



Assistance to Firefighters Grant Program Fire Prevention and Safety (FP&S) Grants

Funding Opportunity Announcement

December 2012

Fiscal Year 2012



U.S. Department of Homeland Security

OVERVIEW INFORMATION

Issued By: US Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA)

Catalog of Federal Domestic Assistance (CFDA) Number: 97.044

CFDA Title: Assistance to Firefighters Grant Program

Funding Opportunity Announcement Title: Assistance to Firefighters Grant Program, Fire Prevention and Safety (FP&S)

Authorizing Authority for Program: Federal Fire Prevention and Control Act of 1974 (15 U.S.C. § 2229 et seq.), as amended.

Appropriation Authority for Program: Firefighter Assistance Grants Section within the Department of Homeland Security Appropriations Act, 2012, (Division D of the Consolidated Appropriations Act, 2012, Public Law 112-74).

FOA Number: DHS-12-GPD-044-000-98

Key Dates and Times:

Application Start Date:	12/17/2012
Application Submission Date:	1/18/2013 at 5:00 p.m. ET
Funding Selection Date:	N/A
Award Date:	No later than 9/30/13

FEMA will commence the panel review process within 60 days of the end of the application period.

Application Submission Extension: Is an extension to the application submission deadline permitted? Yes No

Intergovernmental Review: Is an intergovernmental review required? Yes No

FOA EXECUTIVE SUMMARY

Program Type: Select the applicable program type: New Continuing One-time

Opportunity Category: Select the applicable opportunity category:

Discretionary/Competitive Mandatory/Non-competitive Both

Application Process: DHS makes all funding opportunities available through the common electronic “storefront” Grants.gov and is accessible on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions, please call the Grants.gov Customer Support Hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

The FY 2012 FP&S Grants Application will be accessible beginning **12/17/2012 at 8:00 am (ET)** on the AFG Web site at <http://www.fema.gov/firegrants/> and the Grants.gov Web site at <http://www.grants.gov>.

The automated application has been designed with “help screens” and “drop-down menus” to assist the applicant throughout the application process. The application can be saved and retrieved for update and revision until the end of the application period.

Please note, once an application has been completed and submitted, no changes can be made. The automated system does not allow an applicant to submit an incomplete application. Accordingly, the system alerts the applicant when required information has not been entered. By submitting an application on-line, the applicant will automatically receive confirmation via e-mail that their application has been successfully submitted. Do **not** submit multiple applications. Multiple applications submitted on behalf of any one applicant will all be deemed ineligible.

Paper applications are available. However, they are discouraged because of the inherent delays associated with their processing. Additionally, paper applications do not have the advantage of the built-in assistance of the electronic application or the assurance the application has been accurately completed before mailing.

Applicants who wish to apply for FP&S Grants by paper may request a paper application to be sent to them via US Postal Service by calling the Help Desk at 1-866-274-0960. Paper applications will not be sent to prospective applicants via overnight delivery, fax, or e-mail.

All applications must be completed and submitted electronically or postmarked ***on or before the close of business by 5:00 p.m. (ET) on Friday, January 18, 2013.*** Only electronic applications submitted via the on-line automated grant application system will receive a confirmation of receipt.

Applicants should print a copy of the confirmation for their records upon receiving verification that their application has been successfully submitted. Applicants should also record their username and password for future access to their application. No confirmation will be issued for paper applications. Incomplete applications or applications submitted via any other electronic means, including e-mail or fax, will automatically be deemed ineligible.

Paper applications should be mailed to the following address:

**Cabazon Group
ATTN: AFG Grant Program
11821 Parklawn Drive, Suite 230
Rockville, MD 20852**

Applications mailed to any other address may miss the appointed closing date and will be disqualified and ineligible for funding.

Applicants are allowed to hire, or otherwise employ, the services of a grant writer to assist in the application process. However, the applicant is responsible for ensuring the information contained in their submitted application is a true and accurate reflection of their organization and represents the scope of effort being proposed and the time and cost required to achieve it. Therefore, applicants are strongly encouraged to review all work produced by grant writers, or other third parties on their behalf, prior to submission of their application.

Applicants who falsify their application, or misrepresent their organization or proposal in any manner, will have their application deemed ineligible by the Program Office and referred to the Office of the Inspector General for further action, as appropriate.

Applicants are encouraged to utilize available application tools to prepare a competitive grant application while adhering to the FP&S Application Requirements. The FY2012 FP&S Grants Get Ready Guide identifies important elements that must be addressed during the grant application process. The FY2012 FP&S Grant Self-Evaluation Sheet was developed to assist applicants understand the evaluation criteria that must be addressed in the Narrative Statement. These tools are available for applicants at <http://www.fema.gov/firegrants/>.

A. Content and Form of Application

Eligible applicants apply for FP&S Grant funding on-line via the “e-Grants” application. The system will allow an authorized representative of an organization to log in and create a username and password for the applicant. The selection of the authorized representative is at the discretion of each applicant. If your organization submitted an application in previous years, we advise you to use the same username and password used for previous applications.

If your organization is submitting more than one FY 2012 application (AFG or SAFER), you must use the same username and password used for prior year applications for each FY 2012 application. Failure to use your existing user name and password could delay the processing of your application.

When filling out the on-line application, applicants are required to provide general information regarding their departments and the community they serve. The applicant will provide detailed information regarding the items or activities for which they are seeking funding.

The applicant will also have to provide a Narrative Statement describing such project details as cost of the project, their financial needs, and the benefits that the project will have on the applicant's operations.

Finally, applicants will have to fill out Standard Form LLL, Disclosure of Lobbying Activities and FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements.

B. DUNS Number

As of October 1, 2003, all applicants applying for federal grants are required to have a Data Universal Numbering System (DUNS) number.

The DUNS number is a unique nine-character identification number provided by the commercial company Dun & Bradstreet. Applicants are encouraged to obtain the DUNS number either prior to the start of the application period or early in the application period, since it may take up to 14 business days to obtain one.

There is no charge for a DUNS number. It can be requested by registering on-line at http://www.dnb.com/US/duns_update/index.html or by calling 1-800-333-0505.

Applicants who already have a DUNS number under other grant opportunities of the Assistance to Firefighters Grant (AFG) Program or any other federal program should use the same number on their FY 2012 FP&S Application.

C. System for Award Management (SAM)

On July 29, 2010, the Central Contractor Registration (CCR) was moved into the System for Award Management (SAM). The Office of Management and Budget (OMB) issued guidance to federal agencies which requires all prime recipients of federal grants to register in SAM. SAM is the primary vendor database for the US Federal Government to collect, validate, store, and disseminate data from a secure centralized system. SAM consolidated the capabilities found in CCR and other federal procurement systems into one new system.

There is no charge to register in SAM.gov. Your registration must be completed on-line at <https://www.sam.gov/portal/public/SAM/>. It is your organization's responsibility to have a valid DUNS number at the time of registration. If you had an active record in CCR, you have an active record in SAM but may need to validate your organization's information.

For registration, go to <https://www.sam.gov/portal/public/SAM/>

- A DUNS number is required to apply for a grant and to register in SAM.
- The new SAM registration is **not** a requirement to apply for a grant but as a potential grantee, you should register.
- If your city already has a DUNS number, check first to see if the city is already registered in SAM and if their SAM is current.
- SAM Registrants must revalidate their registration at least once per year to maintain an active status.

Step 1: Access the SAM on-line registration through the SAM home page.

Click **Start New Registration**. You must have a Data Universal Numbering (DUNS) number in order to begin the registration process.

Step 2: Complete and submit the on-line registration. If you already have the necessary information on hand, the on-line registration takes approximately one hour to complete, depending upon the size and complexity of your business or organization.

The necessary information includes:

1. **General Information** – Includes, but is not limited to, DUNS number, Commercial and Government Entity (CAGE) Code, company name, Federal Tax Identification Number (TIN), location, receipts, employee numbers, and web site address.
2. **Corporate Information** – Includes, but is not limited to, organization or business type and Small Business Association (SBA)-defined socioeconomic characteristics.

3. **Goods and Services Information** – Includes, but is not limited to, North American Industry Classification System (NAICS) code, Product Service (PSC) code, and Federal Supply Classification (FSC) code.
4. **Financial Information** – Includes, but is not limited to, financial institution, American Banking Association (ABA) routing number, account number, remittance address, lock box number, automated clearing house (ACH) information, and credit card information.
5. **Point of Contact (POC) Information** – Includes, but is not limited to, the primary and alternate points of contact and the electronic business, past performance, and government points of contact.
6. **Electronic Data Interchange (EDI) Information** – Includes, but is not limited to, the EDI point of contact and his or her telephone, e-mail, and physical address. (Note: EDI Information is optional and may be provided only for those businesses interested in conducting transactions through EDI.)

Once a grantee has registered within SAM, the registration is valid for 12 months. The grantee must renew his/her registration each year. If a grantee's registration is expired or inactive, the user must get his/her registration reset by calling the SAM Helpline at 866-606-8220.

D. Other Submission Requirements

All applicants are required to provide details of their projects in a written Narrative Statement as well as a specific description of the supporting budget. The Narrative Statement should correlate the proposed projects to the evaluation criteria defined below (Part V).

In the process of submitting an on-line application, all applicants should use the Web site's "save" feature often, as the electronic application includes an inactivity "time-out" feature. If no "save" activity is detected for a period of time, the "time-out" feature is activated and all information entered, but not previously saved, will be lost.

Therefore, it is recommended applicants type the Narrative Statement off-line using either a word processing program such as MSWord, Word Perfect, Notepad, etc., or the Narrative Worksheet available in the on-line applicant tutorial by using copy-and-paste to transfer the narrative text into the on-line Narrative Block to avoid losing any information.

Fire Prevention and Safety Activity

Fire Prevention and Safety Activity (FP&S Activity) Applications are limited to a maximum of five pages per project. The applicant enters information into the Narrative Text Box. The Narrative Block does not allow for formatting. Do not include tables, special fonts, graphs, and quotation marks or type your application in all capital letters.

Research and Development Activity

Research and Development (R&D) Activity Applications must comply with the following guidelines:

- Application must include one Narrative Statement and one Appendix document (per project).
- The Narrative Statement for the Research and Development (R&D) Activity is limited to 20 pages per project. The first page of the Narrative Statement must include an abstract of about 250 words that address purpose and aims, relevance, methods, and anticipated outcomes. In addition, it must include the R&D category which the project is addressing, and contact information (e-mail address and telephone number) for the principal investigator must be provided on the first page of the Narrative Statement.
- It may be useful to organize the Narrative Statement to follow the R&D Evaluation Criteria.
- All text, including references, footnotes, tables, figures, and illustrations, must be in the Narrative Statement, with total page count not exceeding 20 pages.
- All references and footnotes pertaining to the Narrative Statement must be in the Narrative Statement rather than the Appendix document. Major tables and figures may be in the Narrative Statement.
- The Appendix is limited to 20 pages per project that includes curriculum vitae and may include other items, such as data collection instruments, additional tables and figures, illustrations, specifications for product designs, and letters of commitment.
- Curriculum Vitae (CVs) for the Principal Investigator (PI) and lead scientists, as well as other key research personnel listed in the budget, are to be included in the Appendix, but are limited to a maximum of two pages per CV. Applicants are strongly encouraged to follow the biographical sketch sample (see Appendix 2 of this document) in preparing CVs.
- Font: Times New Roman or other standard font.
- Font Size: Font size must be 12 points (12 pt) or larger.
- Page Dimensions: Page dimensions must be 8.5" x 11" (21.6 cm x 27.9 cm) or smaller.
- Margins: All margins (top, bottom, left, and right) must be at least 1" (2.54cm).
- Header: The header on each page of the Narrative Statement and the Appendix should contain:

- PI (family name)
- Institution name (abbreviated)
- Project Short Title
- Page Number

Eligible Applicants: The following entities are eligible to apply directly to FEMA under this solicitation:

- 1. Fire Prevention and Safety Activity (FP&S):** Eligible applicants for this activity include fire departments, national, regional, state, local, Native American tribal organizations, and/or community organizations that are recognized for their experience and expertise in fire prevention and safety programs and activities. Both private and public non-profit organizations are eligible to apply for funding in this activity. For-profit organizations, federal agencies, and individuals are not eligible to receive a FP&S Grant Award.
- 2. Firefighter Safety Research and Development Activity (R&D):** Eligible applicants for this activity include national, regional, state, and local organizations, such as academic (e.g., universities), public health, occupational health, and injury prevention institutions. Both private and public non-profit organizations are eligible to apply for funding in this activity.

The aforementioned entities are encouraged to apply, especially those that are recognized for their experience and expertise in firefighter safety, health, and wellness research and development activities.

Under the governing statute, fire departments are not eligible to apply for funding in this activity. Additionally, for-profit organizations, federal agencies, and individuals are not eligible to receive a R&D Grant Award.

For additional information, see the *Eligibility Criteria* section of this FOA.

Type of Funding Instrument: Grant Cooperative Agreement Loan

Cost Share or Match: Cost Match Cost Share None Required

Fire departments are subject to the same cost share requirements applicable under the AFG Program. Specifically, fire departments that serve populations of less than 20,000 people must match the federal grant funds with an amount of non-federal funds equal to five percent of the total project cost.

Fire departments serving areas with a population between 20,000 and 50,000 people, inclusive, must match the federal grant funds with an amount of non-federal funds equal to 10 percent of the total project cost.

Fire departments that serve populations of more than 50,000 people must match the federal grant funds with an amount of non-federal funds equal to 20 percent of the total project costs.

All non-federal funds must be in cash, i.e., in-kind contributions are not eligible, per 15 U.S.C. § 2229(b)(6). No waivers of this requirement will be granted except for applicants located in Insular Areas as provided for in 48 U.S.C. §1469a.

Note: There is no cost share for grants under the FP&S Activity or the R&D Activity for eligible national, regional, state, local, or community organizations (other than fire departments as described above).

Grantees representing fire departments and non-affiliated EMS organizations must share in the costs of the projects funded under this grant program (15 U.S.C. § 2229(b)(6)).

Management and Administration:

Both the FP&S Activity and the R&D Activity have other costs eligible to be included in the grant request. The **combined total** of administrative, audit, indirect, and grant writer costs charged to the grant shall **not exceed three percent of the total grant award**.

- 1. Administrative Costs:** Administrative costs are allowable under the program areas listed above, in accordance with Cost Principles for Educational Institutions 2 CFR Part 220 (OMB Circular A-21), Cost Principles for State, Local, and Indian Tribal Governments 2 CFR Part 225 (OMB Circular A-87), Cost Principles for Nonprofit Organizations 2 CFR 230 (OMB Circular A-122), and Contracts with Commercial Organizations (Federal Acquisition Regulation Subpart 31.2, codified at 48 CFR Part 31.2), as applicable. (The cost principles are listed in Part VI 1.2. For more information about the Circulars, go to <http://www.whitehouse.gov/omb/circulars>.)

Administrative costs are identifiable costs that are directly associated with the implementation and management of the grant. Applicants can apply for administrative costs only if the expenses are directly related to the implementation of their proposed project and cannot exceed three percent of the award. The costs should be listed under the “other” category in the budget and explained in the Project Narrative. FEMA will **only** reimburse costs that are based on actual expenses and not on a percentage of the overall grant. Examples of eligible administrative costs include shipping, office supplies, computers, and software associated with the National Fire Incident Reporting System (NFIRS) reporting requirements.

Grant writer fees, if specifically listed on your application, are eligible and can be charged to the grant as an administrative cost in accordance with the provisions outlined (see Part VI c.). The AFG Program Office has the option to assess the reasonableness of requested administrative costs in each application and will determine what is appropriate and in the best interest of the program.

Applicants are required to provide the Grants Management Specialists with the documentation to support this pre-award expenditure, e.g., a copy of a cancelled check or bank statement.

- 2. Indirect Costs:** An indirect cost rate is an expense based on a percentage of the overall operational costs of an organization.

Applicants can charge indirect costs to the grant, but are limited to the combined total of three percent, as stated above, unless they have a previously negotiated and approved Indirect Cost Rate Agreement. This indirect cost rate is established by a federal department or agency for

the grantee's organization that the grantee uses to compute the dollar amount they can charge to the grant for indirect costs incurred during the execution of the grant agreement. (Information about Indirect Cost Rate Agreements can be found at <http://rates.psc.gov/>.)

Prior to submitting any claims for reimbursement of indirect costs, applicants must first submit a copy of their negotiated and approved Indirect Cost Rate Agreement to FEMA for review and approval. The indirect cost rate is applicable as long as it is consistent with the established terms of the agreement.

For example, some indirect cost rates may not apply to capital procurements. In these cases, indirect cost rates would not apply for grant equipment.

Indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified within a particular final cost objective. A cost may not be allocated to an award as an indirect cost if any other cost incurred for the same purpose, in like circumstances, has been assigned to an award as a direct cost.

Typical examples of indirect costs for many non-profit organizations may include depreciation or use allowances on buildings and equipment, the costs of operating and maintaining facilities, and general administration. Other general expenses, such as the salaries and expenses of executive officers, personnel administration, and accounting staff, may also be categorized as indirect costs.

Indirect costs shall be classified within the following two broad categories:

Facilities

Facilities is defined as depreciation and use of allowances on buildings, equipment and capital improvement, interest on debt associated with certain buildings, equipment and capital improvements, and operations and maintenance expenses.

Administration

Administration is defined as general administration and general expenses, such as the cost for the director's office, accounting, personnel, library expenses, and all other types of expenditures not specifically chargeable to the grant.

- 3. Audit Costs:** Recipients of federal funding that spend in excess of \$500,000 of federal funds in a fiscal year must comply, in that fiscal year, with the Single Audit Acts Amendments of 1996 (31 U.S.C. §§7501-7507); 31 U.S.C. §§503, 1111; Executive Order 8248; Executive Order 11541; and revised OMB Circular A-133.

Reasonable costs incurred for such an audit would be an eligible expenditure if included in the proposal's budget. Applicants should consider including anticipated costs of an audit if applying for a significant level of funding. FEMA does not require any other type of audit; therefore, other audit costs not related to the A-133 portion of the organizations audit are not eligible. Audit costs are considered "administrative" expenditures.

- 4. Renovation and Equipment Installation Costs:** Construction costs are not eligible under the FP&S Grants. Construction includes major alterations to a building that changes the profile or footprint of the structure.

Renovations to an existing facility are limited to minor interior alterations costing less than \$10,000. In order to be eligible, renovations must be essential to the successful completion of the grant scope of work and costs must be reasonable and justified.

Installation of fire suppression, fire alarms, or detection systems are not considered renovations and are not subject to the cost limits identified above. Fire departments who are considering installation of suppression, fire alarm, or detection systems in a fire department facility are encouraged to apply under the Assistance to Firefighters Grants (AFG) Program under Modification to Facilities.

- 5. Vehicle Costs:** Tow vehicles or other means of transport may be eligible as a transportation expense, if adequately justified in the proposal. Vehicle costs are limited to \$6,000 per application.
- 6. Pre-award Costs:** Generally, grantees cannot use grant funds to pay for products and contracted services or purchases prior to the effective date of the grant. However, expenses incurred after the application deadline, but prior to award, may be eligible for reimbursement if the expenses were justified, unavoidable, consistent with the grant's scope of work, and specifically approved by FEMA. Requests for reimbursement for pre-award costs will be considered on a case-by-case basis.
- 7. Pre-application Costs:** Expenses, obligations, commitments or contracts incurred, or entered into, prior to the application deadline are *not* eligible as a grant expense with the exception of grant preparation costs (see (8) below).
- 8. Grant Writer Fees:** Fees for grant writers may be included as a pre-award or pre-application expenditure. However, fees payable on a contingency basis are not an eligible expense. For grant writer fees to be eligible as a pre-award expenditure, the fees must be specifically identified and listed in the application.

In order to be eligible, the fees must also be paid prior to award, (e.g., paid within 60 days of the end of the application period). Applicants are required to provide the Grants Management Specialists with the documentation to support this pre-award expenditure, e.g., a copy of a cancelled check or bank statement.

Hiring a grant writer, or use of any other third parties in the preparation of the application, does not eliminate the applicant's responsibility for assuring the information contained in the application is true and correct. Grant writer fees are considered "administrative" expenditures.

- 9. Personnel Costs:** Due to the maintenance of expenditure requirement, personnel costs are eligible as long as the personnel costs are "new" to the grantee (i.e., the costs would not be incurred if it were not for the grant).

For example, in a fire prevention project, the grantee might ask for staff or firefighters to work overtime to deliver the project during off-duty hours. In this case, the overtime would not have been required if it was not for the fire prevention project.

Another example might be hiring of a new staff person to deliver the project. The grantee would incur this cost as a result of the fire prevention or R&D Project.

10. Annual Meeting (R&D Activity only): Applicant must include the costs associated with two people traveling in the United States to attend the two-day FEMA Research and Development Grantees Annual Meeting. It is required the Principal Investigator and one other senior researcher who is scientifically knowledgeable about the project attend this meeting every year of the grant duration. The main purpose of this annual meeting is for R&D Grantees to report progress on funded projects.

FULL ANNOUNCEMENT

I. Funding Opportunity Description

The Department of Homeland Security (DHS) Federal Emergency Management Agency's (FEMA) Grant Programs Directorate is responsible for the implementation and administration of the Assistance to Firefighters Grant (AFG) Program. The purpose of the AFG Program is to enhance the safety of the public and firefighters with respect to fire and fire-related hazards. The Grant Programs Directorate administers the Fire Prevention and Safety (FP&S) Grants as part of the AFG Program.

FP&S Grants are offered to support projects in two activities:

1. Activities designed to reach high-risk target groups and mitigate the incidence of death and injuries caused by fire and fire-related hazards ("Fire Prevention and Safety Activity")
2. Projects aimed at improving firefighter safety, health and wellness through research and development that reduces firefighter fatalities and injuries ("Firefighter Safety Research and Development Activity")

This Program Guidance provides potential applicants with the details of requirements, processing, and evaluation of an application for financial assistance for both of these activity areas.

The authority of the AFG Program is derived from the Federal Fire Protection and Control Act of 1974 (15 U.S.C. § 2229 *et seq.*), as amended.

In FY 2012, Congress appropriated a total of \$337.5 million under the Consolidated Appropriations Act, 2012 (Division D-Department of Homeland Security Appropriations Act, 2012), Public Law 112-74 to carry out the activities of the AFG Program.

Pursuant to the Federal Fire Protection and Control Act of 1974 (15 U.S.C. § 2229 *et seq.*), no less than five percent of the funds appropriated for the AFG Program must support fire prevention and safety activities. Therefore, no less than \$16.875 million of the FY 2012 appropriation must be awarded for fire prevention and safety activities. This, however, is the minimum required under the statute.

Recognizing the importance of fire prevention and safety projects, FEMA has reserved \$35 million for the FP&S Grant initiative.

The grants under FP&S will be awarded on a competitive basis. The appropriated funds are available for obligation by FEMA until September 30, 2013.

II. Funding Information

Award Amounts, Important Dates, and Extensions:

Available Funding for the FOA:	\$35,000,000
Projected Award Start Date(s):	03/01/2013
Projected Award End Date(s):	09/30/2013
Period of Performance:	12 months

In FY 2012, the total amount distributed under this grant will be \$35 million. Congress appropriated a total of \$337,500,000 to carry out the activities of the FY 2012 AFG Program.

However, FEMA will continue to separate FP&S Grants from AFG, and will have a separate application period devoted solely to FP&S Grants. Congress directed FEMA to administer Fire Prevention and Safety Grant Funds as indicated below.

- No less than five percent of appropriated funds (\$16.875 million in fiscal year 2012) must be made available to make grants for fire prevention activities (FP&S Grants). However, due to the importance of fire prevention activities, the FY 2012 FP&S Program has been allocated \$35 million for FP&S Grants.
- Applications are limited to a maximum federal share of \$1 million dollars, regardless of applicant type.

Period of Performance:

Is an extension to the period of performance permitted? Yes No

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 end of the period of performance and 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 timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion
- 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

Applicants under the Research and Development (R&D) Activity can propose projects that reflect a period of performance of up to three years. 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.

III. Eligibility Information

Eligibility Criteria:

Eligible Categories for the FP&S Activities	
<ul style="list-style-type: none"> • General Education/Awareness • Fire & Arson Investigation 	<ul style="list-style-type: none"> • Code Enforcement/Awareness • National/State/Regional Programs and Studies

Ineligible Activities and Items for the FP&S Projects	
<ul style="list-style-type: none"> • Educational props (i.e., tools that are used in educational or awareness demonstrations) that are not a part of an educational curriculum, a planned educational effort, or lack description of these elements • AED, CPR, or fire extinguisher training for operational staff • Fire hydrant or dry hydrant installation • Wildland fire fuel reduction projects that are prescribed burns or fuel reduction equipment • Weather/disaster notification devices (sirens, etc.) • Driver simulator training tools that are not part of a state or national education effort that leads to driver certifications compliant to NFPA 1002 or its equivalent 	<ul style="list-style-type: none"> • Fire suppression equipment, supplies, vehicles, firefighting training tools or equipment, personal protective gear, fitness equipment, or immunizations • Installation of sprinkler systems that do not include an educational component • Suppression-related training including Firefighter I, Firefighter II, wildland firefighting, training exercises, or drills for suppression or disasters activities • Communication equipment, including portable radios or computer-aided dispatch (CAD) systems • Community projects that include the use of tot finder/child finder, seniors or pet finder decals • Hydrant poles or markers • Fire-retardant house gel(s)

- Sprinkler head caps
- Development of Administrative Documents (e.g., SOPs, manuals)
- Live animals
- Firearms
- Equipment that is considered entertainment as opposed to educational tools that are part of a comprehensive program
- Fire extinguisher training for children under 14 years old
- Fire extinguisher training that is not part of a Prevention/ Education Program

- Fire safety equipment (e.g., smoke alarms, carbon monoxide detectors, surge protectors) that does not adhere to a fire service recognized standard (e.g., non-UL listed fire safety equipment)
- Alarm system and alarm system installation
- Equipment that has no intrinsic fire prevention or life safety education application
- Command Center Packages on fire safety trailers

Eligible Categories for the R&D Projects

- | | |
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| <ul style="list-style-type: none"> • Clinical Studies • Technology and Product Development | <ul style="list-style-type: none"> • Database System Development • Dissemination and Implementation Research • Preliminary Studies |
|--|---|

Ineligible Activities and Items for R&D Activities

- | | |
|--|---|
| <ul style="list-style-type: none"> • Activities that focus primarily on curriculum development and delivery of education or training materials • A descriptive study about the fire service or any study without reduced firefighter injury or enhanced firefighter safety aims • Projects with local emphasis and little or no indication of application to the broader fire service | <ul style="list-style-type: none"> • Projects that emphasize funding for service delivery • Applications that request more than one million dollars • Applications that include violations of intellectual property • Applications that do not follow the specified page size, font and margin format |
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IV. Funding Restrictions

The following two sections describe categories and specific types of eligible projects that might be proposed as a Fire Prevention and Safety (FP&S) Activity or as a Research and Development (R&D) Activity.

Example projects are described within categories as additional information to help better define the category. Proposed projects outside of the listed categories will be considered as long as the project addresses the overall goals of the FP&S Grants Program.

Fire Prevention and Safety (FP&S) Activity

FEMA desires to provide flexibility to applicants to design innovative strategies and/or unique proposals that reach for a higher level of safety for the public with respect to fire and fire-related hazards. All proposals will be evaluated on how well the applicant demonstrates the understanding of their actual community fire and safety risks. A community Risk Assessment should be used to document the “risk” as a basis for mitigation. If the applicant has evidence of a community risk, the application should be based on solving the problem that will reduce the risk. A Risk Analysis should be the foundation of the application. Risk Assessments are eligible for funding, however, if selected as an activity, no other activities may be eligible for funding in the 2012 FP&S Grants Application Year.

Accordingly, the categories eligible for funding include the following:

- General Education/Awareness
- Code Enforcement/Awareness
- Fire & Arson Investigation
- National/State/Regional Programs and Studies

The following are examples of eligible projects. This list is not intended to be an all-inclusive list of projects that will be considered. Applicants should develop projects based on their determined risks. Original, creative, and/or new approaches to enhance the safety of the public and firefighters are welcome. Applications should only consist of FP&S Projects that can be completed within the one-year grant performance period.

General Education/Awareness Priority

According to data available to FEMA and the United States Fire Administration, working smoke alarms greatly reduce the risk of fire casualties for the nation’s residents.

Therefore, **priority** will be given to programs that target a specific high risk population to conduct both door-to-door smoke alarm installations and provide home safety inspections (including sprinkler awareness), as part of a comprehensive home fire safety campaign. The comprehensive

home fire safety campaign should also include an educational component that is delivered to the occupant at the time of the installation and inspection.

Further, additional consideration will be given to applicants who incorporate provisions for deaf/hard-of-hearing alarm installations as part of their comprehensive installation and education effort (hardwiring of deaf/hard-of-hearing smoke alarms is eligible).

FEMA, through its FP&S Grants, promotes the use of long-life alarms/batteries. Dual sensor (photoelectric/ionization) smoke alarms are also recommended.

Applicants who do not plan on using long-life alarms/batteries should address the rationale for using alternatives and understand that the priority level may decrease slightly.

Other General Education/Awareness Eligible Projects (*Note: these projects will not receive a priority rating*)

Smoke Alarms: Applicants who are unable to meet the above stated funding priority (door-to-door installations and home safety inspections) for this category are still eligible to apply for smoke alarms, but will not receive a priority rating. This includes projects that encompass educational components that teach how smoke alarms work to provide early warning in case of a fire, while promoting the installation of smoke alarms and/or inspections to assure that previously installed smoke alarms are operational. Applicants who will not perform installation of the alarms should discuss in their Narrative Statement the methodology for ensuring that the alarms will be properly installed. FP&S Grants promote the use of long-life alarms/batteries, as well as dual sensor (photoelectric/ionization) smoke alarms. Applicants that do not plan on using long-life alarms/batteries should address the rationale for using alternatives.

Public Education: National or local projects that promote the reduction of injury due to fire or other safety hazards are eligible under this activity. Projects may include burn prevention, media/public relations campaigns, injury prevention, or other community risk reductions that could be justified in the Narrative Statement. Educational props (educational tools), including fire extinguisher trainers, must be part of a comprehensive and detailed public safety education campaign. Eligible items include escape planning, model homes, safety trailers, or curriculum delivery tools. Projects that will deliver training to the public in the area of automatic external defibrillators (AEDs), Cardio-Pulmonary Resuscitation (CPR), or age-appropriate fire extinguisher training will be considered. However, if the projects are for fire department operational staff, these projects should be requested under the AFG Grants.

Sprinkler Awareness: Projects that affect the entire community, such as educating the public about residential sprinklers, promoting residential sprinklers, and demonstrating working models of residential sprinklers, are

Wildland Fire Prevention Programs: Education and awareness programs that protect lives, property, and natural resources from fire in wildland/urban interface, including Community Wildfire Protection Plans (CWPP) or Firewise

<p>eligible. Installation of sprinkler systems is only eligible if proposed as part of a sprinkler educational effort.</p>	<p>programs, should be applied for under this activity. Fuel reduction demonstrations, in a targeted location as part of an awareness and education effort, are considered. Prescribed burns and fuel reduction equipment are not eligible.</p>
<p>Training: Local or regional projects to educate or train personnel in the area of public education are eligible under this activity.</p>	<p>Juvenile Firesetter Projects: Projects that are designed to mitigate the instances of fire set by children are eligible under this activity. Projects may have treatment and intervention components. The intervention components should be age appropriate.</p>
<p>General Prevention/Awareness: Projects that include general prevention initiatives, including studies, lock-box installation, Carbon-Monoxide (CO) detectors, address markers, Safe-T-elements, etc., will be eligible under this activity.</p>	<p>Risk Assessments: Applicants may request assistance to conduct formal or informal Risk Assessments of their target audience vulnerabilities with respect to fire. Note: <i>Applications that request a Risk Assessment are precluded from applying for additional projects.</i></p>

Code Enforcement/Awareness Priority

Priority is given to projects that focus on first time or reinstatement of code adoption and code enforcement.

Code Enforcement/Awareness Eligible Projects

- Assistance for the adoption or awareness of building codes
- Promotion of code enforcement to improve engineering and/or enacting fire-related ordinances for new construction
- Support for conducting inspections (including personnel costs, equipment, code books, and/or training assistance)

Fire & Arson Investigation Priority

Priority will be given to projects that aim aggressively to investigate every fire.

Fire & Arson Investigation Eligible Projects

- Costs for arson investigation trailers
- Equipment
- Arson investigator training
- Arson prevention training
- Arson-related surveillance equipment
- Personnel costs
- Educational materials
- Media equipment

National/State/Regional Programs and Studies

Priority is given to projects that focus on residential fire issues and/or firefighter safety projects or strategies that are designed to measurably change firefighter behavior and decision-making. Fire departments that wish to carry out internal, local, firefighter safety projects are encouraged to apply for this activity under the Assistance to Firefighters Grant Program.

Research and Development (R&D) Activity

The goal of the R&D Grants is to reduce firefighter fatalities and injuries and improve firefighter safety, health, and wellness.

To identify and address the most important elements of firefighter safety, FEMA looked to the fire service for its input and recommendations. In June 2005, the National Fallen Firefighters' Foundation (NFFF) hosted a working group to facilitate the development of an agenda for the nation's fire service, and in particular for firefighter safety. In May 2011, the NFFF again hosted a working group to update the agenda with current priorities. A copy of the research agenda is available on the NFFF Web site at <http://www.everyonegoeshome.com/report.pdf>.

Projects that meet the intent of this research and development agenda with respect to firefighter health and safety, as identified by this working group, will be given consideration. However, the applicant is not limited to these specific projects. All proposed projects, regardless of whether they have been identified by this working group, will be evaluated on their relevance to firefighter health and safety.

Applicants are encouraged to seek partnerships with the fire service that will support the ongoing project efforts from design through dissemination and implementation (of positive results). It would be appropriate for most applications to include one or more local or regional fire departments and one or more national or international level fire-related organizations.

Since FP&S R&D Grants aim to improve the safety, health, and wellness of firefighters, having strong partnerships with the fire service is essential to the likely relevance and effectiveness of the project. Letters of commitment to actively participate in the project from the fire service are encouraged and may be inserted in the Appendix.

Applicants should consider focusing R&D Proposals on major causes, and/or types of firefighter fatal and non-fatal injuries. The leading causes of death among firefighters are listed below, highest to lowest:

- Overexertion/cardiovascular, being struck by or coming in contact with an object, and being trapped¹
- Strains, sprains, and muscular pains
- Wounds, cuts, bleeding, and bruises
- Burns and smoke/gas inhalation²

Reports of near miss events include clusters of cases regarding falls, loss/trapped/disoriented firefighters, structural collapses, and power lines.

Cost effectiveness analysis is encouraged, in clinical, technology and product development, and dissemination and implementation projects.

The cost effectiveness portion of the project, and the expert staff such as the economists who lead them, should be integrated into the overall proposal. This will ensure relevant measures are included from the early study development stage onward, so all essential costs of implementing the new program, policy, and products are captured.

Such cost data may include, for instance, costs for orientation and training, product purchase, product maintenance, new personnel (if additional staffing is involved), and facilities. The original research investment, such as cost of sample recruitment, retention, and intervention should not be included.

¹ Fahy, Rita F., Paul R. LeBlanc and Joseph L. Molis, (June 2011), "Firefighter Fatalities in the United States – 2010," *National Fire Protection Association: Fire Analysis and Research Division*. Retrieved from <http://www.nfpa.org>

² Karter, Jr., Michael J., and Joseph L. Molis, (October 2010), "US Firefighter Injuries - 2009," *National Fire Protection Association: Fire Analysis and Research Division*. Retrieved from <http://www.nfpa.org>

Outcome cost measures may include estimates for injury cost savings, insurance reductions, staff replacement reductions, etc. Outcome calculations may be based on actual injury data or surrogate marker data if based on known risk factors.

Where local data does not exist, national surveillance data may be used, as long as the assumptions are specified. Ultimately, the use of cost effectiveness results will be based on the overall study being successful and finding that firefighter safety, health, and wellness was improved by the program, policy, or product.

All proposed R&D Activities must address the potential for improvement in firefighter safety, health, or wellness.

Proposed projects must address the potential for reduction in firefighter fatalities or injury outcomes or provide strong justification proposed outcomes can be readily linked to injury outcomes.

The following are descriptions of five R&D Activity categories not in order of importance. This list is not intended to be an all-inclusive list of projects that will be considered. Applicants may also find the list of previously funded R&D projects on the AFG Web site at <http://www.fema.gov/firegrants>.

Clinical Studies

Clinical R&D Activities include projects that address behavioral, social science, and cultural research as well as physiological and medical research activities.

Such studies must address the relevant aspects of reducing fatal and non-fatal injuries among firefighters as well as, where possible, have rigorous design that permits attribution of results to the intervention.

In addition to being relevant and rigorous, each study should target the appropriate level of investigation, based on the state of the science.

At the most basic level, the study might be foundational, investigating the underlying risk and protective factors associated with certain injury outcomes.

These may include the following:

- Individual level characteristics
- Departmental/organizational policies
- Firefighters behavioral practices and norms
- Environmental factors

Where evidence exists to progress to more applied research, the study should emphasize intervention development and testing for effectiveness, including in the field setting. For instance, if certain tests in clinical care settings are known to identify those at risk for cardiovascular events, then the study may focus on modification, if necessary, and implementation of such tests in fire service settings. To ensure study rigor, the study's design would use a randomized control trial, with comparison to usual care. Inclusion of a cost-effectiveness analysis is strongly encouraged.

Where the effectiveness of an intervention has been established in the field setting, the final level of study aims to improve science to practice goals by conducting dissemination and implementation research. Such study may investigate the impact of strategies for widespread implementation with fidelity (See Dissemination and Implementation R&D).

Technology and Product Development

Technology and product development activities include projects that result in outcomes that can enhance safety of firefighter activities. Firefighter safety can be improved through greater understanding of fire phenomena inside and outside structures, the development of products to enhance firefighter situational awareness and effectiveness, and the use of fire protection strategies and products to minimize the development of fire hazards. Projects can develop new technology or adapt existing products and technology to new uses.

Projects shall address the safety of firefighters for all types of fire incidents including residential, commercial, industrial, and wildland fires. Technology and product development projects can address fire and firefighting hazards by making use of technology transfer opportunities in which existing technologies can be adapted to enhance firefighter safety.

As the intention of the R&D Activities is to deliver outcomes that can be applied to improve firefighter safety, it is critical that projects assess the use of the products and technology by the fire service under realistic fire conditions.

Technology and product development projects need to access the ultimate practicality of deployment and use of the results by firefighters during actual firefighting operations. In making a selection of fire department and/or fire service organization partners, consideration should be given to the capabilities of the partners to assist in the evaluation of the project outcomes.

Database System Development

Database systems are used for the systematic collection of information that aims to determine the predictors and correlates for incidents pertaining to fatal and non-fatal injuries. The focus of the data collection may be, but is not limited to:

- Firefighter demographic and health factors (e.g., age, blood pressure)
- Firefighter employment factors (e.g., shift, volunteer, training)
- Firefighter safety behaviors (e.g., seat belt use, hydration)
- Firefighting equipment
- Personal protective equipment (PPE)
- Departmental/organizational safety policies and practices

- Cultural or social norms regarding injury prevention practices
- Community-based resources (e.g., hospitals, communication systems)
- Environmental factors such as local building structures, types of building materials

Applications may, for instance, focus on the design and feasibility of a new database system, expand variables and/or data collection methods, seek to build upon an existing database system, or move from a local level database system to a broader state or regional level system.

Dissemination and Implementation Research

Applications may propose dissemination and implementation research projects including the ways new programs, policies, or products, with credible evidence of effectiveness, are moved to nationwide adoption and use. Credible evidence of effectiveness is defined as positive results from systematic and rigorous study, and the absence of negative results or side effects.

For instance, this category may be used to apply to conduct a study for the dissemination and implementation of a result from a prior firefighter safety, health, and wellness R&D Activity, provided the project resulted in success as represented by publication in a peer review journal or other expert review of findings deemed appropriate by the grantor.

Preliminary Studies

Project ideas may require information, evidence, experimentation, and study in order to justify a larger and complete project that can impact firefighter safety, health, and wellness. Preliminary studies of one-year duration may be proposed to obtain a sufficient amount of evidence to justify a future larger study. Preliminary studies, while more narrow in scope, must have the same high levels of scientific rigor and relevance to the fire service as studies in other R&D categories. The successful completion of a preliminary study does not result in special priority for the larger follow-on proposal submitted in a subsequent application period. The level of funding requested should be appropriate to the limited goal and purpose of the preliminary effort.

V. Application Review and Selection Information

Application Review Information

Pre-Screening Process

Program staff will screen submitted applications to affirm the eligibility for award of both the applicants and projects. Ineligible applications will not be considered for funding. For R&D Applications, a

technical panel of reviewers will be assigned that includes science and technology experts who have expertise pertaining to the subject matter of the proposal.

National, state, and local organizations are eligible to apply under both the FP&S Activity and the Firefighter Safety R&D Activity on the same application, with as many as three projects per activity. Each project within an application must be presented separately as a free-standing proposal. Please note that each department or organization can submit only one application per application period. Applicants that choose to apply for separate projects under both activities should do so within one application. Each project within such an application will be scored independently using the established evaluation criteria.

Technical Evaluation Process – Fire Prevention and Safety Activity

All eligible applications will be evaluated by a Technical Evaluation Panel (TEP). The TEP is comprised of a panel of Peer Reviewers. The TEP will assess each application's merits with respect to the detail provided in the Narrative Statement on the activity, including the evaluation elements listed in the "Evaluation Criteria" section (see Part V of this document).

The panel of Peer Reviewers will independently score each project within the application, discuss the merits and/or shortcomings of the application, and document the findings. A consensus is not required. The highest ranked applications will receive further technical review to assess strengths and weaknesses, how readily weaknesses may be resolved, and the likely impact of the proposed activities on the safety of the target audience.

Technical Evaluation Process – Research and Development Activity

For R&D Applications, a technical panel of reviewers will be assigned that includes scientists who have of expertise pertaining to the subject matter of the proposal.

The panel will assess each application's merits with respect to each criterion listed in the "Evaluation Criteria" section below.

Reviewers will independently score each application and, if necessary, discuss the merits or shortcomings of the application in order to reconcile any major discrepancies identified by the reviewers. A consensus is not required. The highest ranked applications, based on the average score, will receive further technical review by a panel comprised of members of the fire service to assess relevance, meaning the likely impact of the proposed R&D Project to enable improvement in firefighter safety, health, or wellness.

With input from these panels, for the highest ranked applications, the AFG Office will review each application's strengths and weaknesses, how best the strengths fit the priorities of the AFG Program, and how readily the weaknesses may be resolved to support likely impact of the project to improve firefighter safety, health, or wellness.

Application Selection Process

Evaluation Criteria for Projects under the Fire Prevention and Safety Activity

The characteristics listed below will be used as guidelines for making funding decisions on FP&S Projects. The extent to which projects reflect the characteristics below will be assessed by the TEP and will impact the likelihood that a project will be funded.

The relative weight of the evaluation criteria in the determination of the grant award is listed below.

- 1. Vulnerability Statement (20%):** The assessment of fire risk is essential in the development of an effective project goal, as well as meeting FEMA's goal of the conduct of risk analysis as a basis for action.

As such, the presence of a process that takes into account the characteristics of an area or jurisdiction (e.g., population features) is important in an objective or reasoned approach to addressing the fire hazard in a community, regional area, state, or the nation.

Therefore, the applicant should summarize the vulnerability the project will address in a concise statement.

The Vulnerability Statement should include a description of the steps taken to determine the vulnerability and identify the target audience. The methodology for determination of vulnerability should be discussed in-depth in the application's Narrative Statement.

The specific vulnerability that will be addressed with the proposed project can be established through a formal or informal Risk Assessment. Applicants should use their own local statistics, rather than national statistics, when discussing the vulnerability.

For the purpose of the FY2012 FP&S Application, formal Risk Assessments consist of the use of software programs or recognized expert analysis that assess risk trends.

Informal Risk Assessments could include an in-house review of available data (e.g., NFIRS) to determine fire loss, burn injuries or loss of life over a period of time, and the causative factors for each occurrence.

- 2. Implementation Plan (20%):** Projects should provide details on the implementation plan which discusses the proposed project's goals and objectives. The following information should be included to support the implementation plan:
 - Details regarding the methods and specific steps that will be used to achieve the goals and objectives.
 - Where applicable, examples of marketing efforts to promote the project, who will deliver the project (e.g., effective partnerships), and the manner in which materials or deliverables will be distributed.
 - Requests for props (i.e., tools used in educational or awareness demonstrations) must include specific goals, measurable results, and details on the frequency for which the

prop will be utilized as part of the implementation plan. Applicants should include information indicative of the various outreach efforts that will be conducted and/or the number of people reached through the proposed project (examples of props include safety trailers, puppets, robots, or portable safety houses).

3. **Evaluation Plan (20%):** Projects should incorporate an evaluation of their effectiveness and should identify measurable goals. Applicants seeking to carry out awareness and educational projects, for example, should identify how they intend to determine that there has been an increase in knowledge about fire hazards, or measure a change in the safety behaviors of the audience. Using various means of assessment that measure the knowledge gained by the demonstration may include surveys or documented observations.
4. **Cost-Benefit (15%):** Projects will be evaluated on the extent to which they demonstrate a high benefit for the cost incurred and maximize the level of funding that goes directly into the delivery of the project. The costs associated with the project must also be reasonable for the target audience that will be reached. Providing justification for costs assists the TEP with this review.
5. **Sustainability (15%):** Each project will also be evaluated to determine whether the overall activity will be sustained beyond the grant performance period and whether it has a greater potential for long-term benefits. Examples of sustainable projects can be illustrated through the long-term benefits derived from the delivery of the project, the presence of non-federal partners likely to continue the effort, or the demonstrated long-term commitment of the applicant.
6. **Financial Need (10%):** Applicants should provide details on the need for financial assistance to carry out the proposed project(s). Included in the description might be other unsuccessful attempts to acquire financial assistance or specific examples of the applicant's operational budget.
7. **Experience and Expertise (additional consideration):** Applicants that demonstrate their experience and ability for conducting fire prevention and safety activities, as well as executing the proposed or similar project(s), will receive additional consideration.
8. **Performance (additional consideration):** Applicants that have a proven track record for timely project completion and satisfactory performance in other AFG, FP&S, and SAFER Awards will receive additional consideration.
9. **Funding Priorities (additional consideration):** Applicants that meet the stated funding priority for the applicable category will receive additional consideration.
 - a. **Meeting the needs of people with disabilities (additional consideration):** Applicants in the General Education/Awareness category will receive further additional consideration if, as part of their comprehensive smoke alarm installation and education program, they address the needs of people with disabilities (e.g., deaf/hard-of-hearing, etc.) in their community.

Evaluation Criteria for Projects under the Firefighter Safety Research and Development Activity

How well the application addresses the criteria and additional considerations listed below will be used as the guidelines in making funding decisions. The extent to which projects reflect these characteristics will be assessed in the technical evaluation using the weighted evaluation criteria (Items 1 - 8) to score the project. These scores will impact the ranking of a project for funding. In addition, other considerations are indicated (Items 9-10) in the list below:

- 1. Project purpose(s), goals and objectives, and specific aims (15%):** Applicants need to address how the purposes, goals, objectives, and aims will lead to results that will improve firefighter safety, health, and wellness, particularly in the short term. For multi-year projects, greater detail should be given for the first year. Also, describe the specific goals and objectives for the second and third year.
- 2. Literature Review (10%):** With reference to the project's goals, objectives, and specific aims, provide a literature review that includes citations in the text and references at the end of the Narrative Statement (and not in the Appendix). The review should be in sufficient depth to make it clear that the proposed project is necessary, adds to an existing body of knowledge, is different from current studies, and offers a unique contribution.
- 3. Project Methods (20%):** This is a description of how the project will be carried out, including demonstration of the overall scientific and technical rigor and merit of the project. This provides the operations to accomplish the purpose, goals and objectives, and the specific aims previously stated. Plans to recruit and retain human subjects, where applicable, should be described. Where human subjects are involved in the project, describe plans for submission to the Institutional Review Board (IRB) (see Appendix 1 for further guidance and requirements).
- 4. Project Measurements (10%):** Provide evidence of the technical rigor and merit of the project, such as data pertaining to validity, reliability, and sensitivity (where established) of the equipment, instruments, standards, and procedures that will be used to carry out the specific aims previously stated. Data is collected to evaluate the performance of methods, technologies, and products proposed to enhance firefighter safety, health, and wellness. Measurement methods and equipment selected for use should be appropriate and sufficient to the project objectives.
- 5. Project Analysis (10%):** Indicate the planned approach for analysis of the data obtained from measurements, questionnaires, or computations. Specify within the plan what will be analyzed, the statistical methods that will be used, the sequence of steps, and interactions as appropriate. It should be clear that the PI and research team have the expertise available to perform the planned analysis and defend the results in a peer review process.
- 6. Resources - People and Facilities (15%):** Describe the strengths of the PI, the lead scientists, and other staff of the research and development team, especially with regard to similar R&D Activities, studies involving the fire service, and successful completion of prior grant-funded research and development. Also describe the institutional resources (e.g., labs, experimental facilities) to be used to support and carry out the proposed project. Emphasis should be given to unique people and facilities that contribute substantially to the project.

- 7. Partners (10%):** Describe the fire service partners that will support the ongoing project efforts from design through dissemination and implementation (of successful results). The specific roles and contributions of the partners to the project should be described. Partnerships may be formed with local and regional fire departments and also with national fire-related organizations. Because AFG R&D Grants aim to improve the safety, health, and wellness of firefighters, having strong partnerships with the fire service is essential to the likely relevance and effectiveness of the project. Letters of commitment to actively participate in the project are encouraged and may be submitted in the Appendix.
- 8. Dissemination and Implementation (10%):** Indicate dissemination plans for scientific audiences (such as plans for submissions to specific peer review publications) and for firefighter audiences (such as via Web sites, magazines, and conferences). Also, assuming positive results and where applicable, indicate future steps that would support dissemination and implementation throughout the fire service. These are likely to be beyond the current study. All applicants should specify how the results of the project, if successful, might be disseminated and implemented in the fire service to improve firefighter safety, health, and wellness, especially in the short term. It is expected that successful R&D Activity Projects may give rise to future programs including FP&S Activity Projects.
- 9. Cost vs. Benefit (additional consideration):** Cost vs. benefit in this evaluation element refers to the costs of the grant for the research and development project vs. benefits that are projected for firefighters who would have improved safety, health, and wellness. Projects will be evaluated on the extent to which they demonstrate a high benefit for the cost incurred.
- 10. Financial Need (additional consideration):** In their Narrative Statement, applicants should provide details on the need for federal financial assistance to carry out the proposed project(s).

Other Selection Information

Awards will be made using the results of peer-reviewed applications as the primary basis for decisions, regardless of activity. However, there are some exceptions to strictly using the peer review results.

Fire departments that have received funding under the AFG in previous years are eligible to apply for funding in the current year. However, due to our responsibilities under the authorizing statute, to assure adequate distribution of awards among certain types of organizations (career, combination, and volunteer) and certain types of communities (urban, suburban, or rural), we reserve the right to fund or not to fund previous grant recipients under this program in order to fulfill statutory requirements. We may also take into account an applicant's performance on prior grants when making funding decisions on current applications.

Once every application in the competitive range has been through the technical evaluation phase, the applications will be ranked according to the average score awarded by the panel.

The ranking will be summarized in a Technical Report prepared by the AFG Program Office. The AFG Program Office will make award recommendations to the Grants Management Specialists in Grant Operations (GO) within the Grant Programs Directorate. The Grants Management Specialists will contact the applicant to discuss and/or negotiate the content of the application and SAM.gov registration before making final award decisions.

VI. Post-Selection and Pre-Award Guidelines

Notice of Award:

Upon approval of an application, the award will be made in the form of a grant. The date the approval of award is entered in the system is the “award date.” For the AFG FP&S Grants, notification of award approval is made through the e-Grants system through an automatic email to the grantee point of contact listed in the initial application. Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under federal awards.

AFG/FP&S Award amendments may be approved on a case-by-case basis for the following:

- Period of performance (extension request)
- Scope of work (change)
- Cost over/under run (adding funds)

Amendments will only be considered when submitted via the e-Grant system on-line. These requests must contain specific and compelling justifications for the requested change.

Any unobligated funds will be de-obligated at the end of the closeout period. AFG strongly encourages the timely expenditure of grant funds by grantees consistent with the goals and objectives outlined in AFG Programs.

Administrative and Federal Financial Requirements:

All successful applicants for all DHS Grant and Cooperative Agreements are required to comply with DHS Standard Administrative Terms and Conditions available on Page 6 of <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

A complete list of Federal Grants Management forms is available at http://www.whitehouse.gov/omb/grants_forms.

Programmatic Reporting Requirements:

Grantees are obliged to submit various financial and programmatic reports as a condition of their award acceptance. Please see below for a summary of financial and/or programmatic reports as required. ***Future awards and fund drawdowns may be withheld if these reports are delinquent.***

1. **Federal Financial Report (FFR) – required semi-annually:** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425), replacing the SF-269 and SF-272, which is due within 30 days of the end of each semi-annual period. A report must be submitted for every six months after the grant’s award date and every six months after if applicable. Future awards and fund drawdowns may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs

must be filed electronically through e-Grants system.

2. **AFG Semi-Annual (Programmatic) Performance Report:** 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 a programmatic Performance Report using the e-Grants system. The programmatic Performance Report is due six months after the grant's award date, and every six months after if applicable.
3. **Exercise Evaluation and Improvement:** Exercises implemented with grant funds should evaluate performance of the capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program located at <https://hseep.dhs.gov>.
4. **Reporting requirements under the Federal Funding Accountability and Transparency Act of 2006 (FFATA) (Public Law 109-282), as amended by Section 6202(a) of the Government Funding Transparency Act of 2008 (Public Law 110-252):** As defined by the OMB, all new federal awards of \$25,000 or more as of October 1, 2010, are subject to FFATA reporting requirements. "Federal awards" include not only prime awards for grantees, cooperators, and contractors, but also awards to sub-recipients. More information can be found at <http://www.usaspending.gov/learn?tab=What%27s+New>.
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_compliance_supplement_2011. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. The state shall require that sub-grantees 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.

The grantee shall give FEMA, the sponsoring agency, through any authorized representative, access to, and the right to examine all records, books, papers, or documents related to the grant and use and management of these funds.

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.

Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each federal assistance award and will identify areas where technical assistance, corrective actions, and other support may be needed.

The recipient is responsible for monitoring all sub-award activities to ensure compliance with federal and state laws, regulations, and guidance. Responsibilities include the accounting of

receipts and expenditures, cash management, maintaining of adequate financial records, reporting and refunding expenditures disallowed by audits, monitoring, or other assessments and reviews.

7. Grant Closeout Process: Within 90 days after the end of the period of performance, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. 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 period of performance 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 drawdown but remain as unliquidated on grantee financial records.

8. Required performance and financial reports for Grant Closeout:

- Final performance report narrative (within the Close-Out module in e-Grants) is due 90 days after the end of the period of performance
- Final SF-425 is due 90 days after the end of the grant period

VII. DHS/FEMA Contact Information

This section describes several resources that may help applicants in completing a FEMA Grant Application.

1. Assistance to Firefighters Grant Help Desk

Please contact the AFG Program Help Desk with your questions or comments by calling 1-866-274-0960 or sending an e-mail to firegrants@dhs.gov. Additional guidance and information can be obtained by visiting the AFG Web site at <http://www.fema.gov/firegrants/>.

2. FEMA Regions

FEMA Regions will provide support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. For a list of contacts, please go to <http://www.fema.gov/about/contact/regions.shtm>.

3. 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 a.m. – 6:00 p.m. (EST).

4. Grant Programs Directorate (GPD)

FEMA GPD's Grant Operations will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or by e-mail at ASK-GMD@dhs.gov.

VIII. How to Apply

DHS makes all funding opportunities available through the common electronic "storefront" Grants.gov, accessible on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions, please call the Grants.gov customer support hotline at (800) 518-4726.

Applications are accessible via <http://www.fema.gov/firegrants>. The automated application is designed with help screens and drop-down menus to assist the applicant throughout the application process. Applicants can save their work and retrieve it for updates and revisions through the end of the application period.

IX. Application and Submission Information

Applicants will obtain FOA Overviews and Full Announcement information from the Grants.gov web site where the full FOA is posted.

For a hard copy of the full announcement, please call

Assistance to Firefighters Grant Help Desk

1-866-274-0960

Applications will be processed through <http://www.fema.gov/firegrants>.

FIRE PREVENTION AND SAFETY GRANTS PROGRAM

What's New – Fact Sheet

New Tools

Get Ready Guide – A handy guide to give you a kick start in prepping your grant application and better prepare you to thoroughly answer the application questions is available at <http://www.fema.gov/firegrants>.

Quick Reference Guide – A reference guide to assist you in answering application questions and funding priorities is available at <http://www.fema.gov/firegrants>.

Appendices

Appendix I is intended to help applicants during the application phase of a particular preparedness grant program.

Appendix II is intended to help grantees understand the rules and regulations associated with administering federally funded grant awards.

- **Appendix I – Application and Review Information**

- Part I. Introduction

- Part II. Award Information

- Part III. Eligibility Information

- Part IV. Human Subject Research

- **Appendix II – Award Administration Information**

- Part I. Award Administration Information

Appendix I

APPLICATION AND REVIEW INFORMATION

Part I. INTRODUCTION

The Department of Homeland Security (DHS) Federal Emergency Management Agency's (FEMA) Grant Programs Directorate is responsible for the implementation and administration of the Assistance to Firefighters Grant (AFG) Program. The purpose of the AFG Program is to enhance the safety of the public and firefighters with respect to fire and fire-related hazards. The Grant Programs Directorate administers the Fire Prevention and Safety (FP&S) Grants as part of the AFG Program.

This Appendix provides potential applicants with the details of requirements, processing, and evaluation of an application for financial assistance for both of these activity areas.

A. Criteria Development Process

Each year, FEMA convenes a panel of fire service professionals to develop the funding priorities for AFG Grant opportunities in the coming year. The nine major fire service organizations represented on the panel include the following:

- International Association of Fire Chiefs
- International Association of Fire Fighters
- National Volunteer Fire Council
- National Fire Protection Association
- National Association of State Fire Marshals
- International Association of Arson Investigators
- International Society of Fire Service Instructors
- North American Fire Training Directors
- Congressional Fire Service Institute

The panel is charged with making recommendations to FEMA regarding the creation and/or modification of previously established funding priorities as well as developing criteria for awarding grants. The content of this Program Guidance for the Fire Prevention and Safety Grants reflects implementation of the criteria development panel's recommendations with respect to the priorities, direction, and criteria for awards. Based on the recommendations provided by the Criteria Development Panel, funding priority will be given to applications that effectively address the evaluation elements as outlined in *Part V*. of this document.

Part II.

AWARD INFORMATION

Specific Funding Parameters

Fire departments that receive funding through the FY 2012 AFG Program for training, equipment, vehicles, etc., are also eligible to receive funding for fire prevention and safety activities under the FY 2012 FP&S Grants.

However, if a single fire department receives a FP&S Grant (\$1 million limitation per FP&S Grant) and they also receive an AFG Grant in the same fiscal year, the combined funding level of grants awarded through the AFG and FP&S Programs to any single fire department is limited by the governing statute (i.e., Federal Fire Prevention and Control Act of 1974) to a specific amount of federal dollars (shown below) for each fiscal year.

- Applicants who serve a jurisdiction with a population of 500,000 people or less may not receive grant funds in excess of \$1,000,000 for any fiscal year.
- Applicants who serve a jurisdiction with more than 500,000 people, but not more than 1,000,000, people may not receive grant funds in excess of \$1,750,000 for any fiscal year.
- Applicants who serve a jurisdiction of more than 1,000,000 people may not receive grant funds in excess of \$2,750,000 for any fiscal year.

Part III.

ELIGIBILITY INFORMATION

A. Multiple Projects

Applicants may submit only one FP&S Grant application per FP&S application period. However, an applicant may request financial assistance for as many as three projects. The following examples are two approaches for organizing one application.

Example 1

A community has a strategic goal of reducing the number of fires caused by the use of barbecue grills on the balconies of apartments. Attainment of this goal will be supported through two projects.

The applicant plans to:

1. Launch a public education project
2. Strengthen code enforcement activities

While both projects aim to reach the same goal, the projects are independent of one another and will be funded as such. Therefore, the public education items would be listed as one supporting project and the code enforcement items listed as the second supporting project.

Although both projects will be included in one application, the projects must be independent in that the completion of one project, or any tasks within that project, does not depend on the funding of the other project. Each project requires its own separate supporting budget and Narrative Statement explaining how accomplishing these independent projects will help achieve the overall goal.

Example 2

A community or organization may have more than one strategic goal depending on its audience or risk.

For example, a national organization may have a goal to reduce firefighter fatalities through a national outreach project. It may also have a goal to study the effectiveness of public education messages. The organization would create one project for firefighter safety initiatives and a second project for national public education efforts.

B. Reasonableness of Request

The Technical Evaluation Panel (TEP) will consider all expenses budgeted as part of the cost benefit determination and may recommend appropriate adjustments. Regardless of the eligibility of any costs requested or the panelists' determination, FEMA reserves the right to reduce any requests for assistance, in whole or in part, that it deems to be excessive or otherwise contrary to the best interests of the AFG/FP&S Program.

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 assistance through grants, contracts, and other activities. The NIMS provides a consistent nationwide template to enable all levels of government, tribal nations, non-governmental 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 2012 NIMS implementation must be considered prior to allocation of any federal awards in FY 2012. The primary grantee/administrator of FY 2012 AFG Award Funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

Part IV.

HUMAN SUBJECTS RESEARCH

The information in this appendix pertains only to those studies that include human subjects. Human subjects may be, for instance, firefighters who participate in laboratory or field testing. As it would be standard practice for such research in the clinical sciences, all Principal Investigators (PIs) with studies involving human subjects must submit their protocols to their local Institutional Review Board (IRB). IRB approval must precede any research activities involving human subjects.

In addition, DHS-funded research that involves human subjects carries with it an additional obligation that involves review and approval by the DHS Regulatory Compliance Office (RCO). The AFG Program Office will serve as liaison for your gaining DHS approvals prior to proceeding with the human subjects aspects of your project.

If the project is non-clinical, such as a technology project that is primarily product development with an emphasis on engineering, it is possible that such a project may be exempt from RCO review and approval. Such determination will be made by the FEMA/AFG Program Office following award.

DHS/FEMA has a responsibility to ensure that mechanisms and procedures are in place to protect the safety of human subjects in DHS/FEMA supported research. DHS requirements are set forth in Management Directive 10300, which adopts 45 Code of Federal Regulations (CFR) Part 46, Subparts A-D. A grantee must agree to meet all DHS requirements for studies using human subjects (and ensure any sub-grantees or sub-contractors meet those requirements) prior to implementing any work with human subjects. Therefore, before enrolling participants or commencing research involving human subjects, a grantee will provide a copy of the following for review and approval by the DHS Regulatory Compliance Office (RCO):

- Department of Health and Human Services (HHS) Federal-wide Assurance (FWA) Number [Note: The RCO will assist domestic or international institutions that do not currently have a FWA in submitting an application to HHS.]
- Documentation of review by an Institutional Review Board (IRB) registered with HHS, including IRB registration number, IRB name, and notice of IRB approval or exemption of the relevant research
- IRB-approved research protocol
- IRB-approved informed consent document (template) or IRB waiver of informed consent

Documentation should be submitted to the AFG Program Office which coordinates directly with the RCO. The RCO will conduct a regulatory compliance assessment and forward comments or concerns to the grantee. The grantee must address in writing all regulatory concerns to the satisfaction of the RCO before a letter of certification is issued and participant enrollment can begin. However, development of tools (e.g., survey instruments), protocols, and data gathering approaches may proceed prior to project certification. The grantee must submit annual reports to the RCO to include evidence of subsequent IRB reviews, amendments, or any changes of protocol.

BIOGRAPHICAL SKETCH SAMPLE

Applicants for the Research and Development (R&D) Activity should provide Curriculum Vitae (CVs) for PIs and also for lead scientists in the appendix. The application is limited to a maximum of two pages per CV.

Font: Minimum 12pt; Times New Roman or Arial; Pages: Maximum two

Must be completed by: PI and Co-PI(s)

NAME (Last, First, Middle)		POSITION TITLE	
Institution/Organization			
EDUCATION/TRAINING <i>(Begin with baccalaureate or other initial professional education, such as nursing, and include postdoctoral training.)</i>			
INSTITUTION AND LOCATION	DEGREE <i>(if applicable)</i>	YEAR(s)	FIELD OF STUDY

- A. Positions.** List all appointments or other professional positions held, beginning with your present position and include years, title, organization, city, state, and country.
- B. Service.** Include all positions held on advisory committees or other working groups, including all Federal Government advisory committees or other public working groups, beginning with most recent.
- C. Honors.** Include all honors received in past 10 years and selected others.
- D. Peer reviewed publications.** Include all peer reviewed publications in past 10 years, beginning with most recent, and selected others.
- E. Other publications.** Include all documents produced in past 10 years, beginning with most recent, and selected others.
- F. Research Support.** List funding sources and amounts for all ongoing and completed research projects (federal and non-federal support) for past 10 years and selected others.

Appendix II

AWARD ADMINISTRATION INFORMATION

Part I.

AWARD ADMINISTRATION INFORMATION

A. Grantee Responsibilities

Fire Prevention and Safety (FP&S) Grant award recipients (grantees) must agree to the following responsibilities:

1. Grantees must perform all tasks (scope of work) as outlined in the grantee's application, receive approval by FEMA, and comply with all special conditions in accordance with the articles of agreement and within the period of performance. Grantees that do not fulfill their obligations under these grants will be considered in default and may be required to return the federal funds disbursed under the grant award.
2. Grantees must retain grant files and supporting documentation for three years after receipt of the official notification of the grant being closed. FEMA may require access to any pertinent books, documents, papers, or records belonging to a grant recipient. The DHS Office of Inspector General or the Comptroller General of the United States may also require access to a grantee's books and records.
3. Grantees must provide periodic performance reports in conjunction with the automated payment requests to FEMA. Payments are requested on-line using the automated system, and payments are based on actual expenses incurred during the period covered by the payment request.

At the end of the grant's period of performance, all grantees are required to produce a final report on how the grant funding was used and the benefits realized from the award. Grantees must submit a final financial report and a final performance report (i.e., closeout report) within 90 days after the end of the period of performance. After these reports have been reviewed and approved by FEMA, grantees are given an official notice that the closeout has been accepted and completed. Any remaining grant funds are deobligated. The grantee is responsible for returning any funds that have been drawdown but remain unliquidated.

4. Grantees must administer the grant in accordance with the administrative rules for federal grants and cooperative agreements, specifically 44 CFR part 13.
5. Grantees must follow the audit requirements of OMB Circular A-133, Audits of states, local governments, and non-profit organizations, which call for grantees who expend \$500,000 or

more in federal funds in a year (from all federal sources) to have a single audit performed in accordance with the Circular. (For more information about the Circulars, go to <http://www.whitehouse.gov/omb/circulars>.)

6. Homeland Security Presidential Directive-5 requires that, beginning October 1, 2005, all recipients of federal preparedness funds (including recipients of federal grants and contracts) adopt the National Incident Management System (NIMS) as a condition for the receipt of the federal funds.

Recipients of FY 2012 Fire Prevention and Safety (FP&S) Grants will be considered to be in compliance with the NIMS requirement if the grantee

- a. Has an operational knowledge of the Incident Command System (ICS);
- b. Has an understanding of NIMS' principles and policies; and
- c. Agrees to adopt and/or comply with all directives, ordinances, rules, orders, edicts, etc., passed down by the local or state authorities with respect to incident management.

Responders who have already been trained in ICS do not need retraining if their previous training is consistent with DHS standards. In order for us to document compliance, grantees will be required to certify their compliance with the NIMS/ICS requirements as part of their grant closeout process. Grantees may contact their State Emergency Preparedness Officer or State Fire Marshal for local NIMS compliance requirements.

7. **Competition:** Grantees may use their own procurement procedures, which reflect applicable state and local laws and regulations, provided the procurements conform to applicable federal laws and standards. All procurement transactions shall be conducted in a manner that provides, to the maximum extent practical, open and free competition. Grantees are expected to promote competition and ensure advantageous pricing by soliciting bids from multiple vendors.

Purchases shall be made from the vendor whose bid is responsive to the solicitation and is most advantageous to the grantee when price, quality, and other factors are considered. Grantees who fail to adhere to their own procurement policy, or otherwise fail to fully compete any purchase involving federal funds, may be subject to questioning and subsequently disallowed costs.

8. **Documentation:** Grantees are required to maintain and retain documentation such as bids, quotes, and cost/price analyses on file for review by federal personnel.

The required documentation for federally funded purchases should include specifications, solicitations, competitive quotes or proposals, basis for selection decisions, purchase orders or contracts, invoices, and cancelled checks. Grantees who fail to document purchases may find their expenditures will be questioned and possibility disallowed.

- 9. Specification:** Specifications shall clearly show all requirements the bidder will fulfill in order for the bid or offer to be evaluated. However, those specifications may not be so narrowly constructed or contain features that limit, restrict, or eliminate competition unnecessarily.

Grantees may, when developing solicitations, list factors that will be used in their evaluation of proposals as long as those evaluation factors are not found to limit competition. Finally, grantees cannot impose in-state or local geographical preferences in the evaluation of bids or proposals.

Applicants and grantees are encouraged to obtain product information from vendors in order to be more informed about the items they plan to purchase. However, grantees may not use specifications obtained from vendors for any solicitation with federal grant funds if the specifications would be found to be restrictive.

It is the grantee's responsibility to assure vendor specifications are not used in a manner that would result in restricting or limiting competition.

Additionally, if a vendor or manufacturer drafts, writes, edits, critiques, or provides any direct consultation on a grant application, that vendor or manufacturer cannot submit a bid for that purchase. Likewise, if a vendor or manufacturer drafts, writes, edits, or critiques a specification to be used for the solicitation for the purchase of a specific product, that vendor or manufacturer cannot submit a bid for that purchase. See *Conflict of Interests* below.

Grantees shall, on request, make available pre-award review and procurement documents such as requests for proposals or invitations for bids or independent cost estimates if 1) the purchase specifies a brand name product, or 2) the proposed grant is to be awarded to other than the apparent low bidder under a sealed bid process.

Grantees found to be using proprietary or otherwise limiting specifications may find their expenditures questioned and subsequently disallowed.

- 10. Personal and Organizational Conflicts of Interest:** In order to ensure objective vendor performance and eliminate a real or apparent unfair competitive advantage, anyone who develops or drafts specifications, requirements, statements of work (including the grant application), invitations for bids, and/or requests for proposals shall be excluded from competing for such procurements.

Additionally, no employee, officer, or agent of the grantee shall participate in the selection, award, or administration of a procurement supported by federal funds if a real or an apparent conflict of interest would be involved.

A *Conflict of Interests* could arise when any of the following conditions exists:

- a. An officer, employee, or agent of the grantee has a financial or other interest in the vendor selected for the procurement;
- b. Any member of the grantee's officers', employees', or agents' immediate family has a financial or other interest in the vendor selected for the procurement; or

- c. An organization that employs a grantee’s officer, employee, or agent is a vendor or has a financial or other interest in the vendor selected for the procurement.

For the purposes of this program, DHS considers volunteers and grant writers of an organization to be employees, officers, and/or agents of the grantee. No volunteer or member of an organization or anyone involved in the application for funding can participate in, or benefit from, the procurement if federal funds are involved.

Grantees that purchase items with grant funds from vendors who employ any of their volunteers/members will have to document how they avoided a *Conflict of Interests* during the procurement process (i.e., specific details regarding how the members/volunteers removed themselves, or how they were prevented from participating in the process).

Grantees who fail to document fully their purchases may find their expenditures questioned and subsequently disallowed.

B. Administrative and National Policy Requirements

AFG Programs do not allow for sub-grantees or sub-recipients; all activities of the AFG Award recipients that support the Scope of Work shall only be on a contractual basis.

The recipient must, in addition to the assurances made as part of the application, 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 shall comply with all applicable laws and regulations. A non-exclusive list of regulations commonly applicable to DHS Grants is listed below:

1.1 Administrative Requirements

The administrative requirements that apply to most DHS award recipients through a grant or cooperative agreement arise from two sources:

- *Office of Management and Budget (OMB) Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (also known as the “A-102 Common Rule”), found under DHS regulations at Title 44, Code of Federal Regulations (CFR) Part 13, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments”*
- *OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, relocated to 2 CFR Part 215*

1.2 Cost Principles

The requirements for allowable costs/cost principles are contained in the A-102 Common Rule, OMB Circular A-110 (2 CFR §215.27), DHS program legislation, federal awarding agency regulations, and the terms and conditions of the award. The five costs principles circulars are as follows:

- *OMB Circular A-21, Cost Principles for Educational Institutions, relocated to 2 CFR Part §220*
- *OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments, relocated to 2 CFR Part §225*
- *OMB Circular A-122, Cost Principles for Non-Profit Organizations, relocated to 2 CFR Part §230*
- *OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations*
- *48 CFR Part §31.2, Federal Acquisitions Regulations (FAR), Contracts with Commercial Organizations*

1.3 Audit Requirements and Other Assessments

Improper Payments Information Act (IPIA) of 2002

(Public Law 107-300)

Enacted to ensure the correct use of federal funds and to avoid improper or erroneous payments

1.4 Duplication of Benefits

There may not be a duplication of any federal assistance by governmental entities, 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 48 CFR Part §31.2.

To allow follow-up on A-133 audit findings or to test operational procedures safeguarding federal funds, the grantee or sub-grantee must give FEMA or any authorized federal representative access to all books, records, and related documents supporting the management and use of these grant funds.

2. Payment

AFG/FP&S payment/drawdown requests are generated using the e-Grants system.

2.1 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 also 44 CFR Part §13.21(i)) regarding payment of interest earned on advances.

3. Non-supplanting Requirement

Grant funds will not replace (supplant) funds that have been budgeted for the same purpose through non-federal sources. Applicants or grantees may be required to demonstrate and document 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 processes, specifications, and guidelines regarding the use of interoperable 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 Web site 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*.

4.4 Best Practices for Government Use of CCTV

DHS recommends 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 Web site at http://www.dhs.gov/xlibrary/assets/privacy/privacy_rpt_cctv_2007.pdf.

4.5 Best Practices for Collection and Use of Personally Identifiable Information (PII)

DHS recommends that all grantees who collect PII have a publicly available privacy policy that describes what PII will be collected, how the PII will be used, whether the PII will be shared with third parties, and how individuals may have their PII corrected where appropriate. Grantees may also find as a useful resource the DHS *Privacy Impact Assessments: The Privacy Office Official Guidance* and in the *Privacy Impact Assessment Template* (available on the DHS Privacy Office Web site at http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_guidance_june2010.pdf and http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_template.pdf, respectively).

5. Administrative Requirements

5.1 Housing and Retrieval of Homeland Security Information

Freedom of Information Act (FOIA)

Information submitted in the course of applying for funding under this program, or provided in the course of an entity's grant management activities which is under federal control, is subject to the *Freedom of Information Act* (FOIA), 5 USC §552. The applicant is also 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. Note that some information, though not considered classified, may be protected from release or in how it is released. It is important to understand those laws and regulations that fall into an alternate category of Sensitive But Unclassified (SBU) information.

Sensitive But Unclassified (SBU)

SBU is a designation of information in the United States Federal Government that, though unclassified, often requires strict controls over its distribution. SBU is a broad category of information that includes material covered by such designations as For Official Use Only (FOUO), Law Enforcement Sensitive (LES), Sensitive Homeland Security Information, Security Sensitive Information (SSI), Critical Infrastructure Information (CII), etc. Some categories of SBU information have authority in statute or regulation (e.g., SSI, CII) while others, including FOUO, do not.

Sensitive Security Information (SSI)

Information submitted in the course of applying for funding or reporting under certain programs, or provided in the course of an entity's grant management activities under those programs which is under federal control, is subject to protection under SSI and must be properly identified and marked. SSI is a control designation used by the DHS related to protecting information related to transportation security. It is applied to information about security programs, vulnerability and threat assessments, screening processes, technical specifications of certain screening equipment and objects used to test screening equipment, and equipment used for communicating security information relating to air, land, or maritime transportation. The applicable information is spelled out in greater detail in 49 CFR Part §1520.7.

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, and 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.

Chemical-Terrorism Vulnerability Information (CVI)

DHS issues a manual to provide guidance on how to identify, handle, and safeguard information developed by private and public entities under Section 550 of Public Law 109-295 and its implementing regulations, the Chemical Facility Anti-Terrorism Standards (CFATS), 6 CFR Part §27. Pursuant to CFATS, this information, known as Chemical-Terrorism Vulnerability Information (CVI), is relevant for anyone authorized to possess or receive CVI (including chemical facility officers, employees, representatives and contractors, and federal, state, local and tribal government employees and contractors), as well as anyone on a need to know basis.

http://www.dhs.gov/xlibrary/assets/chemsec_cvi_proceduresmanual.pdf

Sensitive Personally Identifiable Information (Sensitive PII)

Certain personally identifiable information, if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual and needs to be carefully managed. Social Security numbers or Alien numbers (A-numbers), for example, require stricter handling guidelines because of the increased risk to an individual if compromised. A key part of the DHS mission to protect the homeland is to minimize our impact on individual privacy. In this regard, DHS has developed a *Handbook for Safeguarding Sensitive PII*, which can be found at http://www.dhs.gov/xlibrary/assets/privacy/privacy_guide_spii_handbook.pdf. As required by OMB M-07-16, these rules also apply to DHS licensees, certificate holders, and grantees who handle or collect PII, including Sensitive PII, for or on behalf of DHS.

5.2 Compliance with federal civil rights laws and regulations

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

- **Civil Rights Act of 1964**

All recipients of financial assistance will comply with the requirements of Title VI of the Civil Rights Act of 1964 (42 USC § 2000d et seq.), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

- **Civil Rights Act of 1968**

All recipients of financial assistance will comply with Title VIII of the Civil Rights Act of 1968, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 USC § 3601 et seq.), as implemented by the Department of Housing and Urban Development at 24 CFR Part 100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units—i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)—be designed and constructed with certain accessible features (see 24 CFR § 100.201).

- **Americans with Disabilities Act of 1990**

All recipients of financial assistance will comply with the requirements of Titles I, II, and III of the Americans with Disabilities Act, which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 USC §§ 12101–12213).

- **Age Discrimination Act of 1975**

All recipients of financial assistance will comply with the requirements of the Age Discrimination Act of 1975 (42 USC § 6101 et seq.), which prohibits discrimination on the basis of age in any program or activity receiving federal financial assistance.

- **Title IX of the Education Amendments of 1972 (Equal Opportunity in Education Act)**

All recipients of financial assistance will comply with the requirements of Title IX of the Education Amendments of 1972 (20 USC § 1681 et seq.), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational

program or activity receiving federal financial assistance. These regulations are codified at 44 CFR Part 19.

5.3 Services to Limited English Proficient (LEP) persons

- **Limited English Proficiency (*Civil Rights Act of 1964*, Title VI)**

All recipients of financial assistance will comply with the requirements of Executive Order 13166, *Improving Access to Services for Persons with Limited English Proficiency*, and resulting agency guidance; national origin discrimination includes discrimination on the basis of LEP. To ensure compliance with Title VI, recipients must take reasonable steps to ensure that LEP persons have meaningful access to your programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. For assistance and information regarding LEP obligations, go to <http://www.lep.gov>.

5.4 Certifications and Assurance

Applicants must provide certifications and assurances regarding the following:

- **Lobbying**

None of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence, an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any federal action concerning the award or renewal of any federal contract, grant, loan, and/or cooperative agreement. These lobbying prohibitions can be found at 31 USC § 1352.

- **Drug-Free Workplace Regulations**

The recipient is required 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. For additional information, see 44 CFR Part §17.

- **Debarment and Suspension**

Executive Orders 12549 and 12689 provide protection from fraud, waste, and abuse by debarment or suspending those persons deemed irresponsible in their dealings with the Federal Government. The recipient must certify that they are not debarred or suspended from receiving federal assistance. For additional information, see 2 CFR Part §3000.

- **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 (See OMB Circular A-129, also 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 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 USC §2225.

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

5.5 Integrating individuals with disabilities into emergency planning

- **Rehabilitation Act of 1973**

All recipients of financial assistance will comply with the requirements of Section 504 of the Rehabilitation Act of 1973, 29 USC § 794, as amended, which provides that no otherwise qualified handicapped individual in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance. These requirements pertain to the provision of benefits or services as well as to employment.

For additional detailed information, please refer to the following:

- **FEMA Office of Disability Integration and Coordination.** There are many useful tools available through this office at <http://www.fema.gov/about/odc>.
- **Guidelines for Accommodating Individuals with Disabilities in Disaster.** These guidelines are available at <http://www.fema.gov/oer/reference/>.
- **Disability and Emergency Preparedness Resource Center.** The “Resource Center” is available at <http://www.disabilitypreparedness.gov>.
- **ADA Best Practices.** The Civil Rights Division within the US Department of Justice provides a resource entitled “the Americans with Disabilities Act (“ADA”) Best Practices Toolkit for State and Local Governments.” This document is available at <http://www.ada.gov/pcatoolkit/toolkitmain.htm>.

5.6 Environmental Planning and Historic Preservation Compliance

- **National Environmental Policy Act (NEPA) of 1969**

All recipients of financial assistance will comply with the requirements of the National Environmental Policy Act (NEPA), as amended, 42 USC § 4331 et seq., which establishes national policy goals and procedures to protect and enhance the environment, including protection against natural disasters. To comply with NEPA for its grant-supported activities, DHS requires the environmental aspects of construction grants (and certain non-construction projects as specified by the component and awarding office) to be reviewed and evaluated before final action on the application.

For more information on FEMA's EHP requirements, applicants should refer to the following:

- **Information Bulletin 329**, *Environmental Planning and Historic Preservation Requirements for Grants*, available at <http://www.fema.gov/pdf/government/grant/bulletins/info329.pdf>
- **Information Bulletin 345**, *Programmatic Environmental Assessment*, available at <http://www.fema.gov/pdf/government/grant/bulletins/info345.pdf>
- **Information Bulletin 356**, *EHP Screening Form*, available at <http://www.fema.gov/pdf/government/grant/bulletins/info356.pdf>.

5.7 Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 USC §5121-5206, and Related Authorities

Funds awarded under EMPG Program and EOC Grant Program are subject to the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Public Law 93-288), as amended. Specifically, 42 USC §5196, Subtitle A, Powers and Duties, Section 611, Detailed Functions of Administration, Subsection (j)(9), Financial Contributions, requires recipients of funds under Title VI of the Stafford Act for construction projects to comply with the Davis-Bacon Act. Additionally, 42 USC §5206 requires all recipients of funds under the Stafford Act to comply with the *Buy American Act* (41 USC §10a et seq.).

5.8 Equipment Marking

Awardees may consider marking equipment as "purchased with funds provided by the US 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.

5.9 Disadvantaged Business Requirement

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

5.10 National Preparedness Reporting Compliance

The Government Performance and Results Act of 1993 (Public Law 103-62) (GPRA) requires that DHS 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 US Government Accountability Office (GAO).

5.11 Animal Welfare Act of 1966

All recipients of financial assistance will comply with the requirements of the *Animal Welfare Act*, as amended (7 USC § 2131 *et seq.*), which requires that minimum standards of care and treatment be provided for vertebrate animals bred for commercial sale, used in research, transported commercially, or exhibited to the public. Recipients must establish appropriate policies and procedures for the humane care and use of animals based on the *Guide for the Care and Use of Laboratory Animals* and comply with the *Public Health Service Policy and Government Principles Regarding the Care and Use of Animals*.

5.12 Clean Air Act of 1970 and Clean Water Act of 1977

All recipients of financial assistance will comply with the requirements of 42 USC § 7401 *et seq.* and Executive Order 11738, which provides for the protection and enhancement of the quality of the nation's air resources to promote public health and welfare, and for restoring and maintaining the chemical, physical, and biological integrity of the nation's waters is considered research for other purposes.

5.13 Protection of Human Subjects

All recipients of financial assistance will comply with the requirements of the federal regulations at 45 CFR Part 46, which requires that recipients comply with applicable provisions/law for the protection of human subjects for purposes of research. Recipients must also comply with the requirements in DHS Management Directive 026-04, *Protection of Human Subjects*, prior to implementing any work with human subjects. For

purposes of 45 CFR Part 46, research means a systematic investigation, including research, development, testing, and evaluation, designed to develop or contribute to general knowledge. Activities that meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program that is considered research for other purposes. The regulations specify additional protections for research involving human fetuses, pregnant women, and neonates (Subpart B); prisoners (Subpart C); and children (Subpart D). The use of autopsy materials is governed by applicable state and local law and is not directly regulated by 45 CFR Part 46.

5.14 National Flood Insurance Act of 1968

All recipients of financial assistance will comply with the requirements of Section 1306(c) of the *National Flood Insurance Act*, as amended, which provides for benefit payments under the Standard Flood Insurance Policy for demolition or relocation of a structure insured under the Act that is located along the shore of a lake or other body of water and is certified by an appropriate state or local land use authority to be subject to imminent collapse or subsidence as a result of erosion or undermining caused by waves or currents of water exceeding anticipated cyclical levels. These regulations are codified at 44 CFR Part 63.

5.15 Flood Disaster Protection Act of 1973

All recipients of financial assistance will comply with the requirements of the *Flood Disaster Protection Act of 1973*, as amended (42 USC § 4001 et seq.), which provides that no federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within one year of the identification. The flood insurance purchase requirement applies to both public and private applicants for DHS support. Lists of flood-prone areas that are eligible for flood insurance are published in the *Federal Register* by FEMA.

5.16 Coastal Wetlands Planning, Protection, and Restoration Act of 1990

All recipients of financial assistance will comply with the requirements of Executive Order 11990, which provides that federally funded construction and improvements minimize the destruction, loss, or degradation of wetlands. The Executive Order provides that, in furtherance of Section 101(b)(3) of NEPA (42 USC § 4331(b)(3)), federal agencies, to the extent permitted by law, must avoid undertaking or assisting with new construction located in wetlands unless the head of the agency finds that there is no practicable alternative to such construction, and that the proposed action includes all practicable measures to minimize harm to wetlands that may result from such use. In making this finding, the head of the agency may take into account economic, environmental, and other pertinent factors. The public disclosure requirement described above also pertains to early public review of any plans or proposals for new construction in wetlands. This is codified at 44 CFR Part 9.

5.17 USA Patriot Act of 2001

All recipients of financial assistance will comply with the requirements of the *Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act* (USA PATRIOT Act), which amends 18 USC §§ 175–175c. Among other things, it prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose. The act also establishes restrictions on access to specified materials. “Restricted persons,” as defined by the act, may not possess, ship, transport, or receive any biological agent or toxin that is listed as a select agent.

5.18 Trafficking Victims Protection Act of 2000

All recipients of financial assistance will comply with the requirements of the government-wide award term which implements Section 106(g) of the *Trafficking Victims Protection Act (TVPA) of 2000*, as amended (22 USC § 7104), located at 2 CFR Part 175. This is implemented in accordance with OMB Interim Final Guidance, *Federal Register*, Volume 72, No. 218, November 13, 2007.

In accordance with the statutory requirement, in each agency award under which funding is provided to a private entity, Section 106(g) of the TVPA, as amended, requires the agency to include a condition that authorizes the agency to terminate the award, without penalty, if the recipient or a sub-recipient:

- a. Engages in severe forms of trafficking in persons during the period of time that the award is in effect;
- b. Procures a commercial sex act during the period of time that the award is in effect; or
- c. Uses forced labor in the performance of the award or sub-awards under the award.

Full text of the award term is provided at 2 CFR § 175.15.

5.19 Fly America Act of 1974

All recipients of financial assistance will comply with the requirements of the Preference for US Flag Air Carriers: Travel supported by US Government Funds Requirement, which states preference for the use of US flag air carriers (air carriers holding certificates under 49 USC § 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the *International Air Transportation Fair Competitive Practices Act of 1974* (49 USC § 40118), and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B138942.

5.20 Activities Conducted Abroad

All recipients of financial assistance will comply with the requirements that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

All recipients of financial assistance will comply with requirements to acknowledge federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with federal funds.

5.21 Copyright

All recipients of financial assistance will comply with requirements that publications or other exercise of copyright for any work first produced under federal financial assistance awards hereto related unless the work includes any information that is otherwise controlled by the government (i.e., classified information or other information subject to national security or export control laws or regulations).

For any scientific, technical, or other copyright work based on or containing data first produced under this award, including those works published in academic, technical or professional journals, symposia proceedings, or similar works, the recipient grants the government a royalty-free, nonexclusive, and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so for government purposes in all such copyrighted works. The recipient shall affix the applicable copyright notices of 17 USC § 401 or 402 and an acknowledgement of government sponsorship (including award number) to any work first produced under an award.

5.22 Use of DHS Seal, Logo and Flags

All recipients of financial assistance must obtain approval from DHS prior to using the DHS seal(s), logos, crests, or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests, or reproductions of flags or likenesses of Coast Guard officials.

5.23 DHS Specific Acknowledgements and Assurances

All recipients of financial assistance must acknowledge and agree – and require any sub-recipients, contractors, successors, transferees, and assignees acknowledge and agree – to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

1. Recipients must cooperate with any compliance review or complaint investigation conducted by DHS.
2. Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant

and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.

3. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.
4. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
5. If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties.
6. In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office.

The United States has the right to seek judicial enforcement of these obligations.

C. Drawdown and Expenditure of Funds

Grantees should not expend funds or request drawdowns until all special conditions listed on the grant award document have been met and the award has been approved for payment in the e-Grants system. Grant recipients should drawdown funds based upon immediate disbursement requirements; however, FEMA strongly encourages recipients to drawdown funds as close to disbursement or expenditure as possible to avoid accruing interest.

Although advance drawdown requests are permissible, grantees remain subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its implementing regulations at 31 CFR Part §205. Interest under CMIA will accrue from the time federal funds are credited to a grantee's account until the time the grantee pays out the funds for program purposes.

D. Reporting Requirements

Grantees are obliged to submit various financial and programmatic reports as a condition of their award acceptance. Please see below for a summary of financial and/or programmatic reports as required. ***Future awards and fund drawdowns may be withheld if these reports are delinquent.***

1. Federal Financial Report (FFR) – required semi-annually

Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425), replacing the SF-269 and SF-272, which is due within 30 days of the end of each semi-annual period. A report must be submitted for every six months after the grant's award date and every six months after if applicable. Future awards and fund drawdowns may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through e-Grants system.

2. AFG Semi-Annual (Programmatic) Performance Report

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 a programmatic Performance Report using the e-Grants system. The programmatic Performance Report is due six months after the grant's award date and every six months after if applicable.

3. Exercise Evaluation and Improvement

Exercises implemented with grant funds should evaluate performance of the capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program located at <https://hseep.dhs.gov>.

4. Reporting requirements under the *Federal Funding Accountability and Transparency Act of 2006 (FFATA) (Public Law 109-282)*, as amended by *Section 6202(a) of the Government Funding Transparency Act of 2008 (Public Law 110-252)*

As defined by the OMB, all new federal awards of \$25,000 or more as of October 1, 2010, are subject to FFATA reporting requirements. "Federal awards" includes not only prime awards for grantees, cooperators, and contractors, but also awards to sub-recipients. More information can be found at <http://www.usaspending.gov/learn?tab=What%27s+New>.

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. The state shall require that sub-grantees 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.

The grantee shall give FEMA, the sponsoring agency, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant and use and management of these funds.

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.

Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each federal assistance award, and will identify areas where technical assistance, corrective actions, and other support may be needed.

The recipient is responsible for monitoring all sub-award activities to ensure compliance with federal and state laws, regulations, and guidance. Responsibilities include the accounting of receipts and expenditures, cash management, maintaining of adequate financial records, reporting and refunding expenditures disallowed by audits, monitoring, or other assessments and reviews.

7. Grant Closeout Process

Within 90 days after the end of the period of performance, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a closeout notice will be completed to close out the grant. The notice will indicate the period of performance 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 drawdown but remain as unliquidated on grantee financial records.

8. Required performance and financial reports for Grant Closeout:

- Final performance report narrative (within the Close Out module in e-Grants) is due 90 days after the end of the period of performance.
- Final SF- 425 is due 90 days after the end of the grant period.

E. FY 2012 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. Grantees should ensure that they are thoroughly familiar with the governing provisions, which impact matches: 44 CFR Part §13.24; 2 CFR Part §225; and Program Guidance and/or regulations.

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 the provisions listed above.

2. In-kind Match

Currently, in-kind matches are not allowable for AFG/FP&S. In-kind (soft) matches include, but are 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 provisions listed above.

F. FY 2012 Requirements Specific to For-Profit Entities

For-profit entities are NOT eligible to apply for the AFG Fire Prevention and Safety Grants Program.