



U.S. DEPARTMENT OF HOMELAND SECURITY

**FISCAL YEAR 2010**

**REGIONAL CATASTROPHIC PREPAREDNESS  
GRANT PROGRAM**

**GUIDANCE AND APPLICATION KIT**

**DECEMBER 2009**



U.S. DEPARTMENT OF HOMELAND SECURITY



**Title of Opportunity:** Regional Catastrophic Preparedness Grant Program (RCPGP)

**Funding Opportunity Number:**

Grant Program Name	Opportunity Number
Regional Catastrophic Grant Program (RCPGP) - Region 1	DHS-10-NPD-111-001-01
Regional Catastrophic Grant Program (RCPGP) - Region 2	DHS-10-NPD-111-002-01
Regional Catastrophic Grant Program (RCPGP) - Region 3	DHS-10-NPD-111-003-01
Regional Catastrophic Grant Program (RCPGP) - Region 5	DHS-10-NPD-111-005-01
Regional Catastrophic Grant Program (RCPGP) - Region 6	DHS-10-NPD-111-006-01
Regional Catastrophic Grant Program (RCPGP) - Region 9	DHS-10-NPD-111-009-01
Regional Catastrophic Grant Program (RCPGP) - Region 10	DHS-10-NPD-111-010-01

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

**Announcement Type:** Initial

**Dates:** Completed applications must be submitted **no later than 11:59 p.m. EDT, April 19, 2010.**

**Additional overview information:**

The focus of the Regional Catastrophic Preparedness Grant Program (RCPGP) will expand in Fiscal Year (FY) 2010 to focus on additional elements of the preparedness cycle by addressing the need to train, exercise, and evaluate and improve their plans to meet the needs of their region. With the progress made, most sites are anticipated to be far enough along by 2010 to focus primarily on training, exercising, and evaluating and improving regional plans. The RCPGP grantees have plans, planning relationships, and some standing agreements to share resources. As part of the FY 2010 grant cycle, the ten existing RCPGP sites will continue to build upon, validate, and implement the projects identified in the FY 2008 and FY 2009 RCPGP grant cycles.

Sites are encouraged to develop projects to achieve and maintain a continuous cycle of planning, organizing, training, exercising, and evaluating and improving their regional catastrophic plans. Based on progress to date in planning, the priorities for FY 2010 are:

- **Organize and Staff** - Develop plans to organize and staff catastrophic plans to ensure adequate support to review, develop, implement, and revise plans as needed.

- **Train** - Develop and implement plans to effectively train newly developed regional catastrophic plans with communities, States, nonprofit organizations, and the private sector, as well as other regional partners.
- **Exercise** - Develop and implement plans to exercise regional catastrophic plans to test capabilities and interdependencies between jurisdictions based on regional threats.
- **Evaluate and Improve** - Assess ability of plans to address regional catastrophic needs, evaluate findings, and develop corrective action plans to improve plans based on lessons learned.

In addition, several cross-cutting principles will guide efforts in FY 2010:

- Prioritize funding for efforts which formalize sustainable working groups and projects for continued effective coordination and include State and Federal partners as well as the community and private sector stakeholders;
- Ensure synchronization of plans and shared best practices;
- Implement citizen and community preparedness campaigns; and
- Plan for and pre-position needed commodities and equipment.
- Take into account the needs of both the area at risk of attack and likely host communities.
- Establish projects focused on implementing and validating plans developed.
- Develop a strategic path forward that addresses the future growth of work done through this program.
- Ensure that operational plans developed address, as appropriate, populations with functional and access requirements, as well as children.

**Management and Administration (M&A) Limits.** A maximum of up to five percent (5%) of RCPGP funds awarded may be retained by the State, and any funds retained are to be used solely for management and administrative purposes associated with the RCPGP award. States may pass through a portion of the State M&A allocation to local subgrantees to support local management and administration activities; the overall M&A amount may not equal more than five percent (5%) of RCPGP funds. Applicants must justify their M&A expenses in the Project Narrative.

# CONTENTS

Contents.....	1
Part I. FUNDING OPPORTUNITY DESCRIPTION.....	2
<i>Funding Priorities</i> .....	3
<i>Required Deliverables and Activities</i> .....	4
<i>Suggested Deliverables</i> .....	5
Part II. AWARD INFORMATION .....	6
Part III. ELIGIBILITY INFORMATION .....	9
A. Eligible Applicants.....	9
B. Cost Sharing .....	10
C. Restrictions .....	10
Part IV. APPLICATION AND SUBMISSION INFORMATION .....	11
A. Address to Request Application Package .....	11
B. Content and Form of Application .....	11
C. Submission Dates and Times .....	13
D. Intergovernmental Review .....	14
E. Funding Restrictions .....	14
F. Other Submission Requirements .....	16
Part V. APPLICATION REVIEW INFORMATION .....	17
A. Review Criteria.....	17
B. Review and Selection Process .....	18
C. Anticipated Announcement and Award Dates .....	18
Part VI. AWARD ADMINISTRATION INFORMATION .....	19
A. Notice of Award .....	19
B. Administrative and National Policy Requirements .....	19
C. Reporting Requirements .....	29
Part VII. FEMA CONTACTS.....	32
Part VIII. OTHER INFORMATION .....	35
APPENDIX A ALLOWABLE COSTS LIST .....	44

## PART I.

# FUNDING OPPORTUNITY DESCRIPTION

Planning has long been one of the most critical, yet challenging aspects of homeland security, with the National Academy for Public Administration describing emergency preparedness planning as the “Achilles Heel of homeland security.” While planning continues to improve, the regional interdependencies of effective prevention, protection, response, and recovery activities requires a more cohesive regional approach to catastrophic planning. Homeland security is highly distributed, depending on State and local governments, non profits, and the private sector to all work collectively to address potential threats.

The FY 2010 Regional Catastrophic Preparedness Grant Program (RCPGP) addresses this challenge, as authorized by the *U.S. Troop Readiness, Veteran’s Care, Katrina Recovery and Iraq Accountability Appropriations Act of 2007* (Public Law 110-28) and the *Department of Homeland Security Appropriations Act of 2010*, (Public Law 111-83). It builds on several existing initiatives, including the FY 2008 and FY 2009 RCPGP, and Comprehensive Preparedness Guide 101 (CPG-101).

RCPGP participants have begun to develop the foundational ways and means that will result in truly inter-jurisdictional, regional, catastrophic planning. During the first two years of RCPGP, FEMA National Preparedness Directorate (NPD) funded over \$91 million in projects from 10 (ten) sites, which focused on a variety of capabilities ranging from Mass Evacuation, to Debris Removal, to Cyber Attack Coordination. Initially sites focused their projects by using the scenarios that addressed the primary threats facing their region. The scenarios selected by sites collectively spanned all 15 National Planning Scenarios, with the most common scenarios selected being Bombing Using Improvised Explosive Devices, Aerosol Anthrax, Major Earthquake, and Pandemic Influenza.<sup>1</sup>

At the end of the FY 2008 and FY 2009 grant cycles, the 10 RCPGP sites will have developed new regionally-coordinated plans focused on the scenarios deemed most likely for those sites and started to prepare for the implementation of those plans. Over twenty four percent (24%) of FY 2008 and FY 2009 funded projects focus on planning for Mass Evacuation, while almost twenty one percent (21%) focus on aspects of Critical Resource Logistics and Distribution. Other project focus areas include Mass Care and Sheltering, Economic Recovery Planning, Citizen Preparedness, Critical Infrastructure Protection, Disaster Housing, Debris Management, and Pandemic Influenza. Additionally, all sites will have completed several program deliverables by the end of the FY 2008 and FY 2009 grant cycles. Examples of specific deliverables

---

<sup>1</sup> Common scenario threat measure based on 50 percent or more sites selecting the scenario in the Hazard Analysis/Risk Assessment section of the FY 2008 Investment Justification.

each site will produce include: capability analysis and development of an action plan; development of a process for the coordination of prevention and protection activities with response and recovery planning; regional mutual aid compacts; citizen and community preparedness campaigns; documentation of best practices and lessons learned; and State-wide agreements to assist with host community planning.

In FY 2010, RCPGP will expand beyond current planning efforts to focus on additional elements of the preparedness cycle. This new focus will include not only planning and organization but also the need to train, exercise, and evaluate and improve their plans to meet the needs of their region. RCPGP complements ongoing State and Urban Area efforts, addresses *Post-Katrina Emergency Management Reform Act* (Public Law 109-295) (PKEMRA) mandates, and supports initiatives underway within FEMA's Disaster Operations (DOD), Disaster Assistance (DAD), Mitigation and Logistics Directorates, the DHS Incident Management Planning Team (IMPT), the DHS Office of Infrastructure Protection, and other Federal planning and preparedness efforts.

The purpose of this package is to provide: (1) an overview of RCPGP; and (2) the formal grant guidance and application materials needed to apply for funding under the program. The package outlines FEMA management requirements for a successful application. It also reflects changes called for in the *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53) (hereafter "9/11 Act").

### ***Funding Priorities***

In FY 2010, RCPGP will transition from developing plans to focusing on additional elements of the preparedness cycle by addressing the need to train, exercise, and evaluate and improve their plans to meet the needs of their region. With the progress made, most sites are anticipated to be far enough along by 2010 to focus primarily on training, exercising, and evaluating and improving regional plans. The RCPGP grantees have plans, planning relationships, and some standing agreements to share resources. As part of the FY 2010 grant cycle, the ten existing RCPGP sites will continue to build upon, validate, and implement the projects identified in the FY 2008 and FY 2009 RCPGP grant cycles.

Sites are encouraged to develop projects to achieve and maintain a continuous cycle of planning, organizing, training, exercising, and evaluating and improving their regional catastrophic plans. Based on progress to date in planning, the priorities for FY 2010 are:

- **Organize and Staff** - Develop plans to organize and staff catastrophic plans to ensure adequate support to review, develop, implement, and revise plans as needed.
- **Train** - Develop and implement plans to effectively train newly developed regional catastrophic plans with communities, States, nonprofit organizations, and the private sector, as well as other regional partners.

- **Exercise** - Develop and implement plans to exercise regional catastrophic plans to test capabilities and interdependencies between jurisdictions based on regional threats.
- **Evaluate and Improve** - Assess ability of plans to address regional catastrophic needs, evaluate findings, and develop corrective action plans to improve plans based on lessons learned.

In addition, several cross-cutting principles will guide efforts in FY 2010:

- Prioritize funding for efforts which formalize sustainable working groups and projects for continued effective coordination and include State and Federal partners as well as the community and private sector stakeholders;
- Ensure synchronization of plans and shared best practices;
- Implement citizen and community preparedness campaigns; and
- Plan for and pre-position needed commodities and equipment.
- Take into account the needs of both the area at risk of attack and likely host communities.
- Establish projects focused on implementing and validating plans developed.
- Develop a strategic path forward that addresses the future growth of work done through this program.
- Ensure that operational plans developed address, as appropriate, populations with functional and access requirements, as well as children.

***Required Deliverables and Activities***

Each grantee that receives funding under FY 2010 RCPGP is required to complete specific deliverables and activities as part of the FY 2010 grant cycle.

1. Maintain citizen and community preparedness campaigns, and develop a Citizen Preparedness Plan focused on the plans and annexes developed through FY 2008 and FY 2009 RCPGP.
2. Develop a Training Plan to support the successful implementation of all plans and annexes developed through FY 2008 and FY 2009 RCPGP.
3. Develop an Evaluation Plan, to include assessments and exercises, for all plans and annexes developed through FY 2008 and FY 2009 RCPGP.
4. Develop a comprehensive strategic plan that addresses at minimum the following requirements:
  - a. Development of needed capabilities related to the plans generated under RCPGP;
  - b. Long-term Integration of plans into existing training and exercise structure;
  - c. Continuation of the Regional Catastrophic Planning Team (RCPT) beyond the duration of the RCPGP.

5. Participate in regional and national workshops organized by FEMA focusing on planning and the development of a standardized national planning process.
6. Integrate planning activities with all other appropriate State and regional working groups (e.g., Regional Transit Security Working Group, Area Maritime Security Committee, Local Emergency Planning Committee).

***Suggested Deliverables***

Each grantee that receives funding under FY 2010 RCPGP may choose to complete one or more optional deliverables as part of the FY 2010 grant cycle.

1. Finalize plans that further address logistics and pre-positioning of commodities related to plans developed with RCPGP FY 2008 and FY 2009 funds.
2. Develop a Disaster Housing Strategy.
3. Complete other regional plans as approved by FEMA.



## PART II.

# AWARD INFORMATION

### **Authorizing Statues**

The *U.S. Troop Readiness, Veteran's Care, Katrina Recovery and Iraq Accountability Appropriations Act of 2007* (Public Law 110-28); and the *Department of Homeland Security Appropriations Act of 2010* (Public Law 111-83).

### **Period of Performance**

The period of performance of this grant is 36 months. 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.

### **Available Funding**

In FY 2010, the total amount of funds distributed under this grant will be \$33,600,000. FY 2010 RCPGP funds will be allocated based on the risk of a catastrophic incident occurring in the region and the anticipated effectiveness of the proposed projects upon completion of the application review process. The anticipated start date for the FY 2010 period of performance is early August 2010. RCPGP will operate under a grant structure in FY 2010.

### **1. FY 2010 RCPGP Grant Award Allocations**

One non-competitive award will be made to each of the pre-designated eleven (11) Urban Areas Security Initiative (UASI) Urban Areas within the ten (10) RCPGP sites that received funding under RCPGP in the FY 2009 grant cycle, provided their application meets the minimum standards specified for FY 2010.

Each of the eight (8) pre-designated Tier I Urban Areas that participated in previous RCPGP grant cycles will receive an allocation of \$3,570,000 under the FY 2010 funds and each of the three (3) pre-designated Tier II Urban Areas that participated in previous RCPGP grant cycles will be allocated \$1,680,000.

Unlike prior years, in FY 2010 up to twenty percent (20%) of a site's award may be retained by the State Administrative Agency (SAA) for the sole and express purpose of more fully implementing or integrating the site's approved project plans throughout the State, or with neighboring States. This sum is separate from the five percent (5%) Management and Administration (M&A), and no new M&A costs may be incurred through this additional retention. States will work with the RCPT to achieve consensus on the State projects in support of RCPGP. New State projects may only

be considered if they are proven to be logical extensions of current site projects, and all expenditures must comply with FY 2010 funding restrictions.

**Table 1 – FY 2010 Tier I RCPGP Allocations**

Tier I RCPGP Sites <sup>2</sup>	Associated UASI Urban Area	FY 2010 Allocation
Bay Area (to include 11 counties and 23 principal cities spanning central western CA)	Bay Urban Area	\$3,570,000
Boston Area (to include 17 counties and 17 principal cities spanning most of eastern MA, southern NH, and all of RI)	Boston Urban Area	\$3,570,000
Chicago Area (to include 16 counties and 15 principal cities spanning northeastern IL, northwestern IN, and southeastern WI)	Chicago Urban Area	\$3,570,000
Houston Area (to include 13 counties and 6 principal cities in eastern TX, as defined for the FY 2008 grant cycle)	Houston Urban Area	\$3,570,000
Los Angeles / Long Beach Area (to include 5 counties and 38 principal cities spanning southwestern CA)	Los Angeles/ Long Beach Urban Area	\$3,570,000
National Capital Region (to include 26 counties and 16 principal cities spanning Washington, D.C., northern VA, central and southern MD, eastern WV, and representatives from DE and PA)	National Capital Region Urban Area	\$3,570,000
New York City / Northern New Jersey Area (to include 30 counties and 21 principal cities that span eastern CT, northern NJ, southeastern NY, and northeastern PA) <sup>3</sup>	New York City Urban Area	\$7,140,000
	Jersey City/ Newark Urban Area	

<sup>2</sup> RCPGP sites are defined as established in the approved RCPT Charter for the RCPGP FY 2008 grant cycle. If adjustments to the site's footprint are needed for the FY 2010 grant cycle to better support existing catastrophic planning activities, the site must present a strongly compelling reason in writing to FEMA NPD HQ and receive approval of this adjustment prior to submittal of the Grant Application.

<sup>3</sup> The New York City Urban Area and Jersey City/Newark Urban Area are expected to continue to work together as the New York/Northern New Jersey Area RCPGP Site to carry out the program goals and objectives.

**Table 2 – FY 2010 Tier II RCPGP Allocations**

Tier II RCPGP Sites <sup>4</sup>	Associated UASI Urban Area	FY 2010 Allocation
Honolulu Area (to include the four counties of HI, including the principal city of Honolulu)	Honolulu Urban Area	\$1,680,000
Norfolk Area (to include 15 counties and 9 principal cities, as defined for the FY 2008 grant cycle, spanning central eastern and southeastern VA as well as northeastern NC)	Norfolk Urban Area	\$1,680,000
Seattle Area (to include 7 counties and 11 principal cities spanning central WA)	Seattle Urban Area	\$1,680,000

**2. FY 2010 Technical Assistance Deliveries**

The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides direct support assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to prevent, protect against, respond to, and recover from terrorist and all hazard threats. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other direct support assistance programs.

The HSPTAP also provides access to planning support. The planning support aids jurisdictions by increasing their understanding of the complex issues faced in planning for various hazards and threats. This support includes leveraging subject-matter experts from around the country as well as enabling knowledge transfer from jurisdiction to jurisdiction.

More information can be found at [http://www.fema.gov/about/divisions/pppa\\_ta.shtm](http://www.fema.gov/about/divisions/pppa_ta.shtm) or by e-mailing [FEMA-TARequest@fema.gov](mailto:FEMA-TARequest@fema.gov) or [NPD-planning@dhs.gov](mailto:NPD-planning@dhs.gov).

---

<sup>4</sup> RCPGP sites are defined as established in the approved RCPT Charter for the RCPGP FY 2008 grant cycle. If adjustments to the site’s footprint are needed for the FY 2010 grant cycle to better support existing catastrophic planning activities, the site must present a strongly compelling reason in writing to FEMA NPD HQ and receive approval of this adjustment prior to submittal of the Grant Application.

## PART III.

# ELIGIBILITY INFORMATION

### A. Eligible Applicants

The eight (8) pre-designated Tier I and three (3) pre-designated Tier II UASI Urban Areas within the ten (10) RCPGP sites, as listed in Tables 1 and 2 in Part II, are eligible to apply for FY 2010 Regional Catastrophic Preparedness Grant Program (RCPGP) funds.

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

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

Federal FY 2009 NIMS implementation must be considered prior to allocation of any Federal preparedness awards in FY 2010. In April 2009, the National Integration Center Incident Management Systems Integration (IMSI) Division advised State, tribal nation, and local governments to respond to metric assessments in the NIMS Compliance Assistance Support Tool (NIMSCAST) to assess on-going progress and achievement.<sup>5</sup> The list of objectives against which progress and achievement are assessed and reported can be found at

<http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtm#item2>.

All State, tribal nation, and local government grantees were required to update their respective NIMSCAST assessments by September 30, 2009. State, tribal, and local grantees unable to meet implementation objectives were required to submit a Corrective Action Plan via NIMSCAST no later than October 31, 2009. Comprehensive information concerning NIMS implementation for States, tribal nations, local governments, nongovernmental organizations, and the private sector is available through IMSI via its NIMS Resource Center at [www.fema.gov/nims](http://www.fema.gov/nims).

States, tribal nations, and local governments should continue to implement the training guidance contained in the *5-Year NIMS Training Plan*, released in February 2008.

---

<sup>5</sup> As defined in the *Homeland Security Act of 2002* (Public Law 107-296), the term "State" means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States" 6 U.S.C. 101 (14).

The primary grantee/administrator of FY 2010 Regional Catastrophic Preparedness Grant Program award funds is responsible for determining if sub-awardees have demonstrated sufficient progress to disburse awards.

### ***State Preparedness Report Submittal***

Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 109-295), 6 U.S.C. §752(c), requires any State that receives Federal preparedness assistance to submit a State Preparedness Report to DHS. FEMA will provide additional guidance on the FY 2009 State Preparedness Report submission. **Receipt of this report is a prerequisite for applicants to receive any FY 2010 DHS preparedness grant funding.**

### ***Additional Information***

The Governor of each State and territory is required to designate a State Administrative Agency (SAA) to apply for and administer the funds awarded under RCPGP. The SAA is the only entity eligible formally to apply for RCPGP funds. DHS requires that the SAA be responsible for obligating RCPGP funds to local units of government and other designated recipients within 45 days after receipt of funds.<sup>6</sup>

## **B. Cost Sharing**

The FY 2010 RCPGP has a 75 percent Federal and 25 percent grantee cost share cash- or in-kind match requirement. The non-federal contribution may be cash or in-kind as defined under 44 CFR 13.24.

Please refer to Part VIII. Other Information, FY 2010 Match Guidance for additional match guidance to include match definitions, basic guidelines, and governing provisions.

## **C. Restrictions**

Please see Part IV.E. for Management & Administration (M&A) limits and allowable/unallowable costs guidance.

---

<sup>6</sup> As defined in the Committee Reports accompanying *the Department of Homeland Security Appropriations Act, 2010* (Public Law 111-83) the term "local unit of government" means "any county, city, village, town, district, borough, parish, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State."

PART IV.  
**APPLICATION AND SUBMISSION  
INFORMATION**

**A. Address to Request Application Package**

All applications for DHS grants will be filed using the common electronic “storefront” – [www.grants.gov](http://www.grants.gov). To access application forms and instructions, select “Apply for Grants,” and then select “Download Application Package.” Enter the Catalog of Federal Domestic Assistance (CFDA) and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.” If you experience difficulties or have any questions, please call the [www.grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726.

DHS may request original signatures on forms at a later date.

**B. Content and Form of Application**

The on-line application must be completed and submitted using [www.grants.gov](http://www.grants.gov) after Central Contractor Registry (CCR) registration is confirmed. The on-line application includes the following required forms and submissions:

- Project Narrative
- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information
- Standard Form 424B, Assurances
- Lobbying Form – Certification Regarding Lobbying (this form must be completed by all grant applicants)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters
- Certification Regarding Drug-Free Workplace Requirements

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is “*Regional Catastrophic Preparedness Grant Program.*” The CFDA number is **97.111**.

1. **Application via [www.grants.gov](http://www.grants.gov).** All applicants must file their applications using the Administration’s common electronic “storefront” - [www.grants.gov](http://www.grants.gov). Eligible

grantees must apply for funding through this portal, accessible on the Internet at [www.grants.gov](http://www.grants.gov).

- 2. Dun and Bradstreet Data Universal Numbering System (DUNS) number.** The applicant must provide a DUNS number with their application. This number is a required field within [www.grants.gov](http://www.grants.gov) and for CCR Registration. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at (866) 705-5711.
- 3. Valid CCR Registration.** The application process also involves an updated and current registration by the applicant. Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for funding through [www.grants.gov](http://www.grants.gov).
- 4. Project Narrative.** As part of the FY 2010 Regional Catastrophic Preparedness Grant Program application process, applicants must develop a Project Narrative that addresses each initiative being proposed for funding. The Project Narrative must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Applicants must ensure that Project Narratives are consistent with all applicable requirements outlined in this Guidance and Application Kit.

The Project Narrative is a method for the applicants to demonstrate their planned use of funds and describe specific funding and implementation approaches over the 36 month grant period of performance that will help enhance and sustain capabilities and achieve outcomes aligned with the National Preparedness Guidelines, their respective State/Urban Area Homeland Security Strategy, and their State Preparedness Report. The Project Narrative should provide specific information on what planning activities will be implemented, what outcomes will be achieved, how the program will be managed, and how the activities will be coordinated with relevant State and local authorities. Allowable costs will focus on planning activities in support of this initiative's objectives. Funding could be used for hiring and training planners, establishing and maintaining a program management structure, identifying and managing projects, conducting research necessary to inform the planning process, developing plans that bridge mechanisms/documents, protocols and procedures, and validation of RCPGP plans developed in the FY 2008 and FY 2009 grant cycles through tabletop exercises. See Appendix A for a list of allowable costs.

If the SAA has elected to retain up to twenty percent (20%) of the award, the State's specific plan for expenditure must come at the end of the site's narrative for the project that the State intends to extend. Identically as pertains to the site, full project details and project management must be provided by the SAA.



Project Narrative guidelines have been developed that outline the required content and organization to ensure all applicants address the key data requirements. Each Project Narrative must:

- Be submitted in Microsoft Word (\*.doc) or Adobe PDF format (\*.pdf)
- Use the following file naming convention:  
*FY 2010 RCPGP Project Narrative - <Site Name>.doc or .pdf*
- Include all data requirements, outlined below

*Applicant Information*

- State Name (of Primary SAA)
- RCPGP Site Name

*Project Details*

- Project title(s)
- Overview of proposed project(s), including expected accomplishments
- Summary of how the project(s) will address identified needs/ deficiencies
- Explanation of how the project(s) align with the program priorities and objectives specified in Part I of this Guidance and Application Kit
- High-level project milestones
- Estimated project costs
- Justification of M&A expenses
- Explanation of how the 25 percent cost share requirement will be met

*Project Management*

- Description of how the project(s) will be managed
- Overview of how the project(s) will be coordinated with relevant Federal, State, local, tribal, and private sector entities

For those States retaining funds under RCPGP, they must separately complete the above requirements, including full project details and project management, as outlined above. Additionally, the State's submittal must include a statement of concurrence that the RCPT supports the intended use.

### **C. Submission Dates and Times**

Application submissions will be received by **11:59 p.m. EDT, April 19, 2010**. Only applications made through [www.grants.gov](http://www.grants.gov) will be accepted.



## D. Intergovernmental Review

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. Executive Order 12372 can be referenced at <http://www.archives.gov/federal-register/codification/executive-order/12372.html>. The names and addresses of the SPOCs are listed on OMB's home page available at <http://www.whitehouse.gov/omb/grants/spoc.html>.

## E. Funding Restrictions

DHS 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.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

In administering the program, all RCPGP grantees must comply with the following general requirements:

- 1. Management and Administration (M&A) Limits.** A maximum of up to five percent (5%) of RCPGP funds awarded may be retained by the State, and any funds retained are to be used solely for management and administrative purposes associated with the RCPGP award. States may pass through a portion of the State M&A allocation to local subgrantees to support local management and administration activities; the overall M&A amount may not equal more than five percent (5%) of RCPGP funds. Applicants must justify their M&A expenses in the Project Narrative.
- 2. Allowable Costs.** The following pages outline allowable costs for RCPGP. A detailed list of allowable costs can be found in Appendix A.

### ***Planning***

RCPGP funds may be used for planning efforts to address catastrophic events, including developing support tools that enable catastrophic planning and developing contingency agreements/emergency contracts that address logistics and pre-positioning of commodities related to plans developing with RCPGP funds. These efforts must enable the prioritization of needs, building of capabilities, updating of preparedness strategies, allocation of resources, and delivery of preparedness programs across disciplines (e.g., law enforcement, fire, emergency medical service (EMS), public health, behavioral health, public works, agriculture, and information

technology) and levels of government. Working through Citizen Corps Councils, all jurisdictions are encouraged to include non-governmental entities and the general public in planning and associated training and exercises.<sup>7</sup> Additionally, grantees are encouraged to purchase project management software to develop and manage project plans. Training costs for the project management software are allowable. Finally, RCPGP funds may be used for tabletop exercises and training costs specifically related to plans. Examples of allowable planning costs for the individual RCPGP activities can be found at <http://www.fema.gov/grants>.

### ***Personnel***

Hiring, overtime, and backfill expenses are allowable under this grant only to perform programmatic activities deemed allowable under this guidance. Supplanting, however, is not allowed. Grantees may hire staff only for program management functions, not operational duties. See Appendix A for allowable hiring expenditures.

RCPGP funds may not be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities. The following are definitions for the terms as used in this grant guidance:

- **Hiring** – State and local entities may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable FEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-FEMA program activities under any circumstances. Hiring will always result in a net increase of FTEs. Alternatively, grantees may contract services for planning purposes.
- **Overtime** – These expenses are limited to the additional costs which result from personnel working over and above 40 hours of weekly work time as a direct result of their performance of FEMA-approved activities specified in this guidance. Overtime associated with any other activity is not eligible.
- **Backfill-related Overtime** – Also called “Overtime as Backfill,” these expenses are limited to overtime costs which result from personnel who are working overtime (as identified above) to perform the duties of other personnel who are temporarily assigned to FEMA-approved activities outside their core responsibilities. Backfill-related overtime only includes the difference between the overtime rate paid and what would have otherwise been paid to the backfilling employee for regular time. Under no circumstances should the entire amount of backfill overtime expense be charged to an award. Neither overtime nor backfill expenses are the result of an increase of Full-Time Equivalent (FTE) employees.

---

<sup>7</sup> Non-governmental entities include the private sector and private non-profit, faith-based, community, volunteer and other non-governmental organizations.

- **Supplanting** – Replacing a current State and/or local budgeted position with one or more full-time employees contracted or supported in whole or in part with Federal funds. Supplanting is prohibited with grant funds.

### ***Critical Emergency Supplies***

Once key requirements have been met, RCPGP participants may request permission to use funds to acquire critical emergency supplies. These supplies include meals, water, and basic medical supplies. Supplemental guidance will be provided to provide specific details of the key requirements. In summary, these requirements will include: staffing plans, warehousing and commodities management plans and contracts, and logistics staging and distribution plans.

### ***Training***

To support the implementation of plans developed through RCPGP, appropriate training of relevant personnel is an allowable expense for the FY 2010 grant cycle. All effort should be made to utilize available FEMA training programs before contracted training is obtained. This opportunity may not be considered in lieu of DHS Competitive Training Grants for purposes of developing new training courses; however, the development of reasonable and appropriate training opportunities for emergency management and colleges and universities is encouraged. *Training plans must be approved prior to implementation.*

### ***Exercises***

Tabletop exercises to validate plans developed through RCPGP are allowable expenses. Additionally, in order to bolster inter-State planning FEMA strongly encourages participation and observation by appropriate officials from neighboring States, and invitational travel to tabletops is therefore allowable. *Exercises are to be conducted as part of a formal Evaluation Plan, which must be approved prior to implementation.*

## **F. Other Submission Requirements**

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.

## PART V.

# APPLICATION REVIEW INFORMATION

### A. Review Criteria

DHS will evaluate and act on applications within 90 days following close of the application period. To determine grant awards, FEMA NPD HQ and Federal Preparedness Coordinators (FPCs) will review each Grant Application Package for completeness, quality, and continuity of proposed projects with program guidelines. FEMA NPD HQ and FPCs will complete a checklist for each Grant Application Package to ensure the submitted package meets all required criteria. Grant Application Packages must meet all required criteria in order for the applicant to receive funding.

To be considered complete, the Grant Application Package must include all of the following required documents, uploaded to [www.grants.gov](http://www.grants.gov) as separate files using the naming convention *FY 2010 RCPGP Document Title – <Site Name>.doc or .pdf*.

- Project Narrative
- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information
- Standard Form 424B Assurances
- Standard Form LLL, Disclosure of Lobbying Activities
- Certification Regarding Debarment, Suspension, and other Responsibility Matters
- Certification Regarding Drug-Free Workplace Requirements

Each Grant Application Package must meet all minimum requirements, outlined below, in order to obtain funding.

- Grant Application Package must include all required documents, specified above
- Project Narrative must address all data requirements specified in Part IV. B.
- Project Narrative must present a clear and thorough description of what the projects will accomplish and how
- Grant Application Package must comply with all guidelines and restrictions outlined in this Guidance and Application Kit

## **B. Review and Selection Process**

The FY 2010 RCPGP Grant Application Review will be conducted by the FEMA NPD HQ POCs and Federal Preparedness Coordinators (FPCs) using a requirements checklist. Each FPC is responsible for evaluating the Grant Application Package(s) from his/ her applicable site(s), while FEMA NPD HQ will review Grant Application Packages from all sites. Evaluation of the FY 2010 Grant Application Packages will be based upon their completeness, quality, and conformance of proposed projects with program guidelines. FEMA NPD HQ will compile the Grant Application Review results for each applicant and meetings between the FPCs and FEMA NPD HQ will be held to discuss results and recommendations for award, as appropriate.

**Note: Upon award, the recipient may only fund Investments that were included in the FY 2010 Project Narrative that was submitted to FEMA and evaluated through the Grant Application Review process.**

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

FEMA will evaluate and act on applications within 90 days following close of the application period, consistent with the *Department of Homeland Security Appropriations Act, 2010* (Public Law 111-83). Awards will be made on or before September 30, 2010.

## PART VI.

# AWARD ADMINISTRATION INFORMATION

### A. Notice of Award

Upon approval of an application, the grant will be awarded to the SAA. The date that this is done is the “award date.” Notification of award approval is made through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized SAA grantee official. Follow the directions in the notification to accept your award documents. The authorized SAA grantee official should carefully read the award and special condition documents. If you do not receive a notification, please contact your FEMA Regional Program Analyst for your award number. Once you have the award number, contact the GMS Help Desk at (888) 549-9901, option three, to obtain the username and password associated with the new award.

The period of performance is 36 months and begins on the Project Period/Budget Period start date listed in the award package. Any unobligated funds will be de-obligated at the end of the close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required. All extension requests must be submitted to FEMA at least 60 days prior to the expiration of the grant period of performance. The justification must address:

- Reason for delay;
- Current status of the activity/activities;
- Approved period of performance termination date and new project completion date;
- Remaining available funds, both Federal and non-Federal;
- Budget outlining how remaining Federal and non-Federal funds will be expended;
- Plan for completion including milestones and timeframe for achieving each milestone and the position/person responsible for implementing the plan for completion; and
- Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

### B. Administrative and National Policy Requirements

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

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

**1.1 – Administrative Requirements.**

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

**1.2 – Cost Principles.**

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

**1.3 – Audit Requirements.**

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

**1.4 – Duplication of Benefits.** There may not be a duplication of any Federal assistance, 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 FAR Part 31.2.

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

**FEMA uses the FEMA Payment and Reporting System (PARS) for payments made under this program, <https://isource.fema.gov/sf269/> (Note: link connects to Federal Financial Report [SF-425]).**



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

**2.2 – Forms.** In order to download the Standard Form 1199A, the Recipient may use the following Internet site: <http://www.fms.treas.gov/eft/1199a.pdf>.

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

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

**4. Technology Requirements.**

**4.1 – National Information Exchange Model (NIEM).** FEMA requires all grantees to use the latest NIEM specifications and guidelines regarding the use of Extensible Markup Language (XML) for all grant awards. Further information about the required use of NIEM specifications and guidelines is available at <http://www.niem.gov>.

**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 website at <http://www.fema.gov/grants>.

**4.3 – 28 CFR Part 23 Guidance.** FEMA requires that any information technology system funded or supported by these funds comply with 28 CFR Part 23, *Criminal Intelligence Systems Operating Policies*, if this regulation is determined to be applicable.



## 5. Administrative Requirements.

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

**5.2 – 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](mailto:pcii-info@dhs.gov).

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

- *Title VI of the Civil Rights Act of 1964*, as amended, 42 U.S.C. §2000 et. seq. – Provides that no person on the grounds of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving

Federal financial assistance. Title VI also extends protection to persons with Limited English Proficiency (LEP). (42 U.S.C. §2000d et seq.)

- *Title IX of the Education Amendments of 1972*, as amended, 20 U.S.C. §1681 et. seq. – Provides that no person, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any education program or activity receiving Federal financial assistance.
- *Section 504 of the Rehabilitation Act of 1973*, as amended, 29 U.S.C. §794 – Provides that no otherwise qualified individual with a disability in the United States, shall, solely by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or subject to discrimination in any program or activity receiving Federal financial assistance.
- *The Age Discrimination Act of 1975*, as amended, 20 U.S.C. §6101 et. seq. – Provides that no person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance.

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

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

**5.5 – Certifications and Assurances.** Certifications and assurances regarding the following apply:

- *Lobbying.* 31 U.S.C. §1352, *Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions* – Prohibits the use of Federal funds in lobbying members and employees of Congress, as well as employees of Federal agencies, with respect to the award or amendment of any Federal grant, cooperative agreement, contract, or loan. FEMA and DHS have codified restrictions upon lobbying at 44 CFR Part 18 and 6 CFR Part 9. (Refer to form included in application package.)
- *Drug-free Workplace Act*, as amended, 41 U.S.C. §701 et seq. – Requires the recipient to publish a statement about its drug-free workplace program and give a copy of the statement to each employee (including consultants and temporary personnel) who will be involved in award-supported activities at any site where these activities will be carried out. Also, place(s) where work is being performed under the award (i.e., street address, city, state and zip code) must be maintained on file. The recipient must notify the Grants Officer of any employee convicted of a violation of a criminal drug statute that occurs in the workplace. For additional information, see 44 CFR Part 17.
- *Debarment and Suspension* – Executive Orders 12549 and 12689 provide protection from fraud, waste, and abuse by debarring or suspending those persons that deal in an irresponsible manner with the Federal government. The recipient must certify that they are not debarred or suspended from receiving Federal assistance. For additional information, see 44 CFR Part 17.
- *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. (OMB Circular A-129) (Refer to SF 424, item number 17.)
- *Hotel and Motel Fire Safety Act of 1990* – In accordance with section 6 of the *Hotel and Motel Fire Safety Act of 1990*, 15 U.S.C. §2225a, the recipient agrees to ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds, complies with the fire prevention and control guidelines of the *Federal Fire Prevention and Control Act of 1974*, 15 U.S.C. §2225.

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

### **5.6 – Integrating individuals with disabilities into emergency planning.**

Section 504 of the *Rehabilitation Act of 1973*, as amended, prohibits discrimination against people with disabilities in all aspects of emergency mitigation, planning, response, and recovery by entities receiving financial

funding from FEMA. In addition, Executive Order 13347, *Individuals with Disabilities in Emergency Preparedness* signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Executive Order 13347 requires the Federal government to encourage consideration of the needs of individuals with disabilities served by State, local, and tribal governments in emergency preparedness planning.

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

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

LLIS.gov is available to emergency response providers and homeland security officials from the Federal, State, and local levels. To access the

resource page, log onto <http://www.LLIS.gov> and click on *Emergency Planning for Persons with Disabilities and Special Needs* under *Featured Topics*. If you meet the eligibility requirements for accessing LLIS.gov, you can request membership by registering online.

### **5.7 – Environmental Planning and Historic Preservation (EHP) Compliance.**

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

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

- Project location (i.e., exact street address or map coordinates)
- Total extent of ground disturbance and vegetation clearing
- Extent of modification of existing structures
- Construction equipment to be used, staging areas, etc.
- Year that any affected buildings or structures were built
- Natural, biological, and/or cultural resources present within the project area and vicinity, including wetlands, floodplains, geologic resources, threatened or endangered species, or National Register of Historic Places listed or eligible properties, etc.
- Visual documentation such as good quality, color and labeled site and facility photographs, project plans, aerial photos, maps, etc.
- Alternative ways considered to implement the project (not applicable to procurement of mobile and portable equipment)

For projects that have the potential to impact sensitive resources, FEMA must consult with other Federal, State, and tribal agencies such as the U.S. Fish and Wildlife Service, State Historic Preservation Offices, and the U.S. Army Corps of Engineers, as well as other agencies and organizations responsible for the protection and/or management of natural and cultural resources, including Federally-recognized Indian tribes, Tribal Historic Preservation Offices, and the

Department of the Interior, Bureau of Indian Affairs. For projects with the potential to have adverse effects on the environment and/or historic properties, FEMA's EHP review process and consultation may result in a substantive agreement between the involved parties outlining how the grantee will avoid the effects, minimize the effects, or, if necessary, compensate for the effects. Grantees who are proposing communication tower projects are encouraged to complete their Federal Communications Commission (FCC) EHP process prior to preparing their EHP review materials for GPD, and to include their FCC EHP materials with their submission to GPD. Completing the FCC process first and submitting all relevant EHP documentation to GPD will help expedite FEMA's review.

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

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

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

**5.8 – Royalty-free License.** Applicants are advised that FEMA reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or

otherwise use, and authorize others to use, for Federal government purposes: (a) the copyright in any work developed under an award or sub-award; and (b) any rights of copyright to which an award recipient or sub-recipient purchases ownership with Federal support. Award recipients must agree to consult with FEMA regarding the allocation of any patent rights that arise from, or are purchased with, this funding.

**5.9 – FEMA GPD Publications Statement.** Applicants are advised that all publications created with funding under any grant award shall prominently contain the following statement: "This document was prepared under a grant from the Federal Emergency Management Agency's Grant Programs Directorate (FEMA/GPD) within the U.S. Department of Homeland Security. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of FEMA/GPD or the U.S. Department of Homeland Security."

**5.10 – 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.

**5.11 – 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.

**5.12 – 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).



## C. Reporting Requirements

Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements). Any reports or documents prepared as a result of this grant shall be in compliance with Federal “plain English” policies, directives, etc. Please note that PARS contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

- 1. Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425), 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.

OMB has directed that the FFR SF-425 replace the use of the SF-269, SF-269A, SF-272, and SF-272A, which are no longer available as of October 1, 2009. The SF-425 is intended to provide Federal agencies and grant recipients with a standard format and consistent reporting requirements throughout the government.

FFRs **must be filed online** through PARS.

Reporting periods and due dates:

- October 1 – December 31; *Due January 30*
- January 1 – March 31; *Due April 30*
- April 1 – June 30; *Due July 30*
- July 1 – September 30; *Due October 30*

- 2. Semi-Annual Assistance Progress Report (SAPR).** Following an award, 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 the SAPR reports. The awardee should include a statement in the narrative field of the SAPR that reads: See BSIR

The SAPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Future awards and fund drawdowns may be withheld if these reports are delinquent.

SAPRs must be filed online at <https://grants.ojp.usdoj.gov>. Guidance and instructions can be found at <https://grants.ojp.usdoj.gov/gmsHelp/index.html>.

***Required submission: SAPR (due semi-annually).***



3. **Biannual Strategy Implementation Reports (BSIR).** Following an award, the awardees will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicable SAAs are responsible for completing and submitting the BSIR reports which is a component of the SAPR. The BSIR submission will satisfy the narrative requirement of the SAPR. SAAs are still required to submit the SAPR with a statement in the narrative field that reads: *See BSIR.*

The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Future awards and fund drawdowns may be withheld if these reports are delinquent.

4. **Exercise Evaluation and Improvement.** Exercises, implemented with grant funds, should be capabilities and performance-based and should evaluate performance of the targeted 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>. Grant recipients must report on scheduled exercises and ensure that an After Action Report (AAR) and Improvement Plan (IP) are prepared for each exercise conducted with FEMA support (grant funds or direct support) and submitted to the FEMA Grants and Preparedness Community of Interest (COI) on the Homeland Security Information Network (HSIN) within 90 days following completion of the exercise.

The AAR documents the demonstrated performance of targeted capabilities and identifies recommendations for improvements. The IP outlines an exercising jurisdiction(s) plan to address the recommendations contained in the AAR. At a minimum, the IP must identify initial action items and be included in the final AAR. Guidance for the development of AARs and IPs is provided in the HSEEP manual.

***Required submissions: AARs and IPs (as applicable).***

5. **Financial and Compliance Audit Report.** Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO's *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books,

documents, and records of recipients of FY 2010 Regional Catastrophic Preparedness Grant Program assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, through any authorized representative, access to, and the right to examine all records, books, papers or documents related to the grant.

The State shall require that sub-grantees comply with the audit requirements set forth in *OMB Circular A-133*. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

- 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. Programmatic monitoring may also include the Regional Federal Preparedness Coordinators, when appropriate, to ensure consistency of project investments with regional and national goals and policies, as well as to help synchronize similar investments ongoing at the Federal, State, and local levels.

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

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

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

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

## PART VII.

# FEMA CONTACTS

This section describes several resources that may help applicants in completing 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](mailto:ASKCSID@dhs.gov), Monday through Friday, 8:00 a.m. – 6:00 p.m. (EST).
- 2. FEMA Regions.** FEMA Regions have programmatic and business grant management duties over the Regional Catastrophic Preparedness Grant Program. FEMA Regions provide programmatic and business grant functions including generation of award packages, programmatic and financial monitoring and day to day customer service to grantees. For a list of contacts, please go to <http://www.fema.gov/about/contact/regions.shtm>. Grantees may also contact the CSID noted above for assistance.
- 3. National Exercise Division (NED).** The NED within the FEMA National Preparedness Directorate maintains program management for the Homeland Security Exercise and Evaluation Program (HSEEP). All questions pertaining to HSEEP may be addressed to [hseep@fema.gov](mailto:hseep@fema.gov) or contact the NED at 202-786-9873.
- 4. Homeland Security Preparedness Technical Assistance Program (HSPTAP) and Planning Support.** The HSPTAP provides direct support assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to prevent, protect against, respond to, and recover from terrorist and all hazard threats. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other direct support assistance programs.

The HSPTAP also provides access to planning support. The planning support aids jurisdictions by increasing their understanding of the complex issues faced in planning for various hazards and threats. This support includes leveraging subject-matter experts from around the country as well as enabling knowledge transfer from jurisdiction to jurisdiction.

More information can be found at [http://www.fema.gov/about/divisions/pppa\\_ta.shtm](http://www.fema.gov/about/divisions/pppa_ta.shtm) or by e-mailing [FEMA-TARequest@fema.gov](mailto:FEMA-TARequest@fema.gov) or [NPD-planning@dhs.gov](mailto:NPD-planning@dhs.gov).

- 5. Lessons Learned Information Sharing (LLIS) System.** LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, and other relevant homeland security documents. LLIS facilitates improved preparedness nationwide by providing response professionals with access to a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

The LLIS website also includes a national directory of homeland security officials, as well as an updated list of homeland security exercises, events, and conferences. Additionally, LLIS includes online collaboration tools, including secure email and message boards, where users can exchange information. LLIS uses strong encryption and active site monitoring to protect all information housed on the system. The LLIS website can be found at: <http://www.LLIS.gov>.

- 6. Information Bulletins.** Information Bulletins (IBs) provide important updates, clarifications, and policy statements related to FEMA preparedness grant programs. Grantees should familiarize themselves with the relevant publications. Information Bulletins can be found at: <http://www.fema.gov/government/grant/bulletins/index.shtm>.

- 7. Information Sharing Systems.** FEMA encourages all State, regional, local, and tribal entities using FY 2010 funding in support of information sharing and intelligence fusion and analysis centers to leverage available Federal information sharing systems, including Law Enforcement Online (LEO) and the Homeland Security Information Network (HSIN). For additional information on LEO, contact the LEO Program Office at [leoprogramoffice@leo.gov](mailto:leoprogramoffice@leo.gov) or (202) 324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at (703) 674-3003.

- 8. U.S. General Services Administration's (GSA's) State and Local Purchasing Programs.** The GSA offers two efficient and effective procurement programs for State and local governments to purchase products and services to fulfill homeland security and other technology needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes.

- **Cooperative Purchasing Program**  
Cooperative Purchasing, authorized by statute, allows State and local governments to purchase a variety of supplies (products) and services under specific GSA Schedule contracts to save time, money, and meet their everyday needs and missions.

The Cooperative Purchasing program allows State and local governments to purchase alarm and signal systems, facility management systems, firefighting and rescue equipment, law enforcement and security equipment, marine craft and related equipment, special purpose clothing, and related services off of Schedule 84 and Information Technology products and professional services off of Schedule 70 and the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing for these categories is authorized under Federal law by the *Local Preparedness Acquisition Act* (Public Law 110-248) and Section 211 of the *E-Government Act of 2002* (Public Law 107-347).

Under this program, State and local governments have access to GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The GSA provides a definition of State and local governments as well as other vital information under the frequently asked questions section on its website at:


<http://www.gsa.gov/cooperativepurchasing>.

- Disaster Recovery Purchasing Program

GSA plays a critical role in providing disaster recovery products and services to Federal agencies. Now State and local Governments can also benefit from the speed and savings of the GSA Federal Supply Schedules. Section 833 of the *John Warner National Defense Authorization Act for Fiscal Year 2007* (Public Law 109-364) amends 40 U.S.C. §502 to authorize GSA to provide State and local governments the use of ALL GSA Federal Supply Schedules for purchase of products and services to be used to *facilitate recovery from a major disaster declared by the President under the Robert T. Stafford Disaster Relief and Emergency Assistance Act or to facilitate **recovery** from terrorism or nuclear, biological, chemical, or radiological attack.*

Products and services being purchased to facilitate recovery from one of the above listed events, may be purchased both in advance of and in the aftermath of a major disaster, as long as the products and services being purchased, will be used to facilitate recovery.

GSA provides additional information on the Disaster Recovery Purchasing Program website at <http://www.gsa.gov/disasterrecovery>.

State and local governments can find a list of contractors on GSA's website, <http://www.gsaelibrary.gsa.gov>, denoted with a  or symbol.

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit <http://www.gsa.gov/csd> to find a local customer service director in your area. For assistance at the national level, contact Tricia Reed at [tricia.reed@gsa.gov](mailto:tricia.reed@gsa.gov) or (571) 259-9921. More information is available on all GSA State and local programs at: [www.gsa.gov/stateandlocal](http://www.gsa.gov/stateandlocal).

## PART VIII.

# OTHER INFORMATION

### FY 2010 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.

#### ***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 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.
- 2. In-kind Match.** In-kind (soft) match includes, but is not limited to, the valuation of in-kind services. "In-kind" is the value of something received or provided that does not have a cost associated with it. For example, if in-kind match (other than cash payments) is permitted, then the value of donated services could be used to comply with the match requirement. Also, third party in-kind contributions may count toward satisfying match requirements provided the grantee receiving the contributions expends them as allowable costs in compliance with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.

#### ***Definitions***

- **Matching or Cost Sharing.** This means the value of the third party in-kind contributions and the portion of the costs of a Federally-assisted project or program not borne by the Federal Government. All cost-sharing or matching funds claimed against a FEMA grant by State, local or tribal governments must meet the requirements of the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.
- **Cash Match (hard).** This includes cash spent for project-related costs under a grant agreement. Allowable cash match must include only those costs which are allowable with Federal funds in compliance with the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.

- **In-kind Match (soft).** This means contributions of the reasonable value of property or services in lieu of cash which benefit a Federally-assisted project or program. This type of match may only be used if not restricted or prohibited by program statute, regulation or guidance and must be supported with source documentation. Only property or services that are in compliance with program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225, are allowable.

### **Basic Guidelines**

- For costs to be eligible to meet matching requirements, the costs must first be allowable under the grant program.
- The costs must also be in compliance with all Federal requirements and regulations (e.g., 44 CFR Part 13 and 2 CFR Part 225); the costs must be reasonable, allowable, allocable, and necessary.
- Records for all expenditures relating to cost sharing or matching must be kept in the same manner as those for the grant funds.
  - The following documentation is required for third-party cash and in-kind contributions: Record of donor; Dates of donation; Rates for staffing, equipment or usage, supplies, etc.; Amounts of donation; and Deposit slips for cash contributions. According to 44 CFR § 13.24, this documentation is to be held at the Applicant and/or subapplicant level.
- Except as provided by Federal statute, a cost sharing or matching requirement may not be met by costs borne by another Federal grant.
- The source of the match funds must be identified in the grant application.
- Every item must be verifiable, i.e., tracked and documented.
- Any claimed cost share expense can only be counted once.

### **Examples** *(For additional examples of match, please contact your State finance office)*

- The Emergency Management Director has 50% of his/her salary paid from State funds and 50% paid from Federal grant funds, but he/she provides 60% effort in the Federal grant program that only pays 50% salary. The additional 10% of effort/time toward the Federal grant program can be claimed as soft match. All record keeping requirements to prove the 60% time allocation apply.
- Non-Federally funded equipment or facilities used during exercises can be claimed as soft match, but only at the time of donation. For example, only the fair market price for the use of the facility for the period of the exercise can be claimed as match.
- Third party in-kind contributions of salary, travel, equipment, supplies and other budget areas that are from third party sources must be in compliance with 44 CFR § 13.24, *Matching or Cost Sharing*. These types of contributions include voluntary contributions such as emergency personnel, lawyers, etc., who donate their time to a Federal grant program. The normal per hour rate for these professionals (acting in their professional capacity) can be used to meet the



matching requirement. The value of the services provided is taken into consideration when determining the value of the contribution - not who is providing the service. For example, if a lawyer is volunteering his services to assist flood victims in filing legal paper work, the lawyer's normal hourly rate is allowable. If the lawyer is volunteering his services and is working in a soup kitchen, the lawyer's hourly rate would not be applicable; it would be the hourly rate for a soup kitchen worker.

### **Governing Provisions**

- 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*
  - Reference 44 CFR § 13.24, *Matching or Cost Sharing*
- 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87)
- Program Guidance and/or Program Regulations

### **44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments**

#### **44 CFR § 13.24, Matching or Cost Sharing.**

**(a) Basic rule:** Costs and contributions acceptable. With the qualifications and exceptions listed in paragraph (b) of this section, a matching or cost sharing requirement may be satisfied by either or both of the following:

- (1) Allowable costs incurred by the grantee, subgrantee or a cost-type contractor under the assistance agreement. This includes allowable costs borne by non-Federal grants or by others cash donations from non-Federal third parties.
- (2) The value of third party in-kind contributions applicable to the period to which the cost sharing or matching requirements applies.

**(b) Qualifications and exceptions:**

- (1) Costs borne by other Federal grant agreements. Except as provided by Federal statute, a cost sharing or matching requirement may not be met by costs borne by another Federal grant. This prohibition does not apply to income earned by a grantee or subgrantee from a contract awarded under another Federal grant.
- (2) General revenue sharing. For the purpose of this section, general revenue sharing funds distributed under 31 U.S.C. 6702 are not considered Federal grant funds.
- (3) Cost or contributions counted towards other Federal costs-sharing requirements. Neither costs nor the values of third party in-kind contributions may count towards satisfying a cost sharing or matching requirement of a grant agreement if they have been or will be counted towards satisfying a cost sharing or matching requirement of another Federal grant agreement, a Federal procurement contract, or any other award of Federal funds.



- (4) Costs financed by program income. Costs financed by program income, as defined in § 13.25, shall not count towards satisfying a cost sharing or matching requirement unless they are expressly permitted in the terms of the assistance agreement (This use of general program income is described in § 13.25 (g)).
- (5) Services or property financed by income earned by contractors. Contractors under a grant may earn income from the activities carried out under the contract in addition to the amounts earned from the party awarding the contract. No costs of services or property supported by this income may count toward satisfying a cost sharing or matching requirement unless other provisions of the grant agreement expressly permit this kind of income to be used to meet the requirement.
- (6) Records. Costs and third party in kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records of grantees and subgrantees or cost-type contractors. These records must show how the value placed on third party in-kind contributions was derived. To the extent feasible, volunteer services will be supported by the same methods that the organization uses to support the allocability of regular personnel costs.
- (7) Special standards for third party in kind contributions.
  - (i) Third party in kind contributions count towards satisfying a cost sharing or matching requirement only where, if the party receiving the contributions were to pay for them, the payments would be allowable costs.
  - (ii) Some third party in-kind contributions are goods and services that if the grantee, subgrantee, or contractor receiving the contribution had to pay for them, the payments would have been indirect costs. Costs sharing or matching credit for such contributions shall be given only if the grantee, subgrantee, or contractor has established, along with its regular indirect cost rate, a special rate for allocating to individual projects or programs the value of the contributions.
  - (iii) A third party in-kind contribution to a fixed-price contract may count towards satisfying a cost sharing or matching requirement only if it results in:
    - (A) An increase in the services or property provided under the contract (without additional cost to the grantee or subgrantee); or
    - (B) A cost savings to the grantee or subgrantee.
  - (iv) The values placed on third party in kind contributions for cost sharing or matching purposes will conform to the rules in the succeeding sections of this part. If a third party in-kind contribution is a type not treated in those sections, the value placed upon it shall be fair and reasonable.

**(c) Valuation of donated services:**

- (1) Volunteer services. Unpaid services provided to a grantee or subgrantee by individuals will be valued at rates consistent with those ordinarily paid for similar work in the grantee's or subgrantee's organization. If the grantee or

subgrantee does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market. In either case, a reasonable amount for fringe benefits may be included in the valuation.

- (2) Employees of other organizations. When an employer other than a grantee, subgrantee, or cost-type contractor furnishes free of charge the services of an employee in the employee's normal line of work, the services will be valued at the employee's regular rate of pay exclusive of the employee's fringe benefits and overhead costs. If the services are in a different line of work, paragraph(c)(1) of this section applies.

**(d) Valuation of third party donated supplies and loaned equipment or space:**

- (1) If a third party donates supplies, the contribution will be valued at the market value of the supplies at the time of donation.
- (2) If a third party donates the use of equipment or space in a building but retains title, the contribution will be valued at the fair rental rate of the equipment or space.

**(e) Valuation of third party donated equipment, buildings, and land.** If a third party donates equipment, buildings, or land, and title passes to a grantee or subgrantee, the treatment of the donated property will depend upon the purpose of the grant or subgrant, as follows:

- (1) Awards for capital expenditures. If the purpose of the grant or subgrant is to assist the grantee or subgrantee in the acquisition of property, the market value of that property at the time of donation may be counted as cost sharing or matching,
- (2) Other awards. If assisting in the acquisition of property is not the purpose of the grant or subgrant, paragraphs (e)(2) (i) and (ii) of this section apply:
  - (i) If approval is obtained from the awarding agency, the market value at the time of donation of the donated equipment or buildings and the fair rental rate of the donated land may be counted as cost sharing or matching. In the case of a subgrant, the terms of the grant agreement may require that the approval be obtained from the Federal agency as well as the grantee. In all cases, the approval may be given only if a purchase of the equipment or rental of the land would be approved as an allowable direct cost. If any part of the donated property was acquired with Federal funds, only the non- Federal share of the property may be counted as cost sharing or matching.
  - (ii) If approval is not obtained under paragraph (e)(2)(i) of this section, no amount may be counted for donated land, and only depreciation or use allowances may be counted for donated equipment and buildings. The depreciation or use allowances for this property are not treated as third party in-kind contributions. Instead, they are treated as costs incurred by the grantee or subgrantee. They are computed and allocated (usually as indirect costs) in accordance with the cost principles specified in § 13.22, in the same way as depreciation or use allowances for purchased equipment and buildings. The amount of depreciation or use allowances

for donated equipment and buildings is based on the property's market value at the time it was donated.

**(f) Valuation of grantee or subgrantee donated real property for construction/acquisition.** If a grantee or subgrantee donates real property for a construction or facilities acquisition project, the current market value of that property may be counted as cost sharing or matching. If any part of the donated property was acquired with Federal funds, only the non-Federal share of the property may be counted as cost sharing or matching.

**(g) Appraisal of real property.** In some cases under paragraphs (d), (e), and (f) of this section, it will be necessary to establish the market value of land or a building or the fair rental rate of land or of space in a building. In these cases, the Federal agency may require the market value or fair rental value be set by an independent appraiser, and that the value or rate be certified by the grantee. This requirement will also be imposed by the grantee on subgrantees.

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

### **Basic Guidelines**

- 1. Factors affecting allowability of costs.** To be allowable under Federal awards, costs must meet the following general criteria:
  - a. Be necessary and reasonable for proper and efficient performance and administration of Federal awards.
  - b. Be allocable to Federal awards under the provisions of 2 CFR Part 225.
  - c. Be authorized or not prohibited under State or local laws or regulations.
  - d. Conform to any limitations or exclusions set forth in these principles, Federal laws, terms and conditions of the Federal award, or other governing regulations as to types or amounts of cost items.
  - e. Be consistent with policies, regulations, and procedures that apply uniformly to both Federal awards and other activities of the governmental unit.
  - f. Be accorded consistent treatment. A cost may not be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost.
  - g. Except as otherwise provided for in 2 CFR Part 225, be determined in accordance with generally accepted accounting principles.
  - h. Not be included as a cost or used to meet cost sharing or matching requirements of any other Federal award in either the current or a prior period, except as specifically provided by Federal law or regulation.
  - i. Be the net of all applicable credits.
  - j. Be adequately documented.
- 2. Reasonable costs.** A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances

prevailing at the time the decision was made to incur the cost. The question of reasonableness is particularly important when governmental units or components are predominately Federally-funded. In determining reasonableness of a given cost, consideration shall be given to:

- a. Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the governmental unit or the performance of the Federal award.
- b. The restraints or requirements imposed by such factors as: Sound business practices; arm's-length bargaining; Federal, State and other laws and regulations; and, terms and conditions of the Federal award.
- c. Market prices for comparable goods or services.
- d. Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to the governmental unit, its employees, the public at large, and the Federal Government.
- e. Significant deviations from the established practices of the governmental unit which may unjustifiably increase the Federal award's cost.

### **3. Allocable costs.**

- a. A cost is allocable to a particular cost objective if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received.
- b. All activities which benefit from the governmental unit's indirect cost, including unallowable activities and services donated to the governmental unit by third parties, will receive an appropriate allocation of indirect costs.
- c. Any cost allocable to a particular Federal award or cost objective under the principles provided for in 2 CFR Part 225 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.
- d. Where an accumulation of indirect costs will ultimately result in charges to a Federal award, a cost allocation plan will be required as described in Appendices C, D, and E to this part.

### **4. Applicable credits.**

- a. Applicable credits refer to those receipts or reduction of expenditure-type transactions that offset or reduce expense items allocable to Federal awards as direct or indirect costs. Examples of such transactions are: Purchase discounts, rebates or allowances, recoveries or indemnities on losses, insurance refunds or rebates, and adjustments of overpayments or erroneous charges. To the extent that such credits accruing to or received by the governmental unit relate to allowable costs, they shall be credited to the Federal award either as a cost reduction or cash refund, as appropriate.
- b. In some instances, the amounts received from the Federal Government to finance activities or service operations of the governmental unit should be treated as applicable credits. Specifically, the concept of netting such credit items (including any amounts used to meet cost sharing or matching requirements) should be recognized in determining the rates or amounts to be charged to Federal awards.

## Project Plans

Each RCPGP site is expected to practice effective project management in order to plan and execute projects successfully within the period of performance. Once awards have been announced, grantees will be required to submit a detailed project plan for each project to supplement the Project Narrative submitted in the FY 2010 Grant Application. Detailed project plans must be reviewed and approved by FEMA NPD HQ prior to draw down of funds. The initial project plan is expected to be a best estimate of the tasks and time required to complete the proposed projects. It must include all major milestones and tasks, and must account for all project and program deliverables. It is understood that task specifics and dates may change and evolve over time.

### ***Project Plan Requirements***

RCPGP grantees must create a project plan for each proposed project. Grantees are encouraged to use project management software, which can track separate funding streams while incorporating project plans from multiple grant cycles, promoting streamlined project management; however, use of the software package is not required. While the plan's format is flexible, each project plan must include all information outlined below.

- a. Project Name, as indicated in the Project Narrative submittal
- b. Project Start Date & End Dates that are within the grant's 36 month period of performance
- c. Project Milestones, deliverables, and tasks that represent significant events in the project and which can be used to effectively track the project's progress, including the following:
  - All project deliverables and their sub-tasks
  - All program deliverables (specified in Part I of this Guidance and Application Kit) and their sub-tasks
- d. Percent Complete for each milestone, deliverable, and task
- e. Start and End Dates for each milestone, deliverable, and task

The following content is highly recommended, but not required.

- f. Dependencies for each milestone, deliverable and task (Other project plan items that are directly linked to the item (e.g., a task must be completed before another task may begin))
- g. Work (labor) hours required to complete each milestone, deliverable, and task
- h. Duration (business days) required to complete each milestone, deliverable, and task
- i. Resources (personnel) required to complete each milestone, deliverable, and task

The project plan must account for all program deliverables specified in Part I of this Guidance and Application Kit. **All program deliverables and their sub-tasks must be clearly labeled in the project plan.**

## Resources

The following resources have been identified as potentially helpful to sites during the implementation of FY 2008 and FY 2009 projects, as well as planning for creation of FY 2010 projects.

- FEMA Library - <http://www.fema.gov/library/index.jsp>
- Mitigation Planning Guidance - [http://www.fema.gov/plan/mitplanning/planning\\_resources.shtm#1](http://www.fema.gov/plan/mitplanning/planning_resources.shtm#1)
- National Response Framework - <http://www.fema.gov/emergency/nrf/>
- National Scenarios - <https://www.llis.dhs.gov/index.do>
- National Strategy for Homeland Security - <http://www.whitehouse.gov/infocus/homeland/nshs/2007/index.html>
- NIMS - <http://www.fema.gov/emergency/nims/index.shtm>
- NIPP - [http://www.dhs.gov/xprevprot/programs/editorial\\_0827.shtm](http://www.dhs.gov/xprevprot/programs/editorial_0827.shtm)
- Target Capabilities List - <https://www.llis.dhs.gov/index.do>

# APPENDIX A

## ALLOWABLE COSTS LIST

### Allowable Planning Costs

- Public Education and Outreach
- Development of materials in alternate formats and languages
- Develop and implement homeland security support programs and adopt ongoing DHS National Initiatives
- Develop and enhance plans and protocols
- Develop or conduct assessments
- Establish, enhance, or evaluate Citizen Corps related volunteer programs
- Hiring of full-time, part-time, or contract planners or consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)
- Conferences to facilitate planning activities
- Materials required to conduct planning activities
- Travel/per diem related to planning activities
- Overtime and backfill costs for planners (IAW operational Cost Guidance)
- Validation of RCPGP plans developed in FY 2008 and FY 2009 grant cycles, including tabletop exercises
- Training costs specifically related to plans
- Project management software and project management software training expenses
- Other project areas with prior approval from FEMA

### Allowable Organizational Activities

- Hiring or use of full- or part-time staff or contractors for organizational planning activities

### Allowable Management and Administration Costs

- Hiring of full- or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, compliance with reporting and data collection requirements
- Development of operating plans for information collection and processing necessary to respond to FEMA data calls

- Overtime and backfill costs
- Travel
- Meeting related expenses
- Authorized office equipment
- Recurring expenses such as those associated with cell phones and faxes during the period of performance of the grant program
- Leasing or renting of space for newly hired personnel during the period of performance of the grant program

### **Allowable Equipment**

- Critical emergency supplies (shelf-stable foods, water, basic medical supplies)