

# FY 2013 FIRE PREVENTION AND SAFETY PROGRAM (FP&S) FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)

## OVERVIEW INFORMATION

### Issued By

US Department of Homeland Security (DHS): Federal Emergency Management Agency (FEMA), Grant Programs Directorate (GPD)

### Catalogue of Federal Domestic Assistance (CFDA) Number

97.044

### CFDA Title

Assistance to Firefighters Grants

### Funding Opportunity Announcement Title

Fiscal Year (FY) 2013 Assistance to Firefighters Grants (AFG), Fire Prevention and Safety

### Authorizing Authority for Program

Section 33 of the *Federal Fire Prevention and Control Act of 1974*, (Public Law 93-498), as amended (15 U.S.C. § 2229)

### Appropriation Authority for Program

*Department of Homeland Security Appropriations Act, 2013*, (Public Law 113-6).

### FOA Number

DHS-13-GPD-044-000-98

### Key Dates and Time

Application Start Date:	02/18/2014 at 8:00 a.m. ET
Application Submission Deadline Date:	03/21/2014 at 5:00 p.m. ET
Anticipated Funding Selection Date:	N/A
Anticipated Award Date:	No later than 09/30/2014

### Other Key Dates

N/A

### Intergovernmental Review

Is an intergovernmental review required?  Yes  No

### Application Submission Extension

Is an extension to the application submission deadline permitted?  Yes  No

# FOA EXECUTIVE SUMMARY

## Program Type

Select the applicable program type

New  Continuation  One-time

## Date of Program Origin

10/30/2000 (*Title XVII of the Floyd D. Spence National Defense Authorization Act for Fiscal Year 2001. (Public Law 106–398),*)

## Funding Opportunity Category

Select the applicable opportunity category

Discretionary  Mandatory  Competitive  Non-competitive

**NOTE:** Because FP&S is both a discretionary and competitive financial assistance program, not all FP&S Applications are anticipated to be funded.

## Application Process

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

## FP&S Application Home Page

Links to the FP&S Application portal are available via [Grants.gov](http://www.grants.gov) or the [AFG Web site](#).

For additional details, please see Section IX of the full FOA, page 29.

## Eligible Applicants

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

1. Fire Prevention and Safety Activity (FP&S)
  - Fire Departments  National Organizations  Regional Organizations
  - State Organizations  Local Organizations  Native American Tribal Organizations  Community Organizations with fire prevention and/or fire safety experience or expertise  Private and Public Non-profit Organizations
  
2. Firefighter Safety Research and Development Activity (R&D)
  - National Organizations  Regional Organizations  State Organizations
  - Local Organizations  Academic Universities  Public Health  Occupational Health  Injury Prevention Institutions  Private and Public Non-profit Organizations

For additional details, please see Section III. Eligibility Criteria of this FOA on page 5.

### **Type of Funding Instrument**

Select the applicable funding instrument:

Grant  Cooperative Agreement

### **Cost Share or Match**

Select the applicable requirement:

Cost Share  Cost Match  Voluntary

Grantee cost sharing is 5% for all eligible applicants for both FP&S and R&D Activities unless modified by a waiver, subject to waiver eligibility. For additional details, please see Appendix C, A. Cost Sharing, page 39.

### **Maintenance of Expenditure**

Is there a Maintenance of Expenditure (MOE) requirement?  Yes  No

An applicant seeking an FP&S Grant shall agree to maintain during the term of the grant, the applicant's aggregate expenditures relating to the activities allowable under this FOA, at not less than 80 percent (80%) of the average amount of such expenditures in the two (2) fiscal years preceding the fiscal year in which the grant amounts are received.

### **Management and Administration**

No more than three percent (3%) of FP&S Funds awarded may be retained by the grantee and any funds retained are to be used solely for Management and Administration (M&A) purposes associated with the FP&S Award. This means that the **combined total** of administrative, audit, and grant writer costs charged to the grant shall **not exceed three percent of the total grant award**. For additional details, please see Appendix C, D. Other Allowable Costs, p. 40.

# FULL ANNOUNCEMENT

## I. Funding Opportunity Description

### Program Overview and Priorities

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

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

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

This FOA provides potential applicants with the details of requirements for processing and evaluating applications for financial assistance for both of these activity areas.

The authority of the AFG Program is derived from Sec. 33 of the *Federal Fire Protection and Control Act of 1974*, as amended (15 U.S.C. § 2229).

Congress appropriated \$320,920,083 for AFG grants in the *Department of Homeland Security Appropriations Act, 2013* (Public Law 113-6). As required by statute, FEMA has made available 10 percent of this funding for the *FY 2013 Fire Prevention and Safety (FP&S) Grant Program FOA*.

The grants under FP&S will be awarded on a competitive basis. The appropriated funds are available for obligation by FEMA until September 30, 2014.

## II. Funding Information

### Award Amounts, Important Dates, and Extensions

Available Funding for the FOA:	\$32,092,008
Projected Award Start Date(s):	5/01/2014
Projected Award End Date(s):	8/31/2014
Period of Performance:	12 months from date of award under the FP&S Activity and 12, 24, or 36 months from the date of award under the R&D Activity.

In FY 2013, the total amount distributed under this grant will be \$32,092,008.

Applications and awards are limited to a maximum federal share of \$1.5 million dollars, regardless of applicant type.

### **Period of Performance**

The period of performance under the Fire Prevention and Safety Activity is twelve (12) months. The period of performance under the Research and Development Activity is twelve (12), twenty-four (24), or thirty-six (36) months.

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

Extensions to the period of performance for grants awarded under both the Fire Prevention and Safety Activity and the Research and Development Activity will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required. All extension requests must be submitted to FEMA at least 60 days prior to the end of the period of performance and must address:

- Reason for delay
- Current status of the activity/activities
- Approved period of performance termination date and new project completion date
- Remaining available funds, both federal and non-federal
- Budget outlining how remaining federal and non-federal funds will be expended
- Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion
- Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA
- Potential impacts if FEMA does not approve the extension request or approves the request for a shorter period of time than requested.

### **III. Eligibility Information**

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

- **Fire Prevention and Safety Activity (FP&S):** Eligible applicants for this activity include fire departments, national, regional, state, local, Native American tribal organizations, and nonprofit 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 under the Fire Prevention and Safety Activity.

- **Firefighter Safety Research and Development Activity (R&D):** Eligible applicants for this activity include national, state, local, Native American tribal organizations, and nonprofit organizations, such as academic (e.g., universities), public health, occupational health, and injury prevention institutions. Both private and public non-profit organizations are eligible to apply for funding in this activity.

The aforementioned entities are encouraged to apply, especially those that are recognized for their experience and expertise in firefighter safety, health, and wellness research and development activities. Under the grant program’s authorizing statute, fire departments are not eligible to apply for funding in the R&D Activity. Additionally, for-profit organizations, federal agencies, and individuals are not eligible to receive a grant award under the R&D Activity.

**NOTE:** Eligible applicants (identified by unique federal tax identification numbers) applying for funding under both the FP&S and R&D Activities must do so on the same application. Each project within an application must be presented separately as a free-standing proposal. Applicants may only submit one (1) application, but may submit for up to three (3) projects under each activity (FP&S and R&D). Any applicant that submits more than one (1) application, and requests the same activities, may have *all* applications for any duplicated request(s) deemed ineligible.

**Eligibility Criteria**

The following tables describe the eligible categories under each activity:

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

Eligible Categories for R&D Activity	
<ul style="list-style-type: none"> <li>• Clinical Studies</li> <li>• Technology and Product Development</li> </ul>	<ul style="list-style-type: none"> <li>• Database System Development</li> <li>• Dissemination and Implementation Research</li> <li>• Preliminary Studies</li> </ul>

The following tables describe the projects and items that are ineligible under each activity:

<b>Ineligible Projects and Items for FP&amp;S Activity</b>	
<ul style="list-style-type: none"> <li>• Educational props (i.e., tools that are used in educational or awareness demonstrations) that are not a part of a comprehensive educational program, a planned educational effort, or lack description of these elements *</li> <li>• AED, CPR, or fire extinguisher training for operational staff</li> <li>• Fire hydrants/dry hydrants, supplies, labor, and installation costs</li> <li>• Wildland fire fuel reduction projects that are prescribed burns or fuel reduction equipment</li> <li>• Weather/disaster notification devices (sirens, etc.)</li> <li>• 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</li> <li>• Sprinkler head caps</li> <li>• Development of Administrative Documents (e.g., SOPs, manuals)</li> <li>• Live animals</li> <li>• Firearms</li> <li>• Equipment that is considered entertainment as opposed to educational tools that are part of a comprehensive program</li> <li>• Fire extinguisher training for children under 14 years old and adults over the age of 65</li> <li>• Fire extinguisher training that is not part of a comprehensive* prevention/ education Program</li> </ul>	<ul style="list-style-type: none"> <li>• Fire suppression equipment, supplies, vehicles, firefighting training tools or equipment, personal protective gear, fitness equipment, or immunizations</li> <li>• Installation of sprinkler systems that do not include an educational component</li> <li>• Suppression-related training including Firefighter I, Firefighter II, wildland firefighting, training exercises, or drills for suppression or disasters activities</li> <li>• Communication equipment, including portable radios or computer-aided dispatch (CAD) systems</li> <li>• Community projects that include the use of tot finder/child finder, seniors, or pet finder decals</li> <li>• Hydrant poles or markers</li> <li>• Fire-retardant house gel(s)</li> <li>• Fire safety equipment (e.g., smoke alarms, carbon monoxide detectors, surge protectors) that does not adhere to a fire service recognized standard (e.g., non-UL, listed, ANSI fire safety equipment)</li> <li>• Alarm system and alarm system installation</li> <li>• Equipment that has no intrinsic fire prevention or life safety education application</li> <li>• Command Center Packages on fire safety trailers</li> </ul>

## Ineligible Projects and Items for R&D Activity

- |   |   |
|---|---|
| <ul style="list-style-type: none"><li>• Projects that focus primarily on curriculum development and delivery of education or training materials</li><li>• A descriptive study about the fire service or any study without reduced firefighter injury or enhanced firefighter safety aims</li><li>• Projects with local emphasis and little or no indication of application to the broader fire service</li><li>• Applications that do not adhere to the guidelines related to the contents of the Appendix and Narrative statements</li></ul> | <ul style="list-style-type: none"><li>• Projects that emphasize funding for service delivery</li><li>• Applications that include violations of intellectual property</li><li>• Applications that do not follow the specified page size, font, and margin format</li></ul> |
|---|---|

## IV. Funding Restrictions

### Restrictions on Use of Award Funds

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

### NOTES:

- Pre-award costs (incurred after the application deadline, but prior to award), *may* be eligible for reimbursement if the expenses were justified, unavoidable, and consistent with the grant's scope of work. Requests for pre-award costs must be made via a Scope of Work Amendment to FEMA using the on-line e-Grant management system. The allowability of all pre-award costs will be decided on a case-by-case basis. Applicants who incur pre-award costs assume the risk that FEMA may not allow the applicant to charge these costs to any eventual award they may receive.
- Applicants may only submit one (1) application, but may submit for up to three (3) projects under each activity (FP&S and R&D). Any applicant that submits more than one (1) application, and requests the same activities, may have *all* applications for any duplicated request(s) deemed ineligible.

For additional details, please see Appendix B, Part II. Eligibility Information, C. Restrictions on Use of Award Funds, page 34.

## **Overview of Fire Prevention and Safety Programs and Activities**

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

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

### ***Fire Prevention and Safety (FP&S) Activity***

FEMA desires to provide flexibility to applicants to design innovative strategies and/or unique proposals that reach for a higher level of safety for the public with respect to fire and fire-related hazards. All proposals will be evaluated on how well the applicant demonstrates the understanding of their actual community fire and safety risks. A community risk assessment should be used to document the “risk” as a basis for mitigation. If the applicant has evidence of a community risk, the application should be based on solving the problem that will reduce the risk. A risk analysis should be the foundation of the application. Risk assessments are eligible for funding, however, if selected as activity project, no other projects may be eligible for funding under the FP&S Activity in the 2013 FP&S Grant Application year.

Accordingly, the categories eligible for funding include the following:

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

FEMA encourages applicants designing fire prevention initiatives to utilize the “Fire is Everyone’s Fight™” campaign from the United States Fire Administration (USFA). This program uses a wide range of resources to communicate the importance of taking action to protect ourselves and the people we love from the dangers of fire. “Fire is Everyone’s Fight™” is designed to unite the fire service and many others in a collaborative effort to reduce home fire injuries, deaths, and property loss. It invites fire departments, safety advocates, community groups, schools, and others to rally behind a common and compelling theme. USFA and its partners will communicate and reinforce key lessons across many proven fire safety and prevention initiatives and programs. This initiative can be found at:

[http://www.usfa.fema.gov/fireservice/prevention\\_education/strategies/fire\\_is\\_everyones\\_fight/](http://www.usfa.fema.gov/fireservice/prevention_education/strategies/fire_is_everyones_fight/).

### ***Comprehensive Fire and Life Safety Education Program***

A comprehensive education program goes beyond awareness of risk factors. It is based on a plan that contains elements designed to result in knowledge gain, application of

knowledge, and, ultimately, behavior change based upon understanding and acceptance of new knowledge and skills. The 5-step planning process<sup>1</sup>, as developed by the United States Fire Administration, is used for the design, implementation, and evaluation of comprehensive education programs. Important steps in the process include risk analysis, community partners, intervention strategy, implementation, and evaluation. An intervention strategy that incorporates multiple E's (Education, Engineering, and Enforcement) has the best chance of making a measurable difference.

## EXAMPLE

People learn best when information is presented simply, repeated often, sustained over a period of time, and practiced. This is especially true when educating children about fire and life safety. A comprehensive education program using a fire safety trailer might look like this:

- **Risk Analysis:** The fire department uses local incidence data to identify and prioritize the types of fires occurring in the community. The program planning team ensures appropriate educational messages are included to address the fire problems that are causing these incidents. They focus attention and resources in specific areas or neighborhoods where fire calls are most frequent.
- **Community Partners:** The fire department reaches out to schools in the neighborhoods at highest risk of fire to schedule a safety trailer visit. They partner with classroom teachers, who work with the students ahead of time to prepare for the visit. The teacher introduces key fire safety concepts, along with vocabulary words the firefighters will use during the visit.
- **Intervention Strategy:** The safety trailer is used as a hands-on tool for students to learn and practice what they know about fire safety. Lessons are tailored to the age and ability of the students. For example, the smoke feature is not used for a classroom of preschoolers, as this would frighten some of the children.
- **Implementation:** The trailer visit is implemented as part of a 3-part implementation strategy - before, during, and after. BEFORE the visit, teachers prepare students about what they will learn and do when the trailer visits their school. DURING the visit, firefighters explain key safety messages in simple terms and give students a chance to practice what to do. AFTER the visit, teachers talk with students about what they learned, and encourage them to test their smoke alarms and practice a home fire drill with their families. The teachers help identify families that do not have smoke alarms. When possible, the fire department follows up with these families to install smoke alarms in these homes and educate the parents and caregivers about fire safety. Use of multiple Es might be developmentally and culturally appropriate lessons (Education) combined with free smoke alarm installation (Engineering) according to code requirements (Enforcement).
- **Evaluation:** With the teacher's help, the fire department follows up to determine how many homes installed smoke alarms, tested smoke alarms, and practiced a family fire drill since the visit.

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<sup>1</sup> USFA Public Fire Education Planning, A Five-Step Process  
[http://www.usfa.fema.gov/fireservice/prevention\\_education/strategies/education\\_planning/](http://www.usfa.fema.gov/fireservice/prevention_education/strategies/education_planning/)

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

### General Education/Awareness Priority

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

Therefore, **priority** will be given to programs that target a specific high risk population to conduct both door-to-door smoke alarm installations and provide home safety inspections (including sprinkler awareness), as part of a comprehensive home fire safety campaign. The comprehensive home fire safety campaign should also include an educational program that is delivered to the occupant at the time of the installation and inspection.

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

FEMA, through its FP&S Grants, promotes the use of smoke alarms that are powered by non-removable, non-replaceable batteries that power the smoke alarm for a minimum of 10-years and which are enclosed within a tamper-resistant housing.

Applicants who do not plan on smoke alarms that are powered by non-removable, non-replaceable batteries that power the smoke alarm for a minimum of 10-years and which are enclosed within a tamper-resistant housing should address the rationale for using alternatives.

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

**Smoke Alarms:** Applicants who are unable to meet the above stated funding priority (door-to-door installations and home safety inspections) for this

**Public Education:** National or local projects that promote the reduction of injury due to fire or other safety hazards are eligible under this activity.

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

category are still eligible to apply for smoke alarms, but will not receive a priority rating. This includes projects that encompass educational components that teach how smoke alarms work to provide early warning in case of a fire, while promoting the installation of smoke alarms and/or inspections to assure that previously installed smoke alarms are operational. Applicants who will not perform installation of the alarms should discuss in their Narrative Statement the methodology for ensuring that the alarms will be properly installed. FP&S Grants promote the use of smoke alarms that are powered by non-removable, non-replaceable batteries that power the smoke alarm for a minimum of 10-years and which are enclosed within a tamper-resistant housing. Applicants that do not plan on using these types of alarms should address the rationale for using alternatives.

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

**Sprinkler Awareness:** Projects that affect the entire community, such as educating the public about residential sprinklers, promoting residential sprinklers, and demonstrating working models of residential sprinklers, are eligible. Installation of sprinkler systems is only eligible if proposed as part of a sprinkler educational effort.

**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, in a targeted location as part of an awareness and education effort, are considered. Prescribed burns and fuel reduction equipment are not eligible.

**Training:** Local or regional projects to educate or train personnel in the area of public education are eligible under this activity.

**Juvenile Firesetter Projects:** Projects that are designed to mitigate the instances of fire set by children are eligible under this activity. Projects

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

	<p>may have treatment and intervention components. The intervention components should be age appropriate.</p>
<p><b>General Prevention/Awareness:</b> Projects that include general prevention initiatives, including studies, lock-box installation, Carbon-Monoxide (CO) detectors, address markers, cooking range technologies, etc., will be eligible under this activity.</p>	<p><b>Risk Assessments:</b> Applicants may request assistance to conduct formal or informal risk assessments of their target audience vulnerabilities with respect to fire.</p> <p><b>Note:</b> <i>Applications that request a risk assessment are precluded from applying for additional projects.</i></p>

**Code Enforcement/Awareness Priority**

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

**Code Enforcement/Awareness Eligible Projects**

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

**Fire & Arson Investigation Priority**

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

## Fire & Arson Investigation Eligible Projects

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

## National/State/Regional Programs and Studies

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

### ***Research and Development (R&D) Activity***

The goal of the R&D Activity is to reduce firefighter line-of-duty fatalities and injuries through research to improve firefighter safety, health, and wellness.

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

Projects that meet the intent of this research agenda with respect to firefighter health and safety, as identified by the NFFF 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.

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

Since the R&D Activity aims to improve the safety, health, and wellness of firefighters, having strong partnerships with the fire service is essential to the likely relevance and effectiveness of the project. Letters of commitment to actively participate in the project from the fire service are encouraged and may be inserted in the Appendix Section of the application for funding.

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

Ultimately, the use of cost effectiveness results will be based on the overall study being successful and finding that firefighter safety, health, and wellness was improved by the program, policy, or product.

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

Proposed projects must address the potential for a successful research outcome to be implemented in the fire service and reduce firefighter fatalities or injuries.

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

## Clinical Studies

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

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

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

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

These may include the following:

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

Where evidence exists to progress to more applied research, the study should

## Clinical Studies

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

Where the effectiveness of an intervention has been established in the field setting, the final level of study aims to facilitate adoption of the research results in the fire service by conducting dissemination and implementation research. Such study may investigate the impact of strategies for widespread implementation with fidelity (see Dissemination and Implementation R&D Activity category).

## Technology and Product Development

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

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

As the intention of the R&D Activities is to deliver outcomes that are likely to be implemented nationally by the fire service, inclusion of a cost-effectiveness analysis is encouraged.

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

## Database System Development

Database systems are used for the systematic collection of information that aims to determine the predictors and correlates for incidents pertaining to fatal and non-fatal

injuries. The focus of the data collection may be, but is not limited to:

- Firefighter demographic and health factors (e.g., age, blood pressure)
- Firefighter employment factors (e.g., shift, volunteer, training)
- Firefighter safety behaviors (e.g., seat belt use, hydration)
- Firefighting equipment
- Personal protective equipment (PPE)
- Departmental/organizational safety policies and practices
- Cultural or social norms regarding injury prevention practices
- Community-based resources (e.g., hospitals, communication systems)
- Environmental factors such as local building structures, types of building materials

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

### **Dissemination and Implementation Research**

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

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

### **Preliminary Studies**

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

## V. Application Review and Selection Information

### Application Review Information

#### ***Pre-Screening Process***

Program staff will screen submitted applications to affirm the eligibility for award of both the applicants and projects. Ineligible applications will not be considered for funding. For R&D applications, panels of reviewers will be assigned that includes fire service experts and science and technology experts who have expertise pertaining to the subject matter of the proposal.

#### ***Technical Evaluation Process – Fire Prevention and Safety Activity***

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

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

#### ***Technical Evaluation Process – Research and Development Activity***

All R&D applications will go through a preliminary review process. Eligible applications will be reviewed and scored by a panel of fire service experts to assess the need for the research results and the likelihood that the results would be implemented by the fire service in the United States.

The applications that are determined most likely to be implemented to enable improvement in firefighter safety, health, or wellness will be deemed to be in the "competitive range" and will be forwarded to the second level of application review, which is the scientific panel review process. This panel will be comprised of scientists and technology experts who have expertise pertaining to the subject matter of the proposal.

Scientific reviewers will independently score applications in the competitive range and, if necessary, discuss the merits or shortcomings of the application in order to reconcile any major discrepancies identified by fellow reviewers. A consensus is not required.

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

## Application Selection Process

### ***Evaluation Criteria for Projects - Fire Prevention and Safety Activity***

Funding decisions will be informed by an assessment of how well the application addresses the criteria and considerations listed below. Applications will be reviewed by the TEP using weighted evaluation criteria to score the project. These scores will impact the ranking of a project for funding.

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

- **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 to reduce risk by conducting a risk analysis as a basis for action. Vulnerability is a "weak link" demonstrating high risk behavior, living conditions or any type of high risk situation or behavior. The Vulnerability Statement should include a description of the steps taken to determine the vulnerability (weak link) and identify the target audience. The methodology for determination of vulnerability (how you found the weak link) should be discussed in-depth in the application's Narrative Statement.
  - The specific vulnerability (weak link) that will be addressed with the proposed project can be established through a formal or informal Risk Assessment. FEMA encourages the use of local statistics, rather than national statistics, when discussing the vulnerability.
  - The applicant should summarize the vulnerability (weakness), the project will address in a clear, to-the-point statement. Who is at risk, what the risks are, where the risks are and how the risks can be prevented.
  - For the purpose of the FY2013 FP&S FOA, formal Risk Assessments consist of the use of software programs or recognized expert analysis that assess risk trends.
  - Informal Risk Assessments could include an in-house review of available data (e.g., NFIRS) to determine fire loss, burn injuries or loss of life over a period of time, and the factors that are the cause and origin for each occurrence.
- **Implementation Plan (20%):** Each project 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:
  - Goals and objectives.

- Details regarding the methods and specific steps that will be used to achieve the goals and objectives.
  - Timelines place the project steps in the order they will be accomplished.
  - Where applicable, examples of marketing efforts to promote the project, who will deliver the project (e.g., effective partnerships), and the manner in which materials or deliverables will be distributed.
  - Requests for props (i.e., tools used in educational or awareness demonstrations), including 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 describing the efforts that will be used to reach the high risk audience and/or the number of people reached through the proposed project (examples of props include safety trailers, puppets, robots, or portable safety houses).
- **Evaluation Plan (20%):** Projects should include an evaluation of 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. Applicants should demonstrate how they will measure risk at the outset of the project in comparison to how much the risk decreased after the project is finished. There are various ways to measure the knowledge gained about fire hazards, including the use of surveys, pre- and post-tests, or documented observations.
  - **Cost-Benefit (10%):** Projects will be evaluated based on how well the applicant addresses the fire prevention needs of the department or organization in an economic and efficient manner. It should show how to 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 and a description of how the anticipated benefit(s) of their projects outweighs the cost(s) of the requested item(s) should be included. It should provide justification for costs assists the Technical Evaluation Panel with this review.
  - **Sustainability (15%):** Each project will also be evaluated to determine whether the overall activity will be sustained (continued) beyond the grant performance period and whether it has a greater potential for long-term benefits. Examples of sustainable projects can be shown through the long-term benefits derived from the delivery of the project, the number of non-federal partners likely to continue the effort, or the demonstrated long-term commitment of the applicant.
  - **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.

- **Funding Priorities (5%):** Applicants will be evaluated on whether or not the proposed project meets the stated funding priority for the applicable category.
  - **General Education/Awareness Priority:** Comprehensive home fire safety campaign with door-to-door smoke alarm installations.
  - **Fire/Arson Investigation Priority:** Projects that aim to aggressively investigate every fire.
  - **Code Enforcement/Awareness Priority:** Projects that focus on first time or reinstatement of code adoption and code enforcement.
  - **National/State/Regional Programs and Studies Priority:** Projects that focus on residential fire issues and/or firefighter safety projects or strategies that are designed to measureable change firefighter behavior and decision-making.
- **Experience and Expertise (additional consideration):** Applicants that demonstrate their experience and ability to conduct fire prevention and safety activities, and to execute the proposed or similar project(s), will receive additional consideration.
- **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.
- **Meeting the needs of people with disabilities (additional consideration):** Applicants in the General Education/Awareness category will receive additional consideration if, as part of their comprehensive smoke alarm installation and education program, they address the needs of people with disabilities (e.g., deaf/hard-of-hearing, etc.) in their community.

### ***Evaluation Criteria for Projects - Firefighter Safety Research and Development Activity***

Funding decisions will be informed by an assessment of how well the application addresses the criteria and considerations listed below. All applications will be reviewed by a fire service expert panel using weighted evaluation criteria and those applications deemed to be in the "competitive range" will then be reviewed by a scientific peer review panel evaluation using weighted evaluation criteria to score the project. These scores will impact the ranking of a project for funding. In addition, other Science Panel considerations are indicated in the list below:

### ***Fire Service Evaluation Criteria:***

- **Purpose (25%):** Clearly identify the vital firefighter safety and wellness issue(s) addressed by the project proposal that would benefit from additional research to fill in gaps in knowledge.
- **Potential Impact (15%):** Discuss the potential impact of the research outcome/product on firefighter safety by quantifying the possible reduction in the number of fatal or non-fatal injuries or on wellness by significantly improving the overall health of firefighters.
- **Implementation by Fire Service (25%):** Discuss how the outcomes/products of this research, if successful, are likely to be widely/nationally adopted and accepted by the fire service as changes that enhance safety and wellness.
- **Partners (20%):** Describe the fire service partners that will support the project to accomplish the objectives of the study. The specific roles and contributions of the partners to the project should be described. Partnerships may be formed with local and regional fire departments and also with national fire-related organizations. Because grants under the R&D Activity aim to improve the safety, health, and wellness of firefighters, having strong partnerships with the fire service is essential to the likely relevance and effectiveness of the project. Letters of support and letters of commitment to actively participate in the project should be included in the Appendix of the application.
- **Barriers (15%):** The applicant needs to identify fire service and other potential barriers to the successful completion of the project and strategies to overcome such barriers if they materialize.

### ***Science Panel Evaluation Criteria:***

- **Project goals, objectives, and specific aims (15%):** Applicants need to address how the purpose, goals, objectives, and aims of the proposal will lead to results that will improve firefighter safety, health, and wellness. For multi-year projects, greater detail should be given for the first year. Also, describe the specific goals and objectives for the second and third year.
- **Literature Review (10%):** With reference to the project's goals, objectives, and specific aims, provide a literature review that includes citations in the text and references at the end of the Narrative Statement (and not in the Appendix) of the application. The review should be in sufficient depth to make it clear that the proposed project is necessary, adds to an existing body of knowledge, is different from current and previous studies, and offers a unique contribution.

- **Project Methods (20%):** This is a description of how the project will be carried out, including demonstration of the overall scientific and technical rigor and merit of the project. This provides the operations to accomplish the purpose, goals and objectives, and the specific aims previously stated. Plans to recruit and retain human subjects, where applicable, should be described. Where human subjects are involved in the project, describe plans for submission to the Institutional Review Board (IRB) (see Appendix B, Part IV. Human Subjects Research, p. 36, for further guidance and requirements).
- **Project Measurements (15%):** Provide evidence of the technical rigor and merit of the project, such as data pertaining to validity, reliability, and sensitivity (where established) of the equipment, instruments, standards, and procedures that will be used to carry out the specific aims previously stated. Data is collected to evaluate the performance of methods, technologies, and products proposed to enhance firefighter safety, health, and wellness. Measurement methods and equipment selected for use should be appropriate and sufficient to the project objectives.
- **Project Analysis (10%):** Indicate the planned approach for analysis of the data obtained from measurements, questionnaires, or computations. Specify within the plan what will be analyzed, the statistical methods that will be used, the sequence of steps, and interactions as appropriate. It should be clear that the Principal Investigator (PI) and research team have the expertise to perform the planned analysis and defend the results in a peer review process.
- **Resources - People and Facilities (15%):** Describe the strengths of the PI, the lead scientists, and other staff of the research and development team, especially with regard to similar R&D Activities, studies involving the fire service, and successful completion of prior grant-funded research and development. Also describe the institutional resources (e.g., labs, experimental facilities) to be used to support and carry out the proposed project. Emphasis should be given to unique people and facilities that contribute substantially to the project in addition to past fire service research.
- **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 Web sites, magazines, and conferences). Also, assuming positive results and where applicable, indicate future steps that would support dissemination and implementation throughout the fire service. These are likely to be beyond the current study, so those features of the research activity that will facilitate future dissemination and implementation should be discussed. All applicants should specify how the results of the project, if successful, might be disseminated and implemented in the fire service to improve firefighter safety, health, and wellness, especially in the short term. It is expected that successful R&D Activity Projects may give rise to future programs including FP&S Activity Projects.

- **Cost vs. Benefit (additional consideration):** Cost vs. benefit in this evaluation element refers to the costs of the grant for the research and development project vs. the benefits that are projected for firefighters who would have improved safety, health, and wellness. Projects will be evaluated on the extent to which they demonstrate a high benefit for the cost incurred.
- **Financial Need (additional consideration):** In the Narrative Statement, applicants should provide details on the need for federal financial assistance to carry out the proposed project(s).

## Research and Development (R&D) Activity Formatting Requirements

1. Application must include one Narrative Statement and one Appendix document (per project).
2. The Narrative Statement for the R&D Activity is limited to 20 pages per project. The first page of the Narrative Statement must include an abstract of about 250 words that address purpose and aims, relevance, methods, and anticipated outcomes. All narrative text, including references and footnotes must be in the Narrative Statement. In addition, it must include the R&D category type, which the project is addressing, and contact information (e-mail address and telephone number) for the principal investigator must be provided on the first page of the Narrative Statement.
3. It may be useful to organize the Narrative Statement to follow the R&D Evaluation Criteria.
4. All references and footnotes pertaining to the Narrative Statement must be in the Narrative Statement rather than the Appendix document. Major tables and figures may be included in either the Narrative Statement or the Appendix document.
5. The Appendix is limited to 20 pages per project that includes curriculum vitae and may include other items, such as data collection instruments, additional tables and figures, illustrations, specifications for product designs, and letters of commitment from partners.
6. Curriculum Vitae (CVs) for the PI and lead scientists, as well as other key research personnel listed in the budget, are to be included in the Appendix, but are limited to a maximum of two pages per CV. Applicants are strongly encouraged to follow the biographical sketch sample (see Appendix B, Biographical Sketch Sample, p. 38) in preparing CVs.
7. **Font:** Times New Roman or Arial.
8. **Font Size:** 11 points (11 pt) or larger.
9. **Page Dimensions:** Page dimensions must be 8.5" x 11" (21.6 cm x 27.9 cm) or smaller.
10. **Margins:** All margins (top, bottom, left, and right) must be at least 1" (2.54cm).
11. **Header:** The header on each page of the Narrative Statement and the Appendix should contain:

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

### **Other Selection Information**

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

Fire departments that have received FP&S Grant funding in previous years are eligible to apply for funding in the current year. FEMA may, however, 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 FEMA. Once a preliminary determination of award recommendations is made, applicants will be contacted, if necessary, to discuss and/or negotiate the content of the application.

## **VI. Post-Selection and Pre-Award Guidelines**

### **Notice of Award**

Successful applicants for all DHS Grants are required to comply with DHS Standard Administrative Terms and Conditions detailed in Section 6.1.1 of the *CFO Authority for Financial Assistance and Oversight*. For more information, please contact the AFG Help Desk at (866) 274-0960 or by email at [firegrants@fema.gov](mailto:firegrants@fema.gov).

Please also see Appendix C, Section F. Administrative and National Policy Requirements, p. 48.

Upon approval of an application, the award will be made in the form of a grant. The date the approval of award is entered in the system is the "award date." For the AFG FP&S Grants, notification of award approval is made through the e-Grants system through an automatic email to the grantee point of contact listed in the initial application.

Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under federal awards.

AFG will evaluate and act on applications within 90 days following the close of the application period. It is projected that awards will be made on or before May 1, 2014, but no later than September 30, 2014.

## **1. Administrative and Federal Financial Requirements**

Grantees are obligated to submit various financial and programmatic reports as a condition of their award acceptance. Please see below for a summary of financial and programmatic reports required. A complete list of Federal Financial Requirements is available at: [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms).

**NOTE:** Future awards and fund drawdowns may be withheld if these reports are delinquent.

### **1. Federal Financial Reports (SF-425)**

Recipients of AFG Grants awarded on or after October 1, 2009 are required to submit semi-annual Federal Financial Reports (FFR) (SF-425). The FFR is to be submitted using the on-line e-Grant system based on the calendar year beginning with the period after the award is made. Grant recipients are required to submit an FFR throughout the entire period of performance of the grant.

Reports are due:

- **June 30** (for period January 1 – June 30) and no later than July 30
- **December 31** (for period July 1 – December 31) and no later than January 31
- Within 90 days after the end of the Period of Performance

For *line by line* instructions for completing the SF-425, please visit:

[http://www.whitehouse.gov/sites/default/files/omb/grants/standard\\_forms/ffr\\_instructions.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/standard_forms/ffr_instructions.pdf).

### **2. Grant Closeout Process**

Within 90 days after the end of the period of performance, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a closeout notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three (3) years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records.

## **2. Program Performance Reporting Requirements**

### **1. AFG (Programmatic) Performance Report**

The awardees will be responsible for providing updated project(s) information on a semi-annual basis. The grantee is responsible for completing and submitting a programmatic Performance Report using the e-Grant system. The programmatic

Performance Report is due six (6) months after the grant's award date and every six months after, as applicable.

## **2. Monitoring**

Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

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

## **3. Federal Funding Accountability and Transparency Act**

This act refers to reporting requirements under the *Federal Funding Accountability and Transparency Act of 2006* (FFATA) (Public Law 109-282), as amended by Section 6202(a) of the *Government Funding Transparency Act of 2008* (Public Law 110-252). As defined by the OMB, all new federal awards of \$25,000 or more as of October 1, 2010 are subject to FFATA reporting requirements. "Federal awards" include not only prime awards for grantees, cooperators, and contractors, but also awards to sub-recipients. More information can be found at <http://www.usaspending.gov/news>.

## **4. 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/yellowbook>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at [http://www.whitehouse.gov/omb/circulars\\_default](http://www.whitehouse.gov/omb/circulars_default).

Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. Recipients are responsible for ensuring that sub-recipient audit reports are received and are used for resolving any audit findings.

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

## **5. Required performance and financial reports for Grant Closeout**

Required performance, financial reports for Grant Closeout, and final performance report Narrative (within the Closeout module in the e-Grant system)

are due 90 days after the end of the period of performance. The Final SF-425 is due 90 days after the end of the grant period.

## **VII. DHS/FEMA/GPD/AFG Contact Information**

### **Contact and Resource Information**

Resources are available to:

- Guide applicants in completing FP&S Grant Applications
- Assist grantees with the programmatic or financial administration of an award

#### **1. AFG Help Desk**

The [AFG Help Desk](#) provides technical assistance to applicants for the on-line completion and submission of applications into the e-Grant system, answers questions concerning applicant eligibility and grantee responsibilities, and offers assistance in the programmatic administration of awards. The Help Desk can be contacted at (866) 274-0960 or by email at [firegrants@fema.gov](mailto:firegrants@fema.gov). Normal hours of operation are from 8:00 a.m. to 4:30 p.m., Monday through Friday. All times listed are Eastern Standard Times.

#### **2. FEMA Regional Fire Program Specialists**

Each FEMA region has specialists that can assist organizations with application information, award administration, and technical assistance. For information on your regional specialist, visit <http://www.fema.gov/fire-grant-contact-information>.

#### **3. Grant Programs Directorate (GPD):**

FEMA will provide pre- and post-award administration and technical assistance for the grant programs included in this solicitation. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail at [ASK-GMD@dhs.gov](mailto:ASK-GMD@dhs.gov).

#### **4. e-Grant System Information:**

For technical assistance with the e-Grant system, or FP&S Application or Award questions, please contact the [AFG Help Desk](#). The Help Desk can also be contacted at (866) 274-0960.

## **VIII. Other Critical Information**

### **National Incident Management System (NIMS) Implementation**

Prior to allocation of any federal preparedness awards in FY 2013, grantees must ensure and maintain adoption and implementation of NIMS.

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment, and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, inventorying, and cataloging promote a strong national mutual aid capability needed to

support delivery of core capabilities. Additional information on resource management and national Tier I NIMS Resource Types can be found at <http://www.fema.gov/resource-management>.

**NOTE:** FEMA's current policy does not require FP&S Grants Applicants to be in compliance with NIMS either to apply for FP&S Grant funding or to successfully receive an FP&S Grant award. Any department that receives a FY 2013 Award will have until the end of that grant's period of performance to achieve the necessary NIMS compliance level.

- Additional detailed information on NIMS can be obtained from the FEMA [NIMS Resource Center](#) Web site.
- The list of NIMS objectives against which progress and achievement are assessed and reported can be found at <http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtml#item>

FEMA has developed the *NIMS Guidelines for Credentialing of Personnel* to describe national credentialing standards and to provide written guidance regarding the use of those standards. These guidelines describe credentialing and typing processes and identify tools that Federal Emergency Response Officials (FERO) and emergency managers at all levels of government may use routinely to facilitate multijurisdictional coordinated responses.

Although state, local, tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines, FEMA strongly encourages them to do so in order to leverage the federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information can be found at [http://www.fema.gov/pdf/emergency/nims/nims\\_alert\\_cred\\_guideline.pdf](http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf).

## **IX. How to Apply**

### **Application Instructions**

The AFG e-Grant application system is only accessible through the AFG Application Portal at <https://portal.fema.gov/>.

There are several ways to get AFG Application information:

- AFG Web site (<http://www.fema.gov/firegrants>)
- Grants.gov (<http://www.grants.gov>)
- USFA Web site (<http://www.usfa.fema.gov>)

**NOTE:** Do not use any browsers other than Internet Explorer (IE 6 or higher) when entering your information. Do not have multiple browsers ("windows") open when entering your information, even if you're using Internet Explorer (IE 6 or higher). There

are several known problems entering application information using non IE browsers, or having multiple browsers open, including but not limited to:

- System failure to recognize correct information
- System failure to capture and retain correct information
- System functions like “cut and paste” being disabled
- System resources like Help screens or drop down menus being unavailable

There is *no appeal process* for inaccurate or incomplete information retained by the system due to improper or multiple browser usage by the applicant.

Prior to submission and up to the application deadline, the on-line application can be saved, retrieved, or edited as required.

Application tools, resources, and Frequently Asked Questions (FAQs) help explain the current AFG Grant programs, assist with the on-line grant application, and highlight lessons learned and changes for FY 2013. For more details, please click here to visit the AFG Web site at [www.fema.gov/firegrants](http://www.fema.gov/firegrants).

**IMPORTANT:** Once you have submitted your application, you cannot change it. You will not be allowed to update your application for any reason. The primary point of contact listed in the application will automatically be notified via e-mail once your application is received.

## **X. Application and Submission Information**

**NOTE:** Applicant registration in the System for Award Management (SAM) is a requirement *prior* to any FP&S Application(s) submission for FY 2013. Registration in SAM is free. To register, please visit <https://www.sam.gov/portal/public/SAM/>.

Per 2 C.F.R. § 25.205, FEMA may not make an award to an entity until the entity has complied with the requirements to provide a valid DUNS number and maintain an active SAM registration with current information.

FEMA will not process any payment request or consider any amendment until the grantee has complied with these requirements. SAM is a free Web site which consolidates federal procurement systems and the Catalog of Federal Domestic Assistance. Please ensure that your organization’s name, address, DUNS number, and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used to apply for all FEMA applications. Future payments will be contingent on the information provided in SAM; therefore, it is imperative that the information is correct.

The FP&S Application information *must* match your organization’s SAM Profile.

**NOTE:** Is your SAM Profile marked Private? If your profile is “Private,” FEMA Grants Management Specialists will not be able to verify your active SAM registration. We

recommend that you mark your SAM profile as “Public.” Sensitive banking and financial data are not revealed in the “Public” profile.

There are several ways to get help with SAM:

- Submit a Question to the [Federal Service Help Desk](#) managed by the General Services Administration (GSA). Tell them the issues you have and how they can contact you.
- Use self-service by searching the [Answer Center](#) at <http://www.fsd.gov/app/answers/list>.
- Call (866) 606-8220 (toll-free)

### **FP&S Application via e-Grant system**

- Eligible applicants can only apply for FP&S Grant funding on-line via the e-Grant application at [AFG Application portal](#). The system will allow an authorized representative to login and create a user name and password.
- **User Name/Password** If you have submitted any Assistance to Firefighters Grants (AFG, SAFER, FP&S, or SCG) applications in a previous grant cycle, then you must continue to use the same user name, password, and DUNS number for your FY 2013 FP&S application. If you have forgotten your password or your primary point(s) of contact have changed, please visit <http://www.fema.gov/frequently-asked-questions-1> for instructions on how to update and correct your organization’s information.
- **Turn Down Notifications:** All applicants that do not receive an FY 2013 FP&S Award will receive a decision letter from FEMA that briefly describes those application factors that did not adequately align to the higher AFG Program priorities and consequently, why the application did not score high enough for further consideration. Due to the historical volume of turndowns for these grants, a detailed debrief for each applicant will not be possible.

### **Application Tips**

- For the most competitive application, select those *local need(s)* that most closely align with the highest FP&S Program priority(ies).
- When filling out the on-line application, applicants are required to provide *basic* demographic information regarding their department and the community served, but applicants must provide *detailed* information regarding the items or activities for which they are seeking funding.
- If awarded, your application request(s) may be modified during the award review process; if the awarded activities, Scope of Work, or amount(s) don't match your application as submitted, the Grantee shall only be responsible for completing the activities actually funded. The Grantee is under no obligation to start, modify, or complete any activities requested, but not funded by this award. Please review Award Package.

## **Content and Form of Application**

### **1. Required Forms and Registrations (Included in the E-Grant Application)**

- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- [FEMA Form 20-16C](#) - Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements

### **2. DUNS Number**

The applicant must provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number with their application. This DUNS number is a required field within Grants.gov and for SAM registration.

Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at (866) 705-5711.

### **3. Valid Registration in System for Award Management (SAM) which replaced the Central Contractor Registration (CCR)**

*Registration in SAM is a requirement prior to any FP&S Application submission for FY 2013.*

The FP&S application process requires a current registration by the applicant, which must be confirmed at <https://www.sam.gov/portal/public/SAM/>. For more information on the SAM.gov requirements, please see page 30.

### **4. Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS)**

The TDD/FIRS number available for this announcement is (800) 462-7585.

## Appendix A - PROGRAM SPECIFIC ALLOCATIONS

### 1. Funding Guidance – Fire Prevention and Safety Grant Awards

- FEMA must assure that grant awards align and comply with the program's authorization in Section 33 of the *Federal Fire Prevention and Control Act of 1974*, Public Law 93-498, as amended (15 U.S.C. § 2229).
- The Fire Prevention and Safety Grants program is both a discretionary and competitive direct financial assistance program, as such not all FP&S Applications are anticipated to be funded.

## Appendix B - APPLICATION AND REVIEW INFORMATION

### Part I. Introduction

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

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

#### 1. 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 FOA for the FP&S Grant program 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 Section V – Application Review and Selection Information - of this FOA.

### Part II. - Eligibility Information

#### 1. Multiple Projects

Applicants may only submit one (1) application, but may submit for up to three (3) projects under each activity (FP&S and R&D). Any applicant that submits more than one (1) application, and requests the same activities, may have *all* applications for any duplicated request(s) deemed ineligible.

### **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:

- Launch a public education project
- 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.

## **2. 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 FP&S Grant program.

## **3. Restrictions on Use of Award Funds**

Each requested project in each activity will be reviewed and scored on its own merit.

## **4. Prioritization of AFG Grant Awards**

In awarding grants, the Administrator of FEMA shall consider the following:

- The findings and recommendations of the TEP

- The degree to which an award will reduce deaths, injuries, and property damage by reducing the risks associated with fire related and other hazards
- The extent of an applicant's need for an FP&S Grant and the need to protect the United States as a whole

## 5. New for FY 2013

**Help FEMA Prevent Fraud, Waste, and Abuse:** If you have information about instances of fraud, waste, abuse, or mismanagement involving FEMA programs or operations, you should contact the DHS OIG Hotline at (800) 323-8603; by fax at (202) 254-4297; or e-mail [DHSOIGHOTLINE@dhs.gov](mailto:DHSOIGHOTLINE@dhs.gov). For more information, see Appendix C, C. Procurement Integrity, p. 44.

**National Fire Incident Reporting System (NFIRS):** While NFIRS reporting is strongly encouraged, NFIRS reporting is not a requirement to apply for, or be awarded a grant within the AFG Program. However, any fire based organization(s) that receives an AFG Grant must commence reporting to NFIRS prior to the beginning of their period of performance. In order to be compliant and closeout the grant, the grantee may be asked by FEMA to provide proof of compliance in reporting to NFIRS. Any grantee that stops reporting to NFIRS during their grant's Period of Performance is subject to having their award(s) modified or withdrawn.

**System for Award Management (SAM)** has replaced CCR. [Sam.gov](http://Sam.gov) registration is free. FEMA will not accept any application(s), make any award, process any payment request, or consider any amendment until the applicant or grantee has complied with the requirements to provide a valid DUNS number and an active SAM registration with current information.

**Former Central Contractor Registration (CCR) Registrants:** Banking information, EIN number, organization/entity name, address, and DUNS number provided in your FP&S application must match the information that you provided in SAM.gov. SAM will send notifications to the registered user via email 60, 30, and 15 days prior to expiration of the record. You can search for registered entities in SAM by typing the DUNS number or business name into the search box.

A valid SAM Registration is a requirement to apply for an FP&S Grant. Per 2 C.F.R. Part 25, all grant applicants must have an active current SAM registration status at the time of application and throughout the duration of any federal award.

## Part IV. Human Subjects Research

The information in this appendix pertains only to those studies that include human subjects. Human subjects may be, for instance, firefighters who participate in laboratory or field testing. As it would be standard practice for such research in the clinical sciences, all Principal Investigators (PIs) with studies involving human subjects must

submit their protocols to their local Institutional Review Board (IRB). IRB approval must precede any research activities involving human subjects.

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

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

DHS/FEMA has a responsibility to ensure that mechanisms and procedures are in place to protect the safety of human subjects in DHS/FEMA supported research. DHS requirements are set forth in DHS Management Directive No. 026-04, Protection of Human Subjects, which adopts Title 45 Code of Federal Regulations (C.F.R.) Part 46, Subparts A-D. A grantee must agree to meet all DHS requirements for studies using human subjects (and ensure any sub-grantees or sub-contractors meet those requirements) prior to implementing any work with human subjects. Therefore, before enrolling participants or commencing research involving human subjects, a grantee will provide a copy of the following for review and approval by the DHS Regulatory Compliance Office (RCO):

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

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

## BIOGRAPHICAL SKETCH SAMPLE

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

**Font: Minimum 11pt; Times New Roman or Arial; Pages: Maximum two.**

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

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

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

## Appendix C - AWARD ADMINISTRATION INFORMATION

*Appendix C contains more detailed information on FP&S Award Administration. Reviewing this information may help grantees in the programmatic and financial administration of their award(s).*

### A. Cost Sharing

- FEMA generally administers cost sharing requirements in accordance with 44 C.F.R. § 13.24 for grants to state and local government entities, and with 2 C.F.R. § 215.23 for grants to institutions of higher education and other non-profit organizations.

**NOTE:** The Administrator of FEMA may waive or reduce Cost Share requirements in cases of demonstrated economic hardship.

The grantee is *not* required to have the cost-share at the time of application, nor at the time of award. However, 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 cost sharing requirement.

All grantees should ensure that they are thoroughly familiar with FEMA's administration of cost sharing requirements identified herein, as well as in appropriate cost principles in Title 2 of the Code of Federal Regulations, Parts 225 and 230, and the AFG FAQs available at [www.fema.gov/frequently-asked-questions-0](http://www.fema.gov/frequently-asked-questions-0).

### Types of Contributions

#### 1. Cash

Cost share match (cash or hard match), including non-federal cash spent for project-related costs.

#### 2. In-Kind

In-kind (soft; other than cash payments) cost share matches are allowable for FP&S Grants. Such matches include, but are not limited to, the valuation of in-kind services, complementary activities, provision of staff, facilities, services, material, or equipment. In-kind is the value of something received or provided that does not have a cost associated with it. For example, where an in-kind match is permitted, then the value of donated services could be used to comply with the match requirement. Also, third party in-kind contributions may count toward satisfying match requirements, provided the grantee receiving the contributions expends them as allowable costs in compliance with provisions listed above.

Grantees who use in-kind contributions for their 5% cost share must comply with all applicable regulations and OMB Circulars regarding matching or cost-sharing. Applicants who are under consideration for award and plan to use in-kind as their

method for cost sharing will be asked to submit their plan for documenting and verifying in-kind contributions prior to award. For more information on the OMB circulars, A-87, A-102 and A-110, please visit <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

## **Cost Share Requirements**

All FP&S Grants have a 5% cost share.

### **1. Maintenance of Effort**

An applicant seeking an FP&S Grant shall agree to maintain during the term of the grant the applicant's aggregate expenditures relating to the activities allowable under this FOA at not less than 80 percent (80%) of the average amount of such expenditures in the two (2) fiscal years preceding the fiscal year in which the grant amounts are received.

**NOTE:** The Administrator of FEMA may waive or reduce Maintenance of Effort requirements in cases of demonstrated economic hardship.

### **2. Economic Hardship Waivers (Cost Share/Maintenance of Effort)**

In cases of demonstrated economic hardship, and upon the request of the grantee, the Administrator of FEMA may waive or reduce a grantee's cost share requirement or maintenance of expenditure requirement for certain grantees. Prior to making grant awards, FEMA will provide detailed eligibility criteria and submission instructions. Per 15 U.S.C. § 2229(k)(4)(C), FP&S Grantees that are not fire departments are not eligible to receive a cost share reduction or waiver.

## **B. Other Allowable Costs**

### **1. Administrative Costs / Management and Administration:**

No more than three percent (3%) of FP&S Funds awarded may be used solely for management and administration with the AFG under any of the program areas listed above in accordance with 2 C.F.R. Part 225, Cost Principles for state, local, and Indian Tribal Governments (OMB Circular A-87) or 2 C.F.R. Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122), as applicable. Applicants may apply for administrative costs if the costs are directly related to the implementation of the program for which they are applying. Administrative costs are identifiable costs directly associated with the implementation and management of the grant and cannot exceed three percent (3%) of the award.

If you are requesting administrative expenses, you must list the costs under the "Other" category in the budget, and explain the purpose for the administrative costs in your Project Narrative. Administrative costs should be based on actual expenses only, not a percentage of the overall grant. Examples of eligible administrative costs include shipping, office supplies, and computers and software associated with the NFIRS reporting requirements.

Grant funds may not be used for insurance, Internet service provider fees, or any similar monthly service fees.

## **2. Indirect Costs**

Indirect costs are allowable only if the applicant has an approved indirect cost rate with the cognizant federal agency. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant federal agency) is required at the time of application. Indirect costs will be evaluated as part of the application for federal funds to determine if allowable and reasonable.

## **3. Audit Costs**

Recipients of federal funding that spend in excess of \$500,000 of federal funds in their 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 the revised OMB Circular A-133.

Reasonable costs incurred for an A-133 audit are an eligible expenditure and should be included in the applicant's proposed budget. For more information about OMB Circulars, please visit <http://www.whitehouse.gov/omb/circulars>.

Audit costs are considered administrative expenditures and may be treated as a direct cost or an allocated indirect cost, as determined in accordance with the provisions of applicable OMB cost principles circulars or other applicable cost principles or regulations.

If the AFG Grantee is the recipient of *multiple* federal funding sources and spends in excess of \$500,000 in their fiscal year, then *only* a pro rata share of the A-133 audit cost(s) may be chargeable to their FP&S Award.

**Example:** If during their fiscal year, an organization expends \$100,000 from an AFG Award and \$400,000 from other federal sources, AFG will only allow ( $\$100,000/\$500,000 = 1/5$ ) one-fifth of the audit cost(s) to be charged to the FP&S Award.

FP&S does *not* require any other audits; therefore, you cannot charge any audit expenses that are not directly related to an OMB Circular A-133 audit.

## **4. Remodeling or Renovation Costs**

Construction costs are **not eligible** under the FP&S Grant program. Construction includes major alterations to a building that changes the profile or footprint of the structure.

## **5. Pre-award Costs**

Generally, grantees cannot use grant funds to pay for products and services contracted for or purchased prior to the effective date of the grant. However, on a case by case basis, 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 in writing by FEMA (Scope of Work Amendment). In order to be eligible for a pre-award expense, the grantee must notify FEMA and obtain preliminary approval prior to contracting for any product or service. Furthermore, your purchase must be made after the submission of the application. Final approval will only be given after all invoices and related procurement documents have been reviewed by FEMA to ensure the purchase was justified, unavoidable, and consistent with the grant's scope of work.

## **6. 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.

## **7. Grant Writer Fees**

Fees for grant writers may be included as a pre-award or pre-application expenditure. 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 Request Details section of the application.

By submitting the application, you are certifying all of the information contained therein is true and an accurate reflection of your organization. Prior to submission, please review all work produced on your behalf by grant writers or third parties for accuracy. In addition, the fees must have been paid prior to any contact with grants management staff or an award (i.e., paid within 30 days of the end of the application period). Applicants may be required to provide documentation to support these pre-award expenditures. A copy of the cancelled check and bank statement shall be provided upon request. Failure to provide the requested documentation may result in the grant writer fee being deemed ineligible and the grant reduced accordingly.

## **8. Prepayments**

A grantee may not use grant funds to prepay for any products or services in advance of delivery of the products or rendering of services.

## **9. Environmental Planning and Historic Preservation Compliance**

FEMA is legally required to consider the potential impacts of all grant-funded projects on environmental resources and historic properties. For AFG and other preparedness grant programs, this is accomplished via FEMA's EHP Review.

**NOTE:** EHP Assessment(s)/plan(s) are chargeable to the FP&S Award.

Grantees must comply with all applicable EHP laws, regulations, and Executive Orders (EOs) in order to draw down FY 2013 FP&S Grant funds. Any project with the potential to impact natural resources or historic properties cannot be initiated

until FEMA has completed the required FEMA EHP Review. Grantees implementing projects prior to receiving EHP Approval from FEMA risk de-obligation of funds.

Furthermore, for those proposed renovation projects that are part of larger projects funded from a non-FEMA source (such as an emergency operation center that is part of a larger proposed public safety complex), a FEMA EHP Review must be completed before the larger project is initiated. For these types of projects, grantees must complete the FEMA EHP Screening Form (OMB Number 1660-0115/FEMA Form 024-0-01) and submit it with all supporting documentation to the GPD EHP Team at [GPDEHPInfo@fema.gov](mailto:GPDEHPInfo@fema.gov) for review. Grantees should submit the FEMA EHP Screening Form for each project as soon as possible upon receiving the grant award. Refer to IBs 329, 345, and 356 located at <http://www.fema.gov/government/grant/bulletins/index.shtm> and Section II, Part I.B.5.6 of this FOA for further details on EHP Requirements.

The following activities would not require the submission of the FEMA EHP Screening Form:

- Planning and development of policies or processes
- Management, administrative, or personnel actions
- Classroom-based training
- Tabletop exercises
- Acquisition of mobile and portable equipment (not involving installation) on a building.

FP&S Projects that involve the installation of equipment not specifically excluded from a FEMA EHP Review per the GPD Programmatic Environmental Assessment (PEA), ground-disturbing activities, or modification/renovation of existing buildings or structures must undergo a FEMA EHP Review. (For more information on the PEA see GPD Information Bulletin (IB) No. 345 at <http://www.fema.gov/pdf/government/grant/bulletins/fonsi.pdf>)

The [Environmental and Historic Preservation Screening Form](#) is designed to initiate and facilitate the EHP Compliance Review for your FEMA preparedness grant-funded project(s). This form may be found at <http://www.fema.gov/library/viewRecord.do?id=6906>.

The FEMA GPD-EHP Team provides guidance and information to grantees related to submission of materials for EHP Review. All EHP Review Packets should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov).

The Environmental and Historic Preservation Screening Form designed to initiate and facilitate the EHP Review is available at <http://www.fema.gov/library/viewRecord.do?id=6906>.

For information on FEMA's EHP Requirements, applicants should refer to:

- **Information Bulletin 329**, Environmental Planning and Historic Preservation Requirements for Grants, available at <http://www.fema.gov/pdf/government/grant/bulletins/info329.pdf>
- **Information Bulletin 345**, Programmatic Environmental Assessment, available at <http://www.fema.gov/pdf/government/grant/bulletins/info345.pdf>
- **Information Bulletin 356**, Environmental Planning and Historic Preservation (EHP) Screening Form, available at <http://www.fema.gov/pdf/government/grant/bulletins/info356.pdf>
- Environmental and Historic Preservation Screening Form available at: <http://www.fema.gov/library/viewRecord.do?id=6906>

### **10. Taxes, Fees, Levies and Assessments**

Any legally non-avoidable federal, state, or local tax, fee, levy, or assessment costs directly related to any eligible FP&S Program acquisition activity may be charged to the appropriate FP&S Award. These charges shall be identified and enumerated in the AFG Application's Narrative and the Request Details section of the acquisition activity.

**NOTE:** Any avoidable costs that result from the action or inaction of a grantee (or grantee's agent), or that prevents that grantee from enjoying any lawful exemption or reduction of any federal, state, or local tax, fee, levy, or assessment directly related to any eligible FP&S Grant program acquisition activity, *will not be chargeable* to any FP&S Award.

### **C. Procurement Integrity**

Through audits conducted by the Department of Homeland Security's Office of Inspector General (OIG) and the AFG Program Office grant monitoring, findings have shown that some FP&S recipients have not fully adhered to the proper procurement requirements when spending grant funds. Anything less than full compliance with federal procurement policies jeopardizes the integrity of the grant as well as the grant program. Below, we have reiterated the federal procurement requirements for fire departments, and organizational grantees when buying goods and services with federal grant funds. DHS will include a review of grantees' procurement practices as part of the normal monitoring activities.

Competition: All procurement transactions shall be conducted in a manner that:

- Provide open and free competition
- Promote competition and ensure advantageous pricing

**Note:** Grantees that are a state or local government entity may use their own procurement procedures, reflecting applicable state and local laws and regulations, provided that the procurement(s) conform with the requirements of 44 C.F.R. § 13.36.

Grantees that are an institution of higher learning or other non-profit organization may use their own procurement procedures, reflecting applicable state and local laws and

regulations, provided that the procurement(s) conform with the requirements of 2 C.F.R. §§ 215.40 – 215.48.

**Note:** FP&S will consider acquisitions by a grantee who has formally adopted internal or governing policies and authorizes acquisitions through competitively negotiated third party opportunities (e.g., Government Services Administration [GSA] schedule, state contracts, co-operative or group purchasing or existing previously bid [“tag along” contracts]), as having satisfied FP&S Program requirements for being competitive, so long as they also conform to the applicable federal procurement regulations cited above.

**Note:** Grantees who fail to adhere to their own procurement policy, or otherwise fail to fully compete any purchase involving federal funds, may find that their expenditures questioned and subsequently disallowed.

**Note:** To the greatest extent possible, the use of federal grant funds should be used for the purchase of goods and services manufactured, assembled, and distributed in the United States.

### **Documentation**

At a minimum, grantees are required to maintain and retain the following:

- Backup documentation, such as bids and quotes
- Cost/price analyses on file for review by federal personnel

The required documentation for federally funded purchases should include:

- Specifications
- Solicitations
- Competitive quotes or proposals
- Basis for selection decisions
- Purchase orders
- Contracts
- Invoices
- Cancelled checks

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

**Specifications:** When creating your bid specifications, and prior to being sent to the prospective bidders, you should ensure the following:

- Bids and specifications are not proprietary to any one product or manufacturer.
- Applicable federal regulations at 44 C.F.R. § 13.36 (for grants to state and local government entities) or 2 C.F.R. §§ 215.40 – 215.48 (for grants to institutions of higher education and other non-profit organizations) are followed.
- In-state or local geographical preferences are not imposed in the evaluation of bids or proposals.

- Product information is obtained from vendors in order to be more informed about the items they plan to purchase.
- Specifications obtained from vendors for any solicitation with federal grant funds are not used if the specifications would be found to be restrictive.

**Note:** Vendors/manufacturers may provide product and technical information to grantees for consideration. The applicants may use this information during the grantees' product evaluation and drafting of solicitation specifications.

### **Personal and Organizational Conflicts of Interest**

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.

No agent of the grantee who has a financial or other interest in the vendor shall be selected for the procurement. No member of the applicant's organization's officers', employees', or agents' immediate family who has a financial or other interest in the vendor shall be selected for the procurement.

No organization that employs a grantee's officer, employee, or agent who is a vendor or has a financial or other interest in the vendor shall be selected for the procurement.

Grantees may set minimum rules where the financial interest is not substantial. To the extent permitted by state or local law or regulations, such standards or conduct will provide for penalties, sanctions, or other disciplinary actions for violations of such standards by the grantee's and sub grantee's officers, employees, or agents, or by contractors or their agents.

Applicants should additionally follow applicable federal regulations at 44 C.F.R. § 13.36 or 2 C.F.R. §§ 215.40 – 215.48 governing *conflicts of interest*.

**Note:** For the purposes of this program, FEMA considers 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 may be required to provide this documentation upon request. Grantees who fail to fully document their purchases may find their expenditures questioned and subsequently disallowed. Remember that FEMA reserves the right to request and review any and all bids/spec prior to purchase. Grantees may be subject to an audit after award.

**Note:** Help FEMA prevent fraud, waste, and abuse. If you have information about instances of fraud, waste, abuse, or mismanagement involving FEMA programs or operations, you should contact the DHS OIG Hotline at (800) 323-8603, by fax at (202) 254-4297, or e-mail [DHSOIGHOTLINE@dhs.gov](mailto:DHSOIGHOTLINE@dhs.gov).

#### **D. Notice of Award**

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

#### **E. Amendments**

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

- Period of Performance (extension request/reopen award to complete original scope of work)
- Scope of Work (activity/mission changes, retroactive approval (pre-award), closeout issues, some excess funds requests, requests for economic hardship Cost Share waiver, and requests for maintenance of expenditure waivers)
- Cost over/under run (adding funds to award/non-closeout deobligation\* of funds)

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

FP&S strongly encourages the timely expenditure of grant funds by grantees to be consistent with the goals and objectives outlined in AFG Programs.

*\* A grantee may deobligate (return) unused funds (those remaining funds drawn down via payment request and/or remaining award funding that was never requested) to DHS prior to the end of an award's Period of Performance. To exercise this option, a grantee must submit a cost over/under run Amendment via the e-Grant system and state in their amendment that the unliquidated funds (funds to be returned) are not necessary for the fulfillment or success of the grant's obligations or mission. The grantee must also indicate that it is understood that the returned funds will be deobligated and unavailable for any future award expenses. Deobligation of funds will decrease the federal portion of the grant and the amount of the grantee's Cost Share obligation. The AFG Program Office will confirm deobligation amendments with all points of contact; after confirmation of the grantee's intent to deobligate, the Program Office will hold the approved deobligation request for fourteen (14) calendar days as a period for "grantee reconsideration" before processing the deobligation request.*

To return grant funding that has been drawn down but is no longer required, the grantee must complete and attach the “Return of Funds to FEMA” form to any remittance (mailing instructions are on the form). The form is available at <http://www.fema.gov/library/viewRecord.do?id=7080>.

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

AFG Programs, including the FP&S Grant program, do not allow for sub-grantees or sub-recipients. All activities of the FP&S Award recipients, supporting the Scope of Work, shall only be on a contractual basis.

Successful applicants for all DHS Grants are required to comply with DHS Standard Administrative Terms and Conditions available within Section 6.1.1 of the *CFO Authority for Financial Assistance and Oversight*. For more information, please contact the [AFG Help Desk](#) at (866) 274-0960 or by email at [firegrants@fema.gov](mailto:firegrants@fema.gov).

## **G. CFO Authority for Financial Assistance and Oversight**

(please see <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>)

The grant recipient must, in addition to the assurances made as part of the application, comply with all applicable statutes, regulations, executive orders, OMB Circulars, terms and conditions of the award, and the approved application. A non-exclusive list of requirements commonly applicable to DHS Grants include:

### **1. Financial Assistance Award Standard Terms and Conditions**

DHS requires standard terms and conditions approved by the Division of Financial Assistance Policy and Oversight (FAPO) to be applied to all financial assistance awards.

For the complete listing of DHS Standard Administrative Terms and Conditions, please contact the AFG Help Desk at (866) 274-0960 or by email at [firegrants@fema.gov](mailto:firegrants@fema.gov).

### **2. Administrative Requirements**

Please reference 2 C.F.R. Part 25 – Universal Identifier and Central Contractor Registration, Subpart B-Policy.

### **3. Audit Requirements and other Assessments**

The recipient must comply with the following laws that were enacted to ensure the correct use of federal funds and to avoid improper or erroneous payments:

- Audit Requirements and other Assessments Improper Payments Information Act (IPIA) of 2002, as amended (Public Law 107-300)
- Improper Payments Elimination and Recovery Act of 2010 (IPERA) (P.L. 111-204).

#### 4. Duplication of Benefits

There may not be a duplication of any federal assistance by governmental entities under 2 C.F.R. § 225, App. A.C.3.c.:

- 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 generally subject to this prohibition per 2 C.F.R. Parts 220 and 230, and 48 C.F.R. Part 31.2.

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

#### 5. Payments/Drawdown/Rebates

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

FP&S payment/drawdown requests from state or local government entities may be either advances or reimbursements per conditions set forth in 44 C.F.R. §13.21(c). Institutions of higher education and other non-profit organizations should follow 2 C.F.R. § 215.22.

#### 6. Advances

Grantees shall be paid in advance, provided they maintain or demonstrate the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of the funds and their disbursement by the grantee.

**NOTE:** With regard to interest earned on advances, state and local government entities should follow 44 C.F.R. § 13.21(i):

*Interest earned on advances.* Except for interest earned on advances of funds exempt under the Intergovernmental Cooperation Act (31 U.S.C. 6501 et seq. and the Indian Self-Determination Act (23 U.S.C. 450), grantees shall promptly, but at least quarterly, remit interest earned on advances to the federal agency. The grantee may keep interest amounts up to \$100 per year for administrative expenses.

With regard to interest earned on advances, institutions of higher education and other non-profit organizations should follow 2 C.F.R. § 215.22.

For the rate to use in calculating interest, please visit Treasury Current Value rate at <http://www.fms.treas.gov/cvfr/index.html>.

## **7. Reimbursement**

Reimbursement of the Grantee is the preferred method, when the requirements in 44 C.F.R. § 13.21(c) (for grants to state and local government entities) or 2 C.F.R., § 215.22(b) (for grants to institutions of higher education and other non-profit organizations) cannot be met.

In accordance with Treasury regulations at 31 C.F.R. Part 205, the recipient shall maintain procedures to minimize the time elapsing between the transfer of funds and the disbursement of said funds. (See also 44 C.F.R. Part 13.21(i) (for grants to state and local government entities) and 2 C.F.R. § 215.22(k) (for grants to institutions of higher education and other non-profit organizations) regarding payment of interest earned on advances.)

Grantees should not expend funds or request drawdowns until all special conditions listed on the grant award document have been met and the award has been approved for payment in the e-Grant system.

Grant recipients should drawdown funds based upon immediate disbursement requirements; however, FEMA strongly encourages recipients to drawdown funds as close to disbursement or expenditure as possible to avoid accruing interest.

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

## **8. Rebates**

Per 44 C.F.R. §13.21(f)(2) for grants to state and local government entities and per 2 C.F.R. § 215.22(g) for grants to institutions of higher education and other non-profit organizations, grantees shall disburse program income, rebates, refunds, contract settlements, audit recoveries, and interest earned on such funds before requesting additional cash payments.

The reduction of federal financial participation via rebates/refunds *may* generate excess funds for the grantee, if the grantee had already obligated their Cost Share match based upon the original award figures.

If the grantee had *already* obligated their original Cost Share *prior* to the rebate, then the grantee *may* have minimum excess funds equal to the difference between the original Cost Share less the rebate adjusted Cost Share.

- **Federal Debt Status**

The recipient shall not be delinquent in the repayment of any federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments (See OMB Circular A-129, also refer to FEMA Standard Form SF-424, item number 17).

- **Equipment Marking**

Awardees may consider marking equipment as "purchased with funds provided by the US Department of Homeland Security" in order to facilitate their own audit processes, as well as federal audits and monitoring visits, which may result from receiving federal funding. Equipment maintenance requirements are outlined in 44 C.F.R. § 13.32 for grants to state and local government entities, and 2 C.F.R. § 215.34 for grants to institutions of higher education and other non-profit organizations.

- **Debarment and Suspension**

Executive Orders 12549 and 12689 provide protection to the Federal Government from fraud, waste, and abuse by debarring or suspending those persons or entities deemed irresponsible in their dealings with the Federal Government. For additional information, see, generally, 2 C.F.R. Part 3000, and 2 C.F.R. Part 180.

#### **H. FY 2013 Requirements Specific to For-Profit Entities**

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