



FISCAL YEAR 2010

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

GUIDANCE AND APPLICATION KIT

JANUARY, 2011



U.S. DEPARTMENT OF HOMELAND SECURITY

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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 death and injuries caused by fire and fire-related hazards ("Fire Prevention and Safety Activity"); and (2) research and development activities aimed at improving firefighter safety ("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 for both of these activity areas.

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

In FY 2010, Congress appropriated a total of \$390 million under the Department of Homeland Security Appropriations Act (Public law 111-83) to carry out the activities of the AFG Program. Pursuant to the Federal Fire Protection and Control Act of 1974 (15 U.S.C. § 2229 et seq.) no less than five percent of the funds appropriated for the AFG Program must support fire prevention and safety activities. Therefore, no less than \$19.5 million of the FY 2010 appropriation must be awarded for fire prevention and safety activities. This, however, is the minimum required under the statute. FEMA, recognizing the importance of prevention and safety projects has reserved a total of \$35 million for the FP&S grant initiative.

The grants under FP&S will be awarded on a competitive basis. The appropriated funds are available for obligation by FEMA until September 30, 2011.

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 (<http://www.fema.gov/pdf/government/npg.pdf>). 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 the following:

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

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

D. Funding Priorities - Fire Prevention and Safety Activity

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. Accordingly, the activities or projects that will be eligible for funding include: 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 their determined risks. Original, creative and/or new approaches to enhance the safety of the public and firefighters are welcomed. Applications should only consist of FP&S projects that can be completed within the one-year grant performance period.

1. **General Education/Awareness** - According to data available to FEMA and the United States Fire Administration, working smoke alarms greatly reduce the risk of fire casualties for the Nation's residents. Therefore, priority will be given to programs that target a specific population to conduct both door-to-door smoke alarm installations and provide home safety inspections (including sprinkler awareness). Further, additional consideration will be given to applicants who incorporate provisions for deaf/hard-of-hearing alarm installations as part of their comprehensive installation and education effort. FEMA, through its FP&S grants, promotes the use of long-life alarms/batteries. Applicants that do not plan on using long-life alarms/batteries should address the rationale for using alternatives.

Other General Education/Awareness Projects are eligible; however, these projects will not receive a priority rating. These projects may include:

- a. **Smoke Alarms:** Applicants who are unable to meet the above stated funding priority (door-to-door installations and home safety inspections) for this category are still eligible to apply for smoke alarms, but will not receive a priority rating. This includes projects that promote the installation of smoke alarms and/or checks to assure that previously installed smoke alarms are operational. Applicants who will not perform installation of the alarms should discuss in their application narrative the methodology for ensuring that the alarms will be properly installed. FP&S grants promote the use of long-life alarms/batteries. Applicants that do not plan on using long-life alarms/batteries should address the rationale for using 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 are eligible. 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 are eligible under this activity. Projects may include burn prevention, media/public relations campaigns, injury prevention, or other community hazards that could be justified in the narrative. Educational 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. Projects that will deliver training to the public in the area of automatic external defibrillators (AED), Cardio-Pulmonary Resuscitation (CPR), or age-appropriate fire extinguisher training 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 are eligible under this activity.
 - e. **General Prevention/Awareness:** Projects that include general prevention initiatives including studies, lock-box installation, Carbon-Monoxide (CO) detectors, address markers, etc., will be eligible under this activity.
 - 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 should be applied for under this activity. Fuel reduction demonstrations as part of an awareness and education effort would be considered, however prescribed burns and fuel reduction equipment are not eligible.
 - 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 are eligible under this activity. 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.

Other Code Enforcement/Awareness Projects are eligible; however, these projects will not receive a priority rating. These projects may include assistance for the adoption or awareness of building codes, promotion of code enforcement to improve engineering, and/or enacting fire-related ordinances for new construction. Additionally, support for conducting inspections, including personnel costs, equipment and/or training assistance is also eligible. However, these projects will not receive a priority rating.

3. **Fire & Arson Investigation** - Priority will be given to projects that aim aggressively to investigate every fire.

Other Fire & Arson Investigation Projects are eligible; however, these projects will not receive a priority rating. These projects may include costs for arson investigation trailers, equipment, arson investigator training, arson prevention training, arson-related surveillance equipment, personnel costs, educational materials and media equipment. However, these will not receive a priority rating.

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

decision-making. Fire departments that wish to carry out internal, local firefighter safety projects are encouraged to apply for this activity under the Assistance to Firefighters Grant Program.

E. Funding Priorities - Firefighter Safety and Research and Development

The goal of these grants is to improve firefighter health and safety.

To identify and address the most important elements of firefighter safety, FEMA looked to the fire service for its input and recommendations. In June 2005, the National Fallen Firefighters' Foundation (NFFF) hosted a working group to facilitate the development of an agenda for the Nation's fire service, and in particular for firefighter safety. A copy of the research agenda is available on the NFFF website at:

www.everyonegoeshome.com/report.pdf.

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

Information regarding eligible activities is located under Part III of this Guidance and Application Kit.

PART II.

AWARD INFORMATION

Authorizing Statutes

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

Period of Performance

The period of performance for this grant is 12 months. 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.

Applicants under the Research and Development Activity (R&D) can propose projects that reflect a period of performance of up to 3 years.

Available Funding

In FY 2010, the total amount distributed under this grant will be \$35,000,000. Congress appropriated a total of \$390 million to carry out the activities of the FY 2010 AFG Program. However, FEMA will continue to separate FP&S grants from AFG, and will have a separate application period devoted solely to FP&S grants. Congress directed FEMA to administer Fire Prevention and Safety grant funds as indicated below.

- No less than 5 percent of appropriated funds (\$19.5 million in Fiscal year 2010) must be made available to make grants for fire prevention activities (FP&S Grants). However, due to the importance of fire prevention activities, the FY 2010 FP&S Program has been allocated \$35 million for FP&S grants.

Specific Funding Parameters

Fire departments that receive funding through the FY 2010 AFG Program for training, equipment, vehicles, etc., are also eligible to receive funding for fire prevention and safety activities under the FY 2010 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 grants awarded through the AFG and FP&S programs to any single fire department is limited by the governing statute (i.e. Federal Fire Prevention and Control Act of 1974) to a specific amount of Federal dollars (shown below) for each fiscal year.

- Applicants who serve a jurisdiction with a population of 500,000 people or less may not receive grant funds in excess of \$1,000,000 for any fiscal year.
- Applicants who serve a jurisdiction with more than 500,000, 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. § 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, national, regional, state, local, Native American tribal organizations and/or community organizations that are recognized for their experience and expertise in fire prevention and safety programs and activities. Both private and public non-profit organizations are eligible to apply for funding in this activity. For-profit organizations, Federal agencies, and individuals are not eligible to receive a FP&S grant award.
 - a. Eligible Categories for the FP&S Activities**
 - General Education/Awareness
 - Code Enforcement/Awareness
 - Fire & Arson Investigation
 - National/State/Regional Programs and Studies
 - b. Ineligible Activities and Items 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 or 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 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 decals
- 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 or markers
- Sprinkler caps
- Fire-retardant house gel(s)
- Development of Administrative Documents (e.g., SOPS, manuals)
- Fire safety equipment (e.g., smoke alarms, carbon monoxide detectors, surge protectors) that do not adhere to a fire service recognized standard (e.g., non-UL listed fire safety equipment)
- Live animals
- Alarm system and 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 (e.g., universities), public health, occupational health, and injury prevention institutions. The aforementioned entities are encouraged to apply, especially those that are recognized for their experience and expertise in firefighter safety research and development programs. Under the governing statute, fire departments are not eligible to apply for funding in this activity. Additionally, for-profit organizations, Federal agencies, and individuals are not eligible to receive a R&D grant award.

a. Eligible Categories 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 death among firefighters are overexertion/cardiovascular, being struck by or coming in contact with an object, and being trapped (Fahy, NFPA, 2009). The leading causes of non-fatal firefighter injuries are strains, sprains, muscular pains, wounds, cuts, bleeding, bruises, burns, and smoke or gas inhalation (NFPA, 2008).

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 (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.

- **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, the 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 a cost-effectiveness study is encouraged.

Where the 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).

- **Database Systems**

Database Systems are used for the systematic collection of information that aims to determine the predictors and correlates for incidents of near injury, injury, and death. The focus of the data collection may be, 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, seek to build up an existing database system, or move from a local level database system to a broader State or regional level system.

- **Technology and Product Development Studies**

Applications in this category may include projects to develop and test new technologies that can be incorporated into the fire service. Technological projects should address such hazards by adapting existing technologies and/or developing new ones. These projects should aim to improve the safety of Firefighters through an enhanced understanding of hazards posed by:

- Different types of incidents
- Hazards posed by buildings and building materials exposed to fire or other trauma
- Environmental conditions

- **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 used to apply to conduct a study for the dissemination and implementation of a result from a prior AFG-funded R&D activity, provided 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.

Cost effectiveness research, included in a behavioral, clinical, social science, or technology and product development study, is encouraged. The cost effectiveness portion of the research, and the expert staff such as the economists who lead them, should be integrated into the overall proposal. This will ensure that relevant measures are included from the early study development stage onward, so that all essential costs of implementing the new program, strategy, or product are captured. Such cost data may include, for instance, costs for orientation and training, product purchase, product maintenance, personnel (if additional staffing is involved), and facilities (as relevant). It is not necessary to include the

original research investment, such as cost of sample recruitment, retention, and intervention.

Outcome cost measures may include, estimates for injury cost savings, insurance reductions, staff replacement reductions, etc. Outcome calculations may be based on actual injury data or surrogate marker data if based on known risk factors. Where local data does not exist, national surveillance data may be used, as long as the assumptions are specified. Ultimately, the use of cost effectiveness results will be based on the overall study being successful and finding that firefighter safety/wellness was improved by the program, strategy, or product.

Preliminary studies may also be considered in some instances, such as if the goal of the study is to obtain a sufficient amount of evidence to justify a larger study. If the preliminary study is successful, and shows that the study or product is feasible, safe and/or operational, applicants may reapply for the larger grant in a subsequent application period.

b. Ineligible Activities and Items for the Firefighter Safety R&D Projects

- Activities that focus primarily on curriculum development and delivery of education or training materials
- A descriptive study about the fire service or any study without 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

Multiple Projects

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

Example 1. A community has a strategic goal of reducing the number of fires caused by the use of barbecue grills on the balconies of apartments. Attainment of this goal will be supported through two projects. The applicant plans to: 1) launch a public education project, and 2) strengthen code enforcement activities. While both projects aim to reach the same goal, the projects are independent of one another and will be funded as such. Therefore, the public education items would be listed as one supporting project and the code enforcement items listed as the second supporting project. Although both projects will be included in one application the projects must be independent in that the completion of one project, or any tasks within that project, does not depend on the funding of the other project. Each project requires its own separate supporting budget and narrative statement explaining how accomplishing these independent projects will help achieve the overall goal.

Example 2. A community or organization may have more than one strategic goal depending on its audience or risk. For example, a national organization may have a goal to reduce firefighter fatalities through a national outreach project. It may also have a goal to study the effectiveness of public education messages. The organization would create one project for firefighter safety initiatives and a second project for national public education efforts.

B. 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 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 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 or the Firefighter Safety Research and Development Activity for 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. 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 2 CFR Part 220 (OMB Circular A-21), Cost Principles for State, Local, and Indian Tribal Governments 2 CFR Part 225 (OMB Circular A-87), Cost Principles for Nonprofit Organizations 2 CFR 230 (OMB Circular A-122) and, Contracts with Commercial Organizations (Federal Acquisition Regulation Subpart 31.2, codified at 48 CFR Part 31.2), as applicable (The cost principles are listed in Part VI 1.2. For more information about the Circulars, go to www.whitehouse.gov/omb/circulars).

Administrative costs are identifiable costs that are directly associated with the implementation and management of the grant. Applicants can apply for

administrative costs only if the expenses are directly related to the implementation of their proposed project and cannot exceed three percent of the award. The costs should be listed under the “other” category in the budget and explained in the project narrative. FEMA will **only** reimburse costs that are based on actual expenses and not on a percentage of the overall grant. Examples of eligible administrative costs include shipping, office supplies, computers, and software associated with the National Fire Incident Reporting System (NFIRS) reporting requirements. Grant writer fees, if specifically listed on your application, are eligible and can be charged to the grant as an administrative cost in accordance with the provisions outlined (see Part VI c.). The AFG Program Office has the option to assess the reasonableness of requested administrative costs in each application and will determine what is appropriate and in the best interest of the program.

- 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 Agreement. This indirect cost rate is established by a Federal department or agency for the grantee’s organization that the grantee uses to compute the dollar amount they can charge to the grant for indirect costs incurred during the execution of the grant agreement (Information about Indirect Cost Rate Agreements can be found at <http://rates.psc.gov/>). Prior to submitting any claims for reimbursement of indirect costs, applicants must first submit a copy of their negotiated and approved Indirect Cost Rate Agreement to FEMA for review and approval. The indirect cost rate is applicable as long as it is consistent with the established terms of the agreement. For example, some indirect cost rates may not apply to capital procurements. In these cases, indirect cost rates would not apply for grant equipment.

Indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified within a particular final cost objective. A cost may not be allocated to an award as an indirect cost if any other cost incurred for the same purpose, in like circumstances, has been assigned to an award as a direct cost. Typical examples of indirect costs for many non-profit organizations may include depreciation or use allowances on buildings and equipment, the costs of operating and maintaining facilities, and general administration. Other general expenses, such as the salaries and expenses of executive officers, personnel administration and accounting may also be categorized as indirect costs.

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 a Fiscal Year must comply with the Single Audit Acts Amendments of 1996 (31 U.S.C. §§7501-7507); 31 U.S.C. §§503, 1111; Executive Order 8248; Executive Order 11541; and revised OMB Circular A-133. Reasonable costs incurred for such an audit would be an eligible expenditure if included in the proposal's budget. Applicants should consider including anticipated costs of an audit if applying for a significant level of funding. FEMA does not require any other type of audit; therefore, other audit costs not related to the A-133 portion of the organizations audit are not eligible. Audit costs are considered "administrative" expenditures.
4. **Renovation and Equipment Installation Costs:** Construction costs are not eligible under the Fire Prevention and Safety Grants. Construction includes major alterations to a building that changes the profile or footprint of the structure. Renovations to an existing facility are limited to minor interior alterations costing less than \$10,000. In order to be eligible, renovations must be essential to the successful completion of the grant scope of work. Installation of fire suppression, fire alarms, or detection systems are not considered renovations and are not subject to the cost limits identified above. 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. **Vehicle Costs:** Tow vehicles or other means of transport may be eligible as a transportation expense, if adequately justified in the proposal. Vehicle costs are limited to \$6,000 per application.
6. **Pre-award Costs:** Generally, grantees cannot use grant funds to pay for products and contracted services or purchases prior to the effective date of the grant. However, expenses incurred after the application deadline, but prior to award, may be eligible for reimbursement if the expenses were justified, unavoidable, consistent with the grant's scope of work, and specifically approved by FEMA. Requests for reimbursement for pre-award costs will be considered on a case-by-case basis.
7. **Pre-application Costs:** Expenses, obligations, commitments or contracts incurred, or entered into, prior to the application deadline are **not** eligible as a grant expense with the exception of grant preparation costs (see (8) below).
8. **Grant Writer Fees:** Fees for grant writers may be included as a pre-award or pre-application expenditure. However, fees payable on a contingency basis are not an eligible expense. For grant writer fees to be eligible as a pre-award expenditure, the fees must be specifically identified and listed in the

application. In order to be eligible, the fees must also be paid prior to award, (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 were not for the grant). For example, in a fire prevention project, the grantee might ask for staff or firefighters to work overtime to deliver the project during off-duty hours. In this case, the overtime would not have been required if it was not for the fire prevention project. Another example might be hiring of a new staff person to deliver the project. The grantee would only incur this cost as a result of the fire prevention project.

D. Reasonableness of Request

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

National Incident Management System Implementation Compliance

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

Federal FY 2009 NIMS implementation must be considered prior to allocation of any Federal awards in FY 2010. The primary grantee/administrator of FY 2010 AFG award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

PART IV.
APPLICATION AND SUBMISSION
INFORMATION

A. Address to Request Application Package

The FY 2010 FP&S applications will be accessible beginning **January 3, 2011 at 8:00 a.m. (EST)** on the AFG website at www.firegrantsupport.com, the U.S. Fire Administration (USFA) website at www.usfa.FEMA.gov, and the grants.gov website at 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. Accordingly, 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.

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. (EST) on Friday, February 4, 2011.** 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 username and password for future access to their application. No confirmation will be issued for paper applications. Incomplete applications or applications submitted via any other electronic means, including 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.

At the start of the application period, an online tutorial will be available for applicants at 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. 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 2010. In addition, the tutorial also provides a review of the lessons learned from previous years.

B. Content and Form of Application

Eligible applicants apply for AFG/FP&S funding online via the “e-grants” application. The system will allow an authorized representative of an organization to log-in and create a username and password for the applicant. The selection of the authorized representative is at the discretion of each applicant. If your organization submitted an application in previous years, we advise you to use the same username and password used for previous applications. If your organization is submitting more than one FY 2010 application, you must use the same username and password used for prior year applications, as well as for each FY 2010 application. Failure to use your existing user name and password could delay the processing of your application.

When filling out the on-line application, applicants are required to provide general information regarding the applicant and the community they serve. The applicant will provide detailed information regarding the items or activities for which they are seeking funding. The applicant will also have to provide a narrative description of their project including the cost of the project, their financial needs, and the benefits that the project will have on the applicant’s operations. Finally, applicants will have to fill out Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities) and FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements.

The program title listed in the CFDA is “*Assistance to Firefighters Grant Program.*” The CFDA number is 97.044.

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 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 2010 FP&S application.

D. Other Submission Requirements

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.

For the Fire Prevention activity, the applicant enters information into the narrative text box. Applicants should use the computer's "save" feature 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 either a word processing program such as MSWord, Word Perfect, Notepad, etc., or the narrative worksheet available in the online applicant tutorial, 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. The narrative block does not allow for formatting. Do not include tables, special fonts, graphs, quotation marks or type your application in all capital letters.

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. Applicants may propose up to three projects. The first page of the narrative must include an abstract (250 words maximum) that addresses Purpose and Aims, Relevance, Methods, (Projected) Results and Conclusions.
- All text, including references, footnotes, tables, figures, and illustrations should be in the Narrative document, with total page count not to exceed twenty pages.
- R&D applicants may supply one appendix, limited to twenty pages per project, which may include other data collection instruments, data tables, illustrations and specifications for product designs.

- Curriculum Vitae (CV's) for Project Investigators (PI) and lead scientists, as well as other key personnel listed in the budget 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.
- 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 on every page of the Narrative and the Appendices with:
 - University or Institution name
 - Project Short Title
 - Page Number

Applicants should include the costs associated with travel to attend the FEMA Research and Development Grantees Midyear Meeting for two individuals (the Principal Investigator and one other key member of the research team) for each year of the grant. The purpose of this meeting is for Fire Prevention & Safety Research and Development awardees to report out on the progress of their grants.

PART V.

APPLICATION REVIEW INFORMATION

A. Review Criteria

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.

Technical Evaluation Process

All eligible applications will be evaluated by a Technical Evaluation Panel (TEP). The TEP is comprised of a panel of peer reviewers. The TEP will assess each application's merits with respect to the detail provided in the narrative 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. The highest ranked applications will receive further technical review to assess strengths and weaknesses, how readily weaknesses may be resolved, and the likely impact of the proposed activities on the safety of the target audience.

For R&D applications, a panel of reviewers will be assigned who have an area of particular expertise 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 or shortcomings of the application in order to reconcile any major discrepancies identified by the reviewers. A consensus is not required. The highest ranked applications will receive further technical review to assess their 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.

B. Review and Selection Process

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 the 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. Applicants should use their own local statistics rather than National statistics when discussing the vulnerability. For the purpose of the FY2010 FP&S application, formal assessments consist of the use of software programs or recognized expert analysis that assess 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 project's goals and objectives. The following information should be included to support the implementation plan:
 - Details regarding the methods and specific steps that will be used to achieve the goals and objectives;
 - Where applicable, examples of marketing efforts to promote the project, who will deliver the project (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. **Experience and Expertise (additional consideration):** Applicants that demonstrate their experience and ability for conducting fire prevention and safety activities as well as executing the proposed or similar project(s) will receive additional consideration.
8. **Performance (additional consideration):** Applicants that have a proven track record for timely project completion and satisfactory performance in other AFG, FP&S, and SAFER awards will receive additional consideration.
9. **Funding Priorities (additional consideration):** Applicants that meet the stated funding priority for the applicable category will receive additional consideration.
 - a. **Meeting the needs of the disabled (additional consideration):** Applicants in the General Education/Awareness Category will receive further additional consideration if, as part of their comprehensive smoke alarm installation and education program, they address the needs of the disabled (i.e. deaf/hard-of-hearing, etc) in their community.

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 (20%):** For multi-year projects, greater detail should be given for the first year. Also describe the specific goals and objectives for the second and third years. 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%):** The following should be included within each proposal.
 - **Study Design:** This is a 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:** This is a description of how the study will be carried out. This provides the operations to accomplish the purpose, goals and objectives, and the specific aims previously stated.
 - Where applicable, describe plans for recruitment and cohort retention (especially with multi-year study);
 - **Measurement:** This addresses 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:** Indicates the planned descriptive and/or statistical approach to analysis. Where possible, indicate availability of national norms or other standards for comparison. Specify within the plan, what will be examined, in what sequence of steps, and 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 (15%):** 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. Also describe the institutional setting (e.g., labs, experimental facilities) to be used to support and carry out the proposed activities during the study.
5. **Financial Need (additional consideration):** Applicants should illustrate in their narrative the need for Federal financial assistance.
6. **Impact on Firefighter Safety (additional consideration):** 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.
7. **Projected Data Tables (additional consideration):** These are not required but may be useful. Samples may be given in the Appendices.
8. **Protections for Human Subjects (additional consideration):** Where applicable, describe plans for submission to the 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, must 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 the IRB review.

Other Selection Information

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 phase, the applications will be ranked according to the average score awarded by the panel. The ranking will be summarized in a Technical Report prepared by the AFG Program Office. The AFG Program Office will then make award recommendations to the grants management specialists in the Grants Management Division within the Grant 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.

C. 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 2010 program will be completed on or before September 30, 2011.

PART VI.

AWARD ADMINISTRATION INFORMATION

A. Notice of Award

We will select a sufficient number of awardees from this one application period to obligate all of the FY 2010 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) therefore projects should not be planned around an applicant specific timeframe (e.g., conferences, classes, etc.). 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. Administrative and National Policy Requirements

The recipient and any sub-recipient(s) must, in addition to the assurances made as part of the application, comply and require each of its subcontractors employed in the completion of the project to comply with all applicable statutes, regulations, executive orders, OMB Circulars, terms and conditions of the award, and the approved application.

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

1.1 – Administrative Requirements.

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

1.2 – Cost Principles.

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

1.3 – Audit Requirements.

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

1.4 – Duplication of Benefits. There may not be a duplication of any Federal assistance by governmental entities, per 2 CFR Part 225, Basic Guidelines Section

C.3 (c), which states: Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Authority may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements. Non-governmental entities are also subject to this prohibition per 2 CFR Parts 220 and 230 and 48 CFR Part 31.2.

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

FEMA utilizes the Assistance to Firefighters eGrants System for the full lifecycle of the grant. Please use the following link to access the system (<https://portal.fema.gov/famsVuWeb/home>).

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

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

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

4. Administrative Requirements.

4.1 – Freedom of Information Act (FOIA). FEMA recognizes that much of the information submitted in the course of applying for funding under this program or provided in the course of its grant management activities may be considered law enforcement sensitive or otherwise important to national security interests. While this information under Federal control is subject to requests made pursuant to the *Freedom of Information Act* (FOIA), 5 U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the FEMA FOIA Office, and may likely fall within one or more of the available

exemptions under the Act. The applicant is encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. The grantee should be familiar with the regulations governing Sensitive Security Information (49 CFR Part 1520), as it may provide additional protection to certain classes of homeland security information.

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

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

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

4.3 – 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>.

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

- *Lobbying.* 31 U.S.C. §1352, *Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions.* – Prohibits the use of Federal funds in lobbying members and employees of Congress, as well as employees of Federal agencies, with respect to the award or amendment of any Federal grant, cooperative agreement, contract, or loan. FEMA and DHS have codified restrictions upon lobbying at 44 CFR Part 18 and 6 CFR Part 9. (Refer to form included in application package.)
- *Drug-free Workplace Act,* as amended, 41 U.S.C. §701 et seq. – Requires the recipient to publish a statement about its drug-free workplace program and give a copy of the statement to each employee (including consultants and temporary personnel) who will be involved in award-supported activities at any site where these activities will be carried out. Also, place(s) where work is being performed under the award (i.e., street address, city, state and zip code) must be maintained on file. The recipient must notify the Grants Officer of any employee convicted of a violation of a criminal drug statute that occurs in the workplace. For additional information, see 44 CFR Part 17.
- *Debarment and Suspension.* – Executive Orders 12549 and 12689 provide protection from fraud, waste, and abuse by debarring or suspending those persons that deal in an irresponsible manner with the Federal government. The recipient must certify that they are not debarred or suspended from receiving Federal assistance. For additional information, see 2 CFR Part 3000.
- *Federal Debt Status.* – The recipient may not be delinquent in the repayment of any Federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. (See OMB Circular A-129) (Refer to SF-424, item number 17.)
- *Hotel and Motel Fire Safety Act of 1990.* – In accordance with section 6 of the *Hotel and Motel Fire Safety Act of 1990*, 15 U.S.C. §2225a, the recipient

agrees to ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds, complies with the fire prevention and control guidelines of the *Federal Fire Prevention and Control Act of 1974*, 15 U.S.C. §2225.

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

4.5 – Integrating individuals with disabilities into emergency planning.

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

4.6 – Environmental Planning and Historic Preservation Compliance.

FEMA is required to consider the potential impacts to the human and natural environment of projects proposed for FEMA grant funding. FEMA, through its Environmental Planning 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*, the *Clean Water Act*, and Executive Orders on Floodplains (11988), Wetlands (11990), Environmental Justice (12898). The goal of these compliance requirements is to protect our nation’s water, air, coastal, wildlife, agricultural, historical, and cultural resources, as well as to minimize potential adverse effects to low-income and minority populations.

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

- Project location (i.e., exact street address or map coordinates)
- Total extent of ground disturbance and vegetation clearing
- Extent of modification of existing structures
- Construction equipment to be used, staging areas, etc.
- Year that any affected buildings or structures were built
- Natural, biological, and/or cultural resources present within the project area and vicinity, including wetlands, floodplains, geologic resources, threatened

or endangered species, or National Register of Historic Places listed or eligible properties, etc.

- Visual documentation such as good quality, color and labeled site and facility photographs, project plans, aerial photos, maps, etc.
- Alternative ways considered to implement the project (not applicable to procurement of mobile and portable equipment)

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

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

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

projects that have been initiated prior to approval will result in a non-compliance finding and will not be eligible for funding.

For more information on FEMA's EHP requirements, Grantees should refer to FEMA's Information Bulletin #329, *Environmental Planning and Historic Preservation Requirements for Grants*, available at <http://www.fema.gov/pdf/government/grant/bulletins/info329.pdf>. Additional information and resources can also be found at <http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm>.

- 5. 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.
- 6. 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."
- 7. 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."
- 8. 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.
- 9. 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.

C. Reporting Requirements

Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements). Any reports or documents prepared as a result of this grant shall be in compliance with Federal “plain English” policies, directives, etc.

- 1. Federal Financial Report (FFR) – required semi-annually.** Recipients of any AFG grants awarded on or after October 1, 2009, are required to submit a semi-annual Federal Financial Report (FFR, SF-425)). The FFR, to be submitted using the online e-grant system, will be due semi-annually based on the calendar year beginning with the period after the award is made. Grant recipients will be required to submit a FFR throughout the entire period of performance of the grant. Reporting periods and due dates:
 - January 1 – June 30; *Due July 30*
 - July 1 – December 31; *Due January 30*
- 2. Progress Reports.** Recipients of AFG/FP&S awards are required to submit semi-annual progress reports using the online e-grants system. If the period-of-performance is extended for any reason, the grantee must submit a progress report every 6 months until the grant is closed.
- 3. Financial and Compliance Audit Report.** Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO’s *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient’s fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2010 assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant.

The State shall require that 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.

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

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

- 5. Grant Close-Out Process.** Within 90 days after the end of the period of performance, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawdown but remain as unliquidated on grantee financial records.

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

PART VII

FEMA CONTACTS

This section describes several resources that may help applicants in completing 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. 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 the remaining funds grantees wish to use for activity extension. These funds shall be requested in writing via an amendment through the online system.

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.

Grantee Responsibilities

AFG/FP& S 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 FEMA and 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. Maintain 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 to the proper procurement requirements when spending grant funds. Anything less than full compliance with 2 CFR Part 215.40 – 215.48 "Procurement Standards" and 44 CFR Part 13.36 "Procurement", jeopardizes the integrity of the grant as well as the grant program. As such, in FY 2010 we will place a greater emphasis on oversight of the grantees' procurement actions. Below, we have reiterated the FEMA procurement requirements for grantees when making procurements under this grant. A review of the grantees' procurement practices is 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 "compete" any purchase involving Federal funds, may be subject to questioning and possibly subject to disallowed costs.

Documentation: Grantees are required to maintain and retain documentation such as bids, quotes, and price analyses on file for review by Federal personnel. The required documentation for federally funded purchases should

include specifications, solicitations, competitive quotes, proposals, basis for selection decisions, purchase orders, contracts, invoices, and cancelled checks. Grantees who fail to document their purchases may find that their expenditures will be questioned and possibly 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 an 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 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, or critiques a specification to be used for the solicitation for the purchase of a specific product, that vendor or manufacturer cannot submit a bid for that purchase. See Conflicts of Interest below. Grantees shall, on request, make available to DHS pre-award reviewers, 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 possibly 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; or (c) an organization which employs a grantee's officer, employee, or agent, as 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 document fully their purchases may find that their expenditures will be questioned and possibly disallowed.

6. 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.
7. 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 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, proposals, and the basis for selection. Grantees who fail to fully document their purchases may find that their expenditures will be questioned and possibly disallowed.
8. If the grantee is a fire department, they 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 close-out their grants until they demonstrate that they are complying with this requirement. Failure to close-out a previous years' grant may affect the consideration of future awards.

9. 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 2010 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 close-out process.

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 or concerns to the grantee. The grantee must address in writing all regulatory concerns to the satisfaction of the RCO before a letter of certification is issued and participant enrollment can begin. However, development of tools (e.g., survey instruments), protocols, and data gathering approaches may proceed prior to project certification. The grantee must submit annual reports to the RCO, to include evidence of subsequent IRB reviews, amendments, or 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 <i>(if applicable)</i>	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.