honolulu Area	Tennessee	Memphis Area
Indiana	Indianapolis Area		Nashville Area
Kentucky	Louisville Area	Texas	Austin Area
Louisiana	Baton Rouge Area		El Paso Area
	New Orleans Area		San Antonio Area
Maryland	Baltimore Area	Utah	Salt Lake City Area
Michigan	Detroit Area	Virginia	Norfolk Area
Minnesota	Twin Cities Area		Richmond Area
Missouri	Kansas City Area	Washington	Seattle Area
	St. Louis Area	Wisconsin	Milwaukee Area

PART III.

ELIGIBILITY INFORMATION

A. Eligible Applicants

The SAA is the only entity eligible to apply for FY 2010 NSGP funds on behalf of 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 terrorist attack** and are located within one of the specific FY 2010 UASI-eligible Urban Areas. Eligible nonprofit organizations must provide their applications to their respective SAA in order to be considered for FY 2010 NSGP funding.

National Incident Management System Implementation Compliance

In accordance with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the adoption of the National Incident Management System (NIMS) is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities. The NIMS provides a consistent nationwide template to enable all levels of government, tribal nations, nongovernmental organizations, and private sector partners to work together to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity.

Federal FY 2009 NIMS implementation must be considered prior to allocation of any Federal preparedness awards in FY 2010. In April 2009, the National Integration Center Incident Management Systems Integration (IMSI) Division advised State, tribal nation, and local governments to respond to metric assessments in the NIMS Compliance Assistance Support Tool (NIMSCAST) to assess on-going progress and achievement.¹ The list of objectives against which progress and achievement are assessed and reported can be found at

<http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtm#item2>.

All State, tribal nation, and local government grantees were required to update their respective NIMSCAST assessments by September 30, 2009. State, tribal, and local grantees unable to meet implementation objectives were required to submit a Corrective Action Plan via NIMSCAST no later than October 31, 2009. Comprehensive information concerning NIMS implementation for States, tribal nations, local governments, nongovernmental organizations, and the private sector is available through IMSI via its NIMS Resource Center at www.fema.gov/nims.

¹ As defined in the *Homeland Security Act of 2002* (Public Law 107-296), the term "State" means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States" 6 U.S.C. 101 (14).

States, tribal nations, and local governments should continue to implement the training guidance contained in the *5-Year NIMS Training Plan*, released in February 2008.

The primary grantee/administrator of FY 2010 NSGP award funds is responsible for determining if sub-awardees have demonstrated sufficient progress to disburse awards.

State Preparedness Report Submittal

Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 109-295), 6 U.S.C. §752(c), requires any State that receives Federal preparedness assistance to submit a State Preparedness Report to DHS. FEMA will provide additional guidance on the FY 2009 State Preparedness Report submission. **Receipt of this report is a prerequisite for applicants to receive any FY 2010 DHS preparedness grant funding.**

Additional Information

SAs, in coordination with the Urban Area Working Groups (UAWGs) and Citizen Corps Councils, are encouraged to actively and aggressively advertise the availability of the FY 2010 NSGP to eligible nonprofit organizations, especially to organizations that previously have not applied for or received NSGP funding. This is not meant to imply that previous recipients are ineligible to apply for FY 2010 funds, but FEMA would like to ensure that the FY 2010 NSGP is widely advertised and ALL eligible nonprofit organizations are afforded a reasonable opportunity to seek funding.

Eligible nonprofit organizations are required to establish membership with their local Citizen Corps Council, where one exists, prior to the application submission deadline. Such membership requirement is necessary in order to build an integrated, comprehensive community preparedness effort in each community.

Criteria for determining eligible applicants who are at high risk of terrorist attack include, but are not limited to:²

- Identification and substantiation (e.g., police reports or insurance claims) of prior threats or attacks against the nonprofit organization or closely 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 as 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 or vulnerability

² The criteria used for determining eligible applicants must be addressed within the Investment Justification and not attached as a separate document.

B. Cost Sharing

In FY 2010, grantees may provide an optional cost share; however, an applicant's willingness to contribute an optional cost share will not impact application scores and, thus, allocations. Applicants interested in providing an optional cost share should enter the cost share amount on the SF-424 and SF-424 A required in the application. Investment Justifications must also identify any matching funds (source and dollar amount) being provided. FEMA administers cost sharing requirements in accordance with 44 CFR §13.24, which is located at http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html. To meet matching requirements, the grantee contributions must be reasonable, allowable, allocable and necessary under the grant program and must comply with all Federal requirements and regulations.

Please refer to Part VIII. Other Information, FY 2010 Match Guidance, for additional match guidance to include match definitions, basic guidelines, and governing provisions.

C. Restrictions

Please see Part IV.E. for Management & Administration (M&A) limits and allowable/unallowable costs guidance.

PART IV.

APPLICATION AND SUBMISSION INFORMATION

A. Address to Request Application Package

All applications for DHS grants will be filed using the common electronic “storefront” – www.grants.gov. To access application forms and instructions, select “Apply for Grants,” and then select “Download Application Package.” Enter the Catalog of Federal Domestic Assistance (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.” If you experience difficulties or have any questions, please call the www.grants.gov customer support hotline at (800) 518-4726.

DHS may request original signatures on forms at a later date.

B. Content and Form of Application

The on-line application must be completed and submitted using www.grants.gov after Central Contractor Registry (CCR) registration is confirmed. The on-line application includes the following required forms and submissions:

- Investment Justifications from eligible nonprofits
- SAA Prioritization of Investment Justifications (in rank order) in FEMA-provided template
- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information
- Standard Form 424B, Assurances
- Lobbying Form – Certification Regarding Lobbying (this form must be completed by all grant applicants)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Certificate Regarding Debarment, Suspension, and Other Responsibility Matters
- Certificate Regarding Drug-Free Workplace Requirements

The program title listed in the CFDA is “*Nonprofit Security Grant Program.*” The CFDA number is **97.008**.

1. **Application via www.grants.gov.** All applicants must file their applications using the Administration's common electronic "storefront" - www.grants.gov. Eligible grantees must apply for funding through this portal, accessible on the Internet at www.grants.gov.
2. **Dun and Bradstreet Data Universal Numbering System (DUNS) number.** The applicant must provide a DUNS number with their application. This number is a required field within 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 (866) 705-5711.
3. **Valid CCR Registration.** The application process also involves an updated and current registration by the applicant. Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for funding through www.grants.gov.
4. **501(c)(3) Requirement.** Grant recipients are responsible for keeping a copy of the 501(c)(3) registration number or IRS Letter of Recognition of subgrantees on file. Those grantees who submitted Investment Justifications, subsequently selected for award, by nonprofit organizations which do not hold or have not formally applied for a 501(c)(3) registration number, are responsible for maintaining an affidavit and/or other indicia certifying or verifying their 501(c)(3) compliance on file for review by DHS.
5. **Investment Justification.** As part of the FY 2010 NSGP application process, 501(c)(3) organizations within eligible Urban Areas must develop a formal Investment Justification that addresses each initiative proposed for funding. These Investment Justifications must demonstrate how proposed projects address gaps and deficiencies in current programs and capabilities. The Investment Justification must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Applicants must ensure that the Investment Justification is consistent with all applicable requirements outlined in this application kit. Applicants may only submit **one** Investment Justification on behalf of their nonprofit organization in order to be considered for funding.

While FEMA has not established a formal Investment Justification template, the following guidelines are provided to ensure that submissions are organized in a consistent manner while addressing key data requirements. **Failure to address these requirements in the prescribed format, including the strict formatting guidelines, could potentially result in the rejection of the Investment Justification from review consideration.**

The Investment Justification must: 1) Be created and submitted in Microsoft Word (*.doc) or text (*.text); 2) **Not exceed five (5) single-spaced pages, in 12 point Times New Roman font, with a minimum of 1" margins.** The applicant is

required to adhere to and include the following section headings, page restrictions, character limitations and selection criteria within the Investment Justification. Due to the competitive nature of this program, separate attachments **will neither be accepted nor reviewed**. Additionally, scanned or imaged applications will not be accepted. Applications must use the following file naming convention when submitting required documents as part of the FY 2010 NSGP: “FY 2010 NSGP <State Abbreviation>_<Urban Area>_<Nonprofit Name>.”

Applications should be submitted by the nonprofit organization to the SAA/UAWG, in coordination with the local Citizen Corps Council (if they are separate entities), **no later than 11:59 p.m. EST, February 19, 2010** to ensure adequate time for a State review of nonprofit applications. If an extension to the deadline is required, nonprofit organizations must consult with their respective SAA/UAWG. The SAA must submit completed applications electronically through www.grants.gov **no later than 11:59 p.m. EDT, April 19, 2010**. Late applications will neither be considered nor reviewed.

FY 2010 NSGP Investment Justification and Selection Criteria

Question	Scoring Criteria
I. APPLICANT INFORMATION	
<p>Identify the following:</p> <ul style="list-style-type: none"> • Name of the Organization • Organization Type (e.g., Medical, Religious, Educational, Community Center, Museum, Other³) • 501(c)(3) Number • Dun and Bradstreet Number⁴ • FY 2010 Urban Area⁵ • FY 2010 UASI NSGP Federal Funding Request • FY 2010 UASI NSGP Total Project Cost • Any Current Contract with DHS⁶ (Yes/No – if yes, please describe) • Membership establishment with local Citizen Corps Council (Yes/No) <p>(800 Character max not including spaces)</p>	<p>This information will not be scored</p>

³ If the *Other* category is selected, please identify the primary function of the organization.

⁴ Applications can only be submitted with a **current** and **valid** DUNS number; pending DUNS numbers will **not** be accepted.

⁵ The applicant **must** be located within one of the specific UASI-eligible Urban Areas listed in the FY 2010 Nonprofit Security Grant Program Guidance and Application Kit. Please refer to Table 1 – Eligible Urban Areas to determine the organization’s Urban Area designation.

⁶ This does not include any DHS or NSGP grant funds previously awarded to the nonprofit organization.

Question	Scoring Criteria
II. BACKGROUND	
<p>Background: Describe the nonprofit organization including:</p> <ul style="list-style-type: none"> • Membership and community served • Involvement in their local Citizen Corps Council • Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site as a possible target of terrorism • Any role in responding to or recovering from terrorist attacks <p>(1,800 Character max not including spaces)</p>	<p>The information provided will be scored in terms of its contribution to setting context and its relationship to other questions.</p>
III. INVESTMENT HEADING	
<p>Investment Heading:</p> <ul style="list-style-type: none"> • Investment name • Total FY 2010 NSGP Federal Funding Requested • Investment Phase – Ongoing or New <p>(500 Character Max not including spaces)</p>	<p>This information will not be scored</p>
IV. BASELINE	
<p>Baseline – Previous Request Name and Funding: If the nonprofit organization has received DHS⁷ or NSGP funding in the past, provide the funding source, funding amount, funding year, and the investment type.</p> <p>(700 Character max not including spaces)</p>	<p>This information will not be scored</p>
V. RISK	
<p>Risk: DHS defines risk as the product of three principal variables: <i>Threat</i>, <i>Vulnerability</i>, and <i>Consequences</i>. In the space below, describe findings from previously conducted risk assessments, including A) Threats, B) Vulnerabilities, and C) Potential Consequences of an attack.</p> <p>(2,200 Character max not including spaces)</p>	<p>The information provided will be scored based on the indication of an understanding of the organization’s risk, including threat and vulnerabilities, as well as potential consequences of an attack.</p>
<p>V.A. Threat: In considering threat, the applicant should discuss the identification and substantiation of prior threats or attacks against the nonprofit organization or closely related organization by a terrorist organization, network, or cell. The applicant should also discuss findings from risk assessment, police findings, and/or insurance claims.</p>	

⁷ Responses should include any funding received through the respective State and/or Urban Area, including the DHS Homeland Security Grant Program (including State Homeland Security Program, Urban Areas Security Initiative, Metropolitan Medical Response System, and/or the Citizen Corps Program).

Question	Scoring Criteria
<p>V.B. Vulnerabilities: In considering vulnerabilities, the applicant should discuss the organization’s susceptibility to destruction, incapacitation, or exploitation by a terrorist attack.</p>	
<p>V.C. Potential Consequences: In considering potential consequences, the applicant should discuss potential negative effects on the organization’s asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack.</p>	
VI. TARGET HARDENING	
<p>Target Hardening: In this section, describe the proposed target hardening activity, including the total Federal funds requested, that addresses the identified threat or vulnerability. Allowable costs are focused on target hardening activities. Thus, funding can be used for 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 in protection against the risk of a terrorist attack. This equipment is limited to two categories of items on the Authorized Equipment List (AEL).</p> <ul style="list-style-type: none"> • Physical Security Enhancement Equipment (AEL Category 14) • Inspection and Screening Systems (AEL Category 15) <p>The equipment categories are listed on the web based AEL on the Responder Knowledge Base (RKB), which is sponsored by DHS and located at http://www.rkb.us/. The description must identify the respective AEL category for all requested equipment.</p> <p>(2,200 Character max not including spaces)</p>	<p>Target hardening activity and impact address prevention of, protection against, and/or mitigation of the identified risk(s).</p>
VII. MILESTONES	
<p>Milestones: Provide description and associated key activities that lead to the milestone event over the FY 2010 NSGP period of performance. Start dates should reflect the start of the associated key activities and end dates should reflect when the milestone event will occur.</p> <p>(1,000 Character Max not including spaces)</p>	<p>Milestones collectively present a clear sequence of events that will allow the Investment to reach its objectives for this period of performance.</p>
VIII. PROJECT MANAGEMENT	
<p>Describe the project management, including:</p> <ul style="list-style-type: none"> • Who will manage the project • Description of any challenges to the effective implementation of this project • Coordination of the project with State and local homeland security partners <p>(2,000 Character Max not including spaces)</p>	<p>Response describes, at a high-level, the roles and responsibilities of the management team, governance structures, and subject matter expertise required to manage the Investment</p>



Question	Scoring Criteria
IX. IMPACT	
<p>Impact: What measurable outputs and outcomes will indicate that this Investment is successful at the end of the FY 2010 NSGP period of performance? What specific target capability is this investment working to achieve?</p> <p>(1,500 Character Max not including spaces)</p>	<p>Response describes how the outcomes will mitigate risks outlined in the Background and Risk sections of the Investment Justification</p>
X. OPTIONAL COST SHARE	
<p>Optional cost share: In FY 2010, grantees may provide an optional cost share; however, an applicant’s willingness to contribute an optional cost share will not impact application scores and thus, allocation. If the nonprofit organization chooses to participate in the optional cost share, please provide the funding source and amount.</p> <p>(600 Character max not including spaces)</p>	<p>This information will not be scored</p>

C. Submission Dates and Times

Applications should be submitted by the nonprofit organization to the SAA/UAWG, in coordination with the local Citizen Corps Council (if they are separate entities), **no later than 11:59 p.m. EST, February 19, 2010** to ensure adequate time for a State review of nonprofit applications. If an extension to the deadline is required, nonprofit organizations must consult with their respective SAA/UAWG. The SAA must submit completed applications electronically through www.grants.gov **no later than 11:59 p.m. EDT, April 19, 2010**. Late applications will neither be considered nor reviewed. Only applications made through www.grants.gov will be accepted.

D. Intergovernmental Review

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. Executive Order 12372 can be referenced at <http://www.archives.gov/federal-register/codification/executive-order/12372.html>. The names and addresses of the SPOCs are listed on OMB’s home page available at <http://www.whitehouse.gov/omb/grants/spoc.html>.

E. Funding Restrictions

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

1. Management and Administration (M&A). A maximum of up to **five percent (5%)** of funds awarded may be retained by the State, and any funds retained are to be used solely for management and administrative purposes associated with the NSGP award. States **may pass through a portion of the State M&A allocation** to local subgrantees to support local management and administration activities; the overall M&A amount may not equal more than five percent (5%). 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 NSGP funds
 - To assist with design, requirements, and implementation of the UASI NSGP
 - 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 NSGP funds
- Meeting-related expenses directly related to management and administration of UASI NSGP funds

2. Allowable Costs

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 (Category 14)
- Inspection and Screening Systems (Category 15)

Equipment Standards

The two allowable prevention and protection categories and equipment standards for the FY 2010 NSGP are listed on the web-based version of the AEL on the Responder Knowledge Base (RKB), at <http://www.rkb.us>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Training

Nonprofit organization security personnel may use FY 2010 NSGP funds to attend security-related training courses and programs. Allowable training-related costs under the FY 2010 NSGP are limited to attendance fees for 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 critical infrastructure key resources, including physical and cyber security, target hardening, and terrorism awareness/employee preparedness. Training conducted using FY 2010 NSGP funds must address a specific threat and/or vulnerability, as identified in the nonprofit's Investment Justification.

Proposed attendance at training courses and all associated costs leveraging the FY 2010 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 FY 2010 NSGP funds. This information will consist of course titles, course description, mission area, level of training, the training provider, and the date of the course.

3. Unallowable Costs. The following projects and costs are considered **ineligible** for award consideration:

- **Hiring of Public Safety Personnel.** FY 2010 NSGP 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.
- **Construction.** Construction is prohibited under the FY 2010 NSGP.
- **General-use Expenditures.** Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness functions), general-use vehicles, licensing fees, weapons, weapons systems and accessories, and ammunition are prohibited.
- **Overtime and Backfill.** Funds may not be used to support overtime and backfill costs associated with implementation of FY 2010 NSGP activities.

Additionally, the following initiatives and costs are considered **ineligible** for award consideration:

- Initiatives that do not address the implementation of programs/initiatives to build prevention and protection-focused capabilities directed at identified facilities and/or the surrounding communities
- The development of risk/vulnerability assessment models
- Initiatives that fund risk or vulnerability security assessments or the development of the Investment Justification

- Initiatives in which Federal agencies are the beneficiary or that enhance Federal property
- Initiatives which study technology development
- Proof-of-concept initiatives
- Initiatives that duplicate capabilities being provided by the Federal government
- Organizational operating expenses
- Reimbursement of pre-award security expenses

F. Other Submission Requirements

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

PART V.

APPLICATION REVIEW INFORMATION

A. Review Criteria

Applications will be reviewed through a two-phased State and Federal review process for completeness, adherence to programmatic guidelines, feasibility, and how well the Investment Justification addresses the identified risk. For additional information on how Investment Justifications are reviewed and scored at the State and Federal level, please refer to the *FY 2010 NSGP Investment Justification and Selection Criteria* within the Guidance.

FY 2010 NSGP evaluation criteria include items such as:

- Identification and substantiation of prior threats or attacks (from 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(s) that renders the site as possible target of terrorism
- Role of the applicant nonprofit organization in responding to terrorist attacks
- Findings from previously conducted threat and/or vulnerability 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 and vulnerability

B. Review and Selection Process

Applications will be reviewed in two phases to leverage local knowledge and understanding of the applicant's risk of a terrorist attack, while also ensuring coordination and alignment with Federal, State, and local preparedness efforts.

- **State Review:** Applications should be submitted by the nonprofit organization to the SAA/UAWG, in coordination with the local Citizen Corps Council (if they are separate entities), **no later than 11:59 p.m. EST, February 19, 2010** to ensure adequate time for a State review of nonprofit applications. If an extension is required, nonprofit organizations must consult with their respective SAA/UAWG. The SAA must submit completed applications electronically through www.grants.gov **no later than 11:59 p.m. EDT, April 19, 2010**. Late applications will neither be considered nor reviewed.

The SAA, in coordination with the UAWG, will review and score all Investment Justifications by leveraging State and local knowledge. FEMA will provide each SAA with the *FY 2010 NSGP Scoring Worksheet* (see Part VIII. Other Information) and *FY 2010 Prioritization of Investment Justifications Template*, which will allow the SAA to provide the **scores** from the State Review along with a **prioritized list** of NSGP projects, ranked in consideration of two factors:

- Need – The relative need for the nonprofit organization compared to the other applicants
- Impact – The potential impact of the nonprofit organization in achieving maximum prevention and/or protection results at minimal cost

The method by which an SAA chooses to review Investments using the two factors is at the discretion of the SAA and UAWG.

As part of the FY 2010 NSGP application submission process, the SAA should submit the FY 2010 Prioritization of Investment Justifications (in rank order) in FEMA-provided template using the following naming convention: “FY 2010 <State Abbreviation>_<Prioritization of Investment Justifications>.” The SAA should also submit individual Investment Justifications using the following file naming convention: “FY 2010 NSGP <State Abbreviation>_<Urban Area>_<Nonprofit Name>.” The Prioritization of Investment Justifications template **must** be submitted by the SAA to FEMA along with the applicable Investment Justifications **no later than 11:59 p.m. EDT, April 19, 2010**.

- **Federal Review:** The **highest-scoring Investment Justifications will be reviewed** by a panel of Federal evaluators from across various components within DHS. FEMA will use the results of the State and Federal reviews to make recommendations for funding to the Secretary of Homeland Security.

NOTE: Upon award, recipients may only fund Investments that were included within the FY 2010 Investment Justifications that were submitted to FEMA and evaluated through the Federal review process.

C. Anticipated Announcement and Award Dates

FEMA will evaluate and act on applications within 90 days following close of the application period, consistent with the *Department of Homeland Security Appropriations Act, 2010* (Public Law 111-83). Awards will be made on or before September 30, 2010.

PART VI.

AWARD ADMINISTRATION INFORMATION

A. Notice of Award

Upon approval of an application, the grant will be awarded to the SAA. The date that this is done is the “award date.” Notification of award approval is made through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized SAA grantee official. Follow the directions in the notification to accept your award documents. The authorized SAA grantee official should carefully read the award and special condition documents. If you do not receive a notification, please contact your FEMA Program Analyst for your award number. Once you have the award number, contact the GMS Help Desk at (888) 549-9901, option three, to obtain the username and password associated with the new award.

The period of performance is 36 months and begins on the Project Period/Budget Period start date listed in the award package. Any unobligated funds will be de-obligated at the end of the close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required. All extension requests must be submitted to FEMA at least **60 days prior to the expiration** of the grant period of performance. The justification must address:

- Reason for delay;
- Current status of the activity/activities;
- Approved period of performance termination date and new project completion date;
- Remaining available funds, both Federal and non-Federal;
- Budget outlining how remaining Federal and non-Federal funds will be expended;
- Plan for completion including milestones and timeframe for achieving each milestone and the position/person responsible for implementing the plan for completion; and
- Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

B. Administrative and National Policy Requirements

The recipient and any sub-recipient(s) must, in addition to the assurances made as part of the application, comply and require each of its subcontractors employed in the

completion of the project to comply with all applicable statutes, regulations, executive orders, OMB circulars, terms and conditions of the award, and the approved application.

1. Standard Financial Requirements. The grantee and any subgrantee(s) shall comply with all applicable laws and regulations. A non-exclusive list of regulations commonly applicable to DHS grants are listed below:

1.1 – Administrative Requirements.

- 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*
- 2 CFR Part 215, *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations* (formerly OMB Circular A-110)

1.2 – Cost Principles.

- 2 CFR Part 225, *Cost Principles for State, Local, and Indian tribal Governments* (formerly OMB Circular A-87)
- 2 CFR Part 220, *Cost Principles for Educational Institutions* (formerly OMB Circular A-21)
- 2 CFR Part 230, *Cost Principles for Non-Profit Organizations* (formerly OMB Circular A-122)
- Federal Acquisition Regulations (FAR), Part 31.2 *Contract Cost Principles and Procedures, Contracts with Commercial Organizations*

1.3 – Audit Requirements.

- OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*

1.4 – Duplication of Benefits. There may not be a duplication of any Federal assistance, per 2 CFR Part 225, Basic Guidelines Section C.3 (c), which states: Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Authority may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements. Non-governmental entities are also subject to this prohibition per 2 CFR Parts 220 and 230 and FAR Part 31.2.

2. Payment. DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to Recipients. To enroll in the DD/EFT, the Recipient must complete a Standard Form 1199A, Direct Deposit Form.

FEMA uses the FEMA Payment and Reporting System (PARS) for payments made under this program, <https://isource.fema.gov/sf269/> (Note: Link connects to Federal Financial Report [SF-425]).

2.1 – Advance Payment. In accordance with Treasury regulations at 31 CFR Part 205, the Recipient shall maintain procedures to minimize the time elapsing between the transfer of funds and the disbursement of said funds (See 44 CFR Part 13.21(c)) regarding payment of interest earned on advances. In order to request an advance, the Recipient must maintain or demonstrate the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of funds from DHS and expenditure and disbursement by the Recipient. When these requirements are not met, the Recipient will be required to be on a reimbursement for costs incurred method.

2.2 – Forms. In order to download the Standard Form 1199A, the Recipient may use the following Internet site <http://www.fms.treas.gov/eft/1199a.pdf>.

NOTE: FUNDS WILL NOT BE AUTOMATICALLY TRANSFERRED UPON ISSUANCE OF THE GRANT. GRANTEES MUST SUBMIT A REQUEST FOR ADVANCE/REIMBURSEMENT IN ORDER FOR THE FUNDS TO BE TRANSFERRED TO THE GRANTEE’S ACCOUNT.

3. Non-supplanting Requirement. Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. 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.

4. Technology Requirements.

4.1 – National Information Exchange Model (NIEM). FEMA requires all grantees to use the latest NIEM specifications and guidelines regarding the use of Extensible Markup Language (XML) for all grant awards. Further information about the required use of NIEM specifications and guidelines is available at <http://www.niem.gov>.

4.2 – Geospatial Guidance. Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). FEMA encourages grantees to align any geospatial activities with the guidance available on the FEMA website at <http://www.fema.gov/grants>.

4.3 – 28 CFR Part 23 Guidance. FEMA requires that any information technology system funded or supported by these funds comply with 28 CFR Part 23, *Criminal Intelligence Systems Operating Policies*, if this regulation is determined to be applicable.

4.4 – Best Practices for Government Use of CCTV. DHS recommends that grantees seeking funds to purchase and install closed circuit television (CCTV)

systems, or funds to provide support for operational CCTV systems, review and utilize the guidance in *Best Practices for Government Use of CCTV: Implementing the Fair Information Practice Principles* available on the DHS Privacy Office website at http://www.dhs.gov/xlibrary/assets/privacy/privacy_rpt_cctv_2007.pdf.

5. Administrative Requirements.

5.1 – Freedom of Information Act (FOIA). FEMA 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. 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 FEMA 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 grantee should be familiar with the regulations governing Sensitive Security Information (49 CFR Part 1520), as it may provide additional protection to certain classes of homeland security information.

5.2 – Protected Critical Infrastructure Information (PCII). The PCII Program, established pursuant to the *Critical Infrastructure Act of 2002* (Public Law 107-296) (*CII Act*), created a framework which enables members of the private sector, States, local jurisdictions, and tribal nations to voluntarily submit sensitive information regarding critical infrastructure to DHS. The Act provides statutory protection from public disclosure and civil litigation for CII that is validated as PCII. When validated as PCII, the information can only be shared with government employees who complete the training requirement, who have homeland security duties, and a need to know.

PCII accreditation is a formal recognition that the covered government entity has the capacity and capability to receive and store PCII appropriately. DHS encourages all States, local jurisdictions, and tribal nations to pursue PCII accreditation to cover their government agencies. Accreditation activities include signing a memorandum of agreement (MOA) with DHS, appointing a PCII Officer and developing a standard operating procedure for handling PCII. For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at pcii-info@dhs.gov.

5.3 – 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. – Provides that no person on the grounds of race, color, or national origin 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. Title VI also extends protection to persons with Limited English Proficiency (LEP). (42 U.S.C. §2000d et seq.)
- *Title IX of the Education Amendments of 1972*, as amended, 20 U.S.C. §1681 et. seq. – Provides that no person, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any education program or activity receiving Federal financial assistance.
- *Section 504 of the Rehabilitation Act of 1973*, as amended, 29 U.S.C. §794 – Provides that no otherwise qualified individual with a disability in the United States, shall, solely by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or subject to discrimination in any program or activity receiving Federal financial assistance.
- *The Age Discrimination Act of 1975*, as amended, 20 U.S.C. §6101 et. seq. – Provides that no person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance.

Grantees must comply with all regulations, guidelines, and standards adopted under the above statutes. The grantee is also required to submit information, as required, to the DHS Office for Civil Rights and Civil Liberties concerning its compliance with these laws and their implementing regulations.

5.4 – Services to Limited English Proficient (LEP) persons. Recipients of FEMA 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, natural origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. The grantee is encouraged to consider the need for language services for LEP persons served or encountered both in developing their proposals and budgets and in conducting their programs and activities.

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

5.5 – Certifications and Assurances. Certifications and assurances regarding the following apply:

- *Lobbying.* 31 U.S.C. §1352, *Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions* – Prohibits the use of Federal funds in lobbying members and employees of Congress, as well as employees of Federal agencies, with respect to the award or amendment of any Federal grant, cooperative agreement, contract, or loan. FEMA and DHS have codified restrictions upon lobbying at 44 CFR Part 18 and 6 CFR Part 9. (Refer to form included in application package.)
- *Drug-free Workplace Act*, as amended, 41 U.S.C. §701 et seq. – Requires the recipient to publish a statement about its drug-free workplace program and give a copy of the statement to each employee (including consultants and temporary personnel) who will be involved in award-supported activities at any site where these activities will be carried out. Also, place(s) where work is being performed under the award (i.e., street address, city, state and zip code) must be maintained on file. The recipient must notify the Grants Officer of any employee convicted of a violation of a criminal drug statute that occurs in the workplace. For additional information, see 44 CFR Part 17.
- *Debarment and Suspension* – Executive Orders 12549 and 12689 provide protection from fraud, waste, and abuse by debarring or suspending those persons that deal in an irresponsible manner with the Federal government. The recipient must certify that they are not debarred or suspended from receiving Federal assistance. For additional information, see 44 CFR Part 17.
- *Federal Debt Status* – The recipient may not be delinquent in the repayment of any Federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. (OMB Circular A-129) (Refer to SF 424, item number 17.)
- *Hotel and Motel Fire Safety Act of 1990* – In accordance with section 6 of the *Hotel and Motel Fire Safety Act of 1990*, 15 U.S.C. §2225a, the recipient agrees to ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds, complies with the fire prevention and control guidelines of the *Federal Fire Prevention and Control Act of 1974*, 15 U.S.C. §2225.

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

5.6 – Integrating individuals with disabilities into emergency planning.

Section 504 of the *Rehabilitation Act of 1973*, as amended, prohibits discrimination against people with disabilities in all aspects of emergency mitigation, planning, response, and recovery by entities receiving financial funding from FEMA. In addition, Executive Order 13347, *Individuals with Disabilities in Emergency Preparedness* 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. Executive Order 13347 requires the Federal government to encourage consideration of the needs of individuals with disabilities served by State, local, and tribal governments in emergency preparedness planning.

FEMA has several resources available to assist emergency managers in planning and response efforts related to people with disabilities and to ensure compliance with Federal civil rights laws:

- **Comprehensive Preparedness Guide 301 (CPG-301): Interim Emergency Management Planning Guide for Special Needs Populations.** CPG-301 is designed to aid tribal, State, territorial, and local governments in planning for individuals with special needs. CPG-301 outlines special needs considerations for: Developing Informed Plans; Assessments and Registries; Emergency Public Information/Communication; Sheltering and Mass Care; Evacuation; Transportation; Human Services/Medical Management; Congregate Settings; Recovery; and Training and Exercises. CPG-301 is available at <http://www.fema.gov/pdf/media/2008/301.pdf>.
- **Guidelines for Accommodating Individuals with Disabilities in Disaster.** The Guidelines synthesize the array of existing accessibility requirements into a user friendly tool for use by response and recovery personnel in the field. The Guidelines are available at <http://www.fema.gov/oer/reference/>.
- **Disability and Emergency Preparedness Resource Center.** A web-based “Resource Center” that includes dozens of technical assistance materials to assist emergency managers in planning and response efforts related to people with disabilities. The “Resource Center” is available at <http://www.disabilitypreparedness.gov>.
- **Lessons Learned Information Sharing (LLIS) resource page on Emergency Planning for Persons with Disabilities and Special Needs.** A true one-stop resource shop for planners at all levels of government, non-

governmental organizations, and private sector entities, the resource page provides more than 250 documents, including lessons learned, plans, procedures, policies, and guidance, on how to include citizens with disabilities and other special needs in all phases of the emergency management cycle.

LLIS.gov is available to emergency response providers and homeland security officials from the Federal, State, and local levels. To access the resource page, log onto <http://www.LLIS.gov> and click on *Emergency Planning for Persons with Disabilities and Special Needs* under *Featured Topics*. If you meet the eligibility requirements for accessing LLIS.gov, you can request membership by registering online.

5.7 – Environmental Planning and Historic Preservation (EHP) Compliance.

FEMA is required to consider the potential impacts to the human and natural environment of projects proposed for FEMA grant funding. FEMA, through its EHP Program, engages in a review process to ensure that FEMA-funded activities comply with various Federal laws including: *National Environmental Policy Act*, *National Historic Preservation Act*, *Endangered Species Act*, the *Clean Water Act*, and Executive Orders on Floodplains (11988), Wetlands (11990), and Environmental Justice (12898). The goal of these compliance requirements is to protect our Nation's water, air, coastal, wildlife, agricultural, historical, and cultural resources, as well as to minimize potential adverse effects to low-income and minority populations.

The grantee shall provide all relevant information to FEMA's Grant Programs Directorate (GPD) to ensure compliance with applicable Federal EHP requirements. Any project with the potential to impact natural or biological resources or historic properties cannot be initiated until FEMA has completed the required EHP review. In addition to a detailed project description that describes what is to be done with the grant funds, how it will be done, and where it will be done, grantees shall provide detailed information about the project (where applicable), including, but not limited to, the following:

- Project location (i.e., exact street address or map coordinates)
- Total extent of ground disturbance and vegetation clearing
- Extent of modification of existing structures
- Construction equipment to be used, staging areas, etc.
- Year that any affected buildings or structures were built
- Natural, biological, and/or cultural resources present within the project area and vicinity, including wetlands, floodplains, geologic resources, threatened or endangered species, or National Register of Historic Places listed or eligible properties, etc.
- Visual documentation such as good quality, color and labeled site and facility photographs, project plans, aerial photos, maps, etc.
- Alternative ways considered to implement the project (not applicable to procurement of mobile and portable equipment)

For projects that have the potential to impact sensitive resources, FEMA must consult with other Federal, State, and tribal agencies such as the U.S. Fish and Wildlife Service, State Historic Preservation Offices, and the U.S. Army Corps of Engineers, as well as other agencies and organizations responsible for the protection and/or management of natural and cultural resources, including Federally-recognized Indian tribes, Tribal Historic Preservation Offices, and the Department of the Interior, Bureau of Indian Affairs. For projects with the potential to have adverse effects on the environment and/or historic properties, FEMA's EHP review process and consultation may result in a substantive agreement between the involved parties outlining how the grantee will avoid the effects, minimize the effects, or, if necessary, compensate for the effects. Grantees who are proposing communication tower projects are encouraged to complete their Federal Communications Commission (FCC) EHP process prior to preparing their EHP review materials for GPD, and to include their FCC EHP materials with their submission to GPD. Completing the FCC process first and submitting all relevant EHP documentation to GPD will help expedite FEMA's review.

Because of the potential for adverse effects to EHP resources or public controversy, some projects may require an additional assessment or report, such as an Environmental Assessment, Biological Assessment, archaeological survey, cultural resources report, wetlands delineation, or other document, as well as a public comment period. Grantees are responsible for the preparation of such documents, as well as for the implementation of any treatment or mitigation measures identified during the EHP review that are necessary to address potential adverse impacts. Grantees may use grant funds toward the costs of preparing such documents. The use of grant funds for mitigation or treatment measures that are not typically allowable expenses will be considered on a case-by-case basis. Failure of the grantee to meet Federal, State, local and territorial EHP requirements, obtain required permits, and comply with any conditions that may be placed on the project as the result of FEMA's EHP review may jeopardize Federal funding.

Recipients shall not undertake any project without the prior approval of GPD, and must comply with all conditions placed on the project as the result of the EHP review. Any change to the approved project description will require re-evaluation for compliance with these EHP requirements. If ground disturbing activities occur during project implementation, the recipient must ensure monitoring of ground disturbance, and if any potential archeological resources are discovered, the recipient will immediately cease construction in that area and notify their GPD Program Analyst, and the appropriate State Historic Preservation Office. Any projects that have been initiated prior to approval will result in a non-compliance finding and will not be eligible for funding.

For more information on FEMA's EHP requirements, SAAs should refer to FEMA's Information Bulletin #329, *Environmental Planning and Historic*

Preservation Requirements for Grants, available at <http://www.fema.gov/pdf/government/grant/bulletins/info329.pdf>. Additional information and resources can also be found at <http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm>.

5.8 – Royalty-free License. Applicants are advised that FEMA reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, for Federal government purposes: (a) the copyright in any work developed under an award or sub-award; and (b) any rights of copyright to which an award recipient or sub-recipient purchases ownership with Federal support. Award recipients must agree to consult with FEMA regarding the allocation of any patent rights that arise from, or are purchased with, this funding.

5.9 – FEMA GPD Publications Statement. Applicants are advised that all publications created with funding under any grant award shall prominently contain the following statement: "This document was prepared under a grant from the Federal Emergency Management Agency's Grant Programs Directorate (FEMA/GPD) within the U.S. Department of Homeland Security. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of FEMA/GPD or the U.S. Department of Homeland Security."

5.10 – Equipment Marking. Awardees **may consider marking equipment in the following manner**, "Purchased with funds provided by the U.S. Department of Homeland Security," in order to facilitate their own audit processes, as well as Federal audits and monitoring visits, which may result from receiving Federal funding. Equipment maintenance requirements are outlined in 44 CFR Part 13.32.

5.11 – Disadvantaged Business Requirement. Applicants are advised that, to the extent that recipients of a grant use contractors or subcontractors, such recipients shall use small, minority, women-owned or disadvantaged business concerns and contractors or subcontractors to the extent practicable.

5.12 – National Preparedness Reporting Compliance. *The Government Performance and Results Act of 1993* (Public Law 103-62) (GPRA) requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. FEMA will work with grantees to develop tools and processes to support this requirement. FEMA anticipates using this information to inform future-year grant program funding decisions. Award recipients must agree to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required

for the assessment or evaluation of any activities within their grant agreement. This includes any assessments, audits, or investigations conducted by DHS, the Office of the Inspector General, or the U.S. Government Accountability Office (GAO).

C. Reporting Requirements

Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements). Any reports or documents prepared as a result of this grant shall be in compliance with Federal “plain English” policies, directives, etc. Please note that PARS contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

- 1. Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425), which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, the FFR is due no later than April 30). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period.

OMB has directed that the FFR SF-425 replace the use of the SF-269, SF-269A, SF-272, and SF-272A, which will no longer be available after October 1, 2009. The SF-425 is intended to provide Federal agencies and grant recipients with a standard format and consistent reporting requirements throughout the government.

FFRs **must be filed online** through PARS.

Reporting periods and due dates:

- October 1 – December 31; *Due January 30*
- January 1 – March 31; *Due April 30*
- April 1 – June 30; *Due July 30*
- July 1 – September 30; *Due October 30*

- 2. Semi-Annual Assistance Progress Report (SAPR).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicant is responsible for completing and submitting the SAPR reports. The awardee should include a statement in the narrative field of the SAPR that reads: See BSIR

The SAPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Future awards and fund drawdowns may be withheld if these reports are delinquent.

SAPRs must be filed online at <https://grants.ojp.usdoj.gov>. Guidance and instructions can be found at <https://grants.ojp.usdoj.gov/gmsHelp/index.html>.

Required submission: SAPR (due semi-annually).

- 3. Initial Strategy Implementation Plan (ISIP).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information to meet the pass-through requirement. The applicable SAAs are responsible for completing and submitting the ISIP online.

Required submission: ISIP (due within 45 days of the award date).

- 4. Biannual Strategy Implementation Reports (BSIR).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicable SAAs are responsible for completing and submitting the BSIR reports which is a component of the SAPR. The BSIR submission will satisfy the narrative requirement of the SAPR. SAAs are still required to submit the SAPR with a statement in the narrative field that reads: *See BSIR.*

The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Future awards and fund drawdowns may be withheld if these reports are delinquent.

- 5. 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 GAO's *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 2010 NSGP assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, 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.

6. **Monitoring.** Grant recipients will be monitored periodically by FEMA 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. Programmatic monitoring may also include the Regional Federal Preparedness Coordinators, when appropriate, to ensure consistency of project investments with regional and national goals and policies, as well as to help synchronize similar investments ongoing at the Federal, State, and local levels.

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

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

7. **Grant Close-Out Process.** Within 90 days after the end of the period of performance, grantees must submit a final FFR and final SAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the project as 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 FFR**. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records.

Required submissions: (1) final SF-425, due 90 days from end of grant period; and (2) final SAPR, due 90 days from the end of the grant period.

PART VII.

FEMA CONTACTS

This section describes several resources that may help applicants in completing a FEMA grant application.

- 1. Centralized Scheduling and Information Desk (CSID).** CSID is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, State, and local levels. CSID can be reached by phone at (800) 368-6498 or by e-mail at ASKCSID@dhs.gov, Monday through Friday, 8:00 AM – 6:00 p.m. (EST).
- 2. Homeland Security Preparedness Technical Assistance Program (HSPTAP) and Planning Support.** The HSPTAP provides direct support assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to prevent, protect against, respond to, and recover from terrorist and all hazard threats. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other direct support assistance programs.

The HSPTAP also provides access to planning support. The planning support aids jurisdictions by increasing their understanding of the complex issues faced in planning for various hazards and threats. This support includes leveraging subject-matter experts from around the country as well as enabling knowledge transfer from jurisdiction to jurisdiction.

More information can be found at http://www.fema.gov/about/divisions/pppa_ta.shtm or by e-mailing FEMA-TARequest@fema.gov or NPD-planning@dhs.gov.

- 3. Lessons Learned Information Sharing (LLIS) System.** LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, and other relevant homeland security documents. LLIS facilitates improved preparedness nationwide by providing response professionals with access to a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

The LLIS website also includes a national directory of homeland security officials, as well as an updated list of homeland security exercises, events, and conferences. Additionally, LLIS includes online collaboration tools, including secure email and message boards, where users can exchange information. LLIS uses strong

encryption and active site monitoring to protect all information housed on the system. The LLIS website can be found at <http://www.LLIS.gov>.

4. **Information Bulletins.** Information Bulletins (IBs) provide important updates, clarifications, and policy statements related to FEMA preparedness grant programs. Grantees should familiarize themselves with the relevant publications. Information Bulletins can be found at <http://www.fema.gov/government/grant/bulletins/index.shtm>.
5. **Information Sharing Systems.** FEMA encourages all State, regional, local, and tribal entities using FY 2010 funding in support of information sharing and intelligence fusion and analysis centers to leverage available Federal information sharing systems, including Law Enforcement Online (LEO) and the Homeland Security Information Network (HSIN). For additional information on LEO, contact the LEO Program Office at leoprogramoffice@leo.gov or (202) 324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at (703) 674-3003.
6. **U.S. General Services Administration's (GSA's) State and Local Purchasing Programs.** The GSA offers two efficient and effective procurement programs for State and local governments to purchase products and services to fulfill homeland security and other technology needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes.

- Cooperative Purchasing Program
Cooperative Purchasing, authorized by statute, allows State and local governments to purchase a variety of supplies (products) and services under specific GSA Schedule contracts to save time, money, and meet their everyday needs and missions.

The Cooperative Purchasing program allows State and local governments to purchase alarm and signal systems, facility management systems, firefighting and rescue equipment, law enforcement and security equipment, marine craft and related equipment, special purpose clothing, and related services off of Schedule 84 and Information Technology products and professional services off of Schedule 70 and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing for these categories is authorized under Federal law by the *Local Preparedness Acquisition Act* (Public Law 110-248) and Section 211 of the *E-Government Act of 2002* (Public Law 107-347).

Under this program, State and local governments have access to GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The GSA provides a definition of State and local governments as well as other vital information


under the frequently asked questions section on its website at <http://www.gsa.gov/cooperativepurchasing>.

- Disaster Recovery Purchasing Program

GSA plays a critical role in providing disaster recovery products and services to Federal agencies. Now State and local governments can also benefit from the speed and savings of the GSA Federal Supply Schedules. Section 833 of the *John Warner National Defense Authorization Act for Fiscal Year 2007* (Public Law 109-364) amends 40 U.S.C. §502 to authorize GSA to provide State and local governments the use of ALL GSA Federal Supply Schedules for purchase of products and services to be used to facilitate recovery from a major disaster declared by the President under the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* or to facilitate **recovery** from terrorism or nuclear, biological, chemical, or radiological attack.

Products and services being purchased to facilitate recovery from one of the above listed events, may be purchased both in advance of and in the aftermath of a major disaster, as long as the products and services being purchased, will be used to facilitate recovery.

GSA provides additional information on the Disaster Recovery Purchasing Program website at <http://www.gsa.gov/disasterrecovery>.

State and local governments can find a list of contractors on GSA's website, <http://www.gsa/library.gsa.gov>, denoted with a  or symbol.

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit <http://www.gsa.gov/csd> to find a local customer service director in your area. For assistance at the national level, contact Tricia Reed at tricia.reed@gsa.gov or (571) 259-9921. More information is available on all GSA State and local programs at www.gsa.gov/stateandlocal.

PART VIII. OTHER INFORMATION

FY 2010 NSGP Scoring Worksheet

The FY 2010 NSGP Scoring Worksheet below will be used by the SAA to review and score FY 2010 NSGP applications consistent with the guidelines provided in the FY 2010 NSGP Investment Justification and Selection Criteria as well as ensure consistency with programmatic requirements. **SAA's will receive a separate, Excel-based FY 2010 NSGP Scoring Worksheet upon the release of the Guidance.** Each applicant's final score along with the SAA's prioritization will be used to populate the FY 2010 NSGP Prioritization of Investment Justifications which will be used to determine the applicants that will advance to the Federal review process and make funding recommendations to the Secretary of Homeland Security.

FISCAL YEAR (FY) 2010 NONPROFIT SECURITY GRANT PROGRAM (NSGP) INVESTMENT JUSTIFICATION SCORING WORKSHEET	
State	<input style="width: 90%;" type="text"/>
Urban Area	<input style="width: 90%;" type="text"/>
Name of the Nonprofit Organization	<input style="width: 90%;" type="text"/>
FY 2010 NSGP Federal Funding Request	<input style="width: 90%;" type="text"/>
Scoring Legend	
Did Not	The applicant provided no response
Poor	The applicant's response is incomplete and does not address all of the required information
Partial	The applicant's response is complete but minimally addresses all of the required information
Adequate	The applicant's response is complete and moderately addresses all of the required information
Thorough	The applicant's response is complete and fully addresses all of the required information
I. Applicant Information (Unscored)	
1. Did the applicant provide all of the required information?	
No	The applicant did not provide all of the required information
Yes	The applicant did provide all of the required information
<input style="width: 50px; height: 20px;" type="checkbox"/>	<input style="width: 600px; height: 20px;" type="text"/>
II. Background (Total of 2 possible points)	
2. Did the applicant provide a description of their nonprofit organization to include:	
<ul style="list-style-type: none"> ▪ Membership and community served ▪ Involvement in their local Citizen Corps Council ▪ Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site as a possible terrorism target ▪ Any role in responding to or recovering from terrorist attacks 	
0 = The applicant did not provided any of the required information regarding their nonprofit organization 1 = The applicant provided some of the required information regarding their nonprofit organization 2 = The applicant provided all of the required information regarding their nonprofit organization	
Score	<input style="width: 50px; height: 20px;" type="checkbox"/>
<input style="width: 50px; height: 20px;" type="checkbox"/>	<input style="width: 600px; height: 20px;" type="text"/>
III. Investment Heading (Unscored)	
3. Did the applicant provide all of the required information?	
No	The applicant did not provide all of the required information
Yes	The applicant did provide all of the required information
<input style="width: 50px; height: 20px;" type="checkbox"/>	<input style="width: 600px; height: 20px;" type="text"/>

IV. Baseline (Unscored)

4. Did the applicant indicate whether or not the nonprofit organization has received DHS or NSGP funding in the past, to include: funding source, funding amount, funding year, and the investment type?

- No The applicant **did not** provide any of the required information
- Yes The applicant **did** provided all of the required information

V. Risk (Total of 12 possible points)

5. In considering threat, how well did the applicant address findings from previously conducted risk assessments, police reports, and/or insurance claims?

- 0 = The applicant **did not** address findings from previously conducted risk assessments, police reports, and/or insurance claims
- 1 = The applicant **poorly** addressed findings from previously conducted risk assessments, police reports, and/or insurance claims
- 2 = The applicant **partially** addressed findings from previously conducted risk assessments, police reports, and/or insurance claims
- 3 = The applicant **adequately** addressed findings from previously conducted risk assessments, police reports, and/or insurance claims
- 4 = The applicant **thoroughly** addressed findings from previously conducted risk assessments, police reports, and/or insurance claims

Score

6. In considering vulnerabilities, how well did the applicant address the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack?

- 0 = The applicant **did not** address the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 1 = The applicant **poorly** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 2 = The applicant **partially** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 3 = The applicant **adequately** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack
- 4 = The applicant **thoroughly** addressed the organization's susceptibility to destruction, incapacitation, or exploitation by a terrorist attack

Score

7. In considering potential consequences, how well did the applicant address potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack?

- 0 = The applicant **did not** address potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 1 = The applicant **poorly** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 2 = The applicant **partially** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 3 = The applicant **adequately** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack
- 4 = The applicant **thoroughly** addressed potential negative effects on the organization's asset, system, and/or network if damaged, destroyed, or disrupted by a terrorist attack

Score

VI. Target Hardening (Total of 8 possible points)

8. Did the applicant describe how the proposed target hardening activity will mitigate the identified risk(s)?

- 0 = The applicant **did not** provide a description of how the proposed target hardening activity will mitigate the identified risk(s)
- 1 = The applicant provided a **poor** description of how the proposed target hardening activity will mitigate the identified risk(s)
- 2 = The applicant provided a **partial** description of how the proposed target hardening activity will mitigate the identified risk(s)
- 3 = The applicant provided an **adequate** description of how the proposed target hardening activity will mitigate the identified risk(s)

4 = The applicant provided a **thorough** description of how the proposed target hardening activity will mitigate the identified risk(s)

Score

9. Did the applicant's proposed target hardening activity focus on the prevention of and/or protection against the risk of a terrorist attack?

- 0 = The applicant's target hardening activity **did not** focus on the prevention of and/or protection against the risk of a terrorist attack
- 1 = The applicant's target hardening activity **poorly** focused on the prevention of and/or protection against the risk of a terrorist attack
- 2 = The applicant's target hardening activity **partially** focused on the prevention of and/or protection against the risk of a terrorist attack
- 3 = The applicant's target hardening activity **adequately** focused on the prevention of and/or protection against the risk of a terrorist attack
- 4 = The applicant's target hardening activity **thoroughly** focused on the prevention of and/or protection against the risk of a terrorist attack

Score

VII. Milestones (Total of 9 possible points)

10. Did the applicant provide specific milestones that present a clear sequence of events that will allow the Investment to reach its objectives during the FY 2010 NSGP period of performance?

- 0 = **No**, the applicant **did not** provide specific milestones that present a clear sequence of events that will allow the Investment to reach its objectives during the FY 2010 NSGP period of performance (please proceed to question 13)
- 1 = **Yes**, the applicant **did** provide specific milestones that present a clear sequence of events that will allow the Investment to reach its objectives during the FY 2010 NSGP period of performance (please proceed to question 11)

11. How well do the milestones collectively present a clear sequence of events that effectively build upon each other and would allow the applicants to reach its intended objectives during the FY 2010 NSGP period of performance?

- 0 = The milestones identified **do not** present a clear sequence of events that effectively build upon each other and would allow the applicant to reach its intended objectives during the FY 2010 NSGP period of performance
- 1 = The milestones present a **poorly** defined sequence of events that effectively build upon each other and would allow the applicant to reach its intended objectives during the FY 2010 NSGP period of performance
- 2 = The milestones present a **partially** defined sequence of events that effectively build upon each other and would allow the applicant to reach its intended objectives during the FY 2010 NSGP period of performance
- 3 = The milestones present a **adequately** defined sequence of events that effectively build upon each other and would allow the applicant to reach its intended objectives during the FY 2010 NSGP period of performance
- 4 = The milestones present a **thoroughly** defined sequence of events that effectively build upon each other and would allow the applicant to reach its intended objectives during the FY 2010 NSGP period of performance

Score

12. How well did the applicant describe the milestones as well as associated key activities that lead to the milestone event over the FY 2010 NSGP period of performance?

- 0 = The applicant **did not** provide a description of milestones and associated activities that lead to the milestone event over the FY 2010 NSGP period of performance
- 1 = The applicant provided a **poor** description of milestones and associated activities that lead to the milestone event over the FY 2010 NSGP period of performance
- 2 = The applicant provided a **partial** description of milestones and associated activities that lead to the milestone event over the FY 2010 NSGP period of performance
- 3 = The applicant provided an **adequate** description of milestones and associated activities that lead to the milestone event over the FY 2010 NSGP period of performance
- 4 = The applicant provided a **thorough** description of milestones and associated activities that lead to the milestone event over the FY 2010 NSGP period of performance

Score

VIII. Project Management (Total of 5 possible points)

13. Has the applicant described, at high-level, the roles and responsibilities of the management team, governance structures, and subject matter expertise required in managing the Investment?

- 0 = No, the applicant **did not** describe the management team's roles and responsibilities, governance structure, or subject matter expertise required to manage the Investment
- 1 = Yes, the applicant **did** describe the management team's roles and responsibilities, governance structure, and subject matter expertise required to manage the Investment

Score

14. How well did the applicant justify the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment?

- 0 = The applicant **did not** justify the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment
- 1 = The applicant **poorly** justified the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment
- 2 = The applicant **partially** justified the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment
- 3 = The applicant **adequately** justified the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment
- 4 = The applicant **thoroughly** justified the effectiveness of the proposed management team's roles and responsibilities and governance structure to support the implementation of the Investment

Score

IX. Impact (Total of 4 possible points)

15. Did the applicant provide a brief description of how outcomes will mitigate risk outlined in the Background and Risk sections of the Investment Justification?

- 0 = The applicant **did not** provide a brief description of how outcomes will mitigate risk outlined in the Background and Risk sections of the Investment Justification
- 1 = The applicant **poorly** provided a brief description of how outcomes will mitigate risk outlined in the Background and Risk sections of the Investment Justification
- 2 = The applicant **partially** provided a brief description of how outcomes will mitigate risk outlined in the Background and Risk sections of the Investment Justification
- 3 = The applicant **adequately** provided a brief description of how outcomes will mitigate risk outlined in the Background and Risk sections of the Investment Justification
- 4 = The applicant **thoroughly** provided a brief description of how outcomes will mitigate risk outlined in the Background and Risk sections of the Investment Justification

X. Optional Cost Share (Unscored)

16. Did the applicant choose to participate in the FY 2010 NSGP **optional** cash or in-kind cost share? (Note: The participation in the optional cost share will not have an impact on the scoring process or the amount of funding awarded under FY 2010 NSGP)

- No** = The applicant **did not** choose to participate in the FY 2010 NSGP **optional** cash or in-kind cost share
- Yes** = The applicant **did** choose to participate in the FY 2010 NSGP **optional** cash or in-kind cost share

Total Score

Total Investment Justification Score:

Based on a possible score of 40, this Investment Justification scored a

FY 2010 Match Guidance

Introduction

Determining match for the purposes of submitting grant applications to any Federal Agency should be a coordinated process at the State and local level. It is highly recommended that programmatic staff at the State and local level consult with their financial staff prior to submitting any grant applications especially those that identify cash or in-kind match.

Types of Match

- 1. Cash Match.** Cash (hard) match includes non-Federal cash spent for project-related costs, according to the program guidance. Allowable cash match must only include those costs which are in compliance with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.
- 2. In-kind Match.** In-kind (soft) match includes, but is not limited to, the valuation of in-kind services. "In-kind" is the value of something received or provided that does not have a cost associated with it. For example, if in-kind match (other than cash payments) is permitted, then the value of donated services could be used to comply with the match requirement. Also, third party in-kind contributions may count toward satisfying match requirements provided the grantee receiving the contributions expends them as allowable costs in compliance with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.

Definitions

- **Matching or Cost Sharing.** This means the value of the third party in-kind contributions and the portion of the costs of a Federally-assisted project or program not borne by the Federal Government. All cost-sharing or matching funds claimed against a FEMA grant by State, local or tribal governments must meet the requirements of the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.
- **Cash Match (hard).** This includes cash spent for project-related costs under a grant agreement. Allowable cash match must include only those costs which are allowable with Federal funds in compliance with the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.
- **In-kind Match (soft).** This means contributions of the reasonable value of property or services in lieu of cash which benefit a Federally-assisted project or program. This type of match may only be used if not restricted or prohibited by program statute, regulation or guidance and must be supported with source documentation. Only property or services that are in compliance with program

guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225, are allowable.

Basic Guidelines

- For costs to be eligible to meet matching requirements, the costs must first be allowable under the grant program.
- The costs must also be in compliance with all Federal requirements and regulations (e.g., 44 CFR Part 13 and 2 CFR Part 225); the costs must be reasonable, allowable, allocable, and necessary.
- Records for all expenditures relating to cost sharing or matching must be kept in the same manner as those for the grant funds.
 - The following documentation is required for third-party cash and in-kind contributions: Record of donor; Dates of donation; Rates for staffing, equipment or usage, supplies, etc.; Amounts of donation; and Deposit slips for cash contributions. According to 44 CFR § 13.24, this documentation is to be held at the Applicant and/or subapplicant level.
- Except as provided by Federal statute, a cost sharing or matching requirement may not be met by costs borne by another Federal grant.
- The source of the match funds must be identified in the grant application.
- Every item must be verifiable, i.e., tracked and documented.
- Any claimed cost share expense can only be counted once.

Examples (For additional examples of match, please contact your State finance office)

- The Emergency Management Director has 50% of his/her salary paid from State funds and 50% paid from Federal grant funds, but he/she provides 60% effort in the Federal grant program that only pays 50% salary. The additional 10% of effort/time toward the Federal grant program can be claimed as soft match. All record keeping requirements to prove the 60% time allocation apply.
- Non-Federally funded equipment or facilities used during exercises can be claimed as soft match, but only at the time of donation. For example, only the fair market price for the use of the facility for the period of the exercise can be claimed as match.
- Third party in-kind contributions of salary, travel, equipment, supplies and other budget areas that are from third party sources must be in compliance with 44 CFR § 13.24, *Matching or Cost Sharing*. These types of contributions include voluntary contributions such as emergency personnel, lawyers, etc., who donate their time to a Federal grant program. The normal per hour rate for these professionals (acting in their professional capacity) can be used to meet the matching requirement. The value of the services provided is taken into consideration when determining the value of the contribution - not who is providing the service. For example, if a lawyer is volunteering his services to assist flood victims in filing legal paper work, the lawyer's normal hourly rate is allowable. If the lawyer is volunteering his services and is working in a soup

kitchen, the lawyer's hourly rate would not be applicable; it would be the hourly rate for a soup kitchen worker.

Governing Provisions

- 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*
 - Reference 44 CFR § 13.24, *Matching or Cost Sharing*
- 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87)
- Program Guidance and/or Program Regulations

44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments

44 CFR § 13.24, Matching or Cost Sharing.

(a) Basic rule: Costs and contributions acceptable. With the qualifications and exceptions listed in paragraph (b) of this section, a matching or cost sharing requirement may be satisfied by either or both of the following:

- (1) Allowable costs incurred by the grantee, subgrantee or a cost-type contractor under the assistance agreement. This includes allowable costs borne by non-Federal grants or by others cash donations from non-Federal third parties.
- (2) The value of third party in-kind contributions applicable to the period to which the cost sharing or matching requirements applies.

(b) Qualifications and exceptions:

- (1) Costs borne by other Federal grant agreements. Except as provided by Federal statute, a cost sharing or matching requirement may not be met by costs borne by another Federal grant. This prohibition does not apply to income earned by a grantee or subgrantee from a contract awarded under another Federal grant.
- (2) General revenue sharing. For the purpose of this section, general revenue sharing funds distributed under 31 U.S.C. 6702 are not considered Federal grant funds.
- (3) Cost or contributions counted towards other Federal costs-sharing requirements. Neither costs nor the values of third party in-kind contributions may count towards satisfying a cost sharing or matching requirement of a grant agreement if they have been or will be counted towards satisfying a cost sharing or matching requirement of another Federal grant agreement, a Federal procurement contract, or any other award of Federal funds.
- (4) Costs financed by program income. Costs financed by program income, as defined in § 13.25, shall not count towards satisfying a cost sharing or matching requirement unless they are expressly permitted in the terms of the assistance agreement (This use of general program income is described in § 13.25 (g)).

- (5) Services or property financed by income earned by contractors. Contractors under a grant may earn income from the activities carried out under the contract in addition to the amounts earned from the party awarding the contract. No costs of services or property supported by this income may count toward satisfying a cost sharing or matching requirement unless other provisions of the grant agreement expressly permit this kind of income to be used to meet the requirement.
- (6) Records. Costs and third party in kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records of grantees and subgrantees or cost-type contractors. These records must show how the value placed on third party in-kind contributions was derived. To the extent feasible, volunteer services will be supported by the same methods that the organization uses to support the allocability of regular personnel costs.
- (7) Special standards for third party in kind contributions.
 - (i) Third party in kind contributions count towards satisfying a cost sharing or matching requirement only where, if the party receiving the contributions were to pay for them, the payments would be allowable costs.
 - (ii) Some third party in-kind contributions are goods and services that if the grantee, subgrantee, or contractor receiving the contribution had to pay for them, the payments would have been indirect costs. Costs sharing or matching credit for such contributions shall be given only if the grantee, subgrantee, or contractor has established, along with its regular indirect cost rate, a special rate for allocating to individual projects or programs the value of the contributions.
 - (iii) A third party in-kind contribution to a fixed-price contract may count towards satisfying a cost sharing or matching requirement only if it results in:
 - (A) An increase in the services or property provided under the contract (without additional cost to the grantee or subgrantee); or
 - (B) A cost savings to the grantee or subgrantee.
 - (iv) The values placed on third party in kind contributions for cost sharing or matching purposes will conform to the rules in the succeeding sections of this part. If a third party in-kind contribution is a type not treated in those sections, the value placed upon it shall be fair and reasonable.

(c) Valuation of donated services:

- (1) Volunteer services. Unpaid services provided to a grantee or subgrantee by individuals will be valued at rates consistent with those ordinarily paid for similar work in the grantee's or subgrantee's organization. If the grantee or subgrantee does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market. In either case, a reasonable amount for fringe benefits may be included in the valuation.

- (2) Employees of other organizations. When an employer other than a grantee, subgrantee, or cost-type contractor furnishes free of charge the services of an employee in the employee's normal line of work, the services will be valued at the employee's regular rate of pay exclusive of the employee's fringe benefits and overhead costs. If the services are in a different line of work, paragraph(c)(1) of this section applies.

(d) Valuation of third party donated supplies and loaned equipment or space:

- (1) If a third party donates supplies, the contribution will be valued at the market value of the supplies at the time of donation.
- (2) If a third party donates the use of equipment or space in a building but retains title, the contribution will be valued at the fair rental rate of the equipment or space.

(e) Valuation of third party donated equipment, buildings, and land. If a third party donates equipment, buildings, or land, and title passes to a grantee or subgrantee, the treatment of the donated property will depend upon the purpose of the grant or subgrant, as follows:

- (1) Awards for capital expenditures. If the purpose of the grant or subgrant is to assist the grantee or subgrantee in the acquisition of property, the market value of that property at the time of donation may be counted as cost sharing or matching,
- (2) Other awards. If assisting in the acquisition of property is not the purpose of the grant or subgrant, paragraphs (e)(2) (i) and (ii) of this section apply:
 - (i) If approval is obtained from the awarding agency, the market value at the time of donation of the donated equipment or buildings and the fair rental rate of the donated land may be counted as cost sharing or matching. In the case of a subgrant, the terms of the grant agreement may require that the approval be obtained from the Federal agency as well as the grantee. In all cases, the approval may be given only if a purchase of the equipment or rental of the land would be approved as an allowable direct cost. If any part of the donated property was acquired with Federal funds, only the non- Federal share of the property may be counted as cost sharing or matching.
 - (ii) If approval is not obtained under paragraph (e)(2)(i) of this section, no amount may be counted for donated land, and only depreciation or use allowances may be counted for donated equipment and buildings. The depreciation or use allowances for this property are not treated as third party in-kind contributions. Instead, they are treated as costs incurred by the grantee or subgrantee. They are computed and allocated (usually as indirect costs) in accordance with the cost principles specified in § 13.22, in the same way as depreciation or use allowances for purchased equipment and buildings. The amount of depreciation or use allowances for donated equipment and buildings is based on the property's market value at the time it was donated.

- (f) Valuation of grantee or subgrantee donated real property for construction/ acquisition.** If a grantee or subgrantee donates real property for a construction or facilities acquisition project, the current market value of that property may be counted as cost sharing or matching. If any part of the donated property was acquired with Federal funds, only the non-Federal share of the property may be counted as cost sharing or matching.
- (g) Appraisal of real property.** In some cases under paragraphs (d), (e), and (f) of this section, it will be necessary to establish the market value of land or a building or the fair rental rate of land or of space in a building. In these cases, the Federal agency may require the market value or fair rental value be set by an independent appraiser, and that the value or rate be certified by the grantee. This requirement will also be imposed by the grantee on subgrantees.

2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)

Basic Guidelines

- 1. Factors affecting allowability of costs.** To be allowable under Federal awards, costs must meet the following general criteria:
 - a. Be necessary and reasonable for proper and efficient performance and administration of Federal awards.
 - b. Be allocable to Federal awards under the provisions of 2 CFR Part 225.
 - c. Be authorized or not prohibited under State or local laws or regulations.
 - d. Conform to any limitations or exclusions set forth in these principles, Federal laws, terms and conditions of the Federal award, or other governing regulations as to types or amounts of cost items.
 - e. Be consistent with policies, regulations, and procedures that apply uniformly to both Federal awards and other activities of the governmental unit.
 - f. Be accorded consistent treatment. A cost may not be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost.
 - g. Except as otherwise provided for in 2 CFR Part 225, be determined in accordance with generally accepted accounting principles.
 - h. Not be included as a cost or used to meet cost sharing or matching requirements of any other Federal award in either the current or a prior period, except as specifically provided by Federal law or regulation.
 - i. Be the net of all applicable credits.
 - j. Be adequately documented.
- 2. Reasonable costs.** A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The question of reasonableness is particularly important when governmental units or components

are predominately Federally-funded. In determining reasonableness of a given cost, consideration shall be given to:

- a. Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the governmental unit or the performance of the Federal award.
- b. The restraints or requirements imposed by such factors as: Sound business practices; arm's-length bargaining; Federal, State and other laws and regulations; and, terms and conditions of the Federal award.
- c. Market prices for comparable goods or services.
- d. Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to the governmental unit, its employees, the public at large, and the Federal Government.
- e. Significant deviations from the established practices of the governmental unit which may unjustifiably increase the Federal award's cost.

3. Allocable costs.

- a. A cost is allocable to a particular cost objective if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received.
- b. All activities which benefit from the governmental unit's indirect cost, including unallowable activities and services donated to the governmental unit by third parties, will receive an appropriate allocation of indirect costs.
- c. Any cost allocable to a particular Federal award or cost objective under the principles provided for in 2 CFR Part 225 may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons.
- d. Where an accumulation of indirect costs will ultimately result in charges to a Federal award, a cost allocation plan will be required as described in Appendices C, D, and E to this part.

4. Applicable credits.

- a. Applicable credits refer to those receipts or reduction of expenditure-type transactions that offset or reduce expense items allocable to Federal awards as direct or indirect costs. Examples of such transactions are: Purchase discounts, rebates or allowances, recoveries or indemnities on losses, insurance refunds or rebates, and adjustments of overpayments or erroneous charges. To the extent that such credits accruing to or received by the governmental unit relate to allowable costs, they shall be credited to the Federal award either as a cost reduction or cash refund, as appropriate.
- b. In some instances, the amounts received from the Federal Government to finance activities or service operations of the governmental unit should be treated as applicable credits. Specifically, the concept of netting such credit items (including any amounts used to meet cost sharing or matching requirements) should be recognized in determining the rates or amounts to be charged to Federal awards.