



U.S. DEPARTMENT OF HOMELAND SECURITY

**FISCAL YEAR 2009**

**Assistance to Firefighters Grant Program  
Fire Prevention and Safety Grants**

**GUIDANCE AND APPLICATION KIT**

**SEPTEMBER 2009**



U.S. DEPARTMENT OF HOMELAND SECURITY

**Title of Opportunity:** Assistance to Firefighters Grant Program, Fire Prevention and Safety Grants

**DHS Funding Opportunity Number:**

**Federal Agency Name:** Department of Homeland Security, Federal Emergency Management Agency, Grant Programs Directorate (GPD)

**Announcement Type:** Annual

**Dates:** Completed applications must be submitted as early as September 21, 2009, but **no later than 5:00 PM, EDT on October 23, 2009.**

- **Additional overview information – Key Changes:** For FY 2009, FP&S eligible projects have been combined into categories to facilitate clarity on the eligibility and priority of projects. The eligible categories under the Fire Prevention and Safety Activity are:
  - General Education/Awareness
  - Code Enforcement/Awareness
  - Fire & Arson Investigation
  - National/State/Regional Program and Studies
- There are no funding priorities among the four eligible categories. Each category is considered equally important. However, funding priorities were developed for projects within each category.

# Procurement Integrity

Through audits conducted by the Department of Homeland Security's Office of Inspector General (OIG) and through the Assistance to Firefighters Program Office grant monitoring, it has become apparent that some Assistance to Firefighters Grant (AFG) recipients have not adhered, or are not totally adhering, to the proper procurement requirements when spending grant funds. Anything less than full compliance with CFR 215.40 – 215.48 "Procurement Standards" and 44 CFR 13.36 "Procurement" jeopardizes the integrity of the grant as well as the grant program. As such, in FY 2009 we will place a greater emphasis on oversight of grantees' procurement actions. Below, we have reiterated the FEMA procurement requirements for grantees when making procurements under this grant. A review of grantees' procurement practices as part of the normal AFG monitoring activities.

**Competition:** Grantees may use their own procurement procedures, which reflect applicable State and local laws and regulations, provided that 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 "complete" any purchase involving Federal funds, may be subject to questioning and subsequently disallowed costs.

**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 their purchases may find that their expenditures will be questioned and possibility disallowed.

**Specifications:** Specifications developed for solicitations shall clearly set forth all requirements that the bidder shall fulfill in order for the bid or offer to be evaluated by the recipient. However, those specifications may not be so narrowly constructed or contain features which unduly limit, restrict, or eliminate competition unnecessarily. Grantees may, when developing their solicitations, list factors that will be used in their evaluation of proposals that are submitted, 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 that vendor specifications are not used in a manner which would result in restricting or limiting competition from other vendors of similar products. 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, 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 Conflicts of Interest below. Grantees shall, on request, make available to DHS pre-award review and procurement documents, such as requests for proposals or invitations for bids, independent cost estimates, *etc.*, if 1) the purchase specifies a "brand name" product or 2) the proposed award 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.

**Personal and Organizational Conflicts of interest:** In order to ensure objective vendor performance and eliminate a real or apparent unfair competitive advantage, anyone that 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 interest 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. c) An organization which 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, we consider volunteers of an organization and grant writers to be employees, officers, and/or agents of the grantee. As such, 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 interest 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 fully document their purchases may find that their expenditures will be questioned and subsequently disallowed.

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## Part I.

# FUNDING OPPORTUNITY DESCRIPTION

### A. 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 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 offers grants to support activities in two categories: (1) activities designed to reach high-risk target groups and mitigate incidences of deaths and injuries caused by fire and fire-related hazards (the "Fire Prevention and Safety Activity"; and (2) research and development activities aimed at improvements of firefighter safety (the "Firefighter Safety Research and Development Activity"). This program guidance document provides potential applicants with the details of requirements, processing and evaluation of an application for financial assistance in either 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 2009, Congress appropriated a total of \$565 million under the Homeland Security Appropriations act to carry out the activities of the AFG Program. The governing statute (15 U.S.C. §§ 2229 et seq.) above includes a requirement that no less than five percent of the appropriated funds support fire prevention and safety activities. Therefore, no less than \$28 million of the appropriation must be awarded for fire prevention and safety activities. However, this is a minimum amount, FEMA recognizes the importance of prevention and safety projects and, therefore, has reserved a total of \$35 million for the FP&S grants. The grants under FP&S will be awarded on a competitive basis. The appropriated funds are available for obligation by FEMA until September 30, 2010.

### B. Federal Investment Strategy

The FP&S grants are an important part of the Administration's larger, coordinated effort to strengthen homeland security preparedness. Of particular significance are the National Preparedness Guidelines and their associated work products. The National Preparedness Guidelines are an all-hazards vision regarding the Nation's four core preparedness objectives: prevent, protect, respond and recover from both terrorist attacks and catastrophic natural disasters.

The National Preparedness Guidelines define a vision of what to accomplish and a set of tools to forge a unified national consensus about what to do and how to work together at all levels of government. First-responder participation is integral to the Guidelines'

success. FEMA expects its first-responder partners to be familiar with this national preparedness architecture and to incorporate elements of this architecture into their planning, operations, and investments.

### **C. 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:

- International Association of Fire Chiefs
- International Association of Firefighters
- 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.

### **D. Funding Priorities - Fire Prevention and Safety Activity**

While FEMA desires to provide flexibility to applicants to design innovative strategies or unique proposals that reach for a higher level of safety for the public with respect to fire and fire-related hazards, general categories of activities or projects will be eligible for funding: public education campaigns, arson prevention, prevention-related training, fire prevention activities, and risk assessments.

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 the determined risks. Original, creative and/or new approaches to enhance the safety of the public and firefighters are welcomed. Be advised that applications should only consist of FP&S projects that can be completed within the one-year grant performance period.



1. **General Education/Awareness**- priority will be given to programs that target a specific population to conduct door-to-door smoke alarm installation and go through a home safety checklist (including sprinkler awareness). Other projects eligible under this category include:
  - a. **Smoke Alarms**: 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, projects that promote the installation of smoke alarms and/or check to assure that previously installed smoke alarms are operational will receive a competitive rating. Applicants who will not perform installation of the alarms should discuss in their application narrative the methodology for ensuring that the alarms will be installed. FP&S grants promote the use of 10-year lithium alarms/batteries. Applicants that do not plan on using 10-year alarms/batteries should address the rationale for alternatives.
  - b. **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. Installation of sprinkler systems is only eligible if proposed as part of a sprinkler educational effort.
  - c. **Public Education**: National or local projects that promote the reduction of injury due to fire or other safety hazards. Messages may include burn prevention, media/public relations campaigns, injury prevention or other community hazards that could be justified in the narrative. Education props (educational tools) 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. Please note that projects which deliver training to the public in the area of automatic external defibrillators (AED), Cardio-Pulmonary Resuscitation (CPR) or age-appropriate fire extinguishers training equipment will be considered. However, if the projects are for operational staff, these projects should be requested under the AFG Grants.
  - d. **Training**: Local or regional projects to educate or train personnel in the area of public education.
  - e. **General Prevention/Awareness**: Projects that include general prevention initiatives including studies, alarm system installation, lock-box installation, CO detectors, address marker, etc.
  - f. **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

programs. Fuel reduction demonstrations as part of an awareness and education effort would be considered.

**g. Risk Assessments:** Applicants may request assistance to conduct formal or informal risk assessments of their target audience vulnerabilities with respect to fire. Please note: Applications that request a risk assessment are precluded from applying for additional projects.

**h. Juvenile Firesetter Projects:** Projects that are designed to mitigate the instances of fire set by children. Projects may have treatment and intervention components.

**2. Code Enforcement/Awareness-** Priority will be given to projects that focus on first time code adoption and code enforcement. Projects may also include assistance for the adoption or awareness of building codes, promote code enforcement to improve engineering, or enact fire-related ordinances for new construction. Additionally, support for conducting inspections, including personnel costs, equipment or training assistance is also eligible.

**3. Fire & Arson Investigation-** Priority will be given to projects that aim aggressively to investigate every fire. Projects may also include costs for arson investigation trailers, equipment and costs related to arson investigator training, arson prevention training, arson-related surveillance equipment, personnel costs, educational materials and media equipment,

**4. National/State/Regional Programs and Studies-** Priority will be given to projects that focus on residential fire issues and/or firefighter safety projects that are designed to measurably change firefighter behavior/decision-making.

**a. Firefighter Safety:** National or regional projects that promote the reduction of line of duty deaths through national mitigation strategies. 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.

## **E. Funding Priorities - Firefighter Safety and Research and Development**

The core goal of these grants is improvement of firefighter health and safety. In order to define the elements of firefighter safety that are most appropriate to address, FEMA has looked to the fire service for its input and recommendation. 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. 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. A copy of the research agenda is available on the NFFF website at: <https://everyonegoeshome.com/report.pdf>. Information regarding eligible activities is located under Part III.

## PART II.

# AWARD INFORMATION

This section summarizes the award period of performance and the total amount of funding available under the FY 2009 Assistance to Firefighters Grant Program (AFG), describes the basic distribution method used to determine final grants awards.

### **A. Award Period of Performance**

The period of performance for the Fire Prevention and Safety Activity (FP&S) is 12 months. Applicants under the Research and Development Activity (R&D) can propose projects that reflect a period of performance of up to 3 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.

### **B. Available Funding**

Congress appropriated a total of \$565 million to carry out the activities of the FY 2009 AFG Program. The authority for AFG is derived from the *Federal Fire Prevention and Control Act of 1974* (15 U.S.C. §§ 2229 *et seq.*), as amended. FEMA will continue to separate FP&S grants from AFG, and will have a separate application period devoted solely to FP&S grants. The FP&S application period is planned for Fall 2009.

Congress directed FEMA to administer Fire Prevention and Safety grant funds as indicated below.

- No less than 5 percent of appropriated funds (\$28.25 million) must be made available to make grants for fire prevention activities (Fire Prevention and Safety (FP&S) Grants). However, due to the importance of mitigation activities, the FY 2009 FP&S will be allocated \$35 million for grants.

### **C. Specific Funding Parameters**

Fire departments that receive funding through the FY 2009 AFG Program for training, equipment, vehicles, etc., are also eligible to receive funding for fire prevention and safety activities under the FY 2009 Fire Prevention and Safety Grants. However, if a single fire department receives a Fire Prevention and Safety 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 grant awards through the AFG and FP&S grants 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 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, 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. Eligible Applicants

The Federal Fire Protection and Control Act of 1974 (15 U.S.C. SS 2229 et seq.), as amended provides applicant eligibility requirements.

### Eligibility Requirements

1. **Fire Prevention and Safety Activity (FP&S)**: Eligible applicants for this activity include fire departments, and 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 are not eligible to receive a FP&S grant award.

#### a. Eligible Categories for the FP&S Activities

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

#### b. Ineligible Activities for the FP&S Projects

- 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
- Fire suppression equipment, supplies, vehicles, firefighting training tools or equipment, personal protective gear, fitness equipment or immunizations
- AED, CPR or fire extinguisher training for operational staff
- Installation of sprinkler systems that do not include an educational component
- Fire hydrant/dry hydrant installation

- Suppression-related training including Firefighter I, Firefighter II, wildland firefighting, training exercises or drills for suppression or disasters activities
- Wildland fire fuel reduction projects that are prescribed burns or fuel reduction equipment
- Communication equipment including portable radios, mobile data terminals (MDT) or computer-aided dispatch (CAD) systems
- Weather/disaster notification devices (sirens etc.)
- Community projects that include the use of tot finder/child finder, elderly or pet finder decal
- 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
- Stand-alone LED or alert signs
- Hydrant poles
- Sprinkler caps
- House gel(s)
- Development of Administrative Documents (e.g., SOPS, manuals)
- Non-UL listed fire safety equipment (e.g., smoke alarms, carbon monoxide detectors, surge protectors)
- Live animals
- Alarm system installation
- Firearms
- Equipment that is considered entertainment as opposed to educational tools that are part of a comprehensive program
- Equipment that has no intrinsic fire prevention or life safety education application

- 2. Firefighter Safety Research and Development Activity (R&D):** Eligible applicants for this activity include national, regional, state, and local organizations, such as academic (i.e. universities), public health, occupational health, and injury prevention institutions, especially those that are recognized for their experience and expertise in firefighter safety research and development programs or whose applications otherwise demonstrate strong research and development experience and expertise with potential to improve firefighter safety. Under the governing statute, fire departments are not eligible to apply for funding in this activity.

**a. Eligible Activities for the R&D Projects**

The purpose of this funding activity is to improve firefighter health and life safety through research and development projects. All projects must address injury outcomes or their surrogates such as firefighter fitness or health indicators. Information regarding previously funded projects can be obtained through contacting the AFG helpdesk (1-866-274-0960).

Applicants should consider projects that address topics known to be major causes, or related to, major causes of firefighter morbidity and mortality. For instance, the leading causes of four out of every five deaths among firefighters are overexertion/cardiovascular, being trapped, and motor vehicle crash events (Fahy, NFPA, 2006). Overexertion/strain, contact with flames or smoke, struck or assaulted, and falls, together account for about half (57 percent) of non-fatal injuries (USFA, chapter 5). Reports of near miss events include clusters of cases regarding falls, loss/trapped/disoriented firefighters, structural collapses, and power lines. Analysis points to unsafe acts that are errors (rather than violations), such as poor decision-making due to insufficient/incorrect information, preconditions such as loss of situational awareness, and supervisory practices such as lack of oversight (Near Miss Reporting System Annual Report 2006).

Four project categories are listed below, not in order of importance. This is not an all-inclusive list of the categories of projects that will be considered; however, any project must address injury outcomes or provide strong justification that proposed outcomes can be readily linked to injury outcomes.

**1. Behavioral, Clinical, and Social Science Studies**

Foundational research may investigate the underlying risk and protective factors associated with injury outcomes. These may include individual level characteristics, departmental/organizational policies, practices, norms, and environmental factors that may be linked to incidents involving injury outcomes.



Where evidence exists to move to more applied research, study should emphasize intervention development and testing for effectiveness 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 using a randomized control trial, with comparison to usual care. Inclusion of cost-effectiveness study is encouraged.

Where effectiveness of an intervention has been established in the field setting, dissemination research may investigate strategies for widespread implementation with fidelity (See Dissemination and Implementation Studies).

## **2. Database Systems**

The systematic collection of information that aims to determine predictors and correlates for incidents of near injury, injury, and death. The focus of data collection may be about, but is not limited to:

- Firefighter demographic and health factors (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;
- Departmental/organizational safety policies and practices;
- Cultural or social norms regarding injury prevention practices;
- Community-based resources (e.g., hospitals, communication systems);
- Environmental factors.

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

## **3. Technology and Product Development Studies**

Applications in this category are to develop and test new technology that can be incorporated into the fire service. These projects should aim to improve the safety of Firefighters through an enhanced understanding of hazards posed by:

- Incidents;
- Buildings and building materials;
- Environmental conditions;

- Technology projects should address such hazards by adapting existing technologies and/or developing new ones.

#### **4. Research Regarding Dissemination and Implementation of Effective Programs and Products**

Applications may seek to study the dissemination and implementation of programs, products or other interventions that have credible evidence of effectiveness. 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 applied to the study of dissemination and implementation of a result from a prior AFG-funded, R&D activity, providing that 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.

##### **b. Ineligible Activities for the Firefighter Safety R&D Projects**

- Activities that focus primarily on curriculum development, delivery of education or training materials
- A descriptive study about the fire service (without injury or safety outcomes)
- Studies with local emphasis and little or no indication of broader application to the fire service
- Studies that emphasize funding for service delivery
- Applications that request more than one million dollars
- Applications that include violations of intellectual property will be deemed ineligible

## **B. Cost Share**

Fire departments are subject to the same cost share requirements that are applicable under the AFG Program. Specifically, fire departments that serve populations less than 20,000 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, inclusive, must match the Federal grant funds with an amount of non-Federal funds equal to ten percent of the total project cost. Fire departments that serve populations of over 50,000 must match the Federal grant funds

with an amount of non-Federal funds equal to twenty 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.

**Please note:** There is no cost share for grants under the Fire Prevention and Safety Activity nor the Firefighter Safety Research and Development Activity to eligible national, regional, state, local, or community organizations (other than fire departments as described above). Grantees representing fire departments and nonaffiliated EMS Organizations must share in the costs of the projects funded under this grant program (15 U.S.C. 2229(b)(6)).

### **C. Multiple Projects**

Applicants may submit only one FP&S grant application per FP&S application period. However, under the FP&S Activity, an applicant may request financial assistance for as many as three projects. Applicants should formulate FP&S applications that contain multiple projects and associated budgeted items based on strategic risks and common goals. 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; and 2) strengthen code enforcement activities. While both projects aim to reach the same goal, the projects are independent of one another; the public education items would be listed as one supporting project and the code enforcement items listed as the second supporting project. Both projects will be included in one application; however, each project requires its own separate supporting budget and narrative statement. The individual narrative statements will explain 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.

### **D. Other Allowable Costs**

Both the FP&S Activity and the Firefighter Safety Research and Development Activity have other costs that are 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 (3%) 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 (OMB Circular A-21), Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87), Cost Principles for Nonprofit Organizations (OMB Circular A-122) and, Contracts with Commercial Organizations (Federal Acquisition Regulation Subpart 31.2, codified at 48 CFR 31.2), as applicable. (The cost principles are listed in Part VI 1.2. For more information about the Circulars, go to [www.whitehouse.gov/omb/circulars](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 (see Grantee Responsibilities, below), etc. 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.

- 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 3% as stated above, unless they have a previously negotiated and approved Indirect Cost Rate. This rate is established by a Federal department or agency for a grantee 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. (Indirect cost rates can be found at <http://rates.psc.gov/>) Prior to submitting any claims for reimbursement of indirect costs, applicants must first submit documentation that supports the indirect cost rate to FEMA for review and approval. The appropriate documentation for an approved indirect rate is a negotiated indirect cost agreement. The indirect 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, general administration, and other general expenses, such as the salaries and expenses of executive officers, personnel administration and accounting.

Indirect costs shall be classified within two broad categories - facilities and administration. 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 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 one year must undergo an audit. (For more information about the Circular, go to [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)). 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:** 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. Activities involving equipment installation and renovations to facilities are subject to all applicable environmental and historic preservation requirements. Applicants seeking assistance to renovate their facilities or to install equipment may undergo additional screening. Specifically, FEMA is required to ascertain to what degree the proposed equipment installation and renovations might affect an applicant's facility relative to the National Environmental Policy Act, National Historic Preservation Act of 1966, National Flood Insurance Program regulations, and any other applicable laws and Executive Orders. No project can proceed – except for project planning – prior to formal FEMA approval. Noncompliance with this provision may jeopardize an applicant's award and subsequent funding. Construction costs are not eligible under the Fire Prevention and Safety Grants. Construction includes major alterations to a building that changes the profile or footprint of the structure. Note: Installation of fire suppression, fire alarms or detection systems are not considered renovations and accordingly, not subject to the limits outlined for renovation costs. The costs, however, must be reasonable and justified. 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 Grant Program under Modification to Facilities.

5. **Transportation Costs:** Tow vehicles or other means of transport may be eligible as a transportation expense, if adequately justified in the proposal. Transportation expenses 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, (i.e., paid within 60 days of the end of the application period). Applicants may be required to provide documentation to support these pre-award expenditures. The hiring of 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 that 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 not for the grant). For example, in a fire prevention project, the grantee might ask 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 only incur this cost as a result of the fire prevention project.
10. **Cost Share Requirement:** There is no cost share requirement for the applicant for the FY 2009 FP&S grants with the exception of fire departments. **Fire departments are subject to the same cost share requirements applied under the Assistance to Firefighters Grants Program.** Grantees must share in the costs of the projects funded under this grant. 15 U.S.C. 2229(b)(6). Fire

departments that serve populations of less than 20,000 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, inclusive, must match the Federal grant funds with an amount of non-Federal funds equal to ten percent of the total project cost. Fire departments that serve populations of over 50,000 must match the Federal grant funds with an amount of non-Federal funds equal to twenty percent of the total project costs. All non-Federal funds must be in cash, i.e., in-kind contributions are not eligible. No waivers of this requirement will be granted except for applicants located in Insular Areas as provided for in 48 U.S.C. 1469a.

#### **E. Reasonableness of Requests**

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 Program.



Part IV.  
**APPLICATION AND SUBMISSION  
INFORMATION**

**A. Automated Application and Tutorial for 2009**

At the start of the application period, an online tutorial will be available for applicants at [www.firegrantsupport.com](http://www.firegrantsupport.com). The online tutorial provides guidance regarding the preparation of a competitive grant application and the FP&S application requirements. All applicants are strongly encouraged to complete the applicant tutorial prior to beginning their application, even if they have successfully received previous awards from the AFG Program. The tutorial explains the eligible activities by illustrating many of the application screens. It provides tips for navigating the application screens and summarizes the changes in the FP&S grants for FY 2009. In addition, the tutorial also provides a review of the lessons learned from previous years.

**B. Application Process**

The FY 2009 FP&S application will be accessible **September 21, 2009 at 8:00 a.m. (EDT)** from the AFG Website ([www.firegrantsupport.com](http://www.firegrantsupport.com)), the U.S. Fire Administration (USFA) Website ([www.usfa.FEMA.gov](http://www.usfa.FEMA.gov)), and the grants.gov Website ([www.grants.gov](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 that 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 -- the system alerts the applicant when required information has not been entered. By submitting an application online, 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.

The online system will allow one authorized representative of an eligible organization to log on and create a user name and password. The selection of the authorized representative is at the discretion of each applicant. **If you have a user name and password from a previous AFG, SAFER or FP&S application, you should use the same user name and password. Failure to use your existing user name and password could delay the processing of your application.**

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 that 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 email.***

All applications must be completed and submitted electronically, or postmarked on or ***before the close of business, by 5:00 p.m. (EDT) on Friday, October 23, 2009.***

Only electronic applications submitted via the online 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 user name 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 email or fax, will automatically be deemed ineligible. Paper applications should be mailed to the following address:

DHS/FEMA/Grant Programs Directorate  
Assistance to Firefighters Grant Program  
800 K Street N.W.  
Washington, DC 20472 -3620

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 that 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.

### **C. 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, which can be requested by registering online at [www.dnb.com/US/duns\\_update/index.html](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 2008 application.

#### **D. Project Period**

The project period for the Fire Prevention and Safety Activity is 12 months. Applicants under the Research and Development Activity can propose projects that reflect a period of performance of up to 3 years.

#### **E. Application Details**

All applicants are required to provide details of their projects in a written narrative as well as a specific description of the supporting budget. The narrative should correlate the proposed projects to the evaluation criteria defined below (Part V.). Application narratives for the Fire Prevention and Safety activity will be limited to a maximum of five pages per project.

Applicants for the Research and Development (R&D) activity must comply with the following guidelines:

- The narrative for the Research and Development (R&D) activity will be limited to twenty pages per project.
- The first page of the narrative must include an abstract (250 words maximum) that addresses Purpose and Aims, Relevance, Methods, (Projected) Results and Conclusions.
- Additionally, R&D applicants may supply appendices which may include data collection instruments, data tables, illustrations and specifications for product designs.
- Curriculum Vitae (CV's) for Project Investigators (PI) and lead scientists should also be included in the appendices, but are limited to a maximum of two pages per CV. Researchers are strongly encouraged to follow the biographical sketch sample (Appendix 2) in preparing CV's.
- Applicants should provide one appendix for each project submitted.
- The sum number of pages for each appendix is limited to 20 pages per project.
- Any material that requires formatting can be submitted in the appendix.
- Font: Times New Roman or other standard font.
- Font Size: Minimum font size is 12 points (12 pt).
- Margins, top, bottom, left, and right of at least 1" (2.54cm)
- Header or footer on every page with:
  - University or Institution name
  - Project Title
  - Page Number

For the Fire Prevention activity, the applicant enters information into the narrative text box, the applicant should click the "save" button periodically to ensure information has been stored. Please "save" often as the electronic application includes a "**time-out**" feature to help ensure activity usage of the servers. If no "save" activity is detected for a period of time, the "time-out" feature is activated, and all information entered, but not saved, could be lost. Therefore, it is recommended that applicants type the narrative off-line using a word processing program, such as MSWord, Word Perfect, Notepad,

etc., to avoid losing any information. Once the narrative is complete, an applicant can then “cut-and-paste” their proposal narrative into the narrative block of the application. Please note the narrative block does not allow for formatting. Do not include tables, special fonts or graphs.

**Part V.**  
**APPLICATION REVIEW AND EVALUATION  
PROCESS INFORMATION**

**A. Pre-Screening Process**

Program staff will screen submitted applications to affirm the eligibility for award of both the applicants and projects. Ineligible applications and applicants will be removed from further consideration.

National, state, and local organizations are eligible to apply under both the Fire Prevention and Safety (FP&S) Activity and the Firefighter Safety Research and Development (R&D) Activity on the same application. 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.

**B. Technical Evaluation Process**

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

For R&D applications, a panel of reviewers will be assigned with areas of expertise selected based on the subject matter of the proposal. Reviewers will assess each application's merits with respect to the detail provided in the narrative and in the Appendices, addressing specifically each of the evaluation elements listed in the "Evaluation Criteria" section (see Part V.) of this document. The panel of reviewers will independently score each application and if necessary discuss the merits/shortcomings of the application in order to reconcile any major discrepancies identified by reviewers; a consensus is not required. 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 R&D project on the health, life and safety of firefighters.

## C. Evaluation Criteria for Projects under the Fire Prevention and Safety Activity

The characteristics listed below will be used as the guidelines for making funding decisions on FP&S projects. The extent to which projects reflect the characteristics below will be assessed by the Technical Evaluation Panel (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 nation. Therefore, the applicant should summarize the vulnerability that 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 narrative. The specific vulnerability that will be addressed with the proposed project can be established through a formal or informal risk assessment. For the purpose of the FY2009 FP&S application, formal assessments consist of the use of software programs or recognized expert analysis that assesses risk trends. Informal assessments could include an in-house review of available data (i.e. 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 projects 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 (i.e. effective partnerships), and the manner in which materials or deliverables will be distributed;
  - Requests for props (i.e., tools that are 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 house)
- 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. Performance (additional consideration):** Applicants that demonstrate a proven track record for timely project completion and performance in similar projects or in other AFG and SAFER awards. Additionally, the applicant's experience and ability for executing the proposed project.
- 8. Funding Priorities (additional consideration):** The degree to which the project meets stated funding priorities for the applicable category.

#### **D. Evaluation Criteria for Projects under the Firefighter Safety Research and Development Activity**

The characteristics listed below will be used as the guidelines in making funding decisions. The extent to which projects reflect these characteristics will be assessed by the Technical Evaluation Panel (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. Study purpose(s), goals and objectives, and specific aims (15%):** For multi-year projects, greater detail should be given for the first year; and also describe specific goals and objectives for second (and third) year(s). With reference to the study's goals, objectives, and specific aims, provide a literature review that

includes citations in the text and references at the end of the application. The review should make it clear that the proposed study is *necessary*, different from other current studies, offers a unique contribution or adds to an existing body of knowledge.

**2. Scientific and technical merit of the proposed research (50%),** including:

- Study Design: Description of the overall approach to the project. The specifics provided in this section will demonstrate the overall scientific rigor and merit of the project.
- Methods: Description on how the study will be carried out. It provides the operations to accomplish the purpose, goals and objectives, and specific aims previously stated.
- Where applicable, describe plans for recruitment and cohort retention (especially with multi-year study).
- Measurement: Address data measurement, including instruments and procedures. For those conducting technology or product development studies, this section describes how well the system, unit, or product performed at each relevant stage of development
- Analytic plan: Indicate the planned descriptive and/or statistical approach to analysis. Where possible, indicate availability of national norms or other standards for comparison. Specify, within that plan, what will be examined, in what sequence of steps, or with how many iterations. Indicate what statistical expertise is available to the team (if not the PI and co-PIs) and how that will be integrated into the ongoing project efforts.

**3. 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 websites, 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 study or project, if successful, will impact the safety and wellness of Firefighters, especially in the short term.

**4. Resources - People and Time (15%):** Describe the strengths of the PI, the lead scientists and other staff of the research and development team, and the institutional setting (e.g., labs, experimental facilities) to support and carry out the proposed activities in the study period.

**5. Protections for Human Subjects (10%):** Where applicable, describe plans for submission to Institutional Review Board (IRB). IRB approval must precede any research activities involving human subjects. Where the proposed study involves above minimal risk activities, sample consent letters should be included in the Appendix to the application. Applicants should be aware that human subject research carries with it certain requirements with respect to special assessment and approvals that FEMA carries out with a grantee. Successful applicants, (i.e.,



grantees) will need to follow these requirements. They are briefly described in (Appendix 1) of this Program Guidance.

Where no human subjects are involved in the study, provide rationales explaining how any persons involved in the study should not to be considered subjects or study participants. For instance, if firefighters will be involved as part of their routine activities and those activities will be directed by their chain of command, including the relevant Safety Officer, provide documentation for that approach.

Where no persons are involved in any way in the R&D activities, other than the researchers, such as with laboratory-based product development, clarify the role, if any, of those involved in field testing. Specify what these persons will do, as well as your conclusions about their non-risk, non-participant status. Where applicable, provide justification for request for exemption from IRB review.

### **Additional Considerations**

- Financial Need: Applicants should illustrate in their narrative the need for Federal financial assistance.
- Impact on Firefighter Safety: Applicants need to address in their narratives the extent to which the study or effort will have an impact on the health and life safety of firefighters, particularly in the short term.
- Projected Data Tables: These are not required but may be useful. Samples may be given in Appendices.

### **E. Anticipated Announcement and Award Dates**

FEMA will commence the panel review process within 60 days of the end of the application period. Award decisions for the FY 2009 program will be completed on or before September 30, 2010.



## PART VI

# AWARD ADMINISTRATION INFORMATION

This section summarizes the administration of awards including award procedures and grantee responsibilities.

### **A. Notice of Award**

We will select a sufficient number of awardees from this one application period to obligate all of the FY 2009 funding available. Awards will be announced over several months as decisions are made. Awards will not be made in any specified order, (*i.e.*, not by State, program, or any other characteristic.) Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the “award date.” Notification of award approval is made through the AFG online system. Once an award has been approved, a notice is sent to the authorized grantee official.

### **B. Award Procedure**

Awards will be made using the results of peer-reviewed applications as the primary basis for our decisions, regardless of program. 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, 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 then make award recommendations to the grants management specialists in the Grants Management Division within the Grants Programs Directorate. The grants management specialists will then contact the applicant to discuss and/or negotiate the content of the application before making final award decisions.

We will select a sufficient number of awardees from this one application period to obligate all of the FY 2009 funding available. Awards will be announced over several months as decisions are made. Awards will not be made in any specified order, (*i.e.*, not by State, program, or any other characteristic). Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the “award

date.” Notification of award approval is made through the AFG online system. Once an award has been approved, a notice is sent to the authorized grantee official.

## **C. Administrative and National Policy Requirements**

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

### **2. Administrative Requirements.**

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

### **3. Cost Principles.**

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

### **4. Audit Requirements.**

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

**5. Duplication of Benefits.** There may not be a duplication of any federal assistance, per A-87, 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 Circular 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.

**6. Non-supplanting Requirement.** Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

## 7. Technology Requirements.

- a. **National Information Exchange Model (NIEM).** FEMA requires all grantees to use the latest NIEM specifications and guidelines regarding the use of Extensible Markup Language (XML) for all grant awards. Further information about the required use of NIEM specifications and guidelines is available at <http://www.niem.gov>.
- b. **Geospatial Guidance.** Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). FEMA encourages grantees to align any geospatial activities with the guidance available on the FEMA website at <http://www.fema.gov/grants>.
- c. **28 CFR Part 23 Guidance.** FEMA requires that any information technology system funded or supported by these funds comply with 28 CFR Part 23, Criminal Intelligence Systems Operating Policies, if this regulation is determined to be applicable.

## 8. Administrative Requirements.

- a. **Freedom of Information Act (FOIA).** FEMA recognizes that much of the information submitted in the course of applying for funding under this program or provided in the course of its grant management activities may be considered law enforcement sensitive or otherwise important to national security interests. While this information under Federal control is subject to requests made pursuant to the Freedom of Information Act (FOIA), 5 U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the FEMA FOIA Office, and may likely fall within one or more of the available exemptions under the Act. The applicant is encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. The grantee should be familiar with the regulations governing Sensitive Security Information (49 CFR Part 1520), as it may provide additional protection to certain classes of homeland security information.
- b. **Compliance with Federal civil rights laws and regulations.** The grantee is required to comply with Federal civil rights laws and regulations. Specifically, the grantee is required to provide assurances as a condition for receipt of Federal funds that its programs and activities comply with the following:

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

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

**9. Services to limited English proficient (LEP) persons.** Recipients of FEMA financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, natural origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. The grantee is encouraged to consider the need for language services for LEP persons served or encountered both in developing their proposals and budgets and in conducting their programs and activities. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, see <http://www.lep.gov>.

**10. Integrating individuals with disabilities into emergency planning.**

Section 504 of the Rehabilitation Act of 1973, as amended, prohibits discrimination against people with disabilities in all aspects of emergency mitigation, planning, response, and recovery by entities receiving financial from FEMA. In addition, Executive Order 13347, *Individuals with Disabilities in Emergency Preparedness* signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Executive Order 13347 requires the Federal government to encourage consideration of the needs of individuals with disabilities served by State, local, and tribal governments in emergency preparedness planning.

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

- **Comprehensive Preparedness Guide 301 (CPG-301): Interim Emergency Management Planning Guide for Special Needs Populations:** CPG-301 is designed to aid tribal, State, territorial, and local governments in planning for individuals with special needs. CPG-301 outlines special needs considerations for: Developing Informed Plans; Assessments and Registries; Emergency Public Information/Communication; Sheltering and Mass Care; Evacuation; Transportation; Human Services/Medical Management; Congregate Settings; Recovery; and Training and Exercises. CPG-301 is available at <http://www.fema.gov/pdf/media/2008/301.pdf>.
- **Guidelines for Accommodating Individuals with Disabilities in Disaster:** The Guidelines synthesize the array of existing accessibility requirements into a user friendly tool for use by response and recovery personnel in the field. The Guidelines are available at <http://www.fema.gov/oer/reference/>.
- **Disability and Emergency Preparedness Resource Center:** A web-based “Resource Center” that includes dozens of technical assistance materials to assist emergency managers in planning and response efforts related to people with disabilities. The “Resource Center” is available at <http://www.disabilitypreparedness.gov>.
- **Lessons Learned Information Sharing (LLIS) resource page on Emergency Planning for Persons with Disabilities and Special Needs:** A true one-stop resource shop for planners at all levels of government, non-governmental organizations, and private sector entities, the resource page provides more than 250 documents, including lessons learned, plans, procedures, policies, and guidance, on how to include citizens with

disabilities and other special needs in all phases of the emergency management cycle.

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

**11. Compliance with the National Energy Conservation Policy and Energy Policy Acts.**

In accordance with the *Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009* (Public Law 110-329), grant funds must comply with the following two requirements:

- None of the funds made available shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order 13123, part 3 of title V of the National Energy Conservation Policy Act (42 USC 8251 et. Seq.), or subtitle A of title I of the Energy Policy Act of 2005 (including the amendments made thereby).
- None of the funds made available shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC13212).

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

The grantee shall provide any information requested by FEMA to ensure compliance with applicable Federal EHP requirements. Any project with the potential to impact EHP resources cannot be initiated until FEMA has completed its review. Grantees may be required to provide detailed information about the project, including the following: location (street address or map coordinates); description of the project including any associated ground disturbance work, extent of modification of existing structures, construction equipment to be used, staging areas, access roads, etc.; year the existing facility was built; natural, biological, and/or cultural resources



present in the project vicinity; visual documentation such as site and facility photographs, project plans, maps, etc; and possible project alternatives.

For certain types of projects, FEMA must consult with other Federal and State agencies such as the U.S. Fish and Wildlife Service, State Historic Preservation Offices, and the U.S. Army Corps of Engineers, as well as other agencies and organizations responsible for protecting natural and cultural resources. For projects with the potential to have significant adverse effects on the environment and/or historic properties, FEMA's EHP review and consultation may result in a substantive agreement between the involved parties outlining how the grantee will avoid the effects, minimize the effects, or, if necessary, compensate for the effects.

Because of the potential for significant adverse effects to EHP resources or public controversy, some projects may require an additional assessment or report, such as an Environmental Assessment, Biological Assessment, archaeological survey, cultural resources report, wetlands delineation, or other document, as well as a public comment period. Grantees are responsible for the preparation of such documents, as well as for the implementation of any treatment or mitigation measures identified during the EHP review that are necessary to address potential adverse impacts.

Grantees may use these funds toward the costs of preparing such documents and/or implementing treatment or mitigation measures. Failure of the grantee to meet Federal, State, and local EHP requirements, obtain applicable permits, and comply with any conditions that may be placed on the project as the result of FEMA's EHP review may jeopardize Federal funding.

Recipient shall not undertake any project having the potential to impact EHP resources without the prior approval of FEMA, including but not limited to communications towers, physical security enhancements, new construction, and **modifications to buildings, structures and objects** that are 50 years old or greater. Recipient must comply with all conditions placed on the project as the result of the EHP review. Any change to the approved project scope of work will require re-evaluation for compliance with these EHP requirements. If ground disturbing activities occur during project implementation, the recipient must ensure monitoring of ground disturbance, and if any potential archeological resources are discovered, the recipient will immediately cease construction in that area and notify FEMA and the appropriate State Historic Preservation Office.

**Please Note:** Any construction activities that have been initiated without the necessary EHP review and approval will result in a non-compliance finding and will not be eligible for FEMA funding.

Additional information and resources can also be found at <http://www.fema.gov/plan/ehp/ehp-applicant-help.shtml>.

- 13. Royalty-free License.** Applicants are advised that FEMA reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, for Federal government purposes: (a) the copyright in any work developed under an award or sub-award; and (b) any rights of copyright to which an award recipient or sub-recipient purchases ownership with Federal support. Award recipients must agree to consult with FEMA regarding the allocation of any patent rights that arise from, or are purchased with, this funding.
- 14. Department of Homeland Security/FEMA Publications Statement.** Applicants are advised that all publications created with funding under any grant award shall prominently contain the following statement: "This document was prepared under a grant from FEMA's Grant Programs Directorate, U.S. Department of Homeland Security; AFG Fire Prevention and Safety Grants. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of FEMA's Grant Programs Directorate or the U.S. Department of Homeland Security."
- 15. Equipment Marking.** Applicants are advised that, when practicable, any equipment purchased with grant funding shall be prominently marked as follows: "Purchased with funds provided by the U.S. Department of Homeland Security."
- 16. Disadvantaged Business Requirement.** Applicants are advised that, to the extent that recipients of a grant use contractors or subcontractors, such recipients shall use small, minority, women-owned or disadvantaged business concerns and contractors or subcontractors to the extent practicable.
- 17. National Preparedness Reporting Compliance.** *The Government Performance and Results Act (Public Law 103-62) (GPRA)* requires that the Department collect and report performance information on all programs. 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 the Department of Homeland Security, Office of the Inspector General, or the Government Accountability Office.

## **D. Grantee Responsibilities**

AFG award recipients (grantees) must agree to:



- (1) Perform, within the designated period of performance, all tasks (scope of work) as outlined in the grantee's application and approved by the AFG Program Office in accordance with the Articles of Agreement. Failure to adhere to the policies, terms, and conditions of the award as set forth in this document, as well as the award package and all references, including clarifications provided in the AFG Program's frequently asked questions, may result in loss of the current award as well as future eligibility.
- (2) Share in the costs of the projects funded under this grant program. Fire departments and nonaffiliated EMS organizations serving populations of over 50,000 or more must match the Federal grant funds with an amount of non-Federal funds equal to 20 percent of the total project cost. Fire departments and nonaffiliated EMS organizations serving populations between 20,000 and 50,000 must agree to match the Federal grant funds with an amount of non-Federal funds equal to 10 percent of the total project cost. Fire departments and nonaffiliated EMS organizations serving areas with a population of 20,000 or fewer must match the Federal grant funds with an amount of non-Federal funds equal to 5 percent of the total project cost. Regional project cost-share will be based on the total population and demographics of the entire region. All non-Federal match funds must be in cash; in-kind contributions are not acceptable. No waivers of this requirement will be granted except for applicants located in Insular Areas as provided for in 48 U.S.C. § 1469a.

The grantee is not required to have the cash match in hand at the time of application, nor at the time of award. But, before a grant is awarded, FEMA will contact potential awardees to determine whether the grantee has the funding in hand or if the grantee has a viable plan to obtain the funding necessary to fulfill the matching requirement.

- (3) Maintain operating expenditures for the 1-year grant period of performance in the areas funded by this grant activity at a level equal to, or greater than, the average of their operating expenditures in the 2 years preceding the year in which this assistance is received. This program is meant to supplement rather than replace an organization's funding.
- (4) Retain grant files and supporting documentation for 3 years after the conclusion and closeout of the grant or any audit subsequent to closeout.
- (5) Ensure all procurement transactions are conducted in a manner to provide, 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 and to select the lowest bidder able to meet the requirements. Procurements shall be made from the bidder whose offer is responsive to the solicitation and is most advantageous to the grantee when price, quality, and other factors are considered. The grantee must follow its established procurement processes when purchasing vehicles, equipment, and services with AFG funds. If

the grantee has no established procedures, it should obtain at least two quotes/bids for the items being procured and document the process used in the grant files. Sole-source purchasing is not an acceptable procurement method except in unusual circumstances. Grantees who fail to adhere to their own procurement policy or otherwise fail to fully “compete” any transaction involving Federal funds may find that their expenditures will be questioned and subsequently disallowed.

Specifications developed for solicitations shall clearly set forth all requirements that the bidder shall fulfill in order for the bid or offer to be evaluated by the recipient. However, those specifications may not be so narrowly constructed or contain features which unduly limit, restrict, or eliminate competition unnecessarily. Also see Item 7 below regarding conflicts of interest.

Grantees shall, on request, make available to FEMA, pre-award review and procurement documents, such as request for proposals or invitations for bids, independent cost estimates, *etc.*, if a) the procurement specifies a "brand name" product, or b) the proposed award is to be awarded to other than the apparent low bidder under a sealed bid process. Grantees found to be using proprietary specifications may find that their expenditures will be questioned and subsequently disallowed.

- (6) Conduct all bidding activities (solicitation, receipt, and evaluation) after award, *i.e.*, during the period of performance. Quotes obtained prior to submittal of the application - for the purposes of applying for this grant - are not considered to be sufficient to satisfy the requirements for competition as outlined at 44 CFR Part 13. Grantees may be jeopardizing their awards if they do not adhere to the requirements set forth herein.
- (7) Avoid conflicts of interest in order to ensure objective vendor performance and eliminate a real or an apparent unfair, competitive advantage. Grantees must assure that anyone that develops or drafts specifications, requirements, statements of work (*including the grant application*), invitations for bids and/or requests for proposals are excluded from competing for such procurements. Grantees must assure that no employee, officer, or agent of their organization participates in the selection, award, or administration of any procurement supported by Federal funds if a real or an apparent conflict of interest would be involved. A conflict of interest 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.

- c) An organization which 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, we consider volunteers of an organization and grant writers to be employees, officers and/or agents of the grantee. As such, grantees must assure that no volunteer or member of their organization or anyone involved in the application for funding participates in, or benefits from, the procurement if Federal funds are involved. Grantees who select vendors that employ volunteers or members of the organization will have to document how they avoided a conflict of interest during their procurement process. Grantees who fail to fully document their purchases may find that their expenditures will be questioned and subsequently disallowed.

- (8)** Submit a performance report to FEMA after 6 months as well as a final closeout report. If a grant's period of performance is extended for any reason, the grantee must submit performance reports every 6 months until the grant is closed out. At grant closeout, the grantee must report how the grant funding was used and the benefits realized from the award in a detailed final report. An accounting of the funds must also be included. Applicants should be aware that prior performance including timely submission of performance and closeout reports will be taken into consideration in evaluating future awards.
- (9)** Make grant files, books, and records available, if requested, for inspection to ensure compliance with any requirement of the grant program. Grantees are required to maintain and retain backup documentation such as bids, quotes, and cost/price analyses on file for Federal auditors. The required documentation for federally funded purchases should include specifications, solicitations, purchase orders, invoices, cancelled checks, copies of competitive quotes or proposals, and basis for selection. Grantees who fail to fully document their purchases may find that their expenditures will be questioned and subsequently disallowed.
- (10)** If the grantee is a fire department, agree to provide information through established reporting channels to the National Fire Incident Reporting System (NFIRS) for the period covered by the assistance. Nonaffiliated EMS organizations do not have to comply with the NFIRS reporting requirement. If a fire department does not participate in the incident reporting system and does not have the capacity to report at the time of the award, that grantee must agree to provide information to the NFIRS system for a 12-month period commencing as soon as they develop the capacity to report. We expect non-reporting grantees to pursue the capacity to report immediately after notification of award, and for these non-reporting grantees to be actively reporting to NFIRS within the approved period of performance. AFG Program grantees from previous years will not be allowed to closeout their grants until they demonstrate that they are complying with this requirement. Failure to close out previous years' grants may affect the consideration of future awards.

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

The grantee 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.

- (12) Comply with Homeland Security Presidential Directive-5 (HSPD-5). Starting October 1, 2004, HSPD-5 requires all recipients of Federal preparedness funding – including recipients of Federal grants and contracts – to adopt NIMS as a condition for receipt of Federal funds. Recipients of FY 2009 AFG funds must comply with this directive. AFG recipients will be considered in compliance with this NIMS requirement if the grantee: 1) has an operational knowledge of ICS; 2) has an understanding of NIMS' principles and policies; and 3) agrees to adopt and/or comply with all directives, ordinances, rules, orders, edicts, *etc.*, passed down by local or State authorities with respect to incident management. Organizations already trained in ICS do not need retraining if the previous training was consistent with FEMA standards. In order for us to document compliance, grantees will be required to certify their recognition of NIMS/ICS as part of the grant closeout process.

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

## **F. Grant Closeout Process**

Within 90 days after the end of the period of performance, grantees must submit a final FFR and final performance report detailing all accomplishments throughout the project. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the project as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The

grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records.

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

## **G. Turndown Procedure**

The FP&S grants are competitive. Some of the applications will not be successful but all applicants will receive a decision. For those applicants that are not successful, FEMA will prepare a letter, briefly describing the shortcomings and weaknesses of the application, as articulated by the TEP. Due to the number of turndowns that have historically been experienced for these grants, detailed debriefs for all applicants will not be possible.

## PART VII

# FEMA CONTACTS

This section describes several resources that may help applicants in completing an AFG Grant application.

**AFG Help Desk.** AFG staffs a help desk throughout the application period. The help desk can provide assistance with navigation through the automated application as well as provide programmatic assistance with respect to questions of eligibility. The help desk can be contacted at 1-866-274-0960 or via email at [firegrants@dhs.gov](mailto:firegrants@dhs.gov). The help desk hours of operation during the application period are from 8:00 a.m. to 4:30 p.m., Monday through Friday. All times listed are eastern daylight times.

**FEMA Regional Fire Program Specialists.** Each of the FEMA Regions has specialists that can assist applicants with the application process. Interested parties may contact the AFG helpdesk for information on the nearest regional specialists.

**PART VIII**  
**OTHER INFORMATION**  
**Excess Funds**

Occasionally, due to successful competitive bid processes, breaks in service, etc., some grantees have funds remaining after the completion of their obligations outlined above. Grantees who have completed the approved scope of work and still have grant funds available may either close out their grant and return the funds, or submit a request to FEMA in writing for permission to use the excess funds to extend their activities in a manner consistent with the original scope of work and within the originally approved period of performance. Written requests should include a detailed accounting of the reason for the excess and a budget plan for remaining funds grantees wish to use for activity extension. These funds shall be requested in writing via an amendment through the online system.

## APPENDIX 1.

# Human Subjects Research

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 that any sub-grantees or subcontractors 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 Program Office which coordinates directly with the RCO. The RCO will conduct a regulatory compliance assessment and forward comments and/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, and/or minor changes of protocol.



## APPENDIX 2.

# Biographical Sketch Sample

Applicants for the Firefighter Research and Development activity should provide Curriculum Vitae (CV's) for Project Investigators (PI) and lead scientists in the appendices of the online application as an attachment. The attachment is limited to a maximum of two pages per CV.

**(Font: Minimum 12 pt; 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			
<i>EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, and include postdoctoral training.)</i>			
INSTITUTION AND LOCATION	DEGREE (if applicable)	YEAR(s)	FIELD OF STUDY

- A. Positions.** List all appointments or other professional positions held, beginning with your present position (include years, title, organization, city, state, & country).
- B. Service.** Include all positions held on advisory committees or other working groups, including all Federal Government advisory committee or other public working groups, beginning with most recent.
- C. Honors.** Include all honors received in past ten years, and selected others.
- D. Peer reviewed publications.** Include all peer reviewed publications in past ten years, beginning with most recent, and selected others.
- E. Other publications.** Include all documents produced in past ten 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 ten years, and selected others.