Assistance to Firefighters Grants

Guidance and Application Kit
Section I
Application and Review Information

August 2011

Fiscal Year 2011

U.S. Department of Homeland Security

OVERVIEW

Title of Opportunity: **Fiscal Year (FY) 2011** Assistance to Firefighters Grants (AFG)

Funding Opportunity Number: DHS-2011-GPD-044-000-99

Catalog of Federal Domestic Assistance (CFDA) Number: 97.044

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

Announcement Type: Initial

Dates: Submit completed applications as early as **Monday, August 15, 2011, but no later than 5:00 p.m., Eastern Time on Friday, September 9, 2011.**

Additional Overview Information

- **Program Guidance Changes**

  The Fiscal Year (FY) 2011 Assistance to Firefighters Grants (AFG) remains largely unchanged from the previous year's program. In FY 2011, the program remains focused on firefighter health and safety as well as the safety of the public the firefighters serve.

- **Reformatted AFG Guidance Kit**

  FEMA has reformatted the FY 2011 AFG Guidance and Application Kit. The new Kit is structured into two separate documents, referred to as Section I and Section II. While both are important documents for grantees to study and thoroughly familiarize themselves with, Section I is intended to help grantees during the application phase of the AFG, whereas Section II is intended to help grantees understand the rules and regulations associated with administering federally funded grant awards.

- **Maintenance and Sustainment**

  The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted. For additional information see DHS/FEMA Information Bulletin No. 336, dated November 20, 2009.

ASSISTANCE TO FIREFIGHTERS GRANTS PROGRAM

What's New – Fact Sheet

AVAILABLE FUNDING
$404,190,000

NEW FOR 2011

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

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

Guidance and Application Kit Changes

1) **Section I – Application and Review Information**

   Part I. Funding Opportunity Description

   Program priorities are listed as High H, Medium M, or Low L.

   Within each identified program priority (H, M, L); all the proposed activities within that priority have an equal value.

   Part II. Award Information

   Part III. Eligibility Information

   Part IV. Application and Submission Information

   Part V. Application Review Information

   Part VI. Other Information

2) **Section II – Award Administration Information**

   Part I. Award Administration Information

   Part II. FEMA Contacts

   Part III. Other Information

NEW FOR 2011

Below is a summary of the changes made to the AFG Program for FY 2011.

Scoring Changes – Applications will receive two reviews that comprise their total score. The first review will measure the request to see if it meets the funding priorities. This will count for 50 percent of the total score and measure whether or not the application goes to panel. The second review is the panel score, which is 50 percent of the application's total score.

Fire Operations and Firefighter Safety

Changes to Eligible Items for 2011

- *Boats (20 feet or less)*
- *Replacement of self-contained breathing apparatus (SCBA) not compliant with or manufactured prior to the 2002 Edition of National Fire Protection Association (NFPA) 1981*
- *A fourth program area, Behavioral Health Programs, has been added to the eligible Wellness and Fitness programs for both fire departments and EMS organizations*

Changes to Ineligible Items for 2011

- *Flashover simulators*

Vehicles

- *In FY 2011, applicants who serve urban, suburban or rural communities may apply for more than one vehicle. Requests cannot exceed the financial cap based on population listed in the application. If a department submits multiple applications and more than one of the requests are approved, the department will be held to the same financial cap based on population listed in the application(s).*
- *In fire-based EMS, ambulances will share the same priority as a pumper in scoring.*
- *Applicants requesting vehicles that do not have driver/operators trained to current NFPA 1002 or equivalent and are not planning to have a program in place by the time the vehicle is delivered will not receive a vehicle award.*
- *Extended warranties and service agreements are eligible if acquired at the time of the original purchase.*

Regional

- *Personal protective equipment (PPE) is now eligible for regional project funding, in addition to training and equipment.*

New Grantee Requirement: CCR Registration is required to receive an AFG award. For details, see Section D.

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PART I.

FUNDING OPPORTUNITY DESCRIPTION

The Department of Homeland Security (DHS) Federal Emergency Management Agency's (FEMA) Grant Programs Directorate is responsible for the implementation and administration of the Assistance to Firefighters Grants (AFG) Program.

The purpose of AFG is to enhance through financial assistance the safety of the public and firefighters regarding fire and fire-related hazards. The authority for AFG is derived from the *Federal Fire Prevention and Control Act of 1974* (15 U.S.C. §§ 2229 *et seq*.), as amended. Congress appropriated $404,190,000 for the FY 2011 AFG (Public Law 112-10).

FEMA strives to provide clear guidance and application tools to assist applicants. This package provides an overview of AFG and grant application information as well as an explanation of FEMA requirements for a successful grant request.

A. Criteria Development Process

Each year, FEMA convenes a panel of fire service subject matter specialists to develop the funding priorities and other implementation criteria for AFG. The panel is charged with making recommendations to FEMA regarding the creation of new and/or modification of previously funded priorities as well as developing criteria for awarding grants.

The nine major fire service organizations represented on the panel are:

- *Congressional Fire Services Institute (CFSI)*
- *International Association of Arson Investigators (IAAI)*
- *International Association of Fire Chiefs (IAFC)*
- *International Association of Firefighters (IAFF)*
- *International Society of Fire Service Instructors (ISFSI)*
- *National Association of State Fire Marshals (NASFM)*
- *National Fire Protection Association (NFPA)*
- *National Volunteer Fire Council (NVFC)*
- *North American Fire Training Directors (NAFTD)*

The content of the AFG Guidance and Application Kit reflects the implementation of the Criteria Development Panel's recommendations regarding the priorities, direction, and criteria for awards.

All of the funding priorities for the FY 2011 AFG are designed to address:

- *First responder safety*
- *Enhancing national capabilities*
- *Risk*
- *Interoperability*

B. Funding Priorities

AFG funding priorities differ for fire departments and nonaffiliated Emergency Medical Services (EMS) organizations.

A **nonaffiliated EMS** is a public or nonprofit emergency medical service organization that provides direct emergency medical services, including emergency medical transport for specific geographic area on a first-due basis, but is not affiliated with a hospital and does not serve a geographic area where EMS is adequately provided by a fire department.

1. Fire Department Priorities

a. Fire Operations and Firefighter Safety

Five different fundable activities are included in this program area:

- *Firefighter training*
- *Firefighting equipment*
- *Firefighter Personal Protective Equipment (PPE)*
- *Firefighter Wellness and Fitness*
- *Modifications to fire stations and facilities*

Applicants may apply for as many of the activities within this program area as deemed necessary. Applicants requesting multiple activities will need to provide justification for each individual project. Fire-based EMS training and equipment must be applied for under the Fire Operations and Firefighter Safety program area. Equipment requested within AFG must meet all mandatory regulatory requirements as well as any national, state, and/or DHS-adopted standards, in order to be eligible for purchase with grant funds. The Responder Knowledge Base (RKB), which is accessible at *http://www.rkb.us*, includes relevant information on first responder standards. The site also allows "guest users" to ask questions about applicable standards.

i. Firefighter Training

The Criteria Development Panel recommended that AFG continue to emphasize the importance of training in the FY 2011 program with respect to fire departments. FEMA has determined the most benefit is derived from instructor-led training that is hands-on and leads to a national or state certification. Therefore, applications focused on national or state certification training, including train-the-trainer initiatives, receive a higher competitive rating.

Instructor-led training that requires students to demonstrate via testing their grasp of knowledge of the training material, and is integral to a certification, will receive a high competitive rating. Instructor-led training that does not lead to a certification as well as any self-taught courses are of lower benefit and, therefore, will not be high priorities.

Proposed training projects that benefit the highest percentage of applicable personnel such as the hazardous materials training within a fire department or that will be open to other departments in the region receive a high competitive advantage. Large departments with a high number of active firefighters will receive additional consideration when applying under the Firefighter Training Activity.

The following charts contain information on the eligibility of Training and prescoring essentials. Copies of NFPA standards may be reviewed at *www.nfpa.org/nfpaafg2011*.

Eligible training includes, but is not limited to:	
• Firefighter I and II certifications	• National Incident Management System (NIMS)/Incident Command (ICS)
• First responder/Emergency Medical Responders (EMR)	• Weapons of Mass Destruction (WMD)
• Driver/Operator	• Train-the-trainer courses
• Fire officer I-IV	• Alternative fuel firefighting
• Hazardous Materials (Hazmat)	• Chemical Biological Radiological Nuclear and Explosive (CBRNE) awareness, performance, planning, and management
• Wildland firefighting	• Safety Officer
• Vehicle rescue	
• Rapid Intervention Team (RIT)	

Eligible uses of training funds include but are not limited to:	
• Tuition, exam/course fees, and certifications/certification expenses	• Tow vehicle (if justified in the narrative) limited to $6,000 per application
• Compensation to volunteer firefighters for wages lost to attend training	• Overtime expenses paid to career firefighters to attend training or to cover colleagues who are in training
• Purchase of training curricula, training equipment (trailers, mobile simulators), training props and training services (instructors)	

Ineligible Activities	
• Construction of facilities (buildings, towers, etc.) • Firefighting equipment, or PPE, for use in training exercises, such as SCBA	• Flashover simulators • Site preparation to accommodate any training activity, facility, or prop • Purchase or lease of real estate • Remodeling not directly related to grant activities

The following are considerations in prescoring and panelist review.

Due to inherent differences among urban, suburban, and rural firefighting needs, AFG has different priorities in the Firefighter Training program area for departments that serve different types of communities.

Definitions

Urban: Comprises all territory, population, and housing units in urbanized areas. It has a population of 50,000 or greater.

Suburban: Comprises all territory, population, and housing units in suburban areas or outside a city or town with a population 20,000 to 49,999.

Rural: Comprises all territory, population, and housing units in rural areas or outside a city or town with a Population less than 20,000.

Training is categorized as a High (H), Medium (M) or Low (L) funding priority; within each category (H, M, L), listed activities have an equal funding priority.

Firefighting Training Priorities			
Training	**Urban**	**Suburban**	**Rural**
NFPA 1001 (firefighter I, II)	H	H	H
NFPA 1002/1041 (instructor)	H	H	H
NFPA 472 (Hazmat operations)	H	H	H
NFPA 1581 (infection control)	H	H	H
Confined space (awareness)	H	H	H
Wildland firefighting (basic)	H	H	H

Firefighting Training Priorities			
Wildland firefighting certification (red card)	H	H	H
Rapid intervention training	H	H	H
NFPA 1021 (officer)	H	H	H
First responder	H	H	H
Firefighter safety and survival	H	H	H
Safety officer	H	H	H
Driver/operator	H	H	H
Fire prevention	H	H	H
Fire inspector	H	H	H
Fire investigator	H	H	H
Fire educator	H	H	H
NIMS/ICS	H	H	H
Firefighter physical ability program	H	H	H
Emergency scene rehab	H	H	H
Critical Incident debriefing	H	H	H
Firefighter physical agility program	H	H	H
Any training to a national/state or NFPA standards	H	H	H
Compliance with Federal/state-mandated programs	H	H	H
NFPA 1670/1006 (technical rescue)	H	H	M
Other officer	H	H	M
NFPA 1003 (ARFF)	H	H	M
NFPA 1610/1006 (rescue technician)	H	H	M
Emergency Medical Technician (EMT) - P	H	H	M
Weapons of Mass Destruction (other/specialized)	H	H	L
Vehicle rescue	H	H	L

Firefighting Training Priorities			
Weapons of Mass Destruction (awareness)	H	H	L
Telecommunications dispatcher (if employed by the fire department)	H	H	L
Mass casualty	H	H	L
Weapons of Mass Destruction (operations)	H	H	L
Weapons of Mass Destruction (technician)	H	H	L
NFPA 1670/1006 (technician)	H	H	L
Hazmat (technician)	H	H	L
Any training to address a local risk	M	M	M
Any instructor-led training that does not lead to certification	L	L	L
Any self-taught courses	L	L	L
Any training not elevated to a national or state standard	L	L	L
Any training that addresses a specific operational capability	L	L	L

Other Scoring Considerations

- Multiple departments trained
- Instructor-led vs. media-led
- Call volume
- Number of firefighters trained
- Population served

Remodeling/Renovations of Existing Facilities

The remodeling/renovations must be minor interior alterations costing less than $10,000 to support training. Remodeling/Renovation may not change the footprint or profile of the building. Any request for modifications to facilities may require an Environmental and Historic Preservation (EHP) review. Additional information may be required for EHP review.

ii. Firefighting Equipment

AFG funds are available for equipment to enhance the safety or effectiveness of firefighting, rescue, and fire-based EMS functions.

Equipment requested must meet all mandatory requirements as well as any national and/or state DHS-adopted standards. See NFPA standards at *www.nfpa.org/nfpaafg2011*. The equipment requested should improve the health and safety of the public and firefighters.

Reminder: When requesting training for any equipment, enter the training funding request under Additional Funding in the Request Details section.

The following charts contain information on the eligibility of Equipment and prescoring essentials.

Eligible Expenditures	
• Acquire, assemble, and install the requested equipment	• Boats 20 feet or less in length
• Extended warranties and service agreements	• Mobile communications equipment (including mobile repeaters and mobile data systems)
• Foam and associated equipment	• Traffic signal preemption
• Hazardous materials response equipment	• CBRNE equipment
• Compressor systems and/or cascade systems to fill SCBAs	• Individual communications equipment, i.e.; portable radios (limited to seated positions)
• Hose, nozzles adapters	• Equipment shipping costs and sales tax
• Training for requested equipment	

Ineligible Expenditures	
• Construction of facilities, such as buildings, sheds to house communications, towers, or other equipment	• EMS expendable supplies (including, but not limited to medications, gloves, syringes, and cervical collars)
• Repeaters that will not be installed or attached to existing infrastructure or a vehicle	• Vehicles and All-Terrain Vehicles (ATV)
• Sirens or other outdoor warning devices	• Bomb disposal equipment and robots
• Signage of any kind	• Mobile radios for personally owned vehicles (except chief fire officer's personal vehicle, if justified)
• Telephones, satellite phones, and cell phones	• Flashover simulators

All of the following are considerations in prescoring and panelist review.

Funding Priorities	
H	First-time purchase to support existing mission and/or replace obsolete, broken/inoperable equipment
M	Increased capabilities within the department's existing mission or to meet a new risk
L	Requesting items for a new mission to meet an existing risk and/or request additional supplies or reserve equipment

Remodeling/Renovations of Existing Facilities
The remodeling/renovations to an existing facility to accommodate equipment purchased with grant funds must be minor interior alterations costing less than $10,000 and justified in the Request Details narrative for the Equipment activity. Remodeling/Renovations may not change the footprint or profile of the building. Any request for modifications to facilities may require an Environmental and Historic Preservation (EHP) review. Additional information may be required for EHP review.

Additional Considerations
• Equipment that has a direct effect on firefighters' health and safety
• Frequency of use and type of jurisdiction served
• Age of equipment being replaced
• Equipment that benefits other jurisdictions
• Equipment that brings the department into compliance with nationally recommended standards (i.e., NFPA) or statutory compliance (i.e., Occupational Safety & Health Administration (OSHA))
• Call volume
• Population served

iii. Firefighter Personal Protective Equipment (PPE)

AFG funds are available to acquire primarily OSHA-required and NFPA-compliant PPE for firefighting personnel.

Equipment requested must meet all current mandatory requirements, as well as any national and/or state DHS-adopted standards. Equipment requested should have the goal of increasing firefighter safety.

If requesting training for any items in this section, please request it under Additional Funding for that line item.

The following charts contain information on the eligibility of PPE and prescoring essentials. Copies of NFPA standards may be reviewed at *www.nfpa.org/nfpaafg2011*.

Eligible PPE Expenditures	
• PPE for structural or wildland firefighting (including boots, pants, coats, gloves, hoods, goggles, helmets, coveralls, and fire shelters) • American National Standards Institute (ANSI)-approved retro-reflective highway apparel • Training for requested PPE	• SCBAs, spare cylinders, and individual face pieces • PPE for hazardous materials and other specialized incidents. • EMS activities (coats, trousers, jumpsuits must meet the NFPA or OSHA standards)

Ineligible PPE Expenditures	
• Three-quarter length rubber boots • Uniforms (formal/parade or station/duty) and uniform items (hats, badges, etc.)	• Bomb disposal suits • Personal communications equipment (i.e., radios, cell phones and pagers) in the PPE section

All of the following are considerations in prescoring and panelist review.

PPE is categorized as a High (H), Medium (M) or Low (L) funding priority; within each category (H, M, L), listed activities have an equal funding priority.

Funding Priorities	
H	• Departments requesting new PPE for the first time • Replacing or updating obsolete PPE to the current standard
M	• Replacing torn, tattered, or damaged PPE • Replacing contaminated PPE • Requesting PPE for a new risk
L	• Worn but usable PPE that is not compliant to the current edition of the NFPA standard and/or to handle a new mission, or increase current inventory

Self-Contained Breathing Apparatus (SCBA) Priorities	
Award will be based on number of seated positions in the department's vehicle fleet and age of existing SCBA, limited to one spare cylinder (unless justified otherwise in the Request Details narrative for the PPE activity). New SCBA must have automatic-on or integrated Personal Alert Safety System (PASS) devices, and be Chemical Biological Radiological Nuclear and Explosive Equipment (CBRNE) compliant to current edition of the NFPA 1981 standard.	
H	Replacing SCBA compliant with NFPA 1981, pre-2002 Edition
M	Replacing SCBA compliant with NFPA 1981, 2002 Edition (must be justified in the PPE narrative)
L	Replacing SCBA compliant with NFPA 1981, 2007 Edition (must be justified in the PPE narrative)

Training on Use of Requested Equipment
Applicants must indicate that the grant-purchased PPE will be utilized by adequately trained staff and/or request appropriate training for the requested items. Failure to meet this requirement may result in ineligibility for PPE funding.

Additional Considerations
• Applicants will be required to provide the age of the PPE being replaced
• Applicants with the oldest PPE and/or trying to bring the department into 100 percent NFPA compliance, or the number of firefighters who will have compliant gear
• Call volume
• Population served

iv. Firefighter Wellness and Fitness

Wellness and Fitness programs are intended to strengthen first responders so their mental, physical, and emotional capabilities are resilient to withstand the demands of emergency services response. For the FY 2011 AFG, in order to be eligible for funding in this activity, fire departments must offer, or plan to offer, all four of the following:

- *Periodic health screenings*
- *Entry physical examinations*
- *Immunizations*
- *Behavioral health programs*

The following charts contain information on the eligibility of Wellness and Fitness as well as prescoring essentials. Copies of NFPA standards may be reviewed at *www.nfpa.org/nfpaafg2011*.

Eligible Expenditures	
• Procurement of entry-level physicals that meet NFPA 1582 • Annual medical/fitness health evaluations consistent with NFPA 1582 • Immunizations, as required by the department or law (i.e. NFPA) • Behavioral health programs	• Implementation of International Association of Fire Chiefs (IAFC)/ International Association of Firefighters (IAFF) peer fitness trainer programs • Costs for personnel, physical fitness equipment (including shipping charges and sales tax, as applicable), and supplies directly related to physical fitness activities

Ineligible Expenditures	
• Transportation expenses • Fitness club memberships for participants or their families • Non-cash incentives (t-shirts or hats of nominal value, vouchers to local businesses or time-off) • Purchase of real estate • Cash incentives	• Purchase of medical equipment that is not used as part of the Wellness & Fitness program • Contractual services with anyone other than medical professionals (e.g., health care consultants, trainers, and nutritionists) such as smoking cessation • Medical exams that do not meet NFPA 1582

All of the following are considerations in prescoring and panelist review.

H	Departments that do not have any of the four basic programs (medical exams, immunizations, annual exams and behavioral health) and are looking to offer all four programs
M	Departments that already have one or more of the four basic programs in place: medical exams, immunizations, annual exams, and behavioral health, and are looking to fund the remaining activities
L	Departments looking for physical fitness equipment that do not offer the four basic programs

Priority Considerations

Priority 1

- Initial medical exams
- Job-related immunization program
- Annual medical/fitness evaluation
- Behavioral health program

Departments that have some of the Priority 1 programs in place must apply for funds to implement the other Priority 1 activities before applying for funds for any additional program or equipment. In addition, funded medical exams must meet current NFPA 1582, as required by DHS standards.

Priority 2

- Candidate physical ability evaluation
- Formal fitness and injury prevention program/equipment
- Departments with a plan for sustaining Wellness and Fitness programs
- Departments that have a mandatory requirement for all members to participate

Remodeling/Renovations of Existing Facilities

The remodeling/renovations to an existing facility to house a fitness activity such as exercise or fitness rooms, showers, etc., must be minor interior alterations costing less than $10,000 and justified in the Request Details narrative for the Wellness and Fitness activity. Remodeling/renovations may not change the footprint or profile of the building. Any request for modifications to facilities may require an Environmental and Historic Preservation (EHP) review. Additional information may be required for EHP review.

Additional Considerations

- Whether the activity is mandatory
- Call volume
- Population served

v. Modifications to Fire Stations

FY 2011 AFG Grants may be used to modify fire stations and other facilities. New fire station construction is not allowed. Grant funds may only be used to retrofit existing structures built prior to 2003.

No modification may change the structure footprint or profile. If requesting multiple items in this activity, total funding for all project and activities cannot exceed $100,000 per fire station. Eligible projects under this activity must have a direct effect on the health and safety of firefighters.

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 environmental and historic preservation (EHP) review. Grantees must comply with all applicable EHP laws, regulations, and Executive Orders (EOs) in order to draw down their FY 2011 AFG 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 that implement projects prior to receiving EHP approval from FEMA risk de-obligation of funds.

AFG projects that involve the installation of equipment, ground-disturbing activities, or new construction, including communication towers, or modification/renovation of existing buildings or structures, must undergo a FEMA EHP review. Activities not specifically excluded from a FEMA EHP review must undergo EHP review, per the GPD Programmatic Environmental Assessment (PEA). For more information on the PEA, see Information Bulletin 345 and *www.fema.gov/pdf/government/grant/bulletins/fonsi.pdf*.

Furthermore, for those proposed construction or renovation projects that are part of larger projects funded from a non-FEMA source (such as an EOC 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* for review. Grantees should submit the FEMA EHP Screening Form for each project as soon as possible upon receiving the grant award. Refer to Information Bulletins 329, 345, and 356 located at *www.fema.gov/government/grant/bulletins/index.shtm* and *Section II, Part I.B.5.6* 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)*

The following charts contain information on the eligibility of Modification to Fire Stations and prescoring essentials. Copies of NFPA standards may be reviewed at *www.nfpa.org/nfpaafg2011*.

Eligible Expenditures	
• Direct sole-source capture exhaust systems	• Air quality systems
• Sprinkler systems	• Emergency generators
• Smoke/fire alarm notification systems	

Ineligible Expenditures	
• Station maintenance	• Interior remodeling not pertaining to the requested project(s)
• Resurfacing bay floors	

All of the following are considerations in prescoring and panelist review.

H	Departments requesting sole-source capture exhaust systems, sprinkler systems, or smoke/fire alarm notification systems for stations with sleeping quarters, including maritime/air operations facilities, that are occupied 24/7
M	Departments with or without sleeping quarters requesting air quality systems and/or emergency generators
L	Departments requesting funding from the high or medium funding priorities list whose facilities are not occupied 24/7 and do not have sleeping quarters; training facilities

Occupancy Definitions
Full-time: coverage 24/7
Daily: part-time or selected coverage not on a regular basis
Occasionally: no schedule coverage, volunteers respond to the station

Additional Considerations
• Additional considerations will be given for the age of the building; older facilities receive a higher priority • Call volume • Population served **Type of Facility** • Level of occupancy (H Full-time, M Daily, L Occasionally) **Level of Occupancy** • Facilities with or without sleeping quarters • Training facilities are a low priority

b. Firefighting Vehicles

Due to inherent differences among urban, suburban, and rural firefighting needs, AFG has different priorities in the Firefighting Vehicles program area for departments that serve different types of communities.

AFG provides grants for new firefighting vehicles, used fire apparatus originally designed for firefighting, or refurbished apparatus originally designed for firefighting.

Funds may also be used to refurbish a vehicle the department currently owns, but it will be eligible only if the vehicle was designed originally for firefighting.

Converted vehicles not originally designed for firefighting are not eligible for refurbishment. New vehicles purchased with AFG funds must be compliant with NFPA 1901 (*Standard for Automotive Apparatus*) or NFPA 1906 (*Standard for Wildland Fire Apparatus*).

Used apparatus must be compliant with NFPA 1901 or 1906 for the year the vehicle was manufactured. Refurbished apparatus must meet the current NFPA 1912 (*Standard for Fire Apparatus Refurbishing*).

In FY 2011, applicants that serve urban, suburban, or rural communities may apply for more than one vehicle. Requests cannot exceed the financial cap based on population listed in the application. If a department submits multiple applications, and more than one of those requests are approved, the department will be held to the same financial cap based on the population listed in the application.

Performance Bond: Obtaining a performance bond is recommended for any department/agency that is going to advance their own funds to the manufacturer prior to receipt of the vehicle. The bond may be obtained through the vendor or local bank. The concept behind this is to ensure the department's funds are not lost in the event of a manufacturer's failure to perform, i.e., not finishing or delivering the vehicle.

Prepayment Bond: As required in the three previous grant years, FY 2011 AFG vehicle awardees are required to obtain a prepayment bond if the grantee plans to advance Federal funds to the manufacturer. This is to safeguard the Federal funds against loss if the manufacturer goes out of business or fails to deliver the vehicle. Prepayment bonds may be obtained through your bank or the manufacturer. The grantee must include in their vehicle purchase contract specific performance requirements and penalties for noncompliance with the requirements (Penalty Clause). Extensions to a grant's period of performance for vehicle purchase(s), will not be considered if the grantee is not programmatically compliant in the administration of their award.

Applicants requesting vehicles that do not have driver/operators trained to NFPA 1002 or equivalent, and are not planning to have a training program in place by the time the vehicle is delivered, will not receive a vehicle award. Applicants may request funding for a training program in the Vehicles section, but it must add that request in the Additional Funding area in the Request Details section for the Vehicle application. Driver training program(s) must be in place prior to the delivery of the vehicle.

The following charts contain information on the eligibility of Vehicles and prescoring essentials. Copies of NFPA standards may be reviewed at *www.nfpa.org/nfpaafg2011*.

Eligible Expenditures	
• Cost of vehicle • Physicals to meet current NFPA 1582/U.S. Department of Transportation (DOT) 649 F • Cost of associated equipment that is eligible under current NFPA 1901/1906 • Driver/operator training programs that meet current NFPA 1002 or its equivalent	• Transportation to inspect a requested vehicle during production (if justified in the Vehicles narrative) • Specialty access vehicles are a very low priority but must be requested under "Other" in vehicle drop-down menu

Ineligible Expenditures	
• Refurbishment of converted vehicles not originally used or intended to be used for emergency operations • Aircraft, bulldozers, and construction-related equipment	• Vehicles contracted for or purchased prior to end of established application period

All of the following are considerations in prescoring and panelist review.

NOTE: New for 2011–Due to nationwide statistics indicating the high number of fire-based EMS calls, ambulances have been moved from priority 3 to priority 1.

For example, the "pumper" category includes:

- *Pumpers*
- *Engines*
- *Pumper-tankers (apparatus that carries a minimum of 300 gallons of water and has a pump with capacity to pump a minimum of 750 gallons per minute)*
- *Rescue-pumpers*
- *Quints (trucks equipped with a pump, hose, a water tank, ground ladders and an aerial ladder less than 76 feet in length)*
- *Urban interface vehicles (Type I)*

An apparatus that has water capacity in excess of 1,000 gallons and a pump with pumping capacity of less than 750 gallons per minute is considered a Tanker-Tender.

Firefighting Vehicles are categorized as a High (H), Medium (M) or Low (L) funding priority; within each category, activities are **listed in order of their funding priority.**

Firefighting Vehicle Program Priorities			
Priority	**Urban Communities**	**Suburban Communities**	**Rural Communities**
H	• Pumper • Ambulance • Aerial • Quint (Aerial < 76') • Quint (Aerial > 76') • Rescue	• Pumper • Ambulance • Aerial • Quint (Aerial < 76') • Quint (Aerial > 76') • Tanker-Tender	• Pumper • Ambulance • Brush-Attack • Tanker-Tender • Quint (Aerial < 76')
M	• Command • Hazmat • Light/Air unit • Rehab • Foam truck	• Rescue • Command • Light/Air unit • Brush-Attack • Rehab unit	• Command • Hazmat • Rescue • Light/Air unit

Firefighting Vehicle Program Priorities			
L	• Aircraft Rescue and Firefighting Vehicle (ARFFV) • Brush-Attack • Foam truck • Fire boat • Tanker-Tender • Highway safety unit	• ARFFV • Foam truck • Highway safety unit • Fire boat	• Foam Truck • Aerial • Highway safety unit • ARFFV • Rehab • Fire boat

Compliance with Standards

- New fire apparatus must be compliant with NFPA 1901 or 1906 for the year ordered/manufactured.
- Used fire apparatus must be compliant with NFPA 1901 or 1906 standards for the year the vehicle was manufactured.
- Ambulances must meet NFPA, General Services Administration (GSA) KKK-1822F for the year ordered/manufactured.
- Applicants must certify that unsafe vehicles will be permanently removed from service if awarded a grant. Acceptable uses of unsafe vehicles include farm, nursery, scrap metal, salvage, construction, etc.
- Refurbished vehicles must meet current NFPA 1912 standards.

Additional Considerations

- Additional consideration will be given to departments that have automatic aid agreements, mutual aid agreements or both
- Replacement of open cab/jump seat configurations
- Age of the vehicle being replaced; older equipment
- Population served
- Age of the newest vehicle in the department's fleet that is like the vehicle to be replaced
- Average age of the fleet; older equipment within the same class
- Call volume
- Converted vehicles not designed or intended for use in the fire service

FEMA reserves the right to reduce the amount of any vehicle request, in whole or in part, that is considered excessive in cost. AFG funding is meant to supplement, not replace, an organization's funding.

2. Nonaffiliated EMS Organization Priorities

AFG funds may be used to enhance emergency medical services provided by nonaffiliated EMS organizations.

The Criteria Development Panel recommended that it is more cost-effective to enhance or expand an existing EMS organization, by providing training or equipment, than it is to create a new service. Therefore, communities attempting to initiate EMS services will receive the lowest competitive rating.

Requests for equipment and training to prepare for response to incidents involving CBRNE are available under the applicable Equipment and Training activities.

a. EMS Operations and Safety

Five different activities are included in this program area:

- *First responder/EMR training*
- *EMS equipment acquisition*
- *EMS Personal Protective Equipment*
- *EMS Wellness and Fitness*
- *Modifications to EMS facilities*

Applicants may apply for as many of the activities within this program area as deemed necessary.

There are no bonuses or penalties associated with applying for multiple activities however, applicants requesting multiple activities may have a more difficult time providing justification for all the projects.

Fire-based EMS organizations are ***NOT*** eligible to apply as a nonaffiliated EMS organization.

Applicants should ensure all projects applied for under the grant program are consistent with national, state, and local standards and address the goals of interoperable communications and equipment compatibility. The RKB, which can be accessed at *http://www.rkb.us*, includes relevant information on first responder/EMR standards and allows "guest users" to ask questions regarding applicable standards.

i. EMS Training

AFG provides grants to train EMS personnel. Examples of training activities include, but are not limited to, first responder, Basic Life Support (BLS), Advanced Life Support (ALS), Paramedic, Hazmat Operations, or Rescue Operations. Since training is a prerequisite to the effective use of EMS equipment, organizations that request items more focused on training activities will receive a higher competitive rating than organizations that focus on equipment.

A higher competitive rating will be given to nonaffiliated EMS organizations that are planning to upgrade services to ALS level of response. Specifically, organizations that are seeking to elevate the response level from Emergency Medical Technician (EMT)-B to EMT-I will receive the highest priority, and organizations that are seeking to elevate the response level from EMT-I to EMT-P will receive a high priority.

The second priority is to elevate emergency responders' capabilities from first responder to a BLS level of response, i.e., EMT-B. Due to the time and cost, upgrading an organization's response level from EMT-B to EMT-P is a lower priority. Organizations seeking training in rescue or Hazmat operations will receive lower consideration than organizations seeking training for medical services.

The lowest priority is to fund first responder training. Organizations seeking to train a high percentage of the active first responders will receive additional consideration when applying under the EMS Training Activity.

The following contain information on the eligibility of EMS training and prescoring essentials. Copies of NFPA standards may be reviewed at *www.nfpa.org/nfpaafg2011*.

Eligible Expenditures

- First Responder/EMS
- Basic Life Support (BLS)
- Advanced Life Support (ALS)
- Hazmat operations
- Rescue operations
- Other related courses
- CBRNE awareness, performance, planning, and management
- Train-the-trainer courses

Eligible uses of training funds include but are not limited to:

- Tuition, exam/course fees and certifications/certification expenses
- Purchase of training curricula, training equipment, training props and training services (instructors)
- Attendance at formal training forums or conferences providing continuing education credits, etc.
- Overtime expenses paid to first responders to attend training or to cover colleagues who are in training

Ineligible Expenditures	
• Construction of facilities, buildings, towers, etc. • Purchase or lease of real estate • Expendables (including, but not limited to gloves, gowns, bandages, etc.)	• Site preparation to accommodate any training activity, facility, or prop • Remodeling not directly related to other grant activities

ii. EMS Equipment

AFG funds are available for equipment to enhance the safety or effectiveness of EMS response. Equipment requested must meet all mandatory requirements as well as any national and/or state DHS-adopted standards.

Equipment requested should solve interoperability or compatibility problems as may be required by local jurisdictions. Equipment requested, particularly decontamination and Hazmat equipment, is fundable to the current level of an organization's capabilities.

If requesting training for any items in this section, please list them under Additional Funding in the Request Details section of the Equipment activity.

The following pages contain information on the eligibility of EMS Equipment and prescoring essentials.

Eligible equipment expenses include but are not limited to:	
• Basic life support equipment • Advanced life support equipment • Assembly and installation of the requested equipment • Extended warranties and service agreements • Pulse oximeters • Power lift cots • Communications equipment, such as mobile and portable radios • Hazmat and decontamination equipment • Computers • Wireless and broadband mobile data systems (MDTs)	• Automated external defibrillators • Infectious disease control equipment • Equipment for response to incidents involving CBRNE • Tents, shelters, generators, lights, heating and cooling units • Portable radios and mobile communications equipment, including mobile repeaters • Base stations, computer-aided dispatch, and fixed-site repeaters • Equipment shipping costs and sales tax • Training for requested equipment

Ineligible Expenditures	
• Construction of facilities, such as buildings or sheds to house communications, towers, or other equipment • Repeaters that will not be installed or attached to existing infrastructure or a vehicle • Body armor, uniforms • Sirens or other outdoor warning devices	• Telephones, satellite phones, and cell phones • Vehicles and ATVs • Bomb disposal equipment and robots • EMS expendable supplies including but not limited to medications, gloves, syringes and cervical collars • Signage of any kind

All of the following are considerations in prescoring and panelist review.

	Funding Priorities
H	Departments requesting to upgrade service from Basic Life Support (BLS) to Advanced Life Support (ALS)
M	Departments requesting to expand current service
L	Departments requesting new service or replacing used or obsolete equipment

	Level of Response
H	ALS (EMT-I and EMT-P)
H	BLS
L	Hazmat operations/technicians
L	Rescue operations/technicians

	Compliance with Standards
H	Requesting equipment that brings the department into compliance with national, state or local jurisdictional requirements
M	Requesting equipment that brings a department into voluntary compliance with NFPA/OSHA standards
L	Purchasing equipment that does not have an effect on statutory compliance or voluntary compliance with a national standard

Communications Equipment
Includes portable radios, mobile repeaters, mobile data terminals (MDTs), base stations, computer-aided dispatch, fixed-site repeaters, and wireless and broadband mobile data systems. • Items should have the intent of solving interoperability issues and improving first responder safety through more reliable communication systems. • Portables are limited to number of seated positions in department's listed inventory of EMS vehicles (unless justified in the Equipment activity narrative). • Requested items must be consistent with the State Communication Interoperability Plan. • Communications projects may require an EHP review.

Additional Considerations
• Requests that support a regional collaboration • Call volume • Population served

Remodeling/Renovations of Existing Facilities
Remodeling/renovations to an existing facility to accommodate equipment purchased with grant funds (including generator pads) must cost less than $10,000. It also must be justified in the Request Details narrative for the Equipment activity. Remodeling and renovations may not change the footprint or profile of the building. Any request for modifications to facilities may require an Environmental and Historic Preservation (EHP) review. Additional information may be required for EHP review.

iii. EMS Personal Protective Equipment

AFG funds are available to acquire EMS PPE for first responder personnel. Equipment requested must meet all mandatory requirements, as well as any current national and/or state DHS-adopted standards or local EMS protocols.

If requesting training for any items in this section, please list them under Additional Funding in the Request Details section.

The following charts contain information on the eligibility of EMS PPE and prescoring essentials. Copies of NFPA standards may be reviewed at *www.nfpa.org/nfpaafg2011*.

Eligible PPE Expenditures	
• EMS turnout gear, extrication jumpsuits, rescue helmets, gloves, and boots that meet NFPA or OSHA standards for blood-borne pathogens • ANSI-approved retro-reflective highway apparel • EMS PPE for hazardous materials and other specialized incidents	• SCBAs, spare cylinders, individual face pieces and PASS devices if the organization has formally adopted SOPs requiring SCBA availability (with adequate justification in the PPE narrative) • Training for requested PPE

Ineligible PPE Expenditures	
• Uniforms (formal/parade or station/duty) and uniform items (hats, badges, etc.) • Personal communications equipment (i.e., radios, cell phones and pagers)	• Non-EMS PPE such as body armor, wildland firefighting gear, and firefighting turnout gear • Bomb disposal suits

All of the following are considerations in prescoring and panelist review.

PPE is categorized as a High (H), Medium (M) or Low (L) funding priority; within each category (H, M, L), listed activities have an equal funding priority.

H	• Departments requesting new PPE for the first time • Replacing or updating obsolete PPE to the current standard
M	• Replacing torn, tattered, or damaged PPE • Replacing contaminated PPE • Requesting PPE for a new risk
L	• Worn but usable PPE that is not compliant to the current edition of the NFPA standard and/or to handle a new mission, or increase current inventory

Training on Use of Requested Equipment
Applicants must indicate grant-purchased equipment will be operated by sufficiently trained staff. Failure to meet this requirement will result in ineligibility for funding.

Additional Considerations
• Percent of firefighters/EMS personnel served • Age of equipment • Call volume • Population served

Self-Contained Breathing Apparatus (SCBA) Priorities	
Awards will be based on number of seated positions in department's vehicle fleet and the age of existing SCBAs, limited to one spare cylinder (unless justified in the PPE narrative).	
H	Replacing SCBA compliant with NFPA 1981, pre-2002 Edition
M	Replacing SCBA compliant with NFPA 1981, 2002 Edition (must be justified in PPE narrative)
L	Replacing SCBA compliant with NFPA 1981, 2007 Edition (must be justified in PPE narrative)

iv. EMS Wellness and Fitness

Wellness and fitness programs are intended to strengthen personnel so their mental, physical, and emotional capabilities are resilient enough to withstand the demands of emergency services response. To be eligible for funding under this activity, organizations must offer, or plan to offer, all four of the following programs:

- *Periodic health screenings*
- *Entry physical examinations*
- *Immunizations*
- *Behavioral health programs*

The following charts contain information on the eligibility of EMS Wellness and Fitness as well as prescoring essentials.

Eligible Expenditures	
• Procurement of entry-level physicals that meet NFPA 1582 • Annual medical/fitness health evaluations consistent with NFPA 1582 • Immunizations, as required by the department or law (i.e. NFPA) • Behavioral health programs	• Implementation of IAFC/IAFF peer fitness trainer programs • Costs for personnel, physical fitness equipment (including shipping charges and sales tax, as applicable), and supplies directly related to physical fitness activities

Ineligible Expenditures	
• Transportation expenses • Fitness club memberships for participants or their families • Non-cash incentives (t-shirts or hats of nominal value, vouchers to local businesses or time off) • Purchase of real estate • Cash incentives	• Purchase of medical equipment that is not used as part of the Wellness and Fitness program • Contractual services with anyone other than medical professionals (e.g., health care consultants, trainers, and nutritionists) for programs such as smoking cessation • Medical exams that do not meet NFPA 1582

All of the following are considerations in prescoring and panelist review.

	Funding Priorities
H	Departments that do not have any of the four basic programs (medical exams, immunizations, annual exams and behavioral health) and request funds to offer all four programs
M	Departments that already offer one or more of the four basic programs-- medical exams, immunizations, annual exams, and behavioral health--and request funds to offer the remaining activities
L	Departments requesting physical fitness equipment but do not offer the four basic programs

Priority Considerations
Priority 1 • Initial medical exams • Job-related immunization program, as required by the department, or law • Annual medical/fitness evaluation • Behavioral health program • If the participation in the Wellness and Fitness programs are mandatory Departments that have some of the Priority 1 programs in place must apply for funds to implement the other Priority 1 activities before applying for funds for any additional program or equipment. In addition, funded medical exams must meet current NFPA 1582, as required by DHS standards. **Priority 2** • Candidate physical ability evaluation • Formal fitness and injury prevention program/equipment • Departments with a plan for sustaining Wellness and Fitness programs • Departments that have a mandatory requirement for all members to participate

Remodeling/renovations to an existing facility to house a fitness activity, such as exercise or fitness rooms, showers, etc., must cost less than $10,000 and be justified in Request Details narrative for the Wellness and Fitness activity. Remodeling and /renovations may not change the footprint or profile of the building. Any request for modifications to facilities may require Environmental and Historic Preservation (EHP) review. Additional information may be required for EHP review.

v. Modifications to EMS Facilities

Grants may be used to modify EMS facilities. The construction of new facilities is not allowed. Grant funds may only be used to retrofit existing structures built prior to 2003 that do not have the requisite safety features.

If requesting multiple items in this activity, funding cannot exceed a maximum of $100,000 per station. Remodeling to fulfill other grant initiatives is limited to $10,000. Eligible projects under this activity must have a direct effect on the health and safety of first responders.

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. Grantees must comply with all applicable EHP laws, regulations, and Executive Orders (EOs) in order to draw down their FY 2011 AFG 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 that implement projects prior to receiving EHP approval from FEMA risk de-obligation of funds.

AFG projects that involve the installation of equipment, ground-disturbing activities, and new construction, including communication towers, or modification/renovation of existing buildings or structures must undergo a FEMA EHP review. Activities not specifically excluded from a FEMA EHP review also will require an EHP review per the GPD Programmatic Environmental Assessment (PEA). For more information on the PEA, see Information Bulletin 345 and *www.fema.gov/pdf/government/grant/bulletins/fonsi.pdf*.

Furthermore, for those proposed construction or renovation projects that are part of larger projects funded from a non-FEMA source (such as an EOC that is part of a larger proposed public safety complex), a FEMA EHP review must be complete 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* for review.

Grantees should submit the FEMA EHP Screening Form for each project as soon as possible upon receiving the grant award. Refer to Information Bulletins 329, 345, and 356 located at *www.fema.gov/government/grant/bulletins/index.shtm* and Section II, Part I.B.5.6 for further details on EHP requirements.

These 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)*

The following charts contain information on the eligibility of EMS Modifications to Facilities and prescoring essentials. Copies of NFPA standards may be reviewed at *www.nfpa.org/nfpaafg2011*.

Eligible Expenditures	
• Direct sole-source capture exhaust systems	• Air quality systems
• Sprinkler systems	• Emergency generators
• Smoke/fire alarm notification systems	

Ineligible Expenditures	
• Station maintenance • Resurfacing bay floors	• Interior remodeling not pertaining to the requested project(s)

All of the following are considerations in prescoring and panelist review.

H	Departments requesting direct sole-source capture exhaust systems, sprinkler systems, or smoke/fire alarm notification systems for stations with sleeping quarters, including maritime/air operations facilities, and are occupied 24/7
M	Departments with or without sleeping quarters requesting air quality systems and/or emergency generators
L	Departments requesting funding from the high or medium funding priorities whose facilities are not occupied 24/7 and do not have sleeping quarters; training facilities

Occupancy Definitions

Full-time: coverage 24/7

Daily: part-time or selected coverage not on a regular basis

Occasionally: no schedule coverage, volunteers respond to the station

- Additional considerations will be given for the age of the building; older facilities receive a higher priority
- Call volume
- Population served

Type of Facility

- Level of occupancy (H Full-time, M Daily, L Occasionally)

Level of Occupancy

- Facilities with or without sleeping quarters
- Training facilities are a low priority

b. EMS Vehicles

Due to inherent differences among urban, suburban, and rural firefighting needs, AFG has different priorities in the Vehicles program area for departments that serve different types of communities.

Applicants requesting vehicles that do not have driver/operators trained to U.S. Department of Transportation Emergency Vehicle Operators Course (EVOC) National Standard Curriculum, or equivalent, and are not planning to have a training program in place by the time the vehicle is delivered, will not receive an award.

To be eligible for funding, new vehicles purchased with AFG funds must be compliant with current General Services Administration standards, specifically KKK-A-1822E (*Guide for Emergency Medical Services and Systems),* found at *http://apps.fss.gsa.gov/vehiclestandards/assocDocs.cfm.*

Funds may be used to acquire new, used, or refurbished EMS vehicles. Funds may also be used to refurbish a vehicle the organization currently owns. Refurbished apparatus must also meet currently applicable standards (NFPA, GSA KKK-1822F Specification standards).

Applicants that serve urban, suburban or rural communities may apply for more than one vehicle. Requests cannot exceed the financial cap based on population listed in the application. If a department submits multiple applications, and more than one of those requests are approved, the department will be held to the same financial cap based on the population listed in the application.

Performance Bond: A performance bond is recommended for any department/agency that is going to advance their own funds to the manufacturer prior to receipt of the vehicle. The bond may be obtained through the vendor or local bank. The concept behind this is to ensure the department's funds are not lost in the event of a manufacturer's failure to perform, i.e., not finishing or delivering the vehicle.

Prepayment Bond: As required in the three previous grant years, FY 2011 AFG vehicle awardees are required to obtain a prepayment bond if the grantee plans to advance Federal funds to the manufacturer. This is to safeguard the Federal funds against loss if the manufacturer goes out of business or fails to deliver the vehicle. Prepayment bonds may be obtained through your bank or the manufacturer. The grantee must include in their vehicle purchase contract specific performance requirements and penalties for noncompliance with the requirements (Penalty Clause). Extensions to a grant's period of performance may not be considered if the requisite prepayment bond is not obtained and/or if the penalty clause is not included in the purchase contract. Extensions to a grant's period of performance for vehicle purchase(s) will not be considered if the grantee is not programmatically compliant in the administration of their award.

Applicants may request funding for a training program in the Vehicles section, but it must add that request in the Additional Funding area in the Request Details section for the Vehicles application. Driver training programs must be in place prior to the delivery of the vehicle.

The following charts contain information on the eligibility of EMS Vehicles and prescoring essentials.

Eligible Expenditures	
• Cost of vehicle • Transportation to inspect a vehicle under consideration or during production (if justified in the Vehicles narrative)	• Driver/operator training that meets Department of Transportation Emergency Vehicle Operators Course (EVOC) National Standard Curriculum or equivalent • Physicals

Ineligible Expenditures	
• Vehicles contracted for or purchased prior to end of established application period • ATVs and other specialty access vehicles	• Aircraft, bulldozers, and construction-related equipment • Refurbishment of converted vehicles not originally used or intended to be used for emergency operations

All of the following are considerations in prescoring and panelist review

	EMS Vehicle Program Priorities
H	Ambulances or transport units to support EMS functions
M	Non-transport (vehicles that do not transport a patient)
L	Other specialty vehicles (EMS command vehicles)

Compliance with Standards
• Refurbished vehicles must also meet current applicable standards NFPA, GSA KKK-1822F for the year of manufacture. • Ambulances must meet NFPA, GSA KKK-1822F for the year ordered/manufactured.

Other Vehicle Considerations
• Transportation expenses • Population served • Call volume

FEMA reserves the right to reduce the amount of any vehicle request, in whole or in part, that is considered excessive in cost. AFG funding is meant to supplement, not replace, an organization's funding.

3. Regional Projects

Any eligible applicant, whether a fire department or a nonaffiliated EMS organization, may act as a "host applicant" and apply for large-scale or regional projects on behalf of itself and any number of organizations in neighboring jurisdictions.

A regional project is one in which multiple organizations serving more than one local jurisdiction benefit directly from the activities implemented with the grant funds. A county fire department applying for a countywide communications system is NOT a regional project because it does not benefit multiple "seats-of-government." Regional projects are designed to facilitate interoperability and efficiency among the participating jurisdictions. As such, the only activities available for application under a regional project are training, equipment acquisition (such as communications equipment) that positively affect interoperability between jurisdictions, and PPE, including SCBAs.

For example, a regional project serving a population of fewer than 500,000 people will be limited to $1 million. Regional projects' cost share will be based on the total population of the entire region, not the population of the host applicant. ***All non-Federal cost share funds must be in cash; in-kind contributions are not acceptable.***

A regional host must include a list of all the participating organizations benefitting from a proposed regional project. When requesting SCBA as a regional project, the host is required to list all prior SCBA grants received by regional partners.

In general, equipment purchased as a result of a regional project will be physically distributed to all the departments that are beneficiaries of the project. This physical distribution of the equipment to other first responder organizations is the single characteristic that distinguishes them from projects that are not regional in nature but may have an impact on a region via mutual aid.

For example, a project that would not be considered to have an effect on interoperability (and thus would not be considered a regional project) would be an application for an air compressor or a hazardous materials (Hazmat) response vehicle. In this example, the assets would be shared with neighboring departments under mutual or automatic aid agreements, but they would be physically located in the awardee's department and not disseminated among the participants.

In order to apply for a regional project, the host organization must agree, if awarded, to be responsible for all aspects of the grant. This includes, but is not limited to, accountability for the assets and all reporting requirements. All organizations involved must have some kind of documentation for distribution of grant funded assets and financial responsibility in place prior to any award.

Reminder: The host agency is ultimately financially responsible for the regional grant's required cost share.

In the regional application, the host organization will be required to describe the characteristics of the entire region that will be affected by the project as outlined in Part IV, *Application Submission Information.*

a. Regional Equipment

All funding priorities for regional requests are the same priorities as fire and EMS.

Eligible Expenditures	
• Communications equipment to include infrastructure (dispatch centers), handheld portables, pagers, repeaters, etc. • Other equipment that would be beneficial to the mission of all regional partners	• Standardization of EMS equipment throughout the region to meet local jurisdictional standards

Ineligible Expenditures	
• Vehicles • Wellness and Fitness Programs • Firefighting equipment that does not benefit all regional partners	• Aircraft, bulldozers, and construction-related equipment • Modifications to facilities

b. Regional Training

Eligible Expenditures	
• Training that benefits multiple jurisdictions • Training Props • Training trailers to include manufactured burn trailers	• EMS training throughout the region to meet local jurisdictional standards • Other training that would be beneficial to the mission of all regional partners

Ineligible Expenditures	
• Flashover Simulators • Wellness and Fitness Programs	• Firefighting equipment

c. Regional PPE

Eligible Expenditures	
• SCBA (to include face piece, voice amp, harness/PASS device and one spare cylinder • Accountability systems	• EMS PPE that meets NFPA and OSHA blood-borne pathogen standards • Firefighting PPE

Ineligible Expenditures	
• Jumpsuits and uniforms that do not meet basic NFPA and OSHA blood-borne pathogen standards	• Rapid Intervention Team (RIT) Equipment • Portable Radios

PART II.

AWARD INFORMATION

This section identifies the award period of performance and the total amount of funding available under the FY 2011 Assistance to Firefighters Grants (AFG). It also describes the basic distribution method used to determine final grants awards, and identifies all eligible applicants for FY 2011 funding.

A. Authorizing Statutes

The authority for AFG is derived from the *Federal Fire Prevention and Control Act of 1974* (15 U.S.C. §§ 2229 et seq.), as amended. Department of Defense and Full Year Continuing Appropriations Act, 2011 (Public Law 112-10, Section 2, Division B, Title VI Homeland Security).

B. Period of Performance

The AFG award period of performance is 12 months from award date. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications as to why an extension is required. Extensions are considered on a case-by-case basis.

C. Available Funding

Congress appropriated $404,190,000 for the FY 2011 AFG. From this amount, $380,747,000 will be made available for AFG awards. Funds appropriated for the FY 2011 AFG (via P.L. 112-10) are available for obligation and award until September 30, 2012.

D. Specific Funding Parameters

Congress directed DHS to administer the appropriations:

- *Up to 5.8 percent of funds may be used for program administration.*
- *Up to 2 percent of funds may be used for awards to nonaffiliated EMS organizations.*
- *No more than 25 percent of funds may be used for vehicle awards. Of that amount, no less than 3.5 percent of funds must be awarded for equipment and training grants for both fire-based EMS and nonaffiliated EMS.*

FEMA is implementing the following parameter:

- *FEMA is allocating $35 million towards [Fire Prevention and Safety (FP&S) Grants] and research and development activities that improve firefighter safety. The FP&S Grants are not part of this AFG solicitation. The FP&S Grant application period is expected to commence in the fall or winter of 2011.*

E. Awards

FEMA must assure the combined percentage of awards to combination and volunteer departments are equal to or greater than, the percentage of the nation's population these types of departments serve. The NFPA reported in a publication entitled *U.S. Fire Department Profile Through 2009* (issued October 2010) that combination departments protect 33.5 percent of the nation's population and volunteer departments protect 19.5 percent. As such,

- *No more than 47 percent of the available funds may be granted to career organizations and departments.*
- *No less than 33.5 percent of the available funds must be granted to combination organizations (organizations and departments with both paid career and volunteer active duty members).*
- *No less than 19.5 percent of the available funds must be granted to all-volunteer organizations (organizations and departments with no active duty paid career members).*

Awards will be limited based on population protected by the applicant, as indicated below.

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

The cumulative total of the Federal share of awards in Operations and Safety, Vehicle Acquisition, and Fire Prevention and Safety (FP&S) will be factored when assessing award amounts and any limitations thereto. Applicants may request funding up to the statutory limit on each of their applications.

For example, an applicant that serves a population of less than 500,000 may request up to $1 million on their Operations and Safety application and up to $1 million on their Vehicles request. However, should both grants be awarded, the applicant would have to choose which application to accept if the cumulative value of both applications exceeds the statutory limits.

Applications for Regional projects will not be included in the host applicant's funding limitations detailed above. However, Regional applicants will be subject to their own limitation based on the total

population the Regional project will serve. For example, a Regional project serving a population of fewer than 500,000 people will be limited to $1 million.

FEMA will also continue to separate FP&S Grants from AFG and will have a separate application period devoted solely to FP&S Grants. The FP&S application period is planned for fall or winter 2011.

F. Cost Sharing

Cost sharing under AFG is based on the population protected by the grantee. The cost share breakdown is as follows:

- *Fire departments and nonaffiliated EMS organizations serving populations of 50,001 or more shall be required to provide a cost share of non-Federal funds of 20 percent of the total project cost.*
- *Fire departments and nonaffiliated EMS organizations serving populations between 20,001 and 50,000 shall be required to provide a cost share of non-Federal funds of 10 percent of the total project cost.*
- *Fire departments and nonaffiliated EMS organizations serving areas with a population of 20,000 or fewer shall be required to provide a cost share of non-Federal funds of five (5) percent of the total project cost.*

Regional projects' cost share will be based on the total population of the entire region, not the population of the host applicant. All non-Federal cost share funds must be in cash; in-kind contributions are not acceptable. No waivers of this requirement will be granted except for applicants located in Insular Areas as provided for in 48 U.S.C. § 1469a, which limits the waiver to grants less than $200,000.

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 matching requirement.

FEMA administers cost sharing requirements in accordance with 44 CFR §13.24. To meet cost share requirements, the grantee contributions must be reasonable, allowable, allocable and necessary under the grant program and must comply with all Federal requirements and regulations.

PART III.

ELIGIBILITY INFORMATION

This section provides information and summaries on the eligibility of applicants, the cost sharing requirements connected with each grant award, and the eligible costs under each activity funded by the grants.

A. Eligible Applicants

Eligible applicants for AFG are limited to fire departments and nonaffiliated EMS organizations. Fire departments or nonaffiliated EMS organizations operating in any of the 50 states plus the District of Columbia, the Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands, Guam, American Samoa, and Puerto Rico are eligible for funding.

A fire department is an agency or organization having a formally recognized arrangement with a state, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression to a population within a fixed geographical area on a first-due basis.

A nonaffiliated EMS organization is defined as a public or private nonprofit emergency medical services organization providing direct emergency medical services, including medical transport, to a specific geographic area on a first-due basis but is not affiliated with a hospital and does not serve a geographic area where emergency medical services are adequately provided by a fire department.

In making the determination regarding adequately provided emergency medical services, FEMA will consider any nonaffiliated EMS organization as eligible if it is adequately providing direct emergency medical services at the time of application submission and is in good standing with the community, (*i.e.*, licensed and/or chartered to provide EMS services to the community).

Rescue squads providing direct emergency medical services, **including medical transport**, to the community they serve are eligible to apply as a nonaffiliated EMS organization.

For the purpose of these grants, a hospital is defined as a:

- *Clinic*
- *Medical center*
- *Medical college or university*
- *Infirmary*
- *Surgery center*
- *Any other institution, association, or foundation providing medical, surgical, or psychiatric care and/or treatment for the sick or injured*

A municipality (such as a fire district) may submit an application on behalf of a fire or EMS organization when the organization, defined as a fire department or nonaffiliated EMS organization, lacks the legal status to do so, e.g., when the organization falls within the auspices of the municipality or district.

The Alaska Village Initiative, a nonprofit organization incorporated in the State of Alaska, will also be considered eligible for purposes of receiving assistance under this program on behalf of any Alaskan Native village.

For the FY 2011 program year, each eligible applicant may submit one application for each of the program areas, (*i.e.*, one application for the Vehicle Acquisition program area, one application for Operations and Safety program area, and one application for a Regional project). If an eligible applicant submits multiple applications in a single program area (for example two Regional project applications for which they are a host or two Operations and Safety applications) FEMA will deem all of the applications in that same program area to be ineligible.

FEMA considers two or more separate fire departments or nonaffiliated EMS organizations sharing facilities as being one organization. This determination is designed to avoid duplication of benefits.

For example, it would not be cost-beneficial to purchase two firefighting vehicles for two fire departments sharing a facility to serve the same community when so many other communities need new apparatus; nor would it be cost-beneficial to buy two sets of equipment for the same firefighters.

FEMA believes two or more organizations sharing facilities should be able to satisfy all of operational needs with one program area application. Thus, if two or more organizations share facilities and each submit an application in the same program area, FEMA will deem all of those program area applications ineligible.

Fire-based EMS training and equipment must be applied for under the Fire Operations and Firefighter Safety program area. A nonaffiliated EMS organization may only apply for assistance under the Nonaffiliated EMS Operations and Safety program area.

Non-Federal airport and/or port authority fire or EMS organizations are eligible only if they have a formally recognized arrangement with the local jurisdiction to provide fire suppression or emergency medical services on a first-due basis outside the confines of the airport or port facilities. Airport or port authority fire and EMS organizations whose sole responsibility is suppression of fires or EMS response on the airport grounds or port facilities are not eligible for funding under AFG.

B. Ineligible Applicants

- *Fire departments that are Federal, or contracted by the Federal government, and are solely responsible under a formally recognized agreement for suppression of fires on Federal installations or land are ineligible for funding.*

- *Fire stations that are not independent entities, but are part of, controlled by, or under the day-to-day operational direction of a larger fire department or agency are not eligible for funding.*

- *Fire departments that are for-profit departments (i.e., do not have specific nonprofit status or are not municipally based) are not eligible for funding.*
- *Auxiliaries, fire service organizations or associations, and state/local agencies such as a forest service, fire marshals, hospitals, and training offices are not eligible for funding.*
- *Dive teams and search and rescue teams, or any similar organizations that do not provide medical transport, are not eligible for assistance as nonaffiliated EMS organizations.*

C. Other Allowable Costs

This section describes additional costs that may be paid using AFG Grant funds.

1. Administrative Costs

Administrative costs are allowable under any of the program areas listed above in accordance with 2 CFR Part 225, Cost Principles for state, local, and Indian Tribal Governments (OMB Circular A-87) or 2 CFR 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 (3) percent 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 associated with the National Fire Incident Reporting System (NFIRS) reporting requirements.

Grant funds may not be used for insurance, Internet service provider fees, or any similar monthly service fees. The cost of a grant writer (if specifically listed on your application) is eligible and can be charged to the grant as administrative costs in accordance with the provisions outlined below in Item 7 below.

2. Indirect Costs

An indirect cost rate is an expense based on a percentage of the overall operational costs of an organization. Applicants can charge indirect costs to the grant, but are limited to the combined total of 3 percent as stated above, unless they have a previously negotiated and approved Indirect Cost Rate Agreement.

This indirect cost rate is established by a Federal department or agency for the grantee’s organization that the grantee uses to compute the dollar amount they can charge to the grant for indirect costs incurred during the execution of the grant agreement (Information about Indirect Cost Rate Agreements can be found at *http://rates.psc.gov/*).

Prior to submitting any claims for reimbursement of indirect costs, applicants must first submit a copy of their negotiated and approved Indirect Cost Rate Agreement to FEMA for review and approval. The indirect cost rate is applicable as long as it is consistent with the established terms of the agreement. For example, some indirect cost rates may not apply to capital procurements. In these cases, indirect cost rates would not apply for grant equipment.

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

Indirect costs shall be classified within two broad categories - Facilities and Administration. Facilities is defined as depreciation and use of allowances on buildings, equipment and capital improvement, interest on debt associated with certain buildings, equipment and capital improvements, and operations and maintenance expenses. Administration is defined as general administration and general expenses such as the cost for the director's office, accounting, personnel, library expenses and all other types of expenditures not specifically chargeable to the grant.

3. Audit Costs

Recipients of Federal funding that spend in excess of $500,000 of Federal funds in a Grantee's Fiscal Year must comply with the Single Audit Acts Amendments of 1996 (31 U.S.C. §§7501-7507); 31 U.S.C. §§503, 1111; Executive Order 8248; Executive Order 11541; and revised OMB Circular A-133. Reasonable costs incurred for such an audit would be an eligible expenditure if included in the proposed budget. Applicants should consider including anticipated costs of an audit if applying for a significant level of funding. FEMA does not require any other type of audit; therefore, other audit costs not related to the A-133 portion of the organizations audit are not eligible. Audit costs are considered "administrative" expenditures.

4. Remodeling or Renovation Costs

Construction costs are not eligible under the AFG Grants. Construction includes major alterations to a building that changes the profile or footprint of the structure.

Renovations to an existing facility are limited to minor interior alterations costing less than $10,000. In order to be eligible, renovations must be essential to the successful completion of the grant scope of work. Any request for modifications to facilities may require Environmental and Historic Preservation (EHP) review. Additional information may be required for EHP.

Installation of fire suppression, fire alarms, or detection systems are not considered renovations and are not subject to the cost limits identified above. The costs, however, must be reasonable and justified. Fire departments considering installation of suppression, fire alarm or detection systems in a fire department facility are encouraged to apply under the Assistance to Firefighters Grants Program under Modification to Facilities.

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, 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. Additionally these expenses cannot be incurred more than 90 days prior to the award date. Pre-award costs are allowable only with the written consent of FEMA and if they are included in the award agreement on a case-by-case basis.

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. 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.

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. A down payment for the purchase of a vehicle is allowable if required in the purchase contract, but FEMA will only allow up to 25 percent of the Federal share to be drawn for this purpose.

No additional funds beyond the down payment will be provided in advance of the delivery of the vehicle. Any costs over-and-above the 25 percent limit such as the cost of a chassis or any other fees or services must be borne by the grantee or deferred until final payment is drawn.

Federal funds may not be used for any other periodic or progress payments, except the final payment, which should not be requested until after the vehicle is received, inspected, and accepted by the grantee.

D. Other Funding Restrictions

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

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

E. National Incident Management System (NIMS) Implementation Compliance

In accordance with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the adoption of the National Incident Management System (NIMS) is a requirement to receive Federal assistance, through grants, contracts, and other activities. For more information visit: *www.dhs.gov/xabout/laws/gc_1214592333605.shtm* and *www.fema.gov/emergency/nims/*.

In accordance with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the adoption of the National Incident Management System (NIMS) is a requirement to receive Federal assistance, through grants, contracts, and other activities.

The primary grantee/administrator of FY 2011 AFG award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

If your department/agency is not currently NIMS-compliant please go to the following Web site (*www.fema.gov/nimscast/* for assistance or check with your local Authority Having Jurisdiction (AHJ).

Questions?
Call the Help Desk at 866-274-0960.

The NIMS provides a consistent nationwide template to enable all levels of government, tribal nations, nongovernmental organizations, and private sector partners to work together to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity.

Federal FY 2009 NIMS implementation must be considered prior to allocation of any Federal awards in FY 2011. The primary grantee/administrator of FY 2011 AFG award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

PART IV.

APPLICATION AND SUBMISSION INFORMATION

This section summarizes the process for applying for the FY 2011 AFG Grant.

A. Automated Grant Application

Applications under the FY 2011 AFG will be accessible at https://portal.fema.gov. The application will also be accessible from the U.S. Fire Administration's (USFA) Web site (*www.usfa.fema.gov*), and grants.gov Web site (*www.grants.gov*). We have designed the automated application with many built-in "help screens" and "drop-down menus" to assist applicants with the application process. The application can be saved and retrieved as many times as needed to complete it - up to the application deadline or the submittal.

However, once you have submitted your application, you cannot change it. You will not be allowed to update your application to correct errors discovered after submission or to reflect changes in your organization's circumstances. You will be automatically notified via e-mail once we have received your application.

An applicant tutorial will be available from the Program Office. The tutorial explains the grant program, helps you with the online grant application, provides tips for navigating the application screens, and summarizes FY 2011 program changes. The tutorial also provides a review of lessons learned during previous grant periods.

You may decide to hire or engage a grant writer to assist you in the application process. However, as the applicant, you are responsible not only for the cost associated with using outside assistance but also for all information contained in your application. By submitting the application, you are certifying all of the information contained therein is true and an accurate reflection of your organization. Therefore, prior to submission, please review all work produced by grant writers, or other third parties, on your behalf.

Paper applications will be accepted, but are discouraged due to the inherent delays associated with processing them. In addition, successful applicants who submit paper applications must continue to manage their grants via paper, including payment requests, requests for modifications, reporting, *etc.*; whereas, applicants who apply online can perform all of these functions online.

In addition, paper applications do not provide the built-in help available to online applicants. Finally, there is no assurance your paper application is complete when submitted. If you do not have access to the Internet, contact FEMA at 1-866-274-0960 to request a paper copy of the application via regular mail. FEMA will not send paper applications via overnight delivery, fax, or e-mail.

The only eligible paper application is the application FEMA sends to you. Do not use any paper application you did not receive directly from FEMA. Do not use a previous year's application. Any paper application that is not in the correct format will be deemed ineligible.

B. Content and Form of Application

Eligible applicants apply for AFG funding online via the e-Grants application at: *https://portal.fema.gov*. The system will allow an authorized representative to login and create a username and password. If your organization is submitting more than one FY 2011 application, you must use the same username and password used for prior year applications, as well as for each FY 2011 application.

When filling out the online application, applicants are required to provide general information regarding the applicant and the community served. The applicant will provide detailed information regarding the items or activities for which they are seeking funding. The applicant will also have to provide a narrative description of their project including the cost of the project, their financial needs, and the benefits the project will provide for the applicant's operations.

Finally, the applicants will have to fill out as part of the online e-Grants application:

- *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*

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

C. DUNS Number

Effective October 1, 2003, all Federal grant applicants must contain a Dun & Bradstreet Data Universal Numbering System (DUNS) number.

The DUNS number helps the Federal government identify organizations that receive Federal funding and ensures consistent name and address data for electronic grant applications. Additional information about DUNS numbers can be found on the Dun & Bradstreet Web site at *http://fedgov.dnb.com/webform/displayHomePage.do;jsessionid=B9E740A165*.

There is no charge to obtain a DUNS number, and it is your organization's responsibility to obtain one.

You are encouraged to apply for a DUNS number as soon as possible by calling 1-866-705-5711; as it may take several weeks to obtain the number online. The DUNS number must be entered in a special data field on the AFG application

D. Central Contractor Registration (CCR)

Per OMB guidance from August 27, 2010, Federal agencies must require prime recipients of Federal grants to register in the Central Contractor Registration (CCR) system. The CCR system is the primary registrant database for the U.S. Federal Government. CCR collects, validates, stores, and disseminates data in support of agency acquisition missions. CCR registration is free and must be conducted online at *www.CCR.gov*.

There is no charge to register in CCR, and it is your organization's responsibility to register during the application period. **CCR registration is not required prior to application but will be required if you are selected for award.**

For New Registration go to: www.bpn.gov/ccr/grantees.aspx.

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

Step 1: Access the CCR online registration through the CCR home page.

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

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

The necessary information includes:

1. **General Information** – Includes, but is not limited to, DUNS number, Commercial and Government Entity (CAGE) Code, company name, Federal Tax Identification Number (TIN), location, receipts, employee numbers, and Web site address.
2. **Corporate Information** – Includes, but is not limited to, organization or business type and SBA-defined socioeconomic characteristics.
3. **Goods and Services Information** – Includes, but is not limited to, NAICS code, Product Service (PSC) code, and Federal Supply Classification (FSC) code.
4. **Financial Information** – Includes, but is not limited to, financial institution, American Banking Association (ABA) routing number, account number, remittance address, lock box number, automated clearing house (ACH) information, and credit card information.

5. **Point of Contact (POC) Information** – Includes, but is not limited to, the primary and alternate points of contact and the electronic business, past performance, and government points of contact.

6. **Electronic Data Interchange (EDI) Information*** – Includes, but is not limited to, the EDI point of contact and his or her telephone, e-mail, and physical address. (*Note: EDI Information is optional and may be provided only for those businesses interested in conducting transactions through EDI.)

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

E. 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.

Grantees must comply with all applicable EHP laws, regulations, and Executive Orders (EOs) in order to draw down FY 2011 AFG 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.

AFG projects that involve the installation of equipment not specifically excluded from a FEMA EHP review per the GPD Programmatic Environmental Assessment (PEA) (for more information on the PEA see Information Bulletin 345 at *www.fema.gov/pdf/government/grant/bulletins/fonsi.pdf*), ground-disturbing activities, modification/renovation of existing buildings or structures must undergo a FEMA EHP review.

F. Submission Dates and Times

Applications for the FY 2011 AFG will be accepted starting on Monday, August 15, 2011, at 8:00 a.m. Eastern Time. Up-to-date application information will be posted on the AFG and USFA Web sites.

Completed applications must be received by 5:00 p.m. Eastern Time on Friday, September 9, 2011. Applications submitted by mail must be postmarked by September 7, 2011.

Paper applications must be mailed to:

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

We will not be responsible for applications mailed to any address other than the address shown above. Late, incomplete, or faxed applications will NOT be accepted.

Applications other than those submitted online via the e-Grant application system will not be accepted unless they meet the paper application submission requirements outlined above.

G. Project Period

The project period (Period of Performance) for any award under AFG will be 12 months from the date of the award.

H. Application Details

The AFG Program allows applicants to formulate a very comprehensive grant proposal. Depending on the program area for which you apply, your grant proposal may include a number of related activities to address all of your needs within a programmatic or functional area.

This approach provides you with the opportunity to develop a more comprehensive grant project addressing a broader range of your organization's needs. Be advised that your application should include only activities that can be completed within a 1-year Period of Performance.

In FY 2011, ***you may submit one application per application period in each of the program areas***, (*i.e.*, one application under Operations and Safety, one under Vehicle Acquisition, and/or a separate application as a regional host).

If multiple applications are submitted on behalf of the same organization within any of the program areas, either intentionally or unintentionally, FEMA will deem all applications in that program area to be ineligible.

When formulating your grant proposal(s), keep in mind the legislative funding limits for fire departments (See Part II).

If your organization receives awards under both the Operations and Safety and Vehicle Acquisition program areas, the total of both awards cannot exceed the established funding limit.

PART V.

APPLICATION REVIEW INFORMATION

This section summarizes the multi-level review and evaluation process used to select applications for AFG funding. AFG will evaluate and act on applications within 90 days following close of the application period. Awards will be made on or before September 30, 2012.

A. Prescoring Process

Funding priorities and criteria for evaluating AFG applications are established based on recommendations from the Criteria Development Panel. FEMA will rank all submitted applications based on how well they match the funding priorities for the type of community served.

Answers to the application's activity-specific questions provide information used to determine each application ranking relative to the stated priorities.

First, the application will undergo a prescoring process based on the funding priorities. Then, if the application is determined to be in the competitive range by meeting those priorities, the projects will proceed to panel review.

Each project in your application will be scored on its own merits, provided it meets the funding priorities set by the AFG's Criteria Development Panel.

This year, 50 percent of your final score will be from the electronic prescore, and 50 percent will be from an average of the Peer Review Panelists' scores

B. Peer Review Process

Those applications scoring the highest will be within the competitive range and will undergo further evaluation through a peer review process.

A panel of at least three peer reviewers will evaluate each project in the competitive range using the project narrative, along with answers to the general questions and the activity-specific questions. During the panel review process, panelists will provide a subjective but qualitative judgment on the merits of each request.

Applications, including requests for equipment and/or training, will be evaluated relative to the critical infrastructure within the applicant's area of first-due response. Panelists will assess such infrastructure and the hazards confronting the community, as explained in the narrative.

The panelists will review and score your project based on the following criteria:

- *The proposed project and budget*
- *The financial need for the project*
- *The cost benefits that would result*
- *The extent to which the grant would enhance daily operations*
- *How the grant will positively impact the regional ability to protect life and property*

Applications, including requests for CBRNE equipment or training, will be evaluated by the peer review panelists relative to the critical infrastructure the applicant protects.

Critical infrastructure includes any system or asset that, if attacked, would result in catastrophic loss of life or catastrophic economic loss.

Critical infrastructure includes:

- *Public water*
- *Power systems*
- *Major business centers*
- *Chemical facilities*
- *Nuclear power plants*
- *Major rail and highway bridges*
- *Petroleum and/or natural gas transmission pipelines*
- *Storage facilities (such as chemicals)*
- *Telecommunications facilities*
- *Facilities that support large public gatherings, such as sporting events or concerts*

If applying as a regional host, an applicant must include a list of all the participating organizations that will benefit from a proposed regional project.

Fire departments or nonaffiliated EMS organizations acting as host applicants for a regional project may also apply for their own project funding under AFG, as long as they are not requesting the same items for the regional project. A host applicant may submit a request to meet its own, non-regional needs in a separate application.

Each project will be judged on its own merits, not compared to other projects. As part of the cost/benefit review, the panelists will consider all expenses budgeted, including the individual costs of the items requested as well as the extraneous costs such as warranties or maintenance costs, administrative costs, and/or indirect costs.

Panelists may object to costs that are requested but not fully explained in the application. Panelists will review each application in its entirety and rate the application according to the established evaluation criteria.

Each application scoring high during the peer review process will be deemed in the fundable range. The initial peer reviewed project scores are combined with the initial prescores of the projects, each representing 50 percent of the total project score with respect to the final award determinations.

These projects will undergo a Technical Review by a subject matter specialist as well as a Program Office review prior to being recommended for award.

In the Technical Review, the subject matter specialists will assess the technical feasibility of the project. After the Technical Review, the Program Office will conduct an additional review to assess the request with respect to costs, quantities, and eligibility prior to recommending the project for award.

C. State Strategy and Communications Technical Review

Each state will provide a representative to the AFG Program Office to conduct a Technical Review of peer-reviewed applications from the state's perspective. This state review will focus on requests for CBRNE-related equipment or training and/or interoperable communications equipment or training.

After the panel review process is complete, the designated state homeland security official will review the application to ensure requests for communications systems conform to the state's Statewide Communication Interoperability Plan (SCIP).

Grantees using FY 2011 AFG funds to support emergency communications activities should review and comply with the *FY 2011 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. Communication equipment (i.e. portable radios) would be included in this standard. This guidance can be found at *www.safecomprogram.gov*.

Grantees investing in emergency communications must ensure projects support the SCIP for their state.

PART VI.

OTHER INFORMATION

Supplemental Resource Index

In addition to the FY 2011 AFG Grant Guidance and Application Kit, supplemental resources are available to grantees. Please see below for a list of supplemental resources:

- *Copies of NFPA standards may be reviewed at www.nfpa.org/nfpaafg2011*

Assistance to Firefighters Grants

Guidance and Application Kit
Section II
Award Administration Information

August 2011

Fiscal Year 2011

U.S. Department of Homeland Security

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PART I.
AWARD ADMINISTRATION INFORMATION

Due to continued stakeholder feedback and recommendations, GPD has reformatted its "Preparedness Grant Programs" guidance and application kits. The kits are now structured into two separate documents, referred to as *Section I* and *Section II*. While both are important documents for grantees to study and thoroughly familiarize themselves with, *Section I* is intended to help grantees during the application phase of a particular preparedness grant program.

Section II – Award Administration Information - is intended to help grantees in understanding the rules and regulations associated with administering federally funded grant awards. In previous years with preparedness grant guidance kits, the standard financial, administrative, and legal information now found in Section II had been historically embedded as part of each individual preparedness kit. GPD has pulled out this standard financial, administrative and legal information from each individual preparedness kit and has created *Section II* as a stand-alone supplement, which complements and is inherently related to each of the individual preparedness grant programs.

A. 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 Assistance to Firefighters Grants program (AFG), notification of award approval is made through the e-Grants system through an automatic e-mail 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 Award amendments may be approved, on a case-by-case basis for the following:

- *Period of performance (extension request)*
- *Scope of work (change)*
- *Cost over/under run (adding funds)*
- *Retroactive approval for excess funds violation or violation of spending (closeout issues)*
- *Fire prevention*
- *Excess funds in training or wellness and fitness*
- *Excess funds beyond the $5,000 or 1%*

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

AFG strongly encourages the timely expenditure of grant funds by grantees consistent with the goals and objectives outlined in AFG programs.

B. Administrative and National Policy Requirements

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

The recipient must, in addition to the assurances made as part of the application, comply with all applicable statutes, regulations, executive orders, OMB Circulars, terms and conditions of the award, and the approved application.

1. Standard Financial Requirements

The grantee shall comply with all applicable laws and regulations. A non-exclusive list of regulations commonly applicable to DHS grants are listed below:

1.1 – Administrative Requirements

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

- *Office of Management and Budget (OMB) Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (also known as the "A-102 Common Rule"), found under DHS regulations at Title 44, Code of Federal Regulations (CFR) Part 13, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"*

- *OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, relocated to 2 CFR Part 215*

1.2 – Cost Principles

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

- *OMB Circular A-21, Cost Principles for Educational Institutions, relocated to 2 CFR Part 220*

- *OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments, relocated to 2 CFR Part 225*

- *OMB Circular A-122, Cost Principles for Non-Profit Organizations, relocated to 2 CFR Part 230*
- *OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations*
- *48 CFR Part 31.2, Federal Acquisitions Regulations (FAR), Contracts with Commercial Organizations*

1.3 – Audit Requirements and other Assessments

***Improper Payments Information Act (IPIA) of 2002*, (Public Law 107-300)**

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

1.4 – Duplication of Benefits

There may not be a duplication of any Federal assistance by governmental entities, per 2 CFR Part 225, Basic Guidelines Section C.3 (c), which states: Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Authority may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements. Non-governmental entities are also subject to this prohibition per 2 CFR Parts 220 and 230 and 48 CFR Part 31.2.

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

2. Payment

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

2.1 – Payment

In accordance with Treasury regulations at 31 CFR Part 205, the Recipient shall maintain procedures to minimize the time elapsing between the transfer of funds and the disbursement of said funds (See also 44 CFR Part 13.21(i)) regarding payment of interest earned on advances

3. Non-supplanting Requirement

Grant funds will not replace (supplant) funds that have been budgeted for the same purpose through non-federal sources. Applicants or grantees may be required to demonstrate and document that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

4. Technology Requirements

4.1 – National Information Exchange Model (NIEM)

FEMA requires all grantees to use the latest NIEM processes, specifications, and guidelines regarding the use of interoperable Extensible Markup Language (XML) for all grant awards. Further information about the required use of NIEM specifications and guidelines is available at *www.niem.gov*.

4.2 – Geospatial Guidance

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

4.3 – 28 CFR Part 23 Guidance

FEMA requires that any information technology system funded or supported by these funds comply with 28 CFR Part 23, *Criminal Intelligence Systems Operating Policies*.

4.4 – Best Practices for Government Use of CCTV

DHS recommends grantees seeking funds to purchase and install closed circuit television (CCTV) systems, or funds to provide support for operational CCTV systems, review and utilize the guidance in Best Practices for Government Use of CCTV: Implementing the Fair Information Practice Principles available on the DHS Privacy Office Web site at *www.dhs.gov/xlibrary/assets/privacy/privacy_rpt_cctv_2007.pdf.*

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

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

5. Administrative Requirements

5.1 – Housing and Retrieval of Homeland Security Information

Freedom of Information Act (FOIA)

Information submitted in the course of applying for funding under this program or provided in the course of an entity's grant management activities which is under Federal control is subject to the *Freedom of Information Act* (FOIA), 5 U.S.C. 552. The applicant is also encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. Note that some information, though not considered classified, may be protected from release or in how it is released. It is important to understand those laws and regulations that fall into an alternate category of Sensitive But Unclassified (SBU) information.

Sensitive But Unclassified (SBU)

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

Sensitive Security Information (SSI)

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

Protected Critical Infrastructure Information (PCII)

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

PCII accreditation is a formal recognition that the covered government entity has the capacity and capability to receive and store PCII appropriately. DHS encourages all States, local jurisdictions, and

Tribal nations to pursue PCII accreditation to cover their government agencies. Accreditation activities include signing a memorandum of agreement (MOA) with DHS, appointing a PCII Officer and developing a standard operating procedure for handling PCII. For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at *pcii-info@dhs.gov*.

Chemical-terrorism Vulnerability Information (CVI)

The Department of Homeland Security (DHS) issues a Manual to provide guidance on how to identify, handle and safeguard information developed by private and public entities under Section 550 of Public Law 109-295 and its implementing regulations, the Chemical Facility Anti-Terrorism Standards (CFATS), 6 CFR Part 27. Pursuant to CFATS. This information is known as Chemical-terrorism Vulnerability Information, or CVI, is relevant for anyone authorized to possess or receive CVI (including chemical facility officers, employees, representatives and contractors, and Federal, State, local and Tribal government employees and contractors), as well as anyone who obtains what they reasonably should know is CVI.
www.dhs.gov/xlibrary/assets/chemsec_cvi_proceduresmanual.pdf.

Sensitive Personally Identifiable Information (Sensitive PII)

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

5.2 – Compliance with Federal civil rights laws and regulations

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

- ***Civil Rights Act of 1964***

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

- ***Civil Rights Act of 1968***

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

- ***Americans with Disabilities Act of 1990***

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

- ***Age Discrimination Act of 1975***

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

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

  All recipients of financial assistance will comply with the requirements of Title IX of the Education Amendments of 1972 (20 U.S.C.1681 et seq.), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. These regulations are codified at 44 CFR Part 19.

5.3 – Services to Limited English Proficient (LEP) persons

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

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

5.4 – Certifications and Assurances

Applicants must provide certifications and assurances regarding the following:

- ***Lobbying***

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

- ***Drug-Free Workplace Regulations***

  Requires the recipient to publish a statement about its drug-free workplace program and give a copy of the statement to each employee (including consultants and temporary personnel) who will be involved in award-supported activities at any site where these activities will be carried out. For additional information, see 44 CFR Part 17.

- ***Debarment and Suspension***

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

- ***Federal Debt Status***

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

- ***Hotel and Motel Fire Safety Act of 1990***

  In accordance with section 6 of the Hotel and Motel Fire Safety Act of 1990, 15 U.S.C. 2225a, the recipient agrees to ensure all conference, meeting, convention, or training space funded in whole or in part with federal funds, complies with the fire prevention and control guidelines of the Federal Fire Prevention and Control Act of 1974, 15 U.S.C. 2225.

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

5.5 – Integrating individuals with disabilities into emergency planning

- ***Rehabilitation Act of 1973***

  All recipients of financial assistance will comply with the requirements of Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. 794, as amended, which provides that no otherwise

qualified handicapped individual in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. These requirements pertain to the provision of benefits or services as well as to employment.

For additional detailed information, please refer to the following:

- ***FEMA Office of Disability Integration and Coordination.*** *There are many useful tools available through this office at www.fema.gov/about/odic.*

- ***Guidelines for Accommodating Individuals with Disabilities in Disaster****. These Guidelines are available at www.fema.gov/oer/reference/.*

- ***Disability and Emergency Preparedness Resource Center****. The "Resource Center" is available at www.disabilitypreparedness.gov.*

- ***ADA Best Practices.*** *The Civil Rights Division within the U.S. Department of Justice provides a resource entitled "the Americans with Disabilities Act ("ADA") Best Practices Toolkit for State and Local Governments." The ADA Best Practices Toolkit for State and Local Governments is available at www.ada.gov/pcatoolkit/toolkitmain.htm.*

5.6 – Environmental Planning and Historic Preservation Compliance

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

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

For more information on FEMA's EHP requirements, Applicants should refer to:

- ***Information Bulletin 329****, Environmental Planning and Historic Preservation Requirements for Grants, available at www.fema.gov/pdf/government/grant/bulletins/info329.pdf*

- ***Information Bulletin 345****, Programmatic Environmental Assessment, available at www.fema.gov/pdf/government/grant/bulletins/info345.pdf*

- ***Information Bulletin 356****, EHP Screening Form, available at www.fema.gov/pdf/government/grant/bulletins/info356.pdf*

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

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

5.8 – Equipment Marking

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

5.9 – Disadvantaged Business Requirement

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

5.10 – National Preparedness Reporting Compliance

The Government Performance and Results Act of 1993 (Public Law 103-62) (GPRA) requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. FEMA will work with grantees to develop tools and processes to support this requirement. FEMA anticipates using this information to inform future-year grant program funding decisions. Award recipients must agree to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within their grant agreement. This includes any assessments, audits, or investigations conducted by DHS, the Office of the Inspector General, or the U.S. Government Accountability Office (GAO).

5.11 – Animal Welfare Act of 1966 Animal Welfare Act of 1966

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

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

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

5.13 – Protection of Human Subjects

All recipients of financial assistance will comply with the requirements of the Federal regulations at 45 CFR Part 46, which requires that recipients comply with applicable provisions/law for the protection of human subjects for purposes of research. Recipients must also comply with the requirements in DHS Management Directive 026-04, *Protection of Human Subjects*, prior to implementing any work with human subjects. For purposes of 45 CFR Part 46, research means a systematic investigation, including research, development, testing, and evaluation, designed to develop or contribute to general knowledge. Activities that meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program that is considered research for other purposes. The regulations specify additional protections for research involving human fetuses, pregnant women, and neonates (Subpart B); prisoners (Subpart C); and children (Subpart D). The use of autopsy materials is governed by applicable State and local law and is not directly regulated by 45 CFR Part 46.

5.14 – National Flood Insurance Act of 1968

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

5.15 – Flood Disaster Protection Act of 1973

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

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

All recipients of financial assistance will comply with the requirements of Executive Order 11990, which provides that federally funded construction and improvements minimize the destruction, loss, or

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

5.17 – USA Patriot Act of 2001

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

5.18 – Trafficking Victims Protection Act of 2000

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

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

a) *Engages in severe forms of trafficking in persons during the period of time that the award is in effect*

b) *Procures a commercial sex act during the period of time that the award is in effect*

c) *Uses forced labor in the performance of the award or sub-awards under the award*

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

5.19 – Fly America Act of 1974

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

5.20 – Activities Conducted Abroad

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

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

5.21 – Copyright

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

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

5.22 – Use of DHS Seal, Logo and Flags

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

5.23 – DHS Specific Acknowledgements and Assurances

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

1. *Recipients must cooperate with any compliance review or complaint investigation conducted by DHS.*

2. *Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.*

3. *Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.*

4. *Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.*

5. *If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties.*

6. *In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office.*

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

C. Drawdown and Expenditure of Funds

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

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

D. Reporting Requirements

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

1. Federal Financial Report (FFR) – required quarterly

Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425), which replaced the SF-269 and SF-272, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, the FFR is due no later than April 30). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through e-Grants system.

2. AFG Semi-Annual (Programmatic) Performance Report

The awardees will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicant is responsible for completing and submitting a programmatic Performance Report using the e-Grants system. The programmatic Performance Report is due six months after the grant's award date and every six months after if applicable.

3. Exercise Evaluation and Improvement

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

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

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

5. Financial and Compliance Audit Report

Recipients that expend $500,000 or more of federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO's *Government Auditing Standards*, located at www.gao.gov/govaud/ybk01.htm, and *OMB Circular A-133*, Audits of States, Local Governments, and Non-Profit Organizations, located at *www.whitehouse.gov/omb/circulars/a133/a133.html*. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. The state shall require that sub-grantees comply with the audit requirements set forth in OMB Circular A-133.

Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

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

6. Monitoring

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

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

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

7. Grant Closeout Process

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

8. Required performance and financial reports for Grant Closeout:

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

E. FY 2011 Match Guidance

Introduction

Determining match for the purposes of submitting grant applications to any Federal Agency should be a coordinated process at the state and local level. It is highly recommended that programmatic staff at the state and local level consult with their financial staff prior to submitting any grant applications, especially those that identify cash or in-kind match. Grantees should ensure that they are thoroughly familiar with the governing provisions, which impact matches: 44 CFR Part 13.24; 2 CFR Part 225; and Program Guidance and/or Regulations.

Types of Match

1. ***Cash Match***

   Cash (hard) match includes non-federal cash spent for project-related costs, according to the program guidance. Allowable cash match must only include those costs, which are in compliance with the provisions listed above.

2. ***In-kind Match***

   Currently, in-kind matches are not allowable for AFG.

F. FY2011 Requirements Specific to For-Profit Entities

For-profit entities are NOT eligible to apply for the Assistance to Firefighters Grants Program.

PART II.

FEMA CONTACTS

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

1. ***Centralized Scheduling and Information Desk (CSID)***

   CSID is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the federal, state, and local levels. CSID can be reached by phone at (800) 368-6498 or by e-mail at ASKCSID@dhs.gov, Monday through Friday, 8:00 AM – 6:00 p.m. (EST).

2. ***Grant Programs Directorate (GPD)***

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

3. ***FEMA Regions***

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

4. ***Assistance to Firefighters Grants***

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

Assistance to Firefighters Grants

Guidance and Application Kit
Section II
Award Administration Information

August 2011

Fiscal Year 2011

U.S. Department of Homeland Security

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PART I.
AWARD ADMINISTRATION INFORMATION

Due to continued stakeholder feedback and recommendations, GPD has reformatted its "Preparedness Grant Programs" guidance and application kits. The kits are now structured into two separate documents, referred to as *Section I* and *Section II*. While both are important documents for grantees to study and thoroughly familiarize themselves with, *Section I* is intended to help grantees during the application phase of a particular preparedness grant program.

Section II – Award Administration Information - is intended to help grantees in understanding the rules and regulations associated with administering federally funded grant awards. In previous years with preparedness grant guidance kits, the standard financial, administrative, and legal information now found in Section II had been historically embedded as part of each individual preparedness kit. GPD has pulled out this standard financial, administrative and legal information from each individual preparedness kit and has created *Section II* as a stand-alone supplement, which complements and is inherently related to each of the individual preparedness grant programs.

A. 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 Assistance to Firefighters Grants program (AFG), notification of award approval is made through the e-Grants system through an automatic e-mail 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 Award amendments may be approved, on a case-by-case basis for the following:

- *Period of performance (extension request)*
- *Scope of work (change)*
- *Cost over/under run (adding funds)*
- *Retroactive approval for excess funds violation or violation of spending (closeout issues)*
- *Fire prevention*
- *Excess funds in training or wellness and fitness*
- *Excess funds beyond the $5,000 or 1%*

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

AFG strongly encourages the timely expenditure of grant funds by grantees consistent with the goals and objectives outlined in AFG programs.

B. Administrative and National Policy Requirements

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

The recipient must, in addition to the assurances made as part of the application, comply with all applicable statutes, regulations, executive orders, OMB Circulars, terms and conditions of the award, and the approved application.

1. Standard Financial Requirements

The grantee shall comply with all applicable laws and regulations. A non-exclusive list of regulations commonly applicable to DHS grants are listed below:

1.1 – Administrative Requirements

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

- *Office of Management and Budget (OMB) Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (also known as the "A-102 Common Rule"), found under DHS regulations at Title 44, Code of Federal Regulations (CFR) Part 13, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"*

- *OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, relocated to 2 CFR Part 215*

1.2 – Cost Principles

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

- *OMB Circular A-21, Cost Principles for Educational Institutions, relocated to 2 CFR Part 220*

- *OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments, relocated to 2 CFR Part 225*

- *OMB Circular A-122, Cost Principles for Non-Profit Organizations, relocated to 2 CFR Part 230*
- *OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations*
- *48 CFR Part 31.2, Federal Acquisitions Regulations (FAR), Contracts with Commercial Organizations*

1.3 – Audit Requirements and other Assessments

***Improper Payments Information Act (IPIA) of 2002*, (Public Law 107-300)**

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

1.4 – Duplication of Benefits

There may not be a duplication of any Federal assistance by governmental entities, per 2 CFR Part 225, Basic Guidelines Section C.3 (c), which states: Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Authority may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements. Non-governmental entities are also subject to this prohibition per 2 CFR Parts 220 and 230 and 48 CFR Part 31.2.

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

2. Payment

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

2.1 – Payment

In accordance with Treasury regulations at 31 CFR Part 205, the Recipient shall maintain procedures to minimize the time elapsing between the transfer of funds and the disbursement of said funds (See also 44 CFR Part 13.21(i)) regarding payment of interest earned on advances

3. Non-supplanting Requirement

Grant funds will not replace (supplant) funds that have been budgeted for the same purpose through non-federal sources. Applicants or grantees may be required to demonstrate and document that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

4. Technology Requirements

4.1 – National Information Exchange Model (NIEM)

FEMA requires all grantees to use the latest NIEM processes, specifications, and guidelines regarding the use of interoperable Extensible Markup Language (XML) for all grant awards. Further information about the required use of NIEM specifications and guidelines is available at *www.niem.gov*.

4.2 – Geospatial Guidance

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

4.3 – 28 CFR Part 23 Guidance

FEMA requires that any information technology system funded or supported by these funds comply with 28 CFR Part 23, *Criminal Intelligence Systems Operating Policies*.

4.4 – Best Practices for Government Use of CCTV

DHS recommends grantees seeking funds to purchase and install closed circuit television (CCTV) systems, or funds to provide support for operational CCTV systems, review and utilize the guidance in Best Practices for Government Use of CCTV: Implementing the Fair Information Practice Principles available on the DHS Privacy Office Web site at *www.dhs.gov/xlibrary/assets/privacy/privacy_rpt_cctv_2007.pdf.*

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

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

5. Administrative Requirements

5.1 – Housing and Retrieval of Homeland Security Information

Freedom of Information Act (FOIA)

Information submitted in the course of applying for funding under this program or provided in the course of an entity's grant management activities which is under Federal control is subject to the *Freedom of Information Act* (FOIA), 5 U.S.C. 552. The applicant is also encouraged to consult its own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. Note that some information, though not considered classified, may be protected from release or in how it is released. It is important to understand those laws and regulations that fall into an alternate category of Sensitive But Unclassified (SBU) information.

Sensitive But Unclassified (SBU)

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

Sensitive Security Information (SSI)

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

Protected Critical Infrastructure Information (PCII)

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

PCII accreditation is a formal recognition that the covered government entity has the capacity and capability to receive and store PCII appropriately. DHS encourages all States, local jurisdictions, and

Tribal nations to pursue PCII accreditation to cover their government agencies. Accreditation activities include signing a memorandum of agreement (MOA) with DHS, appointing a PCII Officer and developing a standard operating procedure for handling PCII. For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at *pcii-info@dhs.gov*.

Chemical-terrorism Vulnerability Information (CVI)

The Department of Homeland Security (DHS) issues a Manual to provide guidance on how to identify, handle and safeguard information developed by private and public entities under Section 550 of Public Law 109-295 and its implementing regulations, the Chemical Facility Anti-Terrorism Standards (CFATS), 6 CFR Part 27. Pursuant to CFATS. This information is known as Chemical-terrorism Vulnerability Information, or CVI, is relevant for anyone authorized to possess or receive CVI (including chemical facility officers, employees, representatives and contractors, and Federal, State, local and Tribal government employees and contractors), as well as anyone who obtains what they reasonably should know is CVI.
www.dhs.gov/xlibrary/assets/chemsec_cvi_proceduresmanual.pdf.

Sensitive Personally Identifiable Information (Sensitive PII)

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

5.2 – Compliance with Federal civil rights laws and regulations

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

- ***Civil Rights Act of 1964***

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

- ***Civil Rights Act of 1968***

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

- ***Americans with Disabilities Act of 1990***

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

- ***Age Discrimination Act of 1975***

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

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

  All recipients of financial assistance will comply with the requirements of Title IX of the Education Amendments of 1972 (20 U.S.C.1681 et seq.), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. These regulations are codified at 44 CFR Part 19.

5.3 – Services to Limited English Proficient (LEP) persons

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

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

5.4 – Certifications and Assurances

Applicants must provide certifications and assurances regarding the following:

- ***Lobbying***

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

- ***Drug-Free Workplace Regulations***

  Requires the recipient to publish a statement about its drug-free workplace program and give a copy of the statement to each employee (including consultants and temporary personnel) who will be involved in award-supported activities at any site where these activities will be carried out. For additional information, see 44 CFR Part 17.

- ***Debarment and Suspension***

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

- ***Federal Debt Status***

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

- ***Hotel and Motel Fire Safety Act of 1990***

  In accordance with section 6 of the Hotel and Motel Fire Safety Act of 1990, 15 U.S.C. 2225a, the recipient agrees to ensure all conference, meeting, convention, or training space funded in whole or in part with federal funds, complies with the fire prevention and control guidelines of the Federal Fire Prevention and Control Act of 1974, 15 U.S.C. 2225.

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

5.5 – Integrating individuals with disabilities into emergency planning

- ***Rehabilitation Act of 1973***

  All recipients of financial assistance will comply with the requirements of Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. 794, as amended, which provides that no otherwise

qualified handicapped individual in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. These requirements pertain to the provision of benefits or services as well as to employment.

For additional detailed information, please refer to the following:

- ***FEMA Office of Disability Integration and Coordination.*** *There are many useful tools available through this office at www.fema.gov/about/odic.*

- ***Guidelines for Accommodating Individuals with Disabilities in Disaster****. These Guidelines are available at www.fema.gov/oer/reference/.*

- ***Disability and Emergency Preparedness Resource Center****. The "Resource Center" is available at www.disabilitypreparedness.gov.*

- ***ADA Best Practices.*** *The Civil Rights Division within the U.S. Department of Justice provides a resource entitled "the Americans with Disabilities Act ("ADA") Best Practices Toolkit for State and Local Governments." The ADA Best Practices Toolkit for State and Local Governments is available at www.ada.gov/pcatoolkit/toolkitmain.htm.*

5.6 – Environmental Planning and Historic Preservation Compliance

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

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

For more information on FEMA's EHP requirements, Applicants should refer to:

- ***Information Bulletin 329****, Environmental Planning and Historic Preservation Requirements for Grants, available at www.fema.gov/pdf/government/grant/bulletins/info329.pdf*

- ***Information Bulletin 345****, Programmatic Environmental Assessment, available at www.fema.gov/pdf/government/grant/bulletins/info345.pdf*

- ***Information Bulletin 356****, EHP Screening Form, available at www.fema.gov/pdf/government/grant/bulletins/info356.pdf*

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

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

5.8 – Equipment Marking

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

5.9 – Disadvantaged Business Requirement

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

5.10 – National Preparedness Reporting Compliance

The Government Performance and Results Act of 1993 (Public Law 103-62) (GPRA) requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. FEMA will work with grantees to develop tools and processes to support this requirement. FEMA anticipates using this information to inform future-year grant program funding decisions. Award recipients must agree to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within their grant agreement. This includes any assessments, audits, or investigations conducted by DHS, the Office of the Inspector General, or the U.S. Government Accountability Office (GAO).

5.11 – Animal Welfare Act of 1966 Animal Welfare Act of 1966

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

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

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

5.13 – Protection of Human Subjects

All recipients of financial assistance will comply with the requirements of the Federal regulations at 45 CFR Part 46, which requires that recipients comply with applicable provisions/law for the protection of human subjects for purposes of research. Recipients must also comply with the requirements in DHS Management Directive 026-04, *Protection of Human Subjects*, prior to implementing any work with human subjects. For purposes of 45 CFR Part 46, research means a systematic investigation, including research, development, testing, and evaluation, designed to develop or contribute to general knowledge. Activities that meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program that is considered research for other purposes. The regulations specify additional protections for research involving human fetuses, pregnant women, and neonates (Subpart B); prisoners (Subpart C); and children (Subpart D). The use of autopsy materials is governed by applicable State and local law and is not directly regulated by 45 CFR Part 46.

5.14 – National Flood Insurance Act of 1968

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

5.15 – Flood Disaster Protection Act of 1973

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

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

All recipients of financial assistance will comply with the requirements of Executive Order 11990, which provides that federally funded construction and improvements minimize the destruction, loss, or

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

5.17 – USA Patriot Act of 2001

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

5.18 – Trafficking Victims Protection Act of 2000

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

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

a) *Engages in severe forms of trafficking in persons during the period of time that the award is in effect*

b) *Procures a commercial sex act during the period of time that the award is in effect*

c) *Uses forced labor in the performance of the award or sub-awards under the award*

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

5.19 – Fly America Act of 1974

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

5.20 – Activities Conducted Abroad

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

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

5.21 – Copyright

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

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

5.22 – Use of DHS Seal, Logo and Flags

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

5.23 – DHS Specific Acknowledgements and Assurances

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

1. *Recipients must cooperate with any compliance review or complaint investigation conducted by DHS.*

2. *Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.*

3. *Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.*

4. *Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.*

5. *If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties.*

6. *In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office.*

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

C. Drawdown and Expenditure of Funds

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

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

D. Reporting Requirements

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

1. Federal Financial Report (FFR) – required quarterly

Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425), which replaced the SF-269 and SF-272, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, the FFR is due no later than April 30). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through e-Grants system.

2. AFG Semi-Annual (Programmatic) Performance Report

The awardees will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicant is responsible for completing and submitting a programmatic Performance Report using the e-Grants system. The programmatic Performance Report is due six months after the grant's award date and every six months after if applicable.

3. Exercise Evaluation and Improvement

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

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

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

5. Financial and Compliance Audit Report

Recipients that expend $500,000 or more of federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO's *Government Auditing Standards*, located at www.gao.gov/govaud/ybk01.htm, and *OMB Circular A-133*, Audits of States, Local Governments, and Non-Profit Organizations, located at *www.whitehouse.gov/omb/circulars/a133/a133.html*. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. The state shall require that sub-grantees comply with the audit requirements set forth in OMB Circular A-133.

Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

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

6. Monitoring

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

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

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

7. Grant Closeout Process

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

8. Required performance and financial reports for Grant Closeout:

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

E. FY 2011 Match Guidance

Introduction

Determining match for the purposes of submitting grant applications to any Federal Agency should be a coordinated process at the state and local level. It is highly recommended that programmatic staff at the state and local level consult with their financial staff prior to submitting any grant applications, especially those that identify cash or in-kind match. Grantees should ensure that they are thoroughly familiar with the governing provisions, which impact matches: 44 CFR Part 13.24; 2 CFR Part 225; and Program Guidance and/or Regulations.

Types of Match

1. ***Cash Match***

   Cash (hard) match includes non-federal cash spent for project-related costs, according to the program guidance. Allowable cash match must only include those costs, which are in compliance with the provisions listed above.

2. ***In-kind Match***

   Currently, in-kind matches are not allowable for AFG.

F. FY2011 Requirements Specific to For-Profit Entities

For-profit entities are NOT eligible to apply for the Assistance to Firefighters Grants Program.

PART II.

FEMA CONTACTS

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

1. ***Centralized Scheduling and Information Desk (CSID)***

   CSID is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the federal, state, and local levels. CSID can be reached by phone at (800) 368-6498 or by e-mail at ASKCSID@dhs.gov, Monday through Friday, 8:00 AM – 6:00 p.m. (EST).

2. ***Grant Programs Directorate (GPD)***

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

3. ***FEMA Regions***

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

4. ***Assistance to Firefighters Grants***

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